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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.

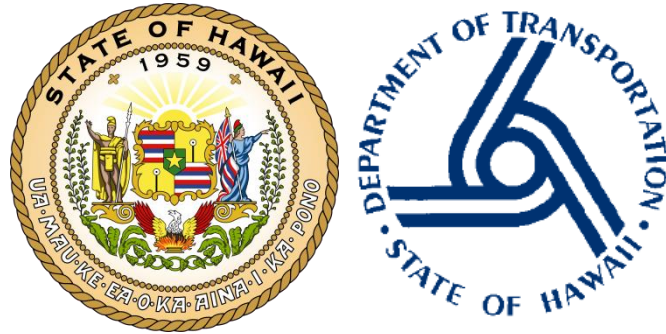
In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

Sincerely,


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

DOUGLAS MURDOCK
Chief Information Officer
State of Hawai'i

Attachment (1)



Monthly Project Assessment Report – September 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 03, 2021
Last Updated: October 13, 2021
Version: Final v1

Version History

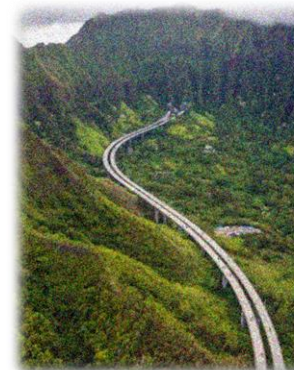
Version Number	Updated By	Revision Date	Description of Change
Final v1	IV&V Project Team	10/13/2021	

Table of Contents

I. Introduction and Summary	4
II. IV&V Dashboard	5
A. Subject Category	5
B. Observation, Risk, Issues, Subject Category	6
C. Total Budget vs. Inception to Date Expenditure, Project Timeline	7
III. IV&V Findings – Observations, Risk, Issue and Feedback/Mitigation	8
A. Subject Category: Schedule Management	8
B. Subject Category: Quality Management	11
C. Subject Category: Requirement Management (Processes, Requirements and Fit/Gap)	12
D. Subject Category: External Impact Management	16
E. Subject Category: Resource Management	17
IV. Meetings and Discussions Participated for the Month of September 2021	19
V. IV&V Deliverables, Reports and Meetings Completed	22
VI. IV&V Deliverables, Reports and Meetings Planned To be Completed in Explore Phase	23
VII. Appendix	25
A. Impact Definition	25
B. Status Definition	25
C. Subject Category Definition	26
D. Observation, Risk and Issues List	28

I. Introduction and Summary

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.

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.

A Monthly Project Assessment IV&V Report of September 2021 was submitted on 10/13/2021 for implementation team's review. The Monthly Project Assessment IV&V Report is to document and monitor IV&V observations, risks, issues, achievements for the month, deliverables to review for the month, as well as the next period activities, and to share overall project status with the project stakeholders and the implementation team. The DOTH FMS Project continued the Explore Phase which is to validate the DOTH's business processes and focus on Fit/Gap Analysis to the SAP solution. The Explore Phase started on 6/01/2021 and was expected to be completed on 9/30/2021, however it was extended to 10/31/2021 as more workshops were needed to discuss workflows and requirements. There have been more than 40 workshops held to discuss and review As-Is, To-Be, SAP functions, solutions, and DOTH requirements in September 2021. There have also been changes in LSI resources i.e. the replacement LSI FHWA billing consultant is identified, and the new assistant project manager is on board as of this report date. Many deliverables are still outstanding that puts pressure on the project schedule. These include deliverables planned during the current Explore phase and also deliverables that were postponed from the Prepare phase to the current Explore phase. Core critical requirements need more attention, however they are not receiving as much attention as other areas that are not considered core critical requirements. Inventory, Plant Maintenance and Payroll need more discussion and decision making on the implementation scope.

