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October 11, 2019

The Honorable Ronald D. Kouchi,
President, and
Members of The Senate
Thirtieth State Legislature
Hawaii State Capitol, Room 409
Honolulu, Hawaii 96813

The Honorable Scott K. Saiki,
Speaker, and
Members of The House of Representatives
Thirtieth State Legislature
Hawaii State Capitol, Room 431
Honolulu, Hawaii 96813

Dear President Kouchi, Speaker Saiki, and Members of the Legislature:

Pursuant to HRS section 27-43.6, which requires the Chief Information Officer to submit applicable independent verification and validation (IV&V) reports to the Legislature within ten days of receiving the report, please find attached the IV&V report the Office of Enterprise Technology Services received for the State of Hawaii Department of Department of Accounting and General Services' Time & Leave Project.

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

Sincerely,


Douglas Murdock (Oct 18, 2019)

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (2)



Time & Leave Project

Phase II of the HawaiiPay project

Department of Accounting and General Services (DAGS)

IV&V Monthly Status Report – **Draft**

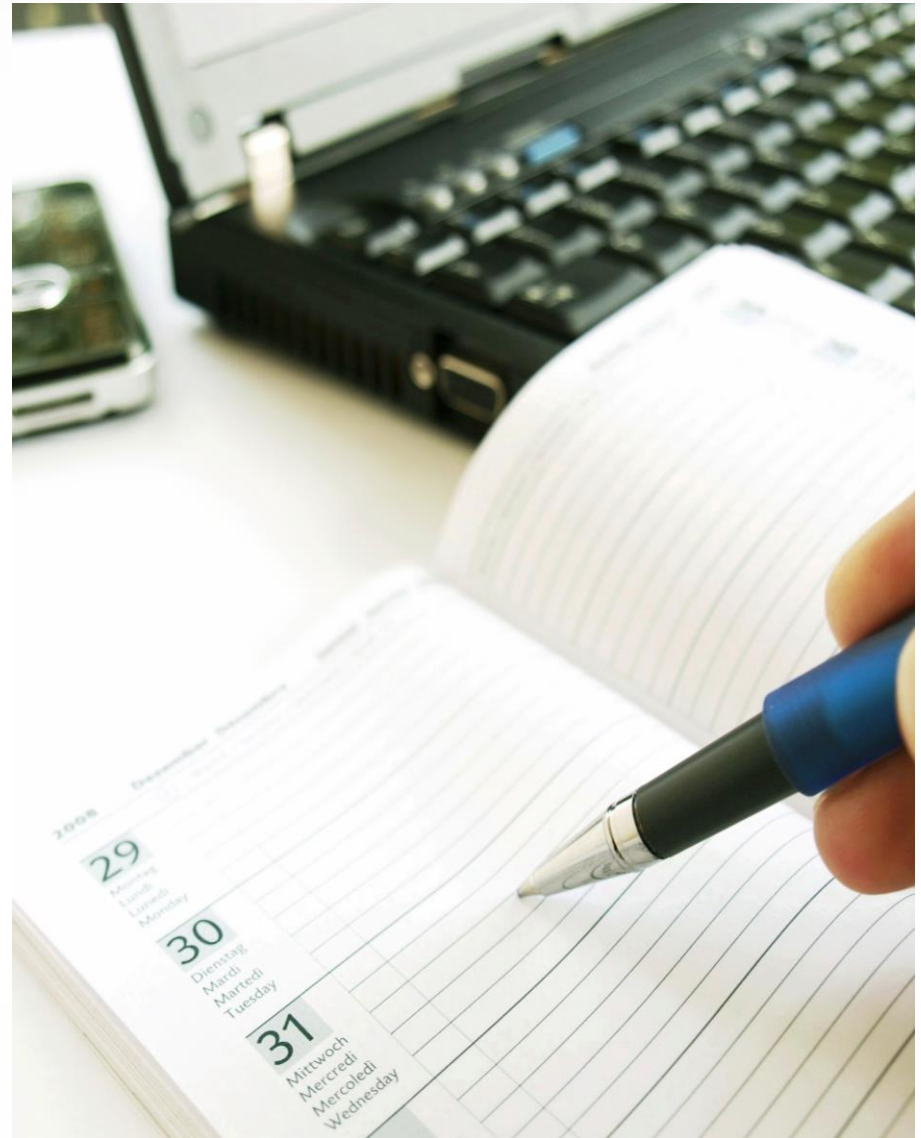
For Reporting Period: July 1 – August 31, 2019

