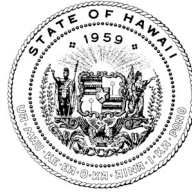


DAVID Y. IGE
GOVERNOR



DOUGLAS MURDOCK
CHIEF INFORMATION
OFFICER

OFFICE OF ENTERPRISE TECHNOLOGY SERVICES

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January 4, 2022

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

The Honorable Scott K. Saiki,
Speaker, and
Members of The House of Representatives
Thirty-First 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 report the Office of Enterprise Technology Services received for the State of Hawaii Department of Transportation-Highways Financial Management System Project.

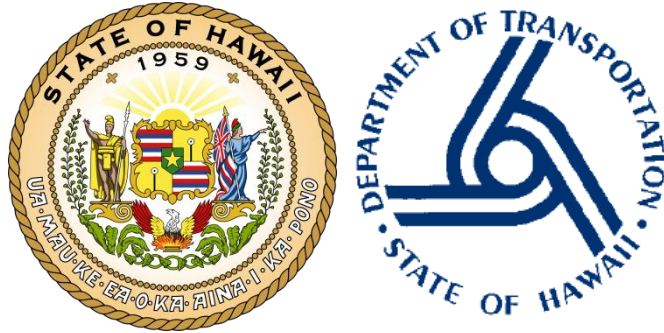
In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

Sincerely,


Douglas Murdock (Jan 4, 2022 13:43 PST)

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (1)



Monthly Project Assessment Report – October 2021

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

Author: Ohanasoft/IV&V Project Team
Creation Date: October 31, 2021
Last Updated: October 31, 2021
Version: Final v1

Version History

| Version Number | Updated By | Revision Date | Description of Change |
|----------------|-------------------|---------------|-----------------------|
| Final v1 | IV&V Project Team | 10/31/2021 | |

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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 Enterprise Resource Planning (ERP) Contractor, LSI in March 2021 to provide an accounting system solution that would modernize certain State of Hawaii, Department of Transportation, Highways Division (DOTH) IT systems, associated systems, and business processes, including fully replacing DOTH's legacy Highways Financial Accounting System (HWYAC) and certain software components of DOTH Districts' AS400 systems.

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

DOTH also acquired a contract with IT Management Consulting Firm, Ohanasoft, 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.



B. Summary

The Explore Phase started on June 1, 2021 and was expected to be completed on September 30, 2021, however, it was extended to November 12, 2021 as more workshops were needed to discuss workflow and requirements, and deliverables need to be completed. In total, more than 40 workshops were held to discuss and review As-Is, To-Be, SAP functions, solutions, and DOTH requirements in October 2021.

In addition, the LSI financial lead is leaving the DOTH H4 project. The current financial lead 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. This poses a level of risk and project timeline setback as knowledge transfer needs to take place to new personnel. The new lead is currently onboard and knowledge transfer is taking place.

One of the main deliverables in the Explore Phase is Project Design Documents (PDD), which documents DOTH functional areas along with business processes, to-be processes and their descriptions, configuration, relevant data, cross-functional impacts, and organizational change considerations. Unfortunately, DOTH SMEs are having difficulty reviewing and validating PDD because: 1. Some requirements have not been discussed or clarified thoroughly. 2. DOTH users are not yet familiar with SAP functions and features and cannot connect DOTH requirements to SAP solutions on some business processes. 3. Solution for DOTH core critical requirements are not explored thoroughly and not documented in detail.

In the same light as above, additional training of SAP is expected to help with the advancement of the project as it appears some of the difficulty during the meeting sessions and understanding the deliverable documents stems from a lack of understanding of SAP functionalities, its solutions, and processes.

Due to delays in some project tasks, document deliverables, extension of the Explore phase, and multiple staff turnover, confidence in the July 1, 2022 Go-Live date is diminished.

There are modules including Inventory and Plant Maintenance modules that need additional clarification of the requirements and implementation scope as of the date of this report.

Some of the interfaces that DOTH desired are being reviewed by ETS and may not be available. Alternative solutions may need to be discussed and confirmed.

Main goal of this project is to fully replace HWYAC and certain software components of DOTH Districts' AS400 systems, however there are a few activities that are not related to the core critical requirements and are not on the critical path to achieve main objective.

Many items in Open Items Tracker document require follow up and update with detailed resolution.

II. IV&V Dashboard

A. Subject Category

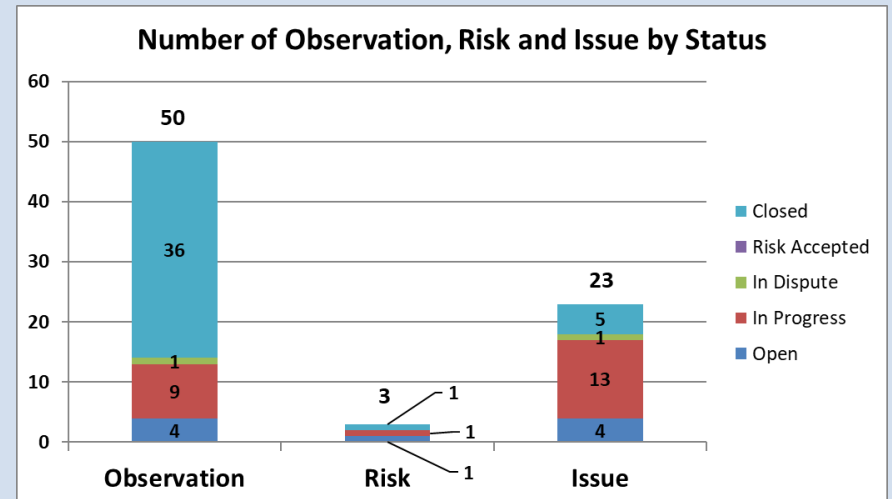
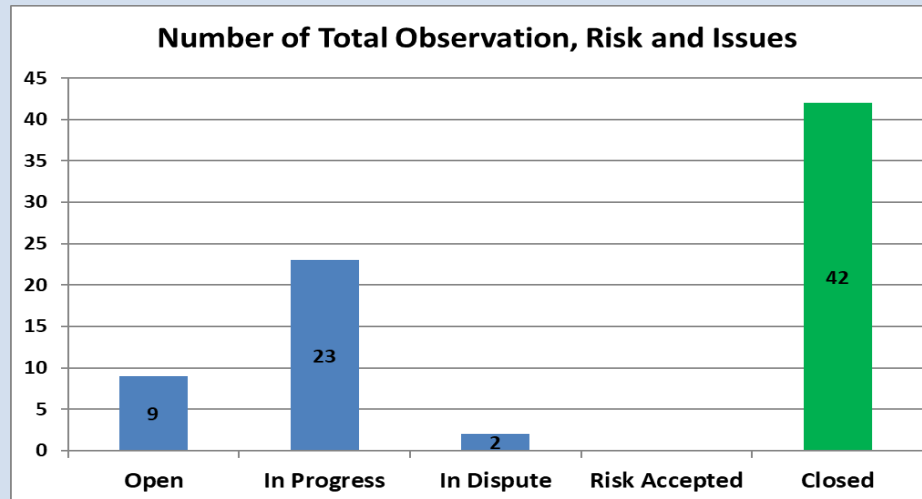
| IV&V Dashboard – Subject Category | | | |
|-----------------------------------|--|---|---|
| Subject Area | Subject Category | Impact | |
| | | Previous Month | Current Month |
| Project Management | Schedule Management |  |  |
| | Resource Management |  |  |
| | Quality Management |  |  |
| | Risk/Issue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