II. IV&V Dashboard

A. Subject Category

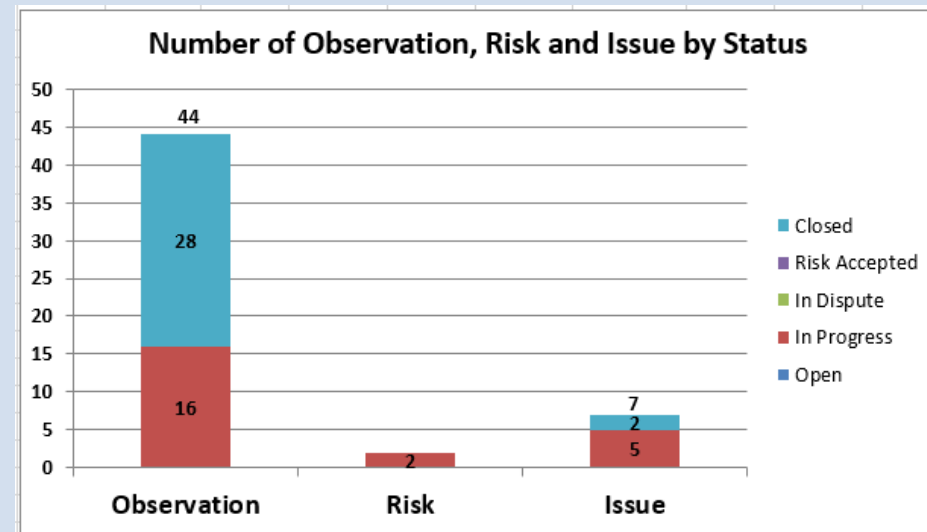
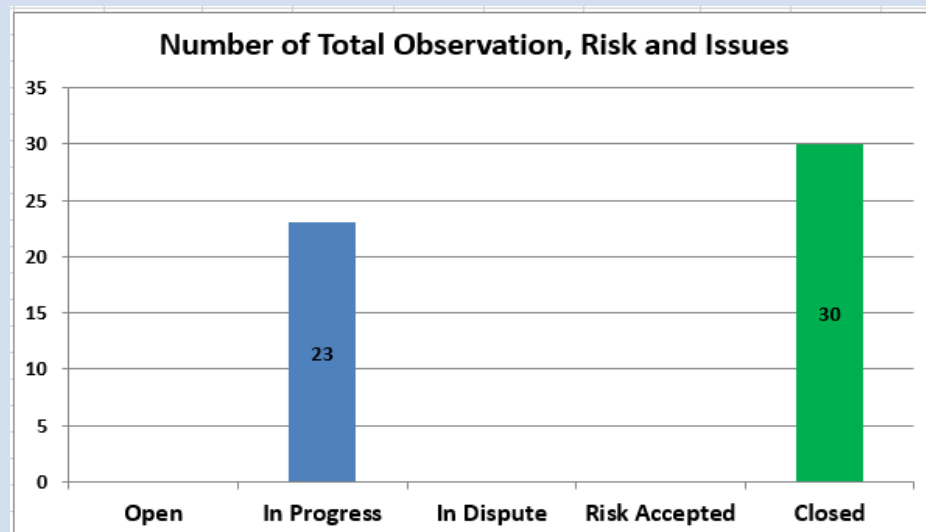
IV&V Dashboard – Subject Category			
Subject Area	Subject Category	Impact	
		Previous Month	Current Month
Project Management	Risk/Issue Management		
	Communication Management		
	Resource Management		
	Quality Management		
	Schedule Management		
	Organization Change Management		
	Contract Management	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

B. Observation, Risk, Issues, Subject Category

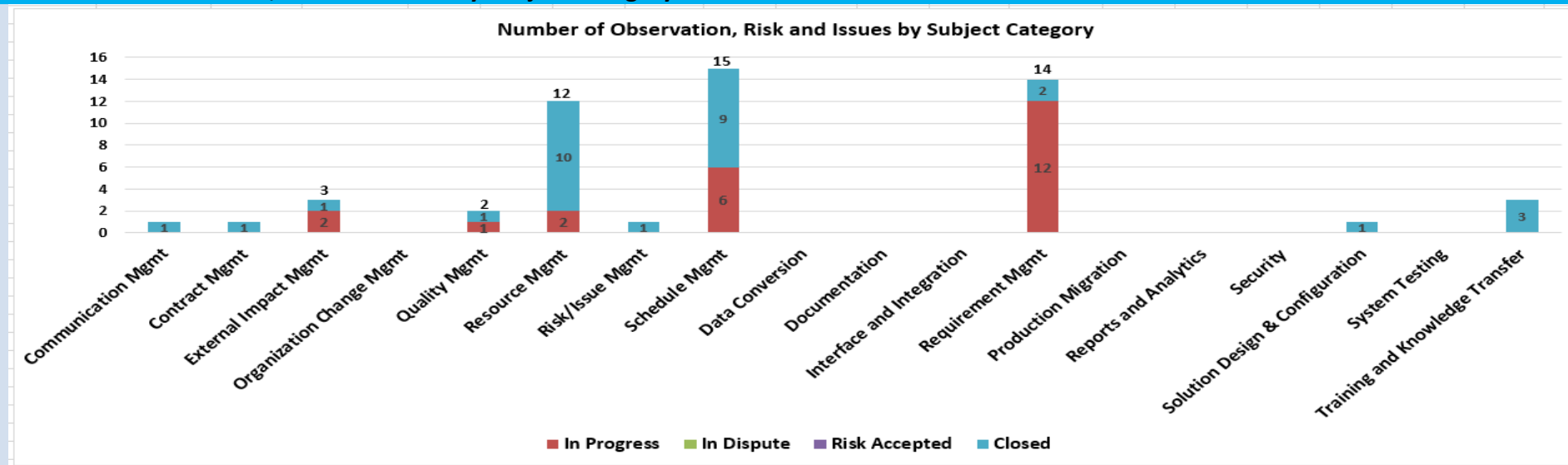
IV&V Dashboard – Observation, Risk, Issues, Subject Category