Draft Submitted: September 13, 2019

Finalized Report Submitted: October 4, 2019

Overview

- Executive Summary
- IV&V Findings and Recommendations
- IV&V Status
- Appendices
 - A – IV&V Findings Log & Priority Ratings
 - B – Standard IV&V Inputs
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Executive Summary

IV&V began oversight of the Time & Leave (TL) project July 1, 2019 and completed initial assessment interviews on August 22, 2019. The project appears to be making good progress executing their hybrid-agile approach and analysis/design sessions have been highly collaborative and productive. The high-functioning project team from Phase I remains largely intact for Phase II and appear to have leveraged several lessons learned to improve and streamline project processes. The project is implementing a departmental mentor strategy providing each department with a designated project team member to facilitate project communications, requirements gathering, OCM, and detailed tracking of readiness checklist activities. SI project resources, though small in number, appear to be experienced and highly productive. However, IV&V is primarily concerned with the limited number of state project and operational resources, TL configuration impacts to payroll, complexity of CBA rules, and the lack of an effective operations management plan for Payroll and post go-live TL support.

	Category	IV&V Observations
M	Human Resources Management	Project leadership has kept the successful and proven Phase I project team largely intact for Phase II. During Phase I, IV&V reported several instances where project team competence was one of the primary mitigating factors in overcoming many project challenges and risks. However, IV&V has raised three Phase II risks related to the a lack of sufficient project and operational resources and over-reliance on a few key resources that could significantly impact project schedule/budget, resource retention, quality of the software solution, and overall project success.
M	Knowledge Transfer	Several Phase II project resources continue to support payroll operations (implemented in Phase I), despite efforts to transfer duties and knowledge to business operations. IV&V has raised related risks (#4, 5, and 8) that, if not addressed, could negatively impact the Phase II project. IV&V recommends increasing efforts to fully staff business operations which includes development of a formal knowledge transfer and transition plan that will allow the Time and Leave key resources to share their knowledge while significantly reducing time spent on providing Payroll support.
L	Operational Preparedness	Current project activities are focused on departmental and agency readiness. Planning for system operational requirements have not yet been reviewed by IV&V. As noted previously, the use of project mentors to facilitate and assess operational readiness for departments and agencies has enhanced the project's insight into the current state of readiness for each department and agency. This should help to ensure that risks or concerns for each department or agency are raised earlier in the process. The Time and Leave project continues to be burdened by operational support requests for the production Payroll solution. The level of effort required by project resources to support Payroll is substantial. The project team members have been able to mitigate this risk, but the continuing use of project resources to provide operational support for production solutions may result in negative impacts to the Time and Leave project in the form of delays, lack of expert input to critical decisions, etc.



Executive Summary (cont'd)

	Category	IV&V Observations
L	Organizational Change Management	The project has implemented initiatives which leverage Phase I OCM, project communication, and departmental readiness lessons learned. Their new departmental mentoring strategy for the Time and Leave project seeks to increase the project's departmental communications and assure early department engagement in the project. IVV has observed several benefits to this strategy including heightened departmental rapport, increased (and early) departmental awareness/communication, and opportunities to increase long-term OCM effectiveness.
L	Project Management and Organization	As noted previously, IV&V's initial assessment identified positive findings related to project management effective implementation of Phase I lessons learned as applied to the Time and Leave project plans and strategies. IV&V has opened findings with regard to Unions or other governing bodies decisions that could require significant system changes, increase project scope, and require a higher level of effort to address process changes. Further, while the project team has demonstrated effective management of Collective Bargaining Agreement (CBA) rules, their complexity could prove problematic and lead to project delays and result in an overly complex system that may be difficult to support.
L	Quality Management	The process to define and document key requirements began with a review of the Collective Bargaining Agreements. This effort helps ensure that the employee demographics are complete and comprehensive and do not omit specific groups of employees. The output of this effort is detailed Use Cases. These Use Cases describe specific variations of end user requirements including all the Time and Leave rules and approval workflows. Once the Use Cases are fully documented, the project will vet the requirements via a process known as a Conference Room Pilot. The Conference Room Pilot will help to ensure that both state and SI personnel have reviewed and approved the Use Case. This quality planning will allow the associated required system changes and configurations to be designed and implemented, and should result in controlling quality of the final product. However, Time and Leave design decisions could inadvertently impact the payroll system and IV&V remains concerned with the level of regression testing that may be required.