B. Observation, Risk, Issues, Subject Category

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

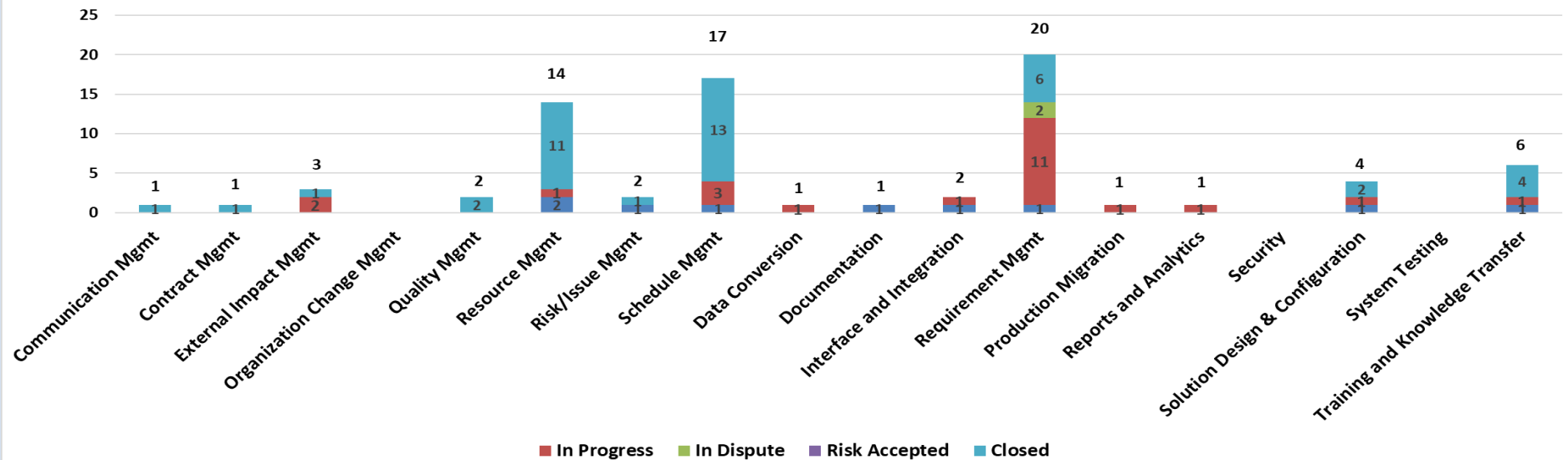
Number of Total Observation, Risk, and Issues

Number of Observation, Risk, and Issues by Status



Number of Observation, Risk, and Issues by Subject Category

Number of Observation, Risk and Issues by Subject Category

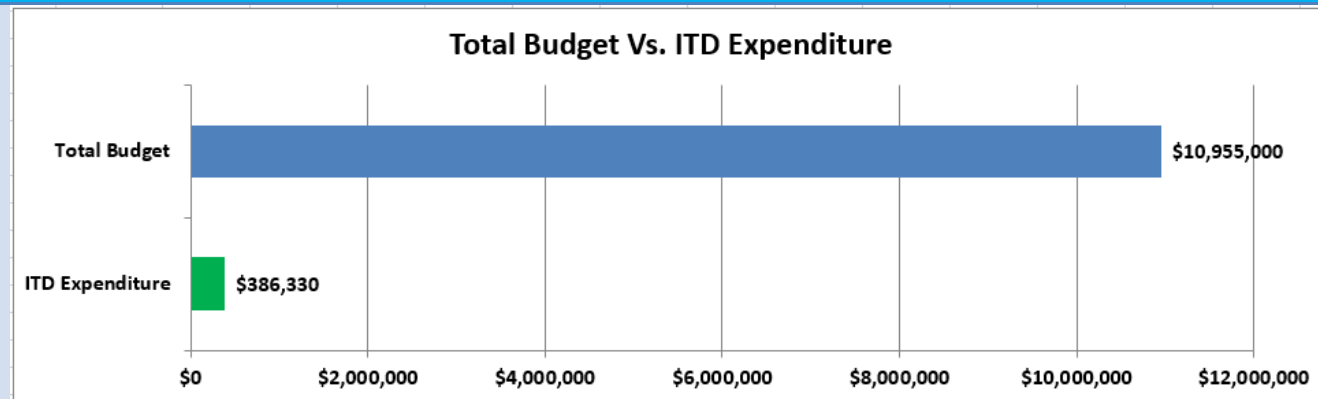


C. Total Budget vs. Inception to Date Expenditure, Project Timeline

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

Total Budget Vs. Inception to Date (ITD) Expenditure

Number of Observation, Risk, and Issues by Status



- Remaining Months: 11
- Completed Months: 8
- Percentage of Completed Months vs. Total Months: 42.11%
- Percentage of ITD Expenditure vs. Total Budget: 3.53%
- Remaining Budget Balance: \$10,568,670

Project Timeline

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

Go Live (indicated by a blue arrow pointing to the end of the Production phase in June 2022)


DOTH (indicated by a green box in the Deploy phase in October 2021)

H4 is in the Explore Phase. The Explore Phase has been extended one month and two weeks.

- 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: Organization Alignment, Knowledge Transfer, Build, Development, Unit Test, Integration Test
- Deploy Phase: Support Plan, Training Delivery, Cutover Plan, User Acceptance, Simulations, Go/No-Go Decision
- Production: Cutover, Go-Live, Hypercare Support, Transition to Operations, Project Closeout

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

A. Subject Category: Schedule Management

| Schedule Management: Observation, Risk, Issue and Feedback/Mitigation | |
|---|---|
| Issue | Impact |
| <p>ORI ID: I-210531-02</p> <p>The final Project Plan/Implementation Schedule has not been approved by DOTH and the deliverable is not completed. This is a foundational document for a project management and scheduling, and it is one of the most critical deliverables. Delay in the Project Plan and Implementation Schedule pose decreased confidence in being able to manage project resources efficiently and meet the final Go-Live date. Also, without the Project Plan and the Implementation Schedule DOTH has limited project visibility and it will impact schedule and resource management. It is currently unknown, at a detail level, if the number of resources are adequate to complete the project on schedule. Earlier versions of the Project Plan were not accepted partly because of oversubscribed resources and incorrect dates (i.e., one consultant or DOTH team member working more than 40 hours in a week, etc.)</p> |  |
| Feedback/Mitigation/ Updates | |
| <p>It is recommended that LSI complete Project Plan/Implementation Schedule as soon as possible.</p> <p>Project Plan/Implementation Schedule Submission History:</p> <p>11/16/2020: The initial project plan was submitted and returned back to LSI after DOTH review due to incompleteness.</p> <p>12/21/2020: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness.</p> <p>04/26/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness.</p> <p>06/14/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness.</p> <p>7/1/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness.</p> <p>8/4/2021: Updated project plan was submitted by LSI but DOTH requested a revision.</p> <p>9/02/2021: No updates have been submitted to DOTH. Revised Acceptance Date: 9/30/2021.</p> <p>9/16/2021: DOTH interviewed an assistant project manager candidate on 9/7/2021.</p> <p>9/30/2021: No updates have been submitted to DOTH.</p> <p>10/5/2021: LSI Assistant Project Manager submitted the revised project plan. DOTH has a meeting with the LSI Assistant Project Manager and requested a revision due to the project plan being incomplete.</p> <p>10/13/2021: LSI Assistant Project Manager submitted the revised project plan and DOTH will hold a review meeting on 10/22/2021.</p> <p>10/25/2021: DOTH had a meeting with the LSI Assistant Project Manager to review Project Plan/Implementation Schedule. Progress has been made, however some data such as the dates and % completion need to be corrected.</p> | |

