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July 15, 2022

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


The Honorable Scott K. Saiki
Speaker and Members of the
House of Representatives
Thirty-First State Legislature
State Capitol, Room 431
Honolulu, Hawai'i 96813

Aloha Senate 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 Hawai'i, Department of Transportation, Highways Division, Financial Management System Project.

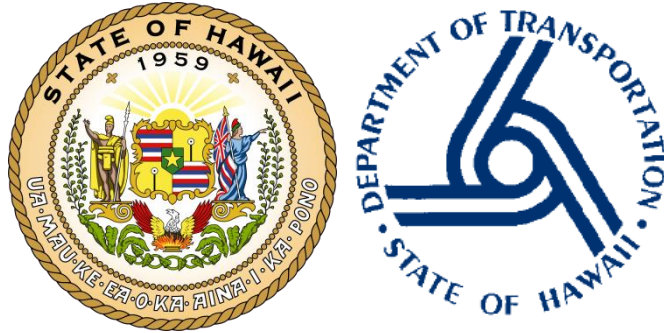
In accordance with HRS section 93-16, this report may be viewed electronically at <http://ets.hawaii.gov> (see "Reports").

Sincerely,


Douglas Murdock (Jul 15, 2022 13:05 HST)

Douglas Murdock
Chief Information Officer
State of Hawai'i

Attachments (2)



Monthly Project Assessment Report – April 2022

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

Author: Ohanasoft/IV&V Project Team
Creation Date: May 05, 2022
Last Updated: May 15, 2022
Version: 1

Version History

Version Number	Updated By	Revision Date	Description of Change
1	IV&V Project Team	5/15/2022	Final

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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 project currently does not have an established target Go-Live date. Process Design Documents (PDD), which document DOTH functional areas along with business processes, to-be processes and their descriptions, configuration, relevant data, cross-functional impacts, and organizational change considerations are one of the main deliverables for the Explore Phase. All the PDD drafts and revisions are submitted, a few of them are accepted, and most are in the feedback and the update/correction process. There are some challenges remaining but PDD review sessions are progressing. Various efforts including terminology crosswalk tables in the PDDs and weekly Q&A sessions are bridging the gap in understanding and they are helping with PDD sessions and documents. PDDs are going through “conditional approval” where content of the PDD or the implementation design may change later if a need for correction is found during the Realize Phase. Overall, the target date for completion of PDDs and ultimately the Explore Phase has been set for May 31, 2022.

Requirements Traceability Matrix (RTM) document references a PDD document name for a requirement, not a specific section of a document. Therefore, it is difficult to trace the requirement to specific PDD content. As stated in the past reports, the preferred method would be to examine the RTM first or at least cross-reference the requirements together with PDDs. Otherwise, it may cause some rework, revisiting, or updating PDDs when the Project team discovers that the requirements are missing or not fully addressed in the PDDs.

There has not been much progress made for Analysis of Reporting Requirements which is to review DOTH current reporting requirements. However, PDD already includes a section that lists reports which require to be custom built. Therefore, this section may need to be reworked since DOTH and consultants have not reviewed DOTH report requirements in detail with H4 standard reports and overall layout of custom-built reports.

Split/Waterfall Funding along with other critical core requirements designs such as funds check and labor costs are continuing to make progress. DOTH is waiting for the design information to be incorporated into PDD.

The H4 Project’s primary goal is to replace the current HWYAC system for FHWA requirements and it is suggested that the core financial modules and implementation receive the highest priority and attention before the modules that are not directly related to FHWA. Therefore, the Plant Maintenance (PM) module needs discussion and evaluation on whether to do a Big-Bang release with others or a phased release. DOTH is currently going through the requirements gathering process for PM. If the PM is to go live with the rest of the core modules, it may further delay the new Go-Live date.

Project Issue Log was reviewed during the PMO meeting but there was not much progress made due to the lack of time to review and resolve the issues. In order to progress it was determined to be reviewed offline first and then be revisited during the meeting. It should be continuously monitored and addressed promptly as we continue to meet project delays and open items accumulate.

DOTH recently hired two additional system accountants and they are engaged with the H4 project.

II. IV&V Dashboard

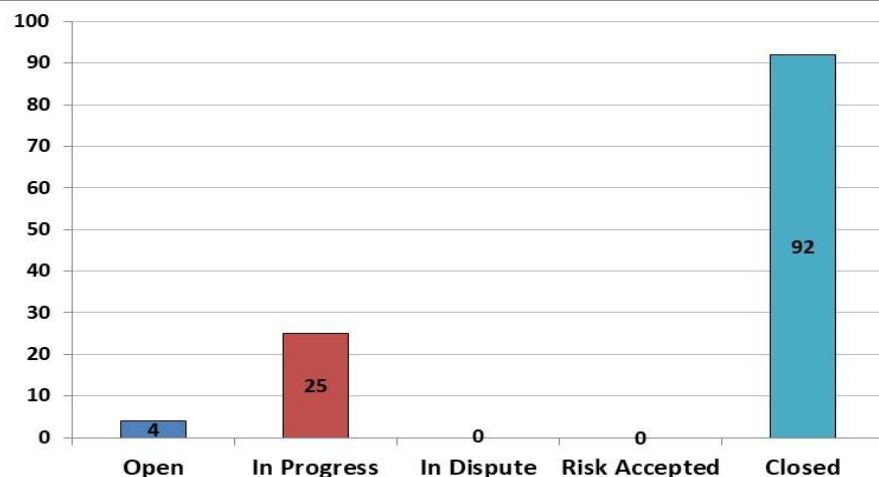
A. Subject Category

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		

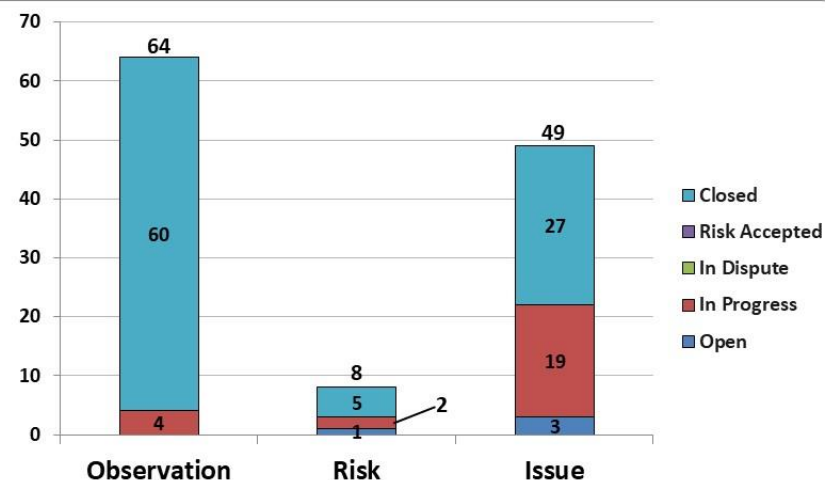
B. Observation, Risk, Issues, Subject Category

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

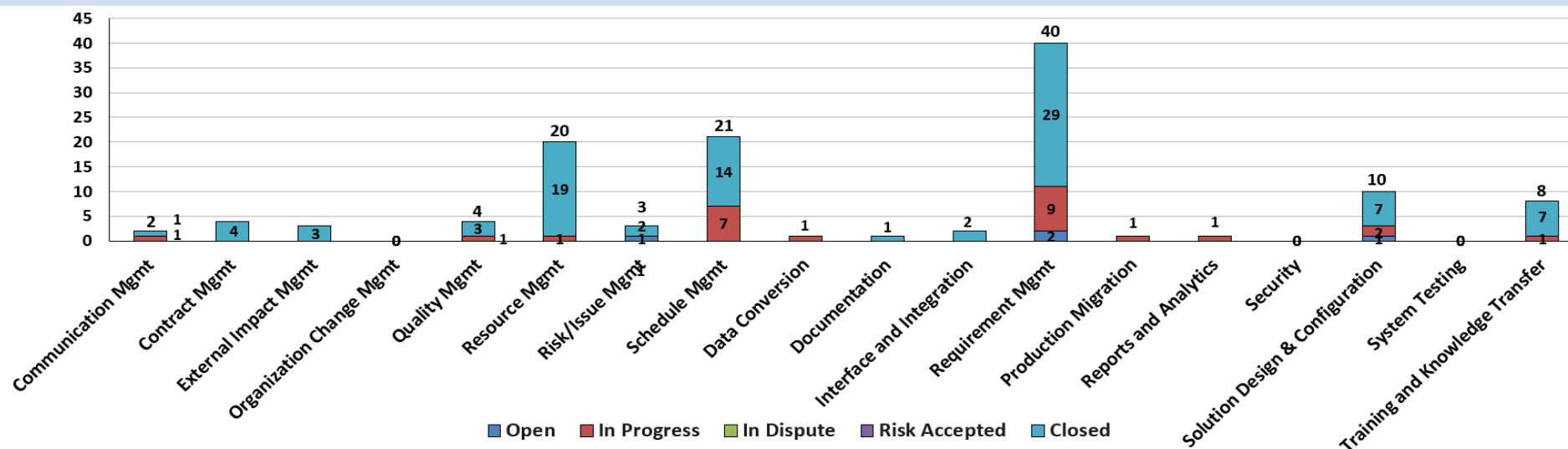
Number of Total Observation, Risk, and Issues



Number of Observation, Risk, and Issues by Status



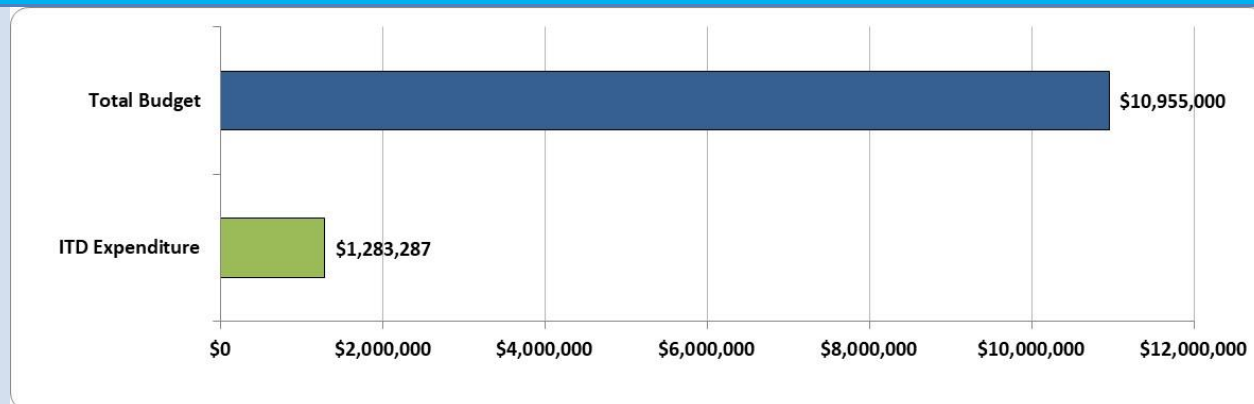
Number of Observation, Risk, and Issues by Subject Category



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: 5
- Completed Months: 14
- Percentage of Completed Months vs. Total Months: 73.68%
- Percentage of ITD Expenditure vs. Total Budget: 11.71%
- Remaining Budget Balance: \$9,671,713

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																			

Original
Go Live


DOTH FMS


H4 is in the Explore Phase. The Explore Phase has been extended and the current target date is May 30, 2022. Go Live date is undetermined.