Number of Total Observation, Risk and Issues

Number of Observation, Risk and Issues by Status



Number of Observation, Risk and Issues by Subject Category

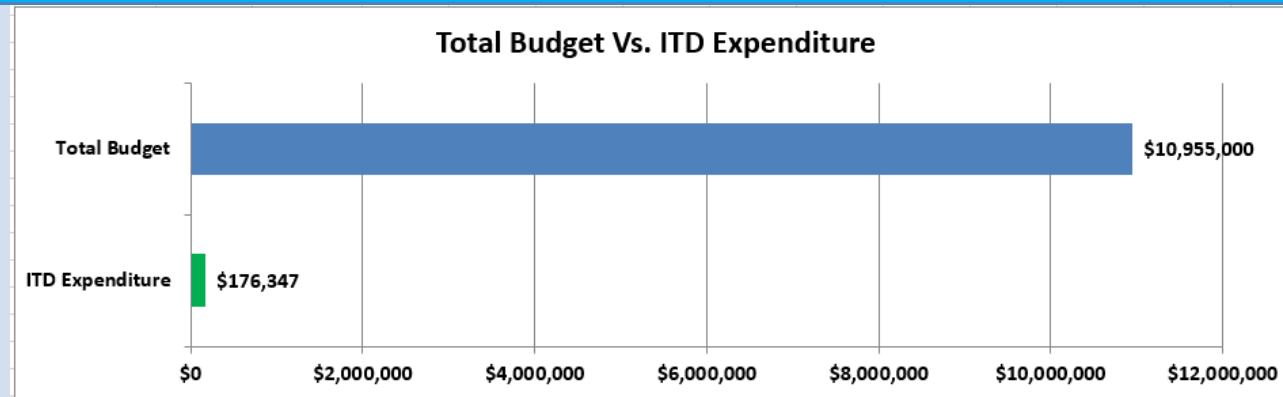


C. Total Budget vs. Inception to Date Expenditure, Project Timeline

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

Total Budget Vs. Inception to Date (ITD) Expenditure

Number of Observation, Risk and Issues by Status



- Remaining Months: 12
- Completed Months: 7
- Percentage of Completed Months vs. Total Months: 36.84%
- Percentage of ITD Expenditure vs. Total Budget: 1.61%
- Remaining Budget Balance: \$10,778,653

Project Timeline

DOT 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 timeline)

DOT (indicated by a green box in the Deploy phase)

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

- 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

Observation

ORI ID: O-210902-01

There were few or no meetings occurred on Fridays despite Friday is still a workday for DOTH.

Feedback/Mitigation/Updates

Fridays could be utilized for meetings and discussions.

9/30/2021: There have been occasional meetings on Fridays.

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

Issue

Impact

ORI ID: I-210531-02

The final Project Plan/Implementation Schedule has not been approved by DOTH and the deliverable is not completed. This is a foundational document for a project management and scheduling, and it is one of the most critical deliverables. Delay in the Project Plan and Implementation Schedule pose decreased confidence in being able to manage project resources efficiently and meet the final Go-Live date. Also, without the Project Plan and the Implementation Schedule DOTH has limited project visibility and it will impact schedule and resource management. 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.)



Feedback/Mitigation/ Updates

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

Project Plan/Implementation Schedule Submission History:

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.

04/26/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness.

06/14/2021: 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.


8/4/2021: Updated project plan was submitted by LSI but DOTH requested a revision.

9/02/2021: No updates have been submitted to DOTH. Revised Acceptance Date: 9/30/2021.

