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| Gorica GROUP – INVOICE AUTOMATION  Commercial & Technical Proposal |
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## Corporate Background

SAISOFT ITC LTD is a globally recognized technology consulting firm specializing in the implementation and management of SAP, Salesforce, Oracle, and Robotic Process Automation (RPA) solutions. With a strong focus on delivering exceptional services, we have established ourselves as a trusted partner in the IT industry.

With a team of over 30 experienced consultants located across the United Arab Emirates, India, and other regions, we bring a wealth of knowledge and expertise to our clients. Our consultants have extensive experience in SAP, Salesforce, Oracle, and RPA, enabling us to deliver tailored solutions that meet the unique requirements of various industries.

We have a proven track record of serving clients in the banking, healthcare, property development, and other sectors. Our deep understanding of these industries allows us to provide customized solutions that optimize business processes, enhance customer experiences, and drive operational efficiency.

At SAISOFT, we not only specialize in solution implementation but also offer comprehensive managed services to ensure the smooth functioning and continuous improvement of our clients' IT systems. Our team is dedicated to providing ongoing support, maintenance, and system enhancements, allowing our clients to focus on their core business while we handle their technology needs.

As a globally recognized IT service provider, we pride ourselves on delivering innovative solutions that transform businesses and drive growth. We stay up-to-date with the latest industry trends and best practices to ensure that our clients benefit from cutting-edge technologies and stay ahead of the competition.

Choose SAISOFT ITC LTD as your trusted technology partner, and let us help you unlock the full potential of SAP, Salesforce, Oracle, and RPA solutions, driving your business towards success in the digital age.

### 

### **Dubai Municipality New Logo - Colaboratory** DDA | Zoning e-Services

### **Invest Bank :: Home - A Premier Commercial Bank In UAE - Recognized by World Finance**

### **Health & Medical Services - HMS Group | HMS Group of Hospital in UAE**

**About Gorica Group :**

Gorica was founded in 1990 as a specialist Commercial Vehicles, Trailers and Truck bodies Company, based in the Al-Aweer Industrial Area, Dubai under the registered identity of GORICA Trading. In 1993 the Company outgrew its premises and GOTRADE L.L.C. was established. The service facility now widely referred to as GOTRADE Workshop opened soon afterwards in 1995, with a branch office in Abu Dhabi in support of the growing demand and sales of GORICA products, spare parts and components.

In light of major expansion works, manufacturing facilities were shifted in 1998 to the Jebel Ali Industrial Area. An Industrial unit GORICA Industries L.L.C. was established covering an area of over 50,000 sq. mtrs including 20,000 sq. mtrs of covered area for fabrication, equipped with overhead cranes and other modern machinery. Both GORICA Industries and GOTRADE are ISO 9001 certified Companies.

**About neobots:**

**neobots** is a comprehensive suite of AI-powered automation solutions designed to transform Small and Medium-sized Enterprises (SMEs) into efficient, data-driven powerhouses. Our modular approach allows you to tailor your automation journey, from streamlined tasks to AI-driven insights

**Executive Summary**

This proposal outlines the development and implementation of an invoice automation system leveraging Neobots for Robotic Process Automation (RPA) and NeoCapture for Intelligent Document Processing (IDP) for Gorica Group. The system aims to streamline the invoice processing workflow, enhance data accuracy, reduce manual intervention, and integrate seamlessly with SAP HANA/SAP ERP for efficient retrieval and processing of purchase order (PO) and delivery note numbers. Additionally, the system will perform three-way matching, create downstream invoices in SAP in hold mode, and generate detailed status reports in SAP. The vendor portal will also integrate with SAP ERP to show relevant PO information and vendor details.

### **Scope**

The Scope of the project is restricted to implement of invoice Automation Solutions & Integrating with SAP ERP including having SAP resource to handle SAP, the following modules are part of the implementation scope

* **Invoice Capture:** Use neoCapture to capture invoice images and extract data.
* **Data Validation:** Implement neobots to validate extracted data against predefined rules and databases.
* **Three-Way Matching:** Match invoice data with PO and goods receipt in SAP HANA.
* **Vendor Portal:** Develop a web-based portal for vendors to log in, upload invoices, and enter PO/delivery note numbers.
* **Invoice Creation:** Create downstream invoices in SAP in hold mode after successful validation and matching.
* **Integration with SAP HANA:** Develop APIs/middleware to retrieve LPO numbers and ensure seamless data integration.
* **Report Generation:** Generate detailed status reports in SAP.
* **Vendor Integration:** Integrate with SAP ERP to retrieve and display vendor information, POs, and delivery notes.
* **User Interface:** Provide a user-friendly interface for reviewing and managing invoices.
* **Reporting:** Generate reports on invoice processing status and performance metrics.
* **SAP Resource:** An SAP resource to handle the integration & Required developments

**Project Understanding, Approach & Schedule**

Our understanding is that the high level scope for this project is to implement a vendor portal which can fascilitate vendors to login & upload invoices, automatically extract invoices information & perform a 3 way match, then create a invoice automatically in SAP ERP.

