

OVERVIEW:

The DLC action plan is broken out by 6 major categories:

- I. Improve customer service action plan
- II. Improve warehouse operations action plan
- III. Improve special orders action plan
- IV. Improve retail operations action plan
- V. Improve delivery and fleet action plan
- VI. Improve financial controls and general operations action plan

In total, the comprehensive action plan includes more than 55 major actions:

- 12 Customer service actions
- 14 Warehouse actions
- 5 Special order actions
- 5 Retail actions
- 6 Delivery and fleet options
- 13 Financial controls and general operations actions

Many areas for improvement span two or more categories and therefore some overlap may occur. The sections have been divided as much as possible.

Each action item is listed with its corresponding Milestones, sub-actions, estimated start and end dates, lead party(ies) and supporting party(ies).

Each sub-action is categorized, in general, as short term (April through June), medium term (July-December), and long term (2016 and beyond).

For each Milestone, the primary action steps that need to be completed to accomplish the Milestone are identified under the "Prime" column; supporting action steps are identified under the "Supporting" column.

Tracking Progress:

Progress made and a brief narrative can be found for each category. This section will be updated monthly to inform DLCStat discussions and articulate progress made, highlights, upcoming items, and areas in risk of falling behind.

Status updates on sub-actions are provided in the "Status" column and are color coded using the following key:

Key
Complete
In Progress
Not Started
Overdue
Follow up Needed

	A	B	C	D	E	L	M	N	O	P	Q	R	S
	MILESTONE				"Original" (6/30/2015) Milestone Date	3/31 Milestone Date	5/31 Milestone Date	8/31 Milestone Date	10/26 Milestone Date	10/26 Update	12/14/16 Milestone Date	Lead	Support
4	I. Improve Customer Service Action Plan												
5	MILESTONES	M1	Implement Customer Service Center (including improvements in iStore and iSupplier)		10/9/2015	1/31/2016	1/31/2016	1/31/2016	1/31/2016	Complete	Complete	DLC	OMB, DTS, OHR
6		M2	Implement Ongoing Performance Metrics and Customer Feedback/Improvement System		9/1/2015	1/31/2016	1/31/2016	1/31/2016	1/31/2016	Complete	Complete	DLC	ERP, Finance, CountyStat
7	II. Improve Warehouse Operations Action Plan												
8	MILESTONES	M3	Implement Improvements in Inventory Management/Control Program		7/31/2015	7/31/2016	7/31/2016	2/28/2017	2/28/2017	On Schedule	On Schedule	DLC	OMB, OHR
9		M4	Implement Improvements in Inventory Management Automated System (including use of scanners)		7/31/2015	7/31/2016	7/31/2016	2/28/2017	2/28/2017	On Schedule	On Schedule	DLC	ERP, DTS
10		M5	Implement Organizational Changes		7/10/2015	7/31/2016	7/31/2016	9/2/2016	9/2/2016	Complete	Complete	DLC	CAO, OHR
11		M6	Implement Ongoing Performance Metrics and Feedback/Improvement System		7/31/2015	3/31/2016	3/31/2016	3/31/2016	3/31/2016	Complete	Complete	DLC/CountyStat	Internal Auditor
12	III. Improve Special Orders Action Plan												
13	MILESTONES	M7	Implement Improvements in Special Order Delivery Operations		8/15/2015	4/30/2016	7/31/2016	7/31/2016	7/31/2016	Complete	Complete	DLC / ERP	Suppliers
14		M8	Implement Ongoing Performance Metrics and Customer Feedback/Improvement System		7/31/2015	3/31/2016	3/31/2016	3/31/2016	3/31/2016	Complete	Complete	DLC / CountyStat	ERP
15		M9	Conduct Alternatives Analysis for: Special Orders Delivery Outsourcing, Direct Shipment, and Other Improvements		8/15/2015	1/31/2016	1/31/2016	3/31/2016	3/31/2016	Complete	Complete	DLC	CAO/ACAO; State
16	IV. Improve Retail Operations Action Plan												
17	MILESTONES	M10	Open Three (3) New Stores and Relocate One Store in FY16		6/30/2016	9/30/2016	12/31/2016	12/31/2016	2/28/2017	On schedule	On schedule	DLC	DTS; DGS
18		M11	Develop Long-Range Retail Store Business Plan/Strategy		6/30/2016	9/30/2016	9/30/2016	12/31/2016	12/31/2016	On schedule	On schedule	DLC	DGS, DTS, Co. Attorney
19		M12	Implement Best Management Practices: Performance Monitoring and Internal Controls		7/15/2015	1/31/2016	1/31/2016	1/31/2016	1/31/2016	Complete	Complete	DLC / CountyStat	
20	V. Improve Delivery and Fleet Operations Action Plan												
21	MILESTONES	M13	Implement Improvements in Delivery Routing & Operations		12/31/2015	6/30/2016	11/30/2016	2/28/2017	2/28/2017	On schedule	On schedule	DLC	DTS
22		M14	Complete Analysis of Fleet Requirements and Alternatives and Develop Recommendations		8/31/2015	8/31/2016	?	8/31/2016	8/31/2016	Complete	Complete	DLC	DGS, PRO, OMB
23		M15	Implement Improvements in Delivery & Fleet Performance Monitoring		8/31/2015	8/31/2016	?	2/28/2017	2/28/2017	On Schedule	On Schedule	DLC / CountyStat	
24	VI. Improve Financial Controls and General Operations Action Plan												
25	MILESTONES	M16	Complete post implementation FY15 transaction processing		8/31/2015	8/31/2015	8/31/2015	8/31/2015	8/31/2015	Complete	Complete	DLC	Finance, ERP
26		M17	Implement improvements to financial and internal controls		12/31/2015	6/30/2016	6/30/2016	10/31/2016	10/31/2016	On Schedule*		DLC	Finance, ERP
27		M18	Implement best practices: workforce planning, standard operating procedures, process improvements		12/31/2015	12/31/2016	12/31/2016	2/28/2017	2/28/2017	On schedule		DLC	Finance, ERP
28													
29			Red text indicates a Status Update or Milestone target completion date that was revised from the prior month's update										
30			*Expected completion date is likely to be extended										

I. Improve Customer Service								
Milestone Updates	Milestone Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
<p>M1 Implement Customer Solutions Center (including improvements in iStore and iSupplier)</p> <p>Major Accomplishments (What have we accomplished in the last month? Milestone has been completed.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Operations are now of a routine nature. Milestone has been completed.</p> <p>Current Risks: *None .</p>	1/31/16	Complete	Complete	Complete	Complete	Complete	DLC	OMB, DTS, OHR
<p>M2 Implement Ongoing Performance Metrics and Customer Feedback/Improvement System</p> <p>Major Accomplishments (What have we accomplished in the last month?):* Performance measures completed and routinely monitored. Milestone completed.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Milestone completed</p> <p>Current Risks (Current or expected items that need CAO/CAAO attention): * None</p>	1/31/2016	Complete	Complete	Complete	Complete	Complete	DLC	ERP, Finance, CountyStat