| Schedule Management: Observation, Risk, Issue and Feedback/Mitigation | |
|--|---|
| Issue | Impact |
| ORI ID: I-210930-01 LSI extended the Explore Phase one month to complete the explore workshops and deliverables including Document Fit/Gap Analysis, Process Design Documents (PDD) (Documented Business Process Model), and Requirements Traceability Matrix. |  |
| Feedback/Mitigation/ Updates | |
| 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. | |

| Schedule Management: Observation, Risk, Issue and Feedback/Mitigation | |
|--|---|
| Risk | Impact |
| ORI ID: R-211028-01 The Go-Live date of 7/01/2022 may not be feasible due to: <ul style="list-style-type: none"> - 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) |  |
| Feedback/Mitigation/Updates | |
| It is recommended that: <ul style="list-style-type: none"> - 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 and the H4 Project Team should take proper action. | |

| Schedule Management: Observation, Risk, Issue and Feedback/Mitigation | |
|---|---|
| Issue | Impact |
| ORI ID: I-211028-10 The Project Management Plan was delayed and has not been completed. |  |
| Feedback/Mitigation/ Updates | |
| It is recommended that LSI complete the deliverable as soon as possible. | |

B. Subject Category: Resource Management

Resource Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210826-01**

According to LSI 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.

Feedback/Mitigation/Updates

It's recommended that LSI 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.

Resource Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-211014-03**

LSI 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.

**Feedback/Mitigation/Updates**

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.

Resource Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-211031-01**

There are turnovers in LSI project team members. Some team members need more time to understand information related to FHWA and DOT processes.

Feedback/Mitigation/Updates

LSI and DOTH should confirm that the consultants meet the qualifications as stated in the RFP, which includes FHWA experience and DOTH equivalent work experience.

C. Subject Category: Risk/Issue Management

Risk/Issue Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-211028-02**

Some items from issue log are being discussed without detailed resolution or follow-up.

Feedback/Mitigation/Updates

It is recommended that the issue log be reviewed and discussed in more detail with proper LSI resources and resolution should be discussed the PMO meeting. A separate meeting or inviting the proper LSI resource during the PMO meeting may be required.

D. Subject Category: External Impact Management

External Impact Management: Observation, Risk, Issue and Feedback/Mitigation**Risk****Impact****ORI ID: R-210812-01**

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 the statewide financial management system has not started yet and Go-Live date has not been determined either.

**Feedback/Mitigation/Updates**

It is recommended that additional meetings are scheduled for further discussion and clarification of the new UCOA including the latest UCOA contents, changes, updates, and confirm a crosswalk between the FAMIS account codes and the new UCOA.

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.

External Impact Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210708-02**

Feasibility of Inbound and outbound FAMIS interfaces need to be discussed with and confirmed by DAGS.

Feedback/Mitigation/Updates

It is recommended that DOTH and LSI 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: LSI and DOTH had a meeting with DAGS to discuss FAMIS interface.

E. Subject Category: Requirement Management (Processes, Requirements and Fit/Gap)**Requirement Management: Observation, Risk, Issue and Feedback/Mitigation****Issue****Impact****ORI ID: I-210722-01**

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.

**Feedback/Mitigation/Updates**

It is recommended that LSI 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.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210729-02**

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.

Feedback/Mitigation/Updates

9/2/2021: No major updates.

9/14/2021: LSI 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 LSI'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. LSI 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.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210729-03**

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.

Feedback/Mitigation/Updates

9/2/2021: No major updates.

9/14/2021: LSI 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 LSI'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. LSI 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.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210729-04**

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.

Feedback/Mitigation/Updates

9/2/2021: No major updates.

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.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210729-05**

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.

Feedback/Mitigation/Updates

9/2/2021: No major updates.

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.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210729-06**

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.

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

9/2/2021: No major updates.

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.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210729-07**

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.

Feedback/Mitigation/Updates

9/2/2021: No major updates.

9/20/2021: There was a FAMIS Interface discussion with ETS.

10/15/2021: Discussions are in progress. No major updates.

10/22/2021: LSI and DOTH had a meeting with DAGS to discuss FAMIS interface. Email correspondents were exchanged as follow-up.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210811-01**

New requirements are discussed in various explore workshops including Inventory, Plant Maintenance, HR, Grant Management, and payroll modules.

Feedback/Mitigation/Updates

Any new requirements discussed during the explore workshops should be documented and included in the Requirement Traceability Matrix.

If DOTH and LSI 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: LSI 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 LSI should ensure the implementation scope and requirements clarification are agreed upon. There may need to be additional discussions.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210811-02**

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.

Feedback/Mitigation/Updates

N/A
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.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-211014-01**

LSI provided information on available functionalities for Inventory and Plant Maintenance modules for DOTH to decide on the implementation scope.

Feedback/Mitigation/Updates

10/21/2021: DOTH requested that LSI consultants provide more details on how DOTH process will change and what the impact will be for better decision-making.


Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-211021-02**


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.


**Feedback/Mitigation/Updates**

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: LSI 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.

| Requirement Management: Observation, Risk, Issue and Feedback/Mitigation | |
|---|---|
| Issue | Impact |
| <p>ORI ID: I-211021-03</p> <p>It is difficult for DOTH users to understand and validate PDD because:</p> <ul style="list-style-type: none"> - 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. |  |
| Feedback/Mitigation/Updates | |
| <p>It is recommended that:</p> <ul style="list-style-type: none"> - LSI 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. | |

| Requirement Management: Observation, Risk, Issue and Feedback/Mitigation | |
|---|---|
| Issue | Impact |
| <p>ORI ID: I-211028-02</p> <p>The Requirements Traceability Matrix was delayed and has not been completed.</p> |  |
| Feedback/Mitigation/Updates | |
| It is recommended that LSI complete the deliverable as soon as possible. | |


| Requirement Management: Observation, Risk, Issue and Feedback/Mitigation | |
|---|---|
| Issue | Impact |
| <p>ORI ID: I-211028-04</p> <p>The Process Design Documents (PDD) (Documented Business Process Model) was delayed and has not been completed.</p> |  |
| Feedback/Mitigation/Updates | |
| It is recommended that LSI complete the deliverable as soon as possible. | |