- 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, 4/26/2021, 6/14/2021, 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> <p>11/10/2021: LSI Assistant Project Manager submitted the revised project plan and DOTH will hold a review meeting on 11/24/2021.</p> <p>11/24/2021: LSI Assistant Project Manager and DOTH Project Manager worked together via Teams and updated and fixed the Project Plan. There will be a follow up meeting.</p> <p>12/31/2021: LSI Assistant Project Manager and DOTH Project Manager worked together via Teams and updated and fixed the Project Plan. It is still not complete.</p> <p>1/31/2022: No new major update. The document is making incremental progress, however it is not completed yet.</p> <p>2/28/2022: No new major update. It is still incomplete.</p> <p>3/31/2022: The Assistant Project Manager left the H4 implementation project. The Project Manager will continue to work on the Project Plan/Implementation Schedule.</p> <p>4/29/2022: No major updates. A new Go-Live date will be set after PDDs are approved by DOTH.</p>	


Schedule Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
<p>ORI ID: I-210930-01</p> <p>LSI extended the Explore Phase one month to complete the explore workshops and deliverables including Document Fit/Gap Analysis, Process Design Documents (PDD), and Requirements Traceability Matrix.</p>	
Feedback/Mitigation/ Updates	
<p>Schedule should be reviewed and adjusted as needed.</p> <p>10/15/2021: No major updates.</p> <p>10/31/2021: It is extended again to the middle of November 2021.</p> <p>11/18/2021: The Explore Phase has not been completed yet.</p> <p>12/2/2021: The Explore Phase has not been completed yet. There is no specific target date forecasted by LSI.</p> <p>12/31/2021: The Explore Phase has not been completed yet. There is no specific target date forecasted by LSI.</p> <p>1/31/2022: There is progress made with PDD, however Fit/Gap and RTM are being worked on as lower priority. Not completing RTM is leading to missed requirements that need additional explore sessions.</p> <p>2/28/2022: PDD priorities were created and PDD reviews and validations are in progress.</p> <p>3/31/2022: PDD reviews and validations are in progress. There is no specific target date forecasted by LSI.</p> <p>4/29/2022: A target date for Explore Phase closure was determined to be 5/31/2022. LSI will schedule RTM meetings starting on the week of 5/9/2022.</p>	

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation	
Risk	Impact
<p>ORI ID: R-211028-01</p> <p>The Go-Live date of 7/01/2022 may not be feasible due to:</p> <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	
<p>It is recommended that:</p> <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. 	

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

- DOTH critical core requirements should be higher priority.
 - Reasons for high turnover should be evaluated and the H4 Project Team should take proper action.
- 11/18/2021: No major updates.
- 12/2/2021: No major updates.
- 12/31/2021: No major updates.
- 1/31/2022: Go-live date is planned to be discussed in mid-February. Go-Live date of 7/01/2022 is close to impossible to meet as of the assessment date.
- 2/28/2022: The new Go-live date was tentatively planned to be updated in mid-February, however it is not announced by LSI and it will be discussed after PDDs are complete. Currently, there is no Go-Live date set.
- 3/31/2022: A new Go-Live date still has not been set by LSI. LSI suggested that once PDDs are completed and signed off, an estimated Go-Live date can be established. DOTH requested that the H4 project needs a new Go-Live date as soon as possible because the project plan and resource scheduling requires a new Go-Live date.
- 4/29/2022: New Go-Live date will be re-assessed after PDDs are completed and accepted by DOTH in the Explore Phase.

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

Issue	Impact
<p>ORI ID: I-220114-03</p> <p>According to the project timeline, Wave 2 was supposed to start in December 2021. However, there are currently no Wave 2 activities that IV&V team is aware of, including Wave 2 Kick-off meeting.</p>	
Feedback/Mitigation/ Updates	
<p>At the current rate of progress, a Go-Live date of August 1st, 2022 will be extremely difficult to meet.</p> <p>The project schedule is planned will be revisited in mid-February for possible updates in the schedule. Wave 2 is planned after the completion of the Wave I Explore phase. The Wave 2 schedule should be revisited at the same time as the Wave I schedule update.</p> <p>2/28/2022: The new Go-live date was tentatively planned to be updated in mid-February, however it was not announced by LSI and it will be discussed after PDDs are complete. Wave 2 is also postponed, however the new time frame has not been proposed yet. Currently, there are no Go-Live date or Wave 2 timeline.</p> <p>3/31/2022: LSI needs to set a new Wave 1 Go-Live date and Wave 2 timeline.</p> <p>4/29/2022: New Go-Live date will be re-assessed after PDDs are completed and accepted by DOTH in the Explore Phase.</p>	

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-220131-01**

LSI started to configure H4 at risk before approval of PDD.

Feedback/Mitigation/Updates

2/28/2022: No major updates.

3/31/2022: According to the Phase Gate approach, LSI is not supposed to configure H4 before fully completing the Explorer Phase. LSI is continuing with the configuration and that could be a risk for LSI.

4/29/2022: No major updates.

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-220331-01**

LSI stated during the PMO meeting in February 2022 that a Go-Live date of Plant Maintenance will be reassessed and proposed with consideration of a phased approach (going live without PM) instead of the Big-Bang approach.

**Feedback/Mitigation/ Updates**

LSI needs to propose if the Plant Maintenance module will be included in the Wave 1 Go-Live given the project is delayed and Plant Maintenance could take away the needed resources to be able to focus and complete Wave 1 implementation which will replace HWYAC.

4/29/2022: DOTH started to collect and compile Plan Maintenance, Inventory, and other AS400 requirements per LSI's request.

Schedule Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-220331-02**


The Go-Live date of Wave 2 for Budget and Planning (SBP) has not been set yet.

**Feedback/Mitigation/ Updates**


The Go-Live of Wave 2 for Budget and Planning (SBP) needs to be set as soon as possible because it impacts the project plan, resource scheduling, and project management. It is recommended to weigh the pros and cons of merging Wave 1 and Wave 2 given that there is significant delay in the project progress.

4/29/2022: No major updates. In accordance with meetings and discussions, it should be carefully considered that SBP goes live with other modules at once because it will eliminate any additional reconciliation process and streamline the whole end-to-end budget procedures if SBP goes live at the same time as FM.


B. Subject Category: Resource Management

Resource Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
<p>ORI ID: I-220131-02</p> <p>A few LSI consultants are missing some DOTH requirements and PDD documents are not covering all the DOTH processes and requirements. Certain information is incorrect in the PDDs and it is unsure whether LSI consultants have a full understanding of DOTH processes and requirements.</p> <p>Some consultants seemed to have limited experience with DOTH and FHWA and need more time to understand information related to DOTH and FHWA processes.</p>	
Feedback/Mitigation/Updates	
<p>LSI and DOTH should confirm that the consultants meet the qualifications as stated in the RFP equivalent work experience.</p> <p>2/28/2022: A high turnover on top of the limited DOT experiences of the consultants has been an issue that makes the project more challenging to be implemented. Another consultant (FHWA Billing) left the H4 project. LSI found a replacement consultant, but he has not come to DOTH on-site yet.</p> <p>3/31/2022: A new FHWA Billing consultant joined the H4 project and started to work on AR and FHWA Billing. Waterfall funding and FHWA solution are still in development. If there is turnover, it should be ensured that the consultant meets the qualification stated in the RFP. Consultants who are unfamiliar with FHWA and DOTH requirements should attend other relevant meetings, especially including FHWA, to bridge the FHWA and DOTH knowledge gaps.</p> <p>4/29/2022: No major updates. Consultants including the new FHWA Billing resource continue to develop FHWA solution design.</p>	


C. Subject Category: Quality Management

Quality Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
<p>ORI ID: I-211202-01</p> <p>Some LSI Deliverables contained errors and misinformation such as incorrect project name, other client's system architecture, missing/incomplete contents, etc. E.g., Technical Infrastructure Plan/Design, Project Standard Strategy, Scope Management Strategy, etc.</p>	
Feedback/Mitigation/Updates	
<p>It is recommended that deliverables are more carefully prepared, reviewed and proofread by LSI document quality team before submitting to DOTH for review.</p> <p>1/31/2022: January has been mainly focused on PDD documents, however the documents were not well standardized. In addition, other documents showing untimely information and documents with noticeably templated information not specified for DOTH are frequently present.</p> <p>2/14/2022: Technical Infrastructure Plan/Design document was submitted with very generic information and it also included another client's implementation information. The document should be reworked and resubmitted.</p> <p>3/31/2022: Continuous monitoring is needed to improve quality of deliverable documents.</p> <p>4/29/2022: Only PDDs and MDDs have been submitted and there has been some progress made, but other outstanding documents have not made progress.</p>	

D. Subject Category: Risk/Issue Management

Risk/Issue Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
ORI ID: I-220131-01 Action items in "Open Items Tracker.xlsx" and "Issue Log" are not followed-up on or not reaching detailed resolution.	
Feedback/Mitigation/Updates	
Open Items Tracker and Issue Log need to be consistently monitored and resolution needs to be sought after in order to minimize project issues and reduce project risks. 2/28/2022: No major updates. 3/31/2022: At the 3/3/2022 PMO meeting, the previous Project Manager did not remember the "Open Items Tracker.xlsx" document and mentioned it is not being used or tracked. Issue Log still needs to be constantly reviewed, monitored, and followed up. 4/28/2022: LSI proposed to hold a meeting soon to review "Issue Log" list.	

E. Subject Category: Communication Management

Communication Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
ORI ID: I-220131-8 There are some requirements and processes that impact multiple modules, including waterfall funding, FHWA, etc. However, information often are siloed and it seems to be not communicated to the other consultants frequently. This results in multiple consultants asking for the information on a same topic each time at different meetings.	
Feedback/Mitigation/Updates	
More coordination and collaboration is needed to design and develop an integrated solution. Proactively communicate with other consultants on topics that may be relevant for another consultant. Meeting recordings should be utilized to understand the relevant topic for the related process in another module. All key project team members to attend the meetings related to critical core requirements such as waterfall funding. Analyze each meeting's agenda to see if there are other consultants that should attend for related information. 2/28/2022: There is another consultant who is leaving the project and a replacement consultant has not participated in a meeting, and these turnovers are adding difficulty to the current communication issue. 3/31/2022: More collaboration is expected among LSI consultants where it requires integrated solutions such as Waterfall Funding, FHWA Billing, Labor, etc. When DOTH staff inquiries about solutions that integrate across two or more functions between H4 modules, DOTH staff should also be provided with the integrated solution answer as opposed to separate or siloed bits of information of each H4 module. 4/29/2022: Efforts were made to improve communication and collaboration. (E.g., Rules of Engagement prepared by LSI)	

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

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-211021-03**

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.

**Feedback/Mitigation/Updates**

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.

11/18/2021: No major updates.

12/2/2021: No major updates.


12/31/2021: No major updates.


1/31/2022: All the initially planned PDD documents are submitted at least once. Most of them are going through rounds of DOTH's reviews and discussions. There were difficulty with understanding the PDD from each of the module having a different style and format for the process description and it was not standardized. Most of the PDD documents were showing incomplete information and DOTH asked for a revision. PDDs for Waterfall Funding, FHWA Billing and Plant Maintenance are still not submitted.


2/28/2022: More PDD sessions took place and LSI showed SAP functionalities and processes in Sandbox, which helped DOTH understand PDDs better. However, there are still concerns about not being able to fully understand the document and SAP functionalities.


3/31/2022: PDD sessions continued to take place but DOTH users were still having difficult time understanding PDDs. More training and knowledge transfer need to be delivered to the DOTH Project Team.


