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STATE OF HAWAIʻI | *KA MOKUʻĀINA O HAWAIʻI*
DEPARTMENT OF ACCOUNTING AND GENERAL SERVICES | *KA ʻOIHANA LOIHELU A LAWELAWE LAULĀ*

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES | *KEʻENA HOʻOLANA ʻENEHANA*

P.O. BOX 119, HONOLULU, HAWAII 96810-0119

February 6, 2026

The Honorable Ronald D. Kouchi
President of the Senate
and Members of the Senate
Thirty-Third State Legislature
State Capitol, Room 409
Honolulu, Hawaiʻi 96813

The Honorable Nadine K. Nakamura
Speaker and Members of the
House of Representatives
Thirty-Third State Legislature
State Capitol, Room 431
Honolulu, Hawaiʻi 96813

Aloha Senate President Kouchi, Speaker Nakamura, 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 Hawaiʻi, 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 M. Sakuda
Chief Information Officer
State of Hawaiʻi

Attachments (1)

Monthly Project Assessment Report – October 2025

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

Author: IV&V Project Team

Creation Date: Dec 15, 2025
Last Updated: 1/5/2026
Version: Final

Version History

Version Number	Updated By	Revision Date	Description of Change
1.0	IV&V Project Team	12/15/2025	Draft
2.0	IV&V Project Team	01/05/2026	Final

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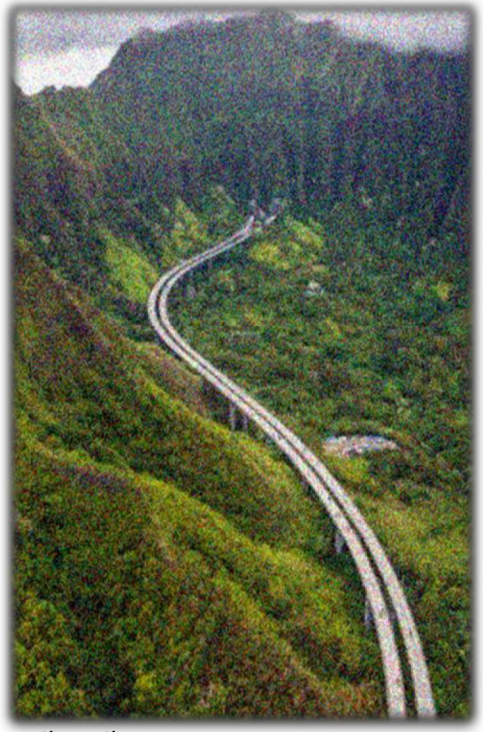
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I. Introduction and Summary

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 acquired a contract with IT Management Consulting Firm, Ohanasoft to create and publish the IV&V Report until April 2025. A new IT Management Consulting Firm T2F, LLC will be continuing 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 promise as to the success of H4 project and is not responsible and not liable for the outcome of the H4 Project.

B. Summary

In October 2025, the H4 implementation involved further discussions across all modules and dedicated in-depth CRP sessions for the modules that were still incomplete. In October 2025, we saw a slight increase in the total number of meetings compared to the previous month's reporting period. The resubmitted Project Plan is still under review and discussion. While the total number of FSD submissions remained unchanged in October, WRICEF development advanced, and additional areas are now ready for testing, according to the System Integrator (SI). The submitted Project Plan now proposes a Go-Live date of July 1st, 2026, marking a three-year postponement compared to the original timeline. IV&V considers this target ambitious and, given the current project pace, recommends establishing a more realistic Go-Live date that aligns with the project's status.
Additionally, more resources must be made available to move forward effectively. The H4 project has been without a formally approved Project Plan since the start of implementation, which impacts overall project alignment and execution. A well-structured Project Plan would serve as the backbone of any successful project, providing clear direction, aligning goals, and ensuring every objective is met with precision and efficiency.

The same challenges persist into this month: a lack of an agreed-upon and approved project plan and the lack of a realistic and firm Go-Live date, the backlog of pending deliverables, the lack of knowledge transfer/training for H4 and WRICEF developments, the ongoing need to update Process Design Documents (PDDs) due to additional detailed discoveries of the business processes that will impact system configuration, the unavailability of a full time dedicated Financial/Integration role, and the need to dedicate additional time to the re-discovery of DOTH requirements and processes as new consultants or reassigned consultants must spend substantial time understanding DOTH business needs due to the departure of previous consultants.

CRP sessions continued this month for the remaining modules. A few areas were not completed, and some modules will need to be revisited; as a result, sessions will continue into November. SI-planned CRP sessions have been conducted, and there are outstanding CRP FAQ documents that are being reviewed and discussed. As stated in prior reports, due to question and discussion points arising from CRP sessions, IV&V expects that CRP sessions may require additional time. SI suggests that CRP sessions are completed in a few modules, however DOTH is also concerned with the thoroughness and completeness of the requirements coverage and functionalities demonstrated in the CRPs. CRP sessions are crucial for familiarizing DOTH with the H4 system, providing insights into its solution design, functionality, and operational procedures. The H4 Project Team is encouraged to continue maintaining a strong emphasis on aligning CRP sessions with DOTH-specific requirements and business processes. The CRP sessions should focus on demonstrating solutions for DOTH's unique needs over basic walk-throughs of generic SAP processes or standard system features.

According to CRP Deliverable Expectation Document (DED) acceptance criteria, WRICEF (Workflows, Reports, Interfaces, Conversions, Enhancements, and Forms) items should be part of CRP sessions. Based on the CRP DED, CRP should include the presentation and demonstration of prototypes with all standard and WRICEF developments mapped to the Requirements Traceability Matrix (RTM) and Process Design Documents (PDD). Unfortunately, there are still various WRICEF items in development with some of them requiring additional analysis and discussion. There are renewed efforts to further develop remaining WRICEF items, and it is encouraged to continue to develop concurrently with CRP sessions to prevent further delays. As it stands, the status has created added complications, impeding the successful completion of CRP sessions in a timely manner and with the required level of detail needed for this project.

This month, interactions and communication between modules have continued intermittently, as needed, rather than in a structured and consistent way. The current solution footprint involves a complex data flow between modules, and it is critical that all components integrate seamlessly to support DOTH business processes effectively. 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. It is important to identify a resource who recognizes this complexity and can coordinate integrating multiple modules and bridging the various business domains needed to satisfy DOTH's comprehensive requirements, including coordination of consultant activities, dispute resolution, and formulation of optimal solution designs. More active involvement from SI would greatly benefit the H4 Project by coordinating daily project management to strengthen communication, streamline information sharing, organize resource management, and encourage teamwork among consultants. Proactive SI project management would greatly alleviate some of the continuously observed challenges due to isolated work practices.

Although CRP sessions are generating FAQ documents, formal documentation, such as meeting minutes, has not been produced from other regular weekly meetings. Some CRP sessions have also experienced delays in producing FAQ documents. Utilizing meeting minutes and documentation would enhance clarity, ensure follow-through on action items, and contribute to more productive discussions and decision-making processes throughout H4 implementation. The consequences of low meeting documentation and sole reliance on recorded sessions have become more apparent when difficulties arise during information hand-off or knowledge transfer for new H4 Project Team members joining the project. As a result, project progress is delayed while the whole discovery and explore process is repeated for new team members. This repetition significantly diminishes the momentum and morale of the H4 Project Team. IV&V recommends documenting discussions and meeting minutes with actionable tasks on a centralized platform such as Teams or H4 CLAM. This would streamline project execution, prevent miscommunication, foster accountability among team members, and ensure all critical information is easily accessible to everyone. Formal documentation would make mark a significant step toward improving project management and overall progress.

There were no Functional Specification Documents (FSDs) specific meetings in October; however, FSD-related activities and discussions continued to take place during regular meetings for some modules or during their respective CRP sessions or general module sessions. As of the end of October 2025, there has been no change in FSD submission since April 2025. Out of 184 FSDs, 140 have been submitted for review, with DOTH conditionally approving 113. It is important to continue moving forward with remaining FSDs and document all functional specifications to align with DOTH requirements to ensure CRP sessions encompass FSDs and make progress with the overall Project timeline objective. Currently, the H4 Project Team has found some documented process flows in the PDDs to be incorrect or incomplete, necessitating updates to the PDDs.

Several CDD review activities resumed, and several corrected CDDs were submitted. Initially, Configuration Design Documents (CDDs) were planned for review once most FSDs were completed; however, it is now recommended that DOTH and SI conduct a concurrent review and validation of CDDs alongside FSDs. Since CDDs define the configuration of standard functions essential for establishing a system baseline and addressing solutions for over 480 requirements in Wave I, approximately 55% of the total Wave I requirements, they can be implemented without WRICEF. This means that completion of FSDs is not a prerequisite for proceeding with CDDs. Despite the original plan and recommendation, the approach should now change. SI proposed that CDDs be reviewed after the completion of CRPs and knowledge transfer for the DOTH Project Team. The Knowledge Transfer (KT) tracking document has been submitted and is being discussed. This document identifies and outlines areas or requirements that a specific DOTH resource will need to be familiar with and where they should receive training. DOTH and SI are working to reconcile the differences between the old and newly submitted versions to ensure that all information is adequately covered in detail. SI states that they are preparing training materials for end users; however, actual documentation can only start after the project has a locked scope.

To date, there have been no DOTH-specific KT or training sessions provided at the level of detail DOTH needs to acquaint themselves with H4 functions and

processes. Additionally, no structured training materials tailored to DOTH have been provided at all; training materials would significantly benefit DOTH team members in becoming familiar with H4 functions and enhancing their skills with the new system. While CRP sessions may facilitate some informal knowledge transfer, it is essential to have formal KT/Training equipped with reference materials that DOTH team members could use for thorough self-training and knowledge retention. A lack of training and materials remains a project risk, significantly impacting DOTH team members' ability to engage in meeting discussions and contribute to H4 Project goals. Creating and delivering comprehensive training sessions and materials to help DOTH effectively adapt to the new system will greatly enhance the project's progress.

The H4 system, now equipped with basic functionalities across various modules, is prepared for exploration and system familiarization by the DOTH team. DOTH team members are encouraged to explore the H4 system using the limited but available documents and materials, such as CRP scripts, cheat sheets, and other relevant resources. These documents are not intended to cover full use cases or serve as training materials; however, taking this proactive approach will not only speed up the knowledge transfer process guided by SI but also empower team members to gain hands-on familiarity with the H4 system at a faster pace. Furthermore, it will allow DOTH to identify specific areas where additional support or guidance from SI is likely needed, and with this feedback it will allow smoother and more effective KT and project team training that when KT sessions eventually take place.

Following the completion of CRP and KT sessions, unit testing is scheduled to take place, divided into three distinct sessions according to the approved change order: standard functionality, WRICEF, and End-User Roles and Authorizations. Each of these components will be tested independently at different times. However, this fragmented approach may introduce inefficiencies, necessitate retesting, and increase the risk of overlooking critical requirements. It is essential to ensure that the H4 system fully meets all specified requirements, whether they pertain to WRICEF or standard functionalities. To mitigate these risks, DOTH and SI should collaborate closely in planning and executing unit testing. A comprehensive functional and technical testing plan, aligned with all business processes and the requirements outlined in the RTM, is recommended to ensure thorough validation of all functionalities.

As most meetings are now held online via Teams and project timeline extensions persist, the H4 Project Team is encouraged to focus on interactive discussions, Q&A sessions, and real-time feedback during CRP sessions and other meetings. Additionally, increasing the frequency of onsite meetings could strengthen team connections and energize collaboration. These efforts would foster a more interactive and productive environment, driving faster and more effective project progress. By the end of 2027, SAP will phase out mainstream maintenance for SAP Solution Manager and SAP Process Integration (PI) and Process Orchestration (PO), replacing them with SAP Cloud ALM (CALM) and SAP Integration Suite, respectively. Therefore, DOTH requested these upgrades to comply with the contractual terms of replacing obsolete software and to avoid any additional costs and efforts in the future. SI agrees with the CALM upgrade; however, SI is evaluating the interpretation of the contract terms to upgrade PI/PO to SAP Integration Suite. A change order for CALM and an analysis of PI/PO regarding the upgrade's impact and complexity are currently underway. Upon completion, DOTH and SI will resume discussions regarding this upgrade. However, over the last few months, there have been no specific updates on the progress of this analysis. For the H4 general upgrade to the current version, SI has recommended deploying the most stable version, not necessarily the latest version, to meet DOTH's functional and technical needs and ensure compatibility with other components in the H4 system. SI stated that this upgrade will occur after CRPs are completed and before KT and testing begin. This approach ensures a reliable, upgraded system that aligns with the project's broader goals for a seamless transition and improved performance.