The following components are in-scope:

* **Automate Invoice Data Extraction:** Utilize NeoCapture for capturing and extracting data from invoices.
* **Enhance Data Accuracy:** Implement Neobots for validating and cross-checking extracted data.
* **Three-Way Matching:** Ensure accurate matching of the invoice, PO, and goods receipt.
* **Invoice Creation in SAP:** Create downstream invoices in SAP in hold mode after successful validation.
* **User Portal:** Provide a UI for vendors to log in, upload invoices, and enter PO or delivery note numbers.
* **SAP HANA Integration:** Integrate with SAP HANA to retrieve linked LPO numbers and facilitate data exchange.
* **Report Generation:** Generate reports in SAP showing the status of all invoices and any issues that occurred.
* **Vendor Integration:** Integrate the vendor portal with SAP ERP to show vendor IDs, POs, and other relevant information.
* **Improve Workflow Efficiency:** Minimize manual intervention and accelerate the invoice processing cycle.

Implement Invoice Automation with varying templates & Content, identify the respective SKU’s etc. and create the Invoice automatically in SAP, Integrate with SAP for various areas

**Roles & Responsibilities**

SAISOFT ITC proposes a joint team of Consulting and GORICA INDUSTRIES LLC resources to ensure a successful project. A cohesive team with well-defined roles allows for alignment, collaboration and knowledge transfer. Key GORICA INDUSTRIES LLC resources will be active participants for the duration of the project and a wider group of subject matter experts will be leveraged to provide insight into current processes, proposed changes and feedback during project milestones and testing. The table below outlines the roles provided by SAISOFT ITC resources. We have also included resumes as an appendix to this document

|  |  |
| --- | --- |
| Role | % Onsite |
| Solution Architect | 0% |
| Project Lead/Manager | 10% |
| RPA & IDP Developer | 0% |
| SAP Integration/Report Consultant | 0% |

### Outlines the expected resources and level of participation from GORICA INDUSTRIES LLC

|  |  |  |
| --- | --- | --- |
| Role | Responsibility | Participation Requirement |
| Executive Sponsor | Oversight Role | Provide executive leadershipAssist with decisions |
| Project Sponsor | Oversight Role | Attend weekly status meetingsNavigate organization to assist with decisions and resistance to change |
| Project Manager | Oversight Role | Serve as key contact for all team membersSchedule resources and meetingsFacilitate communication Communicate project status |
| RPA & IDP developer | Moderate Engagement | Participate in requirements/ design meetingsParticipate in application testing cyclesParticipate in end-user training |
| Power Users | Heavy Engagement | Participate in all project meetingsAssist with developing reports Perform testingParticipate in Training DeliveryParticipate in Knowledge Transfer |
| IT Personnel | Moderate Engagement | Provide data filesTroubleshoot data integration issuesParticipate in Knowledge Transfer |

### **Estimate Assumptions**

|  |  |  |
| --- | --- | --- |
| Area | Estimating Assumptions | Comments |
| Business Processes | Ability to upload invoice for vendors by loging in to the portal & search the PO or delivery note to upload the invoiceAble to scan the Invoice and extract the data, perform 3 way match with respect to the PO, GRN attached in SAP by calling the required APIInn SAPPre validate the required and create an invoice in SAP through the SAP integrations for creating invoice |  |
| Processes | UI to loginUI to uploadIntelligent OCR To extract Data & Match data/item lines and identify the SKUsValidate the invoice uploadedCreate invoice in SAP |  |
| Interfaces | SAP Integration for vendorsSAP integration for PO & delivery note searchSAP integration to perform 3-way matchSAP integration to create InvoicesIntegrate with advanced OCRTrain the data set shared |  |
| Training | Application Training by Module with each (5-7 days)Web-based end-user trainingTwo (2) days of knowledge transfer sessions with client administrators |  |
| Reports | 1 Custom Report in SAP for all invoices |  |
|  |  |  |

**General Assumptions**

GORICA INDUSTRIES LLC resources will be responsible for providing the hosting environment in case of on premise, In case of cloud need to provide valid hosting on Azure or AWS,

GORICA INDUSTRIES LLC to provide require Dev, UAT & production infrastructure for SAP & Hosting the neocapture application

GORICA INDUSTRIES LLC will define power users(s) for Oracle Planning at the start of the project.

The power users(s) will participate in the project in all stages and will be the focal point for power user knowledge transfer

At the conclusion of requirements and design, the project timeline and costs may be revisited based upon more detailed information

### **Pre-requisites**

1. **Infrastructure Requirements**
   * **Hardware:** Servers and storage with sufficient capacity to handle the invoice automation system, including the NeoCapture, Neobots, and Neoflo components.
   * **Network:** A reliable and secure network infrastructure to ensure seamless communication between the components and SAP systems.

* **Software Requirements**
  + **Operating System:** Compatible OS for hosting NeoCapture, Neobots, Neoflo, and SAP integration components.
  + **Database Management System**: PostgreSQL/MongoDB or any compatible DBMS.
  + APIs: Available and accessible APIs for SAP HANA and SAP ERP integration.
* **Licenses and Subscriptions**
  + NeoCapture, Neoflo, and any other required software licenses need to be procured before the start of the project.
* **Technical Expertise**
  + Skilled personnel for the development, deployment, and maintenance of the system.
  + Expertise in NeoCapture, Neobots, Neoflo, SAP HANA, SAP ERP, and the chosen database management system.
* **Data Preparation**
  + Sample data for testing and validation.
  + Access to existing purchase orders, invoices, and delivery notes for initial setup and testing.
* **Security and Compliance**
  + Compliance with relevant data protection regulations (e.g., GDPR).
  + Implementation of necessary security measures (e.g., encryption, access controls).

