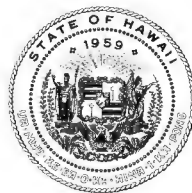


JOSH GREEN, M.D.
GOVERNOR



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August 7, 2024

The Honorable Ronald D. Kouchi
President of the Senate
and Members of the Senate
Thirty-Second State Legislature
State Capitol, Room 409
Honolulu, Hawai'i 96813

The Honorable Scott K. Saiki
Speaker and Members of the
House of Representatives
Thirty-Second State Legislature
State Capitol, Room 431
Honolulu, Hawai'i 96813

Aloha Senate President Kouchi, Speaker Saiki, and Members of the Legislature:

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the report the Office of Enterprise Technology Services received for the State of Hawai'i, Department of Transportation, Highways Division, Financial Management System Project.

In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

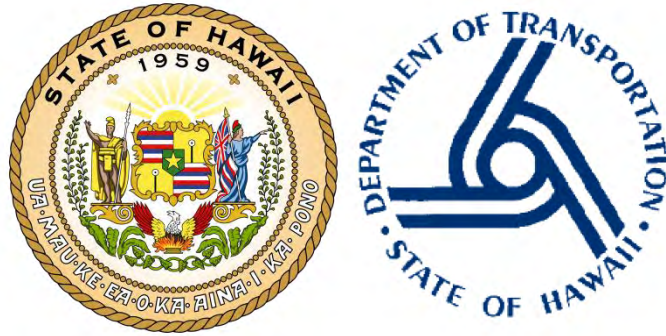
Sincerely,

Christine Sakuda

Christine Sakuda (Aug 7, 2024 10:51 HST)

Christine M. Sakuda
Chief Information Officer
State of Hawai'i

Attachments (2)



Monthly Project Assessment Report – June 2024

Independent Verification and Validation (IV&V) for the Implementation of the Highways Financial Management System Project

Author: Ohanasoft/IV&V Project Team
Creation Date: July 15, 2024
Last Updated: July 15, 2024
Version: Final

Version History

| Version Number | Updated By | Revision Date | Description of Change |
|----------------|-------------------|---------------|-----------------------|
| 1.0 | IV&V Project Team | 7/15/2024 | Final |

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I. Introduction and Summary

A. Introduction

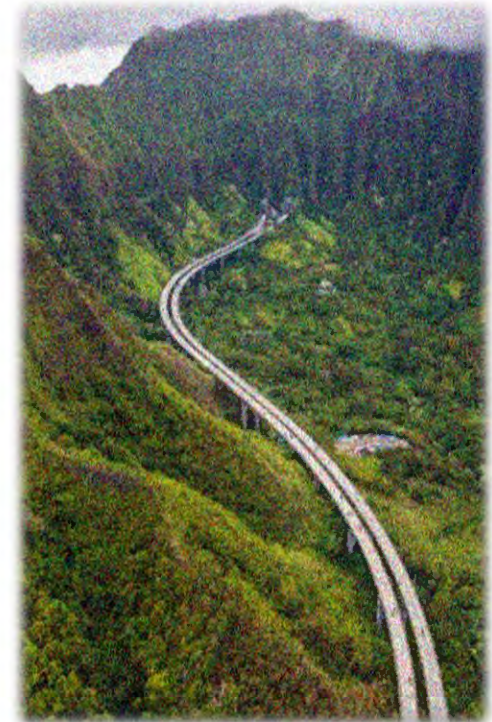
Department of Transportation Highways (DOTH) manages the planning, construction, and maintenance of the State of Hawaii's approximate 2,675 lane miles of highway on Oahu, Kauai, Maui, Lanai, Molokai, and Hawaii. DOTH's mission is to provide a safe, efficient, and accessible highway system through the utilization of available resources in the maintenance, enhancement, and support of land transportation facilities. DOTH's primary function is to plan, design, and supervise the construction and maintenance of the State's highway system.

DOTH commissioned an ERP System Integrator (hereinafter referred to as "SI"), in March 2021 to provide an accounting system solution that would modernize certain State of Hawaii, Department of Transportation, Highways Division (DOTH) IT systems, associated systems, and business processes, including fully replacing DOTH's legacy Highways Financial Accounting System (HWYAC) and certain software components of DOTH Districts' AS400 systems.

The new DOTH Financial Management System (H4) will utilize SAP S/4HANA Cloud ERP and will cover DOTH Business Processes of Budget, General Ledger, Accounts Payable, Accounts Receivable, Lease Management, Fixed Assets, Procurement, Project & Grant, Federal Billing, Human Resources, Time and Labor, Payroll, Inventory Management, Plant Maintenance, Reporting, and Analytics.

DOTH also acquired a contract with IT Management Consulting Firm, Ohanasoft (hereinafter referred to as "IV&V"), to provide information technology independent verification and validation consulting services for the implementation of the DOTH Highways Financial Management System. The IV&V contractor's role is to provide an objective, neutral, third-party view of the implementation of the Highways Financial Management System with the intent of protecting the State's interests for success of the project. Throughout the system implementation, the IV&V team will perform ongoing project IV&V activities and will identify issues/deficiencies/risks with the System implementation project, provide feedback and recommendations for mitigation and improvement, and provide on-going reporting on project activities.

The observation, feedback, and recommendations provided by IV&V are IV&V's own opinions, and IV&V is not a decision-maker of any activities in the H4 project implementation. IV&V makes no assurance, guarantee, or other promises as to the success of H4 project and is not responsible and not liable for the outcome of the H4 Project.



B. Summary

During the H4 implementation in June 2024, the primary focus was on the preparation of the Conference Room Pilot (CRP); other activities continued to revolve around reviewing and discussing Functional Specification Documents (FSDs), the Project Plan, and continuing tasks similar to those from the previous month. SI continued to submit Deliverable Expectation Documents (DEDs) for the remaining deliverables to DOTD for review and approval. The total count of FSD submissions for the month of June remained static. Presently, the proposed new Go-Live date is October 1st, 2024 - over two years later than the original timeline – however, both parties agree that the date is no longer feasible and are in discussions for a new Go-Live date. A lot of effort has been put into planning the Realize Phase Kickoff and CRP preparation. Some Realize Phase tasks, such as FSDs, are currently in progress. However, the Kickoff will begin to involve other aspects of Realize activities and is expected to take place in July.

The Project Plan went through another round of update and submitted for review. Task dependencies/Sequencing, including successor and predecessor relationships at the task level, have been reviewed and addressed. Although these aspects still require further updates, the H4 Project Team has reached a stage where dates, durations, and other project plan elements can now be worked on for the next review iteration.

The H4 Project is grappled with several pressing challenges: a backlog of pending deliverables, inadequate knowledge transfer to DOTD, and a substantial loss of institutional knowledge following the departure of key consultants last year, many of whom had been integral to the Project for several years. A more coordinated approach with leadership is crucial to address these issues and avert further delays. Furthermore, significant effort is required to onboard new consultants and familiarize them with DOTD's requirements and processes. Presently, the recurring rediscovery of previously discussed requirements continues to be problematic.

Continued focus and effort went into the preparation of CRP sessions along with its plan, scope and resources. The CRP is a critical step in the H4 implementation because it allows DOTD to assess the system in a controlled environment, identify potential issues, and ensure the software meets business requirements before full-scale of further implementation and development.

SI has been preparing scripts and PowerPoints for the upcoming CRP sessions, ensuring that all necessary information is covered. The acceptance criteria defined in the Deliverable Expectation Document (DED) of CRP currently include the presentation and demonstration of prototypes with all standard and WRICEF (Workflows, Reports, Interfaces, Conversions, Enhancements, and Forms) developments mapped to the Requirements Traceability Matrix (RTM) and Process Design Documents (PDD). IV&V still anticipates some challenges in conducting CRP sessions at this stage due to its readiness issues. These challenges include the lack of knowledge transfer/training on H4 and WRICEF developments, the ongoing need to update Process Design Documents (PDDs) due to continued detailed discoveries of the business processes, incomplete mapping of CRP scenarios and scripts to Requirement IDs, the unavailability of a Financial/Integration role, and the relatively newer consultants needing more time to familiarize themselves with DOTD requirements and processes.

Due to isolated and siloed work practice, the H4 Project could use a strong Financial/Integration lead role. This role is crucial for integrating multiple modules and bridging various business domains to satisfy DOTD's comprehensive requirements. There is complex data flow between modules and it is vital to ensure the components work together seamlessly in DOTD business processes. For instance, FHWA requirements involve multiple business functions, including non-labor processes such as Purchase Requisitions, Purchase Orders/Contracts, AP Invoices, AP Payments, FAMIS Interface, and labor processes such as Human Resources, Time Sheets, Hawaii Information Portal (HIP) Interface and Payroll, as well as FHWA Billings, Reimbursement Receipts, and Cost Distributions.

Furthermore, this role is critical for coordinating consultant activities, resolving disputes, and formulating optimal solution designs that enhance collaboration throughout the H4 Project. The H4 Project is also in need of increased daily project management involvement from SI's leadership to improve communication, information sharing, managing H4 resources, and teamwork among consultants. This proactive leadership will help with the challenges continuously observed due to the siloed work practices.

All consultants are encouraged to collaborate closely with DOTH, guided by strong leadership and a focus on integration, to review, comprehend, and update existing documents and processes. This is important because past transitions showed insufficient knowledge transfer from outgoing consultants to onboarding consultants. This collaborative effort will enable new consultants to acquaint themselves with DOTH processes and requirements and ensure that all DOTH-specific information is correctly understood and documented, thereby reducing the risk of project meetings turning into rediscovery sessions. It is also recommended that the H4 Project Team utilize the discussion of Process Design Documents (PDDs) as a business process improvement opportunity. This is to ensure all new procedures and functionalities of H4 will enhance DOTH's current business processes and staff efficiency without requiring additional resources or work from DOTH compared to the current systems such as HWYAC and AS400.

A lack of meeting minutes or documentation continues to perpetuate challenges in the Project - it is difficult to recall the discussions and decisions made during these meetings without proper documentation. As stated previously, it has been recommended to keep meeting minutes, as well as establish and maintain a comprehensive master list of business decisions covering all modules. This proactive measure aims to prevent unnecessary rediscovery, avoid redundant discussions, and contribute to improved efficiency in meetings and communication.

Functional Specification Documents (FSDs) meetings and discussions continued to take place. At the end of June 2024, there has been no change since May, 140 FSDs were submitted for review, with DOTH conditionally approving 113 of them. Before proceeding further with development, it is critical for the H4 Project Team to identify, verify, and document all functional specifications meticulously in alignment with DOTH's specific requirements. There have been insufficient details or unclear information from some dependent work products, such as the Process Design Documents, the Data Conversion Plan, the Requirements Traceability Matrix, and the Fit/Gap Analyses, which initially prolonged the FSD discussion and development process. However, efforts to clarify and enhance these documents are showing progress, leading to more streamlined and efficient discussions moving forward. While the walkthrough review of Configuration Design Documents (CDDs) was initially planned to occur once the majority of FSDs were completed, it is recommended that DOTH and SI conduct a concurrent review and validation of CDDs alongside FSDs, rather than waiting until most FSDs are almost finished. This approach is suggested because CDDs cover the configuration of standard functions crucial for establishing a system baseline and addressing solutions for over 480 requirements in Wave I (approximately 55% of the total Wave I requirements), which can be delivered without WRICEF. It is also advised to avoid granting further conditional approvals for deliverables that could potentially lead to rework or require subsequent corrections.

DOTH has highlighted again this month on several occasions their lack of H4 (SAP) knowledge, which DOTH stated has prohibited them from effectively engaging in meetings. There have been no DOTH-specific Knowledge Transfer (KT) or training sessions at the level of detail DOTH expected was needed to acquaint themselves with H4 functions, terminology, and processes. Additionally, up to now, there have been no structured training materials tailored to DOTH that would assist DOTH team members in becoming familiar with H4 functions and enhancing their skills. While CRP sessions may facilitate some informal knowledge transfer, it is essential to have formal KT/Training equipped with reference materials which DOTH team members can continue to use for further self-training. The absence of such training and materials has substantially affected the DOTH team members' ability to actively participate in discussions and contribute effectively to the H4 Project's goals. This gap in training not only reduces productivity but also raises the risk of mistakes and

delays understanding and evaluating project deliverables. Consequently, there is a pressing need to prioritize the development and delivery of comprehensive training sessions and materials to equip DOTH team members with the required skills and knowledge for the successful execution of H4. Although SI states that they are preparing training materials for end users, it is apparent that the DOTH project team members are also in need of training.

As the change order for testing has been approved, Unit testing will include standard functionality, WRICEF, and End-User Roles and Authorizations, each of which will be tested separately at different times. However, this approach may lead to inefficiency, retesting, and the potential for missing critical requirements. It is crucial for the H4 system to meet all requirements satisfactorily, whether they involve WRICEF or standard functionalities. DOTH and SI should collaborate closely to manage and execute unit testing in a manner that mitigates these risks. Comprehensive testing aligned with all business processes and all requirements specified in the RTM is recommended to ensure thorough validation of all functionalities.

Currently, a technical consultant is involved in Report FSD sessions, working alongside functional consultants to review and finalize the Report FSDs. However, it is recommended for technical consultants to extend their participation to more FSD meetings. This broader involvement is crucial to ensure a unified understanding of requirements, reduce development misunderstandings, and avoid costly rework or fixes during system configuration and testing.

II. IV&V Dashboard

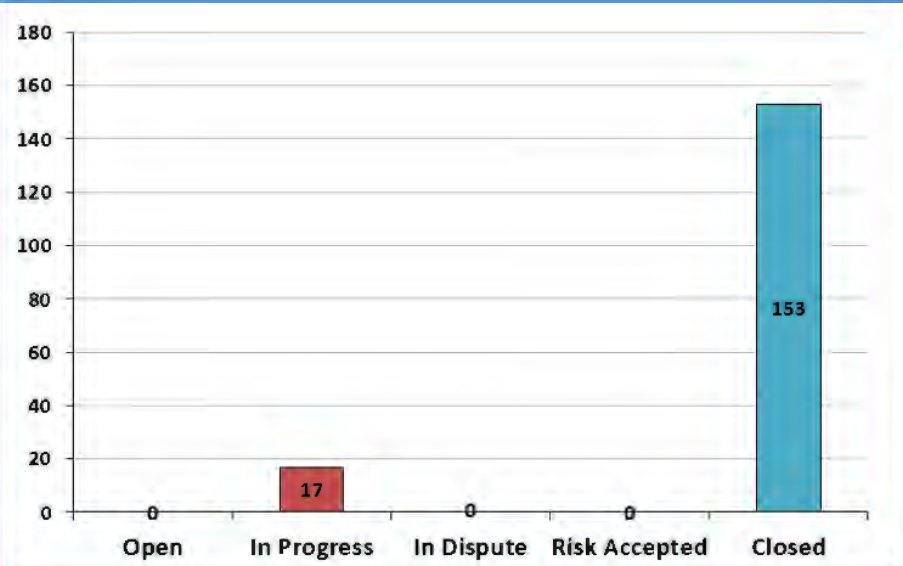
A. Subject Category

| IV&V Dashboard – Subject Category | | | |
|-----------------------------------|--|----------------|---------------|
| Subject Area | Subject Category | Impact | |
| | | Previous Month | Current Month |
| Project Management | Schedule Management | | |
| | Resource Management | | |
| | Quality Management | | |
| | Risk/Issue Management | | |
| | Organization Change Management | | |
| | Communication Management | | |
| | Contract Management | | |
| | External Impact Management | | |
| System Implementation | Requirement Management (Processes, Requirements and Fit/Gap) | | |
| | Solution Design and Configuration | | |
| | Interface and Integration | | |
| | Reports and Analytics | | |
| | Security | | |
| | Data Conversion | | |
| | Documentation | | |
| | System Testing | | |
| | Training and Knowledge Transfer | | |
| | Production Migration | | |

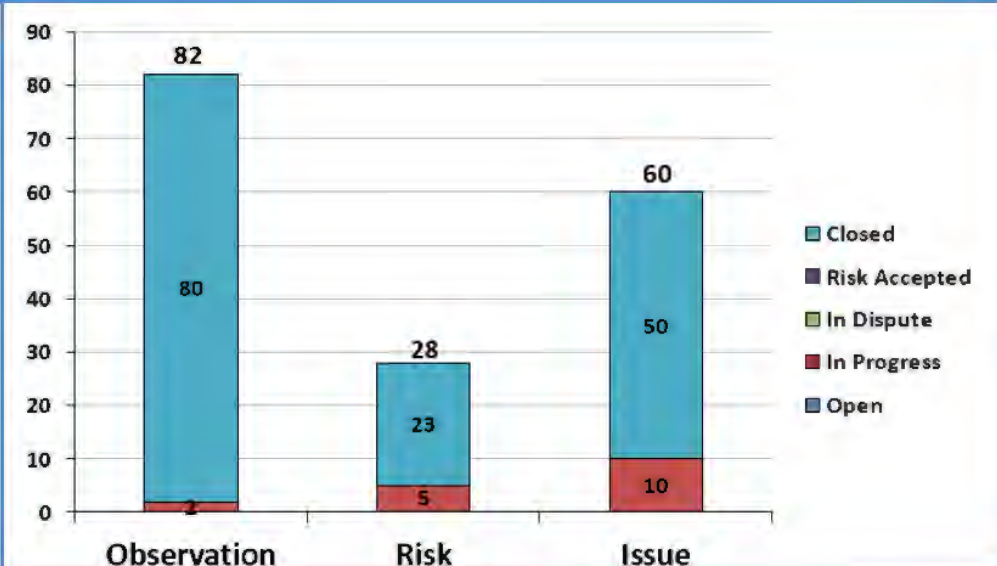
B. Observation, Risk, Issues, Subject Category

IV&V Dashboard – Observation, Risk, Issues, Subject Category

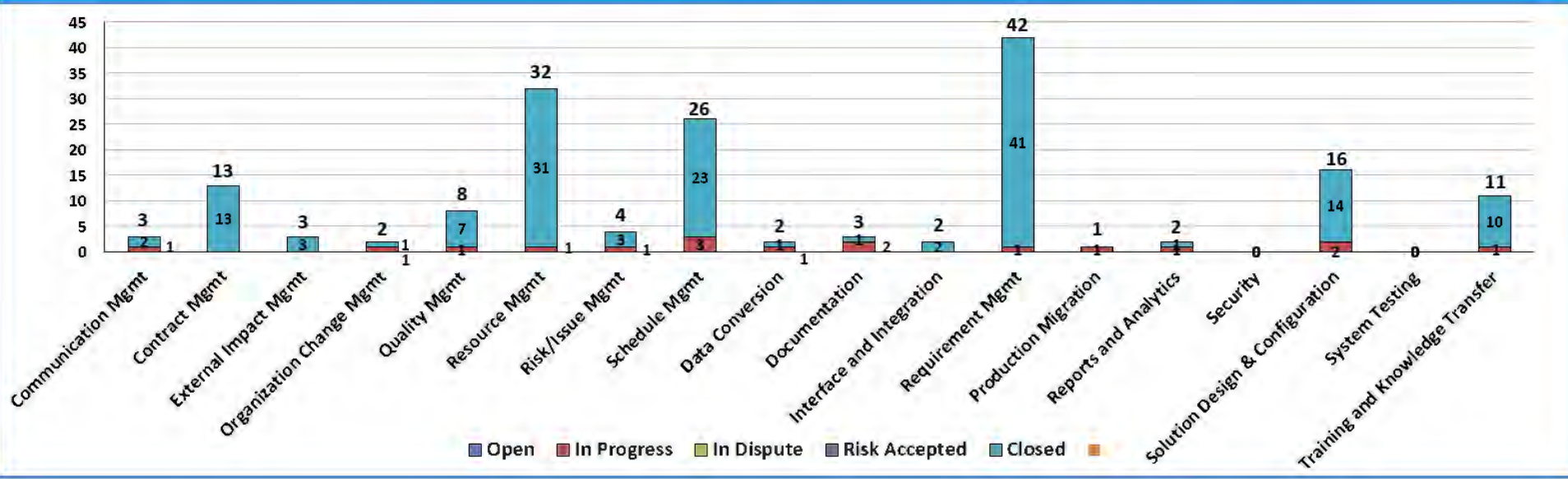
Number of Total Observation, Risk, and Issues



Number of Observation, Risk, and Issues by Status



Number of Observation, Risk, and Issues by Subject Category

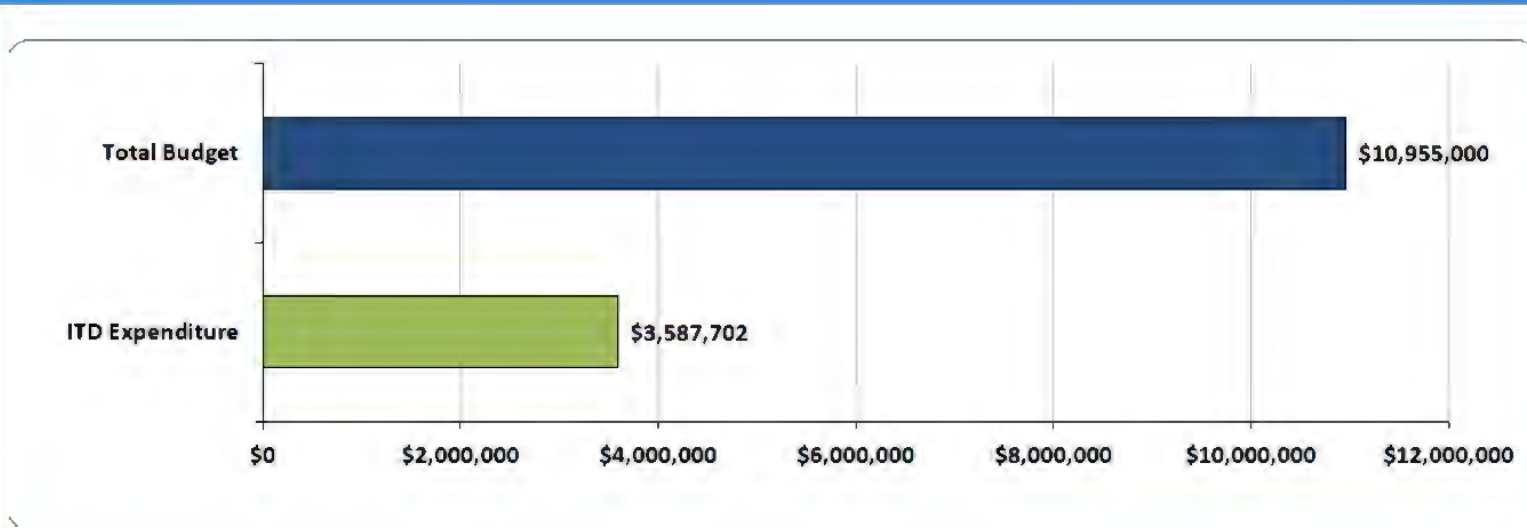


C. Total Budget vs. Inception to Date Expenditure, Project Timeline

IV&V Dashboard – Total Budget vs. Inception to Date Expenditure and Project Timeline

Total Budget Vs. Inception to Date (ITD) Expenditure

Number of Observation, Risk, and Issues by Status



- Original Go-Live date: 7/1/2022
- Proposed Go-Live date: 10/1/2024
- Remaining Months (including post-Go-Live support): TBD
- Completed Months: 39
- Percentage of Completed Months vs. Total Months: TBD
- Percentage of ITD Expenditure vs. Total Budget: 32.75%
- Remaining Budget Balance: \$7,367,298

Project Timeline

| DOTH Financial Management System (Wave I) | Mar-21 | Apr-21 | May-21 | Jun-21 – May-22 | Jun-22 | Jul-22 | Aug-22 | Sep-22 | Oct-22 | Nov-22 | Dec-22 | Jan-23 | Feb-23 | Mar-23 | Apr-23 | May-23 | Jun-23 | Jul-23 | Aug-23 | Sep-23 | Oct-23 | Nov-23 | Dec-23 | Jan-24 | Feb-24 | Mar-24 | Apr-24 | May-24 | Jun-24 | Jul-24 | Aug-24 | Sep-24 | Oct-24 | Nov-24 | | |
|---|--------|--------|--------|-----------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--|--|
| Phase | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Prepare | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Explore | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Realize | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Deploy | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Production | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

H4 is currently in the Explore and Realize Phases. A few Realize Phase activities are ongoing, and Wave 2 (SBP) activities are on hold until the Wave 1 Project Plan is completed.

- Prepare Phase: Define Strategy, Project Initiation, Project Standards, Technical Requirements.
- Explore Phase: Business Workshops and Requirements, Fit-Gap Analysis, Technical Solution Design, Testing Strategy, Training Strategy
- Realize Phase: Functional Specification, Organization Alignment, Knowledge Transfer, Build, Development, Unit Test, Integration Test
- Deploy Phase: Support Plan, Training Delivery, Cutover Plan, User Acceptance, Simulations, Go/No-Go Decision
- Production: Cutover, Go-Live, Hypercare Support, Transition to Operations, Project Closeout

III. IV&V Findings – Observations, Risk, Issue and Feedback/Mitigation

A. Subject Category: Schedule Management

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation

Issue

ORI ID: I-210531-02

The final Project Plan/Implementation Schedule has not been approved by DOTH and the deliverable is not completed. This is a foundational document for a project management and scheduling, and it is one of the most critical deliverables. Delay in the Project Plan and Implementation Schedule pose decreased confidence in being able to manage project resources efficiently and meet the final Go-Live date. Also, without the Project Plan and the Implementation Schedule DOTH has limited project visibility and it will impact schedule and resource management. It is currently unknown, at a detail level, if the number of resources are adequate to complete the project on schedule. Earlier versions of the Project Plan were not accepted partly because of oversubscribed resources and incorrect dates (i.e., one consultant or DOTH team member working more than 40 hours in a week, etc.)

Impact



Feedback/Mitigation/ Updates

It is recommended that SI complete Project Plan/Implementation Schedule as soon as possible.

Project Plan/Implementation Schedule Submission History:

11/16/2020, 12/21/2020, 4/26/2021: The initial project plan was submitted and returned back to SI after DOTH review due to incompleteness.

6/3/2021: The New Target Date for Project Plan/Implementation Schedule is set to 6/11/21 by SI.

6/14/2021: Updated project plan was submitted by SI but returned back to SI due to incompleteness.

7/1/2021: It is currently unknown, at a detail level, if the number of resources are adequate to complete the project on schedule. Earlier versions of the Project Plan were not accepted partly because of oversubscribed resources and incorrect dates (i.e. one consultant or DOTH team member working more than 40 hours in a week, etc.). Updated project plan was submitted by SI but returned back to SI after DOTH review due to incompleteness. Revised Acceptance Date: 8/31/2021

9/02/2021: No updates have been submitted to DOTH.

9/16/2021: DOTH interviewed an assistant project manager candidate on 9/7/2021.

9/30/2021: No updates have been submitted to DOTH.

10/5/2021: SI Assistant Project Manager submitted the revised project plan. DOTH has a meeting with the SI Assistant Project Manager and requested a revision due to the project plan being incomplete.

10/13/2021: SI Assistant Project Manager submitted the revised project plan and DOTH will hold a review meeting on 10/22/2021.

10/25/2021: DOTH had a meeting with the SI Assistant Project Manager to review Project Plan/Implementation Schedule. Progress has been made, however some data such as the dates and % completion need to be corrected.

11/10/2021: SI Assistant Project Manager submitted the revised project plan and DOTH will hold a review meeting on 11/24/2021.

11/24/2021: SI Assistant Project Manager and DOTH Project Manager worked together via Teams and updated and fixed the Project Plan. There will be a follow up meeting.

12/31/2021: SI Assistant Project Manager and DOTH Project Manager worked together via Teams and updated and fixed the Project Plan. It is still not complete.

1/31/2022: No new major update. The document is making incremental progress, however it is not completed yet.

2/28/2022: No new major update. It is still incomplete.

3/31/2022: The Assistant Project Manager left H4 implementation project. The Project Manager will continue to work on Project Plan/Implementation Schedule.

4/29/2022: No major updates. A new Go-Live date will be set after PDDs are approved by DOTH.

5/31/2022, 6/30/2022, 7/31/2022: No major updates.

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation

8/31/2022: The new assistant project manager will be revising Project Plan/Implementation Schedule with updated Go-Live Date of 7/1/2023. 9/30/2022: No major updates. 10/31/2022: It is recommended that SI complete the Project Plan/Implementation Schedule as soon as possible since the absence of the Project Plan/Implementation Schedule prevents from proper resource planning, meeting schedules, and integrated solution development and this causes issues and inefficiency. The project meetings are not being held cohesively and the project focus is scattered.

11/30/2022: It was expected that after the new Go-Live date was set a revised Project Plan/Implementation Schedule would be prepared, however there is no update to the Project Plan. It is recommended that SI complete the Project Plan/Implementation Schedule as soon as possible. 12/31/2022: Project Plan/Implementation Schedule still has not been submitted to DOTH.

1/31/2023: A high-level project plan was presented during the PMO on 1/26/2023 but the detailed Project Plan/Implementation Schedule has not been submitted to DOTH.

2/28/2023: The Project Plan/Implementation Schedule was submitted to DOTH for review and approval. DOTH reviewed it internally and scheduled a meeting for further review and discussion with SI on 3/1/2023.

3/31/2023: SI submitted the Project Plan/Implementation Schedule for discussion on 3/1/2023 and it was observed that task durations and dates need to be completed based on the current availability of resources and time constraints. DOTH and SI disagree with approaches regarding the resource loading to the Project Plan. They are in the process of working through the details and finalizing the Project Plan/Implementation Schedule.

4/30/2023: There are still disagreements between DOTH and SI regarding the resource plan, task duration and deliverables due dates, as well as the Go-Live date.

5/31/2023: DOTH and SI have been working together to agree on the Project Plan/Implementation Schedule, but an agreement has not been reached. This is an important deliverable that requires both parties' attention and it should be completed as soon as possible.

6/30/2023: DOTH and SI planned to meet to work on the Project Plan/Implementation Schedule and it should be completed asap.

7/31/2023: DOTH is waiting for SI's submission of the updated Project Plan/Implementation Schedule. Timely attention from both parties is imperative for the completion of this crucial deliverable at the earliest opportunity.

8/31/2023: DOTH is currently awaiting submission of the updated Project Plan/Implementation Schedule from SI.

9/30/2023: No major update. DOTH is currently in the process of awaiting the submission of the revised Project Plan/Implementation Schedule from SI.

10/31/2023: SI submitted the revised Project Plan/Implementation Schedule and DOTH is currently reviewing it.

11/30/2023: SI and DOTH held a few meetings to discuss the Project Plan/Implementation Schedule and worked together on work breakdown structures and resource assignments.

12/31/2023: SI and DOTH continue to work together to complete the Project Plan/Implementation Schedule.

1/31/2024: SI and DOTH held a few meetings and worked on the breakdown of structures/tasks, resource assignments, and deliverable dates to complete the Project Plan/Implementation Schedule.

2/29/2024: SI submitted the Project Plan/Implementation Schedule with a Go-Live date of 9/23/2024. DOTH is currently reviewing the Project Plan/Implementation Schedule and has identified unreasonable timelines, as well as inaccuracies in the percentage of completion and task dates.

3/31/2024: SI, ETS, and DOTH held meetings to review and discuss the Project Plan/Implementation Schedule that SI submitted last month. DOTH and ETS pointed out unfeasible timelines for tasks, resource assignments, Go-Live date, and an inaccurate percentage of deliverable completion.

4/30/2024: SI submitted an updated Project Plan/Implementation Schedule. During the subsequent review session, DOTH and ETS identified several issues, including unrealistic task timelines, incorrect sequencing of task dependencies (successor and predecessor relationships at the task level), an unrealistic Go-Live date, and the inaccurately reported percentages of deliverable completion.

5/31/2024: There have been no major updates. The updated Project Plan/Implementation Schedule is still being reviewed and updated by SI and DOTH.

6/30/2024: SI submitted the Project Plan/Implementation Schedule, which was updated mainly with task successor and predecessor relations. DOTH is currently in the process of reviewing it. However, there are still some elements that require fixing and completion, such as updating and finalizing start and finish dates, adding automatic scheduling logic, critical path, task durations, and percentages of deliverable completions.

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-220331-02**

The Go-Live date of Wave 2 for Budget and Planning (SBP) has not been set yet.

**Feedback/Mitigation/ Updates**

The Go-Live of Wave 2 for Budget and Planning (SBP) needs to be set as soon as possible because it impacts the project plan, resource scheduling, and project management. It is recommended to weigh the pros and cons of merging Wave 1 and Wave 2 given that there is significant delay in the project progress.

4/29/2022: No major updates. In accordance with meetings and discussions, it should be carefully considered that SBP goes live with other modules at once because it will eliminate any additional reconciliation process and streamline the whole end-to-end budget procedures if SBP goes live at the same time as FM.

5/31/2022: The issue of not discovering SBP functions and incorporating them into the current solution design was discussed again during the Project System PDD review. It is recommended that SBP functions and features need to be reviewed and considered when developing solution designs for Fund Management, Project System, FHWA requirements.

6/30/2022: No major updates.

7/31/2022: No major updates.

8/31/2022: No major updates.

9/30/2022: SI will provide additional information for SBP or its replacement application, because SBP is planned to be unsupported in the near future.

10/14/2022: SI stated that Wave 2 would start in November 2022. However, the Go-Live date of Wave 2 has yet to be determined.

11/15/2022: SI is working with DOTH resources and preparing for a Kickoff meeting.

12/21/2022: Wave 2 SBP Budgeting Kick-off meeting was held.

1/31/2023: SI is working on the Prepare Phase deliverables and preparing DOTH project team member training, however the Project Plan for Wave 2 has not been submitted yet and Go-Live date still has not been determined.

2/28/2023: SI provided training on 2/23/2023. No SBP project plan has been submitted to DOTH.

3/31/2023: SI submitted the Project Plan/Implementation Schedule for the Wave 2 Budget and Planning (SBP). It is being reviewed and updated.

4/30/2023: Project Plan/Implementation Schedule for Wave 2 is still being reviewed and updated.

5/31/2023: The Go-Live date of Wave 2 for Budget and Planning (SBP) will not be set until the Project Plan/Implementation Schedule for Wave 1 is completed.

6/30/2023: The Project Plan/Implementation Schedule for Wave 1 has not been completed. Therefore, the Go-Live date of Wave 2 for Budget and Planning (SBP) is not set.

7/31/2023: The Go-Live date of Wave 2 for Budget and Planning (SBP) has yet to be established because the H4 Project Team is waiting for the completion of the Project Plan/Implementation Schedule for Wave 1.

8/31/2023: No major updates.