Milestone	Prime	Supporting	Action Item	Term	Start Date	Expected Completion Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
M1 Action Steps													
1. Create an order and customer service center													
M1		1.A	Review responsibilities of Buyers and Order takers	Short	4/21/2015	6/19/2015	Completed	Completed	Completed	Completed	Completed	DLC CHIEFS	
M1		1.B	Request abolish/create 8 positions (G16-G18), and one G21 to G25 for CSCC Manager	Short	4/27/2015	6/5/2015	Completed	Completed	Completed	Completed	Completed	Pandya	OMB, OHR
M1		1.C	Cross train personnel	Medium	8/31/2015	10/31/2015	In Progress	In Progress	In Progress	Completed	Completed	DLC CHIEFS	
M1		1.D	Develop protocols for follow up with customers	Medium	8/6/2015	9/30/2015	Completed	Completed	Completed	Completed	Completed	DLC CHIEFS	
M1		1.E	Develop tracking of customer calls	Medium	5/18/2015	10/31/2015	Completed	Completed	Completed	Completed	Completed	DLC CHIEFS	DTS
	M1	1.F	Investigate use of MC311/adaptation	Short	5/11/2015	ongoing	Completed	Completed	Completed	Completed	Completed	DLC CHIEFS	DTS
M1		1.G	Recruit additional personnel (1 G18 position) for customer service center	Medium	6/1/2015	9/21/2015	Completed	Completed	Completed	Completed	Completed	DLC CHIEFS	OMB, OHR
	M1	1.H	Obtain random feedback from customers on new process	Medium	6/1/2015	10/31/2015	In Progress	N/A	N/A	Completed	Completed	DLC CHIEFS	
	M1	1.I	Adjust/refine protocols based on feedback	Medium	7/1/2015	12/31/2015	In Progress	N/A	N/A	Completed	Completed	DLC CHIEFS	
	M1	1.J	Adopt permanent procedures	Medium	6/22/2015	12/31/2015	In Progress	N/A	N/A	Completed	Completed	DLC CHIEFS	
M1		1.K	Recruit the Supervisor of the Customer Service Center	Medium	4/27/2015	9/21/2015	Completed	Completed	Completed	Completed	Completed	DLC CHIEFS	OMB, OHR
4. Centralize iStore and iSupplier at DLC													
M1		4.A	Develop tracking tool for Licensee & Suppliers	Short	4/30/2015	6/19/2015	Completed	Completed	Completed	Completed	Completed	DLC -Matt Douglas	
M1		4.B	Track licensees and supplier-assisted licensees, and suppliers trained	Short	5/15/2015	ongoing	In Progress	In Progress	In Progress	Completed	Completed	DLC -Matt Douglas	
M1		4.C	Identify problem areas for vendors using iStore	Short	5/15/2015	ongoing	Completed	Completed	Completed	Completed	Completed	DLC -Matt Douglas	
M1		4.D	Provide training to vendors on registration and use of iStore	Short	5/15/2015	ongoing	In Progress	In Progress	In Progress	Completed	Completed	DLC -Matt Douglas	
M1		4.E	Display imaged A/P invoice documents in iSupplier to suppliers (similar to Oracle workbench)	Medium	9/15/2015	11/30/2015	Completed	Completed	Completed	Completed	Completed	ERP / DOF - Shabani	
M1		4.F	Identify problem areas and/or enhancements for vendors using iSupplier	Long	2/1/2016	ongoing	Completed	Completed	Completed	Completed	Completed	DOF-Shabani/DLC	ERP
M1		4.G	Identify and implement system improvements/enhancements for iSupplier	Long	3/1/2016	ongoing	Completed	Completed	Completed	Completed	Completed	DOF-Shabani/DLC	ERP
M1		4.H	Identify and implement any enhancements to DLC vendor training on iSupplier	Long	11/1/2015	ongoing	Completed	Completed	Completed	Completed	Completed	DLC	ERP
5. Conduct Lab Sessions for Licensees and Suppliers on the use of Reports, iStore													
M1		5.A	Schedule weekly sessions for the months of April, May and June	Short	4/13/2015	5/25/2015	Completed	Completed	Completed	Completed	Completed	ERP/DLC	
M1		5.B	Reevaluate frequency of lab session	Short	5/25/2015	6/5/2015	Completed	Completed	Completed	Completed	Completed	ERP/DLC	
M1		5.C	Publish and communicate Lab Session to Licensees and Suppliers	Short	6/1/2015	7/13/2015	Completed	Completed	Completed	Completed	Completed	ERP/DLC	
8. Conduct Monthly Informational meetings for all DLC Staff													
	M1	8.A	Establish overall goals, expectations, customer service standards, review critical business processes and the impact of end-to-end integration	Short	5/5/2015	ongoing	Completed	Completed	Completed	Completed	Completed	DLC/Change Mgmt.	
9. Develop manpower analysis													
M1		9.A	Review position responsibilities and need for changes/ additions based on needs resulting from changed processes	Short	4/15/2015	10/31/2015	Completed	Completed	Completed	Completed	Completed	DLC CHIEFS	
M1		9.B	Prepare report for approval	Short	4/15/2015	5/6/2015	Completed	Completed	Completed	Completed	Completed	DLC D.O./ OMB	
	M1	9.C	Obtain approvals for long-term staffing needs	Medium	5/4/2015	ongoing	Completed	Completed	Completed	Completed	Completed	DCL CHIEFS	CAO, OMB
		9.D	Prepare updated report for all of DLC personnel needs.	Long	11/16/2015	1/31/2016	Completed	Completed	Completed	Completed	Completed	Dir. Office	
		9.E	Obtain CAO final approval	Long		2/29/2016	Completed	Completed	Completed	Completed	Completed	CAO	
10. Improve personnel complement and ability to fill vacant positions													
M1		10.A	Develop justification for blanket exemptions to hire and present to approvers	Short	4/1/2015	4/1/2015	Completed	Completed	Completed	Completed	Completed	DLC/Dir Off.	CAO, OMB, OHR
M1		10.B	Obtain approvals from appropriate parties	Short	4/1/2015	4/1/2015	Completed	Completed	Completed	Completed	Completed	CAO/OMB/OHR	DLC
M1		10.C	Initiate and complete hiring process for new MIII (Chief, Division of Wholesale Ops)	Short	6/1/2015	8/31/2015	Completed	Completed	Completed	Completed	Completed	Director's Office	
M1		10.D	Evaluate final personnel needs in the warehouse	Medium	8/17/2015	9/30/2015	Completed	Completed	Completed	Completed	Completed	DO/Div. Chief	
M1		10.E	Initiate recruiting process (including warehouse and drivers)	Medium	8/24/2015	8/28/2015	Completed	Completed	Completed	Completed	Completed	DLC / Gus M de O	
	M1	10.F	Investigate need for a real estate specialist or changes to current management structure.	Medium	7/1/2015	8/31/2015	Completed	Completed	Completed	Completed	Completed	DO/Gus	
	M1	10.G	Fill positions for warehouse and drivers	Medium	8/28/2015	10/30/2015	In Progress	In Progress	In Progress	Completed	Completed	DLC CHIEFS	
12. Review organizational structure and responsibilities													
M1		12.A	Study, recommend and implement organizational changes including Divisions and Sections	Short	5/1/	6/15/2015	Completed	Completed	Completed	Completed	Completed	Director's Office	CAO, OHR
M1		12.B	Hire personnel if study recommends additional positions	Medium	5/15/2015	12/31/2015	Completed	Completed	Completed	Completed	Completed	Director's Office	OHR

M2 Action Steps												
2. Conduct focus group meetings with licensees and suppliers to obtain feedback												
M2		2.A	Identify focus group agenda	Short	4/1/2015	4/3/2015	Completed	Completed	Completed	Completed	Completed	ERP
M2		2.B	Hold regional focus groups for two groups: licensees and suppliers	Short	4/6/2015	4/10/2015	Completed	Completed	Completed	Completed	Completed	ERP
M2		2.C	Analyze findings	Short	4/13/2015	4/16/2015	Completed	Completed	Completed	Completed	Completed	ERP
M2		2.D	Gather feedback	Short	4/16/2015	4/16/2015	Completed	Completed	Completed	Completed	Completed	ERP
M2		2.E	Publish a findings report	Short	4/17/2015	6/12/2015	Completed	Completed	Completed	Completed	Completed	ERP
M2		2.F	Incorporate findings into the DLC action plan	Short	4/16/2015	9/30/2015	Completed	Completed	Completed	Completed	Completed	DLC/ EG
3. Conduct focus groups sessions with DLC staff to obtain feedback on system, processes, etc.												
M2		3.A	Develop focus group agenda	Short	4/20/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP Change Mgmt.
M2		3.B	Conduct sessions with each DLC business group	Short	4/20/2015	4/30/2015	Completed	Completed	Completed	Completed	Completed	ERP Change Mgmt.
M2		3.C	Analyze findings	Short	5/5/2015	6/30/2015	Completed	Completed	Completed	Completed	Completed	ERP Change Mgmt.
M2		3.D	Gather feedback	Short	5/5/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP Change Mgmt.
M2		3.E	Publish finding in a report	Short	5/11/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP Change Mgmt.
M2		3.F	Incorporate findings in DLC Action Plan	Medium	5/18/2015	9/30/2015	Completed	Completed	Completed	Completed	Completed	DLC
6. Utilize LRE Inspectors to address Licensees questions												
M2		6.A	Develop outreach approach	Short	4/25/2015	6/12/2015	Completed	Completed	Completed	Completed	Completed	ERP/ DLC
M2		6.B	Identify top 10 questions	Short	4/25/2015	10/31/2015	Completed	Completed	Completed	Completed	Completed	ERP/ DLC
7. Develop and conduct Licensees, Supplier and Retail customer surveys (3 surveys)												
M2		7.A	Develop survey based on performance indicators for customer satisfaction (Postponed Indef.)	Medium	5/1/2015	10/31/2015	In Progress	In Progress	N/A	N/A	N/A	DLC, CountyStat
M2		7.B	Test survey and modify (Postponed Indefinitely)	Medium	9/1/2015	11/15/2015	Not Started	Not Started	N/A	N/A	N/A	DLC, CountyStat
M2		7.C	Conduct survey and analyze results (Reoccurring every 6 months) (Postponed Indefinitely)	Medium	10/1/2015	1/1/2016	Not Started	Not Started	N/A	N/A	N/A	DLC, CountyStat
M2		7.D	Modify process based on survey analysis (Postponed)	Long	1/1/2015	ongoing	Not Started	Not Started	N/A	N/A	N/A	DLC, CountyStat
11. Track performance improvement in customer service												
M2		11.A	Review current metrics	Short	4/20/2015	8/31/2015	Completed	Completed	Completed	Completed	Completed	DLC EG, CountyStat
M2		11.B	Create new metrics based on new processes / closing cases	Long	4/20/2015	2/29/2016	Completed	Completed	Completed	Completed	Completed	DLC EG, CountyStat
M2		11.C	Track and report on new metrics	Medium	12/1/2015	ongoing	In Progress	Completed	Completed	Completed	Completed	DLC EG, CountyStat
M2		11.D	Implement DLCstat meetings occurring monthly	Short	6/2/2015	ongoing	In Progress	In Progress	In Progress	Completed	Completed	DLC EG, CountyStat

II. Improve Warehouse Operations Action Plan								
Milestone Updates	Milestone Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
<p>M3 <u>Implement Improvements in Inventory Management/Control Program</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * Funding for all additional racking has been secured and order has been placed. * Coordination with in-house ERP staff has determined that we need to obtain outside software, which will be a bolt-on to the Oracle system. DTS has agreed to assist DLC in vendor selection. Have added an action item for training of staff once new software is installed. *Other actions on this milestone have been completed.</p> <p>Upcoming major Actions: * Installation of additional flow racking expected to be completed by end of February, 2017. Continue efforts with DTS to secure scanning software and train staff once installed.</p> <p>Current Risks (Current or expected themes that need CAO/CAO attention): * None</p>	7/31/2016	7/31/2016	7/31/2016	2/28/2017	2/28/2017	2/28/2017	DLC	OMB, OHR
<p>M4 <u>Implement Improvements in Inventory Management Automated System (including use of scanners)</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * Have added a new Action Item, 4.G, to track the implementation of new scanner software to enhance effectiveness and efficiency of scanner. Software and vendor have been identified. Working with ERP, Finance and Procurement to obtain it and install it. All other actions in the milestone are complete.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Proceed with ordering of flow racking, receive it and install it by end of February, 2017. *Work with DTS on implementation of first phase of scanning software update.</p> <p>Current Risks (Current or expected items that need CAO/CAO attention): *None at this time.</p>	7/31/2015	7/31/2016	7/31/2016	2/28/2017	2/28/2017	2/28/2017	DLC	ERP, DTS
<p>M5 <u>Implement Organizational Changes</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * We have added one new action item , 2.L, to track the installation of flow racking in the wine and spirits section of the warehouse. All other action items are completed.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Install racking as soon as it arrives from the manufacturer.</p> <p>Current Risks (Current or expected items that need CAO/CAO attention): * None.</p>	6/30/2016	6/30/2016	6/30/2016	9/2/2016	Completed	Completed	DLC	CAO, OHR
<p>M6 <u>Implement Ongoing Performance Metrics and Feedback/Improvement System</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * Metrics has been established and tracking by CountyStat is fully under way. Milestone completed.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Milestone Completed.</p> <p>Current Risks (Current or expected items that need CAO/CAO attention): * None.</p>	3/31/2016	Completed	Completed	Completed	Completed	Completed	DLC/CountyStat	Internal Auditor