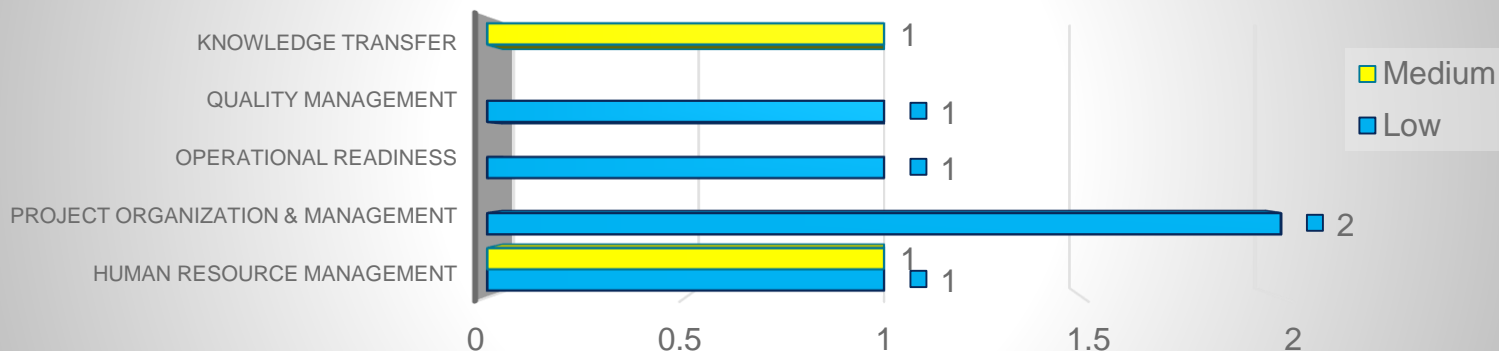
IV&V Findings and Recommendations

IV&V Initial assessment identified 9 findings (2 positive findings, 4 preliminary concerns, and 3 risks). Of the open findings, 4 are related to Project and Human Resource Management. The following charts breakdown the risks by type and category/priority.

Findings by Type



Open Risks/Issues by Category/Priority



IV&V Findings and Recommendations (cont'd)

Summary of IV&V Open Risks/Issues Criticality

Category		Finding Title	Criticality
Knowledge Transfer	Risk	4- Payroll production support dependence on key Time and Leave Resources	Medium
Operational Readiness	Preliminary Concern	8 - Detailed processes to integrate Time & Leave Maintenance and Operations support with production Payroll support not finalized	Low
Quality Management	Preliminary Concern	12 - Potential lack of consideration for unexpected or unintended impacts on payroll functionality when making T&L design decisions or configurations, could necessitate rework of T&L designs and/or impact Payroll quality	Low
Project Organization & Management	Preliminary Concern	9 - Unexpected collective bargaining or legislative changes could lead to unanticipated demands on the project and increased scope	Low
	Preliminary Concern	11 - Collective Bargaining Agreements complexity could prove problematic and lead to project delays and result in an overly complex system that may be difficult to support	Low
Human Resource Management	Positive	1 - High-performing TL project team	*
	Risk	5 - Impact of unplanned project resource attrition could significantly impact project schedule/budget	Medium
	Risk	6 - Lack of dedicated leads filling key roles could impact the effectiveness of the project team and reduce quality of deliverables	Low
OCM	Positive	3 – Departmental mentor strategy shows promise	*

IV&V Findings and Recommendations (cont'd)

Project Management & Organization



#	Key Findings	Criticality Rating
9	Preliminary Concern - Unexpected collective bargaining or legislative changes could lead to unanticipated demands on the project and increased scope: The State Legislature and Unions may make laws or change Collective Bargaining Agreements (CBA) that could require significant system changes thereby disrupting the project's progress, activities, schedule, and/or budget. These changes to SOH processes could be decided without consideration of impact to the project or providing the project time to react to such changes.	Low
11	Preliminary Concern - Collective Bargaining Agreements (Union time/leave rules) complexity could prove problematic and lead to project delays and result in an overly complex system that may be difficult to support: IV&V observations of CBA-related planning activities indicate that implementation and long-term support of an extensive set of complex rules could prove to be difficult to implement and manage/support long-term. Inconsistent rule interpretation could lead to extensive OCM efforts and some departments may struggle to adopt clarified CBA rules and require the project to initiate extensive OCM efforts to assure departmental adoption of clarified rules implemented in the new system are feasible and are managed effectively.	Low