II. IV&V Dashboard

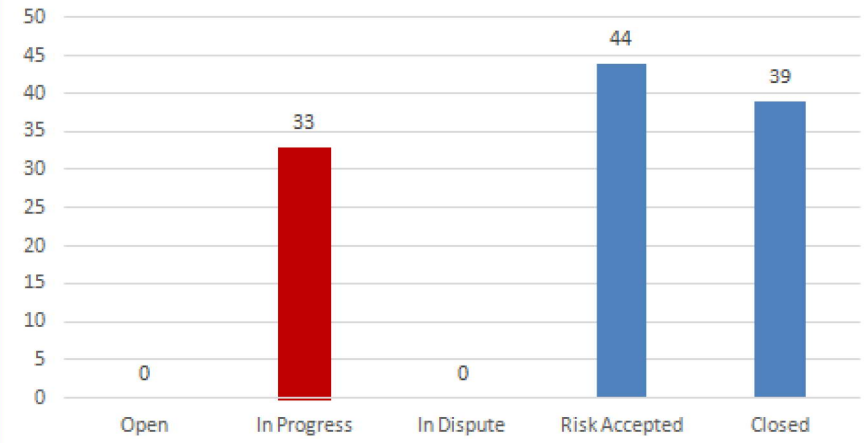
A. Subject Category

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

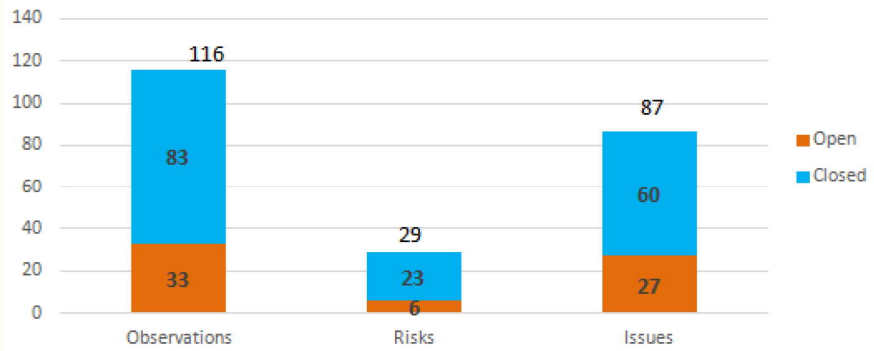
B. Observation, Risk, Issues, Subject Category

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

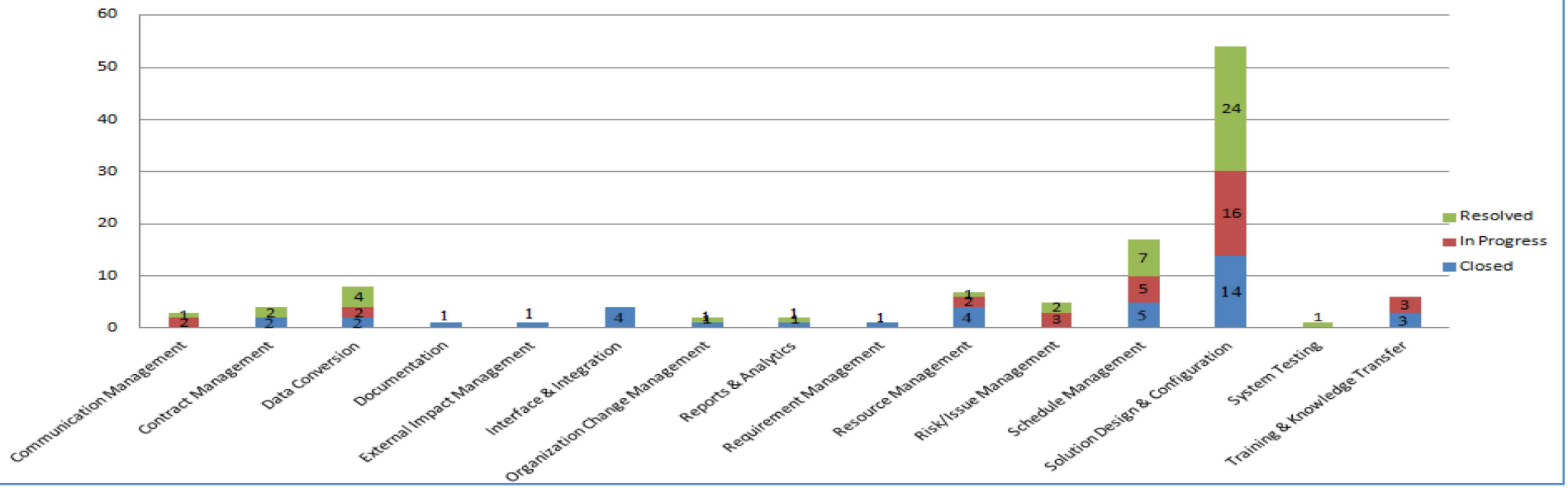
Number of Total Observation, Risk, and Issues



Number of Observation, Risk, and Issues by Status



Number of Observation, Risk, and Issues by Subject Category

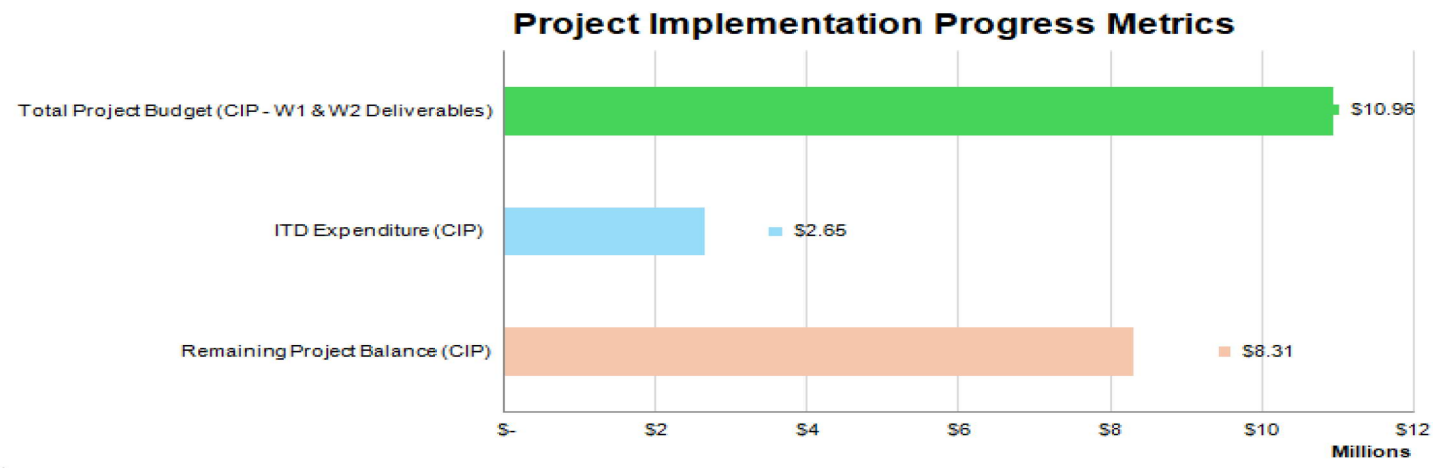


Section: IV&V Dashboard

C. Total Implementation Budget (CIP-W1 & W2 Deliverables) vs. Inception to Date Expenditure (CIP), and Total Software Licensing & Hosting Budget vs. Inception to Date (ITD) Expenditure, Project Timeline

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

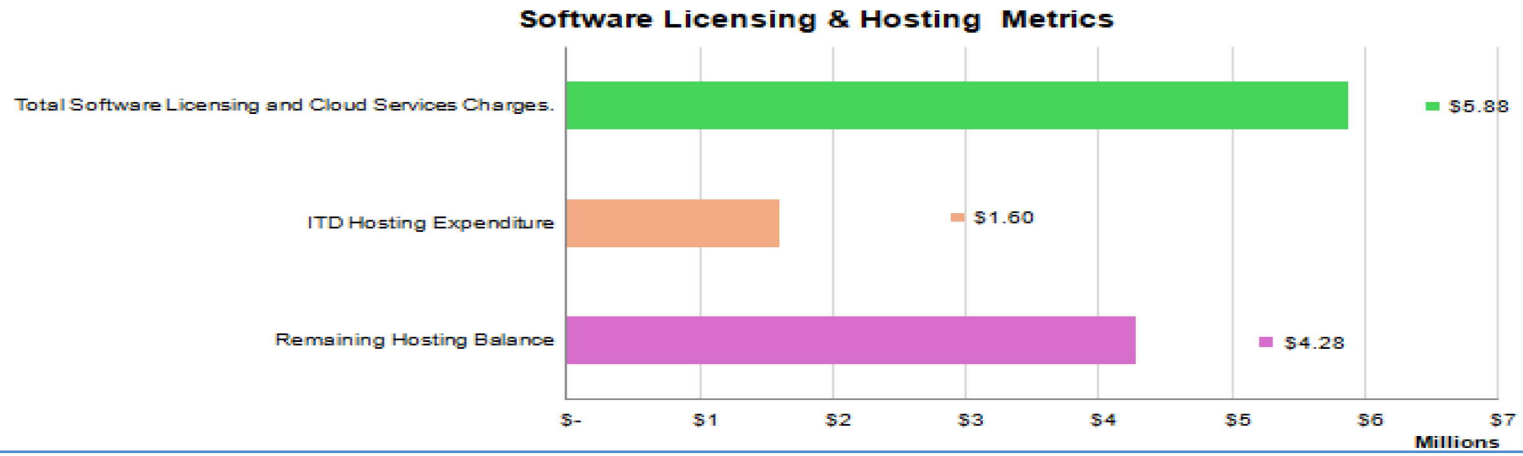
Total Implementation Budget Vs. Inception to Date (ITD) Expenditure



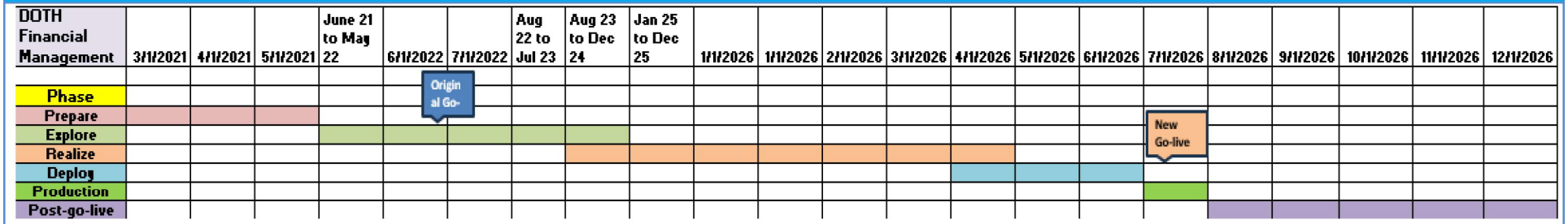
- Original Go-Live date: 7/1/2022
- Proposed Go-Live date: 07/01/2026
- Remaining Months (including post-Go-Live support): TBD
- Completed Months: 54
- Percentage of Completed Months vs. Total Months: TBD
- Percentage of ITD Expenditure vs. Total Budget: 24%
- Remaining Budget Balance: $ 8,310,928.53

Total Software Licensing & Hosting Budget Vs. Inception to Date (ITD) Expenditure

- Percentage of ITD Expenditure vs. Total Software Licensing & Hosting Budget: 27%
- Remaining Balance: $ 4,277,968.75



Project Timeline



H4 is currently in the Realize Phases. Various Realize Phase activities are ongoing, and Wave 2 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	Impact
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, and contract management. It is currently unknown, at a detail level, if the number of resources is 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.)	

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 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 to SI due to incompleteness.
7/1/2021: It is currently unknown, at a detail level, if the number of resources is 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 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.
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 Management: Observation, Risk, Issue and Feedback/Mitigation
12/31/2024: There were meetings held to discuss the updated Project Plan. However, there are multiple items that were unclear to DOTH and will need additional follow up. CDD information has been added, along with minor tasks that have been discovered and included since the last iteration. Resource balancing is continuing to take place and is making progress. 1/31/2025: There were meetings held for the project timeline, and resource balancing is currently in progress. It is recommended to finalize the Project Plan as soon as possible to ensure clarity regarding the task timeline and to prevent any further delays in project completion. 2/28/2025: There continues to be meetings and discussions to complete the Project Plan. However, DOTH suggested that, given past performance in deliverable timelines and execution, the proposed timeline may be aggressive and that there may not be enough resource capacity to accommodate the items presented in the plan. 3/31/2025: It was decided to focus on a rolling three-month plan instead of a full-fledged project plan. During the Project Plan and PMO meetings, discussions are centered around the activities and priorities for the upcoming three months. 9/30/2025: There were meetings held for the project timeline, and resource balancing. It is recommended to finalize the Project Plan as soon as possible to ensure clarity regarding the task timeline and to prevent any further delays in project completion. 10/31/2025: There have been no major updates. The updated Project Plan/Implementation Schedule is still being reviewed and updated by SI and DOTH.

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 has not been set yet.	
Feedback/Mitigation/ Updates	

The Go-Live of Wave 2 for Budget and Planning need 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.

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation
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 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: 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. 7/31/2024: The Project Plan/Implementation Schedule is still pending, and Wave 2 is continuously postponed. 8/31/2024: No major updates. 9/30/2024: No major updates. 10/31/2024: No major updates. 11/30/2024: No major updates. 12/31/2024: No major updates. The Project Plan is still incomplete, and Wave 2 continues to be postponed. 1/31/2025: No major updates. A discussion will take place in the future regarding the program that will replace the SBP, as it has been announced that the SBP product will be reaching its end-of-life. Currently, there is no specific time frame established for this discussion. 2/28/2025: DOTH raised a concern about having a separate Wave 2, as this could potentially lead to the failure of FHWA's full and complete certification. The requirements assigned to Wave 2, especially Job Authorization, Project Data Sheet, and HWYAC Info Sheets, are part of Wave 1 and constitute a critical portion of the FHWA certification assessment. There are no major updates on the development of Wave 2 or discussions regarding the SBP replacement. 3/31/2025: DOTH raised in the PMO meeting that certain requirements—Job Authorization, Project Data Sheet, and HWYAC Info Sheets—should be included in Wave 1 instead of Wave 2. Further discussions will take place to address this concern. 9/30/2025: Discussed with DOTH and it is agreed that LSI will replace the SAP SBP to SAP SAC as the new tool for the Planning and budgeting solutions. 10/31/2025: No Major Updates.