Milestone		Action Item	Term	Start Date	Expected Completion Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
Prime	Supporting											
M3 Action Steps												
1. Engage expert consultant to improve Warehouse operations and logistics [see 2E-2G]												
M3		1.A Hire consultant for comprehensive on-site review of warehouse operations	Short	5/4/2015	6/29/2015	Completed	Completed	Completed	Completed	Completed	GMO/DLC	
M3		1.B Consultant's report with recommendations by fall	Short	9/30/2015	10/31/2015	Completed	Completed	Completed	Completed	Completed		
M3		1.C Review report and select recommendations for change	Short	10/31/2015	11/30/2015	Completed	Completed	Completed	Completed	Completed		
	M3	1.D Incorporate consultant findings into action plan	Medium	6/22/2015	ongoing	Completed	Completed	Completed	Completed	Completed	GMO/DLC	
M3		1.E Request OK to implement new racking for stock, special order, and keg beer	Long	11/2/2015	4/30/2016	In Progress	Completed	Completed	Completed	Completed	Zeltner	
		1.F Obtain budgetary approval/denial/postponement	Long	3/1/2016	5/3/2016	Not Started	Not Started	Completed	Completed	Completed	Zeltner	
		1.G Implement if approved, or postpone due to budget constraints	Long	5/1/2016	6/30/2016	Not Started	Not Started	In Progress	Completed	Completed	Zeltner	
3. Identify and define root cause of Shorts on Trucks												
M3		3.A Engage Warehouse staff in identify issues	Short	4/20/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	DLC GMO/ERP	
M3		3.B Develop action plan to address issues	Short	4/20/2015	7/10/2015	Completed	Completed	Completed	Completed	Completed	Montes de Oca/ERP	
M3		3.C Communicate the importance and plan to Warehouse staff	Short	4/27/2015	6/30/2015	Completed	Completed	Completed	Completed	Completed	Montes de Oca/ERP	
	M3	3.D Review progress each week and communicate with staff	Short	4/27/2015	On-going	Completed	Completed	Completed	Completed	Completed	Montes de Oca/ERP	
M3		3.E Identify all reasons for Shorts on Trucks	Short	4/20/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	Montes de Oca/ERP	
M3		3.F Develop a report measure weekly and monthly Shorts on Trucks	Short	5/5/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	DLC GMO / ERP	
5. Identify and document Returns to Warehouse												
M3		5.A Identify all reasons for Returns; Did not Order, Wrong Product, Description not Clear; Ordered incorrectly on IStore, Sales Rep ordered too many; Re Ordered-unsure of delivery	Short	4/27/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	DLC	
M3		5.B Develop plan to obtain detailed reasons	Short	4/27/2015	6/5/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP	
M3		5.C Develop tracking process to measure improvements in returns	Short	5/5/2015	6/30/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP	
6. Develop business plan for Managing Inventory												
M3		6.A Identify and define what should be managed on daily, weekly and monthly bases by buyers/warehouse staff such as: past due, close partial orders, liq/wine open orders, special open order, unreserved beer orders, opens sales orders, open PO lines	Medium	4/27/2015	10/31/2015	Completed	Completed	Completed	Completed	Completed	Pandya/Zeltner	
M3		6.B Document written policies and procedures for warehouse operations including policies for inventory adjustments in Oracle and new policies and procedures currently being adopted.	Medium	5/26/2015	6/30/2016	In Progress	In Progress	Completed	Completed	Completed	Zeltner / Pandya	DOF - Williams
	M3	6.C Assign specific activities to Buyers	Short	4/27/2015	On-going	In Progress	In Progress	Completed	Completed	Completed	Zeltner	
	M3	6.D Schedule periodic meetings to review process and progress	Short	4/27/2015	On-going	In Progress	In Progress	In Progress	Completed	Completed	Zeltner	
7. Fully inventory the DLC warehouse												
M3		7.A Conduct full inventory (including kegs and pallets) with other DLC units playing an active role during the inventory count	Short	4/15/2015	6/30/2015	Completed	Completed	Completed	Completed	Completed	Pandya/Gus Montes De Oca	
	M3	7.B Weekly tally counts	Medium	7/6/2015	ongoing	Completed	Completed	Completed	Completed	Completed	DLC / G de O & Staff	
	M3	7.C Evaluate appropriate role of interim full physical counts and cycle counts; identify lead personnel including personnel from other DLC units and departments; and develop and implement appropriate policies and procedures including planning, documentation, and communication with relevant parties.	Medium	7/6/2015	ongoing	In Progress	In Progress	Completed	Completed	Completed	Zeltner	ERP/ DOF - Williams
M3		7.D Develop and provide process information to involved individuals prior to full inventory	Short	5/25/2015	6/23/2015	Completed	Completed	Completed	Completed	Completed	Gus and Sunil	
M3		7.E Conduct lessons learned sessions from first full inventory count with goal of identifying improvement opportunities and further capturing existing recommendations deferred for later implementation	Medium	7/15/2015	9/30/2015	Completed	Completed	Completed	Completed	Completed	ERP	DLC, FIN
M3		7.F Prepare for January 2016 mid-year inventory	Medium	10/31/2015	1/31/2015	Completed	Completed	Completed	Completed	Completed	Zeltner, Pandya	FIN
M3		7.G Conduct January 2016 inventory	Medium	1/4/2015	1/31/2015	Completed	Completed	Completed	Completed	Completed	Zeltner, Pandya	FIN
8. Improve inventory control												
M3		8.A Not used.	N/A									
M3		8.B Not used.	N/A									
M3		8.C Clearly label all storage locations by product for stock items and customer for special order items and a separate location for breakage and assign all storage locations with a unique location code in Oracle; reevaluate applicability of unique location codes to stock overflow areas and implement as appropriate.	Long	5/20/2015	6/30/2016	Complete	Complete	Complete	Complete	Complete	DLC	DLC Managers/DOF - Williams
M3		8.D Develop process to log daily variances, including related research and analysis, and determination of any adjustment required to system.	Long	6/1/2015	6/30/2016	In Progress	In Progress	Complete	Complete	Complete	DLC	DOF - Williams
M3		8.E Develop an acceptable variance threshold policy, validate inventory adjustments, and implement appropriate checks and balances by obtaining OK from DLC Finance on adjustments	Long	7/1/2015	6/30/2016	Completed	Completed	Complete	Complete	Complete	DLC	DOF - Williams
M3		8.F Develop log process to accurately adjust inventory including electronic updates if feasible.	Long	7/1/2015	6/30/2016	In Progress	In Progress	Complete	Complete	Complete	ERP/Gus & Sunil	DOF - Williams
M4		8.G Implement the use of scanners for receiving and shipping out	Short	5/4/2015		Complete	Complete	Complete	Complete	Complete	DLC	
M3		8.H Identify residual and unallocated special order inventory for wine and spirits	Medium	11/2/2015	12/10/2015	Complete	Complete	Complete	Complete	Complete	Zeltner/Vogel	DLC Staff
M3		8.I Develop process to reassign residual unallocated inventory	Medium	11/2/2015	12/15/2015	Complete	Complete	Complete	Complete	Complete	Zeltner/Vogel	DLC Staff
M3		8.J Complete warehouse clean-up of unallocated s.o. inventory	Medium	11/23/2015	12/31/2015	Complete	Complete	Complete	Complete	Complete	Zeltner/Vogel	DLC Staff
M3		8.K Investigate reasons that caused unallocated inventory	Medium	11/30/2015	1/31/2016	Complete	Complete	Complete	Complete	Complete	Zeltner/Vogel	DLC Staff
M3		8.L Develop processes to prevent re-occurrence	Medium	12/1/2015	1/31/2016	Complete	Complete	Complete	Complete	Complete	Zeltner/Vogel	DLC Staff
M3		8.M Implement recommended solutions	Medium	12/15/2015	2/28/2016	Complete	Complete	Complete	Complete	Complete	Zeltner/Vogel	DLC Staff