Recommendations	Progress
<ul style="list-style-type: none"> Continue early efforts to document and track CBA rules (and union discussion topics) that may need clarification for departments. 	In progress
<ul style="list-style-type: none"> Closely monitor legislative and union actions and/or initiatives that could impact the project and provide them feedback as needed to ensure informed decisions and clear understanding of impacts to payroll and the time and leave project. 	In progress
<ul style="list-style-type: none"> Partner with Unions to clarify CBA rules so that in the end union objectives are met where ever possible within the scope of the Time and Leave project. 	In progress
<ul style="list-style-type: none"> Assure change, configuration, and release management processes are robust enough to handle significant demands for change without allowing the project to churn. 	Not started

IV&V Findings and Recommendations (cont'd)

Human Resource Management



#	Key Findings	Criticality Rating
1	Positive - High-performing TL project team: During Phase I, IV&V recorded a positive finding that the Payroll project team embodied characteristics of a high-performing, highly-collaborative team. Project leadership was able to keep the same team largely intact for the Time and Leave project and IV&V has observed many of these same characteristics. Many project team members have demonstrated higher levels of proficiency in their areas likely due to their Phase I experience.	n/a
5	Risk - Over reliance on a few skilled project resources could lead to significant project disruption in the event of their departure: There are currently 3-4 individuals who are relied on more than others. Over reliance on key resources can not only overtax and thereby reduce the effectiveness of these key individuals, but also presents a risk of significant project disruption in the event of their departure. Resource losses from the Phase I team have not been backfilled and include the loss of the OCM manager and the SI project manager role; their responsibilities have been transferred to existing team members who appear to be at capacity. While most projects have this risk, the risk impact for this project, from IV&V's perspective, is higher than most, and while the project could be impacted by the loss of several key individuals, there are 3-4 individuals who would create more significant project disruption than others.	Medium
6	Risk - Lack of dedicated leads filling key roles could impact the effectiveness of the project team and reduce quality of deliverables: The project does not have single, designated management leads for key areas such as OCM, Project Management, Training, and Testing. Current designated leads manage multiple Time and Leave functional areas, act as mentors for several departments, and have the added burden of supporting Phase 1 M&O.	Low



IV&V Findings and Recommendations (cont'd)

Human Resource Management

Recommendations	Progress
<ul style="list-style-type: none">DAGS leadership work quickly to assist payroll operations to resolve resource challenges.	In progress
<ul style="list-style-type: none">Work quickly to increase state resources.	In progress
<ul style="list-style-type: none">Create and utilize a resource management plan to assure planful, instead of reactive, addition and management of resources. Assure the plan reflects an understanding of how many people are needed, and in which roles, to accomplish various tasks. Plan should address movement of resources as project transitions to different phases (e.g. moving from DD&I to M&O).	Not started



IV&V Findings and Recommendations (cont'd)

Organizational Change Management



#	Key Findings	Criticality Rating
3	<p>Positive Finding – Departmental mentor strategy shows promise: The project has implemented a departmental mentoring strategy to increase project departmental communications and assure early department engagement in the project, leveraging Phase I lessons learned. This strategy shows a good deal of promise toward mitigating OCM, communication, and departmental readiness risks that were realized in Phase I. IVV has already observed several benefits to this strategy including heightened departmental rapport, increased (and early) departmental communications, and opportunities to increase the effectiveness of OCM efforts.</p>	n/a



IV&V Findings and Recommendations (cont'd)

Quality Management



#	Key Findings	Criticality Rating
12	Preliminary Concern – Potential lack of consideration for unexpected or unintended impacts on payroll functionality when making T&L design decisions or configurations, could necessitate rework of T&L designs and/or impact Payroll quality: If not adequately planned for and tested, system and configuration changes required to deliver the Time and Leave functionality may include unexpected impacts to the current Payroll solution. It is unclear how the changes will be managed and what level of regression testing is planned.	Low