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

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

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation									
Issue	Impact								
<p>ORI ID: I-210615-01</p> <p>LSI requested a change request and DOTH approved it. The completion of following deliverables will be delayed until the Explore Phase.</p> <ul style="list-style-type: none"> #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 									
Feedback/Mitigation/Updates									
<p>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. This issue primarily impacts Schedule Management, however the issue is due to resource constraint and turnover.</p> <p>9/02/2021: Updates/Estimated Delivery Dates:</p> <table border="0"> <tr> <td>#3 Project Management Plan: 9/30/2021</td><td>#7 Updated Project Plan and Implementation Schedule: 9/30/2021</td></tr> <tr> <td>#8 Communication Plan: 9/30/2021</td><td>#9 Project Team Training Plan: 9/30/2021</td></tr> <tr> <td>#10 Project Team Training: 9/30/2021</td><td>#11 Chart of Accounts Design: 9/30/2021</td></tr> <tr> <td colspan="2">#12 Business Process Organization Change Management (OCM) Plan: Submitted on 8/5/2021 and a revision was requested. 9/30/2021</td></tr> </table> <p>9/2/2021: No changes.</p> <p>9/16/2021: No changes.</p> <p>9/30/2021: Communication Plan and Business Process Organization Change Management (OCM) Plan were submitted and approved by DOTH. No changes to other documents and the estimated delivery dates are 10/31/2021.</p>		#3 Project Management Plan: 9/30/2021	#7 Updated Project Plan and Implementation Schedule: 9/30/2021	#8 Communication Plan: 9/30/2021	#9 Project Team Training Plan: 9/30/2021	#10 Project Team Training: 9/30/2021	#11 Chart of Accounts Design: 9/30/2021	#12 Business Process Organization Change Management (OCM) Plan: Submitted on 8/5/2021 and a revision was requested. 9/30/2021	
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#10 Project Team Training: 9/30/2021	#11 Chart of Accounts Design: 9/30/2021								
#12 Business Process Organization Change Management (OCM) Plan: Submitted on 8/5/2021 and a revision was requested. 9/30/2021									

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
<p>ORI ID: I-210630-01</p> <p>LSI requested a second change request and DOTH approved it. The completion of following deliverables will be delayed until the Explore Phase.</p> <ul style="list-style-type: none"> #17 Quality Assurance and Testing Strategy #18 Project RACI Strategy #24 Workflow Strategy #25 Reporting Strategy 	

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

#26 Integration Strategy	#27 Conversion Strategy
#28 Enhancement Strategy	#29 Form Strategy
#40 RTMs mapped to Workshops / SAP Modules	#53 Preliminary WRICEF Inventory

Feedback/Mitigation/Updates

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. This issue primarily impacts Schedule Management, however the issue is due to resource constraint and turnover.

9/02/2021 Updates/Estimated Delivery Dates:

- #17 Quality Assurance and Testing Strategy: LSI submitted on 7/20/2021 and DOTH requested a revision.
- #18 Project RACI Strategy: LSI submitted on 7/7/2021 and 8/4/2021 and DOTH returned with comments.
- #24 Workflow Strategy: LSI submitted on 7/7/2021 and DOTH returned with comments. LSI accepted DOTH comments on 7/30/2021 and submitted to DOTH for further review and correction. DOTH requested a revision.
- #25 Reporting Strategy: LSI submitted on 7/7/2021 and DOTH returned with comments. LSI accepted DOTH comments on 7/30/2021 and submitted to DOTH for further review and correction. DOTH requested a revision.
- #26 Integration Strategy: TBD.
- #27 Conversion Strategy: LSI submitted on 7/20/2021 and DOTH requested a revision.
- #28 Enhancement Strategy: LSI submitted on 7/7/2021 and DOTH returned with comments. LSI accepted DOTH comments on 7/30/2021 and submitted to DOTH for further review and correction. DOTH requested a revision.
- #29 Form Strategy: LSI submitted on 7/7/2021 and DOTH returned with comments. LSI accepted DOTH comments on 7/30/2021 and submitted to DOTH for further review and correction. DOTH requested a revision.
- #40 RTMs mapped to Workshops / SAP Modules: TBD
- #53 Preliminary WRICEF Inventory: TBD


Other Strategy Documents:


- Scope Management Strategy: LSI submitted on 7/7/2021 and DOTH returned with comments. LSI accepted DOTH comments on 7/30/2021 and submitted to DOTH for further review and correction. DOTH requested a revision.
- Interface Strategy: LSI submitted on 7/20/2021 and DOTH requested a revision.
- Project Standards Strategy: LSI submitted on 7/7/2021 and DOTH returned with comments. LSI accepted DOTH comments on 7/30/2021 and submitted to DOTH and DOTH returned for further correction.

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.

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.	

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation	
Risk	Impact
ORI ID: R-210902-01 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.	
Feedback/Mitigation/Updates	
N/A 9/30/2021: Communication Plan and Organizational Change Management (OCM) Plan deliverables have been submitted and approved. No changes with other documents.	

B. Subject Category: Quality Management

Quality Management: Observation, Risk, Issue and Feedback/Mitigation	
Observation	
ORI ID: O-210923-01 DOTH has given access to SAP Support Website. However, no instructions were provided on how to navigate and use the site.	
Feedback/Mitigation/Updates	
It is recommended that LSI provide an instruction of how to navigate and utilize the SAP Support Website.	