9/30/2023: No major updates since the Wave 2 Go-Live date is dependent on the Wave I Project Plan/Implementation Schedule and no updated Wave I Project Plan/Implementation Schedule has been submitted.

10/31/2023: No major updates.


11/30/2023: SI and DOTH are collaborating on the review of the Project Plan/Implementation Schedule. Currently, they are working to resolve the issue of work breakdown structure and resource allocation.

12/31/2023: SI and DOTH are actively working together to address and rectify the issues related to the work breakdown structure and resource allocation for the Project Plan/Implementation Schedule.

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation

1/31/2024: The Go-Live date for Wave 2 of Budget and Planning (SBP) has not yet been determined. This is because the H4 Project Team is awaiting the completion of the Project Plan/Implementation Schedule for Wave 1 before finalizing the schedule for Wave 2.
 2/29/2024: SI submitted an updated Project Plan/Implementation Schedule for Wave 1 and DOTM is reviewing it.
 3/31/2024: SI, ETS, and DOTM held meetings to review and discuss the Project Plan/Implementation Schedule that SI submitted last month. DOTM and ETS pointed out unfeasible timelines for tasks, resource assignments, Go-Live date, and an inaccurate percentage of deliverable completion.
 4/30/2024: The review and update of the Project Plan/Implementation Schedule is still in progress. The Project Plan/Implementation Schedule has not been completed yet.
 5/31/2024: No major updates.
 6/30/2024: No major updates.

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation

| Risk | Impact |
|---|---|
| <p>ORI ID: R-231130-01 There is only one weekly meeting for each module to discuss and review deliverables, which may not be frequent enough nor provide adequate time and momentum for substantial project progress.</p> |  |
| <p>Feedback/Mitigation/ Updates</p> | |
| <p>It is recommended to review the project schedule and resource availability and, where deemed necessary, revise the meeting cadence to better align with the deliverable due dates. 12/31/2023: No major updates. 1/31/2024: More meetings were held for most modules where consultants were available. 2/29/2024: No more updates. 3/31/2024: In order to meet the proposed Go-Live date or to move the project along in general, more meetings should be held to speed up the project progress. 4/30/2024: Infrequent meetings make it difficult to maintain project momentum and to recall discussions and business decisions made previously. For instance, there were no HCM meetings this month, and the MVSO meeting occurred after a three-week gap. 5/31/2024: No major updates. 6/30/2024: No major updates.</p> | |

B. Subject Category: Resource Management

Resource Management: Observation, Risk, Issue and Feedback/Mitigation

Issue

ORI ID: I-230930-01

Two key consultants, the financial/integration lead and the HCM lead, left the H4 project in August 2023, and three more key consultants, the FM/GM consultant, the OCM lead, and the Infrastructure lead, departed in September 2023. These consultants have dedicated over two years of their expertise to the H4 project, and the transition process may not have been executed as thoroughly as needed to ensure a seamless transfer of responsibilities, knowledge preservation, and uninterrupted flow of operations within the team, primarily because their positions were left vacant after their departure from the project.

Impact



Feedback/Mitigation/Updates

To ensure project continuity and success, it is recommended that SI promptly assign new resources to fill these vacant positions, as well as any other essential roles that are still vacant from previous departures.

9/30/2023: After a thorough review and assessment, DOTM has declined SI's proposal to assign the current PS/FHWA consultant as the financial/integration lead. DOTM conducted an interview with the HR lead candidate proposed by SI but chose not to proceed with the candidate due to concerns raised by both the interview responses and the assessment.

10/31/2023: One additional consultant covering GL/AP/CO/FAMIS Interface left the project in October. SI is in the process of filling in the vacant positions and DOTM conducted interviews with a few candidates. It is observed that the immediate positions to fill are Financial/Integration Lead, OCM Lead, HCM Lead, FA, and GL/AP/CO/FAMIS Interface Consultant.

11/30/2023: The positions of the OCM lead and the HCM lead have been filled. Additionally, the timesheet consultant, who has prior experience working on the H4 project, will assist with knowledge transfer for a month. They are expected to join project meetings soon. The vacant positions to fill are Financial/Integration Lead, FA, and GL/AP/CO/FAMIS Interface Consultant. It is observed that knowledge transfer to the new consultant did not take place properly and DOTM had to reiterate its processes and requirements to the new consultant.

12/31/2023: Another consultant who is responsible for development lead left the H4 project.

1/31/2024: The following functional consultant positions -- Financial/Integration Lead, FA, and GL/AP/CO/FAMIS Interface Consultant -- remain vacant and they need to be filled as soon as possible.

2/29/2024: There have been no updates regarding the number of consultants with vacant positions. However, DOTM conducted a reference call for the GL/AP/CO/FAMIS Interface and OCM consultants.


3/31/2024: DOTM interviewed new financial and OCM consultant candidates suggested by SI. They started working this month.

4/30/2024: Financial/Integration Lead and FA positions still remain vacant. FA interview was conducted on 4/19/2024 and the candidate was approved by DOTM, but will not join meetings until May.


5/31/2024: A new FA consultant from SI has joined and begun participating in the H4 meetings. The role of the Financial/Integration Lead is vital for the project, as discussions and solution designs for each module appear to be currently conducted in a siloed manner. The project requires a resource capable of seamlessly integrating these disparate areas to ensure cohesive end-to-end functionality.

6/30/2024: The role of Financial/Integration Lead is not performed effectively and it is impacting various areas. For example, it has been observed that SI Leads could have miscommunicated or misinstructed, where SAP's generic data conversion template was used instead of the data conversion template that the H4 Project Team worked on during many FSD sessions.

C. Subject Category: Quality Management

| Quality Management: Observation, Risk, Issue and Feedback/Mitigation | |
|---|---|
| Issue | Impact |
| <p>ORI ID: I-231031-01</p> <p>Some deliverables continue to exhibit recurring issues, such as containing non-DOTH-related information and deviating from the DED, resulting in missing, incomplete, or incorrect information. These persistent issues, which have been previously highlighted, are causing delays in the deliverable review and approval process.</p> |  |
| Feedback/Mitigation/Updates | |
| <p>It is recommended that deliverables comply with approved DEDs and undergo thorough preparation, review, and proofreading by SI before submission to DOTH for review.</p> <p>11/30/2023: No major updates. 12/31/2023: No major updates.</p> <p>1/31/2024: No major updates.</p> <p>2/29/2024: A deliverable was submitted for review, but it contained errors and incomplete information. The document requires better organization and structure, and it should address the questions and comments provided by DOTH.</p> <p>3/31/2024: No major updates.</p> <p>4/30/2024: A Deliverable contained a noticeable error that can be easily avoided, e.g., referencing an incorrect client - State of Nevada.</p> <p>5/31/2024: It is continuously observed that other projects are referenced in the documents - e.g., SMART 21 Solution.</p> <p>6/30/2024: No major updates.</p> | |

D. Subject Category: Risk/Issue Management

| Risk/Issue Management: Observation, Risk, Issue and Feedback/Mitigation | |
|--|---|
| Issue | Impact |
| <p>ORI ID: I-221130-02</p> <p>Some items from Issue/Risk Log are being discussed without detailed resolution or follow-up.</p> |  |
| Feedback/Mitigation/Updates | |
| <p>The risks and issues of the H4 Project need to be more proactively managed and respective SMEs should be more engaged regarding the details to ensure the success of the project.</p> <p>12/31/2022: No major updates.</p> <p>1/31/2023: It is recommended that all outstanding issues and risks be discussed during the PMO meeting, not just new items.</p> <p>2/28/2023: No major updates.</p> <p>3/15/2023: There are 13 unresolved outstanding issues and one new issue found.</p> | |

Risk/Issue Management: Observation, Risk, Issue and Feedback/Mitigation

4/30/2023: Progress has been made, however there are items that are aging and a quicker follow up and resolution to those issues will help with the project timeline.

5/31/2023: There are 37 items that need to be reviewed - 15 resolved and 22 in progress. There are still old items that need follow up.

6/30/2023: There are 38 items that need to be reviewed - 15 resolved and 23 in progress. There are still old items that need follow up.

7/31/2023: There are 41 items that need to be reviewed - 15 resolved and 26 in progress. There are still old items that need follow up.

8/31/2023: There are 45 items that need to be reviewed - 19 resolved and 26 in progress. There are still old items that need follow up.

9/30/2023: There are 49 items that need to be reviewed - 21 resolved, 27 in progress, and 1 in new. It is recommended the all open issues are reviewed and resolved.

10/31/2023: There are 50 items that need to be reviewed - 23 resolved, 27 in progress, and 1 in new. It is recommended that all open issues, including older items, be reviewed and resolved.

11/30/2023: There are 50 items that need to be reviewed - 23 resolved and 27 in progress.

12/31/2023: There are 51 items that need to be reviewed - 25 resolved and 26 in progress.

1/31/2024: There are 55 items that need to be reviewed - 25 resolved and 30 in progress. It is recommended that all open issues, including older items, be reviewed and resolved.

2/29/2024: There are 55 items that need to be reviewed - 31 resolved and 24 in progress. It is recommended that all open issues, including older items, be reviewed and resolved.

3/31/2024: There are 57 items that need to be reviewed - 33 resolved and 24 in progress. It is recommended that all open issues, including older items, be reviewed and resolved.

4/30/2024: There are 59 items that need to be reviewed - 33 resolved and 26 in progress. It is recommended that all open issues, including older items, be reviewed and resolved.

5/31/2024: There are 60 items that need to be reviewed - 34 resolved and 26 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items should be checked to decrease any backlog.

6/30/2024: There are 61 items that need to be reviewed - 34 resolved and 27 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items should be checked to decrease any backlog.

E. Subject Category: Organization Change Management

Organization Change Management: Observation, Risk, Issue and Feedback/Mitigation

Observation

ORI ID: O-240525-03

OCM activities are limited because OCM is currently waiting on other deliverables, such as Project Plan, to be able to make progress.

Feedback/Mitigation/Updates

5/31/2024: OCM has provided an updated status that will be reflected in the Project Plan. OCM is identifying super users for CRP sessions and working on BPML.

6/30/2024: OCM has been preparing Realize and CRP Kickoff meetings and identifying CRP sessions participants.

F. Subject Category: Communication Management

Communication Management: Observation, Risk, Issue and Feedback/Mitigation

Issue

ORI ID: I-220131-08

There are some requirements and processes that impact multiple modules, including waterfall funding, FHWA, etc. However, information often are siloed and it seems to be not communicated to the other consultants frequently. This results in multiple consultants asking for the information on a same topic each time at different meetings. This item also impacts the subject category of Solution Design and Configuration.

Impact



Feedback/Mitigation/Updates

It is recommended: More coordination and collaboration is needed to design and develop an integrated solution. Proactively communicate with other consultants on topics that may be relevant for another consultant. Meeting recordings should be utilized to understand the relevant topic for the related process in another module. All key H4 Project Team members to attend the meetings related to critical core requirements such as waterfall funding.

Analyze each meeting's agenda to see if there are other consultants that should attend for related information.

2/28/2022: There is another consultant who is leaving the project and a replacement consultant has not participated in a meeting, and these turnovers are adding difficulty to the current communication issue.

3/31/2022: More collaboration is expected among SI consultants where it requires integrated solutions such as Waterfall Funding, FHWA Billing, Labor, etc. When DOTH staff inquiries about solutions that integrate across two or more functions between H4 modules, DOTH staff should also be provided with the integrated solution answer as opposed to separate or siloed bits of information of each H4 module.

4/29/2022: Efforts were made to improve communication and collaboration. (E.g., Rules of Engagement prepared by SI)

5/31/2022: Collaboration made progress. For example, some requirements that impact multiple areas have been referenced by multiple PDDs of different areas. However, there are still some communication improvements to be made between SI consultants.

6/30/2022: More coordination and collaboration could be made where cross module interaction is needed.

7/31/2022: More coordination and collaboration were present during the PDD reviews.

8/31/2022: Some DOTH requirements that were presented and discussed previously were asked to be revisited again in the meetings.

9/30/2022: Improvements still need to be made in communication and collaboration between SI consultants.

10/31/2022: Communication and collaboration still need to improve between SI consultants, especially with three consultants leaving the project.

11/30/2022: It has been observed that during FSD meetings information is not being shared between modules, including basic information which impacts multiple modules. Since this information is not being shared among SI team members, DOTH has to re-explain basic information multiple times.

12/31/2022: More communication and collaboration are needed for integrated solution design. There have been siloed activities and approaches observed.

1/31/2023: Designing an integrated solution for FHWA and other modules will require additional collaboration effort, teamwork, and cooperation. The issues of siloed information and ununified solution design are still observed between models and cross-business areas where tight integration is needed.

2/28/2023: It is observed that more communication and collaboration are still needed for an integrated solution design. DOTH is still not clear on the end-to-end FHWA System solution.

3/31/2023: The issue regarding an integrated solution design was brought up in a PMO meeting. It was decided that there will be an integration checklist developed to keep track of issues and action items coming out of meetings that impact integration of modules.

4/30/2023: It is observed that additional communication, collaboration, and comprehensive solution architecture are necessary to achieve a fully integrated solution design as there are information gaps between the modules where the transactions impact each other.

Communication Management: Observation, Risk, Issue and Feedback/Mitigation

5/31/2023: The lack of an integrated and comprehensive solution design still remains a concern. It is recommended that SI and DOTH work together to resolve this ongoing issue.

6/30/2023: There is an ongoing concern regarding the absence of an integrated and comprehensive solution design. When a meeting is held, it is recommended that all responsible parties join the meeting for best facilitation.

7/31/2023: Some progress has been made through consultants attending meetings of cross-functional areas for integration efforts. For a fully integrated solution design, continuous communication, collaboration, and comprehensive architecture are needed to bridge information gaps between modules and interdependent transactions.

8/31/2023: It is observed that some cross-module dependencies were not fully explored and they may not function as anticipated; inter-module discussion is needed. The challenges of isolated information and a fragmented solution design persist across modules and cross-business areas where seamless integration is crucial.

9/30/2023: Three additional key consultants have left the H4 project, specifically in the roles of FM/GM, OCM Lead, and Infrastructure Lead. This departure could potentially exacerbate the existing challenges related to integrated solution design, collaboration, and cohesive teamwork.

10/31/2023: Following the departure of five consultants in the last two months, another consultant responsible for GL, AP, CO, and FAMIS interface left the H4 project in October. This departure is exacerbating the ongoing challenges related to integrated solution design, collaboration, and cohesive teamwork.

11/30/2023: The challenges of siloed information and the need for a comprehensive solution design persist across various models and cross-business areas where seamless integration and collaboration are crucial. This issue is amplified with multiple resources leaving the project.

12/31/2023: Another development lead consultant left the H4 project in December after six other consultants departed in the last three months. This was a core position which was responsible for working on WRICEF items including cross-module functionalities, thus leading the development team. This departure is making it more difficult to design integrated solutions, collaborate, and work cohesively as a team.

1/31/2024: The challenges posed by working in a siloed manner persist, highlighting the necessity for a comprehensive solution design that spans various modules and cross-business areas. Additionally, the project still needs to fill key roles such as financial/integration lead and other functional and technical consultants, including areas for FA, AP, CO, GL, and WRICEFs.

2/29/2024: The absence of key roles such as the financial/integration lead and various consultants (FA, AP, CO, GL, WRICEFs) underscores the crucial need for a comprehensive integrated solution design that addresses multiple modules and challenges associated with working in silos.

3/31/2024: The persistent challenges arising from siloed work practices underscore the critical need for a holistic solution design with leadership and supervision that extends across multiple modules and interconnects various business domains to meet DOTH's end-to-end requirements.


4/30/2024: The ongoing challenges posed by isolated work practices highlight the urgent need for an integrated solution design. The solution design spans multiple modules and connects various business domains and in order to ensure DOTH's comprehensive requirements are met properly, apparent lack of project managements, leadership, and oversight need to be addressed and improved.

5/31/2024: The ongoing challenges resulting from siloed work practices persist, highlighting the urgent need for more effective and efficient project management, leadership, and integrated solutions.

6/30/2024: No major updates.

G. Subject Category: Requirement Management (Processes, Requirements and Fit/Gap)

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation

| Risk | Impact |
|--|---|
| <p>ORI ID: R-230228-01</p> <p>FSDs are prepared without in-depth discussion during the RTM and Fit/GAP. An FSD is a final document before the System configuration, therefore it should be as complete as possible. However, there are a lot of discoveries still being made during the FSD sessions.</p> |  |

Feedback/Mitigation/Updates

It is recommended that the H4 Project Team work on detailed and complete discovery of DOTH requirements without postponing any elements to development and testing. All the details should be discovered by the completion of FSDs. This also impacts Quality Management.

4/30/2023: There were some meetings where detailed information for configuration or reports was suggested to be discovered during the testing phase. It is recommended that all granular details be discovered and documented with the FSDs now rather than postponing until the integration testing. Developers need clear guidance on creating reports and customizing applications, which is why it's crucial for FSDs to be comprehensive and detailed.

5/31/2023: It is recommended that all detailed functional specifications be discussed, reviewed, agreed upon, and documented entirely before moving to the next task, such as Conference Room Pilot.

6/30/2023: Progress is being made on all modules. However, there are some FSDs that need to provide more details and more requirements; processes discussion is needed.

7/31/2023: No major updates.

8/31/2023: It is advisable to identify and document all specific details within FSDs at this stage rather than deferring them to the integration testing phase. Reviewing FSDs continues to pose difficulties due to the fragmented and isolated presentation of information. Furthermore, understanding the logic can be quite challenging, particularly due to the limited understanding of SAP processes and functions.

9/30/2023: No major updates.

10/31/2023: No major updates.

11/30/2023: SI has proposed an 80:20 rule for approving FSDs, suggesting that developers can commence customization with an 80% completion of FSD specifications. The reasoning is that evaluating the system through testing is more straightforward and clearer than reviewing extensive requirement specifications in documents. IV&V holds the opinion that it is crucial to identify and document all functional specifications meticulously. This approach is designed to mitigate the risk of potential errors, omissions, or the necessity for rework in subsequent phases of the project.

12/31/2023: No major updates as fewer meetings are taking place due to resource departures.

1/31/2024: A thorough discovery of processes and requirements for FM, GM, and FHWA is currently underway.

2/29/2024: No major updates.

3/31/2024: No major updates.

4/30/2024: Progress is being made, however some discovery details and discussions from meetings and FSDs need to be documented better or some inquiries need to receive complete responses.

5/31/2024: No major updates. There are still over 40 FSDs remaining to be submitted by SI and continued effort is needed to capture all the details for the requirements.

6/30/2024: No major updates. There has been very little activity with FSDs.

H. Subject Category: Solution Design and Configuration

Solution Design and Configuration: Observation, Risk, Issue and Feedback/Mitigation

Observation

ORI ID: O-230524-01

There was a disagreement on the level of detail and how to review and confirm the Configuration Design Document (CDD). DOTM had questions on the CDDs, however not all modules contained detailed enough answers for DOTM to understand them.

Feedback/Mitigation/Updates

SI will do a walkthrough of the Configuration Design Document with DOTM in the upcoming meetings. It is recommended that SI provide enough details in CDDs and in responses to the questions for DOTM to be able to understand the concept of the design and to be able to do maintenance in the future.

6/30/2023: CDD review meetings have not been scheduled or held yet.

7/31/2023: It is recommended that SI and DOTM review CDDs as soon as possible because a CDD validates the baseline setup for the requirements met by the H4 standard functionalities.

8/31/2023: No major updates.

9/30/2023: No major updates.

10/31/2023: No activities related to CDD occurred.

11/30/2023: No major updates.

12/31/2023: It is recommended that DOTM and SI conduct a review and validation of CDDs alongside FSDs because over 480 requirements are met by the H4 standard functionalities.

1/31/2024: No major updates.

2/29/2024: No activities related to CDD occurred.

3/31/2024: No major updates.

4/30/2024: No major updates.

5/31/2024: No major updates.

6/30/2024: No major updates.

Solution Design and Configuration: Observation, Risk, Issue and Feedback/Mitigation

Risk

Impact

ORI ID: R-231231-01

It is observed that technical consultants generally do not participate directly in FSD meetings.



Solution Design and Configuration: Observation, Risk, Issue and Feedback/Mitigation

Feedback/Mitigation/ Updates

It is recommended that technical consultants also participate in FSD meetings to ensure the technical consultants have a uniform understanding of requirements together with the SI functional consultants and DOTM SMEs. Facilitating direct communication could help minimize the need for rework or fixes during system configuration and implementation caused by misunderstandings of development requirements.

1/31/2024: No major updates.

2/29/2024: No major updates.

3/31/2024: No major updates.

4/30/2024: A technical consultant has begun participating in report FSD sessions, assisting and collaborating with functional consultants to review and complete Report FSDs. It is recommended that the technical consultant expands meeting attendance to other FSD meetings besides reports to ensure uniform understanding of the requirements.

5/31/2024: A technical consultant attended the FSD report meetings. It is recommended that technical consultants be directly involved in other types of FSD meetings as well.

6/30/2024: No major updates.

I. Subject Category: Reports and Analytics

Reports and Analytics: Observation, Risk, Issue and Feedback/Mitigation

| Risk | Impact |
|------|--------|
|------|--------|

ORI ID: R-221130-03

RTM and FSD are being prepared without in-depth reports discussion and Analysis of Reporting Requirements (ARR) does not provide sufficient information to cover all the details of the reports. Reports are often the final desired outcome of an activity and detail discovery is essential.



Feedback/Mitigation/Updates

It is recommended that SI conduct detailed discovery of DOTM reports to ensure all the necessary information for input and output are covered.

12/31/2022: During the FSD discussions, additional details that need to be on the reports have been discovered.

1/31/2023: H4 Project Team is having deep-dive discussions on WRICEF's requirements, processes, and functional specifications.

2/28/2023: Reports WRICEF FSDs are being reviewed and new discoveries are being made. FSDs are being updated based on discussions.

3/31/2023: New discoveries on reports requirements continue to be found.

4/30/2023: Reports are constantly undergoing new discoveries.

5/31/2023: Further details about the reports have been uncovered and discussed.

6/30/2023: WRICEF Reports are being discussed during the FSD sessions but other standard reports in H4 also need to be reviewed.

7/31/2023: While WRICEF Reports are reviewed and discussed, it is equally essential to examine the standard reports within H4.

8/31/2023: A few standard reports for AP were reviewed during the FSD meetings. Standard report review activities should continue throughout all modules.


9/30/2023: WRICEF Reports discussions are making incremental progress during the FSD sessions but some standard reports in H4 are still not explored carefully and they should be reviewed to ensure standard reports can satisfy the requirements.

Reports and Analytics: Observation, Risk, Issue and Feedback/Mitigation

10/31/2023: It is observed that detailed information for some report requirements is still missing and a comprehensive report analysis is still needed.
 11/30/2023: Some reports are still undergoing more discoveries; for example, the details for MVSO report requirements, which require the FHWA waterfall funding table update, have been discussed for the first time. All detailed requirements must be thoroughly reviewed and documented properly.
 12/31/2023: Reports discussions are continuing and finding additional details for the requirements.
 1/31/2024: Discussions regarding reports are ongoing; meanwhile, further details about the requirements are being discovered.
 2/29/2024: No major updates.
 3/31/2024: No additional reports-related FSDs were submitted nor standard reports were discussed.
 4/30/2024: Discussions about the reports including FSDs continue, and new details about the requirements are emerging.
 5/31/2024: Discussions regarding the reports are in progress, and additional details about the report requirements are being revealed.
 6/30/2024: The H4 Project Team is currently discussing the reports in various modules and discovering more details about the requirements.

J. Subject Category: Data Conversion

Data Conversion: Observation, Risk, Issue and Feedback/Mitigation

| Risk | Impact |
|--|---|
| <p>ORI ID: R-221130-04 Data Conversion strategy and plan documents have not covered the details such as source/target, cleansing, dependencies, and validations. These activities have been deferred to the Realize Phase from the Explore Phase causing delays, rework, or additional work later. WRICEF and detailed data conversion work deferred from the Explore Phase are discussed and performed during FSD sessions.</p> |  |

Feedback/Mitigation/Updates

It is recommended to catch up on work deferred from the Explore Phase and to explore Data Conversion materials in detail to finalize the Data Conversion WRICEF in FSD.
 12/31/2022: Data conversion discussions are making progress. However, familiarity of H4 terminologies, functions, and processes by DOTD will be needed to adequately review and complete data conversion FSDs.
 1/31/2023: FSD meetings are continuously being held to review data conversion specifications, especially to identify source of data that needs to be extract from.
 2/28/2023: Data conversion discussions have been held and are making progress.
 3/31/2023: It is observed that more explanation and data conversion details, such as sequences and impacts of data conversion upload from various modules, need to be provided by SI for DOTD's better understanding and preparation.
 4/30/2023: As FSDs and data conversion are being reviewed, new information about data conversion is constantly being discovered and revealed. However, it is important to note that certain details should have been discussed and clarified during the Explore Phase.
 5/31/2023: More details and information regarding Data conversion have been found and discussed.
 6/30/2023: AR Customer and GL data conversion FSD were discussed, reviewed, and submitted for questions and comments. Data conversion needs to be performed in an integrated manner and it is recommended that various modules engage in integration discussion for a successful data conversion.
 7/31/2023: No major updates.

Data Conversion: Observation, Risk, Issue and Feedback/Mitigation

8/31/2023: Several FM data conversion meetings were convened, during which it became evident that fostering enhanced direct communication among cross-functional business areas was imperative. Consequently, it is recommended that various module leads actively engage in collaborative discussions to guarantee a seamless and successful data conversion process.

9/30/2023: The data conversion meetings were held to discuss PS Master Data Conversion, AR Customer Data Conversion, and sample overall Data Conversion Schedule. Some modules have overlapping data and it is recommended to have more collaborations with integration in mind to avoid any inaccurate balances.

10/31/2023: Several data conversion meetings were conducted to address data conversion sources, mapping, rules, and journals. Nevertheless, it has been observed that further effort and in-depth analysis are required to address the intricacies of data integration points across modules.

11/30/2023: Data conversion meetings were held to discuss PS Master Data Conversion, AR Customer Data Conversion, and AR Open Invoice Data Conversion. Solution designs and requirements were reviewed and discussed.

12/31/2023: No major updates.

1/31/2024: Several PS Master Data conversion meetings were held, during which time data mapping and sources were discussed and reviewed to ensure comprehensive data migration.

2/29/2024: Data conversion meetings are ongoing.

3/31/2024: PS Master data conversion meetings were held. It is recommended that more data conversion meetings be held for other modules as well.

4/30/2024: PS Master data conversion meetings were held and PO data conversion discussions took place to continue developing related FSDs.

5/31/2024: A high-level budget data conversion was discussed during the budget process meetings.

6/30/2024: The data conversion meetings for various areas such as AR, FM, GM, and FA were held, during which, additional details regarding the requirements were discovered and discussed.

K. Subject Category: Documentation

Documentation: Observation, Risk, Issue and Feedback/Mitigation

Issue

ORI ID: I-221130-03

It is observed that meeting minutes or action items from the project discussions are not always provided. To-Do lists and summaries of the meetings may have been gathered on individual levels, but this makes it difficult to track the progress as a project team and also challenging to collaborate between the H4 Project Team members.

Impact



Feedback/Mitigation/Updates

It is recommended to prepare meeting summaries and/or to-do lists from the meetings to efficiently prepare, plan, and navigate the follow up activities and hold efficient meetings.

12/31/2022: No major updates.

1/31/2023: PMO meeting minutes and agenda for weekly standing meetings have been provided. It will help to have meeting minutes for other Realize Phase meetings as well.

Documentation: Observation, Risk, Issue and Feedback/Mitigation

2/28/2023: Meeting minutes are required to track action items and to-do tasks. For example, PO match options, H4 values for FAMIS project/Ph/Act fields, Workflow routings, source/object codes, fixed asset funds, payroll accounting entries, etc. Currently, it is difficult to track who needs to perform what task by when without meeting minutes.

3/31/2023: A document such as meeting minutes or an action items list should be compiled after each meeting--as opposed to each individual tracking their own tasks--to share with DOTH and have a cohesive follow up for the various meetings that are taking place.

4/30/2023: No major updates. It is recommended that DOTH and SI develop a standardized procedure for meeting minutes or task lists to track action items effectively.

5/31/2023: Some progress has been made, but it is recommended that meeting minutes and action items be shared on a centralized platform like Teams and ensure they are monitored and followed up.

6/30/2023: No major updates.

7/31/2023: It is recommended to distribute meeting minutes via Word documents and gather action items of various modules in one place using master tracking Excel sheets with details such as due dates and responsible parties through the centralized Teams platform while also ensuring vigilant oversight and prompt follow-up.

8/31/2023: No major updates.

9/30/2023: No major updates.

10/31/2023: It is recommended to establish a process to manage and distribute meeting notes, consolidate action items from various modules, and document critical business decisions made during discussion sessions. This will facilitate efficient oversight, streamline task management, enhance accountability, support prioritization, and guarantee timely follow-up on critical action items.

11/30/2023: No major updates.

12/31/2023: It is recommended to document major business decisions and establish/maintain a comprehensive master list of business decisions covering all modules. This proactive measure aims to prevent unnecessary rediscovery and redundant discussions, contributing to enhanced efficiency in meetings and communication.

1/31/2024: No major updates.

2/29/2024: Meeting minutes and follow-up lists are becoming increasingly vital due to the infrequent occurrence of meetings. It is challenging to recall the discussions and decisions made during these meetings without proper documentation.

3/31/2024: No progress has been made.

4/30/2024: The lack of meeting minutes is noticeable, and multiple discussion points have to be revisited. To streamline the meetings, it is highly recommended that meeting minutes be generated and business decisions logged.

5/31/2024: Meeting minutes were created for one of this month's meetings, which was helpful in tracking progress. It is recommended that meeting minutes and business decisions be documented for all meetings.

6/30/2024: No progress has been made.

Documentation: Observation, Risk, Issue and Feedback/Mitigation

Issue

Impact

ORI ID: I-230930-01

It is observed that some conditionally approved deliverables are not currently up-to-date, especially PDDs.



Documentation: Observation, Risk, Issue and Feedback/Mitigation

Feedback/Mitigation/Updates

It is recommended to update conditionally approved PDDs, considering the changes and corrections that have been identified and discussed during the H4 deliverable meetings.

10/31/2023: As new consultants join the H4 project and familiarize themselves with DOTH's processes and requirements, it is suggested that all consultants review, understand, and update the previous documents including PDDs with the most up to date information in collaboration with DOTH to ensure that all details are properly understood and captured.

11/30/2023: FM PDDs are being reviewed and discussed during the FM meetings.

12/31/2023: FM PDDs are currently undergoing review and discussion in the FM meetings and knowledge transfer to the new FM consultant is taking place. It is recommended that DOTH take full advantage of discussing Process Design Documents as a business process improvement opportunity to ensure that the new processes and functionalities of H4 will enhance DOTH's current business processes and staff efficiency without necessitating additional resources or work from DOTH compared to the current systems such as HWYAC and AS400.

1/31/2024: The reviews for the FM and GM PDDs are currently ongoing and making progress.

2/29/2024: Several process flows within the PDDs are currently under review and discussion. The progress of these reviews is ongoing.

3/31/2024: No major updates.

4/30/2024: The review of process flows is ongoing to ensure their accuracy, with updates being correctly incorporated into the PDD.

5/31/2024: The reviews for the FM processes and FA PDDs are currently ongoing and progressing.

6/30/2024: DOTH highlighted in a few meetings that certain PDDs still contain inaccurate information and require updates to prevent any confusion.

L. Subject Category: Training and Knowledge Transfer

Training and Knowledge Transfer: Observation, Risk, Issue and Feedback/Mitigation

Issue

ORI ID: I-221031-01

DOTH project team members have not been sufficiently provided instruction and training to actively access H4 and familiarize themselves with H4 functions and processes.

Impact



Feedback/Mitigation/Updates

It is recommended that SI provide training and instruction on how to navigate and process basic transactions so that the DOTH project team members can be more experienced with H4 and get ready for the System testing, verification, and validation.

11/15/2022: No major updates. It is recommended that DOTH test availability of Dev environment from on and off DOTH network.

12/21/2022: Orientation meeting for Subject Matter Leader Knowledge Transfer was held. No dates for the trainings have been set yet.

1/31/2023: Weekly standing meetings have been started to provide DOTH project team member trainings.

2/28/2023: Knowledge Transfer sessions are taking place and training is being provided. However, it is observed that there is a lack of instruction (training material) for the training sessions.


3/31/2023: DOTH requested many times for documented training material to be provided for Knowledge Transfer sessions and SI is working on it.

Training and Knowledge Transfer: Observation, Risk, Issue and Feedback/Mitigation

4/30/2023: There have been additional discussions during PMO meetings for DOTH project team member training materials and SI will follow up on it.
 5/31/2023: No major updates. 6/30/2023: No major updates.
 7/31/2023: No major updates. 8/31/2023: No major updates.
 9/30/2023: No major updates. Although some level of informal training occurs during FSD meetings, it remains challenging to grasp and follow without the availability of adequate training materials.
 10/31/2023: No major updates.
 11/30/2023: No major updates.
 12/31/2023: It has been observed that Subject Matter Experts (SMEs) are encountering difficulties in understanding crucial H4 functions and processes due to the absence of DOTH project team training materials and training, which impedes the review of FSDs and other deliverables. Without adequate DOTH project team training and materials, there will be a risk that the issue may persist and resurface.
 1/31/2024: Only one Knowledge Transfer (KT) session for HCM was held with supporting documents that included screenshots of data entries.
 2/29/2024: Insufficient training and the absence of training materials persist as significant challenges affecting the project. Due to this, the DOTH project team members are unable to effectively engage in meetings and understand how the H4 system meets the requirements. This lack of familiarity with the H4 system hinders their ability to contribute meaningfully to project discussions.
 3/31/2024: No progress has been made.
 4/30/2024: No progress has been made.
 5/31/2024: No progress has been made.
 6/30/2024: No progress has been made. DOTH pointed out in meetings that they still do not understand some of SI's solutions and are having difficulty following meetings and discussions.

M. Subject Category: Production Migration

Production Migration: Observation, Risk, Issue and Feedback/Mitigation

| Issue | Impact |
|---|---|
| <p>ORI ID: I-211028-07 The Initial Deployment Plan was delayed and has not been completed.</p> |  |
| Feedback/Mitigation/Updates | |
| <p>It is recommended that SI complete the deliverable as soon as possible. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: No major updates. 5/31/2022: No major updates. 6/30/2022: No major updates. 7/31/2022: No major updates. 8/31/2022: No major updates. 9/30/2022: No major updates. 10/31/2022: SI stated that they will follow up and get back to DOTH with updates. 11/30/2022: No major updates.</p> | |

Production Migration: Observation, Risk, Issue and Feedback/Mitigation

12/31/2022: The Initial Deployment Plan still has not been submitted to DOTH.