B. Subject Category: Resource Management

Resource Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-230930-01 Five key consultants, including the financial/integration lead, OCM lead, AR consultant, GM/FM lead, and infrastructure lead, as well as the HCM lead, left the H4 project. Additionally, three more key development consultants, the ABAP consultant, the Workflow consultant, and the lead HR Developer, departed in 2025. 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 they departed from the project.	
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, 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/FAMIS 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/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 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/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, DOTH conducted a reference call for the GL/AP/CO/FAMIS 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 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 mis instructed, 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.	

Resource Management: Observation, Risk, Issue and Feedback/Mitigation
7/31/2024: With the Realize Phase kickoff and CRP sessions starting, resources from multiple modules joined the related CRP meetings to bridge different tasks between modules. 8/31/2024: During the CRP sessions, consultants from directly or indirectly related modules were in attendance. However, the absence of an effective financial/integration role may have lead to some end-to-end integrated solutions between modules not being addressed promptly and instead being deferred to another consultant or future sessions. 9/30/2024: Multi-module collaboration and integration efforts appear to be taking place passively on an as-needed basis instead of proactively being managed. This may lead to prolonged development time for the end-to-end integrated solutions. 10/31/2024: Lead consultants from various modules participated in the CRP sessions to collaborate and offer detailed explanations in response to questions and comments. 11/30/2024: CRP sessions have continued, with consultants from various areas providing input on an as-needed basis. However, the multi-module collaboration and integration efforts appear to be occurring passively. It would be beneficial to establish a dedicated financial/integration role that actively drives and leads end-to-end integration solutions. 12/31/2024: The role of the Financial/Integration Lead has become increasingly critical for the project, especially as discovery sessions are being repeated in multiple modules due to inadequate transition to new/newer consultants. The project needs a resource who can facilitate internal knowledge transfer and provide detailed information on requirements to help them get up to speed. 1/31/2025: Another consultant left at the end of last year, and it shows the impact of not having a financial/integration lead role with comprehensive knowledge, as a new consultant will again have to go through knowledge transfer sessions with DOTH. 2/28/2025: It is recommended that SI provides a role of the full-time dedicated financial/integration lead for the H4 Project to ensure system implementation continuity. 3/31/2025: The lack of a financial/integration lead becomes evident when the project encounters bottlenecks in areas involving data flow between modules and when discovery sessions are repeated multiple times. 9/30/2025: Three consultants left between April and September, and it shows the impact of not having a financial/integration role with comprehensive knowledge, as a new consultant will again have to go through knowledge transfer sessions with DOTH. 10/31/2025: A new AR consultant joined

C. Subject Category: Quality Management

Quality Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-231031-01 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.	H

Feedback/Mitigation/Updates
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. 7/31/2024: No major updates. 8/31/2024: There continues to be minor wording and formatting issues including deliverable format being different than agreed upon DED. 9/30/2024: No major updates. 10/31/2024: No major updates. 11/30/2024: Some deliverables did not adequately address questions and comments provided by DOTH. This causes another round of review and ultimately results in project delays. 12/31/2024: No major updates. 1/31/2025: No major updates. 1/31/2025: No major updates. 2/28/2025: No major updates. 3/31/2025: No major updates. 9/30/2025: No major updates.

D. Subject Category: Risk/Issue Management

Risk/Issue Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-221130-02 Some items from Issue/Risk Log are being discussed without detailed resolution or follow-up.	H
Feedback/Mitigation/Updates	
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. 2/28/2023: 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 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.
7/31/2024: There are 63 items that need to be reviewed - 35 resolved and 28 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items need better follow ups.
8/31/2024: There are 65 items that need to be reviewed - 35 resolved and 28 in progress, and 2 in new. It is recommended that all open issues, including older items, be reviewed and resolved. Older items need better follow up.
9/30/2024: There are 65 items that need to be reviewed - 35 resolved and 30 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items need better follow up.
10/31/2024: There are 68 items that need to be reviewed - 36 resolved and 32 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items need better follow up.
11/30/2024: There are no changes to risks and issues this month. However, many older items have not been discussed or addressed for some time and require more attention. It is recommended that SI consultants and DOTH SMEs hold a dedicated session to review and recalibrate these issues. This effort is crucial to effectively resolving the aged items that are currently impacting the overall progress of the project.
12/31/2024: There are 70 items that need to be reviewed - 36 resolved and 34 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items need better follow up.
1/31/2025: No changes in the number of issues.
2/28/2025: No changes in the number of issues.
3/31/2025: There are 71 items that need to be reviewed - 38 resolved and 33 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items need better follow up.
9/30/2025: There are 116 items that need to be reviewed - 83 resolved and 33 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items need better follow up.

E. Subject Category: Organization Change Management

Organization Change Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-241226-01 OCM activity has been on hold and there is no ongoing communication taking place. There is no new OCM lead in the project currently.	
Feedback/Mitigation/Updates	
OCM activity has been absent for an extended period due to the project focusing on one specific activity at a time, currently CRPs. Even during stagnant times, the project will benefit from ongoing communication and updates. 1/31/2025: No major updates. 2/28/2025: OCM activities continue to be paused, and activities are planned to resume when Unit Testing starts. There should be proactive communication to the stakeholders and end users regarding the project status and development along with upcoming changes. 3/31/2025: There were no OCM activities conducted, apart from those related to the CRP. 09/30/2025: OCM Consultant left the project, and we have yet got a new consultant to fulfill this requirement.	

F. Subject Category: Communication Management

Communication Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-220131-08 Some requirements and processes impact multiple modules, including waterfall funding and the FHWA, among others. However, information is often siloed and not communicated to 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.	
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.

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

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 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 participants attend 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 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.

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

7/31/2024: The need for more effective and efficient project management and integrated solutions is evident as siloed work practices continue to hinder progress.
8/31/2024: During CRP sessions, consultants from related modules have collaborated to discuss and present H4 functionalities and their alignment with requirements. However, the overall solution design has not yet achieved the level necessary to support integrated DOTH requirements. Siloed work practices persist, emphasizing the need for a stronger focus on multi-module, end-to-end integration and project management to ensure cohesive alignment across all modules.
9/30/2024: As CRP sessions continue more collaboration is noticed. However, siloed work practice continues, and the end-to-end multi-module integration will need more effort.
10/31/2024: Continuous effort is needed for collaboration between the modules to ensure tightly integrated solution.
11/30/2024: No progress was made in intra-team communication. As the system is being developed and end-to-end scenarios will impact multiple modules, more coordination and communication are needed to have a properly integrated system.
12/31/2024: As CRPs progress and WRICEF development continues, communication takes place on specific areas that need interaction between the modules. However, a more overarching integrative effort and open communication are needed to ensure seamless collaboration. Meetings often involve the need to consult with other specialists for specific information, highlighting the importance of a structured approach to cross-module coordination.
1/31/2025: Another consultant has left the project, resulting in a gap in institutional knowledge once again. When attrition occurs, a certain level of knowledge transfer is expected to be necessary for the project to get back on track. However, the impact can be minimized through strong coordination and collaboration among consultants with the leadership of the financial and Integration Lead, a role that is currently unavailable yet remains crucial for the project's success. Additionally, maintaining proper meeting documentation as a standard practice, as discussed in I-221130-03, will further support knowledge continuity and project stability.
2/28/2025: No significant improvement or progress in overall collaboration and cross-module communication has been observed.
3/31/2025: It has been observed in multiple meetings that the same information is being repeatedly covered. Combined with the lack of meeting minutes and Summarie’s, this has become a significant factor hindering the project's progress.
9/30/2025: Three consultants have left the project, resulting in a gap in institutional knowledge once again. When attrition occurs, a certain level of knowledge transfer is expected to be necessary to get the project back on track. However, the impact can be minimized through strong coordination and collaboration among consultants, under the leadership of the financial and Integration Lead.

G. Subject Category: Contract Management

Contract Management: Observation, Risk, Issue and Feedback/Mitigation
Observation
ORI ID: O-240926-02 SAP Solution Manager as its mainstream maintenance is scheduled to end by the close of 2027. SAP Cloud ALM will be replacing SAP Solution Manager. The H4 Project Team has been reviewing and discussing continuing to utilize SAP Solution Manager for this project scope or immediately transition to SAP Cloud ALM.
Feedback/Mitigation/Updates
10/31/2024: A steering committee meeting was held to discuss upgrading the Solution Manager. SI and DOTH agreed to upgrade Solution Manager to Cloud ALM. Further details will be discussed and finalized later, and change order will be prepared accordingly. 11/30/2024: No major updates. 12/31/2024: No cost change order was prepared. 1/31/2025: No major updates. 2/28/2025: No major updates. 3/31/2025: No major updates. SI has not submitted the no cost change order. 9/30/2025: SI has submitted a no cost change order in July, and it is approved to replace the solution Manager.

Contract Management: Observation, Risk, Issue and Feedback/Mitigation
Observation
ORI ID: O-240926-03 SAP Process Integration (PI) and Process Orchestration (PO) - the currently utilized middleware - as SAP will end support on December 31, 2027. SAP Integration Suite will be replacing SAP PI and PO. The H4 Project Team has been reviewing and discussing continuing to utilize SAP PI and PO for this project scope or immediately transition to SAP Integration Suite.
Feedback/Mitigation/Updates

10/31/2024: A steering committee meeting was held to discuss the end of life of Process Integration (PI) and Process Orchestration (PO). SI and DOTH agreed that to finalize the decision, additional details are needed such as analysis regarding the complexity of migration, the project Go-Live date, and any other relevant factors that might impact the project schedule.
11/30/2024: No major updates.
12/31/2024: No major updates.
1/31/2025: No major updates.
2/28/2025: The Steering Committee held a meeting where this topic was discussed. SI and DOTH had differing opinions on the contract terms related to the 'Obsolete' clause. However, they ultimately reached an agreement to replace PI/PO with the SAP Integration Suite solution.
3/31/2025: No major updates.
9/30/2025: No major updates.

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

Observation

ORI ID: O-240926-04
DOTH has requested an upgrade to the latest version of the SAP software, as the existing H4 system is currently several versions outdated.

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

Feedback/Mitigation/Updates

10/31/2024: SI plans to perform a software update before testing starts.
11/30/2024: No major updates.
12/31/2024: SI plans an upgrade after CRP sessions are completed and will provide a more detailed plan when CRP sessions end.
1/31/2025: No major updates. CRPs are continuing.
3/31/2025: It has been discussed that the upgrade timing will be determined after the completion of the CRP sessions.
9/30/2025: SI plan to upgrade the Current H4 system after the CRP completion.

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

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Risk	**Impact**
ORI ID: R-230228-01 FSDs are supposed to be prepared during the RTM and Fit/GAP. However, FSD is still under development. CDD and FSD are the final documents before the System configuration, therefore it should be as complete as possible. However, numerous discoveries are still being made during the CRP/FSD sessions. It will impact contract management scope.	H
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.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation
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. 7/31/2024: No major updates. There has been minimal activity regarding FSDs. 8/31/2024: There was minimal progress made with FSDs, with a primary focus on CRPs. 9/30/2024: Progress with FSDs was limited, as efforts were primarily directed toward advancing CRPs. 10/31/2024: No additional FSDs were submitted as all efforts are going into CRP sessions and general module discussions. 11/30/2024: No major updates. 12/31/2024: Reports were shown and discussed in CRP sessions and regular meetings, and additional details were discussed. 1/31/2025: The reports FSDs will be worked on alongside any remaining CRPs and CDDs, instead of waiting for those to be completed. Also, SI stated that more WRICEF objects are ready for ITC. 2/28/2025: Additional WRICEF items are considered ready for ITC, according to SI. 3/31/2025: FSD activities are planned to resume at the end of March, based on the currently proposed Project Plan. 9/30/2025: Revisit of the RTM and FITGAP to understand the discrepancies in FSD count.

I. 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). DOTH had questions on the CDDs; however, not all modules contained detailed enough answers for DOTH to understand them. Through the CDD review sessions and updates on CDD, the issues are being resolved.
Feedback/Mitigation/Updates
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. 7/31/2024: No activities related to CDD occurred. 8/31/2024: No progress was made. 9/30/2024: No progress was made. 10/31/2023: No progress was made. 11/30/2024: No progress was made. 12/31/2024: SI mentioned that once CRP sessions are completed CDD will make progress. 1/31/2025: A few CDDs have been updated and submitted to DOTH for review. 1/31/2025: Some CRP sessions have not been completed and will continue in February. There are Q&A documents also being submitted and reviewed. 2/28/2025: The CRP FAQ documents are still under review, and CRP sessions are ongoing for the remaining modules. CRP activities will continue through the end of March in areas that remain incomplete. 3/31/2025: CRP sessions will continue into April, and the CRP meetings are scheduled throughout April. 09/30/2025: 85 percent of the CDD review done by DOTH and approved by DOTH functional consultants.

Solution Design and Configuration: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-240926-01 Conference Room Pilot (CRP) sessions continued for various modules. However, a few sessions have been postponed due to the modules' lack of readiness. Furthermore, some CRP sessions do not adequately demonstrate DOTH-specific requirements. SI is working on to resolve this concern.	H
Feedback/Mitigation/ Updates	
It is recommended that the CRP sessions prioritize and focus on DOTH-specific requirements and business processes rather than generic SAP processes and available features. 9/30/2024: Along with session readiness, resource scheduling and availability are also causing the project to be further delayed. 10/31/2024: CRP sessions will continue to be held in November for AR, AP, HCM, EGS, and FHWA. 11/30/2024: There will be CRP sessions in December. SI suggested that CRP sessions are completed in some modules, however DOTH has not fully agreed that CRP sessions are finalized for those modules. 12/31/2024: CRP sessions will continue to be held for certain modules in September. Additionally, there are some CRP sessions where questions were gathered, but the corresponding Q&A documents have not yet been submitted to DOTH. 1/31/2025: Some CRP sessions have not been completed and will continue in February. There are Q&A documents also being submitted and reviewed. 2/28/2025: The CRP FAQ documents are still under review, and CRP sessions are ongoing for the remaining modules. CRP activities will continue through the end of March in areas that remain incomplete. 3/31/2025: CRP sessions will continue into April, and the CRP meetings are scheduled throughout April. 9/30/2025: CRP sessions will continue to be held for specific modules in October. Additionally, there are some CRPs sessions scheduled for this month, and DOTH raised business-related questions during the CRPs. SI is responding to the questions raised during the CRPs.	