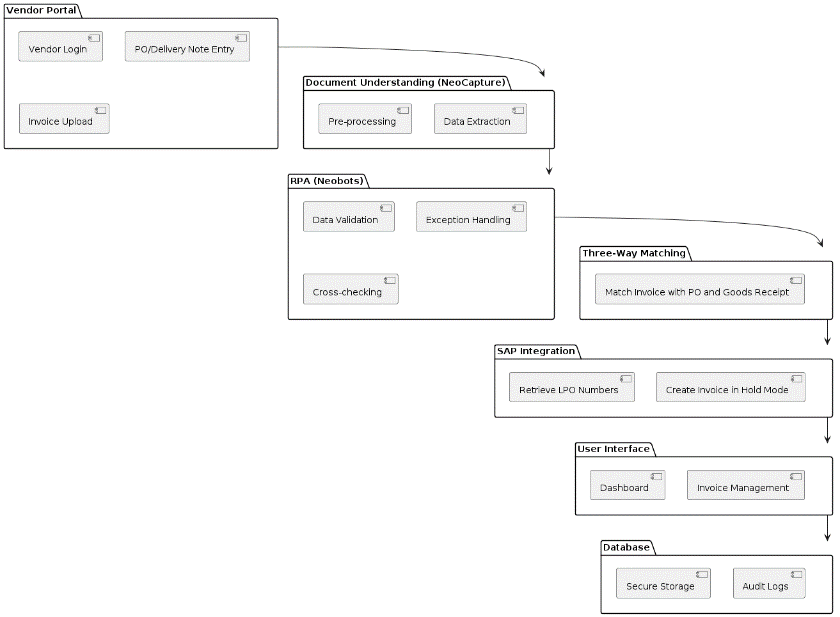
### **Assumptions**

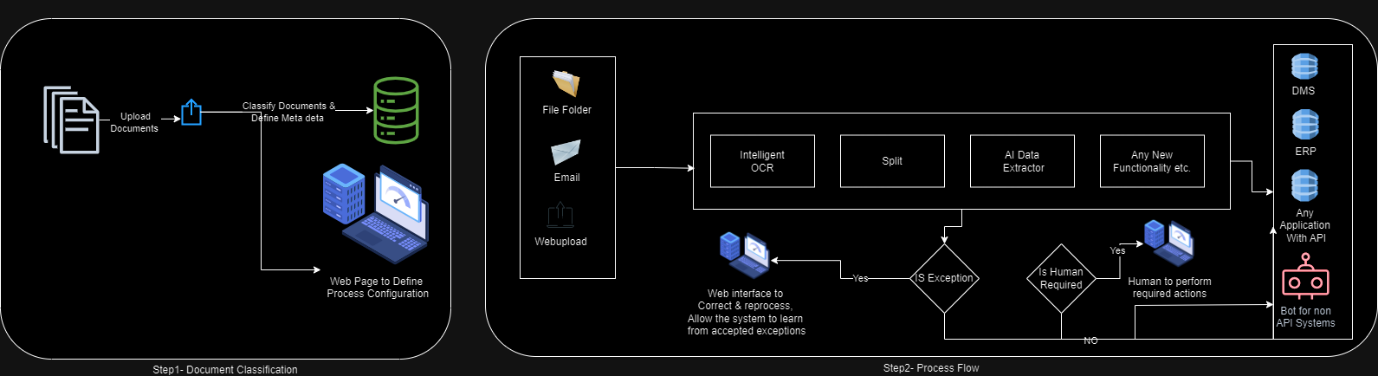
1. **Client Collaboration**
   * Active participation and timely feedback from the client's project team throughout the project phases.
   * Availability of subject matter experts from the client's side for requirements gathering and validation.
2. **Project Scope**
   * The scope of the project is limited to automating the invoice processing, three-way matching, and integration with SAP systems as outlined in the proposal.
   * Any additional features or changes in scope will be addressed through a change management process.
3. **Data Quality**
   * The data provided for processing is accurate, complete, and in a format suitable for automated extraction and processing.
   * Historical data required for testing and validation is readily available.
   * Only PDF documents are scoped for the current process
4. **System Integration**
   * Existing systems (SAP HANA, SAP ERP) are stable, well-documented, and accessible for integration.
   * APIs required for integration are functional and have no usage restrictions.
5. **Training and Support**
   * Client personnel will participate in training sessions and will be available for knowledge transfer activities.
   * Support and maintenance will follow the outlined terms and conditions in the proposal.
6. **Timeline Adherence**
   * The project timeline is based on the assumption that there will be no major delays or disruptions.
   * Any unforeseen delays will be communicated promptly and managed through project governance mechanisms.
7. **Budget Compliance**
   * The project budget is assumed to be fixed as per the initial estimation, barring any scope changes or additional requirements.
   * Any deviations from the budget will be discussed and approved by both parties

**Data Flow:**

* Vendor login -> PO/Delivery note entry -> Invoice upload -> NeoCapture processing -> Data extracted -> Neobots validation -> Three-way matching with SAP HANA -> Invoice creation in SAP (hold mode) -> Report generation in SAP -> User review (if necessary) -> Invoice processed.