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

| Issue | Impact |
|---|---|
| ORI ID: I-211028-02 The Document Fit/Gap Analysis was delayed and has not been completed. |  |
| Feedback/Mitigation/Updates | |
| It is recommended that LSI complete the deliverable as soon as possible. | |

F. Subject Category: Solution Design and Configuration

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


| Issue | Impact |
|--|---|
| ORI ID: I-211028-08 The Technical Infrastructure Plan/Design was delayed and has not been completed. |  |
| Feedback/Mitigation/Updates | |
| It is recommended that LSI complete the deliverable as soon as possible. | |

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

| Observation |
|--|
| ORI ID: O-211028-02 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. |
| Feedback/Mitigation/Updates |
| It is recommended that Project Design Document (PDD) include potential system/configuration solutions depending on DOTH's implementation scope decision. |

G. Subject Category: Interface and Integration

Interface and Integration: Observation, Risk, Issue and Feedback/Mitigation

| Issue | Impact |
|--|---|
| ORI ID: I-211021-01 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. |  |

Interface and Integration: Observation, Risk, Issue and Feedback/Mitigation**Feedback/Mitigation/ Updates**

10/25/2021: ETS informed that it may not be feasible to add absence transactions and balances according to H4 timeline.

10/29/2021: ETS informed that the option of "Existing Interfaces with Modifications" was approved, however the other option of "New Interfaces" was not approved.

Interface and Integration: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact**

ORI ID: I-211028-05

The Interface Plan was delayed and has not been completed.

**Feedback/Mitigation/ Updates**

It is recommended that LSI complete the deliverable as soon as possible.

H. Subject Category: Reports and Analytics

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

ORI ID: I-211028-01

The Analysis of Reporting Requirements was delayed and has not been completed.

**Feedback/Mitigation/ Updates**

It is recommended that LSI complete the deliverable as soon as possible.

I. Subject Category: Data Conversion

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

ORI ID: I-211028-06

The Data Conversion Plan was delayed and has not been completed.



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

It is recommended that LSI complete the deliverable as soon as possible.

J. Subject Category: Documentation

Documentation: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-211014-02**

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.

**Feedback/Mitigation/ Updates**

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: No updates.

10/31/2021: Action items for both LSI and DOTH should be logged with deadline and they need follow ups.

K. Subject Category: Training and Knowledge Transfer

Training and Knowledge Transfer: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-211028-03**

The End User Training Strategy was delayed and has not been completed.

**Feedback/Mitigation/Updates**

It is recommended that LSI complete the deliverable as soon as possible.

Training and Knowledge Transfer: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-211028-03**

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.

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

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 LSI in May 2021 was based on generic and high-level non-DOTH specific requirements without much detail, nor live system demo with exercises.

L. Subject Category: Production Migration

Production Migration: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-211028-07**

The Initial Deployment Plan was delayed and has not been completed.

**Feedback/Mitigation/ Updates**

It is recommended that LSI complete the deliverable as soon as possible.

IV. Meetings and Discussions Participated for the Month of October 2021

| Meetings and Discussions | | | |
|--------------------------|--------------|--|--|
| Meeting ID | Meeting Date | Meeting Title | Meeting Description |
| M211004-1 | 10/4/2021 | Accounts Receivable AR3 (Teams) | Explore workshop was held to discuss AR As-Is and requirements: SD Business Rule, Non-SD, AR Invoicing, Customer Master Business Rules, Account Management Business Rules. |
| M211005-1 | 10/5/2021 | Review AR/Cash Requirements | Explore workshop was held to review AR/Cash Requirements: |
| M211005-2 | 10/5/2021 | Grants (Non-FHWA) Sponsored CIP Projects | A meeting was held to discuss if there are any other Non-FHWA sponsored CIP projects existing in DOTH. |
| M211005-3 | 10/5/2021 | AS400 Decision Making | A demonstration meeting was held and LSI showed how SAP processes Work Orders and DMR. |
| M211006-1 | 10/6/2021 | DOTH and HIP Requirements (Teams) | Explore workshop was held to discuss two options of interfacing time sheet data to HIP. |
| M211006-2 | 10/6/2021 | Vender Master Data Playback | Explore workshop was held to review vendor master data and configuration decisions: vendor interface, process flow, vendor requirements, |
| M211006-3 | 10/6/2021 | HR/Payroll Reports | Explore workshop was held to review and discuss HR/Payroll/Time & Labor report requirements. |
| M211007-1 | 10/7/2021 | LSI Weekly Project Status Meeting | LSI Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M211007-2 | 10/7/2021 | Enterprise Structure document review walkthrough (Teams) | A meeting was held to review Enterprise Structure Design Document. |
| M211007-3 | 10/7/2021 | Review GL Mapping File | A meeting was held to map UCOA to FAMIS object/source codes. |
| M211007-4 | 10/7/2021 | Finance Master Data document review walkthrough (Teams) | A meeting was held to review Finance Master Data document: Fund, Budget Period, Cost Center, Internal Order/WBS, Functional Area, etc. |
| M211011-1 | 10/11/2021 | Reversion in SAP | Explore workshop was held to discuss DOTH quarterly budget reversion process. |
| M211011-2 | 10/11/2021 | HR Playback (Teams) | HR Playback was held to discuss and review: employee actions, sore employee master data, facilitate workflow, support time entry. |
| M211011-3 | 10/11/2021 | Payroll Interface | Explore workshop was held to discuss and review how Payroll is processed in HWYAC, FAMIS and HIP. |
| M211012-1 | 10/12/2021 | Time Playback | Explore workshop was held to review time entry requirements. |
| M211012-2 | 10/12/2021 | GM Design Discussion & Proposal for MVSO | Explore workshop was held to review and discuss MVSO process. |