9. Engage Warehouse staff in setting expectations, goals and accountability												
M3		9.A	Conduct All Hand Warehouse meeting (receiving, shipping, routing, picking)	Short	4/27/2015	6/12/2015	Completed	Completed	Completed	Completed	Completed	Montes de Oca/Warehouse
M3		9.B	Conduct daily check in meetings with each groups Supervisors (receiving, shipping, routing, picking) to discuss goals for the day, review key business processes, identify challenges, and establish action plans	Short	4/20/2015	On Going	Completed	Completed	Completed	Completed	Completed	Zeltner
	M3	9.C	Conduct weekly warehouse meeting to review goals, business process, procedures and end-to-end processes	Short	4/20/2015	On-going	Completed	Completed	Completed	Completed	Completed	Zeltner
M3		9.D	Conduct Receiving training for Receivers on the use mobile scanners and establish business process for going forward	Short	4/20/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP/Gus Montes de Oca
M3		9.E	Conduct Shipping training for Pickers on the use mobile scanners and establish business process for going forward	Short	4/20/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP/Gus Montes de Oca
M3		9.F	Conduct additional training on use of new scanner software once installed.	Long	2/1/2017	2/28/2017	Not started	ERP/Zeltner				
M4 Action Steps												
4. Improve scanning process												
M4		4.A	Reconfigure the warehouse's wireless system to ensure speed and accuracy of scanners	Short	5/4/2015	6/12/2015	Completed	Completed	Completed	Completed	Completed	DLC
M4		4.B	Test scanning for loading and deliveries	Short	4/6/2015	6/12/2015	Completed	Completed	Completed	Completed	Completed	ERP/DLC
M4		4.C	Adjust scanners and train staff	Short	5/4/2015	6/30/2015	Completed	Completed	Completed	Completed	Completed	ERP/DLC
M4		4.D	Implement the use of scanners for receiving and shipping out	Short	5/4/2015	7/10/2015	Completed	Completed	Completed	Completed	Completed	DLC
M4	M4	4.E	Explore use of scanner to improve the inventory physical count process.	Long	3/31/2016	6/30/2016	Completed	Completed	Completed	Completed	Completed	ERP/DLC
M4		4.F	Evaluate alternative scanner technology	Medium	5/18/2015	7/31/2016	In Progress	In Progress	In Progress	Completed	Completed	
M4		4.G	Identify new scanning software, procure it and install it.	Long	10/1/2016	2/28/2017	Not started	Not started	Not started	Not started	In Progress	ERP / Zeltner
10. Identify system Enhancements												
M4		10.A	Identify new requirements for iStore (quantity on hand, checking availability, etc.)	Short	5/5/2015	11/30/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP
M4		10.B	Document configuration changes	Short	5/11/2015	11/30/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP
M4		10.C	Develop and test changes	Medium	5/18/2015	11/30/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP
M5 Action Steps												
2. Supplement Warehouse staffing with contractor(s) with expertise in Warehouse /Order Management												
M5		2.A	Develop and issue task order	Short	4/3/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP
M5		2.B	Review task order and select applicant	Short	4/13/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP
M5		2.C	Initiate Purchase Order	Short	4/20/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP
M5		2.D	Hire Consultant	Short	5/4/2015	6/15/2015	Completed	Completed	Completed	Completed	Completed	ERP
M5		2.E	Additional consultant services for final racking plan	Medium	12/1/2015	12/31/2015	Completed	Completed	Completed	Completed	Completed	Zeltner / Vogel
M5		2.F	Review recommendations by new consultant and approve as appropriate	Medium	1/1/2016	1/31/2016	Completed	Completed	Completed	Completed	Completed	Zeltner / Vogel
M5		2.G	Implement approved recommendations for racking	Medium	2/1/2016	3/31/2016	In Progress	Completed	Completed	Completed	Completed	Zeltner / Vogel
M5		2.H	Identify and prepare cost estimate for different racking in stock area.	Long	3/1/2016	4/30/2016	In Progress	Completed	Completed	Completed	Completed	Zeltner / Vogel
M5		2.I	Present to OMB and Finance - Formal request for funding	Long	3/1/2016	5/31/2016	In Progress	Completed	Completed	Completed	Completed	DLC/Finance/OMB
M5		2.J	Obtain funding	Long	5/1/2016	7/31/2016	In Progress	In Progress	Completed	Completed	Completed	DLC/Finance/OMB
M5		2.K	Implement new racking if funding approved.	Long		N/A	Not started	Not started	In Progress	Completed	Completed	Zeltner / Vogel
M5		2.L	Procure and install new flow racking for wines and spirits.	Long	10/1/2016	2/28/2017	Not started	Not started	Not started	Not started	In Progress	ERP / Zeltner
12. Split DLC Sections further												
M5		12.A	A. Split DLC warehouse responsibilities for efficiency & effectiveness.	Medium	4/1/2015	On-hold by CAO	Completed	Completed	Completed	Completed	Completed	DO / Zeltner
M5		12.B	B. Evaluate warehouse ops in different product categories	Medium	5/1/2015	On-hold by CAO	Completed	Completed	Completed	Completed	Completed	DO / Zeltner
M6 Action Steps												
11. Identify Report Enhancements												
M6		11.A	Identify new requirements based on feedback from focus groups	Short	5/5/2015	6/30/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP
M6		11.B	Develop tracking for shorts, wrong case on trucks and customer returns by product (beer, L/W, special orders)	Short	5/1/2015	7/10/2015	Completed	Completed	Completed	Completed	Completed	EG/ERP
M6		11.C	Develop tracking for customer returns by customers	Short	5/18/2015	7/10/2015	Completed	Completed	Completed	Completed	Completed	EG/ERP
M6		11.D	Develop a slow moving items report	Medium	4/27/2015	12/31/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP
M6		11.E	Document configuration changes	Medium	5/11/2015	10/31/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP
M6		11.F	Develop and test changes	Medium	5/18/2015	11/30/2015	Completed	Completed	Completed	Completed	Completed	DLC/ERP
M6		11.G	Define requirements for any required additional inventory reports	Medium	9/8/2015	2/29/2016	Completed	Completed	Completed	Completed	Completed	DLC/ERP
13. Track performance improvement in the warehouse												
M6		13.A	Review current metrics	Short	4/20/2015	6/19/2015	Completed	Completed	Completed	Completed	Completed	DLC, CountyStat
M6		13.B	Create new metrics based on new processes	Short	4/20/2015	9/30/2015	Completed	Completed	Completed	Completed	Completed	DLC, CountyStat
	M6	13.C	Track and report on new metrics	Short	11/1/2015	Ongoing	In Progress	In Progress	In Progress	Completed	Completed	DLC, CountyStat
	M6	13.D	Implement DLCstat meetings occurring monthly	Short	5/29/2015	Ongoing	In Progress	In Progress	In Progress	Completed	Completed	DLC, CountyStat

III. Improve Special Orders Action Plan								
Milestone Updates	Milestone Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
<p>M7 <u>Implement Improvements in Special Order Delivery Operations</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * All actions in this Milestone are complete.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Milestone Completed.</p> <p>Current Risks (Current or expected tems that need CAO/CAAO attention): * None..</p>	4/30/2016	4/30/2016	7/31/2016	Complete	Complete	Complete	DLC / ERP	Suppliers
<p>M8 <u>Implement Ongoing Performance Metrics and Customer Feedback/Improvement System</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * Milestone completed.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): *Milestones completed.</p> <p>Current Risks (Current or expected tems that need CAO/CAAO attention): * None.</p>	3/31/2016	Complete	Complete	Complete	Complete	Complete	DLC / CountyStat	ERP
<p>M9 <u>Conduct Alternatives Analysis for: Special Orders Delivery Outsourcing, Direct Shipment, and Other Improvements</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): *Milestone completed.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): *Milestone completed."</p> <p>Current Risks (Current or expected tems that need CAO/CAAO attention): *None.</p>	1/31/2016	Complete	Complete	Complete	Complete	Complete	DLC	CAO/CAAO; State

Milestone		Action Item	Term	Start Date	Expected Completion Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
Prime	Supporting											
M7 Action Steps												
1. Logistical improvements												
M7		1.A	Review management and classification of positions in the Special Orders Unit.	Short	4/6/2015	10/31/2015	Completed	Completed	Completed	Completed	Zeltner	
M7		1.B	Examine workload and determine if personnel expansion is necessary.	Short	4/6/2015	10/31/2015	Completed	Completed	Completed	Completed	Zeltner	OMB, CAO
M7		1.C	Create Identifier Code System for special order products and implement	Short	4/1/2015	Ongoing	Completed	Completed	Completed	Completed	Zeltner	
M7		1.D	Expand warehouse space and location/numbering for improved tracking and picking.	Short	4/1/2015	7/1/2015	Completed	Completed	Completed	Completed	Gus Montes de Oca	
M7		1.E	Develop final recommendations with new management for warehouse personnel	Medium	11/15/2015	12/31/2015	Completed	Completed	Completed	Completed		
M7		1.F	Receive final approval by CAO	Medium	1/1/2016	3/31/2016	Completed	Completed	Completed	Completed		
4. Identify and define challenges with Special Order Products												
M7		4.A	Align inventory of the top 4 Special Order suppliers	Short	4/11/2015	4/11/2015	Completed	Completed	Completed	Completed	Gus Montes De Oca	
M7		4.B	Establish locator numbers to improve receiving and picking of product	Short	4/11/2015	6/19/2015	Completed	Completed	Completed	Completed	Gus Montes De Oca	
M7		4.C	All Special Order products will be received and picked using locator numbers	Short	4/13/2015	7/6/2015	Completed	Completed	Completed	Completed	Gus Montes De Oca	
M7		4.D	Engage DLC Special Order Team in identify issues	Short	5/1/2015	6/12/2015	Completed	Completed	Completed	Completed	Pandya	
M7		4.E	Develop action plan to address issues	Short	5/1/2015	6/19/2015	Completed	Completed	Completed	Completed	Pandya/Gus Montes De Oca	
M7		4.F	Implement a plan for buyers and warehouse receiving staff to Collect UPC codes for all Special Order products	Short	4/11/2015	Ongoing	Completed	Completed	Completed	Completed	Pandya / Zeltner	
M7		4.G	Implement plan for warehouse staff to manually collect and entering UPC codes when receiving	Short	4/20/2015	Ongoing	Completed	Completed	Completed	Completed	Zeltner	
5. Establish the role of sales reps in placing orders on behalf of licensees												
M7		5.A	Review current capabilities and areas of concern	Short	5/28/2015	10/31/2015	Completed	Completed	Completed	Completed	Sunil	
M7		5.B	Develop DLC policy on the role of sales reps in placing orders	Short	5/28/2015	10/31/2015	Completed	Completed	Completed	Completed	Director's Office DLC	
M7		5.C	Implement the DLC policy on the roles of sales reps in placing orders and train Suppliers.	Medium	7/17/2015	7/31/2016	In Progress	In Progress	In Progress	In Progress	Zeltner/Utermohle	
M8 Action Steps												
3. Track performance improvement in special orders												
M8		3.A	Review current metrics	Short	4/20/2015	6/19/2015	Completed	Completed	Completed	Completed	DLC, CountyStat	
M8		3.B	Create new metrics based on new processes	Short	5/8/2015	6/30/2015	Completed	Completed	Completed	Completed	DLC, CountyStat	
	M8	3.C	Track and report on new metrics	Short	7/6/2015	Ongoing	In Progress	Completed	Completed	Completed	DLC, CountyStat	OMB
	M8	3.D	Implement DLCStat meetings occurring monthly	Short	5/26/2015	Ongoing	Completed	Completed	Completed	Completed	DLC, CountyStat	OMB, ERP, FIN, CAO
M8		3E	Review and expand metrics with new M2 and M3 input	Medium	10/1/2015	1/31/2016	Completed	Completed	Completed	Completed	Zeltner	
M9 Action Steps												
2. Improve special orders deliveries												
M9		2.A	Continue effort with Comptroller to interpret "come to rest" provision of State law	Short	3/15/2015	10/31/2015	Completed	Completed	Completed	Completed	DLC Director	
M9		2.B	Examine delivery options for Special Orders, including vendor to warehouse to customers.	Short	5/1/2015	10/31/2015	Completed	Completed	Completed	Completed	DLC Chiefs	
M9		2.C	Evaluate contracting out delivery of special orders and entire delivery operation	Medium	5/1/2015	11/30/2015	Completed	Completed	Completed	Completed	DO / DLC Chiefs	
M9		2.D	Evaluate smaller delivery trucks (no CDL license needed)	Medium	5/1/2015	10/31/2015	Completed	Completed	Completed	Completed	Zeltner/Vogel	DGS-Fleet
M9		2.E	Review time tables for supplier deliveries to warehouse	Short	4/15/2015	11/30/2015	Completed	Completed	Completed	Completed	Zeltner/Vogel	
M9		2.F	Review and update time tables for DLC deliveries to retailers	Short	4/15/2015	on-going	In Progress	In Progress	In Progress	In Progress	Zeltner/Vogel	