1/31/2023: No major updates. 2/28/2023: No major updates. 3/31/2023: No major updates. 4/30/2023: No major updates. 5/31/2023: No major updates.

6/30/2023: No major updates. 7/31/2023: No major updates.

8/11/2023: SI submitted the DED.

9/30/2023: No major updates.

10/31/2023: DED is approved.

11/30/2023: No major updates.

12/31/2023: No major updates.

1/31/2024: No major updates.

2/29/2024: No major updates.

3/31/2024: No major updates.

4/30/2024: No major updates.

5/31/2024: SI submitted Initial Deployment Plan on 5/16 and DOTH is reviewing it for questions and comments.

6/30/2024: DOTH has reviewed the initial deployment plan, responded with comments, and has requested a revised document that includes comprehensive responses and complete details.

IV. Meetings and Discussions Participated for the Month of June 2024

| Meetings and Discussions | | | |
|--------------------------|--------------|---|---|
| Meeting ID | Meeting Date | Meeting Title | Meeting Description |
| M240603-1 | 6/3/2024 | Discuss Fixed Assets | A meeting was held to review and discuss CRP scripts. |
| M240605-1 | 6/5/2024 | Weekly FM Budgeting Discussion | A meeting was held to review and discuss the O&M budget process flows and fund centers, accompanied by demonstrations. |
| M240605-2 | 6/5/2024 | Discuss GL/AP | A meeting was held to review GL and AP reports. |
| M240606-1 | 6/6/2024 | Internal PMO | An internal DOTM meeting was held to discuss current issues of the project. |
| M240606-2 | 6/6/2024 | FMS weekly PMO Huddle | A Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M240606-3 | 6/6/2024 | Weekly Federal Billing & Project Systems Discussion | A meeting was held to discuss and review project numbering, CMIA, and CRP scenarios. |
| M240606-4 | 6/6/2024 | Weekly AR Discussion | A meeting was held to review Customer Merge and AR processes. |
| M240607-1 | 6/7/2024 | Discuss PE10 and ROW20 reports | An internal DOTM meeting was held to discuss PE10 and ROE20 reports. |
| M240607-2 | 6/7/2024 | Discuss H4 FA reports | A meeting was held to review and discuss FA reports, Month/Year End closing, disposal, and transfer processes. |
| M240610-1 | 6/10/2024 | Discuss Knowledge Transfer | A meeting was held to discuss KT plan and status. |
| M240610-2 | 6/10/2024 | Discuss GL/AP | A meeting was held to review GL and AP reports. |
| M240610-3 | 6/10/2024 | Discuss Fixed Assets | A meeting was held to discuss Leased Fixed Asset and Lease Purchase Report FSDs. |
| M240610-4 | 6/10/2024 | Logistics Weekly Connect | A meeting was held to review and discuss Purchase Requisition/Orders print: Exempt, Sole Source, and Open Ended Contract and PO Vendor processes. |
| M240612-1 | 6/12/2024 | Weekly MVSO GM Discussion | A meeting was held to discuss NHTSA Grants Pass Thru Schedule. |
| M240612-2 | 6/12/2024 | Internal PMO | An internal DOTM meeting was held to discuss current issues of the project. |
| M240612-3 | 6/12/2024 | Weekly FM Budgeting Discussion | A meeting was held to review and discuss O&M Budget process flows: A-01, Expenditure Plan, A-19 and A-21. |
| M240613-1 | 6/13/2024 | FMS weekly PMO Huddle | A Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M240613-2 | 6/13/2024 | Weekly Federal Billing & Project Systems Discussion | A meeting was held to discuss and review CMIA Clearance Pattern, CRP scenarios, and FHWA processes. |
| M240613-3 | 6/13/2024 | Weekly AR Discussion | A meeting was held to review Customer Merge, Damage Claim invoices, and Customer data conversion. |
| M240614-1 | 6/14/2024 | Discuss CRPs & KT - TM, PA and PR | A meeting was held to discuss and review CRP scenarios. |

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| Meetings and Discussions | | | |
|---------------------------------|---------------------|---|--|
| Meeting ID | Meeting Date | Meeting Title | Meeting Description |
| M240614-2 | 6/14/2024 | Logistics Weekly Connect | A meeting was held to review and discuss consolidating reports in Change Order, PR/PO printing, and Purchase Requisitions: Exempt, Sole Source, and Open Ended Contract. |
| M240614-3 | 6/14/2024 | Cont'd - Discuss GL - AP | A meeting was held to review GL and AP reports - FAMIS reconciliation report. |
| M240617-1 | 6/17/2024 | Discuss Fixed Assets | A meeting was held to discuss Disposal process, Certificate of Disposal, and Disposal Application. |
| M240618-1 | 6/18/2024 | Project Plan | A meeting was held to discuss the project plan. |
| M240618-2 | 6/18/2024 | Discuss GL/AP | A meeting was held to review COA, Payroll and Work Order Equipment Cost Distribution Recon report, HEN reports, and Trial Balance. |
| M240619-1 | 6/19/2024 | Weekly MVSO GM Discussion | A meeting was held to discuss HEN reports. |
| M240619-2 | 6/19/2024 | Weekly FM Budgeting Discussion | A meeting was held to review and discuss O&M Budget process flows, Budget to JA process, and data conversion: A-01, Expenditure Plan, A-19, and A-21. |
| M240619-3 | 6/19/2024 | Discuss CRPs & KT - TM, PA and PR | A meeting was held to discuss and review process flows for CRP. |
| M240620-1 | 6/20/2024 | Internal PMO | An internal DOTM meeting was held to discuss current issues of the project. |
| M240620-2 | 6/20/2024 | FMS weekly PMO Huddle | A Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M240620-3 | 6/20/2024 | Weekly AR Discussion | A meeting was held to review Customer data conversion template. |
| M240620-4 | 6/20/2024 | Cont'd - Discuss Fixed Assets & FA data conversion | A meeting was held to discuss Fixed Asset data conversion, mapping, and data sources, accompanied by some demonstrations. |
| M240621-1 | 6/21/2024 | Weekly Federal Billing & Project Systems Discussion | A meeting was held to discuss and review CRP scenarios. |
| M240621-2 | 6/21/2024 | Logistics Weekly Connect | A meeting was held to review and discuss Vendor conversion and CRP scripts and process flows. |
| M240621-3 | 6/21/2024 | Discuss HEN Reports | A meeting was held to review and discuss HEN reports. |
| M240625-1 | 6/25/2024 | Review FA Process Flows | A meeting was held to review and discuss Disposal process. |
| M240625-2 | 6/25/2024 | Internal review - CRP & Realize presentation | An internal DOTM meeting was held to review and discuss CRP & Realization presentation slides. |
| M240626-1 | 6/26/2024 | Review Kickoff Presentations - CRP & Realize | A meeting was held to review and discuss the Kickoff presentation slides. |
| M240626-2 | 6/26/2024 | Discuss CRPs & KT - TM, PA and PR | A meeting was held to discuss and review the payroll process and mapping to GL codes. |
| M240627-1 | 6/27/2024 | Internal PMO | An internal DOTM meeting was held to discuss current issues of the project. |

Section: Meetings and Discussions Participated for the Month of June 2024

| Meetings and Discussions | | | |
|---------------------------------|---------------------|---|---|
| Meeting ID | Meeting Date | Meeting Title | Meeting Description |
| M240627-2 | 6/27/2024 | FMS weekly PMO Huddle | A Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M240627-3 | 6/27/2024 | Weekly Federal Billing & Project Systems Discussion | A meeting was held to discuss and review CRP scenario, accompanied by demonstration: new In-Kind project, In-Kind Bank, Statistical Key Figures, Funded Program, and reports. |
| M240627-4 | 6/28/2024 | Logistics Weekly Connect | A meeting was held to review and discuss Purchase Requisitions: Exempt, Sole Source, and Open Ended Contract. |

V. IV&V Deliverables and Reports Completed

| IV&V Deliverables and Reports Completed | | | | | |
|---|--|--|------------------|-----------------|------|
| IV&V ID | IV&V Deliverable Name | SI Deliverable Name | SI Wave / Seq ID | Submission Date | Note |
| IVV1.0 | IV&V Management Plan | N/A | N/A | 4/20/2021 | |
| IVV2.0 | IV&V Project Schedule | N/A | N/A | 4/20/2021 | |
| IVV5.0 | Verification and Validation of Project Deliverables – Issue and Risk Management Strategy | Issue and Risk Management Strategy | Wave 1 / #5, #6 | 4/24/2021 | |
| IVV3.01 | IV&V Mid-Month Assessment (May 2021) | N/A | N/A | 5/14/2021 | |
| IVV4.01 | Monthly Project Assessment Report (May 2021) | N/A | N/A | 6/3/2021 | |
| IVV5.01 | Verification and Validation of Project Deliverables – Project Charter | Project Charter | Wave 1 / #2 | 6/2/2021 | |
| IVV3.02 | IV&V Mid-Month Assessment (Jun 2021) | N/A | N/A | 6/17/2021 | |
| IVV4.02 | Monthly Project Assessment Report (Jun 2021) | N/A | N/A | 7/11/2021 | |
| IVV3.03 | IV&V Mid-Month Assessment (Jul 2021) | N/A | N/A | 8/2/2021 | |
| IVV4.03 | Monthly Project Assessment Report (Jul 2021) | N/A | N/A | 8/13/2021 | |
| IVV3.04 | IV&V Mid-Month Assessment (Aug 2021) | N/A | N/A | 9/5/2021 | |
| IVV4.04 | Monthly Project Assessment Report (Aug 2021) | N/A | N/A | 9/21/2021 | |
| IVV3.05 | IV&V Mid-Month Assessment (Sep 2021) | N/A | N/A | 10/2/2021 | |
| IVV5.03 | Verification and Validation of Project Deliverables - Business Process Organizational Change Management (OCM) Plan | Business Process Organizational Change Management (OCM) Plan | Wave 1 / #12 | 10/6/2021 | |
| IVV5.05 | Verification and Validation of Project Deliverables - Communication Plan | Communication Plan | Wave 1 / #8 | 10/6/2021 | |
| IVV4.05 | Monthly Project Assessment Report (Sep 2021) | N/A | N/A | 10/9/2021 | |
| IVV3.06 | Mid-Month Assessment (Oct 2021) | N/A | N/A | 10/19/2021 | |
| IVV5.06 | Verification and Validation of Project Deliverables - Chart of Accounts Design | Chart of Accounts Design | Wave 1 / #11 | 10/25/2021 | |
| IVV5.08 | Verification and Validation of Project Deliverables - Enterprise Structure Design Documents | Enterprise Structure Design Documents | Wave 1 / #17 | 10/27/2021 | |
| IVV4.06 | Monthly Project Assessment Report (Oct 2021) | N/A | N/A | 11/8/2021 | |
| IVV5.07 | Verification and Validation of Project Deliverables - Master Data Design Documents | Master Data Design Documents | Wave 1 / #18 | 11/8/2021 | |

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| IV&V Deliverables and Reports Completed | | | | | |
|--|--|--------------------------------------|-------------------------|------------------------|-------------|
| IV&V ID | IV&V Deliverable Name | SI Deliverable Name | SI Wave / Seq ID | Submission Date | Note |
| IVV5.13 | Verification and Validation of Project Deliverables - End User Training Strategy | End User Training Strategy | Wave 1 / #19 | 11/19/2021 | |
| IVV3.07 | Mid-Month Assessment (Nov 2021) | N/A | N/A | 11/30/2021 | |
| IVV5.15 | Verification and Validation of Project Deliverables - Interface Plan | Interface Plan | Wave 1 / #21 | 12/2/2021 | |
| IVV4.07 | Monthly Project Assessment Report (Nov 2021) | N/A | N/A | 12/17/2021 | |
| IVV3.08 | Mid-Month Assessment (Dec 2021) | N/A | N/A | 1/2/2022 | |
| IVV4.08 | Monthly Project Assessment Report (Dec 2021) | N/A | N/A | 1/20/2022 | |
| IVV5.09 | Verification and Validation of Project Deliverables – Data Conversion Plan | Data Conversion Plan | Wave 1 / #22 | 1/31/2022 | |
| IVV4.09 | Monthly Project Assessment Report (Jan 2022) | N/A | N/A | 2/15/2022 | |
| IVV5.16 | Verification and Validation of Project Deliverables - Technical Infrastructure Plan/Design | Technical Infrastructure Plan/Design | Wave 1 / #24 | 2/23/2022 | |
| IVV3.10 | Mid-Month Assessment (Feb 2022) | N/A | N/A | 3/1/2022 | |
| IVV4.10 | Monthly Project Assessment Report (Feb 2022) | N/A | N/A | 3/11/2022 | |
| IVV3.11 | Mid-Month Assessment (Mar 2022) | N/A | N/A | 3/27/2022 | |
| IVV4.11 | Monthly Project Assessment Report (Mar 2022) | N/A | N/A | 4/15/2022 | |
| IVV3.12 | Mid-Month Assessment (Apr 2022) | N/A | N/A | 4/25/2022 | |
| IVV4.12 | Monthly Project Assessment Report (Apr 2022) | N/A | N/A | 5/17/2022 | |
| IVV3.13 | Mid-Month Assessment (May 2022) | N/A | N/A | 5/28/2022 | |
| IVV4.13 | Monthly Project Assessment Report (May 2022) | N/A | N/A | 6/17/2022 | |
| IVV3.14 | Mid-Month Assessment (Jun 2022) | N/A | N/A | 6/27/2022 | |
| IVV4.14 | Monthly Project Assessment Report (Jun 2022) | N/A | N/A | 7/20/2022 | |
| IVV3.15 | Mid-Month Assessment (Jul 2022) | N/A | N/A | 8/3/2022 | |
| IVV4.15 | Monthly Project Assessment Report (Jul 2022) | N/A | N/A | 8/18/2022 | |
| IVV3.16 | Mid-Month Assessment (Aug 2022) | N/A | N/A | 8/29/2022 | |
| IVV4.16 | Monthly Project Assessment Report (Aug 2022) | N/A | N/A | 9/16/2022 | |
| IVV3.17 | Mid-Month Assessment (Sep 2022) | N/A | N/A | 9/29/2022 | |

Section: IV&V Deliverables and Reports Completed

STATE OF HAWAII, DEPARTMENT OF TRANSPORTATION, HIGHWAYS DIVISION

| IV&V Deliverables and Reports Completed | | | | | |
|--|--|------------------------------------|-------------------------|--------------------------|---|
| IV&V ID | IV&V Deliverable Name | SI Deliverable Name | SI Wave / Seq ID | Submission Date | Note |
| IVV4.17 | Monthly Project Assessment Report (Sep 2022) | N/A | N/A | 10/20/2022 | |
| IVV3.18 | Mid-Month Assessment (Oct 2022) | N/A | N/A | 10/27/2022 | |
| IVV5.18 | Verification and Validation of Project Deliverables - Functional Specification Documents | Functional Specification Documents | Wave 1 / #27 | 11/17/2022 to 11/30/2023 | 140 Functional Specification Documents were reviewed. 44 more documents by SI remain to be submitted to DOTD. |
| IVV4.18 | Monthly Project Assessment Report (Oct 2022) | N/A | N/A | 11/20/2022 | |
| IVV5.14 | Verification and Validation of Project Deliverables – Process Design Documents (PDD) | Process Design Documents | Wave 1 / #20 | 11/23/2022 | 48 Process Design Documents were reviewed. |
| IVV3.19 | Mid-Month Assessment (Nov 2022) | N/A | N/A | 12/5/2022 | |
| IVV4.19 | Monthly Project Assessment Report (Nov 2022) | N/A | N/A | 12/20/2022 | |
| IVV3.20 | Mid-Month Assessment (Dec 2022) | N/A | N/A | 1/6/2023 | |
| IVV4.20 | Monthly Project Assessment Report (Dec 2022) | N/A | N/A | 1/23/2023 | |
| IVV5.12 | Verification and Validation of Project Deliverables - Requirements Traceability Matrix | Requirements Traceability Matrix | Wave 1 / #16 | 2/2/2023 | |
| IVV3.21 | Mid-Month Assessment (Jan 2023) | N/A | N/A | 2/4/2023 | |
| IVV4.21 | Monthly Project Assessment Report (Jan 2023) | N/A | N/A | 2/24/2023 | |
| IVV5.27 | Verification and Validation of Project Deliverables - Environment Preparation (Quality) | Environment Preparation (Quality) | Wave 1 / #45 | 3/20/2023 | |
| IVV4.22 | Monthly Project Assessment Report (Feb 2023) | N/A | N/A | 3/22/2023 | |
| IVV5.17 | Verification and Validation of Project Deliverables - Document Fit/Gap Analysis | Document Fit/Gap Analysis | Wave 1 / #25 | 3/29/2023 | |
| IVV5.54 | Verification and Validation of Project Deliverables - Project Team Training Plan | Project Team Training Plan | Wave 2 / #9 | 4/26/2023 | |

Section: IV&V Deliverables and Reports Completed

STATE OF HAWAII, DEPARTMENT OF TRANSPORTATION, HIGHWAYS DIVISION

| IV&V Deliverables and Reports Completed | | | | | |
|--|--|--|-------------------------|------------------------|-------------|
| IV&V ID | IV&V Deliverable Name | SI Deliverable Name | SI Wave / Seq ID | Submission Date | Note |
| IVV4.23 | Monthly Project Assessment Report (Mar 2023) | N/A | N/A | 4/30/2023 | |
| IVV5.56 | Verification and Validation of Project Deliverables - Business Process Organizational Change Management (OCM) Plan | Business Process Organizational Change Management (OCM) Plan | Wave 2 / #12 | 5/9/2023 | |
| IVV4.24 | Monthly Project Assessment Report (Apr 2023) | N/A | N/A | 5/28/2023 | |
| IVV5.53 | Verification and Validation of Project Deliverables - Project Management Plan | Project Management Plan | Wave 2 / #3 | 6/12/2023 | |
| IVV5.19 | Verification and Validation of Project Deliverables - Configuration of all Software and Equipment | Configuration Design Document | Wave 1 / #28 | 6/14/2023 | |
| IVV4.25 | Monthly Project Assessment Report (May 2023) | N/A | N/A | 6/18/2023 | |
| IVV4.26 | Monthly Project Assessment Report (June 2023) | N/A | N/A | 7/25/2023 | |
| IVV4.27 | Monthly Project Assessment Report (Jul 2023) | N/A | N/A | 8/24/2023 | |
| IVV4.28 | Monthly Project Assessment Report (Aug 2023) | N/A | N/A | 9/27/2023 | |
| IVV5.31 | Verification and Validation of Project Deliverables - Disaster Recovery and Business Continuity Plans | Disaster Recovery and Business Continuity Plans | Wave 1 / #38 | 10/15/2023 | |
| IVV4.29 | Monthly Project Assessment Report (Sep 2023) | N/A | N/A | 10/28/2023 | |
| IVV5.29 | Verification and Validation of Project Deliverables - Internal Controls and System Security Plan | Internal Controls and System Security Plan | Wave 1 / #37 | 11/4/2023 | |
| IVV4.30 | Monthly Project Assessment Report (Oct 2023) | N/A | N/A | 11/21/2023 | |
| IVV4.31 | Monthly Project Assessment Report (Nov 2023) | N/A | N/A | 12/29/2023 | |
| IVV4.32 | Monthly Project Assessment Report (Dec 2023) | N/A | N/A | 1/20/2024 | |
| IVV4.33 | Monthly Project Assessment Report (Jan 2024) | N/A | N/A | 3/4/2024 | |
| IVV4.34 | Monthly Project Assessment Report (Feb 2023) | N/A | N/A | 3/18/2024 | |
| IVV4.35 | Monthly Project Assessment Report (Mar 2023) | N/A | N/A | 4/21/2024 | |
| IVV4.36 | Monthly Project Assessment Report (April 2023) | N/A | N/A | 5/20/2024 | |
| IVV5.10 | Verification and Validation of Project Deliverables - Initial Deployment Plan | Initial Deployment Plan | Wave 1 / #23 | 5/24/2024 | |
| IVV4.37 | Monthly Project Assessment Report (May 2023) | N/A | N/A | 6/24/2024 | |
| IVV4.38 | Monthly Project Assessment Report (June 2023) | N/A | N/A | 7/26/2024 | |

Section: IV&V Deliverables and Reports Completed

VI. IV&V Deliverables and Reports Planned To be Completed in Wave 1 Explore/Realize Phase and Wave 2 Prepare Phase

Wave 1

| IV&V Deliverables and Reports Planned To Be Completed in Explorer/Realize Phase | | | | | |
|---|---|---|------------------|---------------------------|------|
| IV&V ID | IV&V Deliverable Name | SI Deliverable Name | SI Wave / Seq ID | Estimated Submission Date | Note |
| IVV5.25 | Verification and Validation of Project Deliverables -Conference Room Pilot Iterations | Conference Room Pilot Iterations | Wave 1 / #34 | TBD | |
| IVV5.26 | Verification and Validation of Project Deliverables -Configuration of Testing Environment | Configuration of Testing Environment | Wave 1 / #39 | TBD | |
| IVV5.28 | Verification and Validation of Project Deliverables -Test Scripts, Test Cases, Test Procedures, and Test Data for All Modules** | Test Scripts, Test Cases, Test Procedures, and Test Data for All Modules** | Wave 1 / #36 | TBD | |
| IVV5.32 | Verification and Validation of Project Deliverables -Complete Custom Software and Integrate with the rest of the System | Complete Custom Software and Integrate with the rest of the System | Wave 1 / #40 | TBD | |
| IVV5.33 | Verification and Validation of Project Deliverables -Testing Plan | Testing Plan | Wave 1 / #41 | TBD | |
| IVV5.34 | Verification and Validation of Project Deliverables -Initial data conversion | Initial Data Conversion | Wave 1 / #43 | TBD | |
| IVV5.30 | Verification and Validation of Project Deliverables -Technical Specification Documents (Design of Interfaces, Customizations, and Reports) including all documents required for the FHWA reviews | Technical Specification Documents (Design of Interfaces, Customizations, and Reports) including all documents required for the FHWA reviews | Wave 1 / #27 | TBD | |
| IVV5.35 | Verification and Validation of Project Deliverables -Integration Testing | Integration Testing | Wave 1 / #44 | TBD | |
| IVV5.36 | Verification and Validation of Project Deliverables -DEDs with Acceptance Criteria for each Deliverable for the User Acceptance Tests | DEDs with Acceptance Criteria for each Deliverable for the User Acceptance Tests | Wave 1 / #47 | TBD | |






| IV&V Deliverables and Reports Planned To Be Completed in Explorer/Realize Phase | | | | | |
|---|--|--|------------------|---------------------------|------|
| IV&V ID | IV&V Deliverable Name | SI Deliverable Name | SI Wave / Seq ID | Estimated Submission Date | Note |
| IVV5.37 | Verification and Validation of Project Deliverables -Technical Final Documentations | Technical Final Documentations | Wave 1 / #46 | TBD | |
| IVV5.38 | Verification and Validation of Project Deliverables -Final System testing of each System module | Final System testing of each System module | Wave 1 / #48 | TBD | |
| IVV5.39 | Verification and Validation of Project Deliverables -Test results Report | Test results Report | Wave 1 / #49 | TBD | |
| IVV5.40 | Verification and Validation of Project Deliverables -Configuration of Production Environment | Configuration of Production Environment | Wave 1 / #30 | TBD | |

Wave 2

| IV&V Deliverables and Reports Planned To Be Completed in Prepare Phase | | | | | |
|--|--|---------------------|------------------|---------------------------|------|
| IV&V ID | IV&V Deliverable Name | SI Deliverable Name | SI Wave / Seq ID | Estimated Submission Date | Note |
| IVV5.55 | Verification and Validation of Project Deliverables - Communication Plan | Communication Plan | Wave 2 / #8 | TBD | |

VII. Appendix

A. Impact Definition

| Value | Legend | Description |
|-----------|---|--|
| N/A |  | Not Applicable |
| No Impact |  | No Impact |
| Low |  | A priority of Low is assigned if there is a possibility of low impact to product quality, scope, cost, and/or schedule. Minimal disruption is possible and some monitoring is likely needed to ensure priority does not increase. |
| Medium |  | A priority of Medium is assigned if there is a possibility of moderate impact to product quality, scope, cost, and/or schedule. Some disruption is likely and a different approach may be required. Mitigation strategies should be implemented as soon as feasible. |
| High |  | A priority of High is assigned if there is a possibility of substantial impact to product quality, scope, cost, and/or schedule. A major disruption is likely and the consequences would be unacceptable. A different approach is required. Mitigation strategies should be evaluated and acted upon immediately. |

B. Status Definition

| Status | Description |
|---------------|---|
| Open | Observation, risk, or issue is created. |
| In Progress | Observation, risk, or issue is addressed and is being worked on by the H4 implementation team. |
| In Dispute | Observation, risk, or issue is not acknowledged or accepted by the H4 implementation team. |
| Risk Accepted | Observation, risk, or issue is acknowledged or accepted by the H4 implementation team but is not being worked on now. |
| Closed | Observation, risk, or issue is closed. |

C. Subject Category Definition

| Subject | Subject Category | Description |
|--------------------|--|--|
| Project Management | Schedule Management | Identify and assess risks and issues that may impact the project completion schedule. This may include analysis of the scale and complexity required, work breakdown and assignments, and assessment of proper planning regarding scope, budget, resources, etc. |
| | Resource Management | Identify and assess risks and issues associated with allocating proper resources (e.g. time and expertise) necessary to complete the project. |
| | Quality Management | Identify and assess risks and issues to quality, specifically software, functionality, testing, documents, etc. via implementation of internal and external measures and processes established to regulate quality level as needed. |
| | Risk/Issue Management | Identify and assess risks and issues to software and deliverables. This may include considering and/or implementing processes to identify, monitor, communicate regarding, and mitigate potential items that could negatively impact the project. |
| | Organization Change Management | Identify and assess risks and issues involved in implementing changes necessary to optimize benefits of the new system. This may include end-user education of updated procedures, roles, responsibilities, technology, communication, etc. |
| | Communication Management | Identify and assess risks and issues that prevent stakeholders from communicating effectively by assessing their key objectives, developing, and implementing procedures to communicate purposes clearly, and analyzing methods to obtain feedback. |
| | Contract Management | Identify and assess risks and issues that could impact the H4 Project Team's ability to deliver on its contractual commitments such as cost, scope, size, etc. |
| | External Impact Management | Identify and assess risks and issues external to DOTH, IV&V, and SI that could impact the following: subcontractors, regulatory, market, customer, weather, etc. |
| Implementation | Requirement Management (Processes, Requirements and Fit/Gap) | Identify and assess risks and issues to business process, system software requirements, and fit/gap of process and available functionalities of the software. |
| | Solution Design and Configuration | Identify and assess risks and issues to solution design and configuration of the software implementation of the system. |
| | Interface and Integration | Identify and assess risks and issues that relate to functionalities that interact with outside system or software. |
| | Reports and Analytics | Identify and assess risks and issues to reporting and analytics functionality of the system. |
| | Security | Identify and assess risks and issues to security of the system such as authentication, user access control, encryption, or any other items that relate to keeping the information secure. |
| | Data Conversion | Identify and assess risks and issues to data conversion process or resulting data when moving data from the old system to the new system. |

STATE OF HAWAII, DEPARTMENT OF TRANSPORTATION, HIGHWAYS DIVISION

| Subject | Subject Category | Description |
|---------|---------------------------------|--|
| | Documentation | Identify and assess risks and issues in documentation deliverables. |
| | System Testing | Identify and assess risks and issues related to testing the functionalities of the system for the requirements. |
| | Training and Knowledge Transfer | Identify and assess risks and issues with training and knowledge transfer of the new system and its use for DOTH business. |
| | Production Migration | Identify and assess risks and issues to the system migrating from test environment to production environment. |

D. Glossary

| Term/Acronym | Definition |
|--------------|---|
| ABAP | Advanced Business Application Programming |
| AG | Attorney General of the State of Hawaii |
| AP | Accounts Payables |
| AR | Accounts Receivables |
| ARR | Analysis of Reporting Requirements |
| B&F | Department of Budget and Finance |
| BD | Budget |
| BI | Business Intelligence |
| BPML | Business Process Master List |
| BPO | Business Process Outsourcing |
| BPP | Business Process Procedure |
| CA | Contract Administrator |
| CAFR | Comprehensive Annual Financial Report |
| CE | Construction Engineering |
| CDD | Configuration Design Document |
| CFL | Central Federal Lands |
| CIP | Construction In Progress |

STATE OF HAWAII, DEPARTMENT OF TRANSPORTATION, HIGHWAYS DIVISION

| Term/Acronym | Definition |
|---------------------|--|
| CM | Construction Management |
| CMIA | Cash Management Improvement Act |
| CO | Controlling (SAP "CO"ntrolling Module) |
| COGS | Certificate of Good Standing |
| CON | Construction |
| CPN | Capital Project Number |
| CPO | State Chief Procurement Officer |
| CSS | Construction Support Services, Computer System & Service |
| DAGS | Department of Accounting General Services |
| DED | Deliverable Expectation Document |
| DES | Design |
| DHRD | State Department of Human Resources Development |
| DMR | Daily Maintenance Reports |
| DOTH | Department of Transportation Highways Division |
| DW | Data Warehouse |
| EGS | Equipment, Gas and Oil, and Stores |
| EPAR | Employee Personnel Action Report |
| ETS | State Office of Enterprise Technology Services |
| FA | Fixed Assets |
| FAHP | Federal-Aid Highway Program |
| FAIS | Fixed Asset Inventory System |
| FAMIS | Financial Accounting and Management Information System (State of Hawaii) |
| FHWA | Federal Highway Administration |
| FI | Finance (SAP "FI"nance module) |
| FM | Fund Management |
| FMCSA | Federal Motor Carrier Safety Administration |

| Term/Acronym | Definition |
|-----------------|--|
| FMIS | Federal (FHWA) Financial Management Information System |
| FMS | Financial Management System |
| FSD | Functional Specification Document |
| FTA | Federal Transit Administration |
| FTE | Full-time Equivalent(s) |
| GASB | Governmental Accounting Standards Board |
| GET | General Excise Tax |
| GL | General Ledger |
| H4 | Name of New System/Project |
| H4 Project Team | DOH and SI Project Team Members |
| HAR | Hawaii Administrative Rules |
| HCE | Hawaii Compliance Express |
| HCM | Human Capital Management |
| HIC | Hawaii Information Consortium |
| HR | Human Resources |
| HIP | Hawaii Information Portal |
| HRMS | Human Resources Management System |
| HRS | Hawaii Revised Statutes |
| HWYAC | Highways Accounting and Financial Reporting System |
| IDIQ | Indefinite Delivery/Indefinite Quantity |
| IO | Internal Order |
| ITD | Inception to Date |
| IV&V | Independent Verification and Validation |
| JA | Job Authorization |
| JE | Journal Entry |
| JV | Journal Voucher |

| Term/Acronym | Definition |
|--------------|--|
| KT | Knowledge Transfer |
| MPO | Metropolitan Planning Organization |
| MOF | Means of Finance |
| MMS / AS400 | Maintenance Management System (District's AS400's) |
| MVSO | Motor Vehicle Safety Office |
| NHTSA | National Highway Traffic Safety Administration |
| NDA | Confidentiality and Nondisclosure Agreement |
| O&M | Operation and Maintenance |
| OCM | Organizational Change Management |
| PM | Plant Maintenance |
| PMP | Project Management Plan |
| PR | Purchase Requisition |
| PS | Project System |
| PAO | Proposal Assignment Work Order |
| pCard | Purchasing Card |
| PCEW | Project Cost Estimate Worksheet |
| PDD | Process Design Document |
| PDS | Project Data Sheet |
| PE | Preliminary Engineering |
| PMO | Project Management Office |
| PMP | Project Management Plan |
| PO | Purchase Order |
| PPB | Planning, Programming, and Budgeting Office |
| PR | Purchase Requisition |
| PS&E | Plan Specification and Estimate |
| RACI | Responsible, Accountable, Consulted, and Informed (RACI, a.k.a Responsibility Assignment Matrix) |

| Term/Acronym | Definition |
|--------------|---|
| RCA | Recommendation of Contract Award |
| RFP | Request for Proposal |
| RM | Routine Maintenance |
| ROW | Right of Way |
| RTM | Requirements Traceability Matrix |
| SaaS | Software-as-a-Service |
| SBP | SAP Budget and Planning |
| SI | System Integrator |
| SME | Subject Matter Expert |
| SMP | Special Maintenance Project |
| SPO | State Procurement Office |
| STIP | Statewide Transportation Improvement Program |
| SWV | Summary Warrant Voucher |
| TA | Temporary Assignment |
| TL | Time and Labor |
| TSD | Technical Specification Document |
| T&M | Time and Materials charges in accordance with applicable Composite Rate Card(s) |
| UAC | Uniform Account Codes |
| UCOA | Uniform Chart of Accounts |
| TDR | Treasury Deposit Receipt |
| TRN | Department of Transportation |
| UNSPSC | United Nations Standard Products and Services Code |
| WBS | Work Breakdown Structure |
| WRICEF | Workflows, Reports, Interface, Conversion, Enhancements, and Forms |