Recommendations	Progress
<ul style="list-style-type: none"> Define and document the regression testing plan to ensure that any Time and Leave changes do not have an unexpected negative impact on production Payroll functionality. 	Not started
<ul style="list-style-type: none"> Assure Time and Leave design and configuration planning includes consideration for impacts on Payroll, prior to implementing the design or configuration. This may be accomplished, in part, using an effective and integrated configuration management plan. 	In progress



IV&V Findings and Recommendations (cont'd)

Knowledge Transfer



#	Key Findings	Criticality Rating
4	Risk - Payroll production support dependence on key Time and Leave Resources: The concurrent DDI (Design Development & Integration) and production maintenance and operations (M&O) support activities are heavily reliant on key Time and Leave resources which may degrade their quality of work and/or cause resources to be unavailable to the Time and Leave project during critical times due to demands from Payroll support. Key project Time and Leave team members remain significantly involved in providing M&O support for the Payroll solution. At least one key team member reports spending 60% of their time providing help desk support to Payroll.	Low

Recommendations	Progress
<ul style="list-style-type: none">Develop and implement a fully staffed support team for the Payroll service. This should include a transition plan to allow the Time and Leave key resources to share their knowledge while significantly reducing the time spent on providing Payroll support.	Not started



IV&V Findings and Recommendations (cont'd)

Operational Readiness



#	Key Findings	Criticality Rating
8	<p>Preliminary Concern - Detailed processes to integrate Time and Leave M&O support with production Payroll support not finalized: A strategy to integrate Time and Leave M&O with the ongoing Payroll M&O, then transition support of both solutions to DAGS operations, is not yet available. The lack of a documented process to integrate Time and Leave M&O support with Payroll production support may cause unnecessary risk at Time and Leave Phase 1 go live. Changes to the current Help Desk support vendor were planned but stopped prior to execution. The lack of an executable strategy indicates the strategy should be re-evaluated. IV&V has also logged a related risk (#4) that Time and Leave resources are spending more time than planned with Payroll service M&O support activities.</p>	Low

Recommendations	Progress
<ul style="list-style-type: none"> Develop and implement a long-term strategy for providing effective, integrated ongoing M&O support for both Time and Leave and Payroll solutions. This strategy should ensure that there are sufficient capabilities and capacity to provide the required support without drawing on resources already allocated to other projects. 	Not started



IV&V Status




- **IV&V activities performed during the reporting period:**
 - Conducted initial assessment interviews with key project stakeholders
 - IV&V Plan submitted and approved
 - Attended Scrums
 - Attended PCAB meeting
 - Attended RIO-D meeting
 - Attended Department Mentor Sessions
 - Attended Project Mentors meetings
 - Project Team Risk Review sessions
- **IV&V next steps in the coming reporting period:**
 - Attend Conference Room Pilots
 - Attend key project meetings
 - IV&V Monthly Status Report



Appendix A – IV&V Criticality Ratings

This appendix provides the details of each finding and recommendation identified by IV&V. Project stakeholders are encouraged to review the findings and recommendations log details as needed.

See definitions of Criticality Ratings below:

Criticality Rating	Definition
	A high rating is assigned if there is a possibility of substantial impact to product quality, scope, cost, 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.
	A medium rating is assigned if there is a possibility of moderate impact to product quality, scope, cost, or schedule. Some disruption is likely and a different approach may be required. Mitigation strategies should be implemented as soon as feasible.
	A low rating is assigned if there is a possibility of slight impact to product quality, scope, cost, or schedule. Minimal disruption is likely and some oversight is most likely needed to ensure that the risk remains low. Mitigation strategies should be considered for implementation when possible.

