Part 1A
Technical Proposal

Proposal to the
State of Nevada

Consulting Services for Independent Verification & Validation (IV&V) for Child Support Enforcement (CSE) System Replacement

RFP: 3475

Proposal Submitted by:

Berry Dunn McNeil and Parker, LLC
dba BerryDunn
100 Middle Street
Portland, ME 04104
Phone: 207-541-2200

Charles K. Leadbetter, Principal
cleadbetter@berrydunn.com

Doug Rowe, Senior Manager
drowe@berrydunn.com

Proposal Submitted on:

October 19, 2017 2 p.m.

BerryDunn

October 19, 2017

Ms. Ronda Miller
Purchasing Officer II
State of Nevada, Purchasing Division
515 E. Musser Street Suite 300
Carson City, Nevada 89701

Dear Ms. Miller:

Berry Dunn McNeil & Parker, LLC (BerryDunn) is pleased to submit this proposal in response to the State of Nevada Purchasing Division and Department of Health and Human Services (DHHS) Division of Welfare and Supportive Services (DWSS) Request for Proposal (RFP) 3475 for Independent Verification & Validation (IV&V) for Child Support Enforcement (CSE) System Replacement.

We understand that the DHHS is in the process of replacing the Nevada Operations of Multi-Automated Data System (NOMADS) due to its outdated technology and limited functionality. With this RFP, the DHHS seeks to contract with an independent and experienced firm to provide semi-annual assessments of implementation process for the Child Support Enforcement Program (CSEP) module of this system. These assessments will be conducted in compliance with IV&V best practices and the Administration for Children and Families (ACF) Federal Office of Child Support Enforcement (OCSE).

BerryDunn is an independent management and information technology (IT) consulting and certified public accountant firm serving clients nationally with **more than 20 years of experience providing IV&V services for large, multi-year enterprise system implementations**. We are a stable and well-established firm that has preserved our core values and reputation for excellence for 43 years. We have enjoyed steady growth by providing consistent, high-quality services to our clients in all 50 states throughout the United States and in Canada.

As a principal at BerryDunn and leader of our State Government Practice Area, I am authorized to bind BerryDunn to the commitments made herein. Our team has read the RFP and amendments, we understand them, and we agree to the terms and conditions therein. Our proposal is a firm and irrevocable offer that is valid for a minimum of 180 days from the proposal due date of October 19, 2017. Should you have any questions, my contact information is:

Charles K. Leadbetter, Principal
BerryDunn: 100 Middle Street, Portland, ME 04101
Phone: 207-541-2249 | Email: cleadbetter@berrydunn.com

We appreciate the opportunity to submit this proposal and look forward to working with the State under this contract.

Sincerely,

Charles K. Leadbetter, PMP
Principal

Section I – Title Page (RFP 10.2.2.1)

Part IA – Technical Proposal	
RFP Title:	IV&V for Child Support Enforcement
RFP:	3475
Vendor Name:	Berry Dunn McNeil & Parker, LLC (d/b/a BerryDunn)
Vendor Address:	100 Middle Street Portland, Maine 04104
Proposal Opening Date:	10/19/17
Proposal Opening Time:	2 p.m.

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VENDOR INFORMATION SHEET FOR RFP 3475

Vendor Shall:

A) Provide all requested information in the space provided next to each numbered question. The information provided in Sections V1 through V6 shall be used for development of the contract;

B) Type or print responses; and

C) Include this Vendor Information Sheet in Section III of the Technical Proposal.

V1	Company Name	Berry Dunn McNeil & Parker, LLC

V2	Street Address	100 Middle Street

V3	City, State, ZIP	Portland, ME 04101

V4	Telephone Number		
	Area Code: 207	Number: 775-2387	Extension:

V5	Facsimile Number		
	Area Code: 207	Number: 774-2375	Extension:

V6	Toll Free Number		
	Area Code: 800	Number: 432-7202	Extension:

V7	***Contact Person for Questions / Contract Negotiations, including address if different than above***
	Name: Charles K. Leadbetter
	Title: Prinicpal
	Address: Same as Above
	Email Address: cleadbetter@berrydunn.com

V8	Telephone Number for Contact Person		
	Area Code: 207	Number: 541-2249	Extension:

V9	Facsimile Number for Contact Person		
	Area Code: 207	Number: 541-2249	Extension:

V10	***Name of Individual Authorized to Bind the Organization***	
	Name: Charles K. Leadbetter	Title: Principal

V11	Signature ***(Individual shall be legally authorized to bind the vendor per NRS 333.337)***	
	Signature:	Date: 10/18/17

Section IV – State Documents (RFP 10.2.2.4)

On the following pages, we have provided the requested documents:

- ***A. Amendment Signature Pages – The signature page from all amendments signed by an individual authorized to bind the organization***
- ***B. Attachment A – Confidentiality and Certification of Indemnification signed by an individual authorized to bind the organization***
- ***C. Attachment B – Vendor Certifications signed by an individual authorized to bind the organization***
- ***D. Attachment J – Certification Regarding Lobbying signed by an individual authorized to bind the organization***

We do not have any vendor licensing agreements and/or hardware/software maintenance agreements that would be included in a contract with the State.