Solution Design and Configuration: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-250228-01 The Configuration Design Document (CDD) review is not fully completed for all modules, and a walkthrough of the CDD is in progress.	H
Feedback/Mitigation/ Updates	
FSD and CDD activities should have been worked on concurrently. CRPs are progressing without the completion of FSDs or a walkthrough of the CDDs. DOTH expects SI to conduct a comprehensive walkthrough of the CDD documents after the CRP sessions. It is recommended that SI provide DOTH with sufficient details in the walkthrough, CDD documents, and Q&A responses. This will help DOTH gain a better understanding of the system design, prepare for upcoming testing, and ultimately ensure proper maintenance in the future. 3/31/2025: CDD activities have resumed and are showing some progress. It is recommended that DOTH SMEs participate in reviewing and validating the CDDs, with appropriate supervision and guidance from SI. 09/30/2025: 85 percent of the CDD review done by DOTH and approved.	

J. 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.	H
Feedback/Mitigation/Updates	
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 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. 7/31/2024: The H4 Project Team continues to discover additional details and requirements as reports are discussed. 8/31/2024: Additional details throughout various modules are discussed and discovered along with WRICEF reports.	

Reports and Analytics: Observation, Risk, Issue and Feedback/Mitigation
9/30/2024: There continue to be additional details being discovered and discussed throughout various modules such as FA, PS, FM, and HCM. 10/31/2024: Additional details are discussed, and some re-discovery is taking place in most modules. 11/30/2024: There were no report specific meetings, however additional information and details are discussed in CRP and general module sessions. 12/31/2024: Reports were shown and discussed in CRP sessions and regular meetings, and additional details were discussed. 1/31/2025: There was no dedicated session for reports. However, some report-related requirements were discussed during meetings, such as the EGS CRP and GL sessions. 2/28/2025: Reports are discussed during GL and HR sessions as part of the regular module meetings. 3/31/2025: FSD objects for ITC 2 are scheduled to start on the last day of March and expected to take about three months based on the proposed Project Plan. 3/31/2025: Testing of custom reports, as part of the WRICEF objects, is scheduled to begin during ITC2 according to the proposed three-month Project Plan. However, it is recommended that all WRICEF objects, including custom reports, be thoroughly tested and validated beforehand, ideally even prior to the start of the ITC cycles. 9/30/2025: There were no report specific meetings, however additional information and details are discussed in CRP and general module sessions.

K. Subject Category: Data Conversion

Data Conversion: Observation, Risk, Issue and Feedback/Mitigation	
Risk	**Impact**
ORI ID: R-221130-04 Data Conversion strategy and plan documents have covered the details such as source/target, cleansing, dependencies, and validations. WRICEF and detailed data conversion work deferred from the Explore Phase are discussed and performed during FSD sessions.	
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 DOTH 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 DOTH'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.
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.

Data Conversion: Observation, Risk, Issue and Feedback/Mitigation
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. 7/31/2024: Meetings were held to discuss additional details regarding requirements for data conversion in areas including AR Customer, FM Master Data, GL Trial Balance, Purchase Orders, Project & System Master Data, and Fixed Asset Data. 8/31/2024: While most modules focused on CRP sessions, there was ongoing discussion around Data Conversion, and incremental progress was made in a few modules. 9/30/2024: Data conversion meetings and discussions on AR customers, Internal Orders, and MVSO Grants continue to be ongoing. 10/31/2024: The discussion about data conversion continued, particularly with MVSO. 11/30/2024: There was no data conversion specific meeting, however discussions took place as needed per module during CRP or general module meeting, particularly with FHWA. 12/31/2024: No major updates. 1/31/2025: No major updates. 2/28/2025: DOTH held internal discussions on data conversion, particularly for GL. However, no meetings specifically focused on Data Conversion took place. 3/31/2025: No data conversion activity took place outside of general module meetings. 9/30/2025: There was no data conversion specific meeting held this month; however, discussions took place as needed per module during CRP or general module meeting.

L. Subject Category: Documentation

Documentation: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
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 challenging to collaborate between the H4 Project Team members.	H

Documentation: Observation, Risk, Issue and Feedback/Mitigation
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. 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.

Documentation: Observation, Risk, Issue and Feedback/Mitigation
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 must 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. 7/31/2024: No progress has been made; however, it is recommended that meeting minutes are documented for all meetings moving forward. 8/31/2024: There have been improvements in some meeting sessions now that meeting minutes are provided. This should be the standard for all meetings to aid recollection and document progress. 9/30/2024: It is recommended that meeting minutes are adopted as the standard for all meetings to facilitate better meetings in the future. 10/31/2024: There are a few occasions where previously discussed and decided topics resurface for another discussion, and this stems from a lack of meeting documentation. It is recommended that all meetings adopt meeting minutes and a to-do list coming out of a meeting. 11/30/2024: No progress has been made. It is apparent that documented meeting minutes or summary would help the project as previously discussed topics continue to resurface. 12/31/2024: No progress has been made. 1/31/2025: No progress has been made. 2/28/2025: No progress has been made. The project has experienced resource turnover, and these meeting minutes/summaries could have helped ensure better implementation continuity. 3/31/2025: The project continues to experience re-discovery, repeated discussions, and revisiting information; this cycle can be minimized through the establishment of proper meeting minutes or meeting summaries. Although there were a few times meeting documentation was implemented for specific modules or specific types of meetings, no consistent documentation has come out of meetings on a regular basis. This continuously hinders the progress and continuity of the project. 9/30/2025: CDD was reviewed by DOTH functional team. Recommended config corrections were updated by LSI team in the system config and CDD documentations were updated.

Documentation: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
ORI ID: I-230930-02 It is observed that some conditionally approved deliverables are not currently up-to-date, especially PDDs. Furthermore, BPML is not updated adequately to reflect roles and user access.	H
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 processes 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.
7/31/2024: As CRP sessions start, process flows defined in the PDDs are reviewed and discussed.
8/31/2024: There were some discussions and discoveries regarding business process flow that deviated from the existing PDDs, however the PDDs were not updated accordingly.
9/30/2024: There continue to be discoveries that warrant updates to PDDs. However, the PDD documents have not been revised accordingly.
10/31/2024: New details on requirements continue to be uncovered, necessitating updates to the PDDs.
11/30/2024: Through CRP and general weekly discussion sessions, there were various updates that impacted the previously submitted PDDs, and it is recommended that a coordinated effort be made to update the PDDs with the most updated information.
12/31/2024: There were few mentions of updating PDDs; however, no coordinated effort was observed for PDD updates.
1/31/2025: No specific PDDs were updated. As CRP sessions are completed and CDDs are being worked on, PDDs should be updated concurrently with

2/28/2025: PDD updates were mentioned in PMO meetings, and the AR module held a few sessions to ensure the PDD reflects the most up-to-date information.
3/31/2025: No specific activities related to PDD updates have taken place. The project team is currently focused on completing CRP sessions to transition into other areas, such as the remaining CDDs and FSDs. It is important that PDDs are updated before finalizing any other documents.
6/30/2024: DOTH highlighted in a few meetings that certain PDDs still contain inaccurate information and require updates to prevent any confusion.
7/31/2024: As CRP sessions start, process flows defined in the PDDs are reviewed and discussed.
8/31/2024: There were some discussions and discoveries regarding business process flow that deviated from the existing PDDs, however the PDDs were not updated accordingly.
9/30/2024: There continue to be discoveries that warrant updates to PDDs. However, the PDD documents have not been revised accordingly.
10/31/2024: New details on requirements continue to be uncovered, necessitating updates to the PDDs.
11/30/2024: Through CRP and general weekly discussion sessions, there were various updates that impacted the previously submitted PDDs, and it is recommended that a coordinated effort be made to update the PDDs with the most updated information.
12/31/2024: There were few mentions of updating PDDs; however, no coordinated effort was observed for PDD updates.
1/31/2025: No specific PDDs were updated. As CRP sessions are completed and CDDs are being worked on, PDDs should be updated concurrently with the newest information.
2/28/2025: PDD updates were mentioned in PMO meetings, and the AR module held a few sessions to ensure the PDD reflects the most up-to-date information.
3/31/2025: No specific activities related to PDD updates have taken place. The project team is currently focused on completing CRP sessions to transition into other areas, such as the remaining CDDs and FSDs. It is important that PDDs are updated before finalizing any other documents.
09/30/2025: No specific activities related to PDD updates have taken place. The project team is currently focused on completing CRP sessions to transition into other areas, such as the remaining CDDs and FSDs. It is important that PDDs and BPML are updated before finalizing any other documents.

M. Subject Category: Training and Knowledge Transfer

Training and Knowledge Transfer: Observation, Risk, Issue and Feedback/Mitigation	
Issue	**Impact**
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.	H
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. 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.	

Training and Knowledge Transfer: Observation, Risk, Issue and Feedback/Mitigation
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. 7/31/2024: No progress has been made. 8/31/2024: No progress has been made. 9/30/2024: No progress has been made. 10/31/2024: No progress has been made. DOTH team members are encouraged to explore H4 using the CRP scripts developed for CRP scenarios, and to familiarize themselves with the system and receive assistance from SI as needed. 11/30/2024: No progress has been made at this time. During the PMO discussions, the development of a Knowledge Transfer tracking document was addressed. Work is currently underway, and it will be presented to DOTH soon. 12/31/2024: No progress has been made. The Knowledge Transfer tracking document continues to be discussed. 1/31/2025: Some level of knowledge transfer occurred indirectly during the general CRP sessions, as their primary purpose was not knowledge transfer. No specific formal transfer activities are being conducted. Meanwhile, the Knowledge Transfer Tracker is being updated. 2/28/2025: No major updates. 3/31/2025: CRP is continuing and no specific Knowledge Transfer sessions are in place. 9/30/2025: No formal KT activities have been implemented. SI is planning to start the KT session after the CRP is completed

IV. Meetings and Discussions Participated for the Month of October 2025

Meetings and Discussions			
Meeting ID	**Meeting Date**	**Meeting Title**	**Meeting Description**
M250904-1	9/4/2025	Internal PMO	An internal DOTH meeting was held to discuss current issues of the project.
M250904-2	9/4/2025	FMS weekly PMO Huddle	A Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status.
M250904-3	9/4/2025	Weekly Federal Billing & Project Systems	A meeting was held to discuss billing run process, screen, and data fields.
M250909-1	9/9/2025	cont'd - Blanket Encumbrance FM & AP CRP	A meeting was held to cont'd - Blanket Encumbrance FM & AP CRP
M250910-1	9/10/2025	Debrief	A debrief meeting was conducted to discuss the CDD challenges, key takeaways, and the next steps for moving forward.
M250911-1	9/11/2025	Internal PMO	An internal DOTH meeting was held to discuss current issues of the project.
M250911-2	9/11/2025	FMS weekly PMO Huddle	A Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status.
M250912-1	9/12/2025	Weekly Federal Billing & Project Systems Discussion	A meeting was held to discuss billing run process, screen, and data fields.
M250912-2	9/12/2025	Weekly AP Meeting	A meeting was held to discuss the Weekly AP open items.
M250912-3	9/12/2025	Discuss H4 - Access & BPML	A meeting was held to discuss master data, transactions, reporting access, and role creation.
M250915-1	9/15/2025	Debrief	A debrief meeting was conducted to discuss the GL meeting's outcomes, challenges, key takeaways, and the next steps for moving forward.
M250916-1	9/16/2025	cont'd - Discuss H4 - Access & BPML	A meeting was held to discuss master data, transactions, reporting access and roles creations.
M250916-2	9/16/2025	Weekly AR Discussion	A meeting was held to review and clarify AR requirements in RTM.
M250916-3	9/16/2025	cont'd - Discuss GL- Payroll postings	A meeting was held to review and discuss GL- Payroll postings
M250916-4	9/16/2025	Discuss GL CRP & CM CDD	A meeting was held to review and discuss GL, CRP and Cash Management- CDD and provide update to the LSI team.
M250914-5	9/16/2025	Debrief	A debrief meeting was conducted to discuss the GL meeting's outcomes, challenges, key takeaways, and the next steps for moving forward.
M250917-1	9/17/2025	Discuss PR CDD comments	A meeting was held to review and discuss PR CDD and provide update to the LSI team.