Appendix B – IV&V Standard Inputs

To keep abreast of status throughout the Time & Leave project, IV&V regularly:

- **Attends the project meetings**
- **Reviews the project documentation**
- **Utilizes Eclipse IV&V® Base Standards and Checklists**



PCG Eclipse IVV
Checklists

Appendix C – IV&V Details

- What is Independent Verification and Validation (IV&V)?
 - Oversight by an independent third party that assesses the project against industry standards to provide an unbiased view to stakeholders
 - The goal of IV&V is to help the State get the solution they want based on requirements and have it built according to best practices
 - IV&V helps improve design visibility and traceability and identifies (potential) problems early
 - IV&V objectively identifies risks and communicates to project leadership for risk management
- PCG IV&V Methodology
 - Consists of a 4-part process made up of the following areas:
 1. **Discovery** – Discovery consists of reviewing documentation, work products and deliverables, interviewing project team members, and determining applicable standards, best practices and tools
 2. **Research and Analysis** – Research and analysis is conducted in order to form an objective opinion.
 3. **Clarification** – Clarification from project team members is sought to ensure agreement and concurrence of facts between the State, the Vendor, and PCG.
 4. **Delivery of Findings** – Findings, observations, and risk assessments are documented in this monthly report and the accompanying Findings and Recommendations log. These documents are then shared with project leadership on both the State and Vendor side for them to consider and take appropriate action on.

Note: This report is a point-in-time document with findings accurate as of the last day in the reporting period.





Solutions that Matter

Id	Identified Date	Title / Summary	Finding Description	Analysis and Significance	Recommendation	Updates	Category	Type	Priority	Status	Risk Owner
1	8/31/2019	High-performing T&L project team	During Phase I, IV&V recorded a positive finding that the HawaiiPay project team embodied characteristics of a high-performing, highly-collaborative team. Project leadership was able to keep the same team largely intact for Phase 2 and IV&V has observed many of these same characteristics. In fact, some key members have demonstrated higher levels of proficiency likely due to their Phase I experience.	As stated previously, the project team demonstrates several hallmarks high-performing teams, including: <ul style="list-style-type: none"> • Team members work well together in a collaborative environment that encourages participation, each member working toward the same goals. • Team members actively pursue innovative ways to efficiently complete tasks. • Team members' views disagreements as a positive thing, constructively problem solve and work to diffuse friction and tension. • Criticism is upbeat and constructive and focuses on solving problems through removing obstacles. • Team members have a deep sense of trust in each other and in the team's purpose. Not all teams are created equal. Staffing for quality talented resources (especially PeopleSoft) is no simple task in a state where IT workforce development has always been a challenge. Project leadership continues to find innovative ways to bring together and (more importantly) retain exceptionally talented individuals, establish a culture of excellence and trust, and develop team members into a high-performing team.	N/A		Human Resource Management	Positive	n/a	Open	Michael
3	8/31/2019	Departmental mentor strategy shows promise	The project has implemented a departmental mentoring strategy to increase project departmental communications and assure early department engagement in the project. The project has done well to implement initiatives like these leveraging Phase I lessons learned.	This strategy shows a good deal of promise toward mitigating OCM, communication, and departmental readiness risks realized in Phase I. IVV has already observed several benefits to this strategy including heightened departmental rapport, increased (and early) departmental communications, and opportunities to increase the effectiveness of OCM efforts. While this strategy may go a long way towards mitigating some risks, it should not be relied on to mitigate all OCM risks, therefore, IV&V will continue to monitor for overall OCM effectiveness.	N/A		Organizational Change Management	Positive	n/a	Open	Michael
4	8/31/2019	Payroll production support dependence on key Time and Leave Resources	The concurrent DDI and production (M&O) support activities are over burdening Key Time and Leave resources which may degrade quality of work and resources could be unavailable at critical times of the Time and Leave project.	As a matter of best practice when delivering a new service, the service needs to be fully sustainable and self-supporting. For instance, the commonly used Information Technology Information Library (ITIL) practices recommend that the service has a fully functional and staffed post go live support mechanism. This mechanism should not heavily rely on or unnecessarily burden resources or tools dedicated to other projects or services. Key project time and leave team members remain significantly involved in providing Maintenance and Operations (M&O) support for Payroll Phase 1 solution. At least one key team member reports spending 60% of their time providing help desk support to Payroll. This level of involvement may reduce the availability and degrade work quality of the Phase 2 Time and Leave resources.	<ul style="list-style-type: none"> • Develop and implement a fully staffed support team for the Payroll service. This should include a transition plan to allow the Time and Leave key resources to share their knowledge while significantly reducing the time spent on providing Payroll support. 		Knowledge Transfer	Risk	Medium	Open	Ken
5	8/31/2019	Over reliance on a few skilled project resources could lead to significant project disruption in the event of their departure	There are currently 3-4 individuals who are relied on to a greater extent than others. Over reliance on key resources can not only overtax and thereby reduce the effectiveness of these key individuals, but also presents a risk of significant project disruption in the event of their departure. Resource losses from the Phase I team have not been backfilled and include the loss of the OCM manager and the SI project manager role; their responsibilities have been transferred to existing team members who already appear to be at capacity.	The project currently relies on a few talented, and dedicated resources in leadership roles to drive most project activities and, more importantly, drive project quality, as evidenced by their keen attention to minute project activity details. While most projects have this risk, the risk impact for this project, from IV&V's perspective, is higher than most, and while the project could be impacted by the loss of several key individuals, there are 3-4 individuals who are relied on to a greater extent than others. Loss of these individuals could lead to significant project disruption. Over reliance on key resources can not only overtax and thereby reduce the effectiveness of these key individuals, but also presents a risk of significant project disruption in the event of their departure. Attempts by other DAGS divisions to lure project team resources away have been reported, however, most project team members have indicated they are committed to project completion.	<ul style="list-style-type: none"> • Work quickly to increase state project team resources. Consider re-allocation of responsibilities from key resources, where possible, to transition key resources to supervisory roles which would provide increased capacity for them to perform coaching and quality control, thereby increasing the overall project quality. As responsibilities are transitioned, team members taking on new responsibilities typically have a greater sense of motivation, project ownership and commitment. • Develop a KM strategy to help ensure project knowledge (tacit and otherwise) is not lost when staff leave the project or state employment. • Survey project resources to determine job satisfaction and take appropriate steps to increase retention. • Conduct an exit interview for the departed CRT and state project resources and work quickly to address issues that negatively impact project participation and job satisfaction. • Develop an approach to expedite succession planning and identify near-term knowledge transfer activities. 		Human Resource Management	Risk	Medium	Open	Michael