**High-level Architecture**





### **System Specifications for NeoBots, NeoCapture, and Neoflo**

#### ****1. NeoBots****

**Hardware Requirements:**

* **CPU:** Multi-core processor (Intel i5 or higher, AMD Ryzen 5 or higher)
* **RAM:** Minimum 8 GB, recommended 16 GB or higher
* **Storage:** Minimum 50 GB available disk space
* **Network:** High-speed internet connection for API calls and data transfer

**Software Requirements:**

* **Operating System:** Windows 10 or higher, or Linux (Ubuntu 18.04 or higher)
* **Frameworks and Libraries:** .NET Framework (for Windows), Python (for scripting)
* **Database:** Compatible with major DBMS (PostgreSQL, MySQL, MS SQL Server)

#### ****2. NeoCapture****

**Hardware Requirements:**

* **CPU:** Multi-core processor (Intel i5 or higher, AMD Ryzen 5 or higher)
* **RAM:** Minimum 16 GB, recommended 32 GB or higher for large-scale processing
* **Storage:** Minimum 100 GB available disk space
* **Network:** High-speed internet connection for cloud-based processing and data transfer

**Software Requirements:**

* **Operating System:** Windows Server 2016 or higher, or Linux (Ubuntu 18.04 or higher)
* **Frameworks and Libraries:** Python, TensorFlow/Keras for machine learning models
* **OCR Software:** Tesseract OCR or equivalent
* **Database:** Compatible with major DBMS (PostgreSQL, MySQL, MS SQL Server)

#### ****3. Neoflo****

**Hardware Requirements:**

* **CPU:** Multi-core processor (Intel i7 or higher, AMD Ryzen 7 or higher)
* **RAM:** Minimum 16 GB, recommended 32 GB or higher for handling multiple workflows
* **Storage:** Minimum 100 GB available disk space
* **Network:** High-speed internet connection for API integrations and data flow

**Software Requirements:**

* **Operating System:** Windows Server 2016 or higher, or Linux (Ubuntu 18.04 or higher)
* **Application Server:** Node.js, Apache Tomcat, or similar
* **Frameworks and Libraries:** JavaScript, Node.js
* **Database:** Compatible with major DBMS (PostgreSQL, MySQL, MS SQL Server)

### **General Recommendations for All Systems**

* **Backup and Recovery:** Ensure regular backups and a robust recovery plan for all systems.
* **Security:** Implement firewall, antivirus, and encryption to protect data and system integrity.
* **Scalability:** Design the system architecture to support scalability for future growth and increased workload.
* **Virtualization (Optional):** Consider using virtual machines (VMs) for better resource management and isolation.

### **Testing**

Our testing approach centers around a strategy of multiple checkpoints early and often in the project. It is much easier to correct course early on and so we build in multiple feedback points from our customers as a core tenant of our project methodology.

**Unit Testing** – Unit testing happens throughout the development cycles to ensure single pieces of functionality work as expected and that calculations deliver the expected results.

**User Acceptance Testing** – Formal testing sessions are held to gain final user acceptance of the system. Scripts are developed for each functional area and the users invited to participate undergo navigation training as well, to ensure they can successfully complete their scripts. Topics are set up to mimic the final processes for the customer to test both the system and train users on the process steps.

**System Integration Testing** – Technical testing of the data flow both in and out of the final system is critical to ensure the process is well understood and that all data formats and values are correct and repeatable.

### **Training**

Training and Knowledge Transfer are critical to a successful implementation. To ensure a successful transition from current systems and processes to the Neocapture invoice automationsolution, SAISOFT ITC recommends a holistic approach to client project involvement across the following areas:

**Project Team Training:** this training occurs during the Discovery and Design milestones of the project, and allows the project team to become thoroughly familiar with the Neocapture invoice automation software solution, its components, and its capabilities. SAISOFT ITC delivers this training using our demonstration environment containing example applications and artifacts. It also allows project team members to ask questions, understand software vocabulary, and understand key features.

**End-User Training**: SAISOFT ITC will prepare custom training materials using a combination of Microsoft Word and PowerPoint. SAISOFT ITC will deliver a customized training session to client trainers using a “train-the-trainer” approach.

### **Support**

SAISOFT ITC by default allocated a 2 weeks of Project Post Go live support as part of the project offering, the GORICA INDUSTRIES LLC can rest assured that any technical issues with the system will be resolved by a knowledgeable support resource. This will allow the GORICA INDUSTRIES LLC to keep the business users focused on utilizing the system.

Our Outsourcing support offering is another option available to enable GORICA INDUSTRIES LLC end business users to have continuous support and not also having the burden of learning to manage the application. We have found that by utilizing an outsourced administration offering, the GORICA INDUSTRIES LLC will be much better enabled to use the application to the highest capacity and allow for growth and change with the platform over time.

### **Critical Success Factors**

* The critical success factors to meeting the goals stated in the mission statement are:
* Strong executive sponsorship and management support of the project mission and project team
* Adequate project staffing for the expected goals and timeline to be met
* Clear roles and responsibilities defined for the project in order to assure accountability, ownership, and quality
* A committed and well-informed project manager and project team having a thorough understanding of the project mission, goals, and milestones
* A comprehensive project workplan and Project Management Plan
* A defined and maintained project infrastructure throughout the project duration
* A thorough understanding of known project risks and assumptions throughout the executive committee and project team

List the high level objectives which the client has communicated. Since this is a strategic document, make sure that the stated objectives do not get bogged down in details. The details are for the project Workplan. Objectives should be specific and measurable!

## Approach

The approach includes the following main areas:

* Plans
* Client Organization
* Acceptance
* Project Administration

We have outlined the major areas for attaining century date compliance below. Align this information and the strategy documents from AIM in order to construct an effective strategy for addressing century date issues.  
  