E. Observation, Risk, and Issues List

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|---------------------------------|---------|---|--|-------------------|--------|--------|-------------|---|---|----------------------|------------|------------------|-------------------------------------|
| O-210330-01 | Observation | M210330-1 | 3/30/2021 | Schedule Management | N/A | Aggressive Project Plan and Go Live Date | The Prepare Phase was started in March 2021. The major activities in the Prepare Phase are the Project Charter, the Project Plan, the Communication Plan, the Project Team Training Plan, the Project Team Training, the COA Design Workshop, the Organization Change Management Plan, and the ENW Preparation. After completion of the Prepare Phase, starting the Explore phase in June leaves only 13 months to Go-Live and this can be an aggressive project plan. | DOTH/SI | Closed | N/A | N/A | PMO and IV&V should check and monitor project status and activities to ensure the project is on schedule. June is the busiest month for DOTH preparing for Fiscal Year end and SI should be cognizant of it when scheduling the Explore Phase tasks. | | 6/30/2021 | 6/30/2021 | | |
| O-210407-01 | Observation | Email-Ron-210407 | 4/7/2021 | Resource Management | N/A | Replacement of SI Project Manager | The project manager, Matthew was replaced by John on 4/7/2021. Matthew was involved in contract scope of work, project plan and discussions with DOTH until he left SI. | SI | Closed | N/A | N/A | PMO and IV&V should check and monitor if there's a smooth transition in roles and responsibility of SI PM. | | 5/31/2021 | 5/31/2021 | | |
| O-210429-01 | Observation | M210429-1 | 4/29/2021 | Resource Management | N/A | In progress of identifying SI Organization Change Management Lead | SI is currently trying to secure an Organization Change Management Lead personnel. | SI | Closed | N/A | N/A | PMO and IV&V should check and monitor to ensure SI brings the Organization Change Management Lead into the project as soon as possible according to the staffing plan (June). | 7/1/2021: Organization Change Management Lead will join the implementation team on 7/6/2021. | 6/30/2021 | 6/30/2021 | | |
| O-210429-02 | Observation | M210429-1 | 4/29/2021 | Schedule Management | N/A | Updating SI project plan | SI is currently updating project plan with correct date and resource assignment. "Updated Project Plan and Implementation Schedule" was returned to SI for more completed document with updates to dates and resource assignment, etc. | SI | Closed | N/A | N/A | PMO and IV&V should check and monitor SI project plan updates. | 5/14/2021: IV&V Mid Month Meeting: IV&V and DOTH agreed that the project plan should be delivered as soon as possible for project management and schedule. Per meeting, expected updated Project Plan delivery date is 5/21/2021. 5/28/2021: This observation became an issue. | 5/31/2021 | 5/31/2021 | I-210531-02 | |
| O-210505-01 | Observation | M210504-1 | 5/5/2021 | Contract Management | N/A | FMS Kick Off Meeting | Kick Off meeting was held on 5/5/2021 and the presentation was well organized and delivered nicely. | SI | Closed | N/A | N/A | N/A | | 5/31/2021 | 5/31/2021 | | |
| O-210505-02 | Observation | M210504-2 | 5/5/2021 | Training and Knowledge Transfer | GL | SAP S/4 ERP Essential Concepts for the DOTH FMS | Overall training went well, however there were some people who couldn't log in and were not able to follow the training and that was not addressed during the training. There also were some minor technical difficulty with switching screen (or may have been switching between presentation decks). | DOTH/SI | Closed | N/A | N/A | There needs to be a process in place where participants are monitored for questions or issues during training. There may need some general training for MS teams presentation (including meeting settings setup, monitoring participants, sharing screen, muting/unmuting participants) usage. | | 5/31/2021 | 5/31/2021 | | |
| O-210505-03 | Observation | M210505-1 | 5/5/2021 | Resource Management | PG | Retirement of HYWAC Resource in Dec 2021 | A key DOTH personnel, Chuck for HYWAC will retire in Dec 2021. | DOTH | Closed | N/A | N/A | DOTH should ensure to have a proper knowledge transfer and transition to his successor. DOTH already hired another employee and she's getting trained and prepared to be responsible for HYWAC maintenance and support. | | 5/31/2021 | 5/31/2021 | | |
| O-210512-01 | Observation | M210512-2 | 5/12/2021 | Training and Knowledge Transfer | N/A | Generic Training without focus of DOTH requirements | Project Team Training were conducted by SI based on generic functionalities of SAP. However, SI's proposal stated "Functional project team training will take place as a Explore activity, and will be delivered by SI functional consultants." This is a differentiator, because the training is not centered on a generic system with a universe of capabilities, but will be focused on DOTH's system functionality as delivered" | SI | Closed | N/A | N/A | SI project manager stated that there would be more Discovery Workshop that will review and discuss DOTH's specific requirements and learn how SAP's functionalities will meet DOTH's requirements. It needs to be confirmed in which deliverable that these workshop will be performed in the plan. | | 5/31/2021 | 5/31/2021 | | |
| O-210513-01 | Observation | M210513-1 | 5/13/2021 | Resource Management | N/A | In progress of identifying SI Payroll/HR/Time & Attendance Lead. | SI is currently trying to secure a SI Payroll/HR/Time & Attendance Lead. | SI | Closed | N/A | N/A | The Payroll/HR/Time & Labor Leads are currently not identified and PMO and IV&V should check and monitor to ensure SI brings resources into the project by July according to the staffing plan. | | 7/31/2021 | 7/31/2021 | | |
| O-210513-02 | Observation | Email-Ron-20210513 | 5/13/2021 | Schedule Management | N/A | Project Team Training Plan document hasn't submitted by SI. | Project Team Training (SI Wave1/Seq ID: 9) was started without Project Team Training Plan Document submitted to DOTH (SI Wave1/Seq ID: 10). | SI | Closed | N/A | N/A | PMO and IV&V should check and monitor to ensure SI delivers Team Training Plan Document (SI Wave1/Seq ID: 10). | DOTH and SI agreed to skip the training plan since SI conducted the Project Team Training already. | 5/31/2021 | 5/31/2021 | O-210617-01 | |
| O-210514-01 | Observation | M210514-2 | 5/14/2021 | Training and Knowledge Transfer | N/A | SAP Terminology | DOTH project team members stated that during the SAP project team training (Introduction to SAP), DOTH project team members had difficulty understanding SAP's terminology and relating SAP's terminology and standard functions to DOTH's requirements. The introduction to SAP training was mostly centered around SAP standard functionality and did not strongly correlate to DOTH's requirements. | DOTH/SI | Closed | N/A | N/A | SI consultants need to learn and be more familiar with DOTH's business requirements along with DOTH's terminology and processes as listed in RFP and SI's proposal. Also DOTH project team members should learn and be more familiar with SAP terminologies as well. SI should start to dive into DOTH's requirements and conduct the training with DOTH's specific requirements, not only generic SAP standard functions. Cross reference of terminology (SAP & DOTH terminology glossary) would help DOTH project team members to understand how SAP functionality will work for DOTH's requirements. | | 5/31/2021 | 5/31/2021 | | |
| O-210514-02 | Observation | M210520-1 | 5/14/2021 | Resource Management | N/A | DOTH Project Team Availability | DOTH project team members stated that June through September are the busiest months of the year and expressed concerns on project participation. Fiscal (HWY-SF) is the busiest in June and July, Budget (HWY-SB) is the busiest in September and October, and Project Grants (HWY-SM) is the busiest in August and September. Each department of DOTH has particularly busy times in a year, but not all at the same time. | DOTH/SI | Closed | N/A | N/A | SI and DOTH should determine the busy season of the year and the availabilities of SMEs to schedule the meetings around those availabilities of SMEs for efficient and effective use of meeting time without impacting DOTH's regular business activity. DOTH is waiting for the Project Plan so that DOTH can schedule their time accordingly. | | 6/30/2021 | 6/30/2021 | | |
| O-210527-01 | Observation | Email-Ron-210527 | 5/27/2021 | Quality Management | N/A | SAP Support Website | DOTH purchased SAP software license. As of 5/26, there is no established account and access for SAP support website. IV&V brought up that DOTH purchased software licenses and that they should be provided access to the SAP support website that including product information, troubleshooting and direct SAP support. | SI | Closed | N/A | N/A | It is recommended that SI support and follow up with SAP for DOTH to gain access to the SAP support website. | 9/2/2021: As of 9/2/2021, there is no established account and access for SAP support website. SI stated that it will be available after Development environment is installed. 9/8/2021: SI provided DOTH with access to SAP support website. | 9/16/2021 | 9/16/2021 | O-210923-01 | |
| I-210531-01 | Issue | M210527-1 | 5/31/2021 | Schedule Management | N/A | Delay in Deliverables | As of 5/31/2021, the deliverables of the Communication Plan, the Chart of Accounts Design, the Business Process Organizational Change Management (OCM) Plan, the Project Management Plan (PMP) and the Project Team Training have not been submitted to DOTH or completed yet. They were due on or prior to 5/31/2021, which was the end of the Prepare Phase. | SI | Closed | Low | N/A | SI should complete the Communication Plan, the Chart of Accounts Design, the Business Process Organizational Change Management (OCM) Plan, and the Project Management Plan and submit to DOTH for review as soon as possible. | 6/3/2021: The New Target Dates for the following deliverables are set to by SI: - Communication Plan: 6/11/2021 - Chart of Accounts Design: 7/2/2021 - Business Process Organizational Change Management (OCM) Plan: 6/11/2021 - Project Management Plan (PMP): 6/18/2021 - Project Team Training: 6/18/2021 | 6/30/2021 | 6/30/2021 | O-210615-01 | Closed and recreated as I-210615-01 |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|-----------------------------------|---------|--|--|-------------------|-------------|--------|-------------|---|--|----------------------|------------|------------------|----------|
| I-210531-02 | Issue | M210527-1 | 5/31/2021 | Schedule Management | GENERAL | Project Plan and Implementation Schedule | The final Project Plan/Implementation Schedule has not been completed and submitted to DOTH. This is a foundational document for a project management and scheduling and one of the most critical deliverables. Delay in the Project Plan and Implementation Schedule pose decreased confidence in being able to meet the final Go-Live date. Also, without the Project Plan and the Implementation Schedule DOTH has limited project visibility and it will impact schedule and resource management. | DOTH/SI | In Progress | High | N/A | SI should complete Project Plan/Implementation Schedule as soon as possible. | <p>11/30/2020: 12/10/2020, 4/26/2021: The initial project plan was submitted and returned back to SI after DOTH review due to incompleteness.</p> <p>6/3/2021: The New Target Date for Project Plan/Implementation Schedule is set to 6/31/21 by SI.</p> <p>6/14/2021: Updated project plan was submitted by SI but returned back to SI due to incompleteness.</p> <p>7/1/2021: It is currently unknown at a detail level if the number of resources are adequate to complete the project on schedule. Earlier versions of the Project Plan were not accepted partly because of overbudgeted resources and incorrect dates (i.e. one consultant or DOTH team member working more than 40 hours in a week, etc.). Updated project plan was submitted by SI but returned back to SI after DOTH review due to incompleteness. Revised Acceptance Date: 8/31/2021</p> <p>9/10/2021: No updates have been submitted to DOTH.</p> <p>9/16/2021: DOTH interviewed an assistant project manager candidate on 9/7/2021.</p> <p>9/30/2021: No updates have been submitted to DOTH.</p> <p>10/20/2021: SI Assistant Project Manager submitted the revised project plan. DOTH will hold a review meeting on 10/23/2021.</p> <p>10/27/2021: DOTH had a meeting with the SI Assistant Project Manager to review Project Plan/Implementation Schedule. Progress has been made. However some data such as the dates and % completion need to be corrected.</p> <p>11/2/2021: SI Assistant Project Manager submitted the revised project plan and DOTH will hold a review meeting on 11/24/2021.</p> <p>11/24/2021: SI Assistant Project Manager and DOTH Project Manager worked together via Teams and updated and fixed the Project Plan. There will be a follow up meeting.</p> <p>12/1/2021: SI Assistant Project Manager and DOTH Project Manager worked together via Teams and updated and fixed the Project Plan. It is still not complete.</p> <p>1/11/2022: No new major updates. The document is making incremental progress, however it is not completed yet.</p> <p>2/18/2022: No new major updates. It is still incomplete.</p> <p>3/11/2022: The Assistant Project Manager left H4 implementation project. The Project Manager will continue to work on Project Plan/Implementation Schedule.</p> <p>4/29/2022: No major updates. A new Go-Live date will be set after PDDs are approved by DOTH.</p> <p>5/12/2022: 6/30/2022, 7/31/2022: No major updates.</p> <p>6/13/2022: The new assistant project manager will be writing Project Plan/Implementation Schedule with updated Go-Live Date of 7/1/2024. 9/30/2022: No major updates. 10/31/2022: It is recommended that SI complete the Project Plan/Implementation Schedule as soon as possible since the absence of the Project Plan/Implementation Schedule prevents from proper resource planning, meeting scheduling, and integrated solution development and this causes issues and inefficiency. The project meetings are not being held cohesively and the project focus is scattered!</p> <p>11/30/2022: SI was expected that after the new Go-Live date was set a revised Project Plan/Implementation Schedule would be prepared, however there is no update to the Project Plan. It is recommended that SI complete the Project Plan/Implementation Schedule as soon as possible. 12/31/2022: Project Plan/Implementation Schedule will not be submitted to DOTH.</p> <p>1/11/2023: A high-level project plan was presented during the PMO on 1/26/2023 but the detailed Project Plan/Implementation Schedule has not been submitted to DOTH.</p> <p>2/28/2023: The Project Plan/Implementation Schedule was submitted to DOTH for review and approval. DOTH reviewed it internally and scheduled a meeting for further review and discussion with SI on 3/1/2023.</p> <p>3/1/2023: SI submitted the Project Plan/Implementation Schedule for discussion on 3/1/2023 and it was observed that task durations and dates need to be completed based on the current availability of resources and time constraints. DOTH and SI dialogued with approaches regarding the resource loading in the Project Plan. They are in the process of working through the details and finalizing the Project Plan/Implementation Schedule.</p> <p>4/28/2023: There are still disagreements between DOTH and SI regarding the resource plan, task duration and deliverables due dates, as well as the Go-Live date.</p> <p>5/11/2023: DOTH and SI have been working together to agree on the Project Plan/Implementation Schedule, but an agreement has not been reached. This is an important deliverable that requires both parties' attention and it should be completed as soon as possible.</p> <p>6/18/2023: DOTH and SI planned to meet to work on the Project Plan/Implementation Schedule and it should be completed asap.</p> <p>7/31/2023: DOTH is waiting for SI's submission of the updated Project Plan/Implementation Schedule. Timely attention from both parties is imperative for the completion of this crucial deliverable at the earliest opportunity.</p> <p>8/11/2023: DOTH is currently awaiting submission of the updated Project Plan/Implementation Schedule from SI.</p> <p>9/18/2023: No major updates. DOTH is currently in the process of awaiting the submission of the revised Project Plan/Implementation Schedule from SI.</p> <p>10/11/2023: SI submitted the revised Project Plan/Implementation Schedule and DOTH is currently reviewing it.</p> <p>11/10/2023: SI and DOTH held a few meetings to discuss the Project Plan/Implementation Schedule and worked together on work breakdown structure and resource assignments.</p> <p>12/11/2023: SI and DOTH continue to work together to complete the Project Plan/Implementation Schedule.</p> <p>1/11/2024: SI and DOTH held a few meetings and worked on the breakdown of structures/tasks, resource assignments, and deliverable dates to complete the Project Plan/Implementation Schedule.</p> <p>2/29/2024: SI submitted the Project Plan/Implementation Schedule with a Go-Live date of 8/31/2024. DOTH is currently reviewing the Project Plan/Implementation Schedule and has identified unreasonable timelines, as well as inaccuracies in the percentage of completion and task dates.</p> <p>3/11/2024: SI, ETL, and DOTH held meetings to review and discuss the Project Plan/Implementation Schedule that SI submitted last month. DOTH and ETL pointed out unfavorable timelines for tasks, resource assignments, Go-Live date, and an inaccurate percentage of deliverable completion.</p> <p>4/18/2024: SI submitted an updated Project Plan/Implementation Schedule. During the subsequent review session, DOTH and ETL identified several issues, including unrealistic task timelines, incorrect sequencing of task dependencies (taskmaster and predecessor relationships at the task level), an unrealistic Go-Live date, and the inaccurately reported percentage of deliverable completion.</p> <p>5/11/2024: There have been no major updates. The updated Project Plan/Implementation Schedule is still being reviewed and updated by SI and DOTH.</p> <p>6/10/2024: SI submitted the Project Plan/Implementation Schedule, which was updated mainly with task successor and predecessor relations. DOTH is currently in the process of reviewing it. However, there are still some elements that require fixing and completion, such as updating and finalizing start and finish dates, adding automatic scheduling logic, critical paths, task durations, and percentages of deliverable completions.</p> | 6/30/2024 | | | |
| O-210610-01 | Observation | M210610-1 | 6/10/2021 | Schedule Management | N/A | Explore Workshop - Schedule | The Explore As-is on-site workshops are scheduled for three hours each to cover one or two business areas. These sessions might not be enough time for thorough review and discussion. No on-site or off-site sessions are scheduled for Thursday afternoons and Fridays even though DOTH staff is available and contractors are expected to be available for work during DOTH business hours. | SI | Closed | N/A | N/A | SI and DOTH should facilitate and run workshops effectively to cover all the processes with sufficient details within the allotted time. SI may need to engage during DOTH working hours including Thursday afternoon and Friday based on project needs, especially for on-site or off-site workshops since DOTH staff is available during those times. | | 6/30/2021 | 6/30/2021 | | |
| O-210610-02 | Observation | M210610-1 | 6/10/2021 | Schedule Management | N/A | Start Date of Explore Workshop | The Explore Workshop that includes As-Is, To-Be, Requirements Analysis is scheduled to start on 6/21/2021. June is the last month of a Fiscal Year and it is the busiest month of the year and last couple weeks of June are the busiest weeks of the year. Ideally, June should have been avoided for DOTH time consuming activities. If these activities had to be scheduled in June, it could have at least started in the first week of June when SMEs were less busier than latter part of June. It was observed that DOTH staff was not able to fully focus on the Explore Workshop due to legislative deadline that DOTH had to meet for the fiscal year end. | SI | Closed | N/A | N/A | PMO should check and monitor project scheduling where DOTH personnel are required to ensure that disruption to DOTH's daily task is minimized. June is the busiest month for DOTH preparing for Fiscal Year end and SI should be cognizant of DOTH's busy times when scheduling the DOTH time consuming tasks. | | 7/31/2021 | 7/31/2021 | | |
| O-210610-03 | Observation | M210610-1 | 6/10/2021 | Solution Design and Configuration | N/A | VPN Connection | VPN connection between SI AWS and DOTH is being established and tested. It should thoroughly reviewed and tested for compatibility with the State network to ensure all expected features are functioning properly, including what steps are required for users to activate VPN to access SAP, how SAP sends print jobs to DOTH printers in the state network, etc. | SI | Closed | N/A | N/A | N/A | | 7/31/2021 | 7/31/2021 | | |
| O-210610-4 | Observation | M210610-1 | 6/10/2021 | Schedule Management | N/A | SAP Standard Process | DOTH expressed concerns about overall progress of the project. The concerns included not starting DOTH's requirements analysis in the beginning of the Explore Phase and not starting SAP standard processes analysis and TR/gsp analysis earlier. | SI | Closed | N/A | N/A | N/A | | 7/31/2021 | 7/31/2021 | | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments | | | | |
|-------------|-------------|---------------------------------|---------------|--|---------|--|--|-------------------|--------|--------|-------------|---|--|----------------------|-------------|-------------------------------------|--|------------|------------|--------------------------|--|
| I-210615-01 | Issue | DOTH FMS Change Request Form #1 | 6/15/2021 | Schedule Management | N/A | Delay in Deliverables | SI requested a change request and DOTH approved it. The completion of following deliverables will be delayed until the Explore Phase. #3 Project Management Plan #7 Updated Project Plan and Implementation Schedule #8 Communication Plan #9 Project Team Training Plan #10 Project Team Training #11 Chart of Accounts Design #12 Business Process Organization Change Management (OCM) Plan | SI | Closed | Low | N/A | It is recommended that SI complete these deliverables and submit to DOTH for review as soon as possible. As these deliverables are postponed to the Explore Phase, workload in the Explore Phase has been increased. The Implementation Team needs to monitor the Explore Phase to ensure on time completion of the deliverables to minimize and eliminate potential risks with timeline due to more deliverables and more workload in the Explore Phase. 7/1/2021: - Communication Plan: Submitted 6/15/21 for DOTH's review. DOTH reviewed and found a few issues. - Chart of Accounts Design: Target date =7/2/2021 - Business Process Organization Change Management (OCM) Plan: Submitted 6/15/21 for DOTH's review. - Project Management Plan (PMP): Target Date=TBD. Strategy documents are being worked on. - Project Team Training: Target Date=TBD 7/31/2021: #3 Project Management Plan: See I-210630-01. #7 Updated Project Plan and Implementation Schedule: See I-210531-02. #8 Communication Plan: TBD #9 Project Team Training Plan: TBD #10 Project Team Training: TBD #11 Chart of Accounts Design: TBD #12 Business Process Organization Change Management (OCM) Plan: TBD 9/2/2021: No changes. 9/16/2021: No changes. 9/30/2021: Communication Plan and Business Process Organization Change Management (OCM) Plan were submitted and approved by DOTH. Payment was made for Project Team Training. No changes to other documents and the estimated delivery dates are 10/31/2021. 10/15/2021: No changes. 10/31/2021: Chart of Account Design document was submitted and being reviewed by DOTH. | 10/31/2021 | 10/31/2021 | I-211028-10 | | | | | | |
| O-210617-01 | Observation | M210617-1 | 6/17/2021 | Schedule Management | N/A | Project Team Training Plan Document | DOH and SI agreed to skip the Project Team Training Plan on 5/15/2021 since SI already conducted the Project Team Training without Project Team Training Plan. However, SI decided to work on Project Team Training Plan Document (SI Wave1/Seq ID: 10) and submit to DOTH by June 2021 for review. | SI | Closed | N/A | N/A | PMO and IV&V should check and monitor to ensure SI delivers Project Team Training Plan Document (SI Wave1/Seq ID: 10). | 6/17/2021: New Observation, O-210617-01 is created from O-210513-01. | 7/31/2021 | 7/31/2021 | O-210513-01 | | | | | |
| O-210624-01 | Observation | M210624-1 | 6/24/2021 | Resource Management | N/A | DOH Requirements | During the Explore Workshop (As-Is), it was noticed that SI consultants may have different levels of expertise and understanding of their respective responsible business areas and general government sector requirements. | SI | Closed | N/A | N/A | SI consultants should become familiarize as soon as possible with general DOTH information and requirements that were provided in RFP and other documents. | | 6/30/2021 | 6/30/2021 | | | | | | |
| O-210624-02 | Observation | M210621-1 | 6/24/2021 | Communication Management | N/A | Virtual Meeting | During the Explore Workshop (As-Is), there was a technical difficulty with microphone in Teams meeting. The remote participants in Teams had a hard time hearing the meeting discussion. | DOH | Closed | N/A | N/A | Given the environment where virtual meetings will be common, these type of technical difficulty should be resolved as soon as possible. | | 6/30/2021 | 6/30/2021 | | | | | | |
| O-210624-03 | Observation | M210701-1 | 6/24/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Updated As-Is | DOH provided updated As-Is business flows to SI for individual business area for the Explore Workshop and utilized these business flows to explain DOTH processes and procedures. | DOH | Closed | N/A | N/A | | | 6/30/2021 | 6/30/2021 | | | | | | |
| O-210624-04 | Observation | M210624-1 | 6/24/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Explore Workshop | There are some core business processes that are not covered yet in the first Explore Workshops including split cost for federal billing, waterfall funding, link project cos to specific state appropriation, labor compression, county pass-through and MVSO. It is encouraged that SI consultants to review requirements in detail to maximize information gathering and to not miss business process areas for the Explore Workshops. | DOH/SI | Closed | N/A | N/A | Both DOH and SI should proactively convey and explore the As-Is processes to ensure all the business processes are covered for the requirements. There should be a continuation of further exploring and understanding of DOTH business process. It is encouraged that SI consultants to review requirements in detail to maximize information gathering and to not miss business process areas for the Explore Workshops. | | 7/31/2021 | 7/31/2021 | | Closed and created as DOTH Critical Core Requirements. | | | | |
| I-210630-01 | Issue | DOTH FMS Change Request Form #2 | 6/30/2021 | Schedule Management | N/A | Delay in Deliverables | SI requested a change request and DOTH approved it. The completion of following deliverables will be delayed until the Explore Phase. #17 Quality Assurance and Testing Strategy #18 Project RACI Strategy #24 Workflow Strategy #25 Reporting Strategy #26 Integration Strategy #27 Conversion Strategy #28 Enhancement Strategy #29 Form Strategy #40 RTMs mapped to Workshops / SAP Modules #53 Preliminary WRICEF Inventory | SI | Closed | Low | N/A | SI should complete these deliverables and submit to DOTH for review as soon as possible. As these deliverables are pushed to the Explore Phase, work load in the Explore Phase has been increased and the risk of completion on time in the Explore Phase needs to be properly addressed and monitored. 7/31/2021: #17 Quality Assurance and Testing Strategy: Submitted by SI on 7/20/2021 and being reviewed by DOTH. #18 Project RACI Strategy: Submitted by SI on 7/7/2021 and returned to SI with comments. #24 Workflow Strategy: Submitted by SI on 7/7/2021 and returned to SI with comments. #25 Reporting Strategy: Submitted by SI on 7/7/2021 and returned to SI with comments. #26 Integration Strategy: TBD. #27 Conversion Strategy: Submitted by SI on 7/20/2021 and being reviewed by DOTH. #28 Enhancement Strategy: Submitted by SI on 7/7/2021 and returned to SI with comments. #29 Form Strategy: Submitted by SI on 7/7/2021 and returned to SI with comments. #40 RTMs mapped to Workshops / SAP Modules: TBD #53 Preliminary WRICEF Inventory: TBD 9/2/2021: No changes. 9/16/2021: No changes. 9/30/2021: Conversion Strategy, Enhancement Strategy, Form Strategy, and Workflow Strategy are submitted and approved by DOTH. 10/15/2021: No changes. 10/31/2021: Project RACI Strategy was submitted and approved by DOTH. | SI | Closed | Low | N/A | | 10/31/2021 | 10/31/2021 | I-211028-02, I-211028-10 | |
| O-210708-01 | Observation | M210708-1 | 7/8/2021 | Resource Management | BD | Replacement of SI Fund Management Consultant | Fund Management consultant left SI and SI brought on a new consultant to DOTH FMS project team. | SI | Closed | N/A | N/A | | | 7/31/2021 | 7/22/2021 | | | | | | |
| O-210708-03 | Observation | M210708-1 | 7/8/2021 | External Impact Management | GL | New UCOA of Statewide Financial System | DOH FMS is required to be compatible with DAGS's future statewide financial system. However, the new UCOA is still under development at DAGS and the incomplete UCOA at DAGS could cause DOTH some rework after Go-Live. | DOH/SI | Closed | N/A | N/A | It is recommended that DOH and SI hold a meeting with DAGS to find out future plan and timeline of implementing UCOA. It is also important to obtain latest UCOA contents, changes, updates, etc. compared to the FAMS account codes. 9/2/2021: A meeting with DAGS was held on 8/12/2021. DOH and DAGS discussed the new UCOA. Additional meetings need to be scheduled for further discussion and clarification of the new UCOA. | 9/2/2021 | 9/2/2021 | R-210812-01 | Closed and recreated as R-210812-01 | | | | | |
| R-210812-01 | Risk | M210812-3 | 8/12/2021 | External Impact Management | GL | New UCOA of Statewide Financial System | DOH FMS is required to be compatible with DAGS's future statewide financial system. A meeting with DAGS was held on 8/12/2021 and DOH and DAGS discussed the new UCOA. However, the new UCOA is still under development at DAGS and the incomplete UCOA at DAGS could cause DOTH some rework after the new statewide financial system goes live. The implementation project for statewide financial management system hasn't started yet and Go-Live date has not been determined either. 9/16/2021: No additional meetings with DAGS were scheduled. 9/30/2021: No updates. 10/15/2021: No updates. 10/31/2021: No updates. 11/18/2021: SI and DOTH discussed if UCOA is the best fit for DOTH. Another meeting is scheduled on 11/29/2021. 11/30/2021: SI and DOTH discussed H4 COA and agreed that SI will perform more analyses and update/fix H4 COA. 12/16/2021: SI and DOTH had a meeting to review H4 COA numberings. Another meeting was scheduled to work on H4 COA. 12/28/2021: SI and DOTH had a meeting and agreed on H4 COA: numberings, digits, and parent accounts. SI will schedule with DOTH to perform mapping and complete H4 COA. 1/31/2022: H4 COA will be based on the current DOTH system and process. It is still being finalized but a general agreement is made. | DOH/SI | Closed | Low | Low | | 12/31/2021 | 1/31/2022 | | | | | | | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|--|---------|--|--|-------------------|--------|--------|-------------|---|---|----------------------|------------|------------------|---|
| O-210708-02 | Observation | M210708-1 | 7/8/2021 | External Impact Management | GL | Interface with FAMIS | Feasibility of Inbound and outbound FAMIS interfaces need to be discussed with and confirmed by DAGS. | DOH/SI | Closed | N/A | N/A | It is recommended that DOH and SI hold a meeting with DAGS to find out if DAGS allows DOH to interface files to FAMIS (DOH Outbound Interface) and DAGS can interface files to DOH (DOH Inbound Interface). | 9/2/2021: No meetings or discussions were held. 9/16/2021: No meetings or discussions were held. 9/20/2021: A meeting with ETS was held and found out that GL Interface is not currently available in FAMIS. 10/15/2021: There will be a meeting, but no date has been set. 10/22/2021: SI and DOH had a meeting with DAGS to discuss FAMIS interface. 11/4/2021: SI and DOH/ETS had a meeting with DAGS to discuss FAMIS interface. ETS confirmed that there is no JV interface and no outbound interface from FAMIS available and no plan to develop it. | 11/18/2021 | 11/18/2021 | | DOTA receives FAMIS files. It's recommended that the H4 Project Team find more information about possibility of extracting financial data from the FAMIS files in DOTA. Another option for extracting financial |
| I-210722-01 | Issue | M210722-1 | 7/22/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Explorer Workshop | The Explorer Workshops are conducted from SAP point of view. Consultants are introducing and explaining generic functions and features of SAP products before completing a thorough analysis of DOTH requirements listed in RFP with DOTH project team members. Some of the functional examples or concepts from the Explorer Workshops were too generic or not directly related to DOTH processes and requirements. Therefore, DOTH project team members are having difficult time understanding SAP functionalities and connecting SAP functionalities to DOTH processes and requirements. | SI | Closed | Low | N/A | It is recommended that SI hold additional sessions and/or utilize the remaining Explorer Workshops to review and confirm the DOTH business terminologies, processes, and requirements to effectively communicate with DOH and to propose DOTH specific solutions. | 7/31/2021: More DOTH requirements have been reviewed and discussed during the Explorer workshops. However, DOTH project team members are still having difficulty understanding and connecting SAP functions and features to DOTH requirements. 9/2/2021: There were improvements, but many instances are observed where the DOTH team members were having difficult time understanding the workshops. 9/30/2021: There were continuous improvements, but there are some areas where DOTH team members were having difficult time understanding the workshops. 10/15/2021: No major updates. 10/31/2021: No major updates. There were two Integrated Scenario Playback sessions on Oct 13 and Oct 27 2021. However, DOTH project team expressed they need more training and more DOTH requirements specific demo to better understand SAP. | 11/18/2021 | 11/18/2021 | | This issue is no longer applicable for the Explorer phase. |
| I-210722-02 | Issue | M210722-1 | 7/22/2021 | Resource Management | N/A | SI Consultants On-Site | SI core team consultants are currently on-site less than 20%, less than one week per month during Explore Phase, whereas the contract states SI consultants are supposed to be on-site more than 60%. SI acknowledged the issue and is taking action for more on-site availability. | SI | Closed | Low | N/A | N/A | 9/2/2021: SI consultants' on-site availability increased. | 9/2/2021 | 9/2/2021 | | |
| O-210722-01 | Observation | M210722-1 | 7/22/2021 | Resource Management | N/A | Assistant Project Manager | Assistant Project Manager was no longer with the project and SI identified a replacement resource who will join the project soon. | SI | Closed | N/A | N/A | N/A | 9/2/2021: SI identified an assistant project manager and is in the process of hiring him. | 9/2/2021 | 9/2/2021 | | |
| O-210729-08 | Observation | M210729-1 | 7/29/2021 | Risk/Issue Management | N/A | Status Rating on Dashboard | Status ratings on Dashboard of Project Status Report are all set to green, however there were two change orders issued to postpone deliverables to the next phase and the project plan is still under development. | SI | Closed | N/A | Low | It is recommended that DOH discuss with SI to ensure Dashboard Status are agreed by both parties. (i.e., while the anticipated project Go-Live date hasn't changed, many other deliverables are already delayed) | 9/2/2021: DOH and SI will coordinate to ensure that they agree on Dashboard Status. | 9/2/2021 | 9/2/2021 | | |
| O-210729-01 | Observation | M210729-1 | 7/29/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Inventory, Payroll and Plant Maintenance | Some requirements may be directly or indirectly related to Inventory, Payroll, and Plant Maintenance modules. However, the typical core requirements of these modules, Inventory, Payroll, and Plant Maintenance were not included in the DOTH RFP requirements. | DOH/SI | Closed | N/A | N/A | It is recommended that DOH discuss with SI and determine the implementation scope of Inventory, Payroll and Plant Maintenance modules for 7/1/2022 Go-Live. | 9/2/2021: The implementation scope of Inventory, Payroll, and Plant Maintenance aren't finalized. DOH and SI need to make a decision on which functions/features will be implemented to meet DOTH requirements. 9/30/2021: SI presented Pros and Cons of implementing Plant Maintenance modules vs. keeping AS400. | 10/15/2021 | 10/15/2021 | O-211014-01 | |
| O-210729-02 | Observation | M210729-1 | 7/29/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | DOH Critical Core Requirement | DOH critical core requirement, "Split Cost for Federal Billing" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOH in the Explore Phase. | DOH/SI | Closed | N/A | N/A | N/A | 9/2/2021: No updates were reported to DOH. 9/14/2021: SI proposed a solution for the requirement of "Split Cost for Federal Billing". More discussion and review are needed. 9/30/2021: No major updates. 10/15/2021: Infrastructure Type requirement was discussed for the first time during the Scenario Demo, however there was a gap between SI's understanding and DOH's requirement for the "Split Cost for Federal Billing" requirement. This highlights the need for better and earlier requirements discussion to correctly understand DOH's requirements and eliminate any gaps. SI should continue to make progress with confirming the understanding of the requirement and ensuring the underlying assumption is the correct DOH business process. 10/31/2021: No major updates. | 11/18/2021 | 11/18/2021 | I-211115-01 | This observation has been closed and recreated as an issue. |
| O-210729-03 | Observation | M210729-1 | 7/29/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | DOH Critical Core Requirement | DOH critical core requirement, "Waterfall Funding" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOH in the Explore Phase. | DOH/SI | Closed | N/A | N/A | N/A | 9/2/2021: No updates were reported to DOH. 9/14/2021: SI proposed a solution for the requirement of "Waterfall Funding". More discussion and review are needed. 9/30/2021: No major updates. 10/15/2021: Infrastructure Type requirement was discussed for the first time during the Scenario Demo, however there was a gap between SI's understanding and DOH's requirement for the "Waterfall Funding" requirement. This highlights the need for better and earlier requirements discussion to correctly understand DOH's requirements and eliminate any gaps. SI should continue to make progress with confirming the understanding of the requirement and ensuring the underlying assumption is the correct DOH business process. 10/31/2021: No major updates. | 11/18/2021 | 11/18/2021 | I-211115-01 | This observation has been closed and recreated as an issue. |
| O-210729-04 | Observation | M210729-1 | 7/29/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | DOH Critical Core Requirement | DOH critical core requirement, "Link Project Cost to Specific State Appropriation" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOH in the Explore Phase. | DOH/SI | Closed | N/A | N/A | N/A | 9/2/2021: No updates were reported to DOH. 9/30/2021: There were discussions in Explore Workshops and preliminary design is being developed. 10/15/2021: No major updates. 10/31/2021: No major updates. 11/18/2021: Discussions are in progress. No major updates. 12/2/2021: Discussions are in progress. No major updates. 12/31/2021: DOH held a workshop and presented again how DOTH processes Waterfall funding/Spilt on 12/31/2021: DOH held a workshop and presented again how DOTH processes Waterfall funding/Spilt on 12/8/2021: A high-level solution has started but not completed yet. 1/31/2022: This requirement is very closely related to Waterfall Funding and this item will be triaged/combined with R-220114-01. | 12/31/2021 | 12/31/2021 | | |
| O-210729-05 | Observation | M210729-1 | 7/29/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | DOH Critical Core Requirement | DOH critical core requirement, "Accounting for Appropriated, Allotted, and Cash Authority" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOH in the Explore Phase. | DOH/SI | Closed | N/A | N/A | N/A | 9/2/2021: No updates were reported to DOH. 9/30/2021: There were discussions in Explore Workshops and preliminary design is being developed. 10/15/2021: Discussions are in progress. No major updates. 10/31/2021: Discussions are in progress. No major updates. 11/18/2021: Discussions are in progress. No major updates. 12/2/2021: Discussions are in progress. No major updates. 12/31/2021: DOH held a workshop and presented again how DOTH processes Waterfall funding/Spilt on 12/8/2021: A high-level solution has started but not completed yet. 1/31/2022: Full solution is not developed yet. This item will be closed and it is triaged to an issue: I-220131-5. | 1/31/2022 | 1/31/2022 | I-220131-3 | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|--|---------|--|---|-------------------|--------|--------|-------------|-----------------------|---|----------------------|------------|---------------------------|----------|
| O-210729-06 | Observation | M210729-1 | 7/29/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | DOTH Critical Core Requirement | DOTH critical core requirement, "Labor Compression" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOTH in the Explore Phase. | DOTH/Sl | Closed | N/A | N/A | N/A | 9/2/2021: No updates were reported to DOTH. 9/30/2021: There were discussions in Explore Workshops and preliminary design is being developed. Payroll interface was discussed in the meeting with ETS on 9/28/2021. 10/15/2021: Discussions are in progress. No major updates. 10/31/2021: Discussions are in progress. No major updates. 11/18/2021: HIP interface discussions with ETS are in progress. 12/2/2021: Discussions are in progress. No major updates. 12/31/2021: Discussions are in progress. A high-level solution has started but not completed yet. 1/31/2022: Full solution is not developed yet. This item will be closed and it is triaged to an issue: I-220131-6. | 1/31/2022 | 1/31/2022 | I-220131-4 | |
| O-210729-07 | Observation | M210729-1 | 7/29/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | DOTH Critical Core Requirement | DOTH critical core requirement, "The State Financial Accounting System" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOTH in the Explore Phase. | DOTH/Sl | Closed | N/A | N/A | N/A | 9/2/2021: No updates were reported to DOTH. 9/20/2021: There was a FAMIS Interface discussion with ETS. 10/15/2021: Discussions are in progress. No major updates. 10/22/2021: Sl and DOTH had a meeting with DAGS to discuss FAMIS interface. Email correspondents were exchanged as follow-up. 11/4/2021: Sl and DOTH had a meeting with DAGS and ETS to discuss interface between FAMIS and H4. 11/10/2021: DOTH had a meeting with DataMart Sl to discuss possibility of downloading FAMIS data from DataMart. 12/2/2021: No major updates. 12/15/2021: AP PDD meeting was held to discuss FAMIS. A high-level solution has started but not completed yet. 1/31/2022: Full solution is not developed yet. This item will be closed and it is triaged to an issue: I-220131-7. | 1/31/2022 | 1/31/2022 | I-220131-5 | |
| O-210804-01 | Observation | M210804-2 | 8/4/2021 | Resource Management | BD | Participation of Budget and Planning Consultant | Budget and Planning module in Wave 2 is schedule to go live in 8/1/2022 one month after Wave I Go-Live. However, a consultant for Budget and Planning (SBP) module has not participated in the O&M and CIP budget sessions in the Explore Phase. | DOTH/Sl | Closed | N/A | N/A | N/A | 9/2/2021: Sl suggested SBP consultant does not need to participate in the current sessions. Because the go-live dates are only one month apart, it may be suggested that Sl and DOTH revisit the schedule to coordinate a simultaneous go-live. 9/30/2021: Sl Project Manager stated that the Go-Live dates of Wave I and Wave II were set based on the DOTH budget preparation cycle and the different activities between SBP and FM. 10/15/2021: No major updates. 10/31/2021: SBP resource will join the project soon. | 10/31/2021 | 10/31/2021 | | |
| O-210811-01 | Observation | M210810-2 | 8/11/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | New Requirements, Fit / Gap | New requirements are discussed in various explore workshops including Inventory, Plant Maintenance, HR, Grant Management and Payroll modules. | DOTH/Sl | Closed | N/A | N/A | N/A | 9/30/2021: Functions and features of SAP that are not directly related to DOTH's RFP requirements are reviewed and discussed in the following business areas: Inventory, Plant Maintenance, HR, Grants Management, and Payroll. Implementation scopes need to be discussed and determined as soon as possible. 10/28/2021: Sl project manager stated during review of logistics master data that no new requirements can be created at this point. Requirements need to be clarified and discrete so that they can be effectively mapped to testing and training for verification and validation. DOTH and Sl should ensure the implementation scope and requirements clarification are agreed upon. There may need to be additional discussions. 11/18/2021: Sl consultants will clarify existing and document any new requirements regarding inventory, Plant Maintenance, HR, Grant Management and Payroll modules in the RTM. | 11/18/2021 | 11/18/2021 | | |
| O-210811-02 | Observation | M210811-1 | 8/11/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Core Requirements for FHWA and DAGS/B&F | The main goal of the DOTH FMS project is to implement a new financial management system in compliance with FHWA and the state of Hawaii, DAGS/B&F, and replace the obsolete current mainframe system HWYAC. The Go-Live is set to 7/1/2022, which is a very aggressive plan, and the project team needs to prioritize and focus on must-have requirements. | DOTH/Sl | Closed | N/A | N/A | N/A | 9/2/2021: The core critical requirements have not been receiving prioritized attention. 9/30/2021: Progress is being made with discussions revolving around core critical requirements, however there are still elements of core critical requirements that need prioritized attention and further discussion about how they will be implemented in SAP. 10/15/2021: No major updates. | 10/31/2021 | 10/31/2021 | R-211028-01 | |
| O-210826-01 | Observation | M210826-4 | 8/26/2021 | Resource Management | BD | Budget and Planning (SBP) Go-Live and availability of SBP consultant | According to Sl responses to the requirements of Budget Preparation and Budget execution, Budget and Planning (SBP) module was proposed. However, solution design is developed in Fund Management module because SBP will not be available when Wave I goes live on 7/1/2022. The SBP is scheduled to go live on 8/1/2022, one month after the Wave I Go-Live date. | Sl | Closed | N/A | N/A | N/A | 10/15/2021: No major updates. 10/31/2021: No major updates. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates and Sl plans to start SBP on a later date. Wave 2 was planned to start by now, however it is pushed back. Sl plans to start Wave 2 after Wave 1's PDD is completed and explore phase is done. This item is closed and will be tracked together with I-211108-01. | 1/31/2022 | 1/31/2022 | I-211108-01 | |
| O-210826-02 | Observation | M210826-5 | 8/26/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Solution Design before Completion of Reviewing Requirements. | A high-level solution design is being developed before all of DOTH requirements are reviewed. | Sl | Closed | N/A | N/A | N/A | 9/30/2021: Progress is made with requirements review and the activities to understand the requirements should be continued. 10/15/2021: General progress is being made. No major updates. 10/31/2021: General progress is being made. No major updates. | 10/31/2021 | 10/31/2021 | I-211021-02 | |
| R-210902-01 | Risk | M210901-2 | 9/2/2021 | Schedule Management | N/A | Delay in Deliverables | Many SI deliverables have not been submitted for DOTH review/approval on time or they have been delayed. There are more than 20 deliverables scheduled to be completed by the end of the Explore Phase and less than 5 deliverables have been approved by DOTH. | Sl | Closed | Low | Low | N/A | 9/30/2021: Communication Plan and Organizational Change Management (OCM) Plan deliverables have been submitted and approved. No changes with other documents. 10/15/2021: No major updates. | 10/31/2021 | 10/31/2021 | I-211028-01 - I-211028-10 | |
| O-210902-01 | Observation | M210902-1 | 9/2/2021 | Schedule Management | N/A | Meeting Schedule | There were few or no meetings occurred on Fridays despite Friday is still a work day for DOTH. | DOTH/Sl | Closed | N/A | N/A | N/A | 9/30/2021: There have been occasional meetings on Fridays. 10/15/2021: No changes. 10/31/2021: More meetings occur on Friday. | 10/31/2021 | 10/31/2021 | | |
| O-210902-02 | Observation | M210902-1 | 9/2/2021 | Schedule Management | N/A | Meeting Schedule | As of 9/2/2021, an access to Sandbox is not available to DOTH. | Sl | Closed | N/A | N/A | N/A | 9/17/2021: Sl provided access to SAP Sandbox. | 9/30/2021 | 9/30/2021 | | |
| O-210902-03 | Observation | M210826-1 | 9/2/2021 | Resource Management | N/A | Replacement of Billing Consultant | Sl FHWA Billing Consultant is leaving the DOTH FMS project on 9/3/2021. | Sl | Closed | N/A | N/A | N/A | 9/9/2021: New AR/FHWA Billing consultant is hired and joining the project. | 9/16/2021 | 9/16/2021 | | |
| O-210916-01 | Observation | M210915-2 | 9/16/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Playback for each module only | Playback sessions are conducted by each module only DOTH is having a difficult time understanding the full continuous process cycle in SAP. | Sl | Closed | N/A | N/A | N/A | 9/16/2021: Sl and DOTH agreed that Playback will be conducted based on the DOTH business scenarios. 10/13/2021: Sl consultants demonstrated how SAP processes DOTH requirements from a high level point of view. DOTH submitted its own demo scenarios on 9/30/2021 but they were not part of demonstration that Sl delivered. | 10/15/2021 | 10/15/2021 | | |
| O-210923-01 | Observation | M210922-1 | 9/23/2021 | Quality Management | N/A | SAP Support Website | DOTH has given access to SAP Support Website. However, no instructions were provided on how to navigate and use the site. | Sl | Closed | N/A | N/A | N/A | 10/15/2021: There is an orientation to SAP Web Support planned for 10/19/2021. 10/19/2021: An orientation to SAP web Support meeting was held. | 10/31/2021 | 10/31/2021 | | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|--|---------|----------------------------------|--|-------------------|--------|--------|-------------|---|--|----------------------|------------|------------------|---|
| I-210930-01 | Issue | M210929-2 | 9/30/2021 | Schedule Management | GENERAL | Extension of Explore Phase | SI extended the Explore Phase one month to complete the explore workshops and deliverables including Document Fit/Gap Analysis, Process Design Documents (PDD), and Requirements Traceability Matrix. | DOTH/SI | Closed | High | N/A | Schedule should be reviewed and adjusted as needed. | 10/15/2021: No major updates. 10/31/2021: It is extended again to the middle of November 2021. 11/18/2021: The Explore Phase has not been completed yet. 12/2/2021: The Explore Phase has not been completed yet. There is no specific target date forecasted by SI. 12/31/2021: The Explore Phase has not been completed yet. There is no specific target date forecasted by SI. 1/31/2022: There is progress made with PDD, however Fit/Gap and RTM are being worked on as lower priority. Not completing RTM is leading to missed requirements that need additional explore sessions. 2/28/2022: PDD priorities were created and PDD reviews and validations are in progress. 3/31/2022: PDD reviews and validations are in progress. There is no specific target date forecasted by SI. 4/29/2022: A target date for Explore Phase closure was determined to be 5/31/2022. SI will schedule RTM meetings starting on the week of 5/9/2022. 5/31/2022: PDDs are still being reviewed. The first RTM review was held on 5/25/2022. 6/30/2022: Plant Maintenance, FHWA, and AR PDDs are still being reviewed and updated. The RTM review is in progress. 7/15/2022: Plant Maintenance and FHWA are still being reviewed and updated. The RTM review is in progress. 8/15/2022: Plant Maintenance PDDs have been conditionally approved. RTM is making progress. 9/30/2022: FHWA PDD is being reviewed and updated. RTM and Fit/Gap documents still need to be completed. 10/10/2022: FHWA PDD was conditionally approved by DOTH. Equipment, Gas and Oil, Stores (EGS) and DWR interface PDDs remain to be completed. 10/31/2022: EGS PDD and Labor PDD are being discussed and updated. 11/30/2022: All PDDs have been conditionally approved by DOTH. Other deliverables are still in progress. 12/15/2022: Fit/Gap document has been reviewed and is being updated. RTM is being updated based on the last review. 1/31/2023: Fit/Gap meeting was held on 1/17/2023 and the deliverable is being updated by SI. DOTH is waiting for submission of the deliverable. | 2/28/2023 | 2/28/2023 | | The remaining deliverables are tracked with I-211028-02 and I-211028-09 |
| I-211014-01 | Issue | M211013-2 | 10/14/2021 | Training and Knowledge Transfer | N/A | Training | SI provided DOTH key users with access to Sandbox, however, the users were not familiar with how to navigate and enter basic transactions. Project Team Trainings were held in May 2021 but they were more like introductions to SAP with screenshots of SAP data entries and reports. They were not designed to train DOTH Project Team on how to navigate and enter transactions in SAP and they did not include hands-on exercises. | SI | Closed | Medium | N/A | It is recommended that SI provide training and instruction on how to navigate and process basic transactions in the Sandbox. This will help DOTH project team to better understand SAP functions and assist with connecting DOTH requirements and business processes to SAP features. | 10/19/2021: SI project manager stated that there won't be any more project team trainings scheduled. DOTH requested one-on-one training with SI consultants on ad-hoc basis and SI project manager approved it. | 10/31/2021 | 10/31/2021 | O-211028-03 | |
| O-211014-01 | Observation | M211014-1 | 10/14/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | INT_PM | Implementation Scope | SI provided information on available functionalities for Inventory and Plant Maintenance modules for DOTH to decide on the implementation scope. | DOTH | Closed | N/A | N/A | DOTH needs to make a decision on whether or not to implement full scope of Inventory and Plant Maintenance modules. | 10/21/2021: DOTH requested that SI consultants provide more details on how DOTH process will change and what the impact will be for better decision-making. 11/3/2021: DOTH made a decision to include Inventory and Plant Maintenance modules in scope. | 11/18/2021 | 11/18/2021 | | |
| O-211014-02 | Observation | M211014-1 | 10/14/2021 | Solution Design and Configuration | GM | Implementation Scope | DOTH supplied SI with full business cycle information on MVSO processes to confirm if GM module fits DOTH needs. | SI | Closed | N/A | N/A | It is recommended that SI provide input on the implementation scope of GM module or if an alternative solution is needed. | 10/22/2021: SI consultant informed DOTH that he recommends GM to process MVSO requirements. | 10/31/2021 | 10/31/2021 | | |
| I-211014-02 | Issue | M211014-1 | 10/14/2021 | Documentation | N/A | Tracking Action Items | Action items in "Open Items Tracker.xlsx" are not monitored or followed up as often as they should be. The last update date of this document was 8/23/2021 as of 10/15/2021. | SI | Closed | High | N/A | Open action items list needs to be updated and monitored regularly in a timely manner and followed through completely and consistently as part of the ongoing project management. | 10/31/2021: Action items for both SI and DOTH should be logged with deadline and they need follow ups. 11/18/2021: No major updates. 12/2/2021: No major updates. It is difficult to get an accurate picture of open items. 12/31/2021: No major updates. 1/31/2022: This item will be triaged to I-220131-01 and tracked together with Issue Log. | 12/31/2021 | 12/31/2021 | I-220131-01 | |
| I-211014-03 | Issue | M211014-1 | 10/14/2021 | Resource Management | N/A | Replacement of SI Financial Lead | SI financial lead is leaving DOTH H4 project. She has been engaged in this project for more than six months and is the main core consultant who championed DOTH requirements and developed waterfall funding and labor solutions. | SI | Closed | Medium | N/A | It is recommended that knowledge transfer take place as soon as possible to assist with a smooth transition. | 10/25/2021: A new financial lead is onboard on-site and transition is in progress. | 11/18/2021 | 11/18/2021 | | This issue is no longer applicable. |
| I-211021-01 | Issue | M211021-1 | 10/21/2021 | Interface and integration | TL | H4 Inbound Interface from HIP | Interface from HIP to SAP for absences transactions and balances is currently not available and will have to be built by ETS upon approval. The request was submitted in Oct 2021 to ETS Governance Committee and ETS will assess the request and announce a result. | SI | Closed | Medium | N/A | N/A | 10/25/2021: ETS informed that it may not be feasible to add absence transactions and balances according to H4 timeline. 10/29/2021: ETS informed that the option of "Existing Interfaces with Modifications" was approved, however the other option of "New Interfaces" was not approved. 11/18/2021: No major updates. 12/1/2021: The H4 Project Team had a meeting with ETS/Payroll SI and resolved the current issue. | 12/2/2021 | 12/2/2021 | | |
| I-211021-02 | Issue | M211021-3 | 10/21/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | PDD | It is difficult for DOTH to determine if all of DOTH requirements are properly addressed and included in the correct sections in PDD since they are not cross-referenced in RTM and the requirements are not listed/referenced sequentially in PDD. | SI | Closed | Medium | N/A | It is recommended that when PDD is submitted the corresponding section/module of RTM needs to be completed for DOTH to track requirements coverage, since RTM is referencing PDD. | 10/28/2021: SI project manager stated PDD is to be completed first and RTM is a result of PDD, also PDD is a living document and if there are requirements from RTM that were missed then they will be updated in PDD. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: RTM is not completed and it is being tracked by I-211028-02. This item will be combined with I-211028-02. | 1/31/2022 | 1/31/2022 | I-211028-02 | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------|-----------------------------|---------------|---|---------|-----------------------|---|-------------------|--------|--------|-------------|---|--|----------------------|------------|------------------|--|
| I-211021-03 | Issue | M211021-4 | 10/21/2021 | Requirement Management (Processes, Requirements and FI/Gap) | GENERAL | PDD | It is difficult for DOTH users to understand and validate PDD because: - Some requirements were not reviewed and some were not discussed in detail. Clarification and SAP solutions for requirements have not been properly documented. - The project team training was conducted, however it was a generic introduction to SAP using PowerPoint slides. It didn't address DOTH requirements directly. - There were not enough hands-on trainings to understand SAP functions and features. Therefore, DOTH users are having a difficult time applying them to DOTH requirements. - Some DOTH critical core requirements were not discussed early enough in detail and not documented properly. | SI | Closed | High | N/A | It is recommended that: - SI and DOTH should confirm whether all the requirements are reviewed, clarified, and included in PDD. - More training catered to DOTH should be provided. - Core requirements should be considered to be a high priority. | 11/8/2021: No major updates.12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: All the initially planned PDD documents are submitted at least once. Most of them are going through rounds of DOTH's review and discussions. There were difficulty with understanding the PDD from each of the module having a different style and format for the process description and it was not standardized. Most of the PDD documents were showing incomplete information and DOTH asked for a revision. PDDs for Waterfall Funding, FHWA Billing and Plant Maintenance are still not submitted. 2/28/2022: More PDD sessions took place and SI showed SAP functionalities and processes in Sandbox, which helped DOTH understand PDDs better. However, there are still concerns about not being able to fully understand the document and SAP functionalities. 3/31/2022: PDD sessions continued to take place but DOTH users were still having difficult time understanding PDDs. More training and knowledge transfer need to be delivered to the DOTH Project Team. 4/29/2022: PDDs review and discussion sessions continued to take place regarding Waterfall Funding/Spilt, Payroll, Billing including Flexible Match, Taser Match, Central Federal Land, and County Pass Through, etc. More training and knowledge transfer are needed. 5/31/2022: All PDDs including FHWA Billing and Waterfall Funding are submitted and they are being reviewed. 6/30/2022: DOTH is having difficulty understanding and reviewing Plant Maintenance and FHWA PDDs. 7/31/2022: There are improvements made and there are a few remaining PDDs. 8/31/2022: All PDDs are conditionally approved except FHWA and it is currently being reviewed and updated. 9/30/2022: A few more meetings were held to review and validate FHWA PDD, which is still in progress. 10/10/2022: FHWA PDD was conditionally approved by DOTH. AS400 Interface PDDs remain to be updated or submitted by SI. 10/31/2022: Equipment, Gas and Oil, Stores (EGS) PDD has been submitted for DOTH review. The Time Sheet PDD is being updated to reflect the AS400 interface that H4 project team decided to implement. | 11/30/2022 | 11/30/2022 | | All PDDs have been approved by DOTH. |
| R-211028-01 | Risk | M211028-1 | 10/28/2021 | Schedule Management | GENERAL | PDD | The Go-Live date of 7/01/2022 may not be feasible due to: - Delays in deliverables. - Lack of solution design for DOTH critical core requirements - Lack of focus on DOTH critical core requirements. - Multiple core staff turnover (Project Manager, Fund Management Consultant, Two Assistant Project Managers, FHWA Billing Consultant, Financial/Integration Lead) | SI | Closed | High | High | It is recommended that: - Outstanding deliverables should be completed as soon as possible. - DOTH critical core requirements solution design needs to make progress. - DOTH critical core requirements should be higher priority. - Reasons for high turnover should be evaluated. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: Go-live date is planned to be discussed in mid-February. Go-Live date of 7/01/2022 is deemed to be impossible to meet as of the assessment date. 2/28/2022: The new Go-live date was tentatively planned to be updated in mid-February, however it is not announced by SI and it will be discussed after PDDs are complete. Currently, there is no Go-Live date set. 3/31/2022: A new Go-Live date still has not been set by SI. SI suggested that once PDDs are completed signed off, estimated Go-Live date can be established. DOTH requested that H4 project needs a new Go-Live date as soon as possible because project plan and resource scheduling requires a new Go-Live date. 4/29/2022: New Go-Live date will be re-assessed after PDDs are completed and accepted by DOTH in the Explore Phase. 5/31/2022: No major updates. 6/30/2022: The Go-Live dates of January 1, 2023, April 1, 2023, and July 1, 2023 were proposed by SI tentatively. | 7/31/2022 | 7/31/2022 | | The Go-Live date has been extended. |
| I-211028-01 | Issue | M211028-1 | 10/28/2021 | Reports and Analytics | GENERAL | Delay in Deliverables | The Analysis of Reporting Requirements was delayed and has not been completed. | SI | Closed | High | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: No major updates. 3/31/2022: There was an Analysis of Reporting Requirement meeting held on 3/7/2022 and SI decided to start analyzing DOTH reports first and get back to DOTH with a list of Standard Reports and Custom Reports. 4/29/2022: No major updates. 5/31/2022: No major updates. 6/28/2022: Analysis of Reporting Requirements was submitted for DOTH's review. 7/12/2022: A meeting was held for discussion and a revision will be submitted. 7/31/2022: A meeting was held on 7/27 and a revision has been submitted. 8/3/2022: DOTH conditionally approved Analysis of Reporting Requirements. | 8/15/2022 | 8/15/2022 | | Approved by DOTH. |
| I-211028-02 | Issue | M211028-1 | 10/28/2021 | Requirement Management (Processes, Requirements and FI/Gap) | GENERAL | Delay in Deliverables | The Requirements Traceability Matrix was delayed and has not been completed. | SI | Closed | High | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. Not going through the full DOTH requirements and not completing RTM before PDDs are completed are causing some requirements to be missed and that is causing multiple issues. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: SI is targeting RTM to be completed by 5/31/2022. 5/31/2022: The first RTM review was held on 5/25/2022 and topics covered were HR, Payroll, and Time Sheets. 6/17/2022: The RTM review for GL, AP, FA, PS were conducted. DOTH needs to review and provide feedback for SI to make any necessary adjustments. 6/30/2022: No major updates. 7/5/2022: The RTM review for Grant Management was conducted. 7/31/2022: The AR RTM was reviewed. 8/2/2022: The Purchasing RTM was reviewed. 9/16/2022: Feedback was provided for multiple-modules RTM. The PO RTM was reviewed. 10/31/2022: FHWA RTM was reviewed. 11/30/2022: FHWA RTM is being reviewed and updated. It is noticed that RTM is still being updated by SI. Therefore, it is recommended that SI finalize RTM first and submit it officially for DOTH's review. 12/31/2022: The RTM review for Federal Billing and Projects and Grants were conducted and DOTH is waiting for the updates. 1/31/2023: The RTM review was held for FHWA and Project System. It is being reviewed and updated. 2/28/2023: The RTM was conditionally approved on 2/2/2023. However, FA, HR, FHWA are being reviewed and updated. It is recommended that RTM be fully completed prior to FI/Gap. 3/31/2023: The RTM review was held for FA on 3/22/2023 and it is being updated. 4/30/2023: There are still some unresolved RTM items that need to be reviewed and clarified. It is recommended that DOTH and SI agree on the resolution of these remaining RTM items. 5/31/2023: The RTM has not been discussed this month and the issues remain unresolved. 6/30/2023: The FA RTM was discussed on 6/16/2023 and SI provided answers and explanations. It is recommended that SI update the conditionally approved RTM and ensure accuracy and completeness as defined in the DED. It is observed that requirements in RTM are still revisited and discussed during the FSD sessions. | 7/31/2023 | 7/31/2023 | | 1/31/2022: Updated to High Impact. 7/31/2023: For now, it is closed because RTM was conditionally approved and some remaining items needed review and discussion. However, the items that led to conditional approval should be revisited during the FSD review or as needed. |
| I-211028-03 | Issue | M211028-1 | 10/28/2021 | Training and Knowledge Transfer | N/A | Delay in Deliverables | The End User Training Strategy was delayed and has not been completed. | SI | Closed | Low | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/2/2021: SI submitted End User Training Strategy and DOTH's review is being in progress. 12/2/2021: DOTH review is being in progress. 12/31/2021: DOTH accepted End User Training Strategy. | 12/31/2021 | 12/31/2021 | | |
| I-211028-04 | Issue | M211028-1 | 10/28/2021 | Requirement Management (Processes, Requirements and FI/Gap) | N/A | Delay in Deliverables | The Process Design Documents (PDD) (Documented Business Process Model) was delayed and has not been completed. | SI | Closed | Low | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be tracked with I-211021-03. | 1/31/2022 | 1/31/2022 | I-211021-03 | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|--|---------|-----------------------|--|-------------------|-------------|--------|-------------|--|--|----------------------|------------|------------------|---|
| I-211028-05 | Issue | M211028-1 | 10/28/2021 | Interface and Integration | N/A | Delay in Deliverables | The Interface Plan was delayed and has not been completed. | SI | Closed | Low | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 11/24/2021: SI submitted and DOTD is reviewing it. 12/2/2021: DOTD requested a revision. 12/31/2021: No major updates. | 1/31/2022 | 1/14/2022 | | |
| I-211028-06 | Issue | M211028-1 | 10/28/2021 | Data Conversion | GENERAL | Delay in Deliverables | The Data Conversion Plan was delayed and has not been completed. | SI | Closed | Low | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: SI submitted draft and DOTD is reviewing. 2/28/2022: Data Conversion Plan review and updates are in progress. 3/31/2022: Data Conversion Plan review and updates are in progress. The Data Conversion Plan is supposed to contain more details according to the DED but H4 Project Team agreed that the details of Data Conversion such as data mapping, cleansing procedures, data extraction process, etc. can be included in the Functional Specification Documents. A follow-up meeting for project data conversion is scheduled for 4/4/2022. 4/4/2022: There was a meeting to clarify the outstanding data conversion plan items. Data Conversion Plan review and updates are in progress. 4/29/2022: No major updates. 5/22/2022: Data Conversion Plan was reviewed and approved by DOTD conditionally: Plant Maintenance Data Conversion is not included due to delay. | 5/31/2022 | 5/31/2022 | | |
| I-211028-07 | Issue | M211028-1 | 10/28/2021 | Production Migration | GENERAL | Delay in Deliverables | The Initial Deployment Plan was delayed and has not been completed. | SI | In Progress | High | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: No major updates. 5/31/2022: No major updates. 6/30/2022: No major updates. 7/31/2022: No major updates. 8/31/2022: No major updates. 9/30/2022: No major updates. 10/31/2022: SI stated that they will follow up and get back to DOTD with updates. 11/30/2022: No major updates. 12/31/2022: The Initial Deployment Plan still has not been submitted to DOTD. 1/31/2023: No major updates. 2/28/2023: No major updates. 3/31/2023: No major updates. 4/29/2023: No major updates. 5/31/2023: No major updates. 6/30/2023: No major updates. 7/31/2023: No major updates. 8/11/2023: SI submitted the DED. 9/30/2023: No major updates. 10/31/2023: DED is approved. 11/30/2023: No major updates. 12/31/2023: No major updates. 1/31/2024: No major updates. 2/29/2024: No major updates. 3/31/2024: No major updates. 4/30/2024: No major updates. 5/31/2024: SI submitted Initial Deployment Plan on 5/16 and DOTD is reviewing it for questions and comments. 6/30/2024: DOTD has reviewed the initial deployment plan, responded with comments, and has requested a revised document that includes comprehensive responses and complete details. | 6/30/2024 | | | 11/30/2023: The impact has escalated due to a delay in the deliverable submission. |
| I-211028-08 | Issue | M211028-1 | 10/28/2021 | Solution Design and Configuration | GENERAL | Delay in Deliverables | The Technical Infrastructure Plan/Design was delayed and has not been completed. | SI | Closed | Medium | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: SI submitted Technical Infrastructure Plan/Design and DED for DOTD's review. 10/31/2022: DED is approved. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/14/2022: Technical Infrastructure Plan/Design document was submitted with very generic information and it also included another client's implementation information. The document should be reworked and resubmitted. 3/31/2022: No major updates. 4/29/2022: No major updates. 5/31/2022: Technical Infrastructure Plan/Design was submitted on 5/19/2022 and is being reviewed. DOTD provided feedback on the document. It is recommended that SI hold a review session for the document. 6/17/2022: DOTD and SI reviewed Technical Infrastructure Plan/Design in the meetings. 6/21/2022: DOTD conditionally approved Technical Infrastructure Plan/Design. | 6/30/2022 | 6/30/2022 | | 6/21/2022: DOTD conditionally approved Technical Infrastructure Plan/Design. |
| I-211028-09 | Issue | M211028-1 | 10/28/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | GENERAL | Delay in Deliverables | The Document Fit/Gap Analysis was delayed and has not been completed. | SI | Closed | High | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. This is directly impacting the project schedule. 2/28/2022: No major update. 3/31/2022: No major updates. 4/29/2022: SI is targeting Fit/Gap Analysis to be completed by 5/31/2022. 5/31/2022: No major updates. 6/30/2022: No major updates. 7/31/2022: No major updates. 8/31/2022: No major updates. 9/30/2022: No major updates. 10/31/2022: No major updates. 11/8/2022: SI submitted a draft Fit/Gap for DOTD review. It is recommended that RTM and PDD be completed first before submitting Fit/Gap because RTM is a prerequisite of Fit/Gap. 11/30/2022: Since RTM is not finalized and it is being continuously updated, it is difficult to review and validate Fit/Gap with the incomplete RTM. It is recommended that RTM be completed accurately and thoroughly as soon as possible. It is concerning that WRICEF items have not been discussed and validated in detail with DOTD which may lead to incorrect specification of WRICEF; it is impacting Fit/Gap and FSD where requirements are incorrectly understood. 12/1/2022: Fit/Gap meeting was held to make progress on the deliverable. 1/31/2023: Fit/Gap meeting was held to review FHWA and Project System. It should be completed as soon as possible to review FSDs accordingly. 2/28/2023: A change order for Fit/Gap was submitted on 2/15/2023 and a review meeting was held on 2/23/2023. It is being reviewed and updated for resubmission to DOTD. | 3/31/2023 | 3/31/2023 | | 1/31/2022: Impact was raised to Medium. 3/31/2023: The Fit/Gap deliverable was conditionally approved. |
| I-211028-10 | Issue | M211028-1 | 10/28/2021 | Schedule Management | N/A | Delay in Deliverables | The Project Management Plan was delayed and has not been completed. | SI | Closed | Medium | N/A | It is recommended that SI complete the deliverable as soon as possible. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/15/2022: SI submitted and DOTD approved the deliverable. | 2/16/2022 | 2/16/2022 | | |
| O-211028-01 | Observation | M211028-1 | 10/28/2021 | Solution Design and Configuration | N/A | PDD | Implementation of Inventory and Plant maintenance modules have not been decided. Project Design Document (PDD) does not reflect System/Configuration alternatives on DOTD's decision of whether or not to carry out inventory and plant maintenance module with full implementation scope. | DOTD/SI | Closed | N/A | N/A | It is recommended that Project Design Document (PDD) include potential system/configuration solutions depending on DOTD's implementation scope decision. | 11/3/2021: DOTD made a decision to include Inventory and Plant Maintenance modules in scope. | 11/18/2021 | 11/18/2021 | | |