| Meetings and Discussions | | | |
|--------------------------|--------------|---|---|
| Meeting ID | Meeting Date | Meeting Title | Meeting Description |
| M211012-3 | 10/12/2021 | Payroll Interface | Explore workshop was held to discuss and review how Payroll is processed in HWYAC, FAMIS and HIP. |
| M211013-1 | 10/13/2021 | Payroll Playback | Payroll Playback was held to see how the following data are processed: payroll from HIP, timesheets to HIP, payroll processing, payroll posting, etc. |
| M211013-2 | 10/13/2021 | Integrated Scenarios Playback (5th floor conf room) | Integrated scenario playback was held to see how SAP processes PRs, POs, Invoices, Payments, Timesheets, and GL. |
| M211014-1 | 10/14/2021 | LSI Weekly Project Status Meeting | LSI Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M211014-2 | 10/14/2021 | Vendor Master Data Playback (5th floor conf room) | Explore workshop was held to review: vendor creation, interface, vendor merge, vendor suffix number, pCard vendor. |
| M211015-1 | 10/15/2021 | AR Requirements | An internal meeting was held to discuss AR requirements. |
| M211018-1 | 10/18/2021 | Accounts Receivable AR4 (Teams) | Explore workshop was held to review AR requirements. |
| M211019-1 | 10/19/2021 | Orientation to SAP Support Website | A meeting was held to review how to utilize SAP Help Website. LSI demonstrated how to navigate, submit incident, and find answers in the SAP Support Website. |
| M211020-1 | 10/20/2021 | Time Playback 2 (5th Floor Conference Room) | Time Playback was held to review and discuss requirements and interface between SAP and HIP. |
| M211020-2 | 10/20/2021 | Meeting to Discuss AS400 | A meeting was held to discuss and find out how AS400 processes time sheets, TA, overtime, etc. |
| M211020-3 | 10/20/2021 | Review Purchase Requisition Process Design Document (Teams) | A meeting was held to review Purchase Requisition PDD. |
| M211021-1 | 10/21/2021 | LSI Weekly Project Status Meeting | LSI Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M211021-2 | 10/21/2021 | Meeting to Discuss Budget posting to SAP | An internal meeting was held to determine who will post A-19 budget to SAP. |
| M211021-3 | 10/21/2021 | HR PDD | An internal meeting was held to review HR PDD. |
| M211021-4 | 10/21/2021 | GM Playback | GM Payback was held for discussion and demo of Grant Management module. |
| M211022-1 | 10/22/2021 | Internal discussion of Process and Data Design deliverables (Teams) | An internal meeting was held to discuss how to review and validate PDD documents. |
| M211022-2 | 10/22/2021 | Interface Design Prep Meeting | A meeting was held to prepare for FAMIS discussion with DAGS. |
| M211022-3 | 10/22/2021 | H4 SAP Project | A meeting with DAGS was held to discuss FAMIS interface. |
| M211022-4 | 10/22/2021 | GM Playback | GM Payback was held for discussion and demo of Grant Management module. |
| M211025-1 | 10/25/2021 | Review updated project plan (Teams) | A meeting was held to discuss updated H4 project plan. |
| M211025-2 | 10/25/2021 | AR Playback | AR Playback meeting was held to discuss and review AR requirements and AR demo was conducted. |

Section: Meetings and Discussions Participated for the Month of October 2021

| Meetings and Discussions | | | |
|--------------------------|--------------|--|---|
| Meeting ID | Meeting Date | Meeting Title | Meeting Description |
| M211025-3 | 10/25/2021 | Project Systems Process Design walkthrough (5th floor conf room) | A meeting was held to review PDD Project System. |
| M211026-1 | 10/26/2021 | continued AR Playback (5th floor conf room) | AR Playback meeting was held to discuss and review AR requirements and AR demo was conducted. |
| M211026-2 | 10/26/2021 | Fixed Assets Process Design walk-through (5th floor conf room) | A meeting was held to review Fixed Asset PDD. |
| M211026-3 | 10/26/2021 | COA PDD | A meeting was held to review feedback of COA PDD. |
| M211027-1 | 10/27/2021 | Logistics PDD review (5th floor conf room) | A meeting was held to review Purchase Order PDD. |
| M211027-2 | 10/27/2021 | Integrated Scenarios Playback (5th floor conf room) | LSI team demonstrated SAP based on business scenarios: creating PR with asset shell, PO, Receipt, AP invoice, notification, work order, material cost, time sheet, labor generation, AR billing, etc. |
| M211028-1 | 10/28/2021 | LSI Weekly Project Status Meeting | LSI Weekly Project Status meeting was held to report project management status, key milestones, high-level activities, and deliverable status. |
| M211028-2 | 10/28/2021 | PO End of Fiscal Year Encumbrance | An internal DOTH meeting was held to discuss business impact of encumbering POs at the fiscal year end vs. at creation of POs. |
| M211028-3 | 10/28/2021 | Logistics PDD review (5th floor conf room) | A meeting was held to review Goods Receipt PDD. |
| M211029-1 | 10/29/2021 | Time management PDD review (Teams) | A meeting was held to review Time Management PDD. |

V. IV&V Deliverables, Reports and Meetings Completed






| IV&V Deliverables, Reports and Meetings Completed | | | | | |
|---|--|--|-------------------|-----------------|------|
| IV&V ID | IV&V Deliverable Name | LSI Deliverable Name | LSI 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 (June 2021) | N/A | N/A | 6/17/2021 | |
| IVV4.02 | Monthly Project Assessment Report (June 2021) | N/A | N/A | 7/11/2021 | |
| IVV3.03 | IV&V Mid-Month Assessment (July 2021) | N/A | N/A | 8/2/2021 | |
| IVV4.03 | Monthly Project Assessment Report (July 2021) | N/A | N/A | 8/13/2021 | |
| IVV3.04 | IV&V Mid-Month Assessment (Aug 2021) | N/A | N/A | 9/5/2021 | |
| IVV4.04 | Monthly Project Assessment Report (Aug 2021) | N/A | N/A | 9/21/2021 | |
| IVV3.05 | IV&V Mid-Month Assessment (Sep 2021) | N/A | N/A | 10/2/2021 | |
| IVV5.03 | Verification and Validation of Project Deliverables - Business Process Organizational Change Management (OCM) Plan | Business Process Organizational Change Management (OCM) Plan | Wave 1 / #12 | 10/6/2021 | |
| IVV5.05 | Verification and Validation of Project Deliverables - Communication Plan | Communication Plan | Wave 1 / #8 | 10/6/2021 | |
| IVV4.05 | Monthly Project Assessment Report (Sep 2021) | N/A | N/A | 10/9/2021 | |
| IVV3.06 | Mid-Month Assessment (Oct 2021) | N/A | N/A | 10/19/2021 | |
| IVV5.06 | Verification and Validation of Project Deliverables - Chart of Accounts Design | Chart of Accounts Design | Wave 1 / #11 | 10/25/2021 | |
| IVV5.08 | Verification and Validation of Project Deliverables - Enterprise Structure Design Documents | Enterprise Structure Design Documents | Wave 1 / #17 | 10/27/2021 | |
| IVV4.06 | Monthly Project Assessment Report (Oct 2021) | N/A | N/A | 11/8/2021 | |

VI. IV&V Deliverables, Reports and Meetings Planned To be Completed in Explore Phase

| IV&V Deliverables, Reports, Meetings Planned To Be Completed in Explorer Phase | | | | | |
|--|--|--|-------------------|-----------------------------|--|
| IV&V ID | IV&V Deliverable Name | LSI Deliverable Name | LSI Wave / Seq ID | Estimated / Submission Date | Note (10/31/2021) |
| IVV5.04 | Verification and Validation of Project Deliverables - Project Management Plan | Project Management Plan | Wave 1 / #3 | Nov 2021 | Some documents were submitted, and a revision was requested. |
| IVV5.07 | Verification and Validation of Project Deliverables - Master Data Design Documents | Master Data Design Documents | Wave 1 / #18 | 10/27/2021 | |
| IVV5.09 | Verification and Validation of Project Deliverables - Data Conversion Plan | Data Conversion Plan | Wave 1 / #22 | Nov 2021 | |
| IVV5.10 | Verification and Validation of Project Deliverables - Initial Deployment Plan | Initial Deployment Plan | Wave 1 / #23 | Nov 2021 | |
| IVV5.11 | Verification and Validation of Project Deliverables - Analysis of Reporting Requirements | Analysis of Reporting Requirements | Wave 1 / #15 | Nov 2021 | |
| IVV5.12 | Verification and Validation of Project Deliverables - Requirements Traceability Matrix | Requirements Traceability Matrix | Wave 1 / #16 | Nov 2021 | |
| IVV5.13 | Verification and Validation of Project Deliverables - End User Training Strategy | End User Training Strategy | Wave 1 / #19 | Nov 2021 | |
| IVV5.14 | Verification and Validation of Project Deliverables - Process Design Documents (PDD) (Documented Business Process Model) | Process Design Documents (PDD) (Documented Business Process Model) | Wave 1 / #20 | Nov 2021 | |
| IVV5.15 | Verification and Validation of Project Deliverables - Interface Plan | Interface Plan | Wave 1 / #21 | Nov 2021 | |
| IVV5.16 | Verification and Validation of Project Deliverables - Technical Infrastructure Plan/Design | Technical Infrastructure Plan/Design | Wave 1 / #24 | Nov 2021 | |
| IVV5.17 | Verification and Validation of Project Deliverables - Document Fit/Gap Analysis | Document Fit/Gap Analysis | Wave 1 / #25 | Nov 2021 | |