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

Requirement Management : Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210729-01**

Some requirements may be directly or indirectly related to Inventory, Payroll, and Plant Maintenance modules. However, many typical core requirements of these modules (Inventory, Payroll, and Plant Maintenance) were not included in the scope of DOTH RFP requirements.

Feedback/Mitigation/Updates

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 requirements.

9/30/2021: LSI presented Pros and Cons of implementing Plant Maintenance modules vs. keeping AS400.

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.

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.

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.

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.

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.

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.

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.

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.

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-210826-02**

A high-level solution design is being developed before all of DOTH requirements are reviewed.

Feedback/Mitigation/Updates

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.


Requirement Management : Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-210916-01**

Playback sessions are conducted by each module only and DOTH is having a difficult time understanding the full continuous process cycle in SAP.


Feedback/Mitigation/Updates

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.

Requirement Management : Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
<p>ORI ID: I-210722-01</p> <p>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.</p>	
<p>Feedback/Mitigation/Updates</p> <p>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.</p> <p>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.</p> <p>9/2/2021: There were improvements, but many instances are observed where the DOTH team members were having difficult time understanding the workshops.</p> <p>9/30/2021: There were continuous improvements, but there are some areas where DOTH team members were having difficult time understanding the workshops.</p>	

D. Subject Category: External Impact Management

External Impact Management : Observation, Risk, Issue and Feedback/Mitigation	
Risk	Impact
<p>ORI ID: R-210812-01</p> <p>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.</p>	
<p>Feedback/Mitigation/Updates</p> <p>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.</p> <p>9/16/2021: No additional meetings with DAGS were scheduled.</p>	

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.

E. Subject Category: Resource Management**Resource Management: Observation, Risk, Issue and Feedback/Mitigation****Observation****ORI ID: O-210804-01**

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.

Feedback/Mitigation/Updates

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.

9/30/2021: 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.

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.

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

Meetings and Discussions			
Meeting ID	Meeting Date	Meeting Title	Meeting Description
M210901-1	9/1/2021	Project System Playback	Explore workshop was held to review and discuss project system requirements and a simple demo was conducted.
M210901-2	9/1/2021	Procurement Master Data Playback	Procurement Master data Playback was held to review and discuss master data such as time zone, currency, units of measurements, terms of payment, procurement groups, commodity codes, material master, purchasing info-records, source list, quota arrangements, service master, ship to address, uniform account code (UAC).
M210902-1	9/2/2021	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.
M210902-2	9/2/2021	Accounts Payable Playback (1st Floor Conf room)	AP Playback was held to review and discuss AP processes and requirements. A simple demo was conducted too.
M210902-3	9/2/2021	Work Schedules TM2	Explore workshop was held to discuss and review time sheet processes. A simple screenshots was presented too.
M210907-1	9/7/2021	CIP Budget	Explore workshop was held to review and discuss CIP budget processes and how these will be processed in SAP FM.
M210907-2	9/7/2021	O&M_SMP Budget Entry Flow	Explore workshop was held to review and discuss O&M budget processes and how those will be processed in SAP FM.
M210907-3	9/7/2021	Purchase Requisition Playback	A meeting was held to review and discuss Self Service Requisitioning, Catalog based req, Non-Catalog req and Advanced req.
M210909-1	9/9/2021	Projects Playback	A meeting was held to review and discuss project system requirements and a simple demo was conducted.
M210909-2	9/9/2021	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.
M210910-1	9/10/2021	JV for A-19 Submission	A meeting was held to review and discuss JV for A-19 submission. O&M budget process and roles and responsibilities of DOTH also were discussed.
M210913-1	9/13/2021	Inventory and MRP Playback	Explore workshop was held to review and discuss SAP inventory: open encumbrance contract, blanket encumbrance, PO encumbrance, contract encumbrance.
M210913-2	9/13/2021	Fixed Assets Playback	Explore workshop was held to review and discuss SAP fixed asset processes: asset class, ACU, and accounting determination.