Century date compliance must be considered for all application implementation projects, and you will need to develop an approach for attaining century date compliance. This will include strategies for the following:  
  
\* constructing century date compliant   
 customizations  
\* rigorous and automated testing of the application  
 and individual modules  
\* converting legacy data to century date compliant  
 standards  
\* verifying hardware and operating system  
 compliance  
  
For the detailed explanation of these items, refer to the following project deliverables:  
  
\* Architecture Requirements and Strategy (TA.010)  
\* Application Extension Strategy (MD.010)  
\* Data Conversion Requirements and Strategy (CV.010)  
\* Testing Requirements and Strategy (TE.010)

### **Plans**

Describe the method approach you will pursue for the project For example, you may want (AIM) to bring all of the applications up at the same time (big-bang) or bring one product live sequentially (phased implementation), for CDM you may want to do a Classic or Fast Track approach and for either of these you should describe the phases in the plan for the project at a high level, such as Analysis, Design, Build, etc.  
  
Attach a detailed Workplan as an Appendix to this Project Management Plan.

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Description** | **W1** | **W2** | **W3** | **W4** | **W5** | **W6** | **W7** | **W8** | **W9** | **W10** |
| **Initiation Phase** |  |  |  |  |  |  |  |  |  |  |
| Requirement Analysis |  |  |  |  |  |  |  |  |  |  |
| **Design & Development** |  |  |  |  |  |  |  |  |  |  |
| High Level Design |  |  |  |  |  |  |  |  |  |  |
| UI Development |  |  |  |  |  |  |  |  |  |  |
| Integrate neocapture into UI & Process |  |  |  |  |  |  |  |  |  |  |
| Train Data Set |  |  |  |  |  |  |  |  |  |  |
| Downstream Integration |  |  |  |  |  |  |  |  |  |  |
| SAP Related Development (on need basis) |  |  |  |  |  |  |  |  |  |  |
| **Testing** |  |  |  |  |  |  |  |  |  |  |
| SIT |  |  |  |  |  |  |  |  |  |  |
| UAT |  |  |  |  |  |  |  |  |  |  |
| **Go Live** |  |  |  |  |  |  |  |  |  |  |
| Deploy |  |  |  |  |  |  |  |  |  |  |
| **Support** |  |  |  |  |  |  |  |  |  |  |
| After Support |  |  |  |  |  |  |  |  |  |  |

We will develop a detailed project plan at the conclusion of the requirements sessions and will coordinate with GORICA INDUSTRIES LLC resources to determine appropriate weeks for the major milestones of the project

### **Client Organization**

Listed below are the Strategic Business Units (SBU) of GORICA INDUSTRIES LLC

In this section, describe each SBU and relationship to one another. One site may supply or distribute to another site.   
  
The project organization and roles of staff are defined in Resource Management later in the document.

| SBU Name | Current Software | Current hardware | Invoice Automation Implemented |
| --- | --- | --- | --- |
|  |  |  |  |
| GORICA INDUSTRIES LLC | SAP |  | NO |

### **Acceptance**

Acceptance may be carried out on each deliverable as it is produced or just on the final system delivered. This section defines the acceptance procedure for either or both circumstances. A PJM Acceptance Certificate is available in the OM Template Tool. It may be useful to copy it here or in an Appendix.  
  
Describe arrangements for acceptance and any defined acceptance criteria or how the criteria will be defined.   
  
Refer to the Executive Project Strategy (AP.010) for a description of the organization’s expectations for the project team and vendors.

The GORICA INDUSTRIES LLC Oracle ERP Solution Rollout will go through acceptance by GORICA INDUSTRIES LLC when all deliverables related to functional support are completed. The procedure to be used for this is as follows:

On completion of acceptance the client will be asked to sign an Acceptance Certificate as a record of the successful completion of the project to its defined scope.

## Project Tasks, Deliverables, and Milestones

Refer to the Executive Project Strategy (AP.010) for an initial discussion of the project management approach for the project.  
  
You might want to use the work session to Conduct Initial Project Team Orientation (AP.020) or refer to it as the forum to decide on the project tasks, deliverables and milestones, including strategies for Control and Reporting, Work Management, Resource Management, Quality Management, and Configuration Management. Use the decision making approach selected in the Project Team Orientation Plan (AP.020) as you proceed with the decision making for this deliverable.  
  
Define what phases, tasks and deliverables have been planned for the project. Be specific about the actual deliverables rather than refer out to “AIM, which would imply you are going to produce all deliverables (which is rarely the case).

### **Planning Approach**

Agile methodology will be executed. The methodology covers the following phases:

* Requitement Gathering
* Design
* Development
* Testing
* Deployment

1. Training
2. Support

### **Key Deliverables**

This section defines the tasks and key deliverables for each phase described above.

* + Functional Invoice Automation System:
  + OCR, Neobot, Vendor Portal, and Integration modules.
  + User Interface for invoice management.
  + Training Materials:
  + User manuals and training sessions.
  + Support & Maintenance:
  + Ongoing technical support.
  + Regular updates and system enhancements.
  + SAP Resource to handle SAP integration & Development required for Invoice automation

Each type of deliverable should be checked for: content; against requirements, deliverable standards, completeness, and for errors. Use Checklists for each deliverable defined in this list. Document each review as defined in the Reviews section of this plan.  
  
Define the type of review and indicate whether approval/sign-off is by project manager and/or the client.