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 implementation team. |
| In Dispute | Observation, risk, or issue is not acknowledged or accepted by the implementation team. |
| Risk Accepted | Observation, risk, or issue is acknowledged or accepted by implementation team but is not being worked on now. |
| Closed | Observation, risk, or issue is closed. |

C. Subject Category Definition

| Subject | Subject Category | Description |
|--------------------|--|--|
| Project Management | Schedule Management | Identify and assess risks and issues that may impact the project completion schedule. This may include analysis of the scale and complexity required, work breakdown and assignments, and assessment of proper planning regarding scope, budget, resources, etc. |
| | Resource Management | Identify and assess risks and issues associated with allocating proper resources necessary to complete the project. |
| | Quality Management | Identify and assess risks and issues to quality, specifically software, functionality, testing, documents, etc. via implementation of internal and external measures and processes established to regulate quality level as needed. |
| | Risk/Issue Management | Identify and assess risks and issues to software and deliverables. This may include considering and/or implementing processes to identify, monitor, communicate regarding, and mitigate potential items that could negatively impact the project. |
| | Organization Change Management | Identify and assess risks and issues involved in implementing changes necessary to optimize benefits of the new system. This may include end-user education, business process flow, procedures, roles, responsibilities, technology, 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 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 LSI 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. |

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

D. Observation, Risk, and Issues List

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|------------------------------|---------------|---------------------------------|---------|--|--|-------------------|--------|--------|-------------|--|--|----------------------|------------|------------------|----------|
| ORI ID | Type | LSI 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. | DOH/LSI | 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 DOH preparing for Fiscal Year end and LSI 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 LSI 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 DOH until he left LSI. | LSI | Closed | N/A | N/A | PMO and IV&V should check and monitor if there's a smooth transition in roles and responsibility of LSI PM. | | 5/31/2021 | 5/31/2021 | | |
| O-210429-01 | Observation | M210429-1 | 4/29/2021 | Resource Management | N/A | In progress of identifying LSI Organization Change Management Lead | LSI is currently trying to secure an Organization Change Management Lead personnel. | LSI | Closed | N/A | N/A | PMO and IV&V should check and monitor to ensure LSI 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 LSI project plan | LSI is currently updating project plan with correct date and resource assignment. "Updated Project Plan and Implementation Schedule" was returned to LSI for more completed document with updates to dates and resource assignment, etc. | LSI | Closed | N/A | N/A | PMO and IV&V should check and monitor LSI project plan updates. | 5/14/2021: IV&V Mid Month Meeting: IV&V and DOH 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. | LSI | 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 DOH 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). | DOH/LSI | Closed | N/A | N/A | There needs to be a process in place where participants are monitored for questions or issues during training. There may need some general training for MS teams presentation (including meeting settings setup, monitoring participants, sharing screen, muting/unmuting participants) usage. | | 5/31/2021 | 5/31/2021 | | |
| O-210505-03 | Observation | M210505-1 | 5/5/2021 | Resource Management | PG | Retirement of HYWAC Resource in Dec 2021 | A key DOH personnel, Chuck for HYWAC will retire in Dec 2021. | DOH | Closed | N/A | N/A | DOH should ensure to have a proper knowledge transfer and transition to his successor. DOH already hired another employee and she's getting trained and prepared to be responsible for HYWAC maintenance and support. | | 5/31/2021 | 5/31/2021 | | |
| O-210512-01 | Observation | M210512-2 | 5/12/2021 | Training and Knowledge Transfer | N/A | Generic Training without focus of DOH requirements | Project Team Training were conducted by LSI based on generic functionalities of SAP. However, LSI's proposal stated "Functional project team training will take place as a Explore activity, and will be delivered by LSI 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 DOH's system functionality as delivered" | LSI | Closed | N/A | N/A | LSI project manager stated that there would be more Discovery Workshop that will review and discuss DOH's specific requirements and learn how SAP's functionalities will meet DOH'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 LSI Payroll/HR/Time & Attendance Lead | LSI is currently trying to secure a LSI Payroll/HR/Time & Attendance Lead. | LSI | 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 LSI 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 LSI. | Project Team Training (LSI Wave1/Seq ID: 9) was started without Project Team Training Plan Document submitted to DOH (LSI Wave1/Seq ID: 10). | LSI | Closed | N/A | N/A | PMO and IV&V should check and monitor to ensure LSI delivers Team Training Plan Document (LSI Wave1/Seq ID: 10). | DOH and LSI agreed to skip the training plan since LSI 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 | DOH project team members stated that during the SAP project team training (Introduction to SAP), DOH project team members had difficulty understanding SAP's terminology and relating SAP's terminology and standard functions to DOH's requirements. The introduction to SAP training was mostly centered around SAP standard functionality and did not strongly correlate to DOH's requirements. | DOH/LSI | Closed | N/A | N/A | LSI consultants need to learn and be more familiar with DOH's business requirements along with DOH's terminology and processes as listed in RFP and LSI's proposal. Also DOH project team members should learn and be more familiar with SAP terminologies as well. LSI should start to dive into DOH's requirements and conduct the training with DOH's specific requirements, not only generic SAP standard functions. Cross reference of terminology (SAP & DOH terminology glossary) would help DOH project team members to understand how SAP functionality will work for DOH's requirements. | | 5/31/2021 | 5/31/2021 | | |