IV. Improve Retail Operations Action Plan

Milestone Updates	Milestone Date	2/29/2016 Status	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	10/26/2016 Status	Lead Party	Supporting Party(ies)
<p>M10 <u>Open Three (3) New Stores and Relocate One (1) Store in FY16</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * King Farm Store opened successfully in June, 2016. * N. Washington Street store construction is complete, and store is on schedule to open on Friday, December 9, 2016. *DGS now leads the lease and construction efforts for the Aspen Hill store. Delays in securing the lease resulted in delay of owner construction activities. County contractor should start in December, with a 62 day duration. * Opening may still occur by February 28, but it may be more like March. Management and clerk staff will be in place before store openings.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): *Opening of the North Washington store and construction at the Aspen Hill location.</p> <p>Current Risks (Current or expected items that need CAO/ACAO attention): *Construction completion of the Aspen Hill store.</p>	9/30/2016	6/30/2016	9/30/2016	12/31/2016	12/31/2016	2/28/2017	2/28/2017	DLC	DTS, DGS
<p>M11 <u>Develop Long-Range Retail Store Business Plan/Strategy</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * Development of the strategic plan for future stores is under way and on schedule for completion by the end of the year.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): *Complete Strategic Plan for Retail stores.</p> <p>Current Risks (Current or expected items that need CAO/ACAO attention): * None.</p>	9/30/2016	On schedule	9/30/2016	9/30/2016	12/31/2016	12/31/2016	12/31/2016	DLC / CountyStat	DGS, DTS, Co. Attorney
<p>M12 <u>Implement Best Management Practices: Performance Monitoring and Internal Controls</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * Milestone has been completed.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Monitoring of the performance metrics . * Establish process to report to CountyStat.</p> <p>Current Risks (Current or expected items that need CAO/ACAO attention): * None.</p>	1/31/2016	Complete	Complete	Complete	Complete	Complete	Complete	DLC / CountyStat	

DLC Implementation of Action Plan
December, 2016 Update

Milestone	Prime	Supporting	Action Item	Term	Start Date	Expected Completion Date	2/29/2016	3/31/2016	5/31/2016	8/31/2016	10/26/2016	Lead Party	Supporting Party(ies)
							Status	Status	Status	Status	Status		
M10 Action Steps													
2. Lease three new sites and one relocation													
M10		2.A	Identify and evaluate candidate locations, including available space	Short	4/17/2015	8/30/2015	Complete	Complete	Complete	Complete	Complete	Montes de Oca	
M10		2.B	Review sites for possibility of a super store and assess feasibility	Medium	7/5/2015	12/30/2015	Complete	Complete	Complete	Complete	Complete	D. Office/Gus	
M10		2.C	Enter into lease agreements for selected sites (King Farm and N. Washington St.)	Long	6/5/2015	3/11/2016	In Progress	In Progress	Complete	Complete	Complete	Montes de Oca	
M10		2.D	Outfit and stock King Farm store.	Long	9/4/2015	6/15/2016	In Progress	In Progress	In Progress	Complete	Complete	Diane Wurdeman	
M10		2.D.1	Open King Farm Store	Long	9/4/2015	6/30/2016	In Progress	In Progress	In Progress	Complete	Complete	Diane Wurdeman	
M10		2.E	Open new N. Washington Street Store	Long	12/1/2015	12/9/2016	In Progress	Diane Wurdeman					
M10		2.F	Enter into lease agreements for Aspen Hill site	Long	1-Mar	7/31/16	In Progress	Ossont/ Wurdeman					
M10		2.G	Obtain approval to build Aspen Hill based on cost (Procurement.)	Long	13-May	8/31/16	Not Started	In Progress	In Progress	In Progress	Complete	Ossont/ Wurdeman	
M10		2.H	Build, outfit and stock new Aspen Hill Store.	Long	6-Jun	2/28/16	Not Started	In Progress	Ossont/ Wurdeman				
M10		2.I	Open Aspen Hill Store	Long	30-Sep	2/28/17	Not Started	In Progress	Diane Wurdeman				
3. Staff new stores													
M10		3.A	Identify staffing needs	Medium	6/2/2015	9/30/2015	Complete	Complete	Complete	Complete	Complete	Montes de Oca/Retail Staff	OMB
M10		3.B	Hiring process (staggered based on date of opening).	Medium	10/1/2015	10/31/2016	In Progress	Diane Wurdeman	OMB, OHR				
M10		3.C	Train new staff (staggered based on date of opening).	Long	11/16/2015	11/30/2016	Not Started	Not Started	Not Started	In Progress	In Progress	Diane Wurdeman	
M11 Action Steps													
1. Develop a plan for new locations and relocations													
M11		1.A	Hire a consultant	Short	4/17/2015	4/17/2015	Complete	Complete	Complete	Complete	Complete	Gus Montes de Oca	
M11		1.B	Request GIS information on existing retail shopping centers in the county and demographics	Short	4/13/2015	4/20/2015	Complete	Complete	Complete	Complete	Complete	Gonzalez/Montes de Oca	DTS
M11		1.C	Provide monthly updates to CAO	Long	6/2/2015	Ongoing	In Progress	D. Wurdeman	CAO				
M11		1.D	Develop a DLC strategy for new retail store openings and locations	Long	1/2/2016	6/30/2016	In Progress	DO / Diane W.					
M11		1.E	Develop a DLC brand strategy with store guidelines and consistent use of DLC branding	Long	On-going	4/30/2016	In Progress	Diane Wurdeman					
M12 Action Steps													
4. Track performance improvement in retail													
M12		4.A	Review current metrics	Short	4/20/2015	8/30/2015	Complete	Complete	Complete	Complete	Complete	DLC, CountyStat	
M12		4.B	Create new metrics based on new processes	Long	4/20/2015	1/31/2016	Complete	Complete	Complete	Complete	Complete	DLC, CountyStat	
	M12	4.C	Track and report on new metrics	Medium	10/1/2015	Ongoing	In Progress	In Progress	In Progress	In Progress	Complete	DLC, CountyStat	OMB
	M12	4.D	Implement DLCStat meetings occurring monthly	Short	5/28/2015	Ongoing	In Progress	In Progress	In Progress	In Progress	Complete	DLC, CountyStat	OMB, ERP, FIN, CAO
5. Improve Inventory and other controls in Stores													
M12		5.A	Involve store managers in inventory counts and look into involving another DLC unit in the counts to allow for a secondary check, for FY15 year-end counts.	Short	6/24/2015	7/15/2015	Complete	Complete	Complete	Complete	Complete	Gus, Diane, Store Managers	
M12		5.B	Develop and implement policy for changing safe combination	Medium	5/18/2015	9/30/2015	Complete	Complete	Complete	Complete	Complete	Gus	
M12		5.C	Implement policy for authorization of discount transactions	Medium	6/2/2015	10/31/2015	Complete	Complete	Complete	Complete	Complete	DO - Div. Chiefs	

V. Improve Delivery and Fleet Operations Action Plan								
Action Item	Milestone Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
<p>M13 <u>Implement Improvements in Delivery Routing & Operations</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * DGS continues to work with DLC on the feasibility of using their software for routing. Completion continues to be targeted by February, 2017, provided DGS's software works for our purposes.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Testing of the DGS-provided transportation module to determine applicability to our delivery routing system and installation of tracking devices on new trucks.</p> <p>Current Risks (Current or expected themes that need CAO/ACAO attention): *None.</p>	6/30/2016	6/30/2016	11/30/2016	2/28/2017	2/28/2017	2/28/2017	DLC	DTS
<p>M14 <u>Completed Analysis of Fleet Requirements and Alternatives and Develop Recommendations</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * A long range fleet replacement plan has been developed. * As a result of discussions held with Finance and OMB leading to that development and based on unspent Revenue Liquor Bonds, DLC is now working to obtain final sign off to order ten new trucks to replace the oldest trucks and those the require the most expensive maintenance .</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Finalize approval to order ten new trucks and proceed to order them.</p> <p>Current Risks (Current or expected themes that need CAO/ACAO attention): * Approval to order ten new trucks this FY for delivery later in 2017.</p>	8/31/2016	8/31/2016	Unknown	Complete	Complete	Complete	DLC	DGS, Procurement, OMB
<p>M15 <u>Implement Improvements in Delivery & Fleet Performance Monitoring</u></p> <p>Major Accomplishments (What have we accomplished in the last month?): * Evaluation of the Oracle module has been postponed, continued working with DGS on the applicability of DGS's delivery software and other possible options.</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): *Testing of DGS software and fitting new trucks with tracking modules.</p> <p>Current Risks (Current or expected tems that need CAO/ACAO attention): * No change from previous report.</p>	8/31/2016	8/31/2016	8/31/2016	2/28/2017	2/28/2017	2/28/2017	DLC / CountyStat	