**Costing Model 1- Perpetual**

|  |  |
| --- | --- |
|  | Cost (AED) |
| Neocapture – Invoice automation solution | 220,000.00 |
| TOTAL | **220,000.00** |

|  |  |
| --- | --- |
|  | Cost (AED) |
| Neocapture – Service & Support (Annual) | 44,000.00 |
| TOTAL | **44,000.00** |

### **Payment Schedules with Milestone**

|  |  |
| --- | --- |
| **Milestone** | **%** |
| Initiation | 30 |
| Design & Development | 20 |
| UAT | 30 |
| Production | 20 |
|  |  |

1. Cost is estimated based on initial requirements mentioned in the email & the discussions had over teams.
2. Cost does not include any infra & cloud hosting

### **Risks**

The main risks identified during the proposal development and scoping discussions with the client should be identified here. Also, use here the risks and barriers identified in the Executive Project Strategy (AP.010). These are then tracked through the Risk and Issue Management process defined in the Project Management Plan.

The following risks have been identified that may affect the project during its progression. These and any other risks identified later will be tracked through the Risk and Issue Management process defined later in the Project Management Plan.

**AIM Risks and Assumptions:**The following list of risks has been developed specifically for Applications Implementation projects. Tailor this list to your project’s specific circumstances.

### **Interfaces, Integration, Data Conversion Risks**

#### Changes may be Required to the Feeder Systems

**Risk:** High

**Consequences:** Project delay

**Contingencies:**

1. Devise workarounds
2. Allocate additional resources required to accommodate changes

**Early Mitigation:** Attempt to identify where changes may be required as early as possible

#### All Required Conversion Data may not Exist in the Current Legacy Systems which are being Replaced by Oracle Cooperative Applications

**Risk:** High

**Consequence:** Functionality of Oracle Cooperative Applications (with regard to accessing history) may be comprised

**Contingency:** Must be controlled by aggressive project management

**Early Mitigation:** Same as contingency solution

#### Implementation of this Project will Impact GORICA INDUSTRIES LLC’s other Current System Initiatives

**Risk:** Low

**Consequence:** Some functionality will be lost and potential non-compliance with GORICA INDUSTRIES LLC’s information architecture

**Contingency:** Modify source systems or interface from the new financial system

**Early Mitigation:** Maintain open communications with other project teams

#### Data Conversion of Existing Data to the New Applications is in Error or Inadequate

Data in existing legacy systems to be converted will require clean up in some cases. Assumptions will need to be made during data conversion with respect to the consistency and accuracy of this cleaned up data. Often, on-going problems with converted data will occur following conversion..

**Risk**: Low

**Consequence**: Possible on-going problems with converted data in new environment resulting in additional maintenance of data following go-live.

**Contingency**: None.

**Early Mitigation:** Early identification of data problems and cleanup on the legacy side prior to conversion to the new applications.

### Hardware, Network, Software Risks

#### Hardware Server(s) not Available for Business Mapping Purposes

**Risk:** High

**Consequence:** Delay operational analysis phase

**Contingency:** Utilize a third party server

**Early Mitigation:** IS will investigate existing capacity and will order new server(s) by <date>

#### Planned Oracle Cooperative Applications Releases are not Available to Support the Workplan

**Risk:**

**Consequences:**

1. Required functionality may not be delivered
2. Users may need retraining
3. Additional resources may be consumed with upgrades

**Contingency:** Go live on a predecessor version and upgrade at later date

**Early Mitigation:** Need an early as possible decision as to what version will be implemented for production (e.g. cut-off date - confirmation of scope, technology and objectives task)

#### Oracle Release Upgrades are not Transparent (i.e.,. Installation Implications not Easily Managed)

**Risk:**

**Consequence:** Anticipated functionality not available and business processes may need to be re-mapped.

**Contingency:** Continue to use predecessor version

**Early Mitigation:** Upgrades must be managed aggressively and thoroughly researched before implementing

#### Performance Specifications are not Met

**Risk:** Moderate

**Consequence:** Unsatisfied users and increased processing costs

**Contingency:** Upgrade server capabilities

**Early Mitigation:** Monitor performance during acceptance testing and manage User expectations

#### Hardware and Operating System Environments not Available when Required

**Risk**: Low

**Consequence**: Delay the implementation or testing of applications.

**Contingency**: Additional contracted efforts will address any issues in this area.

**Early Mitigation**: Obtain required developmental environment as well as the stand alone equipment required for the financial applications

#### The Selected Hardware is not Large Enough to Handle the Production Load

Although preliminary sizing has been undertaken, an actual determination of the specific volumetrics for the applications will only be known after the appropriate application configuration options are selected. At that time, it will be possible to model forward the impacts on volumes and the resulting consumption of disk, CPU and memory resources.

**Risk**: Moderate

**Consequence**: Unacceptable performance in the field.

**Contingency**: Acquire additional hardware

**Early Mitigation:** Undertake a perpetual detailed sizing process thought the project as volumetrics become more evident. Determine production hardware environment as part of the technical Solution Design phase.

#### No Hardware Hot Backup Environment as a Result of a Major System Failure

At the present time, there is no hot-backup hardware site established to support the project or the resulting production environment.

**Risk**: Low - Moderate

**Consequence**: Loss of systems availability while alternate environments are located, delay to project, possible additional costs.

**Contingency**: None.

**Early Mitigation:** Develop disaster recovery processes to minimize downtime and offset risk.

#### Availability of Systems

Loss of the development, or production systems environment due to hardware, software failure or errors in operations during work hours will impact the fulfillment of project tasks.

**Risk**: Medium

**Consequence**: Possible delays in project tasks, possible impacts to project milestones and/or additional costs to project to make up lost time use additional resources.