Meetings and Discussions			
Meeting ID	**Meeting Date**	**Meeting Title**	**Meeting Description**
M250917-2	9/17/2025	GL CRP	A meeting was held to show GL CRP to DOTH users from LSI side.
M250918-1	9/18/2025	Internal PMO	An internal DOTH meeting was held to discuss current issues of the project.
M250918-2	9/18/2025	FMS weekly PMO Huddle	A Weekly Project Status meeting was held to report project management status,
M250918-3	9/18/2025	Weekly Federal Billing & Project Systems Discussion	A meeting was held to discuss billing run process, screen, and data fields.
M250918-4	9/18/2025	Weekly FM Meeting	A meeting was held to discuss the Weekly FM open items.
M250919-1	9/19/2025	Debrief CRP	A debrief meeting was conducted to discuss the CRP meeting's outcomes, challenges, key takeaways, and the next steps for moving forward.
M250919-2	9/19/2025	Debrief AP and AR CDD	A debrief meeting was conducted to discuss the AR and AP CDD meeting's outcomes, challenges, key takeaways, and the next steps for moving forward.
M250919-3	9/19/2025	Debrief on BPML	A debrief meeting was held for BPML Roles and DOTH Counter-parts access. Further outcomes, challenges, key takeaways, and the next
M250922-1	9/22/2025	Discuss the DOTH's Position on SAC	A meeting was held to with Todd Fry to review the SAC for JA and Reports.
M250922-2	9/22/2025	cont'd - GL CRP	A meeting was held to show GL CRP to DOTH users from LSI side.
M250922-3	9/22/2025	Debrief CRP	A debrief meeting was conducted to discuss the CRP meeting's outcomes, challenges, key takeaways, and the next steps for moving forward.
M250923-1	9/23/2025	internal GL discussion follow-up	An EGS CRP was conducted to demonstrate and review Park and Post journals for the EGS inbound interface process.
M250923-2	9/23/2025	Debrief GL	A debrief meeting was conducted to discuss the GL CRP meeting's outcomes, challenges, key takeaways, and the next steps for moving
M250924-1	9/24/2025	internal - Discuss SAC for JA & PDS	An internal DOTH meeting was held to review and discuss SAC, JA & PDS.
M250924-2	9/24/2025	cont'd - Discuss H4 - Access	A meeting was held to discuss the processes to review the DOTH Members access the H4 systems.
M250924-3	9/24/2025	cont'd GL CRP - Financial Statements, Cash Ledger, Document Types	A meeting was held to review GL CRP - Financial Statements, Cash Ledger, Document Types.
Meetings and Discussions			

M250925-1	9/25/2025	FMS weekly PMO Huddle	A Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status.
M250925-2	9/25/2025	Internal PMO	An internal DOTH meeting was held to discuss current issues of the project.
M250925-3	9/25/2025	Weekly Federal Billing & Project Systems Discussion	A meeting was held to discuss billing run process, screen, and data fields.
M250925-4	9/25/2025	cont'd - Discuss GL- Payroll, CIP Labor postings	A meeting was held to discuss GL- Payroll, CIP Labor postings.
M250926-1	9/26/2025	Discuss end to end CRPs	A meeting was held to discuss CRP steps and what beneficial for DOTH to see the end-to-end details for each area.
M250926-2	9/26/2025	Discuss Reports & Time CDD	A debrief meeting was conducted to discuss the Time CDD meeting's outcomes, challenges, key takeaways, and the next steps for moving forward.

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	

IV&V Deliverables and Reports Completed					
IV&V ID	**IV&V Deliverable Name**	**SI Deliverable Name**	**SI Wave / Seq ID**	**Submission Date**	**Note**
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	
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	

IV&V Deliverables and Reports Completed					
IV&V ID	**IV&V Deliverable Name**	**SI Deliverable Name**	**SI Wave / Seq ID**	**Submission Date**	**Note**
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	
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 DOTH.
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	

IV&V Deliverables and Reports Completed					
IV&V ID	**IV&V Deliverable Name**	**SI Deliverable Name**	**SI Wave / Seq ID**	**Submission Date**	**Note**
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	
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	

IV&V Deliverables and Reports Completed					
IV&V ID	**IV&V Deliverable Name**	**SI Deliverable Name**	**SI Wave / Seq ID**	**Submission Date**	**Note**
IVV4.33	Monthly Project Assessment Report (Jan 2024)	N/A	N/A	3/4/2024	
IVV4.34	Monthly Project Assessment Report (Feb 2024)	N/A	N/A	3/18/2024	
IVV4.35	Monthly Project Assessment Report (Mar 2024)	N/A	N/A	4/21/2024	
IVV4.36	Monthly Project Assessment Report (April 2024)	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	
IVV5.23	Verification and Validation of Project Deliverables -DEDs with Acceptance Criteria for each System test cycle and each Deliverable	DEDs with Acceptance Criteria for each Deliverable for the User Acceptance Tests	Wave 1 / #47	5/29/2024	
IVV4.37	Monthly Project Assessment Report (May 2024)	N/A	N/A	6/24/2024	
IVV4.38	Monthly Project Assessment Report (Jun 2024)	N/A	N/A	7/26/2024	
IVV4.39	Monthly Project Assessment Report (Jul 2024)	N/A	N/A	8/21/2024	
IVV5.25	Verification and Validation of Project Deliverables -Conference Room Pilot Iterations	Conference Room Pilot Iterations	Wave 1 / #34	9/20/2024 to 1/31/2025	In Progress: The questions and comments for FA, FM, GM, PO, AR CRPs have been provided.
IVV4.40	Monthly Project Assessment Report (Aug 2024)	N/A	N/A	9/29/2024	
IVV4.41	Monthly Project Assessment Report (Sep 2024)	N/A	N/A	10/24/2024	
IVV4.42	Monthly Project Assessment Report (Oct 2024)	N/A	N/A	11/25/2024	
IVV4.43	Monthly Project Assessment Report (Nov 2024)	N/A	N/A	12/27/2024	
IVV4.44	Monthly Project Assessment Report (Dec 2024)	N/A	N/A	1/27/2024	
IVV4.45	Monthly Project Assessment Report (Jan 2025)	N/A	N/A	2/28/2025	
IVV4.46	Monthly Project Assessment Report (Feb 2025)	N/A	N/A	2/28/2025	
IVV4.47	Monthly Project Assessment Report (Mar 2025)	N/A	N/A	3/25/2025	
IVV4.48	Monthly Project Assessment Report (Apr 2025)	N/A	N/A	4/26/2025	
IVV4.49	Monthly Project Assessment Report (Sept 2025)	N/A	N/A	11/14/2025	

VI. IV&V Deliverables and Reports Planned To be Completed in Wave 1/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**
IVV5.26	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	
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	

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**
IVV5.39	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.

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.

Subject	Subject Category	Description
	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.
	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.

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
CM	Construction Management
CMIA	Cash Management Improvement Act
CO	Controlling (SAP “Controlling Module)
COGS	Certificate of Good Standing
CON	Construction
CPN	Capital Project Number
CPO	State Chief Procurement Officer
CSS	Construction Support Services, Computer System & Service

Term/Acronym	Definition
CALM	Cloud ALM
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” Finance module)
FM	Fund Management
FMCSA	Federal Motor Carrier Safety Administration
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

Term/Acronym	Definition
H4	Name of New System/Project
H4 Project Team	DOTH 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
IS	Integration Suites
ITD	Inception to Date
IV&V	Independent Verification and Validation
JA	Job Authorization
JE	Journal Entry
JV	Journal Voucher
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

Term/Acronym	Definition
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)
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
SAC	SAP Analytical Cloud
SBP	SAP Budget and Planning

Term/Acronym	Definition
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

ID #	Comments	Commenter's Organization	IV & V Resolution

1	**1. Clarify Dependencies Between the Project Plan, Go-Live Date, and CRP Completion**
	
	The draft IV&V report currently suggests that the absence of a finalized Project Plan or confirmed Go-Live date reflects a lack of progress.
	LSI proposes adding clarifying language that:
	
	• The Project Plan cannot be baselined until **end-to-end CRP sessions are completed**, because
	  ○ CRP sessions continue to reveal required refinements to the design,
	  ○ Several integrated scenarios remain pending, and
	  ○ Testing scope, resource profiles, and WRICEF readiness cannot be accurately finalized until CRPs conclude.
	
	Additionally, IV&V should explicitly recognize that **the July 2026 Go-Live date proposed in the current draft plan is highly ambitious**, given:
	
	• Pending CRP completion,
	• Ongoing refinement of scope, WRICEF items, and reporting, and
	• The need for DOTH and SI to jointly evaluate the resourcing and testing duration once CRPs are complete.
		LSI	IV&V does not agree that completion of the baseline project plan is dependent on completion of the CRPs.
			
			The draft October IV&V report does not state that the absence of a finalized Project Plan or confirmed Go-Live date reflects a lack of progress.

Deliberative Discussion Only

2	**Position CRP Sessions as the Current Priority and a Prerequisite for Downstream Planning** The IV&V draft frames prolonged CRP timelines as schedule slippage; however, from LSI's perspective, the CRPs are **deliberately comprehensive** and **necessary** to ensure DOTH's understanding of the solution and to validate end-to-end processes. CRP sessions are the active focus of the project, and their completion is a foundational prerequisite for finalizing the Project Plan, testing plans, WRICEF sequencing, and stakeholder training. As long as CRPs remain in progress, downstream planning activities cannot be meaningfully completed. IV&V should consider emphasizing the dependency rather than viewing the incomplete plan as a standalone delay.	LSI	IV&V agrees that the CRP sessions are priority and comprehensive to insure DOTH understanding of the solution and end to end processes. IV&V does not agree with emphasizing the dependency rather than viewing the incomplete plan as a standalone delay. IV &V report does not state that the CRP is timeline is prolonged due to slippage. In-fact without an approved schedule or project plan, it is not possible to comment on the CRP progress as prolonged or as slippage.

For Internal discussion Only

3	**Update Language Around Knowledge Transfer (KT) and Training to Reflect Current Stage** The IV&V draft states that KT and training materials have not yet been produced. LSI proposes clarifying that: • CRPs are part of the intended knowledge-building sequence, • Formal KT materials are delivered **after** solution stabilization. • KT cannot be finalized until CRPs are complete and the scope is confirmed.	LSI	IV&V will update reporting language, as appropriate, to reflect the current stage of KT and training development while continuing to monitor the timing, completeness, and readiness of formal KT and training deliverables once CRP outcomes are finalized. This approach ensures visibility into both near-term knowledge-building activities and longer-term training readiness as the project progresses.
4	**Suggested Edits to OCM Commentary** The IV&V report notes that OCM activities are on hold. LSI proposes clarifying that the current pause in OCM progress is due to the fact that DOTH did not approve the OCM Lead originally proposed by LSI. LSI is in the process of sourcing an acceptable replacement and will resume OCM activities once DOTH approves the new resource. Rather than framing the pause as a sequencing or timing decision, IV&V should note that progress is dependent on resourcing approval. Once the replacement OCM Lead is confirmed by DOTH, LSI will re-establish the OCM workplan and resume development of communication materials, stakeholder readiness activities, and downstream training alignment.	LSI	IV &V does not agree with LSI's clarification regarding the status of Organizational Change Management (OCM) activities. The previous OCM Lead left the project in April 2025. The contract requires that the vacancy be filled within 45 days by a replacement OCM Lead with equivalent qualifications and experience. However, the OCM position remained vacant at the end of October.

For internal discussion Only

5	**Clarify Reporting Around Cross-Module Communication** The IV&V draft characterizes communication as "siloed." LSI proposes clarifying that: • Cross-functional participation has increased substantially during CRP, • Certain integration topics cannot be finalized until CRPs are completed and the end-to-end design is validated.	LSI	IV&V does not agree cross functional participation in the CRP has Increased. Out of 18 functional meetings and CRPs in October, only 3 had LSI cross functional participation.

Pre-Decisional discussion Only

	Strengthen the Acknowledgment of CDD Completion The IV&V draft refers to CDD completion as a major milestone. LSI requests that IV&V revise this wording to accurately reflect the project's status in October. At that time, CDDs were **still under review and had not yet reached full completion or approval**. Several CDDs required further clarification from ongoing CRP sessions, as well as alignment with evolving requirements and pending Change Orders. LSI recommends that IV&V update its commentary to note that, as of October 2025: • CDD review was **in progress**, • Several documents were still pending DOTH review and approval (5 of 15 documents pending approval) This adjustment ensures that the report reflects the correct state of deliverable progress during the period being assessed.	LSI	IV&V agrees that CDD review by both LSI and DOTH was in progress. Six CDD's were undergoing LSI revision and five were undergoing DOTH review in October.
7	**Recommended Language Adjustments for WRICEF and FSD Commentary** The current IV&V draft characterizes WRICEF and FSD progress as delayed without fully reflecting the **external dependencies** that impact LSI's ability to finalize these deliverables. To ensure accuracy, LSI proposes that IV&V adjust its commentary to include the following considerations: **1. WRICEF Object Count Cannot Be Finalized Until Change Orders Are Approved** LSI has submitted multiple Change Orders for DOTH review and approval. These Change Orders directly determine: • The **final number of WRICEF objects in scope** • Which objects are included vs. removed	LSI	IV&V does not agree with LSI's recommended language adjustments for the WRICEF and FSD commentary. Per the PMO, the WRICEF change orders are to be discussed in the weekly functional meetings, so that any open issues can be resolved in the change order approved. However, LSI did not include all the change orders in the functional meeting agendas for October. IV&V Does not agree that FSD Completion Is Delayed Due to Pending Requirements Clarification from DOTH. Per the PMO, any open issues with FSD's are to be discussed in the weekly functional meetings. However, LSI did not include all the FSD open items in the functional meeting agendas for October.

	• Whether new functional requirements introduced by DOTH are considered in scope • How the associated effort and sequencing should be planned Until the Change Orders are fully approved, LSI cannot finalize the WRICEF inventory or proceed with detailed development specifications. **2. FSD Completion Is Delayed Due to Pending Requirements Clarification from DOTH** Several outstanding FSDs are dependent on: • **Finalization of business decisions by DOTH**, • **Clarification of functional requirements**, and • **Resolution of open questions that impact scope and design.** Where requirements remain open or evolving, LSI cannot finalize the corresponding FSDs.		