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|-------------|-------------|-----------------------------|---------------|--|---------|--|---|-------------------|--------|--------|-------------|--|--|----------------------|------------|--------------------------|---|
| O-211028-02 | Observation | M211028-1 | 10/28/2021 | Risk/Issue Management | N/A | Issue Log | Some items from issue log are being discussed without detailed resolution or follow-up. | DOH/SI | Closed | N/A | N/A | It is recommended that the issue log be reviewed and discussed in more detail with proper SI resources and resolution should be discussed the PMO meeting. A separate meeting or inviting the proper SI resource during the PMO meeting may be required. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be triaged to I-220131-01 and tracked together with issue log. | 1/31/2022 | 1/31/2022 | I-220131-01 | |
| O-211028-03 | Observation | M211028-1 | 10/28/2021 | Training and Knowledge Transfer | N/A | Training | DOH project team members are not familiar with H4 system functions and features for POD review and having difficulty applying them to DOTH's requirements. | DOH/SI | Closed | N/A | N/A | It is recommended that DOTH project team members request DOTH-specific one-on-one, hands-on training and question and answer sessions for more familiarity with H4 because the project team training conducted by SI in May 2021 was based on generic and high-level non-DOH specific requirements without much detail, nor live system demo with exercises. | 11/18/2021: No requests for trainings have been made. Training for the project team members should be conducted as soon as possible. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be tracked with I-211021-03. | 1/31/2022 | 1/31/2022 | I-211021-03 | |
| O-211031-01 | Observation | M211028-1 | 10/31/2021 | Resource Management | N/A | Resource Qualification | There are turnovers in SI project team members. Some team members need more time to understand information related to FHWA and DOT processes. | DOH/SI | Closed | N/A | N/A | SI and DOTH should confirm that the consultants meet the qualifications as stated in the RFP, which includes FHWA experience and DOTH equivalent work experience. | 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be triaged to I-220131-02 as issue. | 1/31/2022 | 1/31/2022 | I-220131-02 | |
| O-211103-01 | Observation | M211103-1 | 11/3/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | PM | PM Implementation | Plant Maintenance implementation should not affect Go-Live on 7/1/2021. | DOH/SI | Closed | N/A | N/A | It is recommended that Plant Maintenance development is scheduled in order to not negatively impact Go-Live date for Wave I. It can go live with Wave II (or it can have its own schedule/Wave). Meanwhile, a manual upload of plant maintenance financial data to may need to be considered. | 12/2/2021: SI is reviewing a solution for Plant Maintenance Go-Live date. 12/31/2021: No major updates. 1/31/2022: No major updates. Go-live date is likely to be revised due to current standing of the project irrespective of Plant Maintenance module. This item will be closed and re-addressed if necessary in the future. | 1/31/2022 | 1/31/2022 | | |
| I-211108-01 | Issue | M211108-1 | 11/8/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | BD | Budget and Planning (SBP) | Budget and Planning (SBP) is a part of the H4 solution and it is supposed to encompass budget transactions, including DOTH's budget prep, execution, A-15, A-19, and A-21. However, SI proposed that solution design for A-15, A-19, and A-21 will remain in Funds Management until Budget and Planning consultant is available in the future. The H4 Project Team with the SBP consultant will determine the best solution for processing budget maintenance requirements: A-15, A-19, and A-21. | DOH/SI | Closed | Medium | N/A | It is recommended that H4 Project Team design a permanent solution that will best fit DOTH budget requirements from their first design by engaging the SBP consultant, instead of postponing designing the solution. | 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates and SI plans to start SBP in a later date. Wave 2 was planned to start by now, however schedule is postponed. SI plans to start Wave 2 after Wave I's PDD is completed and Explore phase is done. It is recommended to engage SBP consultant in the designing Budget related process and module. 2/28/2022: No major updates. | 2/28/2022 | 2/28/2022 | | There was a discussion session for FM and SBP and implementation will take both modules in account. More details will be discussed in the future, especially since Wave I implementation is delayed and direct coordination with Wave 2 SBP could take place. |
| O-211115-01 | Observation | M211115-1 | 11/15/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | PG | Waterfall Funding Solution | A back-end split waterfall funding solution for FHWA billing is generally more common in the Department of Transportation Highways. However, the Department of Transportation Highways in Hawaii runs on a front-end split waterfall funding with many funds/appropriations. During the procurement process of a new DOTH Financial Management System, SI proposed and confirmed that a front-end split waterfall funding would fit DOTH's requirements the best. When H4 project started, the financial lead took leadership and discussed a broad overview of how the future front-end split waterfall funding could work in SAP. Soon after, the financial lead left H4 project and SI confirmed again that a front-end split waterfall funding is still the best solution for DOTH. | SI | Closed | N/A | N/A | N/A | 12/2/2021: No major updates. 12/31/2021: No major updates. 1/14/2022: This item is triaged to issue: I-220114-01 with the current status and update. | 1/31/2022 | 1/31/2022 | I-220114-01 | |
| I-211115-01 | Issue | M211115-1 | 11/15/2021 | Resource Management | FB | Consultants for FHWA | Waterfall funding/Split is a core critical requirement for H4, however Waterfall funding/Split was not discussed as much as it should be throughout the Explore Phase. It only started to be discussed recently as an integrated solution during FHWA Billing session | SI | Closed | Medium | N/A | It is recommended that waterfall funding/Split solution be designed by SI as soon as possible. | 12/2/2021: A whiteboard session is scheduled on 12/8/2021. DOTH held a workshop and presented again how DOTH processes Waterfall funding/Split. 1/31/2022: This item stems from Requirements not being discussed and that will be tracked with I-211028-02. Waterfall funding solution is being discussed is tracked with I-220114-01. | 1/31/2022 | 1/31/2022 | I-211028-02, I-220114-01 | |
| I-211115-02 | Issue | M211115-1 | 11/15/2021 | Resource Management | FB | Consultants for FHWA | Workshops related to Split/Waterfall funding require all consultants to participate because this requirement impacts the various DOTH requirements, including procurement, invoice, payroll, timesheet, project, etc. However, some consultants did not attend the Split/Waterfall-related workshops. | SI | Closed | Medium | N/A | FHWA Billing Process starts from cost collection where participation costs are incurred. It involves Fund Management, Requisitions, Purchase Orders, Accounts Payables, and General Ledger. Therefore, respective consultants should attend FHWA related meetings to collaborate and to develop an integrated solution for waterfall funding and FHWA billing. | 12/2/2021: No major updates. 12/8/2021: Most consultants attended the 12/8 Split/Waterfall whiteboard meeting. Because this topic is a critical topic, continuous participation in the meetings related to this topic is a must. 1/31/2022: No major updates. 2/28/2022: Some progress has been made. However, continuous participation is needed to keep making progress. 3/31/2022: Continuous participation is needed to keep making progress. | 4/29/2022 | 4/29/2022 | | This issue is closed because progress has been made. However, H4 Project Team will keep monitoring. |
| R-211118-01 | Risk | M211118-1 | 11/18/2021 | Solution Design and Configuration | FB | Waterfall Funding Solution | The consultants do not seem to have experience of FHWA with many appropriations and with front-end split. These are unique requirements that Hawaii DOTH have that adds to the difficulty of the project for the consultants to understand the process and design the solution. Some consultants have very limited experience in those fields and it amplifies the difficulty. Some explore sessions showed that there are still areas that require better understanding of the processes. | SI | Closed | Medium | Medium | There may need to be more sessions for a better and full understanding of the FHWA Billing, front-end split, waterfall funding, many-to-many relationship with appropriations and projects, along with any other module or area that need more information for PDD. The H4 Project Team should ensure the implementation consultants meet the qualifications discussed in the RFP. | 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. Lack of experience with some consultants is becoming more apparent as the deliverables are submitted. This item is being triaged to issue: I-220131-02 | 1/31/2022 | 1/31/2022 | I-220131-02 | |
| I-211202-01 | Issue | M211202-1 | 12/2/2021 | Quality Management | GENERAL | Errors, Omission, Inaccuracy in Deliverables | Some SI Deliverables contained errors and misinformation such as incorrect project name, other client's system architecture, missing/incomplete contents, etc. E.g., Technical Infrastructure Plan/Design, Project Standard Strategy, Scope Management Strategy, etc. | SI | Closed | High | N/A | It is recommended that deliverables are more carefully prepared, reviewed and proofread by SI document quality team before submitting to DOTH for review. | 1/31/2022: January has been mainly focused on PDD documents, however the documents were not well standardized. In addition, other documents showing untimely information and documents with noticeably templated information not specified for DOTH are frequently present. 2/14/2022: Technical Infrastructure Plan/Design document was submitted with very generic information and it also included another client's implementation information. The document should be reworked and resubmitted. 3/31/2022: Continuous monitoring is needed to improve quality of deliverable documents. 4/29/2022: Only PDDs and MDDs have been submitted and there has been some progress made, but other outstanding documents have not made progress. 5/31/2022: PDD and Technical Infrastructure Plan/Design were submitted and progress was made, but other outstanding documents have not made progress. | 6/30/2022 | 6/30/2022 | | These issues have not been observed in recent deliverables. |
| I-211202-02 | Issue | M211202-1 | 12/2/2021 | Quality Management | N/A | Process Flow Formatting | Consultants worked on PDDs based on their responsible business areas. However, Process Flows Diagrams are not standardized in PDDs | SI | Closed | Low | N/A | N/A | 1/31/2022: This item will be closed and be tracked together with I-211021-03. | 1/31/2022 | 1/31/2022 | I-211021-03 | |
| I-211216-01 | Issue | M211216-1 | 12/16/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Level of Detail/Accuracy on PDD | SI and DOTH had different views on what information and level of details PDD should include. SI is looking at PDD from a higher level/summary perspective compared to DOTH and DOTH is requesting PDD to be more detailed in order to understand the document and the To-Be processes fully. | DOH/SI | Closed | Medium | N/A | PDD should be developed and compiled based on the Deliverable Expectation Document and SI and DOTH should come to an agreement on where the discrepancies are with the expectations for the documents. | 1/27/2022: The level of details and contents supposed to be included in PDD were discussed and the decision was made to follow the guidelines and instructions defined in PDD DEP. | 1/31/2022 | 1/31/2022 | | |