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|------------------------------|---------------|---------------------|---------|--|---|-------------------|-------------|--------|-------------|---|---|----------------------|------------|------------------|-------------------------------------|
| ORI ID | Type | LSI 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-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/LSI | Closed | N/A | N/A | LSI 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. | LSI | Closed | N/A | N/A | It is recommended that LSI 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. LSI stated that it will be available after Development environment is installed. 9/8/2021: LSI 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. | LSI | Closed | Low | N/A | LSI 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 LSI: - 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 |
| I-210531-02 | Issue | M210527-1 | 5/31/2021 | Schedule Management | N/A | 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. | LSI | In Progress | High | N/A | LSI should complete Project Plan/Implementation Schedule as soon as possible. | 6/3/2021: The New Target Date for Project Plan/Implementation Schedule is set to 6/11/21 by LSI. 6/14/2021: Updated project plan was submitted by LSI but returned back to LSI due to incompleteness. 7/1/2021: It is currently unknown, at a detail level, if the number of resources are adequate to complete the project on schedule. Earlier versions of the Project Plan were not accepted partly because of oversubscribed resources and incorrect dates (i.e. one consultant or DOTH team member working more than 40 hours in a week, etc.) - 11/16/2020: The initial project plan was submitted and returned back to LSI after DOTH review due to incompleteness. - 12/21/2020: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. - 4/26/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. - 6/14/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. - 7/1/2021: Updated project plan was submitted by LSI but returned back to LSI 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: LSI Assistant Project Manager submitted the revised project plan. DOTH has a meeting with the LSI | 10/31/2021 | | | |
| O-210610-01 | Observation | M210610-1 | 6/10/2021 | Schedule Management | N/A | Explore Workshop Schedule | The Explore As-is on-site workshops are scheduled for three hours each to cover one or two business areas. These sessions might not be enough time for thorough review and discussion. No on-site or off-site sessions are scheduled for Thursday afternoons and Fridays even though DOTH staff is available and contractors are expected to be available for work during DOTH business hours. | LSI | Closed | N/A | N/A | LSI and DOTH should facilitate and run workshops effectively to cover all the processes with sufficient details within the allotted time. LSI 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. | LSI | 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 LSI should be cognizant of DOTH's busy times when scheduling the DOTH time consuming tasks. | | 7/31/2021 | 7/31/2021 | | |

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|---------------------------------|---------------|--|---------|-------------------------------------|--|-------------------|--------|--------|-------------|--|--|----------------------|-------------|------------------|--|
| ORI ID | Type | LSI 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-210610-03 | Observation | M210610-1 | 6/10/2021 | Solution Design and Configuration | N/A | VPN Connection | VPN connection between LSI 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. | LSI | 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. | LSI | Closed | N/A | N/A | N/A | | 7/31/2021 | 7/31/2021 | | |
| I-210615-01 | Issue | DOTH FMS Change Request Form #1 | 6/15/2021 | Schedule Management | N/A | Delay in Deliverables | LSI 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 | LSI | Closed | Low | N/A | It is recommended that LSI 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 LSI agreed to skip the Project Team Training Plan on 5/15/2021 since LSI already conducted the Project Team Training without Project Team Training Plan. However, LSI decided to work on Project Team Training Plan Document (LSI Wave1/Seq ID: 10) and submit to DOTH by June 2021 for review. | LSI | Closed | N/A | N/A | PMO and IV&V should check and monitor to ensure LSI delivers Project Team Training Plan Document (LSI 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 LSI consultants may have different levels of expertise and understanding of their respective responsible business areas and general government sector requirements. | LSI | Closed | N/A | N/A | LSI 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 LSI 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/LSI | Closed | N/A | N/A | Both DOTH and LSI 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 LSI 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. |

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|---------------------------------|---------------|--|---------|---|--|-------------------|-------------|--------|-------------|--|--|----------------------|------------|--------------------------|-------------------------------------|
| ORI ID | Type | LSI 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-210630-01 | Issue | DOTH FMS Change Request Form #2 | 6/30/2021 | Schedule Management | N/A | Delay in Deliverables | LSI 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 | LSI | Closed | Low | N/A | LSI 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 LSI on 7/20/2021 and being reviewed by DOTH. #18 Project RACI Strategy: Submitted by LSI on 7/7/2021 and returned to LSI with comments. #24 Workflow Strategy: Submitted by LSI on 7/7/2021 and returned to LSI with comments. #25 Reporting Strategy: Submitted by LSI on 7/7/2021 and returned to LSI with comments. #26 Integration Strategy: TBD. #27 Conversion Strategy: Submitted by LSI on 7/20/2021 and being reviewed by DOTH. #28 Enhancement Strategy: Submitted by LSI on 7/7/2021 and returned to LSI with comments. #29 Form Strategy: Submitted by LSI on 7/7/2021 and returned to LSI 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 LSI Fund Management Consultant | Fund Management consultant left LSI and LSI brought on a new consultant to DOTH FMS project team. | LSI | 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/LSI | Closed | N/A | N/A | It is recommended that DOTH and LSI 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 |
| 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/LSI | In Progress | 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. | 10/31/2021 | | | |
| 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/LSI | In Progress | N/A | N/A | It is recommended that DOTH and LSI 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: LSI and DOTH had a meeting with DAGS to discuss FAMIS interface. | 10/31/2021 | | | |
| 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. | LSI | In Progress | Low | N/A | It is recommended that LSI 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. | 10/31/2021 | | | |
| I-210722-02 | Issue | M210722-1 | 7/22/2021 | Resource Management | N/A | LSI Consultants On-Site | LSI core team consultants are currently on-site less than 20%, less than one week per month during Explore Phase, whereas the contract states LSI consultants are supposed to be on-site more than 60%. LSI acknowledged the issue and is taking action for more on-site availability. | LSI | Closed | Low | N/A | N/A | 9/2/2021: LSI 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 LSI identified a replacement resource who will join the project soon. | LSI | Closed | N/A | N/A | N/A | 9/2/2021: LSI identified an assistant project manger and is in the process of hiring him. | 9/2/2021 | 9/2/2021 | | |

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|------------------------------|---------------|--|---------|--|---|-------------------|-------------|--------|-------------|--|--|----------------------|------------|------------------|----------|
| ORI ID | Type | LSI 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-210729-08 | 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. | LSI | Closed | Low | Low | It is recommended that DOTH discuss with LSI 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 LSI 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 | 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 | DOTH/LSI | Closed | N/A | N/A | It is recommended that DOTH discuss with LSI 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 LSI need to make a decision on which functions/features will be implemented to meet DOTH | 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/LSI | In Progress | N/A | N/A | N/A | 9/2/2021: No updates were reported to DOTH. 9/14/2021: LSI 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 LSI'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. LSI 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. | 10/31/2021 | | | |
| 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/LSI | In Progress | N/A | N/A | N/A | 9/2/2021:No updates were reported to DOTH. 9/14/2021: LSI 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 LSI'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. LSI 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. | 10/31/2021 | | | |
| 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/LSI | In Progress | 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. | 10/31/2021 | | | |
| 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/LSI | In Progress | 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. | 10/31/2021 | | | |
| 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/LSI | In Progress | 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. | 10/31/2021 | | | |
| 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/LSI | In Progress | 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: LSI and DOTH had a meeting with DAGS to discuss FAMIS interface. Email correspondents were exchanged as follows: | 10/31/2021 | | | |