4/29/2022: PDDs review and discussion sessions continued to take place regarding Waterfall Funding/Split, Payroll, Billing including Flexible Match, Taper Match, Central Federal Land, and County Pass Through, etc. More training and knowledge transfer are needed.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
ORI ID: I-211028-02 The Requirements Traceability Matrix was delayed and has not been completed.	
Feedback/Mitigation/Updates	
It is recommended that LSI complete the deliverable as soon as possible. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. Not going through the full DOTH requirements and not completing RTM before PDDs are completed is causing some requirements to be missed and it is causing multiple issues. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: LSI is targeting RTM to be completed by 5/31/2022.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
ORI ID: I-211028-09 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. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. This is directly impacting the project schedule. 2/28/2022: No major update. 3/31/2022: No major updates. 4/29/2022: LSI is targeting Fit/Gap Analysis to be completed by 5/31/2022.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
ORI ID: I-220131-06 A high-level solution for the DOTH critical core requirement, "Labor "Compression," is still being developed by LSI and not approved by DOTH.	
Feedback/Mitigation/Updates	
This is a critical core requirement and the solution design needs to be completed as soon as possible as High Priority. 2/28/2022: PDDs are being updated by LSI. 3/10/2022: LSI presented integration process from payroll to finance. There was a discovery session about how DOTH processes labor at FAMIS, DAGS, and HWYAC. The more detailed journal entries and processes need to be reviewed and clarified in the next meeting. It currently impacts H4 Solution Design and Configuration as well. 4/28/2022: Payroll meeting was held to review Payroll journals to develop its solution design.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Risk	Impact
ORI ID: R-220223-01 It was discussed that employees who initiate purchase also enter AP invoices in the Branch. There are a few concerns with this approach: <ul style="list-style-type: none"> - training issue - employees have to learn new process and task - resource concern - resource shifting/reorganization may need to take place from change in workload - over decentralization and additional support - if there are any errors or if troubleshooting is needed then the System Accountant needs to support multiple people - control issue 	
Feedback/Mitigation/Updates	
Further discussion is recommended to ensure the new process will be manageable for the Purchase Requisitioner position. 3/31/2022: No major updates. 4/26/2022: Two options for AP Invoice matching were presented by LSI and preferred option turned out to be very error prone, which will have a negative impact on DOTH's decentralized AP invoice entry procedure.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
ORI ID: I-220301-01 According to 3/1/2022 AP meeting, the current H4 does not have a functionality of matching invoices to a specific PO/Contract Suffix line(s) based on the user's need. LSI proposed that DOTH creates PO/Contract line with only one suffix line.	
Feedback/Mitigation/Updates A single suffix line approach does not appear to be a feasible workaround for DOTH business process. An enhancement is needed if a standard functionality cannot meet invoice matching requirement. 3/31/2022: A solution is still being developed by LSI. 4/26/2022: Two options for AP Invoice matching were presented by LSI. The pros and cons were discussed and the option 1 seems preferable but customization is required to put data entry validation and to make data entry more user friendly.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Observation	
ORI ID: O-220314-01 Currently, DOTH first expenses out inventories and equipment purchases, and then the equipment is reclassified to fixed assets at the fiscal year-end. Inventories are not reflected on the Balance Sheet. LSI proposed that purchases of inventories and equipment are charged to Asset account in FI and charged to Expense account in FM for the budgetary control purpose.	
Feedback/Mitigation/Updates This proposed solution needs to be reviewed and validated by DOTH. 3/31/2022: No major updates. 4/29/2022: No major updates.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation	
Observation	
ORI ID: O-220316-01 LSI and DOTH need to work together to design UNSPSC values and its level of detail for the Material Group, this includes both inventory and non-inventory items, as well as goods and services in H4.	
Feedback/Mitigation/Updates 3/31/2022: No major updates. 4/29/2022: No major updates.	

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Observation****ORI ID: O-220328-01**

Journal Entries (JE) that H4 generates in the various business areas, such as procurement, payable, receivable, billing, fixed asset, payroll, etc., had not been reviewed. DOTH recently asked journal entry questions by submitting journal entry forms with DOTH business scenarios "Procure to Fixed Assets," and LSI filled out the forms and did a presentation on 3/28/2022.

Feedback/Mitigation/Updates

4/29/2022: DOTH needs to follow up on a few outstanding items. (E.g., Fixed Asset Appropriations, Sub-Divisions, etc.)

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-220427-01**

Some basic standard functionality in Fixed Assets were not able to be presented due to Sandbox errors. E.g., Fixed Assets Transactions.

**Feedback/Mitigation/Updates**

It is recommended that Sandbox systems are maintained to be in working order to be able to review as needed to help PDD discussions.

Requirement Management: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-220428-01**

Barcode solution for physical inventory in H4 is still pending. Barcode software and hardware have not been proposed yet by LSI.

**Feedback/Mitigation/Updates**

It is recommended that Barcode solution needs to be developed as soon as possible.

G. 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**

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

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

11/18/2021: LSI submitted Technical Infrastructure Plan/Design and DED for DOTH's review. DOTH requested a revision due to the document being incomplete and inaccurate.

12/2/2021: No major updates.

12/31/2021: No major updates.

1/31/2022: No major updates.

2/14/2022: Technical Infrastructure Plan/Design document was submitted with very generic information and it also included another client's implementation information. The document should be reworked and resubmitted.

3/31/2022: No major updates.

4/29/2022: No major updates.

Solution Design and Configuration: Observation, Risk, Issue and Feedback/Mitigation**Issue****Impact****ORI ID: I-220114-01**

LSI presented the Waterfall Funding solution with three options: Front-End Split, Back-End Split, and Hybrid. These options were already presented and discussed during the procurement process and, currently, nine-months into the project there is still no solid resolution or decision regarding the Waterfall Funding requirement.

**Feedback/Mitigation/Updates**

Waterfall funding is a Critical Core Requirement and design solution should be completed as soon as possible, especially since it impacts multiple areas of the System, and it may also impact the schedule.

2/10/2022: A Waterfall Funding meeting was held and the H4 Project Team discussed three options, improvement types, and programs codes. Review and updates are in progress.

3/31/2022: No major updates. LSI and DOTH need to collaborate to decide on the solution design.

4/27/2022: More Waterfall Funding and Billing meetings were held. DOTH is waiting for FHWA PDD.


Solution Design and Configuration: Observation, Risk, Issue and Feedback/Mitigation**Risk****Impact****ORI ID: R-220418-01**

The current approval hierarchy of Purchase Requisitions are complicated and has more than 10 levels. This may cause delays in approval and needs high maintenance.


**Feedback/Mitigation/Updates**

It is recommended that DOTH review the process flow with LSI and consider streamlining the approval process.


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. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: No major updates. 3/31/2022: There was an Analysis of Reporting Requirement meeting held on 3/7/2022 and LSI decided to start analyzing DOTH reports first and get back to DOTH with a list of Standard Reports and Custom Reports. 4/29/2022: No major updates.	


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.	
Feedback/Mitigation/Updates	
It is recommended that LSI complete the deliverable as soon as possible. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: LSI submitted draft and DOTH is reviewing. 2/28/2022: Data Conversion Plan review and updates are in progress. 3/31/2022: Data Conversion Plan review and updates are in progress. The Data Conversion Plan is supposed to contain more details according to the DED but the H4 Project Team agreed that the details of Data Conversion such as data mapping, cleansing procedures, data extraction process, etc. can be included in the Functional Specification Documents. A follow-up meeting for project data conversion is scheduled for 4/4/2022. 4/29/2022: No major updates.	

J. Subject Category: Training and Knowledge Transfer

Training and Knowledge Transfer: Observation, Risk, Issue and Feedback/Mitigation	
Issue	Impact
ORI ID: I-220303-01 DOTH requested weekly SAP training from LSI, but LSI stated that it is difficult due to resource constraints. LSI suggested to bring up questions as needed to each respective consultant.	
Feedback/Mitigation/Updates	
One of the issues is the lack of SAP understanding that DOTH members have, and this makes it challenging to review PDDs and to make progress with the project. It is recommended that LSI and DOTH both proactively work on bridging the knowledge gap for H4 by LSI offering additional training sessions and DOTH requesting system training and information as needed. The training does not have to be a formal structured classroom session, but it could be an informal standing session once a week to keep DOTH users more familiar with H4 functionalities and features and to maintain the implementation momentum throughout the H4 project. 3/31/2022: LSI started to have a standing meeting every week for discussion and Q&A on the Fund Management module. For non-FM related questions and discussion, the FM consultant will bring respective module consultants as needed and provide answers or resolutions. The first FM Q&A session took place on 3/28/2022. 4/29/2022: Weekly Q&A sessions have been continuing.	

K. 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. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: No major updates.	

IV. Meetings and Discussions Participated for the Month of April 2022

Meetings and Discussions			
Meeting ID	Meeting Date	Meeting Title	Meeting Description
M220404-1	4/4/2022	Discuss LSI request to approve Finance MDD and PDDs	An internal DOTH meeting was held to discuss LSI's proposed Fund combining Appropriation and Program Code.
M220404-2	4/4/2022	Conversion Clarification (PS/AP/AR)	A meeting was held to clarify data conversion plan for PS/AP/AR.
M220405-1	4/5/2022	Review AR Customer Master Data Maintenance PDD	A meeting was held to review Customer Master Data PDD.
M220406-1	4/6/2022	Review DOTH comments - PM Master Data and Notification PDDs	A meeting was held to review PM Master Data and Notification PDDs.
M220406-2	4/6/2022	Review PDD for Plant Maintenance Confirmations	A meeting was held to review Plant Maintenance Confirmation PDD.
M220407-1	4/7/2022	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.
M220407-2	4/7/2022	Continued - Review DOTH comments - PM Master Data and Notification PDDs	A meeting was held to review Plant Maintenance Master Data and Notification PDDs.
M220407-3	4/7/2022	Review HCM Mini Master PDD v3	A meeting was held to review HCM Mini Master PDD.
M220411-1	4/11/2022	Discuss AR PDDs	A meeting was held to review AR Account Maintenance and Invoicing PDD.
M220411-2	4/11/2022	GM Team Q&A During Onsite Week	Q&A session for Grant Management was held: Derivation Rules of IO to Fund Center, Overwrite with New Value, Do Not Overwrite if Fld Already Filled, Grants Management Line Item Display, etc.
M220411-3	4/11/2022	Review CIP Payroll Journal document	An internal DOTH meeting was held to discuss CIP Payroll Journals.
M220412-1	4/12/2022	Discuss impact of combining Program Code and Appropriation	A meeting was held to discuss the pros and cons of combining Appropriation and Program Code. LSI presented three alternatives with the pros and cons on each option.
M220412-2	4/12/2022	FM Team Q&A During Onsite Week	Q&A session for Fund Management was held: FM Master Data Conversion, Demo of creating Funds with attributes, CPN, Means of Financing, etc.
M220412-3	4/12/2022	Discuss FHWA Design	A meeting was held to discuss FHWA design: Waterfall Funding, Custom Table, Funding Sequences, Real Time Split, etc.
M220413-1	4/13/2022	Discuss mapping of AS/400 functions/reports to H4 PM PDDs	DOTH presented DMR functions, features and procedures in AS400 so that LSI develops or configures equivalent functions in H4.
M220413-2	4/13/2022	Review Project Execution & Closing PDD	A meeting was held to review Project Execution & Closing PDD: Project Status, System Status, User Status, Month End, etc.

Meetings and Discussions			
Meeting ID	Meeting Date	Meeting Title	Meeting Description
M220414-1	4/14/2022	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.
M220414-2	4/14/2022	Discuss AP PDD Open Items	A meeting was held to review and discuss AP PDD and open items.
M220418-1	4/18/2022	Discuss inventory GL account (balance sheet)	A meeting was held to discuss inventory mapping with GL accounts: PR Encumbrance, PO Encumbrance, Goods Receipts, Invoices, etc.
M220418-2	4/18/2022	Review Logistics PDDs open items	A meeting was held to review Logistics and Purchase Requisition PDD.
M220419-1	4/19/2022	Review Time Management PDD Open Items	A meeting was held to review Time Management PDD and Open Items.
M220419-2	4/19/2022	Payroll PDD	A meeting was held to review HR PDD and Payroll PDD.
M220420-1	4/20/2022	Discuss project rules of engagement	An internal DOTH meeting was held to discuss PMO status report.
M220420-2	4/20/2022	internal discussion - District Requirements for H4.	An internal DOTH meeting was held to discuss a plan for collecting District Requirements.
M220420-3	4/20/2022	GL & CO Open Items Q&A	A meeting was held to discuss Cost Centers and Payroll Journals.
M220420-4	4/20/2022	Discuss Project Systems PDDs comments & pending items	A meeting was held to review Project Systems PDD.
M220420-5	4/20/2022	Grants design touch base call	Q&A session for Grant Management was held: Training Plan.
M220421-1	4/21/2022	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.
M220421-2	4/21/2022	FM Touch Base and Budget PDDs open items review	A meeting was held to review FM PDD.
M220421-3	4/21/2022	Discuss Finance data design impact on quarterly budget	An internal DOTH meeting was held to discuss FM Budget Period.
M220421-4	4/21/2022	Update District requirements checklist	An internal DOTH meeting was held to discuss District requirements.
M220422-1	4/22/2022	FM Budget touch-base session follow up question	A meeting was held to discuss Budget Period Value in FM.
M220425-1	4/25/2022	Continued - Review Logistics PDDs open items	A meeting was held to review Purchase Requisition Purchase Order, Contract PDDs.
M220425-2	4/25/2022	GL, AP, Cash, & CO Open Items Q&A	Q&A session for GL, AP, Cash and CO was held to discuss Payroll Journals and Cost Centers.
M220426-1	4/26/2022	AP PDD - demo for multiple account assignment split lines	AP Demo session was held to discuss two invoice matching options: 1. multiple SFX lines per one PO line, 2. one SFX line per PO line.
M220426-2	4/26/2022	Continued review of Fixed Assets PDDs	A meeting was held to review FA PDD.