**Contingency**: Additional staffing to address loss in time.

**Early Mitigation:** Ensure that hardware/software environment is administered “as-production” during the implementation process, complete with extensive backups and high-availability..

#### Network Availability

Network outages would impact the ability of project team members to carry out scheduled and planned work.

**Risk**: Low

**Consequence**: Loss of the network during work hours will impact the fulfillment of project tasks.

**Contingency**: None.

**Early Mitigation:** Ensure that network provider understands and agrees to the high availability requirement

### **Staffing Risks**

#### GORICA INDUSTRIES LLC Personnel Required are not Approved by Management

Senior management support for the availability of key project personnel is critical. If management support is not available, or the nominated project personnel are not available due to business issues, the project will be impacted.

**Risk**: Moderate

**Consequence**: Project commencement will be delayed as alternate personnel are sought or the project objectives including milestones are reexamined.

**Contingency**: None.

**Early Mitigation:** Seek executive level commitment and support, request communication of this support throughout the organization.

#### GORICA INDUSTRIES LLC Personnel Required will not be Available Due to other Commitments/Workload

Critical to the success of the project, is the appropriate constituent representation of key users from the business areas. The participation must be consistent, and through the entire life of the implementation project. Without key decision makers being available and participating in the appropriate project activities, decisions require additional circulation and agreement occurs at a higher cost to the project and the timeline.

**Risk:** Low.

**Consequence**: Scheduled project activity may be delayed, potentially impacting project milestones or budget.

**Contingency**: Should personnel be unavailable the proper level of authority should be informed of the situation and steps should be taken to make the personnel available as required.

**Early Mitigation:**  GORICA INDUSTRIES LLC personnelshould have the appropriate approvals and a clear mandate to be available as required.

#### GORICA INDUSTRIES LLC Personnel that are Required do not have Sufficient Skills to Undertake the Work

Assessment is made during the project planning process as to the training requirement, aptitude and capacity to contribute for all project personnel. From time to time, this assessment may be incorrect.

**Risk**: Low

**Consequence**: Slippage in deliverables due from GORICA INDUSTRIES LLC personnel, or inadequate level of participation in decision making.

**Contingency**: Initial coaching, following by escalation to the GORICA INDUSTRIES LLC Project Manager or Management Committee for direction.

**Early Mitigation:** On project commencement, review with each individual the expectations for their involvement. Seek agreement with the individual.

#### GORICA INDUSTRIES LLC Technical Personnel Inexperienced with UNIX System Admin and Oracle Database Admin

**Risk:** Low

**Consequence:** Potential project delays as result of loss of technical environment.

**Contingency:** Assistance from Oracle technical resources for recovery

**Early Mitigation:**

#### Retention of Project Team Members during the Implementation

From time to time, key project personnel may be reassigned to other enterprise initiatives or leave the corporation.

**Risk**: Moderate

**Consequence**: Possible significant impact to project tasks, key deliverables, project milestone achievement and subsequently budget. Loss of key skills during critical time frames.

**Contingency**: Replace personnel as quickly as possible, seek transition when possible.

**Early Mitigation:** Ongoing initiative to augment user and technical procedures, and prepare an in-house training program.

#### Availability of SME Resources for Previously Scheduled Work

Like GORICA INDUSTRIES LLC from time to time SME may have to deal with unavailability of its resources to the project.

**Risk**: Low

**Consequence**: Possible impacts to project tasks, timelines, or milestones

**Contingency**: SME to seek alternate resources when available, or reasonable notice is give to allow rescheduling without impacting project costs or milestones.

**Early Mitigation:** Ensure that SME Resources are scheduled well in advance and avoid alterations to these schedules

#### Availability of MEtSCON Consultant Resources on Short Notice for Non-Scheduled Work

From time to time, the project may require additional non-scheduled participation from MEtSCON Consultant personnel. As MEtSCON Consultant SME is motivated to schedule its personnel in advance, MEtSCON Consultant may not be in an optimum position to respond as required.

**Risk**: Moderate - High

**Consequence**: Possible delays in project tasks

**Contingency**: Utilize methods such as video conferencing, fax, telecommuting, email, teleconference or after hour meetings.

**Early Mitigation:** Schedule MEtSCON Consultant participation in advance, and set expectations with respect to MEtSCON Consultant’s requirement for advanced scheduling

### **Scope, Project Management Risks**

#### Operational Analysis Phase of the Project has Not Been Completed by GORICA INDUSTRIES LLC

Information gathered from the Operational Analysis phase is used during the Solution Design phase to ensure that all of the business requirements of the enterprise are investigated and addressed. We are advised that appropriate documents will be made available to Metscon team

assumes this information is adequate.

**Risk:** Low

**Consequence:** Delay of project, possible additional costs, as the business requirement mapping sessions (Solution Design) may need to be interrupted while specific operational analysis is undertaken. Unknown business requirements may not be addressed and become evident as issues only during integrated testing of the Business Systems Test.

**Contingency:**  Business Requirements Mapping would be delayed pending completion of this activity or the requirement would be targeted for a subsequent phase of the application implementation.

**Early Mitigation:** As part of the project SME will provide the project teams the appropriate operational analysis question from the AIM method and review the state of the operational analysis. The teams will review this documentation against the existing Operational Analysis documentation to ensure completeness.

#### Subsequent Analysis during the Project drives Significant not Forecasted BPR Requirements

The project proceeds with a basic understanding of the degree of Analysis and Re-engineering of Business Process that is required. From time to time further requirements or cost savings potential drives opportunities which will rationalize additional BPR as being required.