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|------------------------------|---------------|--|---------|--|--|--------------------|-------------|--------|--------------|--|--|----------------------|------------|--------------------------|----------|
| ORI ID | Type | LSI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsibl e Party | Status | Impact | Probabili ty | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
| 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/LSI | Closed | N/A | N/A | LSI 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 LSI and DOTH, prevent possible rework of solution design and configuration, and assist budget preparation and execution to have seamless integration. | 9/2/2021:LSI 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 LSI and DOTH revisit the schedule to coordinate a simultaneous go-live. 9/30/2021: LSI 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 | | | |
| 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/LSI | In Dispute | 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 LSI 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: LSI 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 LSI should ensure the implementation scope and requirements clarification are agreed upon. There may need to be additional discussions. | 10/31/2021 | | | |
| 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/LSI | 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 LSI 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. | LSI | In Progress | N/A | N/A | It's recommended that LSI 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. | 10/31/2021 | | | |
| 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. | LSI | Closed | N/A | N/A | It is recommended that LSI 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 LSI 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. | LSI | 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 | | 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/LSI | 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 | | | |
| 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. | LSI | 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: LSI provided access to SAP Sandbox. | 9/30/2021 | 9/30/2021 | | |
| O-210902-03 | Observation | M210826-1 | 9/2/2021 | Resource Management | N/A | Replacement of Billing Consultant | LSI FHWA Billing Consultant is leaving the DOTH FMS project on 9/3/2021. | LSI | Closed | N/A | N/A | It's recommended that LSI 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 | | | |
| 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. | LSI | 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: LSI and DOTH agreed that Playback will be conducted based on the DOTH business scenarios. 10/13/2021: LSI 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 LSI 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. | LSI | Closed | N/A | N/A | It is recommended that LSI 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. 10/19/2021: An orientation to SAP web Support meeting was held. | 10/31/2021 | | | |

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|------------------------------|---------------|--|---------|-----------------------------------|---|-------------------|-------------|--------|-------------|---|--|----------------------|------------|------------------|----------|
| ORI ID | Type | LSI Deliverable / ORI Source | Creation Date | Subject Area | Modules | Summary | Description | Responsible Party | Status | Impact | Probability | Feedback / Mitigation | Updates | Review / Target Date | Close Date | Reference ID/Doc | Comments |
| I-210930-01 | Issue | M210929-2 | 9/30/2021 | Schedule Management | N/A | Extension of Explore Phase | LSI extended the Explore Phase one month to complete the explore workshops and deliverables including Document Fit/Gap Analysis, Process Design Documents (PDD) (Documented Business Process Model), and Requirements Traceability Matrix. | DOH/LSI | In Progress | Medium | 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. | 10/31/2021 | | | |
| I-211014-01 | Issue | M211013-2 | 10/14/2021 | Training and Knowledge Transfer | N/A | Training | LSI 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. | LSI | Closed | Medium | N/A | It is recommended that LSI 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: LSI project manager stated that there won't be any more project team trainings scheduled. DOTH requested one-on-one training with LSI consultants on ad-hoc basis and LSI 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 | LSI provided information on available functionalities for Inventory and Plant Maintenance modules for DOTH to decide on the implementation scope. | DOH | In Progress | N/A | N/A | DOH 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 LSI consultants provide more details on how DOTH process will change and what the impact will be for better decision-making. | 10/31/2021 | | | |
| O-211014-02 | Observation | M211014-1 | 10/14/2021 | Solution Design and Configuration | GM | Implementation Scope | DOH supplied LSI with full business cycle information on MVSO processes to confirm if GM module fits DOTH needs. | LSI | Closed | N/A | N/A | It is recommended that LSI provide input on the implementation scope of GM module or if an alternative solution is needed. | 10/22/2021: LSI 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. | LSI | Open | Low | 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 LSI and DOTH should be logged with deadline and they need follow ups. | 10/31/2021 | | | |
| I-211014-03 | Issue | M211014-1 | 10/14/2021 | Resource Management | N/A | Replacement of LSI Financial Lead | LSI 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. | LSI | Open | 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. | 10/31/2021 | | | |
| 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. | LSI | Open | Medium | N/A | N/A | 10/25/2021: ETS informed that it may not be feasible to add absence transactions and balances according to H4 timeline. 10/29/2021: ETS informed that the option of "Existing Interfaces with Modifications" was approved, however the other option of "New interfaces" was not approved. | 10/31/2021 | | | |
| 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. | LSI | In Dispute | 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: LSI 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. | 10/31/2021 | | | |
| I-211021-03 | Issue | M211021-4 | 10/21/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | 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. | LSI | Open | Medium | N/A | It is recommended that: - LSI 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. | | 10/31/2021 | | | |
| R-211028-01 | Risk | M211028-1 | 10/28/2021 | Schedule Management | N/A | 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) | LSI | Open | Medium | N/A | 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. | 10/31/2021 | | | | |
| I-211028-01 | Issue | M211028-1 | 10/28/2021 | Reports and Analytics | N/A | Delay in Deliverables | The Analysis of Reporting Requirements was delayed and has not been completed. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| I-211028-02 | Issue | M211028-1 | 10/28/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Delay in Deliverables | The Requirements Traceability Matrix was delayed and has not been completed. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| 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. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| 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. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| 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. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |

| Observation, Risk and Issues (ORI) 10/31/2021 | | | | | | | | | | | | | | | | | |
|---|-------------|------------------------------|---------------|--|---------|------------------------|--|-------------------|-------------|--------|-------------|--|---------|----------------------|------------|------------------|----------|
| ORI ID | Type | LSI 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-211028-06 | Issue | M211028-1 | 10/28/2021 | Data Conversion | N/A | Delay in Deliverables | The Data Conversion Plan was delayed and has not been completed. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| I-211028-07 | Issue | M211028-1 | 10/28/2021 | Production Migration | N/A | Delay in Deliverables | The Initial Deployment Plan was delayed and has not been completed. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| I-211028-08 | Issue | M211028-1 | 10/28/2021 | Solution Design and Configuration | N/A | Delay in Deliverables | The Technical Infrastructure Plan/Design was delayed and has not been completed. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| I-211028-09 | Issue | M211028-1 | 10/28/2021 | Requirement Management (Processes, Requirements and Fit/Gap) | N/A | Delay in Deliverables | The Document Fit/Gap Analysis was delayed and has not been completed. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| 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. | LSI | In Progress | Low | N/A | It is recommended that LSI complete the deliverable as soon as possible. | | 10/31/2021 | | | |
| 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/LSI | Open | N/A | N/A | It is recommended that Project Design Document (PDD) include potential system/configuration solutions depending on DOTH's implementation scope decision. | | 10/31/2021 | | | |
| 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/LSI | Open | N/A | N/A | It is recommended that the issue log be reviewed and discussed in more detail with proper LSI resources and resolution should be discussed the PMO meeting. A separate meeting or inviting the proper LSI resource during the PMO meeting may be required. | | 10/31/2021 | | | |
| 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/LSI | Open | 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 LSI in May 2021 was based on generic and high-level non-DOTH specific requirements without much detail, nor live system demo with exercises. | | 10/31/2021 | | | |
| O-211031-01 | Observation | M211028-1 | 10/31/2021 | Resource Management | N/A | Resource Qualification | There are turnovers in LSI project team members. Some team members need more time to understand information related to FHWA and DOT processes. | DOTH/LSI | Open | N/A | N/A | LSI and DOTH should confirm that the consultants meet the qualifications as stated in the RFP, which includes FHWA experience and DOTH equivalent work experience. | | 10/31/2021 | | | |