Milestone		Action Item	Term	Start Date	Expected Completion Date	3/31/2016 Status	5/31/2016 Status	8/31/2016 Status	10/26/2016 Status	12/14/2016 Status	Lead Party	Supporting Party(ies)
Prime	Supporting											
M13 Action Steps												
1. Optimize delivery routing using GPS and quantity order data												
M13		1.A	Review current delivery route methodology and identify areas for improvement (iteration 1)	Long	On-going	1/31/2017	In Progress	In Progress	In Progress	In Progress	In Progress	Griffiths/ Zeltner
M13		1.B	Implement Improved delivery routing	Long	11/1/2015	2/28/2017	In Progress	In Progress	In Progress	In Progress	In Progress	Griffiths/ Zeltner
	M13	1.C	Track delivery improvements	Long	12/1/2015	2/28/2017	Not Started	Not Started	Not Started	Not Started	Not Started	Griffiths/ Zeltner
2. Improve delivery timetables												
M13		2.A	Review time tables for supplier deliveries to warehouse	Short	4/15/2015	11/30/2015	Completed	Completed	Completed	Completed	Completed	Zeltner/Warehouse
M13		2.B	Review and update time tables for DLC deliveries to retailers	Long	4/15/2015	2/28/2017	In Progress	In Progress	In Progress	In Progress	In Progress	Zeltner/Warehouse
3. Improve delivery policies and protocols												
M13		3.A	Develop protocol for customer not available at time of delivery	Long	5/4/2015	4/30/2016	In Progress	In Progress	Completed	Completed	Completed	Zeltner/Warehouse
M13		3.B	Assess the need for DLC policy to rotate delivery route assignments and driver/helper pairings periodically	Long	On-going	4/30/2016	In Progress	In Progress	Completed	Completed	Completed	DO / Zeltner
4. Review and updated driver documentation form												
M13		4.A	Change driver tally sheet to sync with DLC-Finance	Long	4/15/2015	3/31/2016	Completed	Completed	Completed	Completed	Completed	Zeltner/Pandya
M13		4.B	Instruct drivers on new change	Long	6/15/2015	3/31/2016	Completed	Completed	Completed	Completed	Completed	Zeltner/Warehouse
	M13	4.C	Verify compliance with change	Long	6/12/2015	3/31/2016	Completed	Completed	Completed	Completed	Completed	Zeltner/Warehouse
M14 Action Steps												
5. Resolve fleet issues using market and cost of service information and industry best practices												
M14		5.A	Complete initial analysis of DLC Fleet. Complete critical lifecycle analysis and identify short and long term fleet strategy.	Short	3/1/2015	4/1/2015	Complete	Complete	Complete	Complete	Complete	DGS/Montes de Oca DLC, OMB
M14		5.B	Complete a more detailed analysis of PFM Fleet options. Draft REOI for next generation liquor delivery vehicle. DGS working with multiple truck manufactures for site visits and process analysis. Finalize analysis and new truck specifications.	Medium	3/30/2015	10/31/2015	Complete	Complete	Complete	Complete	Complete	DGS/Montes de Oca/Zeltner DLC, OMB
M14		5.C	Purchase/Lease 6 new trucks (DGS Fleet Recommendation). DGS determined that 6 trucks are in critical immediate need of replacement for safety, reliability, and maintenance issues. DGS completed specifications for replacements. Once approved and funded delivery of trucks 180-240 days. Expect delivery in late fall, 2016.	Short	4/15/2015	1/31/2016	Complete	Complete	Complete	Complete	Complete	DGS/Montes de Oca/Zeltner DLC, OMB
M14		5.D	Come to a decision on fleet. Present fleet analysis to OMB and FIN for purchase / lease options of the future DLC fleet.	Medium	7/15/2015	10/31/2015	Complete	Complete	Complete	Complete	Complete	DGS/Zeltner DLC, OMB, FIN
M14		5.E	Develop, advertise and receive REOI for new truck fleet	Medium	9/15/2015	12/10/2015	Complete	Complete	Complete	Complete	Complete	DGS/Zeltner Procurement
M14		5.F	Evaluate REOI responses and develop RFP on basis of finalists from REOI process	Medium	12/10/2015	1/22/2016	Complete	Complete	Complete	Complete	Complete	DGS/Zeltner Procurement
M14		5.G	Advertise RFP and wait for bidders responses	Long	1/26/2016	Pending	In Progress	In Progress	Complete	Complete	Complete	DGS/Zeltner Procurement
M14		5.H	Select successful bidder and order trucks	Long	3/31/2016	Pending	Not Started	Not Started	Complete	Complete	Complete	DGS/Zeltner Procurement
M15 Action Steps												
6. Track performance improvement in delivery and fleet												
M15		6.A	Review current metrics	Short	4/20/2015	6/15/2015	Complete	Complete	Complete	Complete	Complete	DLC, CountyStat
M15		6.B	Create new metrics based on new processes	Short	5/18/2015	2/28/2017	In Progress	In Progress	In Progress	In Progress	In Progress	DLC, CountyStat
	M15	6.C	Track and report on new metrics	Medium	7/1/2015	Ongoing	Not Started	Not Started	Not Started	Not Started	Not Started	DLC, CountyStat OMB
	M15	6.D	Implement DLCStat meetings occurring monthly	Short	5/29/2015	Ongoing	In Progress	In Progress	In Progress	In Progress	In Progress	DLC, CountyStat OMB, ERP, FIN, CAO

VI. Improve Financial Controls and General Operations Action Plan

Milestone Updates	Milestone Date	3/31/2016 Status	5/31/2016 Status	7/31/2016 Status	9/30/2016 Status	Lead Party	Supporting Party(ies)
<p>M16 Complete remaining post implementation FY15 transaction processing</p> <p>Major Accomplishments (What have we accomplished in the last month?): N/A</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): N/A</p> <p>Current Risks (Current or expected items that need CAO/ACAO attention): N/A</p>	8/31/2015	Complete	Complete	Complete	Complete	DLC	Finance, ERP
<p>M17 Implement improvements in financial and internal controls across DLC operations</p> <p>Major Accomplishments (What have we accomplished in the last month?): * Completed testing of enhancements to interface and reporting/reconciliation of data from Point-of-Sale system to Oracle *</p> <p>Upcoming major actions (What do we expect to accomplish in the next month): * Enhancements to interface and reporting/reconciliation of data from Point-of-Sale system to Oracle to be implemented in production *</p> <p>Current Risks (Current or expected items that need CAO/ACAO attention): * Priority focus on other DLC initiatives may impact timelines for some remaining tasks *</p>	6/30/2016	On Schedule	On Schedule But expected completion date is likely to be extended	10/31/2016	10/31/2016	DLC	Finance, ERP
<p>M18 Implement best practices: workforce planning, standard operating procedures, and process improvements</p> <p>Major Accomplishments (What have we accomplished in the last month?): * Billbacks (Promotional Discounts): Coding changes have been made and are either being tested or ready for testing, for improvements to accuracy, completeness, and consistency of future billings/NABCA data relating to: Time Range (calendar month vs. retail calendar range); Sales amounts (to include transfers back to warehouse); Pricing (to incorporate bypass pricing); and Invoice Date Range (invoicing more frequently than monthly). Retroactive invoicing is in the discovery stage - analysis to be done to determine cost-benefit of attempting retroactive billing adjustments. * Claims (Returns to Suppliers) - Out of the box ERP functionality is being evaluated for replacement of the current manual processes * Continued coordination with the OCR vendor on workflow and business rules related to exceptions to 3-way matching, and how under/over shipments can work in conjunction with Oracle Order & Receiving hold functionality * Restructuring business processes for when suppliers call with questions, to ensure they are set up with access to isupplier, and to provide assistance, links, and instructions to enable supplier effective use of the system in the future *</p> <p>Upcoming major actions (What do we expect to accomplish in the next month?): * Testing of billback (promotions) coding changes * Analysis of cost-benefit and feasibility of retroactive promotional billings * Continued work on identifying opportunities to automate a reconciliation of billback invoices and NABCA interface data * Continued discovery efforts over out-of-the-box ERP functionality to automate claims processing for returns to suppliers * Outreach to suppliers to register them, or expand their registered contacts, for isupplier access * Begin discussions on options for supplier reporting of supplier item numbers on their invoices, a key step in fully implementing automated 3-way matching for DLC products *</p> <p>Current Risks (Current or expected items that need CAO/ACAO attention): * Priority focus on other DLC initiatives may impact timelines for some remaining tasks *</p>	12/31/2016	On Schedule	On Schedule	2/28/2017	2/28/2017	DLC	Finance, ERP