Meetings and Discussions			
Meeting ID	Meeting Date	Meeting Title	Meeting Description
M220427-1	4/27/2022	Discuss FHWA topics	A meeting was held to discuss Flexible Match, Tapered Match, County Pass Through, Central Federal Lands, and Payroll Posting.
M220427-2	4/27/2022	Continued review of Fixed Assets PDDs	A meeting was held to review FA PDD.
M220428-1	4/28/2022	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.
M220428-2	4/28/2022	Discuss H4 Journal Entries – CIP Labor	A meeting was held to discuss how H4 will generate CIP journals.
M220429-1	4/29/2022	Continued - Review Time Mgt & Payroll PDD open items	A meeting was held to review Time Management and Payroll PDDs.

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	
IVV5.07	Verification and Validation of Project Deliverables - Master Data Design Documents	Master Data Design Documents	Wave 1 / #18	11/8/2021	
IVV5.13	Verification and Validation of Project Deliverables - End User Training Strategy	End User Training Strategy	Wave 1 / #19	11/19/2021	
IVV3.07	Mid-Month Assessment (Nov 2021)	N/A	N/A	11/30/2021	

IV&V Deliverables, Reports and Meetings Completed					
IVV5.15	Verification and Validation of Project Deliverables - Interface Plan	Interface Plan	Wave 1 / #21	12/2/2021	
IVV4.07	Monthly Project Assessment Report (Nov 2021)	N/A	N/A	12/17/2021	
IVV3.08	Mid-Month Assessment (Dec 2021)	N/A	N/A	1/2/2022	
IVV4.08	Monthly Project Assessment Report (Dec 2021)	N/A	N/A	1/20/2022	
IVV5.09	Verification and Validation of Project Deliverables – Data Conversion Plan	Data Conversion Plan	Wave 1 / #22	1/31/2022	
IVV4.09	Monthly Project Assessment Report (Jan 2022)	N/A	N/A	2/15/2022	
IVV5.16	Verification and Validation of Project Deliverables - Technical Infrastructure Plan/Design	Technical Infrastructure Plan/Design	Wave 1 / #24	2/23/2022	
IVV3.10	Mid-Month Assessment (Feb 2022)	N/A	N/A	3/1/2022	
IVV4.10	Monthly Project Assessment Report (Feb 2022)	N/A	N/A	3/11/2022	
IVV3.11	Mid-Month Assessment (Mar 2022)	N/A	N/A	3/27/2022	
IVV4.11	Monthly Project Assessment Report (Mar 2022)	N/A	N/A	4/15/2022	
IVV3.12	Mid-Month Assessment (Apr 2022)	N/A	N/A	4/25/2022	
IVV4.12	Monthly Project Assessment Report (Apr 2022)	N/A	N/A	5/17/2022	






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
IVV5.10	Verification and Validation of Project Deliverables - Initial Deployment Plan	Initial Deployment Plan	Wave 1 / #23	May-2022	
IVV5.11	Verification and Validation of Project Deliverables - Analysis of Reporting Requirements	Analysis of Reporting Requirements	Wave 1 / #15	May-2022	
IVV5.12	Verification and Validation of Project Deliverables - Requirements Traceability Matrix	Requirements Traceability Matrix	Wave 1 / #16	May-2022	
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	May-2022	
IVV5.17	Verification and Validation of Project Deliverables - Document Fit/Gap Analysis	Document Fit/Gap Analysis	Wave 1 / #25	May-2022	

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 (e.g. time and expertise) necessary to complete the project.
	Quality Management	Identify and assess risks and issues to quality, specifically software, functionality, testing, documents, etc. via implementation of internal and external measures and processes established to regulate quality level as needed.
	Risk/Issue Management	Identify and assess risks and issues to software and deliverables. This may include considering and/or implementing processes to identify, monitor, communicate regarding, and mitigate potential items that could negatively impact the project.
	Organization Change Management	Identify and assess risks and issues involved in implementing changes necessary to optimize benefits of the new system. This may include end-user education of updated procedures, roles, responsibilities, technology, 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 for DOTH business.
	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) 4/29/2022																		
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, 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	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	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	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	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	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 HWAC Resource in Dec 2021	A key DOTH personnel, Chuck for HWAC, will retire in Dec 2021.	DOTH	Closed	N/A	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 HWAC 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	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	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	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	
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 terminology and relating SAP 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	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 SA) 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	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 the 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	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	N/A	LSI should complete the Communication Plan, the Chart of Accounts Design, the Business Process Organizational Change Management (OCM) Plan, 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	GENERAL	Project Plan and Implementation Schedule	The final Project Plan/Implementation Schedule has not been completed and submitted to DOTH. This is a foundational document for a project management and scheduling and one of the most critical deliverables. Delay in the Project Plan and Implementation Schedule pose decreased confidence in being able to meet the final Go-Live date. Also, without the Project Plan and the Implementation Schedule DOTH has limited project visibility and it will impact schedule and resource management.	LSI	In Progress	High	N/A	N/A	LSI should complete Project Plan/Implementation Schedule as soon as possible.	6/10/2021: The New Target Dates for Project Plan/Implementation Schedule is set to 6/22/2021 by LSI. 6/10/2021: Updated project plan was submitted by LSI but returned back to LSI due to incompleteness. 6/11/2021: No changes. 6/11/2021: The project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/12/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/13/2021: 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. 6/15/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/16/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/17/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/18/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/19/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/20/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/21/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/22/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/23/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/24/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/25/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/26/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/27/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/28/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/29/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 6/30/2021: 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. 7/2/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/3/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/4/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/5/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/6/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/7/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/8/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/9/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/10/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/11/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/12/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/13/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/14/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/15/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/16/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/17/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/18/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/19/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/20/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/21/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/22/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/23/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/24/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/25/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/26/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/27/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/28/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/29/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/30/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness. 7/31/2021: Updated project plan was submitted by LSI but returned back to LSI after DOTH review due to incompleteness.	4/29/2022			
O-210610-01	Observation	M210610-1	6/10/2021	Schedule Management	N/A	Explore Workshop - Schedule	The Explore As-Is on-site workshops are scheduled for three hours each to cover one or two business areas. These sessions might not be enough time for through review and discussion. No on-site or off-site sessions are scheduled for Thursday afternoons and Fridays even though DOTH staff is available and contractors are expected to be available for work during DOTH business hours.	LSI	Closed	N/A	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 busy 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	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	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	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 7/13/2021: #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	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-210531-01.	7/31/2021	7/31/2021	O-210613-01	
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	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	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, water/sewer funding, link project cost to specific state appropriation, labor compression, county pass-through and MYSD.	DOTH/LSI	Closed	N/A	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 #19 Workflow Strategy #20 Reporting Strategy #21 Integration Strategy #22 Conversion Strategy #23 Enhancement Strategy #24 Form Strategy #25 RTMs mapped to Workshops / SAP Modules #26 Preliminary WRICEF Inventory	LSI	Closed	Low	N/A	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.	7/3				