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|-------------|-------------|-----------------------------|---------------|--|---------|-----------------------------------|---|-------------------|--------|--------|-------------|--|---|----------------------|------------|------------------|--|
| I-220114-01 | Issue | M220119-1 | 1/19/2022 | Solution Design and Configuration | GENERAL | Waterfall Funding Solution | SI presented the Waterfall Funding solution with three options: Front-End Split, Back-End Split, and Hybrid. These options were already presented and discussed during the procurement process and, currently, nine-months into the project there is still no solid resolution or decision regarding the Waterfall Funding requirement. | SI | Closed | High | N/A | Waterfall funding is a Critical Core Requirement and design solution should be completed as soon as possible, especially since it impacts multiple areas of the System, and it may also impact the schedule. | 2/10/2022: A Waterfall Funding meeting was held and the H4 Project Team discussed three options, improvement types, and program codes. Review and updates are in progress. 3/31/2022: No major updates. SI and DOTM need to collaborate to decide on the solution design. 4/12/2022: SI presented a Waterfall Funding solution overview and DOTM is waiting for FHWA documentation. 4/27/2022: More Waterfall Funding and Billing meetings were held. DOTM is waiting for FHWA PDD. 5/24/2022: FHWA and Waterfall Funding PDD meeting was held and the PDD is being reviewed. 6/30/2022: FHWA PDD is being reviewed and updated. 7/13/2022: FHWA PDD meeting was held and the PDD is being updated. 7/26/2022: FHWA PDD meeting was held and the PDD is being updated. 8/31/2022: FHWA PDD meeting was held and the PDD is being reviewed and updated. 9/8/2022: FHWA PDD meeting was held and utility agreement was discussed. 9/30/2022: FHWA PDD meeting was held and FHWA solution designs for various business cases were reviewed and discussed. 10/10/2022: FHWA PDD was conditionally approved by DOTM. Key Design Document (KDD) addressing Waterfall Funding solution designs is being created by SI for DOTM review and approval. 11/29/2022: There were a few Key Design Document (KDD) meetings held. KDD is being reviewed and updated. 12/31/2022: No major updates. | 1/31/2023 | 1/31/2023 | | Major design (Front End Waterfall Funding) has been selected and progress is being made. |
| I-220114-02 | Issue | M220127-2 | 1/27/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | PD | RTM | The Blanket Encumbrance requirement was discussed in detail on 1/11/2022 for the first time. This is a result of not going over DOTM requirements first in the beginning of the project. This issue has been raised multiple times but was not resolved. Currently PDD is being developed before RTM is completed. | DOTM/SI | Closed | High | N/A | RTM needs to be completed as soon as possible to eliminate any requirements that may need more discovery and to confirm that all the requirements went through a proper explore process. | 2/28/2022 | 2/28/2022 | | | PDD was submitted and discussion session took place. PDD review by DOTM is in progress. |
| O-220114-01 | Observation | M220127-1 | 1/14/2022 | Contract Management | N/A | PDD Authority to Modify | The clauses under "Authority to Modify" section in PDD proposed by DOTM are rejected by Implementation Contractor even though the clauses are from the Contract. | SI | Closed | N/A | N/A | N/A | 1/31/2022: SI will use DOTM proposed clause in the PDD documents. | 1/31/2022 | 1/31/2022 | | |
| I-220114-03 | Issue | M220127-1 | 1/27/2022 | Schedule Management | GENERAL | Wave 2 | According to the project timeline, Wave 2 was supposed to start in December 2021. However, there are currently no Wave 2 activities that IV&V team is aware of, including the Wave 2 Kick-off meeting. | SI | Closed | High | N/A | At the current rate of progress, a Go-Live date of July 1st, 2022 will be extremely difficult to meet. The project schedule is planned to be revisited in mid-February for possible updates in the schedule. Wave 2 is planned after the completion of the Wave 1 Explore phase. The Wave 2 schedule should be revisited at the same time as the Wave 1 schedule update. | 2/28/2022: The new Go-live date was tentatively planned to be updated in mid-February, however it was not announced by SI and it will be discussed after PDDs are complete. Wave 2 is also postponed, however the new time frame has not been proposed yet. Currently, there are no Go-Live date or Wave 2 timeline. 3/31/2022: SI needs to set a new Wave 1 Go-Live date and Wave 2 timeline. 4/29/2022: No major updates. 5/31/2022: No major updates. The project may need a change order to accommodate the current status of the project. 6/30/2022: SI mentioned that Wave 2 will start in July, 2022. 7/31/2022: No major updates. 8/31/2022: No major updates. 9/15/2022: SI shared information about SBP being replaced with a newer application in the near future and mainstream support will end in 2025 with optional two-year support extension. 9/30/2022: SI stated that additional information about SBP or its possible replacement application will be provided soon for DOTM review. 10/14/2022: DOTM decided to continue with the original scope of implementing SBP in Wave 2 instead of its possible replacement application. SI stated that Wave 2 would start in November 2022. 10/28/2022: Introductory SBP meeting was conducted with a Q&A session. 11/30/2022: SI is preparing the Wave 2 Kickoff meeting. 12/21/2022: Wave 2 SBP Budgeting Kick-off meeting was held. | 12/31/2022 | 12/31/2022 | | Wave 2 SBP Budgeting kick-off meeting was held. |
| R-220131-01 | Risk | M220119-1 | 1/31/2022 | Solution Design and Configuration | PG | Internal Order for Function Codes | SI initially proposed Internal Order (IO) to capture Infrastructure Type information for FHWA billing in September, 2021. However, SI recently revised the solution, a few months after their initial proposal, because SI discovered that IO cannot be a cost collector when Work Breakdown Structure (WBS) is used (IO and WBS can not be used as a cost collector simultaneously). | SI | Closed | High | High | This change in the FHWA billing solution design impacts multiple areas and a late change in design may consequently cause delays to the project schedule. The solution design should be finalized as soon as possible to minimize further impact. | 2/28/2022: The Waterfall Funding solution is being developed. Currently, three high-level options have been presented, however more detailed discussion is needed. 3/31/2022: SI proposed that Function Codes will be recorded in Functional Area. | 3/31/2022 | 3/31/2022 | | |
| R-220131-02 | Risk | M220119-1 | 1/31/2022 | Solution Design and Configuration | N/A | Program Codes | SI initially proposed Program Codes to be included in the Fund and it was rejected by DOTM because it will add unnecessary details and complexity to manage Appropriation codes and their balances. Program Codes are not tracked in GL financial reports nor in FAMIS. | SI | Closed | High | High | SI and DOTM need to explore possible options and weigh in pros and cons of each option as soon as possible to come up with a design resolution. | 2/28/2022: A few internal DOTM meetings were held to discuss these options and more detailed discussion is needed. | 2/28/2022 | 2/28/2022 | | This is consolidated with I-220114-01. |
| I-220131-01 | Issue | M220128-1 | 1/31/2022 | Risk/Issue Management | GENERAL | Open Items | Action Items in "Open Items Tracker.xlsx" and "Issue Log" are not followed-up on or not reaching detailed resolution. | DOTM/SI | Closed | High | N/A | Open Items Tracker and Issue Log need to be consistently monitored and resolution needs to be sought after in order to minimize project issues and reduce project risks. | 2/28/2022: No major updates. 3/31/2022: On 3/31/2022 PMO meeting, the previous Project Manager did not remember the "Open Items Tracker.xlsx" document and mentioned it is not being used or tracked. Issue Log still needs to be constantly reviewed, monitored and followed up. 4/28/2022: SI proposed to hold a meeting soon to review "Issue Log" list. 5/31/2022: During the PMO sessions, it was mentioned that H4 Project team will review and update with the current status and will follow up in the upcoming meetings. 6/30/2022: DOTM and SI reviewed and cleaned up Issue Log. There are 5 open issues. | 6/30/2022 | 6/30/2022 | | |

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| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------|-----------------------------|---------------|--|---------|-------------------------------|--|-------------------|--------|--------|-------------|--|--|----------------------|------------|------------------|--|
| I-220131-02 | Issue | M211028-1 | 1/31/2022 | Resource Management | GENERAL | Resource Qualification | A few SI consultants are missing some DOT requirements and PDD documents are not covering all the DOT processes and requirements. Certain information is incorrect in the PDDs and it is unsure whether SI consultants have a full understanding of DOT processes and requirements. Some consultants seemed to have limited experience with DOT and FHWA and need more time to understand information related to DOT and FHWA processes. | DOT/SI | Closed | Medium | N/A | SI and DOT should confirm that the consultants meet the qualifications as stated in the RFP equivalent work experience. | 2/28/2022: A high turnover on top of the limited DOT experiences of the consultants has been an issue that makes the project more challenging to be implemented. Another consultant (FHWA Billing) left the H4 project. SI found a replacement consultant, but he has not come to DOT on-site yet. 3/31/2022: A new FHWA Billing consultant joined the H4 project and started to work on AR and FHWA Billing. Waterfall funding and FHWA solution are still in development. If there is a turnover, it should be ensured that the consultant meets the qualification stated in the RFP. Consultants who are unfamiliar with FHWA and DOT requirements should attend other relevant meetings, especially including FHWA, to bridge the FHWA and DOT knowledge gaps. 4/29/2022: No major updates. Consultants including the new FHWA Billing resource continue to develop FHWA solution design. 5/31/2022: RTM review started on 5/25/2022 with HCM, Payroll, and Timesheets. RTM review will ensure that consultants cover all the requirements. 6/30/2022: The limited DOT experience on FHWA and the high turnover of consultants are causing multiple and duplicate discovery sessions over and over again, e.g., there were DOT lead whiteboard/discussion sessions explaining Waterfall Funding, Split, End to End Process, FHWA scenario-based requirements, etc. on 9/14/2021, 11/17/2021, 12/8/2021, 1/31/2022, and 4/12/2022. 7/31/2022: Progress has been made through additional meetings and discussions. 8/31/2022: Meetings for Plant Maintenance, FHWA PDD, and Charge Codes mapping were held and more requirements were discovered and discussed. 9/30/2022: A few consultants still do not seem to fully understand DOT business requirements and terminologies. 10/31/2022: Lack of DOT requirements and terminologies understanding by a few consultants continues to be an issue. 11/30/2022: It was observed during some FSD sessions that SI consultants are still in the process of discovering and understanding the details of DOT requirements. 12/31/2022: FSD meetings were held and requirements need to be discussed and clarified in more detail. 1/31/2023: FHWA solution design and FSDs are being discussed and developed. We are still observing that details of processes and requirements are being explored. 2/28/2023: It is observed that DOT requirements and processes have been discussed and clarified in more detail. 3/31/2023: More detailed processes were discovered during the FSD sessions and Security and Roles sessions. Subsequently, updates are required based on the discussions. | 4/30/2023 | 4/30/2023 | | It is merged with O-230309-01 |
| I-220131-03 | Issue | M220131-1 | 1/31/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | PG | RTM | Utility Agreement requirement was discussed in detail on 1/31/2022 for the first time. This is a result of not going over DOT requirements first at the beginning of the project. This issue has been raised multiple times but was not resolved. Currently PDD is being developed before RTM is completed. | SI | Closed | High | N/A | RTM needs to be completed as soon as possible to eliminate any requirements that may need more discovery and to confirm that all the requirements went through a proper explore process. | 1/31/2022: There was an Utility Agreement meeting and DOT explained the Utility Agreement requirements and processes. | 2/28/2022 | 2/28/2022 | | Project team needs to ensure that all the requirements have been covered. |
| I-220114-04 | Issue | M220127-1 | 1/14/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | PDD/RTM | There are more than 40 PDDs by-processes and each module has multiple PDDs. In order to understand processes of one module, multiple PDD should be reviewed and validated, which makes it difficult to get a full picture of each module and end-to-end process integration. PDD focused on processes and DOT requirements were not necessarily referenced by PDD documents. With multiple PDD documents covering each module, it is very difficult to know which requirements are covered by a PDD document and it makes it easy to miss a requirement. | DOT/SI | Closed | High | N/A | It is suggested that Requirements are fully reviewed and RTM be completed first, or at least parallel to PDD. There are multiple requirements that were missed and had to have late explore sessions because the requirements were not reviewed in full and RTM was not completed. | 1/31/2022: There are additional requirements still being discovered as addressed in I-220131-03, I-202131-04. Full review of requirements along with RTM should be treated as a high priority. | 2/28/2022 | 2/28/2022 | | RTM is in progress and will be reviewed to ensure that all the requirements have been covered. |
| I-220131-05 | Issue | O-210729-05 | 1/31/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | GENERAL | DOT Critical Core Requirement | A high-level solution for the DOT critical core requirement, "Accounting for Appropriated, Allotted, and Cash Authority," is still being developed by SI and not approved by DOT. | DOT/SI | Closed | Low | N/A | This is a critical core requirement and the solution design needs to be completed as soon as possible as High Priority. | 2/28/2022: PDDs are being reviewed and updated. 3/31/2022: PDDs are being reviewed and updated. E.g., Cash Authority is still being discussed for AP PDD. 4/14/2022: SI and DOT agreed that a custom cash report will be developed to meet AP cash check requirement. PDD is being updated and reviewed. | 4/29/2022 | 4/29/2022 | | AP PDD is approved with Cash Check solution design which is to develop a custom report equivalent to DOT Cash Advice report. |
| I-220131-06 | Issue | O-210729-06 | 1/31/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | GENERAL | DOT Critical Core Requirement | A high-level solution for the DOT critical core requirement, "Labor Compression," is still being developed by SI and not approved by DOT. | DOT/SI | Closed | High | N/A | This is a critical core requirement and the solution design needs to be completed as soon as possible as High Priority. | 2/28/2022: PDDs are being updated by SI. 3/10/2022: SI presented integration process from payroll to finance. There was a discovery session about how DOT processes labor at FAMIS, DAGS, and HWYAC. The more detailed journal entries and processes need to be reviewed and clarified in the next meeting. 4/28/2022: Payroll meeting was held to review Payroll journals to develop its solution design. 5/31/2022: Payroll PDD was reviewed and approved by DOT. However, there are a few remaining follow-up items that H4 Project Team needs to work on. E.g., 1. When to reclassify labor costs to Federal Appropriation, 2. Appropriation of Billing and Collection, 3. Temporary Appropriations for billing, etc. 6/30/2022: DOT is in the process of reviewing journal entries. 7/18/2022: DOT submitted questions and comments regarding payroll journals to SI. 8/31/2022: No major updates. 9/13/2022: DOT received responses to the questions DOT submitted regarding payroll journal entries. | 9/30/2022 | 9/30/2022 | | It will be noted as an open item in the PDD and will be further reviewed in the Realize phase. |
| I-220131-07 | Issue | O-210729-07 | 1/31/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | GENERAL | DOT Critical Core Requirement | A high-level solution for the DOT critical core requirement, "The State Financial Accounting System," has not been finalized yet. | DOT/SI | Closed | High | N/A | This is a critical core requirement and the solution design needs to be completed as soon as possible as High Priority. | 2/28/2022: PDDs are being reviewed and updated. 3/31/2022: PDDs are being reviewed and updated. SI stated that the detailed solution will be created and implemented in Realize Phase. | 3/31/2022 | 3/31/2022 | | |

Observation, Risk and Issues (ORI) 6/30/2024

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| I-220131-08 | Issue | M20127-1 | 1/31/2022 | Communication Management | GENERAL | Intra Team Communication | There are some requirements and processes that impact multiple modules, including waterfall funding, FHWA, etc. However, information is often siloed and it seems to not be communicated to the other consultants frequently. This results in multiple consultants asking for the same information on the same topic each time at different meetings. All key project team members to attend the meetings related to critical core requirements such as waterfall funding. Analyze each meeting's agenda to see if there are other consultants that should attend for related information. | SI | In Progress | High | N/A | More coordination and collaboration is needed to design and develop an integrated solution. Proactively communicate with other consultants on topics that may be relevant for another consultant. Meeting recordings should be utilized to understand the relevant topic for the related process in another module. Communication and collaboration still need to improve between SI consultants, especially with three consultants leaving the project. 11/30/2022: It has been observed that during SI meeting information is not being shared between modules, including basic information which impacts multiple modules. Since this information is not being shared among SI team members, DOTH has to re-explain basic information multiple times. 12/11/2022: More communication and collaboration are needed for integrated solution design. There have been siloed activities and approaches observed. 1/11/2023: Designing an integrated solution for FHWA and other modules will require additional collaboration effort, teamwork, and cooperation. The issues of siloed information and unrefined solution design are still observed between modules and cross-business areas where tight integration is needed. 2/28/2023: It is observed that more communication and collaboration are still needed for an integrated solution design. DOTH is still not clear on the end-to-end FHWA System solution. 3/31/2023: The issue regarding an integrated solution design was brought up in a PMO meeting. It was decided that there will be an integration checklist developed to keep track of issue and action items coming out of meetings that impact integration of modules. 4/30/2023: It is observed that additional communication, collaboration, and comprehensive solution architecture are necessary to achieve a fully integrated solution design as there are information gaps between the modules where the transactions impact each other. 5/31/2023: The lack of an integrated and comprehensive solution design still remains a concern. It is recommended that SI and DOTH work together to resolve this ongoing issue 6/30/2023. There is an ongoing concern regarding the absence of an integrated and comprehensive solution design. When a meeting is held, it is recommended that all responsible parties join the meeting for best facilitation. 7/31/2023: Some progress has been made through consultants attending meetings of cross-functional areas for integration efforts. For a fully integrated solution design, continuous communication, collaboration, and comprehensive architecture are needed to bridge information gaps between modules and interdependent transactions. 8/31/2023: It is observed that some cross-module dependencies were not fully explored and they may not function as anticipated. Inter-module discussion is needed. The challenges of siloed information and fragmented solution design persist across modules and cross-business areas where seamless integration is crucial. 9/30/2023: Three additional key consultants have left the H4 project, specifically in the roles of M/GM, OCM Lead, and Infrastructure Lead. This departure could potentially exacerbate the existing challenges related to integrated solution design, collaboration, and cohesive teamwork. 10/31/2023: Following the departure of five consultants in the last two months, another consultant responsible for GI, AP, CO, and FAMES started left the H4 project in October. This departure is exacerbating the ongoing challenges related to integrated solution design, collaboration, and cohesive teamwork. 11/30/2023: The challenges of siloed information and the need for a comprehensive solution design persist across various modules and cross-business areas where seamless integration and collaboration are crucial. This issue is amplified with multiple resources leaving the project. 12/31/2023: Another development lead consultant left the H4 project in December after six other consultants departed in the last three months. This was a core position which was responsible for working on WBECE items including cross-module functionalities, thus leading the development team. This departure is making it more difficult to design integrated solutions, collaborate, and work cohesively as a team. 1/31/2024: The challenges posed by working in a siloed manner persist, highlighting the necessity for a comprehensive solution design that spans various modules and cross-business areas. Additionally, the project still needs to fill key roles such as Financial/Integration lead and other functional and technical consultants, including areas for FA, AP, CO, GI, and WBECE. 2/29/2024: The absence of key roles such as the Financial/Integration lead and various consultants (FA, AP, CO, GI, WBECE) underscores the crucial need for a comprehensive integrated solution design that addresses multiple modules and challenges associated with working in silos. 3/31/2024: The persistent challenges arising from siloed work practices underscore the critical need for a holistic solution design with leadership and supervision that extends across multiple modules and interconnects various business domains to meet DOTH's end-user requirements. 4/30/2024: The ongoing challenges posed by isolated work practices highlight the urgent need for an integrated solution design. The solution design spans multiple modules and connects various business domains and in order to ensure DOTH's comprehensive requirements are met properly, apparent lack of project management, leadership, and oversight need to be addressed and improved. 5/31/2024: The ongoing challenges resulting from siloed work practices persist, highlighting the urgent need for more effective and efficient project management, leadership, and integrated solutions. 6/30/2024: No major updates. | 6/30/2024 | | | | |
| O-220131-01 | Observation | M20127-1 | 1/31/2022 | Schedule Management | GENERAL | System Configuration | SI started to configure H4 at risk before approval of PDD. | SI | Closed | N/A | N/A | N/A | 2/28/2022: No major updates. 3/31/2022: According to Phase Gate approach, SI is not supposed to configure H4 before fully completing the Explorer Phase. SI is continuing with the configuration and that could be a risk for SI. 4/29/2022: No major updates. 5/31/2022: Most of the PDDs are approved at this point. Closing the observation. | 5/31/2022 | 5/31/2022 | | |
| I-220101-04 | Issue | M220101-1 | 2/1/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | PO | RTM | SI missed reviewing Contract Ledger requirement during Discovery session and recently requested a discussion for this requirement. This is a result of not going over DOTH requirements first in the beginning of the project. This issue has been raised multiple times but suggesting the review of DOTH requirements before or together with PDD was not accepted. Currently PDD is being developed before RTM is completed. | SI | Closed | Medium | N/A | RTM needs to be completed as soon as possible to eliminate any requirements that may need more discovery and to confirm that all the requirements went through a proper explore process. | 2/1/2022: There was a discussion on the topic and PDD is being developed. | 2/28/2022 | 2/28/2022 | | |
| O-220126-01 | Observation | M220126-2 | 2/16/2022 | Training and Knowledge Transfer | N/A | Navigation Training | SI provided H4 Navigation training on 2/9/2022. This was the first hands on training provided by SI. There were Project Team Training sessions in the beginning of the project, however these were overview of SAP (Introduction to SAP) rather than hands on training for each module. | DOH/SI | Closed | N/A | N/A | It is recommended to have continuous hands on training sessions. | | 2/28/2022 | 2/28/2022 | It merged with I-211021-03. | |
| R-220223-01 | Risk | M220223-2 | 2/23/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | AP | Decentralizing AP Process | It was discussed that employees who initiate purchase also enter AP Invoices in the Branch. There are a few concerns with this approach: - training issue - employees have to learn new process and task - resource concern - resource shifting/reorganization may need to take place from change in workload - over decentralization and additional support - if there are any errors or if troubleshooting is needed then the System Accountant needs to support multiple people - control issue | DOH | Closed | Low | Low | Further discussion is recommended to ensure the new process will be manageable for the Purchase Requisitioner position. | 3/31/2022: No major updates. 4/26/2022: Two options for AP Invoice matching were presented by SI and preferred option turned out to be very error prone, which will have a negative impact on DOTH's decentralized AP Invoice entry procedure. 5/31/2022: No updates 6/30/2022: No updates. | 7/31/2022 | 7/31/2022 | | Invoice matching was addressed as an open item in AP PDD and will be discussed again during the Realize Phase. |