Milestone	Prime	Supporting	Action Item	Term	Start Date	Expected Completion Date*	3/31/2016 Status	5/31/2016 Status	7/31/2016 Status	9/30/2016 Status	Lead Party	Supporting Party(ies)
1. Improve Cash Management by increasing automation of DLC bank account reconciliations												
M17		1.A	Resolve POS Auto-Invoice-Receipt matching differences	Long	4/15/2015	6/30/2016	Complete	Complete	Complete	Complete	ERP	DOF - Williams
M16		1.B	Eliminate unrecorded daily warehouse receipts from February - current. (See 2A)	Short	4/15/2015	6/30/2015	Complete	Complete	Complete	Complete	Pandya	DOF - Metzger
M16		1.C	Eliminate unrecorded LRE receipts from February - current. (See 2B)	Short	4/15/2015	6/30/2015	Complete	Complete	Complete	Complete	Pandya	DOF - Metzger
M16		1.D	Update the reconciliation status of ACH transactions in AP module	Medium	4/15/2015	7/31/2015	Complete	Complete	Complete	Complete	ERP	DOF - Williams
M16		1.E	Eliminate unrecorded ZBA transfers and implement interim manual process	Medium	4/15/2015	9/30/2015	Complete	Complete	Complete	Complete	DOF - Williams	ERP
M17		1.F	Resolve issue with ZBA Transfer automation by loading Oracle RUP patch and completing the full implementation of automated accounting for sweeps	Long	9/1/2015	3/31/2016	Complete	Complete	Complete	Complete	ERP	DOF - Williams
M17		1.G	Improve control and standardization over recording and collecting on ACH rejections by documenting procedures.	Medium	4/15/2015	10/31/2015	Complete	Complete	Complete	Complete	Pandya	DOF - Williams
M17		1.H	Eliminate FY16 unrecorded daily warehouse receipts from July until permanent solution(s) implemented. (See 2A and 2.O)	Long	7/1/2015	3/31/16 (after 2A)	Complete	Complete	Complete	Complete	DLC - Utermohle	DOF - Metzger
M17		1.I	Eliminate FY16 unrecorded LRE receipts from July until permanent solution(s) implemented. (See 2B and 2.O)	Long	7/1/2015	1/31/16 (after 2B)	Complete	Complete	Complete	Complete	DLC - Pandya	DOF - Metzger
M18		1.J	Update the reconciliation status of ACH transactions in AP module - automated solution	Medium	8/1/2015	9/30/2015	Complete	Complete	Complete	Complete	ERP	DOF - Williams
2. Improve Accounts Receivable function by optimizing business processes and automation												
M17		2.A	Develop daily warehouse receipts template, test and implement for uploading to Oracle	Long	4/15/2015	5/31/2016	In Progress	Complete	Complete	Complete	ERP	DLC, DOF - Metzger
M17		2.B	Develop LRE receipt template, test and implement for uploading to Oracle	Long	4/15/2015	1/31/2016	Complete	Complete	Complete	Complete	ERP	DLC, DOF - Metzger
M17		2.C	Develop and implement notification of credit card interface	Medium	4/15/2015	7/31/2015	Complete	Complete	Complete	Complete	ERP	DOF - Metzger
M17		2.D	Implement ACH rejection and collection processes (see 1G)	Medium	4/15/2015	9/30/2015	Complete	Complete	Complete	Complete	Pandya	DOF - Metzger, Williams
M17		2.E	Develop procedures on creating LRE customers into Oracle AR Module	Medium	4/15/2015	10/31/2015	Complete	Complete	Complete	Complete	Pandya	DOF - Metzger
M17		2.F	Develop procedure for LRE invoices to be recorded using Oracle AR Module	Medium	4/15/2015	10/31/2015	Complete	Complete	Complete	Complete	Pandya	DOF - Metzger
M17		2.G	Develop procedures for receipt reversals	Medium	4/15/2015	12/31/2015	Complete	Complete	Complete	Complete	ERP	DLC, DOF - Metzger
M17		2.H	Develop and implement revised procedures for Credit Card Reconciliation	Medium	7/13/2015	11/30/2015	Complete	Complete	Complete	Complete	DOF-Metzger	DLC-Pandya
M17		2.I	Evaluate the need for, develop and implement revised Cashiering procedures/policies/reporting for Credit Memos (RMA) - Customer Returns	Long	4/15/2015	6/30/2016	In Progress	In Progress	Complete	Complete	DLC-Utermohle	DOF - Metzger/ERP
M17		2.J	Develop and implement revised procedures/policies/reporting for Credit Memos (RMA) - Promotional Discounts (<i>this was the old 3.A - Improve controls over how promotional credits will be applied to Licensee.</i>)	Long	4/15/2015	6/30/2016	In Progress	Complete	Complete	Complete	DLC-Utermohle	DOF - Metzger/ERP
M17		2.K	Resolve remaining issues preventing application of credit memos against A/R invoices	Medium	6/4/2015	5/31/2016	In Progress	Complete	Complete	Complete	DLC-Utermohle	DOF - Metzger/ERP
M17		2.L	Review and update policies/procedures (limited rights, second signature above certain threshold, etc.) over A/R discounted transactions to ensure transactions are appropriately authorized prior to processing	Long	10/5/2015	6/30/2016	Not Started	Complete	Complete	Complete	DLC - Utermohle/Zeltner	DOF - Metzger
M17		2.M	Improve timeliness/Control of recording A/R transactions by automating Create Accounting for AR	Medium	4/15/2015	7/31/2015	Complete	Complete	Complete	Complete	ERP	DOF - Metzger
M17		2.N	Ensure accurate A/R transactions by validating Accounts Receivable data (SLA to GL)	Long	4/15/2015	3/31/2016	Complete	Complete	Complete	Complete	DOF - Williams	DLC
M18		2.O	Reevaluate further reengineering/streamlining of LRE & Warehouse cash receipt recording process for direct entry to Oracle at point of receipt	Long	1/4/2016	6/30/2016	In Progress	Complete	Complete	Complete	DOF-Metzger	DLC/ERP
M17		2.P	Develop and implement revised procedures for ensuring one invoice generated per delivery date	Medium	7/20/2015	8/31/2015	Complete	Complete	Complete	Complete	ERP	DLC, DOF - Metzger
M18		2.Q	Identify, implement, and document improvements to the claims processes for supplier returns	Long		2/28/2017	In Progress	In Progress	In Progress	In Progress	DLC-Utermohle/DOF	ERP
M18		2.R	Identify, implement, and document improvements to the billback processes for supplier promotional discounts	Long		2/28/2017		In Progress	In Progress	In Progress	DLC-Utermohle/DOF	ERP

3. Improve Accounts Payable function by optimizing business processes and automation											
M17	3.A	Improve timeliness/Control of recording A/P transactions by automating Create Accounting for AP	Short	4/15/2015	4/20/2015	Complete	Complete	Complete	Complete	ERP	DOF - Shabani
M17	3.B	Improve controls over A/P function by further defining and aligning duties to Oracle access for A/P Staff	Short	4/15/2015	4/30/2015	Complete	Complete	Complete	Complete	DLC/ERP	DOF - Shabani
M17	3.C	Increase accuracy of monthly A/P closings by fixing configuration of the AP Trial Balance for DLC	Medium	4/15/2015	12/31/2015	Complete	Complete	Complete	Complete	ERP	DOF - Shabani
M18	3.D	C. Eliminate bottlenecks with invoice processing by implementing an OCR solution to handle large, multi-line invoices	Long	4/30/2015	12/31/2016	In Progress	In Progress	In Progress	In Progress	ERP-Utermohle/DOF-Shabani	DLC-Utermohle
M18	3.E	Make imaged A/P invoice documents available to suppliers through iSupplier (similar to Oracle workbench)	Long	9/30/2015	12/31/2016	In Progress	In Progress	In Progress	In Progress	ERP/DOF - Shabani	DLC-Utermohle
M18	3.F	Improve current manual three-way matching process through development of front-end interface	Medium	10/1/2015	12/31/2016	In Progress	In Progress	In Progress	In Progress	DLC-Utermohle/ERP	DOF - Shabani
M18	3.G	Implement internal automation of three-way matching process to eliminate manual transmission, validating, and processing	Long	2/1/2016	12/31/2016	Not Started	Not Started	Not Started	Not Started		
M17	3.H	Resolve issues preventing automated application/linking of credit memos to Purchase Order, A/P inventory invoices, and Receiving during invoice processing	Medium	6/4/2015	10/31/2016 (est.)	In Progress	In Progress	In Progress	In Progress	ERP/DOF - Shabani	DLC-Utermohle
M17	3.I	Not used									
M17	3.J	Reevaluate process for resolving receiving holds	Medium	10/1/2015	6/30/2016	In Progress	In Progress	Complete	Complete	DLC-Utermohle/Zeltner/ERP	DOF - Shabani
M17	3.K	Reevaluate policies and procedures for direct payment of items short-paid on invoices	Long	12/1/2015	6/30/2016	Not Started	Not Started	Complete	Complete	DLC-Utermohle	DOF - Shabani/ERP
M18	3.L	Cross-training of A/P staff	Long	1/1/2016	5/31/2016	In Progress	Complete	Complete	Complete	DOF-Shabani	DLC-Utermohle
M17	3.M	Conduct refresher training for DLC A/P staff on PO supplier selection and pricing to reduce errors/discrepancies	Medium	10/1/2015	12/31/2015	Complete	Complete	Complete	Complete	DLC-Pandya	DOF - Shabani
M18	3.N	Develop and implement centralized and standardized supplier invoice submission and DLC intake of mail (invoices, receiving, etc.) processes	Long	6/30/2016	12/31/2016	Not Started	In Progress	Complete	Complete	DLC-Utermohle	DOF - Shabani
M18	3.O	Evaluate feasibility and implement initial phasing of EDI invoice submission by large vendors	Long	6/30/2016	12/31/2016	Not Started	In Progress	In Progress	In Progress	DLC-Utermohle	DOF - Shabani/ERP
M18	3.P	Implement policies and procedures requiring supplier item numbers on supplier invoices	Long	10/1/2015	12/31/2016	Not Started	Not Started	Not Started	In Progress	DLC-Utermohle	DOF - Shabani
M18	3.Q	Evaluate and implement proof of concept for use of iSupplier for submission of vendor invoices	Long	7/1/2016	12/31/2016	In Progress	In Progress	Complete	Complete	DLC-Utermohle/ERP	DOF - Shabani
M18	3.R	Implement standard approval workflow for DLC A/P invoices	Medium	10/1/2015	5/31/2016	In Progress	Complete	Complete	Complete	DOF-Shabani/ERP	DLC-Utermohle
4. Improve financial reporting by more complete and accurate general and subsidiary ledgers											
M17	4.A	Not used - was a duplicate	Short	4/15/2015	6/30/2015					DOF - Williams	DLC
M17	4.B	Improve timeliness/Control of recording A/P transactions by automating Create Accounting for AP	Short	4/15/2015	4/20/2015	Complete	Complete	Complete	Complete	ERP	DOF - Shabani
M17	4.C	Improve timeliness/Control of recording A/R transactions by automating Create Accounting for AR	Medium	4/15/2015	7/31/2015	Complete	Complete	Complete	Complete	ERP	DOF - Metzger
M17	4.D	Not used - was a duplicate	Medium	4/15/2015	7/31/2015					ERP	DOF - Shabani
M18	4.E	Improve completeness and accuracy of MCG Ledger reporting by automating consolidation of DLC ledger to MCG ledger - interim progress	Medium	4/15/2015	7/31/2015	Complete	Complete	Complete	Complete	ERP	DOF - Williams
M17	4.F	Improve controls over DLC inventory/warehouse accounting by documenting and implement reconciliation process of DLC inventory and ledgers	Long	4/15/2015	6/30/2016	In Progress	In Progress	Complete	Complete	DOF - Williams	
M18	4.G	Improve completeness and accuracy of MCG Ledger reporting by automating consolidation of DLC ledger to MCG ledger - permanent automated process	Long	TBD	6/30/2016	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	ERP	DOF - Williams
5. Complete One Time Pre-Audit Validations											
M17	5.A	AR Process - Document ordering and ACH from vendors	Short	4/15/2015	6/30/2015	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	DOF - Williams	ERP
M17	5.B	AR Process - Document paradigm interface with tables	Short	4/15/2015	6/30/2015	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	DOF - Williams	ERP
M17	5.C	AR Process - Document order management vs. AR not reconciling	Short	4/15/2015	6/30/2015	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	DOF - Williams	ERP
M17	5.D	AR Process - Document data fix	Short	4/15/2015	6/30/2015	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	DOF - Williams	ERP
M17	5.E	AR Process - Reconciliation of Order Management to AR for delayed processing issue	Short	4/15/2015	6/30/2015	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	DLC - Pandya	DOF - Williams/ERP
M16	5.F	Inventory Process - Reconcile inventory count (1-24-15) to inventory balance populated in Oracle (2-1-15)	Short	4/15/2015	6/30/2015	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	Reevaluated N/C/N	DLC - Pandya	DOF - Williams
M16	5.G	Implement the revised inventory consolidation entry for Feb 1 go-live balance	Short	4/15/2015	6/30/2015	Complete	Complete	Complete	Complete	DOF - Williams/DLC	ERP
M16	5.H	FIFO Testing - final post-implementation test to ensure prior year audit comments have been resolved	Medium	4/15/2015	8/31/2015	Complete	Complete	Complete	Complete	DOF - Williams	DLC, ERP