Meetings and Discussions			
Meeting ID	Meeting Date	Meeting Title	Meeting Description
M210914-1	9/14/2021	PCard Playback PC1	Explore workshop was held to discuss and review Pcard To-Be process and a high level solution design.
M210914-2	9/14/2021	Data Conversion	Explore workshop was held to review data conversion plan and items.
M210914-3	9/14/2021	Cost Splitting and FHWA Funding Discussion	Explore workshop was held to discuss and review waterfall funding As-Is process and requirements.
M210915-1	9/15/2021	GM Deep-Dive Session 1	Explore workshop was held to discuss and review MVSO process and requirements.
M210915-2	9/15/2021	Financial Controlling Data & Processes Playback	Explore workshop was held to discuss CO process and requirements: Indirect Labor Cost, Creating New CO Elements.
M210916-1	9/16/2021	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.
M210916-2	9/16/2021	GL Playback	Explore workshop was held to discuss GL process and requirements: GL Accounts, Crosswalk/Mapping, GL JE demo, GL Approval Demo.
M210916-3	9/16/2021	O&M SMP Budget	Explore workshop was held to discuss O&M process and requirements: A19, Reversion, Lapse Date, Budget Period.
M210916-4	9/16/2021	GM Deep-Dive Session 2	Explore workshop was held to discuss and review MVSO process and requirements.
M210917-1	9/17/2021	Internal prep meeting for DAGS interface	Explore workshop was held to prepare DAGS interface discussion: GL JV interface, encumbrance interface, payment interface, question list.
M210917-2	9/17/2021	CIP Budget	Explore workshop was held to review and discuss CIP budget processes and how these will be processed in SAP FM.
M210920-1	9/20/2021	Internal prep meeting for DAGS interface	Explore workshop was held to prepare DAGS interface discussion: GL JV interface, encumbrance interface, payment interface, and question list.
M210920-2	9/20/2021	SAP to FAMIS Interface / FAMIS to SAP Interface	A meeting was held to discuss interface between SAP and FAMIS.
M210920-3	9/20/2021	Payroll Playback	Explore workshop was held to review and discuss payroll playback: wage types, payroll processing, accrual, payroll posting.
M210920-4	9/20/2021	Form A-21 & Reversion	Explore workshop was held to review and discuss Form A-21 process.
M210921-1	9/21/2021	SAP To-Be Cash Management Playback (Teams)	Explore workshop was held to review and discuss cash management: cash requirement for contract, payment process, automatic cash transfer JV, etc.
M210921-2	9/21/2021	Grant Reimbursement to Sub Grantee (Teams)	Explore workshop was held to review and discuss sub grantee in NHTSA process.

Meetings and Discussions			
Meeting ID	Meeting Date	Meeting Title	Meeting Description
M210922-1	9/22/2021	HR requirements on the AS/400 (Teams)	A meeting was held to discuss and discuss HR data in AS400: work schedule, ePar, education, training (SPO, Maintenance), appraisal, position, etc.
M210923-1	9/23/2021	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.
M210923-2	9/23/2021	PO, Contracts & GR Playback	Explore workshop was held to review and discuss PO creation, goods receipt, etc.
M210923-3	9/23/2021	HR Interface to SAP System	A meeting was held to discuss HR interface to HIP: file layout, Epar, type of interface, sample interface file, interface landscape, etc.
M210924-1	9/24/2021	Internal discussion of encumbrance alternatives	An internal meeting was held to discuss encumbrance interface options, contract cash requirement, recognition of expense, etc.
M210924-2	9/24/2021	Fixed Assets Playback Session 2 (Teams)	Explore workshop was held to review and discuss FA Playback: asset change, transfer, seized, donation, physical inventory, depreciation, month-end and workflows.
M210927-1	9/27/2021	CIP & FHWA Budget Documents for Budgeting Workbench & Cost Split Table	Explore workshop was held to discuss CIP budget process, budgeting workbench, JA and custom table for waterfall info.
M210927-2	9/27/2021	DOTH to FAIS Interface discussion (Teams)	A meeting was held to discuss interface between SAP and FAIS.
M210928-1	9/28/2021	SMP Budget Execution	Explore workshop was held to discuss SMP As-Is.
M210928-2	9/28/2021	Payroll Interface	A meeting was held to discuss interface between SAP and HIP for payroll with ETS.
M210929-1	9/29/2021	AP Playback	Explore workshop was held to discuss and review AP playback: Cash Check, Payment Process, Cash Advice.
M210929-2	9/29/2021	GL Chart of Accounts & Reports	Explore workshop was held to review GL reports to find out how 10 digit GL accounts will affect reports print out.
M210930-1	9/30/2021	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.
M210930-2	9/30/2021	Plant Maintenance Playback - PM2 (5th floor conf room)	Explore workshop was held to discuss findings of site visit to Oahu and Maui district offices. LSI consultants presented Pros and Cons of implementing Plant Maintenance modules vs. keeping AS400.