Observation, Risk and Issues (ORI) 4/29/2022																		
		TSI 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-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	Closed	N/A	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). 9/16/2021: 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. 10/23/2021: LSI and DOTH had a meeting with DAGS to discuss FAMIS interface. 11/4/2021: LSI and DOTH/ETS had a meeting with DAGS to discuss FAMIS interface. ETS confirmed that there is no IV Interface and no outbound interface from FAMIS available and no plan to develop it.	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. 10/23/2021: LSI and DOTH had a meeting with DAGS to discuss FAMIS interface. 11/4/2021: LSI and DOTH/ETS had a meeting with DAGS to discuss FAMIS interface. ETS confirmed that there is no IV Interface and no outbound interface from FAMIS available and no plan to develop it.	11/18/2021	11/18/2021		DOTA receives FAMIS files. It's recommended that the H4 Project Team find more information about possibility of extracting financial data from the FAMIS files in DOTA. Another option for extracting financial data is from DataMart.
I-210722-01	Issue	M210722-1	7/22/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	Explorer Workshop	The Explorer Workshops are conducted from SAP point of view. Consultants are introducing and explaining generic functions and features of SAP products before completing a thorough analysis of DOTH requirements listed in RFP with DOTH project team members. Some of the functional examples or concepts from the Explorer Workshops were too generic or not directly related to DOTH processes and requirements. Therefore, DOTH project team members are having difficult time understanding SAP functionalities and connecting SAP functionalities to DOTH processes and requirements.	LSI	Closed	Low	N/A	N/A	It is recommended that LSI hold additional sessions and/or utilize the remaining Explore Workshops to review and confirm the DOTH business terminology, processes, and requirements to effectively communicate with DOTH and to propose DOTH specific solutions.	7/31/2021: More DOTH requirements have been reviewed and discussed during the Explore workshops. However, DOTH project team members are still having difficulty understanding and connecting SAP functions and features to DOTH requirements. 9/2/2021: There were improvements, but many instances are observed where the DOTH team members were having difficult time understanding the workshops. 9/30/2021: There were continuous improvements, but there are some areas where DOTH team members were having difficult time understanding the workshops. 10/15/2021: No major updates. 10/31/2021: No major updates. There were two integrated Scenario Playback sessions on Oct 13 and Oct 27 2021. However, DOTH project team expressed they need more training and more DOTH requirements specific demo to better understand SAP.	11/18/2021	11/18/2021		This issue is no longer applicable for the Explore phase.
I-210722-02	Issue	M210722-1	7/22/2021	Resource Management	N/A	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. Assistant Project Manager was no longer with the project and LSI identified a replacement resource who will join the project soon.	LSI	Closed	Low	N/A	N/A	N/A	9/2/2021: LSI consultants' on-site availability increased.	9/2/2021	9/2/2021		
O-210722-03	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	N/A	9/2/2021: LSI identified an assistant project manager 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	N/A	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	Closed	N/A	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 7/2022 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.	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	Closed	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.	11/18/2021	11/18/2021	I-211115-01	This observation has been closed and recreated as an issue.	
O-210729-03	Observation	M210729-1	7/29/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	DOTH Critical Core Requirement	DOTH critical core requirement, "Waterfall Funding" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOTH in the Explore Phase.	DOTH/LSI	Closed	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.	11/18/2021	11/18/2021	I-211115-01	This observation has been closed and recreated as an issue.	
O-210729-04	Observation	M210729-1	7/29/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	DOTH Critical Core Requirement	DOTH critical core requirement, "Link Project Cost to Specific State Appropriation" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOTH in the Explore Phase.	DOTH/LSI	Closed	N/A	N/A	N/A	9/2/2021: No updates were reported to DOTH. 9/30/2021: There were discussions in Explore Workshops and preliminary design is being developed. 10/15/2021: No major updates. 10/31/2021: No major updates. 11/18/2021: Discussions are in progress. No major updates. 12/2/2021: Discussions are in progress. No major updates. 12/3/2021: DOTH held a workshop and presented again how DOTH processes Waterfall funding/Split on 12/3/2021: DOTH held a workshop and presented again how DOTH processes Waterfall funding/Split on 12/3/2021. A high-level solution has started but not completed yet. 1/31/2022: This requirement is very closely related to Waterfall Funding and this item will be merged/combined with R-220114-01.	12/31/2021	12/31/2021			
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	Closed	N/A	N/A	N/A	9/2/2021: No updates were reported to DOTH. 9/30/2021: There were discussions in Explore Workshops and preliminary design is being developed. 10/15/2021: Discussions are in progress. No major updates. 10/31/2021: Discussions are in progress. No major updates. 11/18/2021: Discussions are in progress. No major updates. 12/2/2021: Discussions are in progress. No major updates. 12/3/2021: DOTH held a workshop and presented again how DOTH processes Waterfall funding/Split on 12/3/2021: DOTH held a workshop and presented again how DOTH processes Waterfall funding/Split on 12/3/2021. A high-level solution has started but not completed yet. 1/31/2022: Full solution is not developed yet. This item will be closed and it is merged to an issue -> I-220131-5.	1/31/2022	1/31/2022	I-220131-3		
O-210729-06	Observation	M210729-1	7/29/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	DOTH Critical Core Requirement	DOTH critical core requirement, "Labor Compression" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOTH in the Explore Phase.	DOTH/LSI	Closed	N/A	N/A	N/A	9/2/2021: No updates were reported to DOTH. 9/30/2021: There were discussions in Explore Workshops and preliminary design is being developed. Payroll interface was discussed in the meeting with ETS on 9/28/2021. 10/15/2021: Discussions are in progress. No major updates. 10/31/2021: Discussions are in progress. No major updates. 11/18/2021: HIP interface discussions with ETS are in progress. 12/2/2021: Discussions are in progress. No major updates. 12/3/2021: Discussions are in progress. A high level solution has started but not completed yet. 1/31/2022: Full solution is not developed yet. This item will be closed and it is merged to an issue -> I-220131-6.	1/31/2022	1/31/2022	I-220131-4		
O-210729-07	Observation	M210729-1	7/29/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	DOTH Critical Core Requirement	DOTH critical core requirement, "The State Financial Accounting System" started being discussed in Explore Workshops, however there are more details to be covered. Explore is in progress. A high level solution design is scheduled to be developed and confirmed by DOTH in the Explore Phase.	DOTH/LSI	Closed	N/A	N/A	N/A	9/2/2021: No updates were reported to DOTH. 9/30/2021: 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. 11/4/2021: LSI and DOTH had a meeting with DAGS and ETS to discuss interface between FAMIS and H4. 11/10/2021: DOTH had a meeting with ETS to discuss possibility of downloading FAMIS data from DataMart. 12/2/2021: No major updates. 12/15/2021: AP FOD meeting was held to discuss FAMIS. A high-level solution has started but not completed yet. 1/31/2022: Full solution is not developed yet. This item will be closed and it is merged to an issue -> I-220131-7.	1/31/2022	1/31/2022	I-220131-5		
O-210804-01	Observation	M210804-2	8/4/2021	Resource Management	BD	Participation of Budget and Planning Consultant	Budget and Planning module in Wave 2 is scheduled to go live in 8/1/2022 one month after Wave 1 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	N/A	LSI may consider a Budget and Planning (SBP) consultant participate in O&M and CIP budget At-Is, To-Bes 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	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	Closed	N/A	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 decide 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.	9/2/2021: 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. 11/18/2021: LSI consultants will clarify existing and document any new requirements regarding Inventory, Plant Maintenance, HR, Grant Management and Payroll modules in the RTM.	11/18/2021	11/18/2021		
O-210811-02	Observation	M210811-1	8/11/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	Core Requirements for FHWA and DAGS/B&M	The main goal of the DOTH FMS project is to implement a new financial management system in compliance with FHWA and the state of Texas, DAGS/N&S, 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	Closed	N/A	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. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/3/2021: No major updates.	1/31/2022	1/31/2022	I-211108-01	
O-210826-02	Observation	M210826-5	8/26/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	Solution Design before Completion of Reviewing Requirements.	A high-level solution design is being developed before all of DOTH requirements are reviewed.	LSI	Closed	N/A	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	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	N/A	Fridays could be utilized for meetings and discussions.	9/30/2021: There have been occasional meetings on Fridays. 10/15/2021: No changes. 10/31/2021: More meetings occur on Friday.	10/31/2021	10/31/2021		
O-210902-02	Observation	M210902-1	9/2/2021	Schedule Management	N/A	Meeting Schedule	As of 9/2/2021, an access to Sandbox is not available to DOTH.	LSI	Closed	N/A	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 navigation.	9/17/2021: LSI provided access to SAP Sandbox.	9/30/2021	9/30/2021		
O-210902-03	Observation	M210902-1	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	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	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	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 Playbacks 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	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 meetings was held.	10/31/2021	10/31/2021		
I-210930-01	Issue	M210929-2	9/30/2021	Schedule Management	GENERAL	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), and Requirements Traceability Matrix.	DOTH/LSI	In Progress	High	N/A	N/A	Schedule should be reviewed and adjusted as needed.	10/15/2021: No major updates. 10/31/2021: It is extended again to the middle of November 2021. 11/18/2021: The Explore Phase has not been completed yet. There is no specific target date forecasted by LSI. 12/2/2021: The Explore Phase has not been completed yet. There is no specific target date forecasted by LSI. 12/3/2021: There is progress made with PDD, however Fit/Gap and RTM are being worked on as lower priority. Not completing RTM is leading to missed requirements that need additional explore sessions. 2/28/2022: PDD priorities were created and PDD review and validation are in progress. 3/31/2022: PDD reviews and validations are in progress. There is no specific target date forecasted by LSI. 4/29/2022: A target date for Explore Phase closure was determined to be 5/31/2022. LSI will schedule RTM meetings starting on the week of 5/9/2022.	4/29/2022			
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 Training 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	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.	DOTH	Closed	N/A	N/A	N/A	DOTH needs to make a decision on whether or not to implement full scope of Inventory and Plant Maintenance modules.	10/21/2021: DOTH requested that LSI consultants provide more				