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| I-220224-01 | Issue | M220224-1 | 2/24/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | PO | Accounting Assignments | The project team discovered that expenditures cannot be charged to both Cost Center and Project at the same time. The current system allows to charge both Cost Center and Project simultaneously and tracks expenditures by Appropriation, Cost Center, Object Codes, and Charge Codes. | SI | Closed | High | N/A | Further discussions are recommended to ensure the expenditures are charged correctly according to DOTH's requirements. | 3/31/2022: SI stated that Sub Division and Projects are recorded in Fund Center and WSBE respectively. | 3/31/2022 | 3/31/2022 | | |
| O-220224-01 | Observation | M220224-1 | 2/24/2022 | Resource Management | GENERAL | Vacation Notice | Vacation notice should be provided at least two weeks in advance, if possible, to the related team members for meetings and resources planning purposes. | DOH/SI | Closed | N/A | N/A | N/A | 3/31/2022: No major updates. | 3/31/2022 | 3/31/2022 | | |
| I-220301-01 | Issue | M220301-1 | 3/1/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | AP | AP Invoice Matching | According to 3/1/2022 AP meeting, the current H4 does not have a functionality of matching invoices to a specific PO/Contract Suffix line(s) based on the user's need. SI proposed that DOTH creates PO/Contract line with only one suffix line. | SI | Closed | High | N/A | A single suffix line approach does not appear to be a feasible workaround for DOTH business process. An enhancement is needed if a standard functionality cannot meet invoice matching requirement. | 3/31/2022: A solution is still being developed by SI. 4/26/2022: Two options for AP invoice matching were presented by SI. The pros and cons were discussed and the option 1 seems preferable but customization is required to put data entry validation and to make data entry more user friendly. 5/31/2022: The issue was addressed as an open item in the PDD. | 6/17/2022 | 6/17/2022 | | The PDDs open items will be reviewed during the realize phase. |
| I-220301-02 | Issue | M220301-1 | 3/1/2022 | Contract Management | GENERAL | New Go-Live Date | Original Go-Live date was no longer feasible and a new date was supposed to be set in mid-February. However, no revision has been done for the Go-Live date and currently there is no target date for Go-Live. | SI | Closed | Medium | N/A | A Go-Live date should be set to track progress and to allocate resource accordingly. | | 3/31/2022 | 3/31/2022 | | Consolidated with R-211028-01 |
| I-220303-01 | Issue | M220303-1 | 3/3/2022 | Training and Knowledge Transfer | GENERAL | Training | DOH requested weekly SAP training from SI, but SI stated that it is difficult due to resource constraints. SI suggested to bring up questions as needed to each respective consultant. | SI | Closed | High | N/A | One of the issues is the lack of SAP understanding that DOTH members have, and this makes it challenging to review PDDs and to make progress with the project. It is recommended that SI and DOTH both proactively work on bridging the knowledge gap for H4 by SI offering additional training sessions and DOTH requesting system training and information as needed. The training does not have to be a formal structured classroom session, but it could be an informal standing session once a week to keep DOTH users more familiar with H4 functionalities and features and to maintain the implementation momentum throughout the H4 project. | 3/31/2022: SI started to have a standing meeting every week for discussion and Q&A on Fund Management module. For non-FM related questions and discussion, FM consultant will bring respective module consultants as needed and provide answers or resolutions. The first FM Q&A session took place on 3/28/2022. 4/15/2022: Weekly Q&A sessions have been held to discuss open items, questions, and issues. 4/29/2022: Weekly Q&A sessions have been continuing. 5/31/2022: There were Q&A sessions throughout the month except for the last week of the month. 6/17/2022: Q&A sessions have not been held during the first three weeks of June. 7/15/2022: Q&A sessions have not been held since the middle of June. 7/31/2022: DOTH and SI should follow up with each other to confirm the plan for Q&A sessions. | 8/31/2022 | 8/31/2022 | | SI started Q&A will resume during the Realize phase because PDDs and RTM need more attention and they need to be prioritized over other deliverables. |
| O-220310-01 | Observation | M220310-2 | 3/10/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | AP | AP Invoice Payment | According to 3/10/2022 AP meeting, H4 does not have a standard functionality of selecting invoices to be paid based on a branch or a district. | SI | Closed | N/A | N/A | An enhancement is needed if a standard functionality cannot meet invoice selection requirement. | 3/30/2022: SI consultant demonstrated how invoices can be selected for payment based on Business Area or user specific invoice selection criteria. | 3/31/2022 | 3/31/2022 | | |
| O-220314-01 | Observation | M220314-1 | 3/14/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | PM | Journals | DOH currently first expenses out inventories and equipment purchases, and then the equipment is reclassified to fixed assets at the fiscal year-end. Inventories are not reflected on the Balance Sheet. SI proposed that purchases of inventories and equipment are charged to Asset account in FI and charged to Expense account in FM for the budgetary control purpose. | DOH/SI | Closed | N/A | N/A | This proposed solution needs to be reviewed and validated by DOTH. | 3/31/2022: No major updates. 4/29/2022: No major updates. 5/31/2022: H4 Project Team needs to review journal entries and come to an agreement. 6/30/2022: Journal Entries were included in PDDs as a question or comment. They are being reviewed and discussed in PDD. 7/31/2022: PDDs are being reviewed by DOTH. 8/3/2022: PM PDDs are conditionally approved, which includes inventory and equipment journal entries. | 8/15/2022 | 8/15/2022 | | Conditionally approved by DOTH |
| O-220316-01 | Observation | M220316-2 | 3/16/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | IVT | Material Group | SI and DOTH need to work together to design UNSPSC values and level of detail as Material Group for both inventory and non-inventory items including goods and services in H4. | DOH/SI | Closed | N/A | N/A | N/A | 3/31/2022: No major updates. 4/29/2022: No major updates. 5/31/2022: No major updates. | 6/30/2022 | 6/30/2022 | | UNSPSC will be implemented during the Realize Phase. |
| O-220328-01 | Observation | M220328-2 | 3/28/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | GL | Journals | Journal Entries (JE) that H4 generates in the various business areas, such as procurement, payable, receivable, billing, fixed asset, payroll, etc., had not been reviewed. DOTH recently asked journal entry questions by submitting journal entry forms with DOTH business scenarios "Procure to Fixed Assets," and SI filled out the forms and did a presentation on 3/28/2022. | DOH/SI | Closed | N/A | N/A | N/A | 3/28/2022: SI and DOTH reviewed journal entries for procure to fixed asset cycle. Appropriations and Cost Centers Fixed Assets are charged to during acquisition need to be discussed in more detail because they may be reclassified to General Fixed Assets Account Group. 4/29/2022: DOTH needs to follow up on a few outstanding items. (E.g., Fixed Asset Appropriations, Sub-Divisions, etc.) 5/31/2022: H4 Project Team needs to discuss and resolve any issues or concerns regarding journal entries. 6/30/2022: Journal Entries are being reviewed and verified. 7/18/2022: DOTH submitted questions and comments regarding Procure to Fixed Assets journal entries to SI. 8/31/2022: No major updates. 9/14/2022: DOTH received responses to the questions DOTH submitted regarding Fixed Asset journal entries. 9/30/2022: DOTH submitted additional questions and provided comments. 10/31/2022: FA and FHWA PDDs addressing the journal entries have been conditionally approved. The journal entries will be discussed further in the next phase. | 10/31/2022 | 10/31/2022 | | |
| O-220331-01 | Observation | M220331-1 | 3/31/2022 | Resource Management | GENERAL | Resource Turnover | The project manager and assistant project manager left the H4 implementation project. The Engagement Manager will assume the project manager position and started working on the project. There is no replacement assistant project manager identified at this point. | SI | Closed | N/A | N/A | Continuous staff turnover is a concern for this project. | 4/15/2022: PMO meetings have been held with the new project manager. | 4/29/2022 | 4/29/2022 | | The new project manager has been fully engaged and made a transition. |
| I-220331-01 | Issue | M220331-1 | 3/31/2022 | Schedule | GENERAL | Go-Live Date | SI stated during the PMO meeting in February 2022 that a Go | SI | Closed | High | N/A | SI needs to propose if Plant Maintenance module will | 4/29/2022: DOTH started to collect and compile Plant Maintenance, Inventory, and other | 10/14/2022 | 10/14/2022 | | |

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|-------------|-------------|-----------------------------|---------------|--|---------|---|--|-------------------|-------------|--------|-------------|---|--|----------------------|------------|------------------|---|
| I-220311-02 | Issue | M220311-1 | 3/31/2022 | Schedule Management | GENERAL | Go-Live Date | The Go-Live date of Wave 2 for Budget and Planning (SBP) has not set yet. | SI | In Progress | High | N/A | The Go-Live of Wave 2 for Budget and Planning (SBP) needs to be set as soon as possible because it impacts on the project plan, resource scheduling, and project management. It is recommended to weigh the pros and cons of merging Wave 1 and Wave 2 given that there is significant delay in the project progress. | 4/29/2022: No major updates. In accordance with meetings and discussions, it should be carefully considered that SBP goes live with other modules at once because it will eliminate any additional reconciliation process and streamline the whole end-to-end budget procedures if SBP goes live at the same time as FA. 5/31/2022: The issue of not discovering SBP functions and incorporating them into the current solution design was discussed again during the Project System PDD review. It is recommended that SBP functions and features need to be reviewed and considered when developing solution designs for Fund Management, Project System, FHWA requirements. 6/30/2022: No major updates. 7/31/2022: No major updates. 9/30/2022: SI will provide additional information for SBP or its replacement application, because SBP is planned to be unsupported in the near future. 10/14/2022: SI stated that Wave 2 would start in November 2022. However, the Go-Live date of Wave 2 has yet to be determined. 11/15/2022: SI is working with DOTH resources and preparing for a Kickoff meeting. 12/15/2022: There have been a few meetings for SBP clarification and in preparation of the Kickoff which is scheduled for 12/21/2022. 12/21/2022: Wave 2 SBP Budgeting Kick-off meeting was held. 1/31/2023: SI is working on the Prepare-Phase deliverables and preparing DOTH project team member training, however the Project Plan for Wave 2 has not been submitted yet and Go-Live date still has not been determined. 2/28/2023: SI provided training on 2/23/2023. No SBP project plan has been submitted to DOTH. 3/31/2023: SI submitted the Project Plan/Implementation Schedule for the Wave 2 Budget and Planning (SBP). It is being reviewed and updated. 4/30/2023: Project Plan/Implementation Schedule for Wave 2 is still being reviewed and updated. 5/31/2023: The Go-Live date of Wave 2 for Budget and Planning (SBP) will not be set until the Project Plan/Implementation Schedule for Wave 1 is completed. 6/30/2023: The Project Plan/Implementation Schedule for Wave 1 has not been completed. Therefore, the Go-Live date of Wave 2 for Budget and Planning (SBP) is not set. 7/31/2023: The Go-Live date of Wave 2 for Budget and Planning (SBP) has yet to be established because the H4 Project Team is waiting for the completion of the Project Plan/Implementation Schedule for Wave 1. 8/31/2023: No major updates. 9/30/2023: No major updates since the Wave 2 Go-Live date is dependent on the Wave 1 Project Plan/Implementation Schedule and no updated Wave 1 Project Plan/Implementation Schedule has been submitted. 10/31/2023: No major updates. 11/30/2023: SI and DOTH are collaborating on the review of the Project Plan/Implementation Schedule. Currently, they are working to resolve the issue of work breakdown structure and resource allocation. 12/31/2023: SI and DOTH are actively working together to address and rectify the issues related to the work breakdown structure and resource allocation for the Project Plan/Implementation Schedule. 1/31/2024: The Go-Live date for Wave 2 of Budget and Planning (SBP) has not yet been determined. This is because the H4 Project Team is awaiting the completion of the Project Plan/Implementation Schedule for Wave 1 before finalizing the schedule for Wave 2. 2/29/2024: SI submitted an updated Project Plan/Implementation Schedule for Wave 1 and DOTH is reviewing it. 3/31/2024: SI, ETS, and DOTH are currently reviewing the revised version of the Project Plan/Implementation Schedule. The Go-Live date for Wave 2 of Budget and Planning (SBP) has yet to be determined. 4/30/2024: The review and update of the Project Plan/Implementation Schedule is still in progress. The Project Plan/Implementation Schedule has not been completed yet. 5/31/2024: No major updates. 6/30/2024: No major updates. | 6/30/2024 | | | |
| O-220407-01 | Observation | M220407-1 | 4/7/2022 | Contract Management | GENERAL | PDD | There were discussions around approval of PDD. There was supplementary DED providing additional information and conditions to make progress in finalizing PDDs. | DOTH/SI | Closed | N/A | N/A | N/A | | 4/29/2022 | 4/29/2022 | | The new DED was approved by DOTH. |
| O-220412-01 | Observation | M220412-1 | 4/12/2022 | Solution Design and Configuration | PG | Program Codes | DOTH and SI discussed a new Fund structure and decided not to combine Appropriations and Program Codes into the Fund field. Program Codes will be captured as part of Project Codes. | DOTH | Closed | N/A | N/A | N/A | | 4/29/2022 | 4/29/2022 | | Previously this item was identified as Risk: R-220131-02 and the risk item is closed. |
| R-220418-01 | Risk | M220418-2 | 4/18/2022 | Solution Design and Configuration | PO | PR Approval Hierarchy | The current approval hierarchy of Purchase Requisitions are complicated and has more than 10 levels. This may cause delays in approval and needs high maintenance. | DOTH/SI | Closed | High | High | It is recommended that DOTH review the process flow with SI and consider streamlining the approval process. | 5/31/2022: No major updates. 6/30/2022: No major updates. | 7/31/2022 | 7/31/2022 | | The PR PDD has been conditionally approved by DOTH and the PR approval hierarchies can be revisited during the Realize Phase. |
| I-220427-01 | Issue | M220427-2 | 4/27/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | FA | FA PDD | Some basic standard functionality in Fixed Assets were not able to be presented due to Sandbox errors. E.g., Fixed Assets Transactions. | SI | Closed | High | N/A | It is recommended that Sandbox systems are maintained to be in working order to be able to review as needed to help PDD discussions. | 5/15/2022: FA PDD was reviewed and approved by DOTH with a few open items. E.g., 1. Journal Entries from Procure to FA (Equipment/Vehicles), 2. Barcode process, etc. | 5/31/2022 | 5/31/2022 | | 5/31/2022: PDD document was continually approved thus closing the issue. |
| I-220428-01 | Issue | M220428-1 | 4/28/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | FA | Barcode Solution | Barcode solution for physical inventory in H4 is still pending. Barcode software and hardware have not been proposed yet by SI. | SI | Closed | Low | N/A | It is recommended that Barcode solution needs to be developed as soon as possible. | 5/31/2022: No major updates. 6/30/2022: Barcode solution for physical inventory is set as an open item in a PDD. | 6/30/2022 | 6/30/2022 | | |
| O-220428-01 | Observation | M220428-1 | 4/28/2022 | Resource Management | GENERAL | New Resources | DOTH recently hired two additional system accountants and they are engaged with the H4 project. | DOTH | Closed | N/A | N/A | N/A | | 4/29/2022 | 4/29/2022 | | DED has been approved. |
| O-220513-01 | Observation | M220513-1 | 5/13/2022 | Training and Knowledge Transfer | GENERAL | Training Project Team Members | DOTH and SI had multiple discussions regarding training guide for project team member training. DOTH's and SI's request and offering do not line up currently and they are working on coming to an agreement in PMO meetings. | SI | Closed | N/A | N/A | N/A | 5/31/2022: The DED for training project team members is being reviewed. | 6/30/2022 | 6/30/2022 | | DED has been approved. |
| O-220513-02 | Observation | M220505-1 | 5/13/2022 | Resource Management | N/A | Replacement of DOTH Procurement Officer | DOTH Procurement Officer departed the H4 Project. | DOTH | Closed | N/A | N/A | PMO and IV&V should check and monitor if there's a smooth transition in roles and responsibility of DOTH Procurement Officer. | 5/31/2022: The position has not been filled but DOTH is managing it by allocating work to other HWY-SF personnel. | 5/31/2022 | 5/31/2022 | | |
| O-220531-01 | Observation | M220519-1 | 5/31/2022 | Communication Management | GENERAL | Project Team Members | More participation and feedback from DOTH during the PDD review and meetings with SI will help identify and improve inefficient processes, automate the repetitive manual processes, and prioritize the functional capabilities of the SAF system. | DOTH | Closed | N/A | N/A | N/A | | 6/30/2022 | 6/30/2022 | | |
| O-220531-02 | Observation | M220519-1 | 5/31/2022 | Schedule Management | GENERAL | Postpone Tasks to Realize Phase | Some tasks that need to be completed in the Explorer Phases are pushed to the Realize Phase such as demonstrating functionality, solution design, and reports. | DOTH/SI | Closed | N/A | N/A | It is recommended that H4 Project Team conforms to the phase gate process and ensure that all of deliverables and tasks are completed before moving to the Realize Phase. | 6/30/2022: There is progress being made. 7/31/2022: There is incremental progress being made on demonstrating functionality and solution design but not on reports. 8/31/2022: Review and assessment of H4 standard and custom reports were pushed to the Realize phase. IV&V sees this as a risk of rework and incorrect configuration in Realize phase. | 8/31/2022 | 8/31/2022 | | Analysis of Reporting Requirements was approved. |
| R-220531-01 | Risk | M220519-1 | 5/31/2022 | Contract Management | PM | Plant Maintenance Module Scope | The detailed requirements of the Plant Maintenance module replacing AS400 are being identified and created by DOTH as SI requested. | DOTH/SI | Closed | Medium | Medium | It is recommended that H4 Project team define requirements and scope as soon as possible to minimize the overall project impact. The scope of Plant Maintenance implementation and the Go-Live approach need to be strategically reviewed and carried out to achieve the DOTH's intended goals and objectives of the H4: HWYAC replacement and Federal Billing. | 6/30/2022: Requirements have been presented to SI. | 6/30/2022 | 6/30/2022 | | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|--|---------|----------------------------------|--|-------------------|--------|--------|-------------|--|--|----------------------|------------|------------------|--|
| R-220601-01 | Risk | M220601-1 | 6/1/2022 | Solution Design and Configuration | GENERAL | Reports Analysis | Reports analysis - SI suggested that any report that can not be done will be handled as a WRICEF item during the Realize Phase. | SI | Closed | Medium | Medium | It is recommended to have a thorough analysis of reports to set up WRICEF items during the Explore Phase. | 6/28/2022: Analysis of Reporting Requirements was submitted for DOTH's review. There was no separate meeting and discussion with DOTH and SI to confirm the analysis of the reports. There may be some items that will require additional development among the ones that are identified as standard/configurable reports. 7/31/2022: A review meeting for Analysis of Reporting Requirements was held. SI submitted updated version and DOTH is in the process of reviewing it for approval. | 7/31/2022 | 7/31/2022 | | |
| R-220617-01 | Risk | M220616-1 | 6/17/2022 | Contract Management | PM | Plant Maintenance Module Scope | SI is analyzing Plant Maintenance (PM) requirements that DOTH created to assess which requirements can be implemented for Wave 1 and later phase. SI proposed the following options and H4 Project Team decided to implement Proposal 1. - Proposal 1: Implement Plant (PM) features and functionalities in SAP - Proposal 2: Continue using AS400 for Maintenance, Build an Accounting interface (only Time, Costs, Material) to SAP for posting to various Cost Centers / Projects / General Ledgers | DOH/SI | Closed | Medium | High | It is recommended to come to a scope agreement asap to ensure there are focused efforts toward the implementation with what is inside the scope. | 6/17/2022: DOTH elected Proposal 1 for the PM implementation and AS400 replacement, however after reviewing DOTH requirements for AS400 replacement SI suggested that full implementation to meet all the PM requirements defined by DOTH is not doable with the current budget. SI is assessing the requirements that DOTH prepared and will be presenting with options on how to move forward. 7/31/2022: SI stated during the PMO that PM Requirements analysis will be presented after PM PDDs are approved. 8/31/2022: Plant Maintenance requirements are being reviewed and discussed during the multiple meetings this month. 9/16/2022: Multiple PM meetings were held to review and discuss PM requirements. 9/30/2022: SI submitted two change orders for DOTH to evaluate regarding the scope of Plant Maintenance implementation. 10/6/2022: Two change orders were rejected and the original scope of requirements and utilizing interface have been requested by DOTH. 10/31/2022: AS400 interface for equipment usage, gas and oil, stores, and timesheet labor costs will be implemented as part of the original scope. | 10/31/2022 | 10/31/2022 | | |
| I-220617-01 | Issue | M220616-1 | 6/17/2022 | Quality Management | GENERAL | DED and Deliverable discrepancy | There are some discrepancies between the DED and the deliverable document from time to time and thus those documents are considered incomplete based on DED. The deliverable documents should be cross checked with the approved DED to ensure all planned content is covered. | SI | Closed | Medium | N/A | It is recommended that DEDs are properly followed in order for both parties to have accurate mutual expectations. | 7/31/2022: H4 Project Team is working together to reach an agreement. 8/31/2022: DEDs are being reviewed and updated. 9/30/2022: DEDs are being reviewed and updated. 10/31/2022: Functional Specification Document (FSD) DED has been approved. Other DEDs are being updated and discussed for approval. 11/15/2022: Some FSDs do not follow Table of Contents (TOC) from FSD DED and are missing expected contents. | 12/31/2022 | 12/31/2022 | | FSDs are following Table of Contents defined in DED. |
| I-220617-02 | Issue | M220616-1 | 6/17/2022 | Resource Management | GENERAL | Vacation Notice | Vacation notice should be provided at least two weeks in advance, if possible, to the related team members for meetings and resources planning purposes. | DOH/SI | Closed | Medium | N/A | It is recommended that any SMEs and consultants provide vacation notice in advance for the meetings to be scheduled accordingly without holding inefficient meetings. | | 6/30/2022 | 6/30/2022 | | Vacation calendar is available in Teams. |
| R-220630-01 | Risk | M220616-1 | 6/30/2022 | Contract Management | GENERAL | Go-Live Date | SI needs to set a new Wave 1 Go-Live date and Wave 2 timeline. A change order is needed to address not being able to go-live on 7/1/2022 as originally scheduled. | DOH/SI | Closed | Medium | Medium | It is recommended that SI and DOTH come to an agreement on future direction of the project including new Go-Live date, contractual consequences, etc. This agreement needs to be reflected on a written change order. | 7/31/2022: No major updates. 8/31/2022: The new Go-Live date has been set to 7/1/2023. | 9/30/2022 | 9/30/2022 | | |
| I-220731-01 | Issue | Wave 1 Deliverable 16 | 7/31/2022 | Requirement Management (Processes, Requirements and Fit/Gap) | GENERAL | RTM reports | RTM reports are being submitted by each module. There is difficulty cross-checking the information with supporting documents because of missing information. | SI | Closed | High | N/A | WRICEF ID Number information does not specify what PDD document the WRICEF item is in and it is difficult to cross check and find the corresponding WRICEF information in PDD. It is not possible to review and validate the Reports items because the reports information such as column fields names or sample reports have not been provided to DOTH. 9/4/2022: It is recommended to add additional columns in RTM to provide WRICEF description and WRICEF justification information in order to efficiently track and manage WRICEF in relation to requirements. | 8/31/2022: PDDs and RTM are being updated so that WRICEF items are cross-checked efficiently. 9/30/2022: No major updates. 10/31/2022: FHWA RTM was reviewed. Updates are needed for cross-checking information of RTM and PDDs. 11/30/2022: Reviewing and validating RTM continues to be an issue because of missing or inadequate references for cross-checking between RTM and PDDs. 12/31/2022: No major updates. Reviewing and validating RTM continues to be challenging. 1/31/2023: Reporting requirements are demanding more discovery sessions and time when reviewing RTM. 2/28/2023: Reporting requirements such as business logic, layouts, sources, etc., are being reviewed and discussed during the FSD meetings. 3/31/2023: Custom reports requirements continue to be discussed. | 3/31/2023 | 3/31/2023 | | RTM deliverable was conditionally approved. |
| O-220818-01 | Observation | M220818-1 | 8/18/2022 | Resource Management | GENERAL | Assistant Project Manager | Assistant Project Manager left the H4 project and a new Assistant Project Manager has joined the project. | SI | Closed | N/A | N/A | N/A | | 9/30/2022 | 9/30/2022 | | Assistant Project Manager is engaged and attending H4 meetings. |
| R-220825-01 | Risk | M220825-1 | 8/25/2022 | Resource Management | GENERAL | Full Time Project Manager | The Project Manager is supposed to be a full-time project manager for H4 Project. However, the current Project Manager will be managing another project - State of Hawaii Financial Management System (FAMIS Replacement Project). | SI | Closed | Medium | Medium | The H4 contract states the project manager position to be a full-time position. It is recommended that SI and DOTH have a discussion to see if this is allowable/acceptable and it does not cause conflict of interest and schedule. | 9/30/2022: SI Project Manager is attending fewer meetings than before. 10/31/2022: No major updates. 11/30/2022: No major updates. 12/31/2022: Other SI consultants have filled in the gap for PMO meetings due to PM unavailability. 1/31/2023: SI Project Manager is now available and started to attend more meetings. 2/28/2023: It is recommended that SI and DOTH come to an agreement on full-time/part-time status of the Project Manager. | 3/31/2023 | 3/31/2023 | | State of Hawaii Financial Management System (FAMIS Replacement Project) project is no longer active. |
| R-220930-01 | Risk | M220929-1 | 9/30/2022 | Schedule Management | GENERAL | Function Specification Documents | Functional Specification Documents are being developed before DED is approved by DOTH. | SI | Closed | Medium | Medium | It is recommended that SI and DOTH come to mutual agreement of DED before starting FSD. | 10/14/2022: FSD and Technical Final Documents (TFD) DEDs were approved by DOTH. However, SI stated that 67% of FSDs were already completed. These FSDs need to be updated according to the approved DEDs. | 11/15/2022 | 11/15/2022 | | FSD DED is approved by DOTH. |
| R-220930-02 | Risk | M220929-1 | 9/30/2022 | Quality Management | GENERAL | Conference Room Pilot | SI stated that CRP will mainly consist of H4 functions and features demonstrations. It will not include DOTH hands on testing as part of the CRP. | SI | Closed | High | High | It is recommended that SI and DOTH come to mutual agreement of DED of CRP. It is recommended that there are more opportunities for DOTH to provide feedback for the developing H4 System during the CRP process. It is recommended that hands on testing is incorporated as part of the CRP process. | 10/31/2022: No major updates. | 11/30/2022 | 11/30/2022 | | Deliverable Expectation Document (DED) of CRP has been approved by DOTH. |
| R-220930-03 | Risk | M220929-1 | 9/30/2022 | Resource Management | GENERAL | Procurement Consultant | Procurement Consultant left the H4 project. | SI | Closed | High | High | It is recommended that SI find replacement consultant. | 10/31/2022: No major updates. 11/30/2022: No major updates. 12/31/2022: The vacant procurement consultant position still has not been filled. 1/31/2023: SI stated that resource planning and allocation is determined by the state of the project. It is recommended that SI and DOTH should come to an agreement whether H4 needs a new consultant for the vacant procurement position. 2/28/2023: No major updates. | 3/31/2023 | 3/31/2023 | O-230309-01 | This issue has been merged with O-230309-01. |
| O-220930-01 | Observation | M220929-1 | 9/30/2022 | Contract Management | GENERAL | Change Orders | SI submitted two Change Orders regarding implementation scope and timeline of Plant Maintenance module. | SI | Closed | N/A | N/A | It is recommended that SI and DOTH come to a mutual agreement regarding Change Orders to continue making progress on the H4 Project without any additional delay. | 10/6/2022: Two change orders were rejected due to the additional funding request beyond DOTH's acceptable budget threshold. The original scope of requirements and utilizing interface have been requested by DOTH. | 10/14/2022 | 10/14/2022 | | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------|-----------------------------|---------------|---------------------------------|---------|-------------------------------|---|-------------------|-------------|--------|-------------|---|--|----------------------|------------|------------------|---|
| R-221006-01 | Risk | M221006-1 | 10/6/2022 | Resource Management | GENERAL | PM, HR, Timesheet Consultants | Three SI consultants are rolling off the H4 project. | SI | Closed | High | High | It is recommended that DOTH requests additional resources from SI to adequately support the project. | 10/31/2022: H4 project started with 12 consultants and now there are eight consultants assigned to the H4 project even though the project's scope of work did not change. These may be insufficient resources for the project. This may overload the remaining consultants with the quantity of work and also consultants may need to work with modules that fall outside of their expertise and may impact the project quality. 11/30/2022: It is recommended to monitor that proper knowledge transfer takes place and to find replacement resources for the H4 Project. 12/31/2022: The three vacant consultant positions still have not been filled. 1/31/2023: SI stated that resource planning and allocation is determined by the state of the project. It is recommended that SI and DOTH should come to an agreement whether H4 needs a new consultant for the vacant procurement position. 2/28/2023: No major updates. | 3/31/2023 | 3/31/2023 | O-230309-01 | This issues has been merged with O-230309-01. |
| R-221020-01 | Risk | M221020-1 | 10/20/2022 | Resource Management | GENERAL | Assistant Project Manager | Assistant Project Manager is rolling off the H4 project on 11/4/2022 | SI | Closed | Medium | Medium | It is recommended that SI find replacement Assistant Project Manager. | 11/30/2022: It is recommended that SI search for a replacement for Assistant Project Manager. 12/15/2022: A potential Assistant Project Manager was found but was assigned to another project. It is recommended that SI continue searching for a replacement for the Assistant Project Manager position. 12/31/2022: SI proposed an Assistant PM candidate, however qualifications were not met and SI is continuing to search for a candidate. 1/31/2023: SI submitted a resume for a deputy project manager candidate and DOTH is reviewing and checking the references. 2/28/2023: A prospective Assistant Project Manager is identified and is going through the HR process. | 3/31/2023 | 3/31/2023 | | Assistant Project Manager started working with the H4 project in early March 2023. |
| I-221025-01 | Issue | M221027-1 | 10/25/2022 | Quality Management | GENERAL | Deliverable Quality | SI deliverables have tended to contain errors and misinformation such as incorrect project name, other client's system architecture, missing/incomplete contents, etc. DOTH recently received a DED from SI, but it turned out that the DED was for another client. These errors and missing information are causing delays in the deliverable review and approval process. | SI | Closed | High | N/A | It is recommended that deliverables are more carefully prepared, reviewed and proofread by SI document quality team before submitting to DOTH for review. | 12/31/2022: Formatting and content issues that could be easily prevented (e.g., big gaps in the document without good reasons, improper bullet pointing, inconsistency between sections, and incorrect/incomplete information thus impacting legibility and accuracy) are continuously observed. 1/31/2023: No major updates. 2/28/2023: Some minor errors are still observed: missing sections, outdated/incorrect information, etc. 3/31/2023: No major updates. 4/30/2023: It has been observed that a few errors, such as duplicate information, incomplete sections, and missing information discovered during the FSD sessions and CDD review, need to be addressed and corrected. 5/31/2023: Some deliverables still contain grammar, formatting, and spelling issues; this leads to needing additional help to understand and follow the contents. 6/30/2023: Some deliverables such as CDDs do not meet the requirements defined in the DED and they are incomplete or missing information. 7/31/2023: Some FSDs are missing details and information defined in DED. | 8/31/2023 | 8/31/2023 | | It was merged with R-230228-01. |
| R-221031-01 | Risk | M221027-1 | 10/31/2022 | Schedule Management | GENERAL | New Go-Live Date | New Go-Live date is set to 7/1/2023 but it is at high risk due to many deliverables remaining and delay in implementation. | DOTH/SI | Closed | High | High | It is recommended that DOTH and SI discuss a resolution for delayed deliverables and develop a detailed plan to meet the new Go-Live date. | 11/30/2022: New Go-Live date of 7/1/2023 appears to be at risk; DOTH and SI should discuss feasibility of the Go-Live date. 12/31/2022: It is recommended to discuss the Go-Live date of 7/1/2023 as it is an improbable target date to achieve. 1/31/2023: It is recommended for DOTH and SI to review the feasibility of 7/1/2023 Go-Live date and the Project Plan to be submitted as soon as possible. 2/28/2023: The Project Plan/Implementation Schedule was submitted to DOTH for review and approval. DOTH reviewed it internally and scheduled a meeting for further review and discussion with SI on 3/1/2023. 3/15/2023: The Project Plan/Implementation Schedule meetings held for discussion on 3/1 and 3/9/2023. The Go-Live date of 7/1/2023 seemed unattainable because of overloaded tasks and overburdened resource assignments. DOTH informed FHWA during the FHWA monthly meeting that 7/1/2023 Go-Live will be not met. 3/31/2023: SI and DOTH are reviewing and trying to reach an agreement on the Project Plan/Implementation Schedule with a new Go-Live date. 4/30/2023: SI and DOTH are currently in the process of reviewing and working out a new Project Plan/Implementation Schedule in order to establish a revised Go-Live date. 5/31/2023: No significant progress has been made for the new Project Plan/Implementation Schedule. 6/30/2023: No major updates. | 7/31/2023 | 7/31/2023 | | The risk is no longer applicable as it has merged with I-210531-02 after the estimated Go-Live date of 7/1/2023 has passed. |
| I-221031-01 | Issue | M221027-1 | 10/31/2022 | Training and Knowledge Transfer | GENERAL | Team Training | DOTH project team members haven't been sufficiently provided instruction and training to actively access H4 and familiarize themselves with H4 functions and processes. | SI | In Progress | High | N/A | It is recommended that SI provide training and instruction on how to navigate and process basic transactions so that the project team members can be more experienced with H4 and get ready for the System testing, verification, and validation. | 11/21/2022: No major updates. It is recommended that DOTH test availability of Dev environment from on and off DOTH network. 12/21/2022: Orientation meeting for Subject Matter Leader Knowledge Transfer was held. No dates for the trainings have been set yet. 1/31/2023: Weekly standing meetings have been started to provide DOTH project team member trainings. 2/28/2023: Knowledge Transfer sessions are taking place and training is being provided. However, it is observed that there is a lack of instruction (training material) for the training sessions. 3/31/2023: DOTH requested many times for documented training material to be provided for Knowledge Transfer sessions and SI is working on it. 4/30/2023: There have been additional discussions during PMO meetings for DOTH project team member training materials and SI will follow up on it. 5/31/2023: No major updates. 6/30/2023: No major updates. 7/31/2023: No major updates. 8/31/2023: No major updates. 9/30/2023: No major updates. Although some level of informal training occurs during FSD meetings, it remains challenging to grasp and follow without the availability of adequate training materials. 10/31/2023: No major updates. 11/30/2023: No major updates. 12/31/2023: It has been observed that Subject Matter Experts (SMEs) are encountering difficulties in understanding crucial H4 functions and processes due to the absence of DOTH project team training materials and training, which impedes the review of FSDs and other deliverables. Without adequate DOTH project team training and materials, there will be a risk that the issue may persist and resurface. 1/31/2024: Only one Knowledge Transfer (KT) session for HCM was held with supporting documents that included screenshots of data entries. 2/29/2024: Insufficient training and the absence of training materials persist as significant challenges affecting the project. Due to this, the DOTH project team members are unable to effectively engage in meetings and understand how the H4 system meets the requirements. This lack of familiarity with the H4 system hinders their ability to contribute meaningfully to project discussions. 3/31/2024: No progress has been made. 4/30/2024: No progress has been made. 5/31/2024: No progress has been made. 6/30/2024: No progress has been made. DOTH pointed out in meetings that they still do not understand some of SI's solutions and are having difficulty following meetings and discussions. | 6/30/2024 | | | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------|-----------------------------|---------------|-----------------------|---------|-----------------------------|--|-------------------|-------------|--------|-------------|---|---|----------------------|------------|------------------|---|
| I-221130-02 | Issue | M221117-1 | 11/30/2022 | Risk/Issue Management | GENERAL | Go-Live Date | Some items from Issue/Risk Log are being discussed without detailed resolution or follow-up. | DOTH/SI | In Progress | High | N/A | The risks and issues of the H4 Project need to be more proactively managed and respective SMEs should be more engaged regarding the details to ensure the success of the project. | 12/31/2022: No major updates. 1/31/2023: It is recommended that all outstanding issues and risks be discussed during the PMO meeting, not just new items. 2/29/2023: No major updates. 3/15/2023: There are 13 unresolved outstanding issues and one new issue found. 4/30/2023: Progress has been made, however there are items that are aging and a quicker follow up and resolution to those issues will help with the project timeline. 5/31/2023: There are 31 items that need to be reviewed - 15 resolved and 22 in progress. There are still old items that need follow up. 6/30/2023: There are 38 items that need to be reviewed - 15 resolved and 23 in progress. There are still old items that need follow up. 7/31/2023: There are 41 items that need to be reviewed - 15 resolved and 26 in progress. There are still old items that need follow up. 8/31/2023: There are 45 items that need to be reviewed - 19 resolved and 26 in progress. There are still old items that need follow up. 9/30/2023: There are 49 items that need to be reviewed - 21 resolved, 27 in progress, and 1 in new. It is recommended that all the open issues are reviewed and resolved. 10/31/2023: There are 50 items that need to be reviewed - 23 resolved, 27 in progress, and 1 in new. It is recommended that all open issues, including older items, be reviewed and resolved. 11/30/2023: There are 50 items that need to be reviewed - 23 resolved and 27 in progress. 12/31/2023: There are 51 items that need to be reviewed - 25 resolved and 26 in progress. 1/31/2024: There are 55 items that need to be reviewed - 25 resolved and 30 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. 2/29/2024: There are 55 items that need to be reviewed - 31 resolved and 24 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. 3/31/2024: There are 57 items that need to be reviewed - 33 resolved and 24 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. 4/30/2024: There are 59 items that need to be reviewed - 33 resolved and 26 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. 5/31/2024: There are 60 items that need to be reviewed - 34 resolved and 26 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items should be checked to decrease any backlog. 6/30/2024: There are 61 items that need to be reviewed - 34 resolved and 27 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items should be checked to decrease any backlog. | 6/30/2024 | | | The impact has escalated to High due to a lack of progress and its compounded impact having on the overall project. |
| R-221130-02 | Risk | M221117-1 | 11/30/2022 | Contract Management | GENERAL | Contract Schedule and Scope | The project is extended beyond the original due date. There was a lot of work done for items outside the project scope such as Plant Maintenance Inventory, which did not manifest. There have been no change orders for these items that are impacting important parts of the H4 Project. | DOTH/SI | Closed | High | High | It is recommended to examine the contract, the schedule, and analyze the fit/gap to make necessary adjustments with change orders as needed. | 12/31/2022: No major updates. 1/31/2023: No major updates. 2/28/2023: No major updates. It is recommended that SI and DOTH discuss the need for a change order due to scope change and schedule change. | 3/31/2023 | 3/31/2023 | | DOTH stated that change orders may be created once the Project Plan/Implementation Schedule is approved by DOTH, which sets an official Go-Live date. |
| R-221130-03 | Risk | M221117-1 | 11/30/2022 | Reports and Analytics | GENERAL | Reports Requirements | RTM and FSD are being prepared without in-depth reports discussion and Analysis of Reporting Requirements (ARR) does not provide sufficient information to cover all the details of the reports. Reports are often the final desired outcome of an activity and detail discovery is essential. | SI | In Progress | High | High | It is recommended that SI conduct detailed discovery of DOTH reports to ensure all the necessary information for input and output are covered. | 12/31/2022: During the FSD discussions, additional details that need to be on the reports have been discovered. 1/31/2023: H4 Project Team is having deep-dive discussions on WRICEF's requirements, processes, and functional specifications. 2/28/2023: Reports WRICEF FSDs are being reviewed and new discoveries are being made. FSDs are being updated based on discussions. 3/31/2023: New discoveries on reports requirements continue to be found. 4/30/2023: Reports are constantly undergoing new discoveries. 5/31/2023: Further details about the reports have been uncovered and discussed. 6/30/2023: WRICEF Reports are being discussed during the FSD sessions but other standard reports in H4 also need to be reviewed. 7/31/2023: While WRICEF Reports are reviewed and discussed, it is equally essential to examine the standard reports within H4. 8/31/2023: A few standard reports for AP were reviewed during the FSD meetings. Standard report review activities should continue throughout all modules. 9/30/2023: WRICEF Reports discussions are making incremental progress during the FSD sessions but some standard reports in H4 are still not explored carefully and they should be reviewed to ensure standard reports can satisfy the requirements. 10/31/2023: It is observed that detailed information for some report requirements is still missing and a comprehensive report analysis is still needed. 11/30/2023: Some reports are still undergoing more discoveries; for example, the details for MVS0 report requirements, which require the FINVA waterfall funding table update, have been discussed for the first time. All detailed requirements must be thoroughly reviewed and documented properly. 12/31/2023: Reports discussions are continuing and finding additional details for the requirements. 1/31/2024: Discussions regarding reports are ongoing; meanwhile, further details about the requirements are being discovered. 2/29/2024: No major updates. 3/31/2024: No additional reports-related FSDs were submitted nor standard reports were discussed. 4/30/2024: Discussions about the reports including FSDs continue, and new details about the requirements are emerging. 5/31/2024: Discussions regarding the reports are in progress, and additional details about the report requirements are being revealed. 6/30/2024: The H4 Project Team is currently discussing the reports in various modules and discovering more details about the requirements. | 6/30/2024 | | | |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|-----------------------------------|---------|---------------------------------|---|-------------------|-------------|--------|-------------|--|--|----------------------|------------|------------------|--|
| R-221130-04 | Risk | M221117-1 | 11/30/2022 | Data Conversion | GENERAL | Data Conversion Preparedness | Data Conversion strategy and plan documents have not covered the details such as source/target, cleansing, dependencies, and validations. These activities have been deferred to the Realize Phase from the Explore Phase causing delays, rework, or additional work later. WRICEF and detailed data conversion work deferred from the Explore Phase are discussed and performed during FSD sessions. | DOH/ISI | In Progress | High | High | It is recommended to catch up on work deferred from the Explore Phase and to explore Data Conversion materials in detail to finalize the Data Conversion WRICEF in FSD. | <p>12/31/2022: Data conversion discussions are making progress. However, familiarity of H4 terminologies, functions, and processes by DOT will be needed to adequately review and complete data conversion FSDs.</p> <p>1/31/2023: FSD meetings are continuously being held to review data conversion specifications, especially to identify source of data that needs to be extracted from.</p> <p>2/28/2023: Data conversion discussions have been held and are making progress.</p> <p>3/31/2023: It is observed that more explanation and data conversion details, such as sequences and impacts of data conversion upload from various modules, need to be provided by SI for DOT's better understanding and preparation.</p> <p>4/30/2023: As FSDs and data conversion are being reviewed, new information about data conversion is constantly being discovered and revealed. However, it is important to note that certain details should have been discussed and clarified during the Explore Phase.</p> <p>5/31/2023: More details and information regarding Data conversion have been found and discussed.</p> <p>6/30/2023: AR Customer and SI data conversion FSD were discussed, reviewed, and submitted for questions and comments. Data conversion needs to be performed in an integrated manner and it is recommended that various modules engage in integration discussion for a successful data conversion.</p> <p>7/31/2023: No major updates. 8/31/2023: Several AR data conversion meetings were convened, during which it became evident that fostering enhanced direct communication among cross-functional business areas was imperative. Consequently, it is recommended that various module leads actively engage in collaborative discussions to guarantee a seamless and successful data conversion process.</p> <p>9/30/2023: The data conversion meetings were held to discuss PS Master Data Conversion, AR Customer Data Conversion, and sample overall Data Conversion Schedule. Some modules have overlapping data and it is recommended to have more collaborations with integration in mind to avoid any inaccurate balances.</p> <p>10/31/2023: Several data conversion meetings were conducted to address data conversion sources, mapping, rules, and journals. Nevertheless, it has been observed that further effort and in-depth analysis are required to address the intricacies of data integration points across modules.</p> <p>11/30/2023: Data conversion meetings were held to discuss PS Master Data Conversion, AR Customer Data Conversion, and AR Open Invoice Data Conversion. Solution designs and requirements were reviewed and discussed. 12/31/2023: No major updates.</p> <p>1/31/2024: Several PS Master Data conversion meetings were held, during which time data mapping and sources were discussed and reviewed to ensure comprehensive data migration.</p> <p>2/29/2024: Data conversion meetings are ongoing.</p> <p>3/31/2024: PS Master data conversion meetings were held. It is recommended that more data conversion meetings be held for other modules as well.</p> <p>4/30/2024: PS Master data conversion meetings were held and PO data conversion discussions took place to continue developing related FSDs.</p> <p>5/31/2024: A high-level budget data conversion was discussed during the budget process meetings.</p> <p>6/30/2024: The data conversion meetings for various areas such as AR, FM, GM, and FA were held, during which, additional details regarding the requirements were discovered and discussed.</p> | 6/30/2024 | | | |
| I-221130-03 | Issue | M221117-1 | 11/30/2022 | Documentation | GENERAL | Meeting Minutes/Follow Up Lists | It is observed that meeting minutes or action items from the project discussions are not always provided. To-do lists and summaries of the meetings may have been gathered on individual levels, but this makes it difficult to track the progress as a project team and also challenging to collaborate between project team members. | DOH/ISI | In Progress | High | N/A | It is recommended to prepare meeting summaries and/or to-do lists from the meetings to efficiently prepare, plan, and navigate the follow up activities and hold efficient meetings. | <p>12/31/2022: No major updates.</p> <p>1/31/2023: FSD meeting minutes and agendas for weekly standing meetings have been provided. It will help to have meeting minutes for other Realize Phase meetings as well.</p> <p>2/28/2023: Meeting minutes are required to track action items and to-do tasks. For example, PO match options, H4 values for FAMES projects, FactRisks, Workflow routing, source/object codes, fixed asset funds, payroll accounting entries, etc. Currently, it is difficult to track who needs to perform what task by when without meeting minutes.</p> <p>3/31/2023: Document such as meeting minutes or an action items list should be compiled after each meeting—as opposed to each individual tracking their own tasks—to share with DOT and have a cohesive follow up for the various meetings that are taking place.</p> <p>4/30/2023: No major updates. It is recommended that DOT and SI develop a standardized procedure for meeting minutes or task lists to track action items effectively.</p> <p>5/31/2023: Some progress has been made, but it is recommended that meeting minutes and action items be shared on a centralized platform like Teams and ensure they are monitored and followed up.</p> <p>6/30/2023: No major updates. 7/31/2023: It is recommended to distribute meeting minutes via Word documents and gather action items of various modules in one place using master tracking Excel sheets with details such as due dates and responsible parties through the centralized Teams platform while also ensuring regular oversight and prompt follow-up.</p> <p>8/31/2023: No major updates. 9/30/2023: No major updates.</p> <p>10/31/2023: It is recommended to establish a process to manage and distribute meeting notes, consolidate action items from various modules, and document critical business decisions made during discussion sessions. This will facilitate efficient oversight, streamline task management, enhance accountability, support prioritization, and guarantee timely follow-up on critical action items.</p> <p>11/30/2023: No major updates.</p> <p>12/31/2023: It is recommended to document major business decisions and establish/maintain a comprehensive master list of business decisions covering all modules. This proactive measure aims to prevent unnecessary rediscovery and redundant discussions, contributing to enhanced efficiency in meetings and communication.</p> <p>1/31/2024: No major updates.</p> <p>2/29/2024: Meeting minutes and follow-up lists are becoming increasingly vital due to the infrequent occurrence of meetings. It is challenging to recall the discussions and decisions made during these meetings without proper documentation.</p> <p>3/31/2024: No progress has been made.</p> <p>4/30/2024: The lack of meeting minutes is noticeable, and multiple discussion points have to be revisited. To streamline the meetings, it is highly recommended that meeting minutes be generated and business decisions be logged.</p> <p>5/31/2024: Meeting minutes were created for one of this month's meetings, which was helpful in tracking progress. It is recommended that meeting minutes and business decisions be documented for all meetings.</p> <p>6/30/2024: No progress has been made.</p> | 6/30/2024 | | | The impact has escalated to High due to a lack of progress and its compounded impact having on the overall project. |
| O-221206-01 | Observation | M221206-1 | 12/6/2022 | Solution Design and Configuration | GENERAL | FSD Review | There was a meeting to discuss how to improve FSD process, because there are more than 200 documents that need discussion and approval. The proposed method is to group similar topic FSDs in a batch to discuss in a same meeting. | DOH/ISI | Closed | N/A | N/A | It is recommended to create a plan with FSD groups in advance for efficient and prioritized reviews and meetings. | <p>1/15/2023: No major updates.</p> <p>1/31/2023: FSD documents are being reviewed by SI consultants who are covering multiple modules. The proposed method to group similar topic FSDs in a batch is not being utilized yet and the FSD discussions are being held as the documents are submitted and easier ones are being handled first. It will help to have FSD discussions to follow process flow instead of the current ad hoc approach.</p> <p>2/28/2023: Meetings are not being grouped into similar topic FSDs.</p> | 3/31/2023 | 3/31/2023 | | It was closed because almost half of the FSDs were already discussed and grouping FSDs by process flow may not be necessary at this point. |