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	
IVV4.05	Monthly Project Assessment Report (Sep 2021)	N/A	N/A	10/13/2021	

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 (9/30/2021)
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	LSI Submitted on 9/30/2021	Deliverable was submitted on 6/22/2021 and 8/5/2021. A revision was requested. Accepted: 9/30/2021
IVV5.04	Verification and Validation of Project Deliverables - Project Management Plan	Project Management Plan	Wave 1 / #3	Oct 2021	Some documents were submitted, and a revision was requested.
IVV5.05	Verification and Validation of Project Deliverables - Communication Plan	Communication Plan	Wave 1 / #8	LSI Submitted on 9/30/2021	Deliverable was submitted on 6/22/2021 and 8/5/2021. A revision was requested. Accepted: 9/30/2021
IVV5.06	Verification and Validation of Project Deliverables - Chart of Accounts Design	Chart of Accounts Design	Wave 1 / #11	Oct 2021	Carried over from Prepare Phase
IVV5.07	Verification and Validation of Project Deliverables - Master Data Design Documents	Master Data Design Documents	Wave 1 / #18	Oct 2021	
IVV5.08	Verification and Validation of Project Deliverables - Enterprise Structure Design Documents	Enterprise Structure Design Documents	Wave 1 / #17	Oct 2021	
IVV5.09	Verification and Validation of Project Deliverables - Data Conversion Plan	Data Conversion Plan	Wave 1 / #22	Oct 2021	

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 (9/30/2021)
IVV5.10	Verification and Validation of Project Deliverables - Initial Deployment Plan	Initial Deployment Plan	Wave 1 / #23	Oct 2021	
IVV5.11	Verification and Validation of Project Deliverables - Analysis of Reporting Requirements	Analysis of Reporting Requirements	Wave 1 / #15	Oct 2021	
IVV5.12	Verification and Validation of Project Deliverables - Requirements Traceability Matrix	Requirements Traceability Matrix	Wave 1 / #16	Oct 2021	
IVV5.13	Verification and Validation of Project Deliverables - End User Training Strategy	End User Training Strategy	Wave 1 / #19	Oct 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	Oct 2021	
IVV5.15	Verification and Validation of Project Deliverables - Interface Plan	Interface Plan	Wave 1 / #21	Oct 2021	
IVV5.16	Verification and Validation of Project Deliverables - Technical Infrastructure Plan/Design	Technical Infrastructure Plan/Design	Wave 1 / #24	Oct 2021	
IVV5.17	Verification and Validation of Project Deliverables - Document Fit/Gap Analysis	Document Fit/Gap Analysis	Wave 1 / #25	Oct 2021	
IVV3.06	IV&V Mid-Month Assessment (Oct 2021)	N/A	N/A	Oct 2021	
IVV4.06	Monthly Project Assessment Report (Oct 2021)	N/A	N/A	Oct 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	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 it's 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.
	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.
	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.
	Resource Management	Identify and assess risks and issues associated with allocating proper resources necessary to complete the project.
	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.
	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.
Implementation	Data Conversion	Identify and assess risks and issues to data conversion process or resulting data when moving data from the old system to the new system.
	Documentation	Identify and assess risks and issues in documentation deliverables.
	Interface and Integration	Identify and assess risks and issues that relate to functionalities that interact with outside system or software.
	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.
	Production Migration	Identify and assess risks and issues to the system migrating from test environment to production environment.
	Reports and Analytics	Identify and assess risks and issues to reporting and analytics functionality of the system.

Subject	Subject Category	Description
	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.
	Solution Design and Configuration	Identify and assess risks and issues to solution design and configuration of the software implementation of the system.
	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.

D. Observation, Risk and Issues List

Observation, Risk and Issues (ORI) 9/30/2021																	
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.	DOTH/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 DOTH 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 DOTH 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 DOTH agreed that the project plan should be delivered as soon as possible for project management and schedule. Per meeting, expected updated Project Plan delivery date is 5/21/2021. 5/28/2021: This observation became an issue.	5/31/2021	5/31/2021	I-210531-02	
O-210505-01	Observation	M210504-1	5/5/2021	Contract Management	N/A	FMS Kick Off Meeting	Kick Off meeting was held on 5/5/2021 and the presentation was well organized and delivered nicely.	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 DOTH FMS	Overall training went well, however there were some people who couldn't log in and were not able to follow the training and that was not addressed during the training. There also were some minor technical difficulty with switching screen (or may have been switching between presentation decks).	DOTH/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 DOTH personnel, Chuck for HYWAC will retire in Dec 2021.	DOTH	Closed	N/A	N/A	DOTH should ensure to have a proper knowledge transfer and transition to his successor. DOTH already hired another employee and she's getting trained and prepared to be responsible for HYWAC maintenance and support.		5/31/2021	5/31/2021		
O-210512-01	Observation	M210512-2	5/12/2021	Training and Knowledge Transfer	N/A	Generic Training without focus of DOTH requirements	Project Team Training were conducted by 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 DOTH'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 DOTH's specific requirements and learn how SAP's functionalities will meet DOTH's requirements. It needs to be confirmed in which deliverable that these workshop will be performed in the plan.		5/31/2021	5/31/2021		
O-210513-01	Observation	M210513-1	5/13/2021	Resource Management	N/A	In progress of identifying 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 DOTH (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).	DOTH 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	