C. Observation, Risk, and Issues List

Observation, Risk and Issues (ORI) 9 /30/2025

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 ENV 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 HWYAC Resource in Dec 2021	A key DOTH personnel, Chuck for HWYAC 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 HWYAC 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

For DOTH internal discussion Only

Observation, Risk and Issues (ORI) 9 /30/2025

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.	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. 7/5/2021: 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 8/02/2021: 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 IA4 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 PODs are approved by DOTH. 5/31/2022, 6/30/2022, 7/31/2022: No major updates. 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 6/23/2024. 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. 7/31/2024: The updated Project Plan/Implementation Schedule is still being reviewed and updated by SI and DOTH. 8/31/2024: Resources and timelines for tasks are being reviewed and updated by SI. 9/30/2024: SI continues to work on the deliverable with focus on resources and timelines. Lack of an approved Project Plan continues to hinder the project progress. 10/31/2024: SI is working on the next iteration of the submission and plans to present it to DOTH soon. 11/30/2024: SI submitted a new iteration of the Project Plan. DOTH and SI held a discussion meeting, but were not able to come to an agreement. The proposed dates on some deliverables are not in the expected sequence and DOTH views the timeframe unrealistic and not based on actual resources and demanded that the resource and time required are substantiated. 12/31/2024: There were meetings held to discussed the updated Project Plan. However, there are multiple items that were unclear to DOTH and will need additional follow up. CDO information has been added, along with minor tasks that have been discovered and included since the last iteration. Resource balancing is continuing to take place and is making progress. 01/31/2025: There were meetings held for the project timeline, and resource balancing is currently in progress. It is recommended to finalize the Project Plan as soon as possible to ensure clarity regarding the task timeline and to prevent any further delays in project completion.	1/31/2025			
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 through 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 are 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 fit/gap analysis earlier.	SI	Closed	N/A	N/A	N/A		7/31/2021	7/31/2021		

Observation, Risk and Issues (ORI) 9 /30/2025

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 Organizational 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	DOTH 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	DOTH 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.	DOTH	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	DOTH 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.	DOTH	Closed	N/A	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 tot specific state appropriation, labor compression, county pass-through and MVSO.	DOTH/SI	Closed	N/A	N/A	Both DOTH 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.	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	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	DOTH 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.	DOTH/SI	Closed	N/A	N/A	It is recommended that DOTH 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 FAMIS account codes.	9/2/2021: A meeting with DAGS was held on 8/12/2021. DOTH 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

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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
R-210812-01	Risk	M210812-3	8/12/2021	External Impact Management	GL	New UCOA of Statewide Financial System	DOTH FMS is required to be compatible with DAGS's future statewide financial system. A meeting with DAGS was held on 8/12/2021 and DOTH 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 the financial management system hasn't started yet and Go-Live date has not been determined either.	DOTH/SI	Closed	Low	Low	It is recommended that additional meetings need to be scheduled for further discussion and clarification of the new UCOA including the latest UCOA contents, changes, updates, etc. compared to the FAMIS account codes.	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.	12/31/2021	1/31/2022		
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.	DOTH/SI	Closed	N/A	N/A	It is recommended that DOTH and SI hold a meeting with DAGS to find out if DAGS allows DOTH to interface files to FAMIS (DOTH Outbound Interface) and DAGS can interface files to DOTH (DOTH 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 DOTH had a meeting with DAGS to discuss FAMIS interface. 11/4/2021: SI and DOTH/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 data is from DataMart.
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 Explore Workshops to review and confirm the DOTH business terminologies, processes, and requirements to effectively communicate with DOTH and to propose DOTH specific solutions.	7/31/2021: More DOTH requirements have been reviewed and discussed during the Explore 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 Explore 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 manger 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 DOTH 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:DOTH 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.	DOTH/SI	Closed	N/A	N/A	It is recommended that DOTH 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. DOTH 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	DOTH Critical Core Requirement	DOTH 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 DOTH in the Explore Phase.	DOTH/SI	Closed	N/A	N/A	N/A	9/2/2021: No updates were reported to DOTH. 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 DOTH's requirement for the "Split Cost for Federal Billing" requirement. This highlights the need for better and earlier requirements discussion to correctly understand DOTH'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 DOTH 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	DOTH Critical Core Requirement	DOTH 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 DOTH in the Explore Phase.	DOTH/SI	Closed	N/A	N/A	N/A	9/2/2021: No updates were reported to DOTH. 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 DOTH's requirement for the "Waterfall Funding" requirement. This highlights the need for better and earlier requirements discussion to correctly understand DOTH'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 DOTH 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	DOTH Critical Core Requirement	DOTH 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 DOTH in the Explore Phase.	DOTH/SI	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. 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: DOTH held a workshop and presented again how DOTH processes Waterfall funding/Spilt on 12/31/2021: DOTH 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		

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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
O-210729-05	Observation	M210729-1	7/29/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	DOTH Critical Core Requirement	DOTH 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 DOTH in the Explore Phase.	DOTH/SI	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. 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: DOTH 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	
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/SI	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/SI	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: SI and DOTH had a meeting with DAGS to discuss FAMIS interface. Email correspondents were exchanged as follow-up. 11/4/2021: SI 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 SI 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/SI	Closed	N/A	N/A	SI may consider a Budget and Planning (SBP) consultant participate in O&M and CIP budget As-Is, To-Be and Requirements Analysis sessions in the current Wave I Explore Phase instead of waiting for the scheduled Wave II explore phase. This may minimize duplicated effort for both SI and DOTH, prevent possible rework of solution design and configuration, and assist budget preparation and execution to have seamless integration.	9/2/2021:SI 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 SI and DOTH revisit the schedule to coordinate a simultaneous go-live. 9/30/2021: SI 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/SI	Closed	N/A	N/A	Any new requirements discussed during the explore workshops should be documented and included in the Requirement Traceability Matrix. If DOTH and SI decides to implement full blown Inventory, Plant Maintenance, HR, Grants Management and Payroll modules, DOTH should establish sets of requirements first before establishing requirements through ad hoc discussions.	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: SI 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 SI should ensure the implementation scope and requirements clarification are agreed upon. There may need to be additional discussions. 11/18/2021: SI 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/SI	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 SI 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.	SI	Closed	N/A	N/A	It's recommended that SI provide clear direction and roadmap for how FM will be used instead of SBP during the transition period between Wave I Go-Live and Wave II Go-Live.	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 SI plans to start SBP on a later date. Wave 2 was planned to start by now, however it is pushed back. SI plans to start Wave 2 after Wave I'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.	SI	Closed	N/A	N/A	It is recommended that SI complete a thorough analysis of DOTH requirements with DOTH SMEs, ensure that consultants understand the DOTH requirements, and seek out additional clarification and explanation from DOTH as needed.	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.	SI	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/SI	Closed	N/A	N/A	Fridays could be utilized for meetings and discussions.	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.	SI	Closed	N/A	N/A	It is recommended that an access to SAP Sandbox is provided to DOTH for DOTH users to familiarize themselves with SAP system functions and navigations.	9/17/2021: SI provided access to SAP Sandbox.	9/30/2021	9/30/2021		

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O-210902-03	Observation	M210826-1	9/2/2021	Resource Management	N/A	Replacement of Billing Consultant	SI FHWA Billing Consultant is leaving the DOTH FMS project on 9/3/2021.	SI	Closed	N/A	N/A	It's recommended that SI replace FHWA Billing Consultant position ASAP and ensure a proper knowledge transfer.	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 and DOTH is having a difficult time understanding the full continuous process cycle in SAP.	SI	Closed	N/A	N/A	DOTH would like to review and validate how SAP processes the entire DOTH business cycle such as PR, PO, Invoice, Payment, to GL posting and reports, etc. in a continuous flow.	9/16/2021: SI and DOTH agreed that Playback will be conducted based on the DOTH business scenarios. 10/13/2021: SI 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 SI 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.	SI	Closed	N/A	N/A	It is recommended that SI provide an instruction of how to navigate and utilize the SAP Support Website.	10/15/2021: There is an orientation to SAP Web Support planned for 10/19/2021. 10/19/021: An orientation to SAP web Support meeting was held.	10/31/2021	10/31/2021		
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 DMR 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 a 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 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	

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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-211021-03	Issue	M211021-4	10/21/2021	Requirement Management (Processes, Requirements and Fit/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 higher priority.	11/18/2021: 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 reviews 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/Split, Payroll, Billing including Flexible Match, Taper 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 close to 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 and 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 September 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 Fit/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 reviews 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 Fit/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 Fit/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	

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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-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 DOTH is reviewing it. 12/2/2021: DOTH 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 DOTH 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 DOTH 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	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: 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. 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. 7/31/2024: SI has provided a revised version of the Initial Deployment Plan, and DOTH is currently in the process of reviewing it. 8/31/2024: Multiple meetings were held to discuss Initial Deployment Plan and the questions, comments, and answers posted in the document. 9/30/2024: No major updates. 10/31/2024: SI submitted an updated Initial Deployment Plan on 10/16 and DOTH responded with comments and questions on 10/29. There will be a meeting to discuss the document on 11/1. 11/30/2024: Multiple meetings were held to discuss the updated Initial Deployment Plan submission and SI is in the process of addressing and responding to questions and comments. 12/3/2024: Initial Deployment Plan has been approved.	11/30/2024	12/3/2024		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 DOTH's review. DOTH requested a revision due to the document being incomplete and inaccurate. 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. DOTH provided feedback on the document. It is recommended that SI hold a review session for the document. 6/17/2022: DOTH and SI reviewed Technical Infrastructure Plan/Design in the meetings. 6/21/2022: DOTH conditionally approved Technical Infrastructure Plan/Design.	6/30/2022	6/30/2022		6/21/2022: DOTH 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 DOTH 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 DOTH 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 competed 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 DOTH.	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 DOTH approved the deliverable.	2/16/2022	2/16/2022		

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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
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 DOTH's decision of whether or not to carry out inventory and plant maintenance module with full implementation scope.	DOTH/SI	Closed	N/A	N/A	It is recommended that Project Design Document (PDD) include potential system/configuration solutions depending on DOTH's implementation scope decision.	11/3/2021: DOTH made a decision to include Inventory and Plant Maintenance modules in scope.	11/18/2021	11/18/2021		
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.	DOTH/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	DOTH project team members are not familiar with H4 system functions and features for PDD review and having difficulty applying them to DOTH's requirements.	DOTH/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-DOTH 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.	DOTH/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.	DOTH/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 GL 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.	DOTH/SI	Closed	Medium	N/A	It is recommended that H4 Project Team design a permanent solution that will best fit DOTH budget requirements from its 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/Spilt. 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: September 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 closed and be tracked together with I-211021-03.	1/31/2022	1/31/2022	I-211021-03	

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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-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.	DOTH/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 DED .	1/31/2022	1/31/2022		
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 programs codes. Review and updates are in progress. 3/31/2022: No major updates. SI and DOTH need to collaborate to decide on the solution design. 4/12/2022: SI presented a Waterfall Funding solution overview and DOTH is waiting for FHWA documentation. 4/27/2022: More Waterfall Funding and Billing meetings were held. DOTH 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 were 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 DOTH. Key Design Document (KDD) addressing Waterfall Funding solution designs is being created by SI for DOTH review and approval. 11/30/2022: 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 id being made.
I-220114-02	Issue	M220127-2	1/27/2022	Requirement Management (Processes, Requirements and Fit/Gap)	PO	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 DOTH 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.	DOTH/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 DOTH 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 DOTH 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 DOTH 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 will be revisited in mid-February for possible updates in the schedule. Wave2 is planned after the completion of the Wave I Explore phase. The Wave 2 schedule should be revisited at the same time as the Wave I 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 DOTH review. 10/14/2022: DOTH 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 DOTH 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 DOTH 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 DOTH 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.	DOTH/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 3/3/2022 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: DOTH 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 DOTH requirements and PDD documents are not covering all the DOTH processes and requirements. Certain information is incorrect in the PDDs and it is unsure whether SI consultants have a full understanding of DOTH processes and requirements. Some consultants seemed to have limited experience with DOTH and FHWA and need more time to understand information related to DOTH and FHWA processes.	DOTH/SI	Closed	Medium	N/A	SI and DOTH 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 DOTH 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 DOTH requirements should attend other relevant meetings, especially including FHWA, to bridge the FHWA and DOTH 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 DOTH experience on FHWA and the high turnover of consultants are causing multiple and duplicate discovery sessions over and over again, e.g., there were DOTH 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 DOTH business requirements and terminologies. 10/31/2022: Lack of DOTH 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 DOTH 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 DOTH 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 DOTH 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 DOTH 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 DOTH 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.	DOTH/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-220131-04. 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	DOTH Critical Core Requirement	A high-level solution for the DOTH critical core requirement, "Accounting for Appropriated, Allotted, and Cash Authority," is still being developed by SI and not approved by DOTH.	DOTH/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 DOTH 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 DOTH Cash Advice report.
I-220131-06	Issue	O-210729-06	1/31/2022	Requirement Management (Processes, Requirements and Fit/Gap)	GENERAL	DOTH Critical Core Requirement	A high-level solution for the DOTH critical core requirement, "Labor Compression," is still being developed by SI and not approved by DOTH.	DOTH/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 DOTH 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 DOTH. 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: DOTH is in the process of reviewing journal entries. 7/18/2022: DOTH submitted questions and comments regarding payroll journals to SI. 8/31/2022: No major updates. 9/13/2022: DOTH received responses to the questions DOTH 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	DOTH Critical Core Requirement	A high-level solution for the DOTH critical core requirement, "The State Financial Accounting System," has not been finalized yet.	DOTH/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		