Id	Identified Date	Title / Summary	Finding Description	Analysis and Significance	Recommendation	Updates	Category	Type	Priority	Status	Risk Owner
6	8/31/2019	Lack of dedicated leads filling key roles could impact the effectiveness of the project team and reduce quality of deliverables	The project currently lacks dedicated leads filling key roles resulting in existing resources serving multiple roles which may impact their overall effectiveness, quality, and timely execution of tasks. The project does not have single, dedicated Management Leads for key areas such as OCM, Project Management, Training, and Testing. Additionally, the project decided that a full time SI project manager was unnecessary. Current designated leads manage multiple Phase 2 project tracks and functional areas and have the added burden of supporting Phase 1 M&O. IV&V had identified Phase 1 OCM risks that were eventually realized citing the lack of a dedicated OCM Strategic Manager and a single OCM Operations Manager. Phase 2 saw the departure of the OCM Operations Manager which lead a transfer of OCM operational and strategic activities to the PMO.	Lack of dedicated leads could negatively impact the effectiveness of the project team and reduce the quality of deliverables and system design. For example, executive leadership has deemed OCM as a top Phase 2 priority. The lack of a dedicated leader to drive and take ownership of the overall strategic OCM vision (measuring quality and progress and who can be a point of escalation when issues arise) could diminish OCM effectiveness and overtax PMO resources. This risk could be "hidden" due to the commitment and dedication of team members who lead multiple tracks/areas, however, failure to recognize the need to fully staff the project with dedicated leads could contribute to resource burn out and attrition of key resources (see risk #2). IV&V is aware that a project decision was made to reduce the involvement of the SI project manager in exchange for additional SI functional resources. This decision may increase the workload of the state project manager.	<ul style="list-style-type: none"> Evaluate which project resources are needed to allow for dedicated strategic leadership in key positions (e.g. OCM and Training) and to alleviate existing project resources with multiple project leadership responsibilities. Assign a single, dedicated strategic management lead for key areas such as OCM and Training. Create and utilize a resource management plan to assure planful, instead of reactive, addition and management of resources. Plan should address movement of resources as project transitions to different phases (e.g. moving from DD&I to M&O). Formalize and document (e.g. org charts, POC lists/directories) all leadership roles and project points of contact for key areas and ensure stakeholders have easy access to comprehensive project role lists that include contact info. 		Human Resource Management	Risk	Low	Open	Michael
8	8/31/2019	Detailed processes to integrate Time & Leave Maintenance and Operations support with production Payroll support not finalized	A strategy to integrate Time and Leave M&O with the ongoing Payroll M&O then transition support of both solutions to DAGS operations is not yet available.	The lack of a documented process to integrate Time and Leave M&O support with Payroll production support may cause unnecessary risk at Time and Leave Phase 1 go live. Changes to the current Help Desk support vendor was planned but stopped prior to execution. The lack of an executable strategy may be adding unnecessary risks to the Time and Leave project. IV&V has also logged a related risk (#4) that TL resources are over burdened with Payroll service M&O support activities.	<ul style="list-style-type: none"> Develop and implement a long-term strategy for providing effective ongoing M&O support for both Time and Leave and Payroll solutions. This strategy should ensure that there is sufficient capabilities and capacity to provide the required support without drawing on resources already allocated to other projects. 		Operational Readiness	Preliminary Concern	Low	Open	Ken
9	8/31/2019	Unexpected collective bargaining or legislative changes could lead to unanticipated demands on the project and increased scope	Changes mandated by Unions or Legislative actions may drive changes to the TL solution thereby impacting the project's scope, schedule, and budget.	The State Legislature and Unions may make laws or change Collective Bargaining Agreements (CBA) that could require significant system changes thereby disrupting the project's progress, activities, schedule, and/or budget. These laws could change SOH processes without consideration of impact to the project or providing the project time to react to such changes.	<ul style="list-style-type: none"> Closely track union/legislative actions and legal cases that could impact the T&L project and be proactive in preparation for them. 		Project Organization & Management	Preliminary Concern	Low	Open	Michael
11	8/31/2019	Collective Bargaining Agreements (Union time/leave rules) complexity could prove problematic and lead to project delays and result in an overly complex system that may be difficult to support	Collective Bargaining Agreements (CBA) drive time and leave rules and are very complex. Rule complexity may have led to departments inconsistent rule interpretation.	Implementation and long-term support of an extensive set of complex rules could prove to be difficult to implement and manage/support long-term. Further, inconsistent rule interpretation could lead to extensive OCM efforts and some departments may struggle to adopt clarified CBA rules and require the project to initiate extensive OCM efforts to assure departmental adoption of clarified rules implemented in the new system are feasible and are managed effectively.	<ul style="list-style-type: none"> Continue efforts to document and track CBA rules that may need clarification for departments. Socialize a list of union discussion topics with stakeholders so they are aware and can validate and provide comments. Initiate early and often discussions with Unions for rule clarifications and general understanding and agreements on how CBA rules will be implemented by departments (process-wise) and in the system. 		Project Organization & Management	Preliminary Concern	Low	Open	Michael