**Risk**: Additional staffing, delays and/or costs to the project

**Consequence**: Possible delay in achievement of project milestones, possible additional cost to the project

**Contingency**: None.

**Early Mitigation:** None.

#### Significant Changes in the Scope of the Project

**Risk**: Low

**Consequence**: Possible recasting of project objectives, costs and /or milestones.

**Contingency**: Move non-critical project components into subsequent phase.

**Early Mitigation**: Ensure that all principals agree on project scope at time of project initiation.

#### Ability to Define and Achieve a Consistent Series of Business Processes Across all Business Units

**Risk**: Low

**Consequence**: Additional project costs incurred as well as costs associated with supporting the different business processes.

**Contingency**: None.

**Early Mitigation**: Executive commitment to a mandate to define a single set of unified business processes, requirements and reporting across all business units.

#### Selected Applications Adaptable to Meet Business Requirements with Little Customization

The project assumes that the business requirements of the enterprise can be met with a minimum of customization of the base packages.

**Risk**: Low

**Consequence**: Additional cost to the project, possible additional unforecasted on-going maintenance costs.

**Contingency**: None.

**Early Mitigation:** None.

#### Changes to Business Processes are Achievable and Completed Prior to Affected Project Activities

There will be some degree of changes to existing business processes within the enterprise. The assumption is that these changes will be identified during the solution design phase, and completed by he business in time to avoid impact to subsequent project activities.

**Risk**: Low

**Consequence**: Potential impact on completion of project tasks, time lines or milestones.

**Contingency**: None.

**Early Mitigation:** None.

#### Unacceptable Degree of Field Support (User Acceptance)

Critical to the success of both the project and acceptance of the end result is a high degree of field support. Managed input in to project processes and deliverables driven by clear executive mandate is recommended. This includes a willingness to seek a common enterprise-wide business systems solution.

**Risk**: Low - moderate

**Consequence**: Additional costs to the project as a result of having to accommodate pockets of requirement. Possible lack of input from some business units or user communities resulting in mis-defined business requirements.

**Contingency**: None.

**Early Mitigation:** Deploy a standard project review process and input methods to support an adequate level of field support for the project. Field representatives should be appointed to participate in project activities

#### Project Decisions are Timely, and On-Time

From time to time, groups in session or individuals will require decisions from other members of the user community, management committees. Most decisions will carry two dates: a target date and an impact date. It can be assumed that some other linked dependent task will be delayed if an impact date is missed.

**Risk**: Low

**Consequence**: Delays in project tasks, possible additional cost to the projects or ultimate impact on project milestones.

**Contingency**: None, outside of standard escalation.

**Early Mitigation:** Seek a clear project charter sponsored by all members of the management and project committees. The charter should mandate clear and timely decision making.

#### Review of Project Deliverables and Sign-Off is Timely

Frequently, project deliverables such as team decision recommendations, workshop documents and specifications will require approval (sign-off) prior to a subsequent task commencing. This is to ensure that we understand requirements, and subsequent effort is not wasted on misunderstood requirements. Most of these sign-offs will carry two dates: a target date and an impact date. It can be assumed that some other linked dependent task will be delayed if an impact date is missed.

**Risk**: Low

**Consequence**: Delays in project tasks, possible additional cost to the projects or ultimate impact on project milestones.

**Early Mitigation:** Seek a clear project charter sponsored by all members of the management and project committees. The charter should mandate clear and timely review and approval of project deliverables.

**Contingency**: None, outside of standard escalation

#### Tight Time-Frames, Minimal Slack Between Dependent Tasks

**Risk:** Moderate

**Consequence:** Delay in dependent tasks; potential delay in go-live

**Contingency:**

#### Go-Live Date Accommodates Only One (1) Round of Integrated Testing

To remedy significant deficiencies not discovered during the implementation, an additional round of comprehensive testing is required (not accommodated for).

**Risk:** Moderate

**Consequence:** Additional project cost and/or delay in go-live

**Contingency:**

#### Project Milestones are not Achievable (Project Schedule)

Often business dynamics within an enterprise may prevent or work against an implementation schedule. The assumption being made is that the milestones as set out are achievable.

**Risk**: Low

**Consequence**: Missed milestones, possible delay in go-live/cut-over and additional project costs incurred.

**Early Mitigation:** Frequent project monitoring and review

**Contingency**: None.

#### Potential Move of GORICA INDUSTRIES LLC’s Facilities

**Risk:** Moderate

**Consequence:** Disruption to scheduled project activities; disruption in dependent project activities; potential delay in go-live; additional costs to project

**Contingency**: None.

**Early Mitigation**

### **Scope Control**

The consultant has to make sure that the project stays in scope (as defined in this section of the document).. The client can be required to sign a certification document stating that he understands the scope of the project, and that any out of scope requests may change the nature and the timing of the project.

The control of changes to the scope identified in this document will be managed through the Change Control procedure defined later in the Project Management Plan, using Change Request Forms to identify and manage changes, with client approval for any changes that affect cost or schedules for the project.

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### **Relationship to Other Systems/Projects**

There may be some other project or projects that clients would like to do at the same time <Consultant> is carrying out this project. <Consultant> should be aware of these initiatives but these are considered outside of the scope of the project. Refer to the Executive Project Strategy (AP.010) for an initial list of other organizational projects that may be impacting the success of this project and their relative levels of priority.

It is the responsibility of GORICA INDUSTRIES LLC to inform METSCON team of other business initiatives that may impact the project.

For More information, Reach out to

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