73. Sections 4.10, 4.11, 4.12, and 4.13 all revolve heavily around system development processes/activities and not IV&V assessment/review activities. Can the State confirm that these sections are relevant to the IV&V contractor?

Sections 4.10 Design and Development Processes, 4.11 Configuration Management, 4.12 Peer Review Management and 4.13 Project Software Tools are not applicable to this solicitation. However, the IV&V vendor should verify and report that work is progressing and deliverables are produced in a timely manner. How verification and reporting occurs is the responsibility of the selected vendor.

74. Can the State confirm the onsite requirement for this project as section 12.3.4.1 states, 'The contractor shall be required to have its project management located in Carson City for the duration of the project?' This approach does not appear to be consistent with conducting periodic reviews.

Refer to the State's response to Question #16

75. Sections 12.3.11 Source Code Ownership and 12.3.13 Guaranteed Access to Software refer to activities, processes, tools, etc. that are specific to a development contractor. Can the State confirm that these items should apply to the IV&V contractor?

Refer to the State's response to Question #69.

76. Will the State provide an estimated / maximum budget for this project, in order to provide additional guidance for the scope of services to be provided by the IV&V vendor?

Refer to the State's response to Question #1.

77. Section 3.5.1.4 states "Provide written monthly status reports no more than once a month during active work conducting a semi-annual (Initial or Periodic) IV&V Review..." Can the State please clarify what is meant by the term "active work?" Does the State expect monthly reports during and immediately following Initial / Periodic reviews, or does the State anticipate monthly reports regularly throughout the duration of the IV&V contract?

The State anticipates monthly reports during the semi-annual IV&V review periods. Refer to the State's response to Question #1.

ALL ELSE REMAINS THE SAME FOR RFP 3475.

Vendor must sign and return this amendment with proposal submitted.

Vendor Name: Berry Dunn McNeil & Parker, LLC (dba BerryDunn)

Authorized Signature: _____

Title: Charles K. Leadbetter, Principal Date: 10/18/17

This document must be submitted in the "State Documents" section of vendors' technical proposal.

First set of questions included, "Please clarify if the Deliverable Observation Reports (DOR) are only upon request and thus will be scoped and priced separately if/when the State were to make this request of IV&V." Amendment 1 to Request for Proposal 3475 (in response to the first set of questions) communicates that "The Deliverable Observation Reports (DOR) are included in the project budget and should not be priced separately." Amendment 1 also communicates that "The State is adhering to federal requirements as per the IV&V Statement of Work Template located at https://www.acf.hhs.gov/css/resource/ivv-statement-of-work-template." The IV&V Statement of Work template, Task 8.1.10 Deliverable Observation Report (DOR), shows the following requirement/description for this deliverable: "Performed reviews of project artifacts, processes or deliverables not otherwise defined herein this scope of work, as-needed in a special scope of work between State and IV&V Service Provider." The state's response in Amendment 1 that DOR are "included in the project budget and should not be priced separately" appears to conflict with the Federal guideline that state DOR are "in a special scope of work" as-needed.

Refer to the State's response to Question #10.

40. Will the State please clarify the state's interpretation of the Federal guideline for Task 8.1.10 Deliverable Observation Report (DOR) as found in the IV&V Statement of Work template whether it should be included in the budget, or priced separately as needed?

Refer to the State's response to Question #10.

ALL ELSE REMAINS THE SAME FOR RFP 3475.

Vendor must sign and return this amendment with proposal submitted.

Vendor Name: Berry Dunn McNeil & Parker, LLC (dba BerryDunn)

Authorized Signature:

Title: Charles K. Leadbetter, Principal Date: 10/18/17

This document must be submitted in the "State Documents" section of vendors' technical proposal.

ATTACHMENT A – CONFIDENTIALITY AND CERTIFICATION OF INDEMNIFICATION

Submitted proposals, which are marked "confidential" in their entirety, or those in which a significant portion of the submitted proposal is marked "confidential" **shall not** be accepted by the State of Nevada. Pursuant to NRS 333.333, only specific parts of the proposal may be labeled a "trade secret" as defined in NRS 600A.030(5). All proposals are confidential until the contract is awarded; at which time, both successful and unsuccessful vendors' technical and cost proposals become public information.

In accordance with the submittal instructions of this RFP, vendors are requested to submit confidential information in separate files marked "**Part IB Confidential Technical**" and "**Part III Confidential Financial**".

The State shall not be responsible for any information contained within the proposal. If vendors do not comply with the labeling and packing requirements, proposals shall be released as submitted. In the event a governing board acts as the final authority, there may be public discussion regarding the submitted proposals that shall be in an open meeting format, the proposals shall remain confidential.