6. Improve Controls over Inventory											
M18	6.A	Warehouse Inventory -- Reestablish interim/quarterly full physical inventory counts, and related process and control improvements, until daily procedures and count processes have been sufficiently strengthened to allow for effective use of cycle counts in lieu of interim full counts	Long	6/1/2015	12/31/2016	In Progress	In Progress	In Progress	In Progress	DLC - Utermohle	DOF - Williams / ERP
M18	6.B	Warehouse Inventory -- Design, document and implement an effective cycle count program, after daily inventory transaction processing and periodic full physical inventory counts, and related internal controls, have been optimized.	Long	7/1/2015	10/31/2016	In Progress	In Progress	In Progress	In Progress	DLC - Zeltner/Utermohle	DOF - Williams
M17	6.C	Warehouse Inventory -- Increase accuracy of inventory reporting by reviewing and analyzing alias accounts and determine proper access, use and control of accounts (Shrinkage, price variance, breakage and spoilage, etc.) *	Long	7/1/2015	10/31/2016	In Progress	In Progress	In Progress	In Progress	DLC/ERP	DOF - Williams
M17	6.D	Warehouse Inventory -- Document and further standardize policies and procedure regarding the use of "quarantine."	Long	4/15/2015	5/31/2016	In Progress	In Progress	Complete	Complete	DLC - Utermohle	DOF - Williams
M18	6.E	Warehouse Inventory -- Reevaluate and implement optimized daily procedures and controls (monitoring, reconciliation, etc.) over inventory.	Long	7/1/2015	9/30/2016	In Progress	In Progress	In Progress	In Progress	D.O. DLC	
M17	6.F	Warehouse Inventory -- Review, reevaluate, and strengthen policies, procedures, and internal controls over inventory counts.	Long	9/1/2015	4/30/2016	In Progress	In Progress	Complete	Complete	DLC - Zeltner/Utermohle	DOF - Williams
M18	6.G	Assess the need and options for a loss prevention specialist in DLC	Long	10/1/2015	12/31/2016	In Progress	In Progress	In Progress	In Progress	DLC - DO/Zeltner	
M18	6.H	Assess the need for a review process for DLC orders, taking into account Oracle's min/max capabilities for DLC orders	Long	9/30/2015	9/30/2016	In Progress	In Progress	In Progress	In Progress	DLC - Utermohle	ERP/DOF - Williams
M18	6.I	Warehouse Inventory -- Resolve subinventory transfer process issues	Long	5/26/2015	5/31/2016	In Progress	In Progress	Complete	Complete	DLC - Utermohle	DOF - Williams
M18	6.J	Review, reevaluate, and strengthen policies, procedures, and internal controls over retail inventory counts.	Long	10/1/2015	12/31/2016	Not Started	Not Started	Not Started	Not Started	DLC - Utermohle/Wurdeman	DOF - Williams/ERP
7. Other Internal Control Improvements											
M17	7.A	Enhance/increase financial management/accounting resources - short-term	Medium	4/18/2015	7/31/2015	Complete	Complete	Complete	Complete	DLC - Pandya	DOF - Moore
M18	7.B	Evaluate financial management/accounting resources/structure - long-term	Medium	4/18/2015	10/31/2016	In Progress	In Progress	In Progress	In Progress	DLC - Utermohle	DOF - Moore
M18	7.C	Develop and implement a plan to enhance continuing education and professional development of financial staff	Medium	7/1/2015	10/31/2016	In Progress	In Progress	In Progress	In Progress	DLC - Utermohle	DOF - Williams/Shabani
M18	7.D	Develop and implement a plan for ongoing communication, monitoring, and feedback on the effectiveness of operating controls	Medium	7/1/2015	12/31/16 (est)	In Progress	In Progress	In Progress	In Progress	DLC - Utermohle	DOF - Williams
8. Strengthen Internal Controls over Retail financial transactions											
M16	8.A	Reconcile FY 15 cash receipts	Medium	4/15/2015	7/31/2015	Complete	Complete	Complete	Complete	DOF-Williams	ERP, DLC Fin
M17	8.B	Develop and implement updated training on Gift Card processing to reduce volume of errors	Medium	8/1/2015	12/31/2015	Complete	Complete	Complete	Complete	Pandya/Montes de Oca	DOF - Metzger / Williams
M17	8.C	Develop and implement revised procedures for Gift Card processing/error corrections	Medium	4/15/2015	TBD	Complete	Complete	Complete	Complete	DOF-Metzger	DLC-Pandya / ERP
M16	8.D	Eliminate FY15 unrecorded over/shorts from February - current. (See 8F)	Short	4/15/2015	6/30/2015	Complete	Complete	Complete	Complete	DLC - Pandya	DOF - Metzger/ERP
M17	8.E	Eliminate FY16 unrecorded over/shorts from July until permanent solution(s) implemented. (See 8F)	Long	7/1/2015	5/30/2016	In Progress	Complete	Complete	Complete	DLC - Utermohle	DOF - Metzger/ERP
M17	8.F	Develop and implement revised procedures, any system changes, and updated training for Over/Shorts from POS to bank/Oracle	Long	4/15/2015	10/31/2016	In Progress	In Progress	In Progress	In Progress	DLC-Utermohle/ Wurdeman	DOF - Metzger/ERP
M17	8.G	Resolve remaining issues with the POS automated interface	Long	5/27/2015	10/31/2016	In Progress	In Progress	In Progress	In Progress	ERP	DOF - Metzger/DLC
M17	8.H	Develop and implement POS control totals and enhanced reporting for reconciliation to bank/Oracle	Long	8/1/2015	10/31/2016	In Progress	In Progress	In Progress	In Progress	ERP	DLC-Utermohle/ Wurdeman
M17	8.I	Develop and implement automated notification of POS interface errors/issues	Long	6/24/2015	4/30/2016	Complete	Complete	Complete	Complete	ERP	DLC, DOF - Metzger

9. Analyze posting of licensee accounts to smooth deliveries												
	M18	9.A	Review historical data on orders from Licensees	Medium	6/1/2015	10/31/2015	Complete	Complete	Complete	Complete	DO / Pandya	
10. Review and renew DLC policies and procedures annually												
M18		10.A	Identify policies and procedures in need of documentation	Medium	6/1/2015	10/30/16 (est)	In Progress	In Progress	In Progress	In Progress	DO/Section Chiefs	DOF - Williams/Metzger/Shabani
	M18	10.B	Document DLC policies and procedures and determine the needed frequency of a review cycle (must be at least annually) (incl documentation of 3J, 3N, 6B, 6F)	Medium	On-going	12/31/16 (est)	In Progress	In Progress	In Progress	In Progress	Div. Chiefs	
	M18	10.C	Identify DLC policies that require ongoing coordination with Finance due to Charter/Code provisions.	Medium	9/1/2015	12/31/16 (est)	Not Started	Not Started	Not Started	Not Started	DOF-Moore	DLC
	M18	10.D	Participate in County-wide cash receipt policy/procedure review with focus on DLC-specific policies/procedures, and incorporate results to DLC practices/documentation	Long	11/1/2015	6/30/2016	In Progress	In Progress	Complete	Complete	DOF-Metzger	DLC
	M18	10.E	Schedule annual reviews of policies and procedures including dept. org structure, operational procedures, performance metrics, and employee performance standards.	Long	10/1/2015	12/31/16 (est)	Not Started	Not Started	Not Started	Not Started	DO / Div. Chiefs	DOF-Williams
11. Implement succession planning across the department												
	M18	11.A	identify key positions	Medium	7/1/2015	10/1/2015	Complete	Complete	Complete	Complete	DO / Div. Chiefs	
	M18	11.B	develop succession plans for key positions	Medium	10/2/2015	10/30/2016	In Progress	In Progress	In Progress	In Progress	DO / Div. Chiefs	
12. Track performance improvements and examine different organization models: Authority, Enterprise Fund, etc. as necessary												
	M18	12.A	Review the performance impacts of the DLC action plan and OHR process improvements	Short	ongoing	ongoing	Complete	Complete	Complete	Complete	DLC/ERP/DOF/CountyStat	
	M18	12.B	Consider a different organizational model as a potential option as necessary	Long	TBD	TBD	Not Started	In Progress	Complete	Complete	CEX/DLC	DOF/OMB
13. Track Return volume by customer, reasons and determine appropriateness of re-stocking fee												
	M18	13.A	Discuss options for tracking with ERP - Oracle team	Medium	6/15/2015	10/31/2015	Complete	Complete	Complete	Complete	DO	ERP
	M18	13.B	Track data and evaluate options for restocking fees	Long	10/1/2015	3/31/16 (est.)	In Progress	In Progress	Complete	Complete	DO	ERP / DOF-Williams