Observation, Risk and Issues (ORI) 4/29/2022																	
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-211021-02	Issue	M211021-3	10/21/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	PDO	It is difficult for DOTH to determine if all of DOTH requirements are properly addressed and included in the correct sections in PDO since there are not cross-referenced in RTM and the requirements are not listed/referenced sequentially in PDO.	LSI	Closed	Medium	N/A	It is recommended that when PDO is submitted the corresponding section/module of RTM needs to be completed for DOTH to track requirements coverage, since RTM is referencing PDO.	10/28/2021: LSI project manager stated PDO is to be completed first and RTM is a result of PDO, also PDO is a living document and if there are requirements from RTM that were missed then they will be updated in PDO. 11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: RTM is not completed and it is being tracked by I-211028-02. This item will be combined with I-211028-02.	1/31/2022		1/31/2028-02	
I-211021-03	Issue	M211021-4	10/21/2021	Requirement Management (Processes, Requirements and Fit/Gap)	GENERAL	PDO	It is difficult for DOTH users to understand and validate PDO 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	In Progress	High	N/A	It is recommended that: -LSI and DOTH should confirm whether all the requirements are reviewed, clarified, and included in PDO. -More training catered to DOTH should be provided. -Core requirements should be considered to be a higher priority.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: All the initially planned PDO documents are submitted at least once. Most of them are going through rounds of DOTH's reviews and discussions. There were difficulty with understanding the PDO from each of the module having a different style and format for the process description and it was not standardized. Most of the PDO documents were showing incomplete information and DOTH asked for a revision. PDOs for Waterfall Funding, FHWA Billing and Plant Maintenance are still not submitted. 2/28/2022: More PDO sessions took place and LSI showed SAP functionalities and processes in Sandbox, which helped DOTH understand PDOs better. However, there are still concerns about not being able to fully understand the document and SAP functionalities. 3/31/2022: PDO sessions continued to take place but DOTH users were still having difficult time understanding PDOs. More training and knowledge transfer need to be delivered to the DOTH Project Team. 4/29/2022: PDOs review and discussion sessions continued to take place regarding Waterfall Funding/Spilt, Payroll, Billing including Flexible Match, Taper Match, Central Federal Land, and County Pass Through, etc. More training and knowledge transfer are needed.	4/29/2022			
R-211028-01	Risk	M211028-1	10/28/2021	Schedule Management	GENERAL	PDO	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, Finance/Integration Lead)	LSI	In Progress	High	High	It is recommended that: -Outstanding deliverables should be completed as soon as possible. -DOTH critical core requirements solution design needs to make progress. -DOTH critical core requirements should be higher priority. -Reasons for high turnover should be evaluated.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: Go-live date is planned to be discussed in mid-February. Go-Live date of 7/01/2022 is close to impossible to meet as of the assessment date. 2/28/2022: The new Go-Live date was tentatively planned to be updated in mid-February, however it is not announced by LSI and it will be discussed after PDOs are complete. Currently, there is no Go-Live date set. 3/31/2022: A new Go-Live date still has not been set by LSI. LSI suggested that once PDOs are completed and signed off, estimated Go-Live date can be established. DOTH requested that H4 project needs a new Go-Live date as soon as possible because project plan and resource scheduling requires a new Go-Live date. 4/29/2022: New Go-Live date will be re-assessed after PDOs are completed and accepted by DOTH in the Explore Phase.	4/29/2022			
I-211028-01	Issue	M211028-1	10/28/2021	Reports and Analytics	GENERAL	Delay in Deliverables	The Analysis of Reporting Requirements was delayed and has not been completed.	LSI	In Progress	High	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: No major updates. 3/31/2022: There was an Analysis of Reporting Requirement meeting held on 3/7/2022 and LSI decided to start analyzing DOTH reports first and get back to DOTH with a list of Standard Reports and Custom Reports. 4/29/2022: No major updates.	4/29/2022			
I-211028-02	Issue	M211028-1	10/28/2021	Requirement Management (Processes, Requirements and Fit/Gap)	GENERAL	Delay in Deliverables	The Requirements Traceability Matrix was delayed and has not been completed.	LSI	In Progress	High	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. Not going through the full DOTH requirements and not completing RTM before PDOs are completed are causing some requirements to be missed and that is causing multiple issues. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: LSI is targeting RTM to be completed by 5/31/2022.	4/29/2022			1/31/2022: Updated to High impact.
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	Closed	Low	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/2/2021: LSI submitted End User Training Strategy and DOTH's review is being in progress. 12/2/2021: DOTH review is being in progress. 12/31/2021: DOTH accepted End User Training Strategy	12/31/2021	12/31/2021		
I-211028-04	Issue	M211028-1	10/28/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	Delay in Deliverables	The Process Design Documents (PDD) (Documented Business Process Model) was delayed and has not been completed.	LSI	Closed	Low	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be tracked with I-211021-03.	1/31/2022	1/31/2022	I-211021-03	
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	Closed	Low	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 11/24/2021: LSI submitted and DOTH is reviewing it. 12/2/2021: DOTH requested a revision. 12/31/2021: No major updates.	1/31/2022	1/14/2022		
I-211028-06	Issue	M211028-1	10/28/2021	Data Conversion	GENERAL	Delay in Deliverables	The Data Conversion Plan was delayed and has not been completed.	LSI	In Progress	Low	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: LSI submitted draft and DOTH is reviewing. 2/28/2022: Data Conversion Plan review and updates are in progress. 3/31/2022: Data Conversion Plan review and updates are in progress. The Data Conversion Plan is supposed to contain more details according to the DED but H4 Project Team agreed that the details of Data Conversion such as data mapping, cleansing procedures, data extraction process, etc. can be included in the Functional Specification Documents. A follow-up meeting for project data conversion is scheduled for 4/4/2022. 4/4/2022: There was a meeting to clarify the outstanding data conversion plan items. Data Conversion Plan review and updates are in progress. 4/29/2022: No major updates.	4/29/2022			
I-211028-07	Issue	M211028-1	10/28/2021	Production Migration	GENERAL	Delay in Deliverables	The Initial Deployment Plan was delayed and has not been completed.	LSI	In Progress	Medium	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: No major updates.	4/29/2022			
I-211028-08	Issue	M211028-1	10/28/2021	Solution Design and Configuration	GENERAL	Delay in Deliverables	The Technical Infrastructure Plan/Design was delayed and has not been completed.	LSI	In Progress	Medium	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: LSI submitted Technical Infrastructure Plan/Design and DED for DOTH's review. DOTH requested a revision due to the document being incomplete and inaccurate. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/14/2022: Technical Infrastructure Plan/Design document was submitted with very generic information and it also included another client's implementation information. The document should be reworked and resubmitted. 3/31/2022: No major updates. 4/29/2022: No major updates.	4/29/2022			
I-211028-09	Issue	M211028-1	10/28/2021	Requirement Management (Processes, Requirements and Fit/Gap)	GENERAL	Delay in Deliverables	The Document Fit/Gap Analysis was delayed and has not been completed.	LSI	In Progress	High	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. This is directly impacting the project schedule. 2/28/2022: No major updates. 3/31/2022: No major updates. 4/29/2022: LSI is targeting Fit/Gap Analysis to be completed by 5/31/2022.	4/29/2022			1/31/2022: Impact was raised to Medium.
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	Closed	Medium	N/A	It is recommended that LSI complete the deliverable as soon as possible.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 1/31/2022: This item will be tracked with I-220131-01 and tracked together with Issue Log.	2/16/2022	2/16/2022		
O-211028-01	Observation	M211028-1	10/28/2021	Solution Design and Configuration	N/A	PDO	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	Closed	N/A	N/A	It is recommended that Project Design Document (PDD) include potential system/configuration solutions depending on DOTH's implementation scope decision.	11/3/2021: DOTH made a decision to include Inventory and Plant Maintenance modules in scope.	11/18/2021	11/18/2021		
O-211028-02	Observation	M211028-1	10/28/2021	Risk/Issue Management	N/A	Issue Log	Some items from Issue log are being discussed without detailed resolution or follow-up.	DOTH/LSI	Closed	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.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be tracked with I-220131-01 and tracked together with Issue Log.	1/31/2022	1/31/2022	I-220131-01	
O-211028-03	Observation	M211028-1	10/28/2021	Training and Knowledge Transfer	N/A	Training	DOTH project team members are not familiar with H4 system functions and features for PDO review and having difficulty applying them to DOTH's requirements.	DOTH/LSI	Closed	N/A	N/A	It is recommended that DOTH project team members request DOTH-specific one-on-one, hands-on training and question and answer sessions for more familiarity with H4 because the project team training conducted by LSI in May 2021 was based on generic and high-level non-DOTH specific requirements without much detail, nor live system demo with exercises.	11/18/2021: No requests for trainings have been made. Training for the project team members should be conducted as soon as possible. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be tracked with I-211021-03.	1/31/2022	1/31/2022	I-211021-03	
O-211031-01	Observation	M211028-1	10/31/2021	Resource Management	N/A	Resource Qualification	There are turnovers in LSI project team members. Some team members need more time to understand information related to FHWA and DOT processes.	DOTH/LSI	Closed	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.	11/18/2021: No major updates. 12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: This item will be tracked to issue: I-220131-02 as issue.	1/31/2022	1/31/2022	I-220131-02	
O-211103-01	Observation	M211103-1	11/3/2021	Requirement Management (Processes, Requirements and Fit/Gap)	PM	PM Implementation	Plant Maintenance implementation should not affect Go-Live on 7/1/2021.	DOTH/LSI	Closed	N/A	N/A	It is recommended that Plant Maintenance development is scheduled in order to not negatively impact Go-Live date for Wave 1. It can go live with Wave II (or it can have its own schedule/Wave). Meanwhile, a manual upload of plant maintenance financial data to GL may need to be considered.	12/2/2021: LSI is reviewing a solution for Plant Maintenance Go-Live date. 12/31/2021: No major updates. 1/31/2022: This item will be tracked with I-220131-02 as issue.	1/31/2022	1/31/2022		
I-211108-01	Issue	M211108-1	11/8/2021	Requirement Management (Processes, Requirements and Fit/Gap)	BD	Budget and Planning (SBP)	Budget and Planning (SBP) is a part of the H4 solution and it is supposed to encompass budget transactions, including DOTH's budget prep, execution, A-15, A-19, and A-21. However, LSI proposed that solution design for A-15, A-19, and A-21 will remain in Funds Management until Budget and Planning consultant is available in the future. The H4 Project Team with the SBP consultant will determine the best solution for processing budget maintenance requirements: A-15, A-19, and A-21.	DOTH/LSI	Closed	Medium	N/A	It is recommended that H4 Project Team design a permanent solution that will best fit DOTH budget requirements from its first design by engaging the SBP consultant, instead of postponing designing the solution.	12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: LSI and DOTH need to collaborate to decide on the solution design. 2/28/2022: Some progress has been made. However, continuous participation is needed to keep making progress. 3/31/2022: Continuous participation is needed to keep making progress.	2/28/2022	2/28/2022		There was a discussion session for PM and SBP and implementation will take both modules in account. More details will be discussed in the future, especially since Wave 1 implementation is delayed and direct coordination with Wave 2 SBP could take place.
O-211115-01	Observation	M211115-1	11/15/2021	Requirement Management (Processes, Requirements and Fit/Gap)	PG	Waterfall Funding Solution	A back-end split waterfall funding solution for FHWA billing is generally more common in the Department of Transportation Highways. However, the Department of Transportation Highways in Hawaii runs on a front-end split waterfall funding with many Funds/Appropriations. During the procurement process of a new DOTH Financial Management System, LSI proposed and confirmed that a front-end split waterfall funding would fit DOTH's requirements the best. When H4 project started, the financial lead took leadership and discussed a broad overview of how the future front-end split waterfall funding could work in SAP. Soon after, the financial lead left H4 project and LSI confirmed again that a front-end split waterfall funding is still the best solution for DOTH.	LSI	Closed	N/A	N/A	N/A	12/2/2021: No major updates. 12/31/2022: No major updates. 2/14/2022: This item is tracked to issue: I-220114-01 with the current status and update.	1/31/2022	1/31/2022	I-220114-01	
I-211115-01	Issue	M211115-1	11/15/2021	Resource Management	FB	Consultants for FHWA	Waterfall funding/Spilt is a core critical requirement for H4, however Waterfall Funding/Spilt was not discussed as much as it should be throughout the Explore Phase. It only started to be discussed recently as an integrated solution during FHWA Billing session.	LSI	Closed	Medium	N/A	It is recommended that waterfall funding/Spilt solution be designed by LSI as soon as possible.	12/2/2021: A whiteboard session is scheduled on 12/8/2021. DOTH held a workshop and presented again how DOTH processes Waterfall funding/Spilt. 1/31/2022: This item stems from Requirements not being discussed and that will be tracked with I-211028-02. Waterfall funding solution is being discussed is tracked with I-220114-01.	1/31/2022	1/31/2022	I-211028-02, I-220114-01	
I-211115-02	Issue	M211115-1	11/15/2021	Resource Management	FB	Consultants for FHWA	Workshops related to Split/Waterfall funding require all consultants to participate because this requirement impacts the various DOTH requirements, including procurement, invoice, payroll, timesheet, project, etc. However, some consultants did not attend the Split/Waterfall-related workshops.	LSI	Closed	Medium	N/A	FHWA Billing Process starts from cost collection where participation costs are incurred. It involves Fund Management, Requisitions, Purchase Orders, Accounts Payables, and General Ledger. Therefore, respective consultants should attend FHWA related meetings to collaborate and to develop an integrated solution for waterfall funding and FHWA billing.	12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. 2/28/2022: Some progress has been made. However, continuous participation is needed to keep making progress. 3/31/2022: Continuous participation is needed to keep making progress.	4/29/2022	4/29/2022		This issue is closed because progress has been made. However, H4 Project Team will keep monitoring.
R-211118-01	Risk	M211118-1	11/18/2021	Solution Design and Configuration	FB	Waterfall Funding Solution	The consultants do not seem to have experience of FHWA with many appropriations and with front-end split. These are unique requirements that Hawaii DOTH have that adds to the difficulty of the project for the consultants to understand the process and design the solution. Some consultants have very limited experience in those fields and it amplifies the difficulty. Some explore sessions showed that there are still areas that require better understanding of the processes.	LSI	Closed	Medium	Medium	There may need to be more sessions for a better and full understanding of the FHWA Billing, front-end split, waterfall funding, many-to-many relationship with appropriations and projects, along with any other module or area that need more information for PDO.	12/2/2021: No major updates. 12/31/2021: No major updates. 1/31/2022: No major updates. Lack of experience with some consultants is becoming more apparent as the deliverables are submitted. This item is being tracked to issue: I-220131-02	1/31/2022	1/31/2022	I-220131-02	
I-211202-01	Issue	M211202-1	12/2/2021	Quality Management	GENERAL	Errors, Omission, inaccuracy in Deliverables	Some LSI Deliverables contained errors and misinformation such as incorrect project name, other client's system architecture, missing/incomplete contents, etc. E.g., Technical Infrastructure Plan/Design, Project Standard Strategy, Scope Management Strategy, etc.	LSI	In Progress	High	N/A	It is recommended that deliverables are more carefully prepared, reviewed and proofread by LSI document quality team before submitting to DOTH for review.	1/31/2022: January has been mainly focused on PDO documents, however the documents were not well standardized. In addition, other documents showing untimely information and documents with noticeably templated information not specified for DOTH are frequently present. 2/14/2022: Technical Infrastructure Plan/Design document was submitted with very generic information and it also included another client's implementation information. The document should be reworked and resubmitted. 3/31/2022: Continuous monitoring is needed to improve quality of deliverable documents. 4/29/2022: Only PDOs and MDOs have been submitted and there has been some progress made, but other outstanding documents have not made progress.	4/29/2022			
I-211202-02	Issue	M211202-1	12/2/2021	Quality Management	N/A	Process Flow Formatting	Consultants worked on PDOs based on their responsible business areas. However, Process Flow Diagrams are not standardized in PDOs.	LSI	Closed	Low	N/A	N/A	1/31/2022: This item will be closed and be tracked together with I-211021-03.	1/31/2022	1/31/2022	I-211021-03	
I-211216-01	Issue	M211216-1	12/16/2021	Requirement Management (Processes, Requirements and Fit/Gap)	N/A	Level of Detail/Accuracy on PDO	LSI and DOTH had different views on what information and level of details PDO should include. LSI is looking at PDO from a higher level/summary perspective compared to DOTH and DOTH is requesting PDO to be more detailed in order to understand the document and the To-Be processes fully.	DOTH/LSI	Closed	Medium	N/A	PDO should be developed and compiled based on the Deliverable Expectation Document and LSI and DOTH should come to an agreement on where the discrepancies are with the expectations for the documents.	12/27/2022: The level of details and contents supposed to be included in PDO were discussed and the decision was made to follow the guidelines and instructions defined in PDO DED.	1/31/2022	1/31/2022		
I-220134-01	Issue	M220134-1	1/19/2022	Solution Design and Configuration	GENERAL	Waterfall Funding Solution	LSI presented the Waterfall Funding solution with three options: Front-End Split, Back-End Split, and Hybrid. These options were already presented and discussed during the procurement process and, currently, nine-months into the project there is still no solid resolution or decision regarding the Waterfall funding requirement.	LSI	In Progress	High	N/A	Waterfall funding is a Critical Core Requirement and design solution should be completed as soon as possible, especially since it impacts multiple areas of the System, and it may also impact the schedule.	2/10/2022: A Waterfall Funding meeting was held and the H4 Project Team discussed three options, improvement types, and programs codes. Review and updates are in progress. 3/13/2022: No major updates. LSI and DOTH need to collaborate to decide on the solution design. 4/12/2022: LSI presented a Waterfall funding solution overview and DOTH is waiting for FHWA documentation. 4/27/2022: More Waterfall Funding and Billing meetings were held. DOTH is waiting for FHWA PDO.	4/29/2022		M220141-3	