Observation, Risk and Issues (ORI) 9/30/2021																	
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-210514-01	Observation	M210514-2	5/14/2021	Training and Knowledge Transfer	N/A	SAP Terminology	DOTH project team members stated that during the SAP project team training (Introduction to SAP), DOTH project team members had difficulty understanding SAP's terminology and relating SAP's terminology and standard functions to DOTH's requirements. The introduction to SAP training was mostly centered around SAP standard functionality and did not strongly correlate to DOTH's requirements.	DOTH/LSI	Closed	N/A	N/A	LSI consultants need to learn and be more familiar with DOTH's business requirements along with DOTH's terminology and processes as listed in RFP and LSI's proposal. Also DOTH project team members should learn and be more familiar with SAP terminologies as well. LSI should start to dive into DOTH's requirements and conduct the training with DOTH's specific requirements, not only generic SAP standard functions. Cross reference of terminology (SAP & DOTH terminology glossary) would help DOTH project team members to understand how SAP functionality will work for DOTH's requirements.		5/31/2021	5/31/2021		
O-210514-02	Observation	M210520-1	5/14/2021	Resource Management	N/A	DOTH Project Team Availability	DOTH project team members stated that June through September are the busiest months of the year and expressed concerns on project participation. Fiscal (HWY-SF) is the busiest in June and July, Budget (HWY-SB) is the busiest in September and October, and Project/Grants (HWY-SM) is the busiest in August and September. Each department of DOTH has particularly busy times in a year, but not all at the same time.	DOTH/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 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	Medium	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.	9/30/2021			

Observation, Risk and Issues (ORI) 9/30/2021																	
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-210610-01	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		
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	DOH 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	In Progress	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 Organization Change Management (OCM) Plan: Submitted 6/15/21 for DOTH's review. - Project Management Plan (PMP): Target Date=TBD. Strategy documents are being worked on. - Project Team Training: Target Date=TBD 7/31/2021: #3 Project Management Plan: See I-210630-01. #7 Updated Project Plan and Implementation Schedule: See I-210531-02. #8 Communication Plan: TBD #9 Project Team Training Plan: TBD #10 Project Team Training: TBD #11 Chart of Accounts Design: TBD #12 Business Process Organization Change Management (OCM) Plan: TBD 9/2/2021: No changes. 9/16/2021: No changes. 9/30/2021: Communication Plan and Business Process Organization Change Management (OCM) Plan were submitted and approved by DOTH. No changes to other documents and the estimated delivery dates are 10/31/2021.	9/30/2021				
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		

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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 areas 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 costs to 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.
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	In Progress	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, workload 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.	9/30/2021			
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	M210812-4	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			
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.	9/30/2021			

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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.	9/30/2021				
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			
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 Fit/Gap)	N/A	Inventory, Payroll and Plant Maintenance	Some requirements may be directly or indirectly related to Inventory, Payroll, and Plant Maintenance modules. However, the typical core requirements of these modules, Inventory, Payroll, and Plant Maintenance were not included in the DOTH RFP requirements.	DOTH/LSI	In Progress	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 requirements. 9/30/2021: LSI presented Pros and Cons of implementing Plant Maintenance modules vs. keeping AS400.	9/30/2021				
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				
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				
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.	9/30/2021				
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.	9/30/2021				
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.	9/30/2021				
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.	9/30/2021				

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O-210804-01	Observation	M210805-1	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	In Progress	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.	9/30/2021			
O-210811-01	Observation	M210811-1	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 Progress	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.	9/30/2021			
O-210811-02	Observation	M210811-2	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	In Progress	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.	9/30/2021			
O-210826-01	Observation	M210826-5	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.		9/30/2021			
O-210826-02	Observation	M210830-1	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	In Progress	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.	9/30/2021			
R-210902-01	Risk	M210902-1	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	In Progress	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.	9/30/2021			
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	In Progress	N/A	N/A	Fridays could be utilized for meetings and discussions.	9/30/2021: There have been occasional meetings on Fridays.	9/30/2021			
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	M210826-2	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			

Observation, Risk and Issues (ORI) 9/30/2021																	
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-210916-01	Observation	M210916-1	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	In Progress	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.	9/30/2021			
O-210923-01	Observation	M210923-1	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	In Progress	N/A	N/A	It is recommended that LSI provide an instruction of how to navigate and utilize the SAP Support Website.		9/30/2021			
I-210930-01	Issue	M210930-1	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.	DOTH/LSI	In Progress	Low	N/A	Schedule should be reviewed and adjusted as needed.		9/30/2021			