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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-220131-08	Issue	M220127-1	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. Meeting recordings should be utilized to understand the relevant topic for the related process in another module. 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.	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. 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, but 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, DCM 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, EIL, 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 to 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. 7/31/2024: The need for more effective and efficient project management and integrated solutions is evident as siloed work practices continue to hinder progress. 8/31/2024: During CRP sessions, consultants from related modules have collaborated to discuss and present H4 functionalities and their alignment with DOTH requirements. However, the overall solution design has not yet achieved the level necessary to support integrated DOTH requirements. Siloed work practices persist, emphasizing the need for a stronger focus on multi-module, end-to-end integration and project management to ensure cohesive alignment across all modules. 9/30/2024: As CRP sessions continue more collaboration is noticed. However, siloed work practice continues, and the end-to-end multi-module integration will need more effort. 10/31/2024: Continuous effort is needed for collaboration between the modules to ensure tightly integrated solution. 11/30/2024: No particular progress was made in intra-team communication. As the system is being developed and end-to-end scenarios will impact multiple modules, more coordination and communication are needed to have a properly integrated system. 12/31/2024: As CRPs progress and WRICEF development continues, communication takes place on specific areas that need interaction between the modules. However, a more overarching integrative effort and open communication are needed to ensure seamless collaboration. Meetings often involve the need to consult with other specialists for specific information, highlighting the importance of a structured approach to cross-module coordination. 01/31/2025: Another consultant has left the project, resulting in a gap in institutional knowledge once again. When attrition occurs, a certain level of knowledge transfer is expected to be necessary for the project to get back on track. However, the impact can be minimized through strong coordination and collaboration among consultants with the leadership of the financial and Integration Lead, a role that is currently unavailable yet remains crucial for the project's success. Additionally, maintaining proper meeting documentation as a standard practice, as discussed in I-221130-03, will further support knowledge continuity and project stability.	1/31/2025			
O-220131-01	Observation	M220127-1	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-220201-04	Issue	M220201-1	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-220216-01	Observation	M220216-2	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.	DOTH/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	DOTH	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.
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 WBSE respectively.	3/31/2022	3/31/2022		

Observation, Risk and Issues (ORI) 9 /30/2025

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-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.	DOTH/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	M220303-1	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	DOTH 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 stated 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	DOTH 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.	DOTH/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.	DOTH/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.	DOTH/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 Management	GENERAL	Go-Live Date	SI stated during the PMO meeting in February 2022 that a Go-Live date of Plant Maintenance will be reassessed and proposed with consideration of a phased approach (going live without PM) instead of the Big Bang approach.	SI	Closed	High	N/A	SI needs to propose if Plant Maintenance module will be included in the Wave 1 Go-Live given the project is delayed and Plant Maintenance could take away the needed resources to be able to focus and complete Wave 1 implementation which will replace HWYAC.	4/29/2022: DOTH started to collect and compile Plant Maintenance, Inventory, and other AS400 requirements per SIs request. 5/27/2022: DOTH presented AS400 requirements and is working on the finalization of the RTM including DMR, Inventory, Complaints, Litigation, Meals, Overtime Requests, Gas & Oil, Motor Pool, etc. 6/30/2022: SI is analyzing Plant Maintenance Requirements and will present a few options to DOTH. 7/31/2022: SI stated during the PMO that PM Requirements analysis will be presented after PM PDDs are approved. 8/31/2022: Multiple Plan Maintenance meetings were held and H4 Project Team reviewed PM requirements. The H4 Project Team started to review the requirements marked Wave III and most of them were changed to Wave I by reassessing the requirements or by identifying workaround solutions. 9/30/2022: SI submitted two change orders with two different time lines and two different scopes for DOTH to evaluate. 10/6/2022: Two change orders were rejected by DOTH due to the additional budget request beyond DOTH's acceptable threshold.	10/14/2022	10/14/2022		

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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-220331-02	Issue	M220331-1	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 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. 12/15/2022: 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 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. 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. 7/31/2024: The Project Plan/Implementation Schedule is still pending and Wave 2 is continuously postponed. 8/31/2024: No major updates. 9/30/2024: No major updates. 10/31/2024: No major updates. 11/30/2024: No major updates. 12/31/2024: No major updates. The Project Plan is still incomplete, and Wave 2 continues to be postponed. 1/31/2025: No major updates. A discussion will take place in the future regarding the program that will replace the SBP, as it has been announced that the SBP product will be reaching its end-of-life. Currently, there is no specific time frame established for this discussion.	1/31/2025			
O-220407-01	Observation	M220407-1	4/7/2022	Contract Management	GENERAL	PDD	There were discussions around approval of PDD. There was a 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		
O-220513-01	Observation	M220512-1	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 SAP system.	DOTH	Closed	N/A	N/A	N/A		6/30/2022	6/30/2022		

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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		
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	DOTH/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.	DOTH/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.	DOTH/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.

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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 issues 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		
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.

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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.	11/15/2022: 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. 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. 7/31/2024: No progress has been made. 8/31/2024: No progress has been made. 9/30/2024: No progress has been made. 10/31/2024: No progress has been made. DOTH team members are encouraged to explore H4 using the CRP scripts developed for CRP scenarios, and to familiarize themselves with the system and receive assistance from SI as needed. 11/30/2024: No progress has been made at this time. During the PMO discussions, the development of a Knowledge Transfer tracking document was addressed. Work is currently underway, and it will be presented to DOTH in the near future. 12/31/2024: No progress has been made. Knowledge Transfer tracking document continues to be discussed. 1/31/2025: Some level of knowledge transfer occurred indirectly during the general CRP sessions, as their primary purpose was not knowledge transfer. No specific formal transfer activities are being conducted. Meanwhile, the Knowledge Transfer Tracker is being updated.	1/31/2025			
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. 2/28/2023: 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 37 items that need to be reviewed - 15 resolved and 22 in progress. There are still old items that neee 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. 7/31/2024: There are 63 items that need to be reviewed - 35 resolved and 28 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items, in particular, need better follow ups. 8/31/2024: There are 65 items that need to be reviewed - 35 resolved, 28 in progress, and 2 new. It is recommended that all open issues, including older items, be reviewed and resolved. Older items, in particular, need better follow up. 9/30/2024: There are 65 items that need to be reviewed - 35 resolved and 30 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items, in particular, need better follow up. 10/31/2024: There are 68 items that need to be reviewed - 36 resolved and 32 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items, in particular, need better follow up. 11/30/2024: There are no changes to risks and issues this month. However, many older items have not been discussed or addressed for some time and require more attention. It is recommended that SI consultants and DOTH SMEs hold a dedicated session to review and recalibrate these issues. This effort is crucial to effectively resolving the aged items that are currently impacting the overall progress of the project. 12/31/2024: There are 70 items that need to be reviewed - 36 resolved and 34 in progress. It is recommended that all open issues, including older items, be reviewed and resolved. Older items, in particular, need better follow up. 1/31/2025: No changes in the number of issues.	1/31/2025			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.

Observation, Risk and Issues (ORI) 9 /30/2025

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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 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. 7/31/2024: The H4 Project Team continues to discover additional details and requirements as reports are discussed. 8/31/2024: Additional details throughout various modules are discussed and discovered along with WRICEF reports. 9/30/2024: There continue to be additional details being discovered and discussed throughout various modules such as FA, PS, FM, and HCM. 10/31/2024: Additional details are discussed and some re-discovery is taking place in most modules. 11/30/2024: There were no report specific meetings, however additional information and details are discussed in CRP and general module sessions. 12/31/2024: Reports were shown and discussed in CRP sessions and regular meetings, and additional details were discussed. 1/31/2025: There was no dedicated session for reports. However, some report-related requirements were discussed during meetings, such as the EGS CRP and GL sessions.	1/31/2025			
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.	DOTH/SI	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.	12/31/2022: Data conversion discussions are making progress. However, familiarity of H4 terminologies, functions, and processes by DOTH 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 fum various modules, need to be provided by SI for DOTH'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 integrative discussion for a successful data conversion. 7/31/2023: No major updates. 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 aswell. 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. 7/31/2024: Meetings were held to discuss additional details regarding requirements for data conversion in areas including AR Customer, FM Master Data, GL Trial Balance, Purchase Orders, Project & System Master Data, and Fixed Asset Data. 8/31/2024: While most modules focused on CRP sessions, there was ongoing discussion around Data Conversion, and incremental progress was made in a few modules. 9/30/2024: Data conversion meetings and discussions on AR customers, Internal Orders, and MVSO Grants continue to be ongoing. 10/31/2024: The discussion about data conversion continued, particularly with MVSO. 11/30/2024: There was no data conversion specific meeting, however discussions took place as needed per module during CRP or general module meeting, particularly with FHWA. 12/31/2024: No major updates. 1/31/2025: No major updates.	1/31/2025			
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.	DOTH/SI	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.	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. 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 annecessary 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. 7/31/2024: No progress has been made, however, it is recommended that meeting minutes are documented for all meetings moving forward. 8/31/2024: There have been improvements in some meeting sessions now that meeting minutes are provided. This should be the standard for all meetings to aid recollection and document progress. 9/30/2024: It is recommended that meeting minutes are adopted as the standard for all meetings to facilitate better meetings in the future. 10/31/2024: There are a few occasions where previously discussed and decided topics resurface for another discussion, and this stems from a lack of meeting documentation. It is recommended that all meetings adopt meeting minutes and a to-do list coming out of a meeting. 11/30/2024: No progress has been made. It is apparent that documented meeting minutes or summary would help the project as previously discussed topics continue to resurface. 12/31/2024: No progress has been made. 1/31/2025: No progress has been made.	1/31/2025			The impact has escalated to Highdue to a lack of progress and its compounded impact having on the overall project.

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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.	DOTH/SI	Closed	N/A	N/A	It is recommended to create a plan with FSD groups in advance for efficient and prioritized reviews and meetings.	1/15/2023: No major updates. 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. 2/28/2023: Meetings are not being grouped into similar topic FSDs.	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.
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. It will impact contract management scope and cost too.	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. 7/31/2024: No major updates. There has been minimal activity regarding FSDs. 8/31/2024: There was minimal progress made with FSDs, with a primary focus on CRPs. 9/30/2024: Progress with FSDs was limited, as efforts were primarily directed toward advancing CRPs. 10/31/2024: No additional FSDs were submitted as all efforts are going into CRP sessions and general module discussions. 11/30/2024: No major updates. 12/31/2024: Reports were shown and discussed in CRP sessions and regular meetings, and additional details were discussed. 1/31/2025: The reports FSDs will be worked on alongside any remaining CRPs and CDDs, instead of waiting for those to be over. Also, SI stated that more WRICEF objects are ready for ITC.	1/31/2025			
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 5/8/2024.
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 rediscover 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 individual 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-S	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 S8; 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. 7/31/2024: No activities related to CDD occurred. 8/31/2024: No progress was made. 9/30/2024: No progress was made. 10/31/2023: No progress was made. 11/30/2024: No progress was made. 12/31/2024: SI mentioned that once CRP sessions are completed CDD will make progress. 1/31/2025: A few CDDs have been updated and submitted to DOTH for review.	1/31/2025			
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.

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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	Medium	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/PMWA 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/FAMIS 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/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 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/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, DOTH conducted a reference call for the GL/AP/CO/FAMIS 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 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. 7/31/2024: With the Realize Phase kickoff and CRP sessions starting, resources from multiple modules joined the related CRP meetings to bridge different tasks between modules. 8/31/2024: During the CRP sessions, consultants from directly or indirectly related modules were in attendance. However, the absence of an effective financial/integration role may have lead to some end-to-end integrated solutions between modules not being addressed promptly and instead being deferred to another consultant or future sessions. 9/30/2024: Multi-module collaboration and integration efforts appear to be taking place passively on an as-needed basis instead of proactively being managed. This may lead to prolonged development time for the end-to-end integrated solutions. 10/31/2024: Lead consultants from various modules participated in the CRP sessions to collaborate and offer detailed explanations in response to questions and comments. 11/30/2024: CRP sessions have continued, with consultants from various areas providing input on an as-needed basis. However, the multi-module collaboration and integration efforts appear to be occurring passively. It would be beneficial to establish a dedicated financial/integration role that actively drives and leads end-to-end integration solutions. 12/31/2024: The role of the Financial/Integration Lead has become increasingly critical for the project, especially as discovery sessions are being repeated in multiple modules due to inadequate transition to new/newer consultants. The project needs a resource who can facilitate internal knowledge transfer and provide detailed information on requirements to help them get up to speed. 1/31/2025: Another consultant left at the end of last year, and it shows the impact of not having a financial/integration lead role with comprehensive knowledge, as a new consultant has to go through knowledge transfer sessions again with DOTH.	1/31/2025		O-230309-01	It is changed to an issue from O-230309.
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. 11/30/2023: 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. 7/31/2024: As CRP sessions start, process flows defined in the PDDs are reviewed and discussed. 8/31/2024: There were some discussions and discoveries regarding business process flow that deviated from the existing PDDs, however the PDDs were not updated accordingly. 9/30/2024: There continue to be discoveries that warrant updates to PDDs. However, the PDD documents have not been revised accordingly. 10/31/2024: New details on requirements continue to be uncovered, necessitating updates to the PDDs. 11/30/2024: Through CRP and general weekly discussion sessions, there were various updates that impacted the previously submitted PDDs, and it is recommended that a coordinated effort be made to update the PDDs with the most updated information. 12/31/2024: There were few mentions of updating PDDs; however, no coordinated effort was observed for PDD updates. 1/31/2025: No specific PDDs were updated. As CRP sessions are completed and CDDs are being worked on, PDDs should be updated concurrently with the newest information.	1/31/2025			
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. 7/31/2024: No major updates. 8/31/2024: There continues to be minor wording and formatting issues including deliverable formatting being different than the agreed upon DEDs. 9/30/2024: No major updates. 10/31/2024: No major updates. 11/30/2024: Some deliverables did not adequately address questions and comments provided by DOTH. This causes another round of review and ultimately results in project delays. 12/31/2024: No major updates. 1/31/2025: No major updates.	1/31/2025		I-221025-01,I-211202-01	
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	Closed	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. 7/31/2024: More meetings are held than the last few months with the CRP sessions starting.	8/31/2024	8/31/2024		Meeting frequency increased in the last few months.