Observation, Risk and Issues (ORI) 4/29/2022																	
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-220114-02	Issue	M220127-1	1/27/2022	Requirement Management (Processes, Requirements and FI/Gap)	PO	RTM	The Blanket Encumbrance requirement was discussed in detail on 1/11/2022 for the first time. This is a result of not going over DOTH requirements first in the beginning of the project. This issue has been raised multiple times but was not resolved. Currently POD is being developed before RTM is completed.	DOTH/LSI	Closed	High	N/A	RTM needs to be completed as soon as possible to eliminate any requirements that may need more discovery and to confirm that all the requirements went through a proper explore process.		2/28/2022	2/28/2022		POD was submitted and discussion session took place. POD review by DOTH is in progress.
O-220114-01	Observation		1/14/2022	Contract Management	N/A	POD Authority to Modify	The clauses under "Authority to Modify" section in POD proposed by DOTH are rejected by Implementation Contractor even though the clauses are from the Contract.	LSI	Closed	N/A	N/A		1/31/2022: LSI will use DOTH proposed clause in the POD documents.	1/31/2022	1/31/2022		
I-220114-03	Issue	M220127-1	1/27/2022	Schedule Management	GENERAL	Wave 2	According to the project timeline, Wave 2 was supposed to start in December 2021. However, there are currently no Wave 2 activities that W&M team is aware of, including the Wave 2 kick-off meeting.	LSI	In Progress	High	N/A	At the current rate of progress, a Go-Live date of August 1st, 2022 will be extremely difficult to meet. The project schedule is planned will be revisited in mid-February for possible updates in the schedule. Wave 2 is planned after the completion of the Wave 1 Explore phase. The Wave 2 schedule should be revisited at the same time as the Wave 1 schedule update.	2/28/2022: The new Go-live date was tentatively planned to be updated in mid-February, however it was not announced by LSI and it will be discussed after PODs are complete. Wave 2 is also postponed, however the new time frame has not been proposed yet. Currently, there are no Go-Live date or Wave 2 timeline. 3/31/2022: LSI needs to set a new Wave 1 Go-Live date and Wave 2 timeline. 4/29/2022: No major updates.	4/29/2022			
R-220131-01	Risk	M220119-1	1/31/2022	Solution Design and Configuration	PG	Internal Order for Function Codes	LSI initially proposed Internal Order (IO) to capture infrastructure Type information for FHWA billing in September, 2021. However, LSI recently revised the solution, a few months after their initial proposal, because LSI discovered that IO cannot be a cost collector when Work Breakdown Structure (WSB) is used (IO and WSB cannot be used as a cost collector simultaneously).	LSI	Closed	High	High	This change in the FHWA billing solution design impacts multiple areas and a late change in design may consequently cause delays to the project schedule. The solution design should be finalized as soon as possible to minimize further impact.	2/28/2022: The Waterfall Funding solution is being developed. Currently, three high-level options have been presented, however more detailed discussion is needed. 3/31/2022: LSI proposed that Function Codes will be recorded in Functional Area.	3/31/2022	3/31/2022		
R-220131-02	Risk	M220119-1	1/31/2022	Solution Design and Configuration	N/A	Program Codes	LSI initially proposed Program Codes to be included in the Fund and it was rejected by DOTH because it will add unnecessary details and complexity to manage Appropriation codes and their balances. Program Codes are not tracked in GL financial reports nor in FAMIS.	LSI	Closed	High	High	LSI and DOTH need to explore possible options and weigh in pros and cons of each option as soon as possible to come up with a design resolution.	2/28/2022: A few internal DOTH meetings were held to discuss these options and more detailed discussion is needed.	2/28/2022	2/28/2022		This is consolidated with I-220114-01.
I-220131-01	Issue	M220128-1	1/31/2022	Risk/Issue Management	GENERAL	Open Items	Action items in "Open Items Tracker.xlsx" and "Issue Log" are not followed-up on or not reaching detailed resolution.	DOTH/LSI	Open	High	N/A	Open Items Tracker and Issue Log need to be consistently monitored and resolution needs to be sought after in order to minimize project issues and reduce project risks.	2/28/2022: No major updates. 3/31/2022: On 3/31/2022 PMO meeting, the previous Project Manager did not remember the "Open Items Tracker.xlsx" document and mentioned it is not being used or tracked. Issue Log still needs to be constantly reviewed, monitored and followed up. 4/28/2022: LSI proposed to hold a meeting soon to review "Issue Log" list.	4/29/2022			
I-220131-02	Issue	M211028-1	1/31/2022	Resource Management	GENERAL	Resource Qualification	A few LSI consultants are missing some DOTH requirements and POD documents are not covering all the DOTH processes and requirements. Certain information is incorrect in the PODs and it is unsure whether LSI consultants have a full understanding of DOTH processes and requirements. Some consultants seemed to have limited experience with DOTH and FHWA and need more time to understand information related to DOTH and FHWA processes.	DOTH/LSI	In Progress	High	N/A	LSI and DOTH should confirm that the consultants meet the qualifications as stated in the RFP equivalent work experience.	2/28/2022: A high turnover on top of the limited DOT experiences of the consultants has been an issue that makes the project more challenging to be implemented. Another consultant (FHWA Billing) left the H4 project. LSI found a replacement consultant, but he has not come to DOTH on-site yet. 3/31/2022: A new FHWA Billing consultant joined the H4 project and started to work on AR and FHWA Billing. Waterfall funding and FHWA solution are still in development. If there is a turnover, it should be ensured that the consultant meets the qualification stated in the RFP. Consultants who are unfamiliar with FHWA and DOTH requirements should attend other relevant meetings, especially including FHWA, to bridge the FHWA and DOTH knowledge gaps. 4/29/2022: No major updates. Consultants including the new FHWA Billing resource continue to develop FHWA solution design.	4/29/2022			
I-220131-03	Issue	M220131-1	1/31/2022	Requirement Management (Processes, Requirements and FI/Gap)	PG	RTM	Utility Agreement requirement was discussed in detail on 1/31/2022 for the first time. This is a result of not going over DOTH requirements first at the beginning of the project. This issue has been raised multiple times but was not resolved. Currently POD is being developed before RTM is completed.	LSI	Closed	High	N/A	RTM needs to be completed as soon as possible to eliminate any requirements that may need more discovery and to confirm that all the requirements went through a proper explore process.	1/31/2022: There was a Utility Agreement meeting and DOTH explained the Utility Agreement requirements and processes.	2/28/2022	2/28/2022		Project team needs to ensure that all the requirements have been covered.
I-220114-04	Issue	M220127-1	1/14/2022	Requirement Management (Processes, Requirements and FI/Gap)	N/A	POD/RTM	There are more than 40 PODs by processes and each module has multiple PODs. In order to understand processes of one module, multiple POD should be reviewed and validated, which makes it difficult to get a full picture of each module and end-to-end process integration. POD focused on processes and DOTH requirements were not necessarily referenced by POD documents. With multiple POD documents covering each module, it is very difficult to know which requirements are covered by a POD document and it makes it easy to miss a requirement.	DOTH/LSI	Closed	High	N/A	It is suggested that Requirements are fully reviewed and RTM be completed first, or at least parallel to POD. There are multiple requirements that were missed and had to have late explore sessions because the requirements were not reviewed in full and RTM was not completed.	1/31/2022: There are additional requirements still being discovered as addressed in I-220131-03, I-220131-04. Full review of requirements along with RTM should be treated as a high priority.	2/28/2022	2/28/2022		RTM is in progress and will be reviewed to ensure that all the requirements have been covered.
I-220131-05	Issue	O-210729-05	1/31/2022	Requirement Management (Processes, Requirements and FI/Gap)	GENERAL	DOTH Critical Core Requirement	A high-level solution for the DOTH critical core requirement, "Accounting for Appropriated, Allotted, and Cash Authority," is still being developed by LSI and not approved by DOTH.	DOTH/LSI	Closed	Low	N/A	This is a critical core requirement and the solution design needs to be completed as soon as possible as High Priority.	2/28/2022: PODs are being reviewed and updated. 3/31/2022: PODs are being reviewed and updated. E.g., Cash Authority is still being discussed for AP POD. 4/14/2022: LSI and DOTH agreed that a custom cash report will be developed to meet AP cash-check requirement. POD is being updated and reviewed.	4/29/2022	4/29/2022		AP POD is approved with Cash Check solution design which is to develop a custom report equivalent to DOTH Cash-Advice report.
I-220131-06	Issue	O-210729-06	1/31/2022	Requirement Management (Processes, Requirements and FI/Gap)	GENERAL	DOTH Critical Core Requirement	A high-level solution for the DOTH critical core requirement, "Labor Compression," is still being developed by LSI and not approved by DOTH.	DOTH/LSI	In Progress	High	N/A	This is a critical core requirement and the solution design needs to be completed as soon as possible as High Priority.	2/28/2022: PODs are being updated by LSI. 3/10/2022: LSI presented integration process from payroll to finance. There was a discovery session about how DOTH processes labor at FAMIS, DAGS, and HWYAC. The more detailed journal entries and processes need to be reviewed and clarified in the next meeting. 4/28/2022: Payroll meeting was held to review Payroll journals to develop its solution design.	4/29/2022			
I-220131-07	Issue	O-210729-07	1/31/2022	Requirement Management (Processes, Requirements and FI/Gap)	GENERAL	DOTH Critical Core Requirement	A high-level solution for the DOTH critical core requirement, "The State Financial Accounting System," has not been finalized yet.	DOTH/LSI	Closed	High	N/A	This is a critical core requirement and the solution design needs to be completed as soon as possible as High Priority.	2/28/2022: PODs are being reviewed and updated. 3/31/2022: PODs are being reviewed and updated. LSI stated that the detailed solution will be created and implemented in Realize Phase.	3/31/2022	3/31/2022		
I-220131-08	Issue	M220127-1	1/31/2022	Communication Management	GENERAL	Intra Team Communication	There are some requirements and processes that impact multiple modules, including waterfall funding, FHWA, etc. However, information is often siloed and it seems to not be communicated to the other consultants frequently. This results in multiple consultants asking for the same information on the same topic each time at different meetings.	LSI	In Progress	Medium	N/A	More coordination and collaboration is needed to design and develop an integrated solution. Proactively communicate with other consultants on topics that may be relevant for another consultant. Meeting recordings should be utilized to understand the relevant topic for the related process in another module. All key project team members to attend the meetings related to critical core requirements such as waterfall funding. Analyze each meeting's agenda to see if there are other consultants that should attend for related information.	2/28/2022: There is another consultant who is leaving the project and a replacement consultant has not participated in a meeting, and these turnovers are adding difficulty to the current communication issue. 3/31/2022: More collaboration is expected among LSI consultants where it requires integrated solutions such as Waterfall Funding, FHWA Billing, Labor, etc. When DOTH staff inquires about solutions that integrate across two or more functions between H4 modules, DOTH staff should also be provided with the integrated solution answer as opposed to separate or siloed bits of information of each H4 module. 4/29/2022: Efforts were made to improve communication and collaboration. (E.g., Rules of Engagement prepared by LSI)	4/29/2022			
O-220131-01	Observation	M220127-1	1/31/2022	Schedule Management	GENERAL	System Configuration	LSI started to configure H4 at risk before approval of POD.	LSI	In Progress	N/A	N/A	N/A	2/28/2022: No major updates. 3/31/2022: According to Phase Gate approach, LSI is not supposed to configure H4 before fully completing the Explorer Phase. LSI is continuing with the configuration and that could be a risk for LSI. 4/29/2022: No major updates.	4/29/2022			