Observation, Risk and Issues (ORI) 6/30/2024

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| R-230228-01 | Risk | M230223-1 | 2/28/2023 | Requirement Management (Processes, Requirements and Fit/Gap) | GENERAL | FSD | FSDs are prepared without in-depth discussion during the RTM and Fit/GAP. An FSD is a final document before the System configuration, therefore it should be as complete as possible. However, there are a lot of discoveries still being made during the FSD sessions. | SI | In Progress | High | High | It is recommended that the H4 Project Team work on detailed and complete discovery of DOTH requirements without postponing any elements to development and testing. All the details should be discovered by the completion of FSDs. | 4/30/2023: There were some meetings where detailed information for configuration or reports was suggested to be discovered during the testing phase. It is recommended that all granular details be discovered and documented with the FSDs now rather than postponing until the integration testing. Developers need clear guidance on creating reports and customizing applications, which is why it's crucial for FSDs to be comprehensive and detailed. 5/31/2023: It is recommended that all detailed functional specifications be discussed, reviewed, agreed upon, and documented entirely before moving to the next task, such as Conference Room Pilot. 6/30/2023: Progress is being made on all modules. However, there are some FSDs that need to provide more details and more requirements; processes discussion is needed. 7/31/2023: No major updates. 8/31/2023: It is advisable to identify and document all specific details within FSDs at this stage rather than deferring them to the integration testing phase. Reviewing FSDs continues to pose difficulties due to the fragmented and isolated presentation of information. Furthermore, understanding the logic can be quite challenging, particularly due to the limited understanding of SAP processes and functions. 9/30/2023: No major updates. 10/31/2023: No major updates. 11/30/2023: SI has proposed an 80-20 rule for approving FSDs, suggesting that developers can commence customization with an 80% completion of FSD specifications. The reasoning is that evaluating the system through testing is more straightforward and clearer than reviewing extensive requirement specifications in documents. IV&V holds the opinion that it is crucial to identify and document all functional specifications meticulously. This approach is designed to mitigate the risk of potential errors, omissions, or the necessity for rework in subsequent phases of the project. 12/31/2023: No major updates as fewer meetings are taking place due to resource departures. 1/31/2024: A thorough discovery of processes and requirements for FM, GM, and FHWA is currently underway. 2/29/2024: No major updates. 3/31/2024: No major updates. 4/30/2024: Progress is being made, however some discovery details and discussions from meetings and FSDs need to be documented better or some inquiries need to receive complete responses. 5/31/2024: No major updates. There are still over 40 FSDs remaining to be submitted by SI and continued effort is needed to capture all the details for the requirements. 6/30/2024: No major updates. There has been very little activity with FSDs. | 6/30/2024 | | | | | |
| O-230228-01 | Observation | M230223-1 | 2/28/2023 | Contract Management | GENERAL | Fit/Gap | SI submitted a change order for Fit/Gap based on all requirements. DOTH and SI are reviewing and making adjustments to come to an agreement. It is observed that the credit (hours) provided to DOTH for the various requirements appear to be underestimated. | DOTH/SI | Closed | N/A | N/A | It is recommended for SI and DOTH to review Fit/Gap together and come to an agreement. | | 3/31/2023 | 3/31/2023 | | | The Fit/Gap deliverable was conditionally approved with a change order. | |
| O-230302-01 | Observation | M230302-1 | 3/2/2023 | Solution Design and Configuration | GL | Design of Fund Account Assignment | DOTH requested changes in the number of characters in Fund account assignment based on the FM Budgeting Knowledge Transfer meeting took place on 2/28/2023. | DOTH/SI | Closed | N/A | N/A | DOTH requested changes in the number of characters in Fund account assignment based on the FM Budgeting Knowledge Transfer meeting took place on 2/28/2023. | 3/30/2023: DOTH made a decision with ten-digit fund assignment based on the discussion and analysis with SI during the Weekly FM Budgeting Discussion & Knowledge Transfer meeting on 3/30/2023. 4/30/2023: A change order is being prepared by SI. 5/31/2023: No major updates. | 6/30/2023 | 6/30/2023 | | | 6/8/2023: SI stated that the change order would be withdrawn. | |
| O-230307-01 | Observation | M230307-4 | 3/7/2023 | Training and Knowledge Transfer | GENERAL | KT Sessions | There was an issue of who could participate in KT sessions. SI and DOTH decided that key project team members could attend KT sessions even though they are registered in the KT roster. | DOTH/SI | Closed | N/A | N/A | N/A | | | 3/31/2023 | 3/31/2023 | | | |
| I-230309-03 | Issue | M230309-2 | 3/9/2023 | Contract Management | GENERAL | Unit Testing | SI stated that the unit testing will be conducted by SI consultants only and there will be no participation from DOTH. SI will provide reports showing test results with screenshots instead of unit testing scripts. | DOTH/SI | Closed | High | N/A | It is recommended for SI and DOTH come to an agreement on how the unit testing will be conducted. It may be beneficial for DOTH to be involved in unit testing to ensure requirements are implemented as expected. | 3/9/2023: SI stated according to its methodology: 1. unit testing will be conducted based on T-Codes in Business Process Master List (BPML), not by each requirement of DOTH with test scripts and 2. DOTH will participate in the unit testing for WRICEF, but not for standard functionalities. DOTH disagrees and believes that DOTH should participate in all testing regardless of standard function or WRICEF, as defined in the project documents. 4/30/2023: DOTH and SI are in a discussion and working towards finding a mutual agreement. 5/31/2023: Additional discussions are taking place for unit testing DED, however full agreement has not been reached yet. 6/30/2023: DOTH and SI are holding meetings and collaborating towards reaching a mutual agreement. 7/31/2023: No major updates. 8/31/2023: DOTH is currently awaiting updates from SI regarding the Unit Testing approach. 9/30/2023: No conclusion has been made yet on how the unit testing will be conducted. 10/31/2023: No major updates. 11/30/2023: The difference in approaches to unit testing remains unresolved and requires prompt resolution. 12/31/2023: DOTH and SI met to discuss the unit testing approach and made progress. 1/31/2024: SI presented a sample Unit Testing deliverable on 1/23/2023 and DOTH did not approve it because it does not comply with the approved Test Strategy and other H4 documents. The discrepancy in unit testing approaches still remains unresolved and needs urgent attention. 2/29/2024: No major updates. 3/31/2024: Discussion is ongoing. 4/30/2024: A Change Order is being prepared by SI for Unit Testing and other testing-related deliverables. | 5/31/2024 | 5/31/2024 | | | A Change Order has been approved by DOTH on 5/6/2024. | |
| R-230309-01 | Risk | M230302-1 | 3/9/2023 | Contract Management | GENERAL | Conditional Approval | There are various deliverables that are conditionally approved due to missing or incomplete requirements analysis or process discovery and the project team has to engage in rediscovers of information for the Project. | DOTH/SI | Closed | High | High | It is recommended that DOTH avoid conditional approval on any remaining deliverables because many deliverables are interdependent, and some of them are built upon the previous ones. These conditionally approved deliverables could require rework and fixing when errors and omissions are found later, and it could further complicate the project deliverable management and updates. | 4/30/2023: No major deliverables this month were impacted by this issue. However, there are few remaining FSDs that are conditionally approved and this may increase project risk. 5/31/2023: No major updates. 6/30/2023: No major updates. 7/31/2023: No major updates. 8/31/2023: No major updates. 9/30/2023: No major updates. 10/31/2023: It is crucial to complete each deliverable before moving on to the subsequent deliverables, particularly if they are prerequisites for the next deliverables. 11/30/2023: No major updates. 12/31/2023: No major updates. | 1/31/2024 | 1/31/2024 | | | It is observed that more detailed requirements analysis and discussions are taking place during FM, GM, and FHWA FSD sessions, and incremental improvements to the documents are being made. However, the H4 Project Team will keep monitoring the risk of conditional approval. | |

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| O-230309-01 | Observation | M230309-2 | 3/9/2023 | Resource Management | GENERAL | Resource Planning | It is observed that three SI rolled-off consultants without replacement are impacting the project deliverables and this leads to ongoing rediscovery sessions and changes in solution design and processes. | DOTH/SI | Closed | N/A | N/A | N/A | 4/30/2023: It is continuously observed that deliverables are being re-worked due to the resource change. This could potentially raise the level of risk for the project. 5/31/2023: The impact of consultants' previous leaving is continuously observed. 6/30/2023: Solution integration appears to require more resources and needs more attention because H4 requires a clearer and more concrete comprehensive system architecture. It should outline how different components will interact and integrate to create the desired solution compared to what is currently presented. 7/31/2023: The integration of the solution seems to demand additional resources and heightened focus. This is due to the necessity for a more robust and attentive approach, as H4 requires a more distinct and comprehensive system architecture. It should explicitly detail the interaction and integration of various components to realize the intended solution that will meet DOTH's requirements. 8/31/2023: The H4 project is experiencing another high turnover among SI consultants. This month, a financial lead and HCM lead have left the project. It is recommended that SI provide new resources to fill these vacant positions, as well as any other necessary positions required for the project. | 9/30/2023 | 9/30/2023 | | It is escalated to I-230930-01. |
| O-230331-01 | Observation | M230331-5 | 3/31/2023 | Solution Design and Configuration | GENERAL | Project Activities | The main project activities with DOTH were Functional Specification Document (FSD). As of 3/31/2023, out of 211 FSDs total, SI submitted 96 FSDs, and DOTH approved 79 FSDs. More meeting sessions, such as for Security and Definition/Roles and Responsibilities, and Knowledge Transfer took place simultaneously. | DOTH/SI | Closed | N/A | N/A | It is recommended that Project Plan and Implementation Schedule be completed as soon as possible for the visibility of the timeline, Go-Live date, task dependencies, and resource plan. | 4/28/2023: Out of 211 FSDs total, SI submitted 101 FSDs, and DOTH approved 79 FSDs. | 5/31/2023 | 5/31/2023 | | It is merged with I-210531-02. |
| R-230525-01 | Risk | M230525-2 | 5/25/2023 | Contract Management | GENERAL | Deliverables | Some deliverables were started being worked on, submitted, and invoiced before DED was approved. | SI | Closed | Medium | Medium | It is recommended that SI starts working on deliverables after approval of DED per Contract. "Attachment SB: A Deliverable Expectation Document that describes Acceptance Criteria for each Deliverable and Service subject to Acceptance Tests. Each DED is a Deliverable that must receive Acceptance prior to beginning work on the Deliverable to which it applies" | 6/30/2023: DED is being prepared for Project Team Training. | 7/31/2023 | 7/31/2023 | | It is closed for now but will continue to be monitored for any deviation. |
| O-230524-01 | Observation | M230524-3 | 5/24/2023 | Solution Design and Configuration | GENERAL | Deliverables | There was a disagreement on the level of detail and how to review and confirm the Configuration Design Document (CDD). DOTH had questions on the CDDs, however not all modules contained detailed enough answers for DOTH to understand them. | DOTH/SI | In Progress | N/A | N/A | SI will do a walkthrough of the Configuration Design Document with DOTH in the upcoming meetings. It is recommended that SI provide enough details in CDDs and in responses to the questions for DOTH to be able to understand the concept of the design and to be able to do maintenance in the future. | 6/30/2023: CDD review meetings have not been scheduled or held yet. 7/31/2023: It is recommended that SI and DOTH review CDDs as soon as possible because a CDD validates the baseline setup for the requirements met by the H4 standard functionalities. 8/31/2023: No major updates. 9/30/2023: No major updates. 10/31/2023: No activities related to CDD occurred. 11/30/2023: No major updates. 12/31/2023: It is recommended that DOTH and SI conduct a review and validation of CDDs alongside FSDs because over 480 requirements are met by the H4 standard functionalities. 1/31/2024: No major updates. 2/29/2024: No activities related to CDD occurred. 3/31/2024: No major updates. 4/30/2024: No major updates. 5/31/2024: No major updates. 6/30/2024: No major updates. | 6/30/2024 | | | |
| R-230930-01 | Risk | M230915-2 | 9/30/2023 | Organization Change Management | GENERAL | OCM Activities | The OCM lead has left the H4 project, leaving no one to continue to conduct OCM activities. | SI | Closed | Medium | Medium | It is recommended that SI fill the position as soon as possible and/or provide a TA in the meantime to ensure a seamless OCM operation without any interruptions. | 10/31/2023: DOTH conducted an interview with an OCM consultant candidate. 11/30/2023: DOTH has approved the new OCM consultant candidate and the new OCM consultant is expected to join project meetings soon. 12/31/2023: No major updates. 1/31/2024: OCM meetings restarted to discuss its plan and activities going forward. 2/29/2024: DOTH has requested a replacement for the current OCM resource assigned to the H4 project, citing concerns about its suitability and effectiveness. 3/31/2024: DOTH interviewed a new OCM consultant candidate proposed by SI. The new OCM consultant started working this month. | 4/30/2024 | 4/30/2024 | | 3/31/2024: The impact and probability are downgraded to medium since there is a new resource for OCM. 4/30/2024: It's closed because an OCM consultant joined the project and is participating in the meetings. |
| I-230930-01 | Issue | M230928-1 | 9/30/2023 | Resource Management | GENERAL | Resource Planning | Two key consultants, the financial/integration lead and the HCM lead, left the H4 project in August 2023, and three more key consultants, the FM/GM consultant, the OCM lead, and the Infrastructure lead departed in September 2023. These consultants have dedicated over two years of their expertise to the H4 project, and the transition process may not have been executed as thoroughly as needed to ensure a seamless transfer of responsibilities, knowledge preservation, and uninterrupted flow of operations within the team, primarily because their positions were left vacant after their departure from the project. | DOTH/SI | In Progress | High | N/A | To ensure project continuity and success, it is recommended that SI promptly assign new resources to fill these vacant positions, as well as any other essential roles that are still vacant from previous departures. | 9/30/2023: After a thorough review and assessment, DOTH has declined SI's proposal to assign the current PS/FHWA consultant as the Financial/Integration lead. DOTH conducted an interview with the HR lead candidate proposed by SI but chose not to proceed with the candidate due to concerns raised by both the interview responses and the assessment. 10/31/2023: One additional consultant covering GL/AP/CO/FAMS interface left the project in October. SI is in the process of filling in the vacant positions and DOTH conducted interviews with a few candidates. It is observed that the immediate positions to fill are Financial/Integration Lead, OCM Lead, HCM Lead, FA, and GL/AP/CO/FAMS Interface Consultant. 11/30/2023: The positions of the OCM lead and the HCM lead have been filled. Additionally, the timesheet consultant, who has prior experience working on the H4 project, will assist with knowledge transfer for a month. They are expected to join project meetings soon. The vacant positions to fill are Financial/Integration Lead, FA, and GL/AP/CO/FAMS Interface Consultant. It is observed that knowledge transfer to the new consultant did not take place properly and DOTH had to reiterate its processes and requirements to the new consultant. 12/31/2023: Another consultant who is responsible for development lead left the H4 project. 1/31/2024: The following functional consultant positions – Financial/Integration Lead, FA, and GL/AP/CO/FAMS Interface Consultant – remain vacant and they need to be filled as soon as possible. 2/29/2024: There have been no updates regarding the number of consultants with vacant positions. However, DOTH conducted a reference call for the GL/AP/CO/FAMS interface and OCM consultants. 3/31/2024: DOTH interviewed new financial and OCM consultant candidates suggested by SI. They started working this month. 4/30/2024: Financial/Integration Lead and FA positions still remain vacant. FA interview was conducted on 4/19/2024 and the candidate was approved by DOTH, but will not join meetings until May. 5/31/2024: A new FA consultant from SI has joined and begun participating in the H4 meetings. The role of the Financial/Integration Lead is vital for the project, as discussions and solution designs for each module appear to be currently conducted in a siloed manner. The project requires a resource capable of seamlessly integrating these disparate areas to ensure cohesive end-to-end functionality. 6/30/2024: The role of Financial/Integration Lead is not performed effectively and it is impacting various areas. For example, it has been observed that SI Leads could have miscommunicated or misinterpreted, where SAP's generic data conversion template was used instead of the data conversion template that the H4 Project Team worked on during many FSD sessions. | 6/30/2024 | | O-230309-01 | It is changed to an issue from O-230309. |

Observation, Risk and Issues (ORI) 6/30/2024

| ORI ID | Type | SI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
|-------------|-------------|-----------------------------|---------------|-----------------------------------|---------|-----------------------|---|-------------------|-------------|--------|-------------|--|--|----------------------|------------|-------------------------|--|
| I-230930-01 | Issue | M230928-1 | 9/30/2023 | Documentation | GENERAL | Deliverable Updates | It is observed that some conditionally approved deliverables are not currently up-to-date, especially PDDs. | DOTH/SI | In Progress | High | N/A | It is recommended to update conditionally approved PDDs, considering the changes and corrections that have been identified and discussed during the H4 deliverable meetings. | 10/31/2023: As new consultants join the H4 project and familiarize themselves with DOTH's processes and requirements, it is suggested that all consultants review, understand, and update the previous documents including PDDs with the most up to date information in collaboration with DOTH to ensure that all details are properly understood and captured. 11/29/2023: FM PDDs are being reviewed and discussed during the FM meetings. 12/31/2023: FM PDDs are currently undergoing review and discussion in the FM meetings and knowledge transfer to the new FM consultant is taking place. It is recommended that DOTH take full advantage of discussing Process Design Documents as a business process improvement opportunity to ensure that the new processes and functionalities of H4 will enhance DOTH's current business processes and staff efficiency without necessitating additional resources or work from DOTH compared to the current systems such as HWYAC and AS400. 1/31/2024: The reviews for the FM and GM PDDs are currently ongoing and making progress. 2/29/2024: Several process flows within the PDDs are currently under review and discussion. The progress of these reviews is ongoing. 3/31/2024: No major updates. 4/30/2024: The review of process flows is ongoing to ensure their accuracy, with updates being correctly incorporated into the PDD. 5/31/2024: The reviews for the FM processes and FA PDDs are currently ongoing and progressing. 6/30/2024: DOTH highlighted in a few meetings that certain PDDs still contain inaccurate information and require updates to prevent any confusion. | 6/30/2024 | | | |
| I-231031-01 | Issue | M231026-1 | 10/31/2023 | Quality Management | GENERAL | Deliverable Quality | Some deliverables continue to exhibit recurring issues, such as containing non-DOTH-related information and deviating from the DED, resulting in missing, incomplete, or incorrect information. These persistent issues, which have been previously highlighted, are causing delays in the deliverable review and approval process. | SI | In Progress | High | N/A | It is recommended that deliverables comply with approved DEDs and undergo thorough preparation, review, and proofreading by SI before submission to DOTH for review. | 11/30/2023: No major updates. 12/31/2023: No major updates. 1/31/2024: No major updates. 2/29/2024: A deliverable was submitted for review, but it contained errors and incomplete information. The document requires better organization and structure, and it should address the questions and comments provided by DOTH. 3/31/2024: No major updates. 4/30/2024: A Deliverable contained a noticeable error that can be easily avoided, e.g., referencing an incorrect client - State of Nevada. 5/31/2024: It is continuously observed that other projects are referenced in the documents - e.g. SMART 21 Solution. 6/30/2024: No major updates. | 6/30/2024 | | I-221025-01, I-21102-01 | |
| R-231130-01 | Risk | M231130-2 | 11/30/2023 | Schedule Management | GENERAL | Meeting Schedule | There is only one weekly meeting for each module to discuss and review deliverables, which may not be frequent enough nor provide adequate time and momentum for substantial project progress. | DOTH/SI | In Progress | High | High | It is recommended to review the project schedule and resource availability and, where deemed necessary, revise the meeting cadence to better align with the deliverable due dates. | 12/31/2023: No major updates. 1/31/2024: More meetings were held for most modules where consultants were available. 2/29/2024: No more updates. 3/31/2024: In order to meet the proposed Go-Live date or to move the project along in general, more meetings should be held to speed up the project progress. 4/30/2024: Infrequent meetings make it difficult to maintain project momentum and to recall discussions and business decisions made previously. For instance, there were no HCM meetings this month, and the MVSO meeting occurred after a three-week gap. 5/31/2024: No major updates. 6/30/2024: No major updates. | 6/30/2024 | | | |
| R-231231-01 | Risk | M231228-1 | 12/31/2023 | Solution Design and Configuration | GENERAL | Meeting Schedule | It is observed that technical consultants generally do not participate directly in FSD meetings. | SI | In Progress | Medium | Medium | It is recommended that technical consultants also participate in FSD meetings to ensure the technical consultants have a uniform understanding of requirements together with the SI functional consultants and DOTH SMEs. Facilitating direct communication could help minimize the need for rework or fixes during system configuration and implementation caused by misunderstandings of development requirements. | 1/31/2024: No major updates. 2/29/2024: No major updates. 3/31/2024: No major updates. 4/30/2024: A technical consultant has begun participating in report FSD sessions, assisting and collaborating with functional consultants to review and complete Report FSDs. It is recommended that the technical consultant expands meeting attendance to other FSD meetings besides reports to ensure uniform understanding of the requirements. 5/31/2024: A technical consultant attended the FSD report meetings. It is recommended that technical consultants be directly involved in other types of FSD meetings as well. 6/30/2024: No major updates. | 6/30/2024 | | | |
| O-240322-01 | Observation | M240328-2 | 3/22/2024 | Resource Management | GENERAL | SI Sponsor | The previous sponsor of the SI project on the H4 project has been replaced with a new sponsor. | SI | Closed | N/A | N/A | | | 4/30/2024 | 4/30/2024 | | 4/30/2024: It's closed because a new sponsor is participating in the project meetings.!! |
| O-240328-01 | Observation | M240328-2 | 3/28/2024 | Resource Management | GENERAL | DOTH Consultant | DOTH has contracted a new consultant specializing in SAP implementation, and the consultant has joined the H4 project team. | DOTH | Closed | N/A | N/A | | | 4/30/2024 | 4/30/2024 | | 4/30/2024: It's closed because a new DOTH contractor is participating in the project meetings. |
| O-240525-01 | Observation | M240525-1 | 4/25/2024 | Resource Management | GENERAL | SI Consultant | SI added additional consultant to the Project to support CRP sessions and FSDs | SI | Closed | N/A | N/A | | | 4/30/2024 | 5/31/2024 | | Another consultant from SI joined and started participating in PMO and helping with CRP preparation. |
| O-240525-02 | Observation | M240525-1 | 4/25/2024 | Schedule Management | GENERAL | Conference Room Pilot | Various meetings were focused on starting or continuing Conference Room Pilot (CRP) sessions as initial sessions took place with GL last month. Currently, essential documents such as CRP scenarios and scripts, which are cross-mapped to requirements, are being developed. | SI | Closed | N/A | N/A | | | 6/30/2024 | 6/30/2024 | | 5/31/2024: Progress is being made with CRP scenarios and scripts, and process flows are being updated. SI and DOTH are currently discussing when to start the CRP sessions, who will be involved, and how to conduct them. |
| O-240525-03 | Observation | M240525-1 | 4/25/2024 | Organization Change Management | GENERAL | OCM Activities | OCM activities are limited because OCM is currently waiting on other deliverables, such as Project Plan, to be able to make progress. | SI | In Progress | N/A | N/A | | | 6/30/2024 | | | 5/31/2024: OCM has provided an updated status that will be reflected in the Project Plan. OCM is identifying super users for CRP sessions and working on BPMML. 6/30/2024: OCM has been preparing Realize and CRP Kickoff meetings and identifying CRP sessions participants. |