Id	Identified Date	Title / Summary	Finding Description	Analysis and Significance	Recommendation	Updates	Category	Type	Priority	Status	Risk Owner
12	8/31/2019	Potential lack of consideration for unexpected or unintended impacts on payroll functionality when making T&L design decisions or configurations, could necessitate rework of T&L designs and/or impact Payroll quality	System and configuration changes required to support the Time and Leave functionality may include unexpected impacts to the current Payroll solution. It is unclear how the changes will be managed and what level of regression testing may be necessary.	While the project team has plans to address the risk of Time and Leave changes that could impact the payroll system, due to the system complexity and the significant number of PeopleSoft customizations in the current system, there could be unexpected negative impacts on the Payroll system when T&L is implemented in the current system. The project also intends to implement regression testing, however, it could be difficult to account for and test for unexpected impacts to the system due to the high level of customizations in the existing system.	<ul style="list-style-type: none"> • Ensure that the configuration and functionality changes required for Time and Leave are vetted with the current Payroll solution to determine any impact or required changes to the Payroll solution during the Time and Leave design and testing phases. • Define and document the regression testing plan to ensure that any T&L changes do not have an unexpected negative impact on production Payroll functionality. • Assure Time and Leave design and configuration planning includes consideration for impacts on Payroll, prior to implementing the design or configuration. This may be accomplished, in part, using an effective and integrated configuration management plan. 		Quality Management	Preliminary Concern	Low	Open	Ken

Id	Identified Date	Title / Summary	Finding Description	Analysis and Significance	Recommendation	Updates	Category	Type	Priority	Status	Risk Owner