I-220201-04	Issue	M220201-1	2/1/2022	Requirement Management (Processes, Requirements and FI/Gap)	PO	RTM	LSI missed reviewing Contract Ledger requirement during Discovery session and recently requested a discussion for this requirement. This is a result of not going over DOTH requirements first in the beginning of the project. This issue has been raised multiple times but suggesting the review of DOTH requirements before or together with POD was not accepted. Currently POD is being developed before RTM is completed.	LSI	Closed	Medium	N/A	RTM needs to be completed as soon as possible to eliminate any requirements that may need more discovery and to confirm that all the requirements went through a proper explore process.	2/1/2022: There was a discussion on the topic and POD is being developed.	2/28/2022	2/28/2022		
O-220216-01	Observation	M220216-2	2/16/2022	Training and Knowledge Transfer	N/A	Navigation Training	LSI provided H4 Navigation training on 2/9/2022. This was the first hands on training provided by LSI. There were Project Team Training sessions in the beginning of the project, however these were overview of SAP introduction to SAP rather than hands on training for each module.	DOTH/LSI	Closed	N/A	N/A	It is recommended to have continuous hands on training sessions.	2/28/2022: No major updates. 3/31/2022: According to Phase Gate approach, LSI is not supposed to configure H4 before fully completing the Explorer Phase. LSI is continuing with the configuration and that could be a risk for LSI. 4/29/2022: No major updates.	2/28/2022	2/28/2022		It merged with I-211001-03.
R-220223-01	Risk	M220223-2	2/23/2022	Requirement Management (Processes, Requirements and FI/Gap)	AP	Decentralizing AP Process	It was discussed that employees who initiate purchase also enter AP invoices in the Branch. There are a few concerns with this approach: - training issue - employees have to learn new process and task - resource concern - resource shifting/reorganization may need to take place from change in workload - over decentralization and additional support - if there are any errors or if troubleshooting is needed then the System Accountant needs to support multiple people - control issue	DOTH	In Progress	Low	Low	Further discussion is recommended to ensure the new process will be manageable for the Purchase Requisitioner position.	3/31/2022: No major updates. 4/26/2022: Two options for AP Invoice matching were presented by LSI and preferred option turned out to be very error prone, which will have a negative impact on DOTH's decentralized AP invoice entry procedure.	4/29/2022			
I-220224-01	Issue	M220224-1	2/24/2022	Requirement Management (Processes, Requirements and FI/Gap)	PO	Accounting Assignments	The project team discovered that expenditures cannot be charged to both Cost Center and Project at the same time. The current system allows to charge both Cost Center and Project simultaneously and tracks expenditures by Appropriation, Cost Center, Object Codes, and Charge Codes.	LSI	Closed	High	N/A	Further discussions are recommended to ensure the expenditures are charged correctly according to DOTH's requirements.	3/31/2022: LSI stated that Sub Division and Projects are recorded in Fund Center and WBSF respectively.	3/31/2022	3/31/2022		
O-220224-01	Observation	M220224-1	2/24/2022	Resource Management	GENERAL	Vacation Notice	Vacation notice should be provided at least two weeks in advance, if possible, to the related team members for meetings and resources planning purposes.	DOTH/LSI	Closed	N/A	N/A	N/A	3/31/2022: No major updates.	3/31/2022	3/31/2022		
I-220301-01	Issue	M220301-1	3/1/2022	Requirement Management (Processes, Requirements and FI/Gap)	AP	AP Invoice Matching	According to 3/1/2022 AP meeting, the current H4 does not have a functionality of matching invoices to a specific PO/Contract Suffix line(s) based on the user's need. LSI proposed that DOTH creates PO/Contract line with only one suffix line.	LSI	In Progress	High	N/A	A single suffix line approach does not appear to be a feasible workaround for DOTH business process. An enhancement is needed if a standard functionality cannot meet invoice matching requirement.	3/31/2022: A solution is still being developed by LSI. 4/26/2022: Two options for AP Invoice matching were presented by LSI. The pros and cons were discussed and the option 1 seems preferable but customization is required to put data entry validation and to make data entry more user friendly.	4/29/2022			
I-220301-02	Issue	M220303-1	3/1/2022	Contract Management	GENERAL	New Go-Live Date	Original Go-Live date was no longer feasible and a new date was supposed to be set in mid-February. However, no revision has been done for the Go-Live date and currently there is no target date for Go-Live.	LSI	Closed	Medium	N/A	A Go-Live date should be set to track progress and to allocate resource accordingly.	3/31/2022: LSI started to have a standing meeting every week for discussion and Q&A on Fund Management module. For non-FM related questions and discussion, FM consultant will bring respective module consultants as needed and provide answers or resolutions. The first FM Q&A session took place on 3/28/2022. 4/15/2022: Weekly Q&A sessions have been held to discuss open items, questions, and issues. 4/29/2022: Weekly Q&A sessions have been continuing.	3/31/2022	3/31/2022		Consolidated with R-211028-01.
I-220303-01	Issue	M220303-1	3/3/2022	Training and Knowledge Transfer	GENERAL	Training	DOTH requested weekly SAP training from LSI, but LSI stated that it is difficult due to resource constraints. LSI suggested to bring up questions as needed to each respective consultant.	LSI	In Progress	Low	N/A	One of the issues is the lack of SAP understanding that DOTH members have, and this makes it challenging to review PODs and to make progress with the project. It is recommended that LSI and DOTH both proactively work on bridging the knowledge gap for H4 by LSI offering additional training sessions and DOTH requesting system training and information as needed. The training does not have to be a formal structured classroom session, but it could be an informal standing session once a week to keep DOTH users more familiar with H4 functionalities and features and to maintain the implementation momentum throughout the H4 project.	3/31/2022: LSI started to have a standing meeting every week for discussion and Q&A on Fund Management module. For non-FM related questions and discussion, FM consultant will bring respective module consultants as needed and provide answers or resolutions. The first FM Q&A session took place on 3/28/2022. 4/15/2022: Weekly Q&A sessions have been held to discuss open items, questions, and issues. 4/29/2022: Weekly Q&A sessions have been continuing.	4/29/2022			
O-220310-01	Observation	M220310-2	3/10/2022	Requirement Management (Processes, Requirements and FI/Gap)	AP	AP Invoice Payment	According to 3/10/2022 AP meeting, H4 does not have a standard functionality of selecting invoices to be paid based on a branch or a district.	LSI	Closed	N/A	N/A	An enhancement is needed if a standard functionality cannot meet invoice selection requirement.	3/30/2022: LSI consultant demonstrated how invoices can be selected for payment based on Business Area on user specific invoice selection criteria.	3/31/2022	3/31/2022		
O-220314-01	Observation	M220314-1	3/14/2022	Requirement Management (Processes, Requirements and FI/Gap)	FM	Journals	DOTH currently first expends out inventories and equipment purchases, and then the equipment is reclassified to fixed assets at the fiscal year-end. Inventories are not reflected on the Balance Sheet. LSI proposed that purchases of inventories and equipment are charged to Asset account in FI and charged to Expense account in FM for the budgetary control purpose.	DOTH/LSI	In Progress	N/A	N/A	This proposed solution needs to be reviewed and validated by DOTH.	3/31/2022: No major updates. 4/29/2022: No major updates.	4/29/2022			
O-220316-01	Observation	M220316-2	3/16/2022	Requirement Management (Processes, Requirements and FI/Gap)	N/A	Material Group	LSI and DOTH need to work together to design UNHSPS values and level of detail as Material Group for both inventory and non-inventory items including goods and services in H4.	DOTH/LSI	In Progress	N/A	N/A	N/A	3/31/2022: No major updates. 4/29/2022: No major updates.	4/29/2022			
O-220328-01	Observation	M220328-2	3/28/2022	Requirement Management (Processes, Requirements and FI/Gap)	GL	Journals	Journal Entries (JE) that H4 generates in the various business areas, such as procurement, payable, receivable, billing, fixed asset, payroll, etc., had not been reviewed. DOTH recently asked journal entry questions by submitting journal entry forms with DOTH business scenarios "Procure to Fixed Assets," and LSI filled out the forms and did a presentation on 3/28/2022.	DOTH/LSI	In Progress	N/A	N/A	N/A	3/28/2022: LSI and DOTH reviewed journal entries for procure to fixed asset cycle. Appropriations and Cost Centers Fixed Assets are charged to during acquisition need to be discussed in more detail because they may be reclassified to General Fixed Assets Account Group. 4/29/2022: DOTH needs to follow up on a few outstanding items. (E.g., Fixed Asset Appropriations, Sub-Divisions, etc.)	4/29/2022			
O-220331-01	Observation	M220331-1	3/31/2022	Resource Management	GENERAL	Resource Turnover	The project manager and assistant project manager left the H4 implementation project. The Engagement Manager will assume the project manager position and started working on the project. There is no replacement assistant project manager identified at this point.	LSI	Closed	Low	N/A	Continuous staff turnover is a concern for this project.	4/15/2022: PMO meetings have been held with the new project manager.	4/29/2022	4/29/2022		The new project manager has been fully engaged and made a transition.
I-220331-01	Issue	M220331-1	3/31/2022	Schedule Management	GENERAL	Go-Live Date	LSI stated during the PMO meeting in February 2022 that a Go-Live date of Plant Maintenance will be reassessed and proposed with consideration of a phased approach (going live without PM) instead of the Big Bang approach.	LSI	In Progress	High	N/A	LSI needs to propose if Plant Maintenance module will be included in the Wave 1 Go-Live given the project is delayed and Plant Maintenance could take away the needed resources to be able to focus and complete Wave 1 implementation which will replace HWYAC.	4/29/2022: DOTH started to collect and compile Plant Maintenance, Inventory, and other AS400 requirements per LSI's request.	4/29/2022			
I-220331-02	Issue	M220331-1	3/31/2022	Schedule Management	GENERAL	Go-Live Date	The Go-Live date of Wave 2 for Budget and Planning (SBP) has not set yet.	LSI	In Progress	High	N/A	The Go-Live of Wave 2 for Budget and Planning (SBP) needs to be set as soon as possible because it impacts on the project plan, resource scheduling, and project management. It is recommended to weigh the pros and cons of merging Wave 1 and Wave 2 given that there is significant delay in the project progress.	4/29/2022: No major updates. In accordance with meetings and discussions, it should be carefully considered that SBP goes live with other modules at once because it will eliminate any additional reconciliation process and streamline the whole end-to-end budget procedures if SBP goes live at the same time as FM.	4/29/2022			
O-220407-01	Observation	M220407-1	4/7/2022	Contract Management	GENERAL	POD	There were discussions around approval of POD. There was a supplementary DED providing additional information and conditions to make progress in finalizing PODs.	DOTH/LSI	Closed	N/A	N/A	N/A		4/29/2022	4/29/2022		The new DED was approved by DOTH.
O-220412-01	Observation	M220412-1	4/12/2022	Solution Design and Configuration	PG	Program Codes	DOTH and LSI discussed a new Fund structure and decided not to combine Appropriations and Program Codes into the Fund field. Program Codes will be captured as part of Project Codes.	DOTH	Closed	N/A	N/A	N/A		4/29/2022	4/29/2022		Previously this item was identified as Risk R-220131-02 and the risk item is closed.
R-220418-01	Risk	M220418-2	4/18/2022	Solution Design and Configuration	PO	PR Approval Hierarchy	The current approval hierarchy of Purchase Requisitions are complicated and has more than 10 levels. This may cause delays in approval and needs high maintenance.	DOTH/LSI	Open	High	High	It is recommended that DOTH review the process flow with LSI and consider streamlining the approval process.		4/29/2022			
I-220427-01	Issue	M220427-2	4/27/2022	Requirement Management (Processes, Requirements and FI/Gap)	FA	FA POD	Some basic standard functionality in Fixed Assets were not able to be presented due to Sandbox errors. E.g., Fixed Assets Transactions.	LSI	Open	High	N/A	It is recommended that Sandbox systems are maintained to be in working order to be able to review as needed to help POD discussions.		4/29/2022			
I-220428-01	Issue	M220428-1	4/28/2022	Requirement Management (Processes, Requirements and FI/Gap)	FA	Barcode Solution	Barcode solution for physical inventory in H4 is still pending. Barcode software and hardware have not been proposed yet by LSI.	LSI	Open	Low	N/A	It is recommended that Barcode solution needs to be developed as soon as possible.		4/29/2022			

Observation, Risk and Issues (ORI) 4/29/2022														
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
O-220328-01	Observation	M220428-1	4/28/2022	Resource Management	GENERAL	New Resources	DOTH recently hired two additional system accountants and they are engaged with the H4 project.	DOTH	Closed	N/A	N/A	N/A		4/29/2022