Observation, Risk and Issues (ORI) 9 /30/2025

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-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	Closed	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. 7/31/2024: No major updates. 8/31/2024: No major updates. 9/30/2024: No major updates. 10/31/2024: No major updates. Most efforts and activities are focused on CRP sessions. 11/30/2024: No major updates.	11/30/2024	11/30/2024		It is closed since no FSD meetings are taking place, but it will continue to be monitored.
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		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.	6/30/2024	6/30/2024		
O-240525-03	Observation	M240525-1	5/25/2024	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	Closed	N/A	N/A		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. 7/31/2024: The OCM team is currently facilitating Conference Room Pilot sessions, where they simulate DOTH scenarios to test the effectiveness of the H4 systems and processes. These sessions provide valuable insights and participant feedback, helping the H4 Project Team identify potential issues and gaps before moving onto Unit Testing. 8/31/2024: The OCM team continued to assist with CRP sessions and provided support with changes using tools such as a "cheat sheet," where DOTH's current terminology is mapped to H4 system's terminology. 9/30/2024: The OCM team continued to support the CRP sessions and work on FAQ compilation and preparation of Knowledge Transfer activities. 10/31/2024: OCM activities have focused on CRP facilitation, FAQ, and Knowledge Transfer Plans. 11/30/2024: There were no noticeable OCM activities other than CRP facilitation, FAQ, and Knowledge Transfer Plans, as the resources remain focused on CRP.	12/31/2024	12/31/2024		It has been closed and opened as an issue, M241226-2, due to a prolonged lack of OCM activity.
O-240731-01	Observation	M240725-2	7/25/2024	Solution Design and Configuration	GENERAL	CRP Activities	The Realize Phase Kickoff session was held, and Conference Room Pilot (CRP) sessions officially started. CRP sessions are scheduled for all modules through August.	SI	Closed	N/A	N/A	The feedback from DOTH pointed out that the CRP sessions did not effectively demonstrate the H4 system according to DOTH requirements and processes, instead relying on generic business scenarios. This concern was addressed in subsequent meetings, where DOTH processes were better showcased within the H4 system and DOTH equivalent processes were explained.		8/31/2024	8/31/2024		Closed and recreated as R-240831-01
R-240829-01	Risk	M240829-1	8/29/2024	Solution Design and Configuration	GENERAL	CRP Activities	Conference Room Pilot (CRP) sessions continued for various modules. However, a few sessions have been postponed due to the modules' lack of readiness. Furthermore, the CRP sessions still do not adequately demonstrate DOTH-specific requirements, as much of the time is allocated to generic business scenarios and system showcases.	SI	Closed	Medium	Medium	CRP sessions for some modules are not yet ready and have been postponed until September. While feedback on DOTH-specific requirements has been addressed in some cases, it is recommended that future CRP sessions prioritize and focus on DOTH-specific requirements and business processes rather than generic SAP processes and available features.	9/30/2024: Along with session readiness, resource scheduling and availability are also causing the project to be further delayed.	9/30/2024	9/30/2024		The risk has been closed and a new issue has been created with the reference number I- 240926-01.
O-240926-01	Observation	M240926-1	9/26/2024	Resource Management	N/A	Resource Availability	A DOTH System Accountant departed DOTH, therefore the H4 Project.	DOTH	Closed	N/A	N/A		10/31/2024: It is recommended that DOTH prioritize identifying and onboarding a replacement System Accountant as soon as possible. 11/30/2024: No major updates.	12/31/2024	12/31/2024		DOTH is actively looking for candidates.
O-240926-02	Observation	M240926-1	9/26/2024	Contract Management	N/A	Software End of Life	SAP Solution Manager's mainstream maintenance is scheduled to end by the close of 2027. SAP Cloud ALM will be replacing SAP Solution Manager. The H4 Project Team has been reviewing and discussing continuing to utilize SAP Solution Manager for this project scope or immediately transition to SAP Cloud ALM.	DOTH/SI	In Progress	N/A	N/A		10/31/2024: A steering committee meeting was held to discuss upgrading the Solution Manager. SI and DOTH agreed to upgrade Solution Manager to Cloud ALM. Further details will be discussed and finalized later and change order will be prepared accordingly. 11/30/2024: No major updates. 12/31/2024: No cost change order was prepared. 1/31/2025: No major updates.	1/31/2025			
O-240926-03	Observation	M240926-1	9/26/2024	Contract Management	N/A	Software End of Life	SAP will end support of SAP Process Integration (PI) and Process Orchestration (PO) - the currently utilized middleware - on December 31, 2027. SAP Integration Suite will be replacing SAP PI and PO. The H4 Project Team has been reviewing and discussing continuing to utilize SAP PI and PO for this project scope or immediately transition to SAP Integration Suite.	DOTH/SI	In Progress	N/A	N/A		10/31/2024: A steering committee meeting was held to discuss the end of life of Process Integration (PI) and Process Orchestration (PO). SI and DOTH agreed that in order to finalize the decision, additional details are needed such as analysis regarding the complexity of migration, the project Go-Live date, and any other relevant factors that might impact the project schedule. 11/30/2024: No major updates. 12/31/2024: No major updates. 1/31/2025: No major updates.	1/31/2025			

Observation, Risk and Issues (ORI) 9 /30/2025

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-240926-04	Observation	M240926-1	9/26/2024	Contract Management	N/A	Software Version	DOTH has requested an upgrade to the latest version of the software, as the existing H4 system is currently several versions outdated.	SI	In Progress	N/A	N/A		10/31/2024: SI plans to perform a software update before testing starts. 11/30/2024: No major updates. 12/31/2024: SI plans an upgrade after CRP sessions are completed and will provide a more detailed plan when CRP sessions end. 1/31/2025: No major updates. CRPs are still continuing.	1/31/2025			
I-240926-01	Issue	M240926-1	9/26/2024	Solution Design and Configuration	GENERAL	CRP Activities	Conference Room Pilot (CRP) sessions continued for various modules. However, a few sessions have been postponed due to the modules' lack of readiness. Furthermore, some CRP sessions do not adequately demonstrate DOTH-specific requirements, instead much of the time is allocated to generic business scenarios and system showcases.	SI	In Progress	High	N/A	It is recommended that the CRP sessions prioritize and focus on DOTH-specific requirements and business processes rather than generic SAP processes and available features.	9/30/2024: Along with session readiness, resource scheduling and availability are also causing the project to be further delayed. 10/31/2024: CRP sessions will continue to be held in November for AR, AP, HCM, EGS, and FHWA. 11/30/2024: There will be CRP sessions in December. SI suggested that CRP sessions are completed in some modules, however DOTH has not fully agreed that CRP sessions are finalized for those modules. 12/31/2024: CRP sessions will continue to be held for certain modules in September . Additionally, there are some CRP sessions where questions were gathered, but the corresponding Q&A documents have not yet been submitted to DOTH. 1/31/2025: Some CRP sessions have not been completed and will continue in February. There are Q&A documents also being submitted and reviewed.	1/31/2025			
I-241226-01	Issue	M241226-2	12/26/2024	Organization Change Management	GENERAL	OCM Activities	Some organizational change management activities have been paused, resulting in a lack of stakeholder engagement and communication activities, along with change impact analysis.	SI	In Progress	Low	N/A	Some OCM activities have been absent for an extended period due to the project focusing on CRPs. It is recommended that Stakeholder Engagement & Communication activities and Change Impact Analysis be continued.	1/31/2025: No major updates.	1/31/2025			
I-251002-01	Issue	M251002-01	2/10/2025	Solution Design & Configuration	GENERAL	Solution Design & Configuration Activities	DOTH was informed on 12/31/2024 that Milton Carroll left LSI and the H4 project as the HR consultant. Per the contract, LSI shall temporarily fill the Key Staff position within seven days of it being vacated and shall fill the position with a permanent fulltime replacement within 45 Days of the removal or departure. Sridhar Kandisetty was designated to temporarily fill Milton's HR Lead position.	SI	Resolved	High	N/A	DOTH was informed on 12/31/2024 that Milton Carroll left LSI and the H4 project as the HR consultant. Per the contract, LSI shall temporarily fill the Key Staff position within seven days of it being vacated and shall fill the position with a permanent fulltime replacement within 45 Days of the removal or departure. Sridhar Kandisetty was designated to	DOTH was informed on 12/31/2024 that Milton Carroll left LSI and the H4 project as the HR consultant. Per the contract, LSI shall temporarily fill the Key Staff position within seven days of it being vacated and shall fill the position with a permanent fulltime replacement within 45 Days of the removal or departure. Sridhar Kandisetty was designated to temporarily fill Milton's HR Lead position.				
I-250304-1	Issue	M250304-1	03/04/2025	Schedule Management	GENERAL	Schedule Management	DOTH is unable to "validate RRB in the configured H4 AR application and WRICEF objects against the DOTH business processes and contract requirements", per the CRP DED. Please demonstrate RRB in step 6 of the CRP Demo PPT slide 32 in the next AR CRP.	SI	In Progress	Medium	N/A	DOTH is unable to "validate RRB in the configured H4 AR application and WRICEF objects against the DOTH business processes and contract requirements", per the CRP DED. Please demonstrate RRB in step 6 of the CRP Demo PPT slide 32 in the next AR CRP.	DOTH is unable to "validate RRB in the configured H4 AR application and WRICEF objects against the DOTH business processes and contract requirements", per the CRP DED. Please demonstrate RRB in step 6 of the CRP Demo PPT slide 32 in the next AR CRP.				
R-250607-1	Realize	M-250607-1	06/07/2025	Risk/Issue Management	GENERAL	Risk/Issue Management	DOTH requested to remove Purchasing Technician in the Requisition workflows and replace the same with Procurement and Supply specialist (new and one person for all districts).	DOTH	Resolved	Medium	N/A	DOTH requested to remove Purchasing Technician in the Requisition workflows and replace the same with Procurement and Supply specialist (new and one person for all districts).					
R-250703-1	Realize	M-250703-1	07/03/2025	Solution Design & Configuration	GENERAL	Solution Design & Configuration	Additional functionality requested to create assets based on Multiple account assignments and quantity (PO qty>1, separate assets need to be created), DOTH is reviewing options based on Edgar's suggestions. If the additional functionality is added to the custom solution, it may create higher maintenance costs to maintain this complex solution. This may also delay the completion of Unit	DOTH	Resolved	Medium	N/A	Additional functionality requested to create assets based on Multiple account assignments and quantity (PO qty>1, separate assets need to be created), DOTH is reviewing options based on Edgar's suggestions. If the additional functionality is added to the custom solution, it may create higher maintenance costs to maintain this complex solution. This may also delay	Additional functionality requested to create assets based on Multiple account assignments and quantity (PO qty>1, separate assets need to be created), DOTH is reviewing options based on Edgar's suggestions. If the additional functionality is added to the custom solution, it may create higher maintenance costs to maintain this complex solution. This may also delay the completion of Unit Testing.				
R-20250811	Realize	M-20250811	8/11/2025	Solution Design & Configuration	GENERAL	Solution Design & Configuration	In payroll meetings it came up that currently the payroll entries posted in HWYAC (at CC 0931 level) does not reconcile payroll distribution labor subsystem (HEN report). It is important that the data we are given reconciles so that we can validate it is correct.	DOTH	Resolved	High	N/A	In payroll meetings it came up that currently the payroll entries posted in HWYAC (at CC 0931 level) does not reconcile payroll distribution labor subsystem (HEN report). It is important that the data we are given reconciles so that we can validate it is correct.	In payroll meetings it came up that currently the payroll entries posted in HWYAC (at CC 0931 level) does not reconcile payroll distribution labor subsystem (HEN report). It is important that the data we are given reconciles so that we can validate it is correct.				
R-20250814	Realize	M-20250814	8/14/2025	Risk/Issue Management	GENERAL	Risk/Issue Management	For the DataMart interface, this was designed to be daily. We learned the other day that the file provided is a 30 day file. We've been told this is difficult to change. ETS would place this request at a very low priority and it may not get done. The DATAMART interface brings us the payment date of invoices. This is required to comply with CMIA. If we switched this to monthly this messes up the billing.	SI	Resolved	High	N/A	For the DataMart interface, this was designed to be daily. We learned the other day that the file provided is a 30 day file. We've been told this is difficult to change. ETS would place this request at a very low priority and it may not get done. The DATAMART interface brings us the payment date of invoices. This is required to comply with CMIA. If we switched this	For the DataMart interface, this was designed to be daily. We learned the other day that the file provided is a 30 day file. We've been told this is difficult to change. ETS would place this request at a very low priority and it may not get done. The DATAMART interface brings us the payment date of invoices. This is required to comply with CMIA. If we switched this to monthly this messes up the billing. Since we bill twice a month one billing run would not have info to allow items to be billed that could be billed.				
R-20251001	Realize	M-20251001	10/1/2025	Solution Design & Configuration	GENERAL	Solution Design & Configuration	Several technical issues have been encountered during the recent H4 sandbox upgrade, including but not limited to: 1.Program access errors leading to inconsistencies in custom developments. 2.Extended downtime during the SUM (Software Update Manager) phase, and not understanding the cause and	SI	Resolved	Medium	N/A	Several technical issues have been encountered during the recent H4 sandbox upgrade, including but not limited to: 1.Program access errors leading to inconsistencies in custom developments. 2.Extended downtime during the SUM (Software Update Manager) phase, and not understanding the	Several technical issues have been encountered during the recent H4 sandbox upgrade, including but not limited to: 1.Program access errors leading to inconsistencies in custom developments. 2.Extended downtime during the SUM (Software Update Manager) phase, and not understanding the cause and actions. 3.Compatibility issues with specific Fiori Apps post-upgrade. 4.User authorization mismatches are impacting testing activities. 5.Gateway activation errors when calling Fiori services from the Front-end (Web client				