By signing below, I understand it is my responsibility as the vendor to act in protection of the labeled information and agree to defend and indemnify the State of Nevada for honoring such designation. I duly realize failure to so act shall constitute a complete waiver and all submitted information shall become public information; additionally, failure to label any information that is released by the State shall constitute a complete waiver of any and all claims for damages caused by the release of the information.

This proposal contains Confidential Information, Trade Secrets and/or Proprietary information.

Please initial the appropriate response in the boxes below and provide the justification for confidential status.

Part IB – Confidential Technical Information			
YES		NO	CKL-NO
Justification for Confidential Status			

Part III – Confidential Financial Information			
YES	YES-CKL	NO	
Justification for Confidential Status			
The included information is confidential financial details of our firm and is proprietary to Berry Dunn McNeil & Parker, LLC. Any inquiries on it or requests for additional information should be directed to John M. Chandler, Managing Partner at (207) 541-2211.			

Berry Dunn McNeil & Parker, LLC (dba BerryDunn)
Company Name

Signature

Charles K. Leadbetter, Principal
Print Name

October 18, 2017
Date

This document shall be submitted in Section IV of vendor's technical proposal

ATTACHMENT B – VENDOR CERTIFICATIONS

Vendor agrees and shall comply with the following:

(1) Any and all prices that may be charged under the terms of the contract do not and shall not violate any existing federal, State or municipal laws or regulations concerning discrimination and/or price fixing. The vendor agrees to indemnify, exonerate and hold the State harmless from liability for any such violation now and throughout the term of the contract.

(2) All proposed capabilities can be demonstrated by the vendor.

(3) The price(s) and amount of this proposal have been arrived at independently and without consultation, communication, agreement or disclosure with or to any other contractor, vendor or potential vendor.

(4) All proposal terms, including prices, shall remain in effect for a minimum of 180 days after the proposal due date. In the case of the awarded vendor, all proposal terms, including prices, shall remain in effect throughout the contract negotiation process.

(5) No attempt has been made at any time to induce any firm or person to refrain from proposing or to submit a proposal higher than this proposal, or to submit any intentionally high or noncompetitive proposal. All proposals shall be made in good faith and without collusion.

(6) All conditions and provisions of this RFP are deemed to be accepted by the vendor and incorporated by reference in the proposal, except such conditions and provisions that the vendor expressly excludes in the proposal. Any exclusion shall be in writing and included in the proposal at the time of submission.

(7) Each vendor shall disclose any existing or potential conflict of interest relative to the performance of the contractual services resulting from this RFP. Any such relationship that might be perceived or represented as a conflict shall be disclosed. By submitting a proposal in response to this RFP, vendors affirm that they have not given, nor intend to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant or any employee or representative of same, in connection with this procurement. Any attempt to intentionally or unintentionally conceal or obfuscate a conflict of interest shall automatically result in the disqualification of a vendor's proposal. An award shall not be made where a conflict of interest exists. The State shall determine whether a conflict of interest exists and whether it may reflect negatively on the State's selection of a vendor. The State reserves the right to disqualify any vendor on the grounds of actual or apparent conflict of interest.

(8) All employees assigned to the project are authorized to work in this country.

(9) The company has a written equal opportunity policy that does not discriminate in employment practices with regard to race, color, national origin, physical condition, creed, religion, age, sex, marital status, sexual orientation, developmental disability or handicap.

(10) The company has a written policy regarding compliance for maintaining a drug-free workplace.

(11) Vendor understands and acknowledges that the representations within their proposal are material and important, and shall be relied on by the State in evaluation of the proposal. Any vendor misrepresentations shall be treated as fraudulent concealment from the State of the true facts relating to the proposal.

(12) Vendor shall certify that any and all subcontractors comply with Sections 7, 8, 9, and 10, above.

(13) The proposal shall be signed by the individual(s) legally authorized to bind the vendor per NRS 333.337.

Berry Dunn McNeil & Parker, LLC (dba BerryDunn)

Vendor Company Name

Vendor Signature

Charles K. Leadbetter, Principal

Print Name

October 18, 2017

Date

This document shall be submitted in Section IV of vendor's technical proposal

ATTACHMENT J – CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or shall be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federally appropriated funds have been paid or shall be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

By: _____ October 18, 2017

~~Signature of Official Authorized~~ to Sign Application — Date

For: Berry Dunn McNeil & Parker, LLC (dba BerryDunn)

Vendor Name

IV&V for Child Support Enforcement System Replacement - RFP #3475

Project Title

This document shall be submitted in Section IV of vendor's technical proposal

Section V – Scope of Work (RFP 10.2.2.5 and 3.4 – 3.6)

Project Understanding

The Nevada DHHS DWSS is seeking an independent consulting firm to provide IV&V services for the CSES Replacement Project. The selected IV&V firm will identify and work with the State, your contractors, and other stakeholders to collaboratively manage risk to help ensure the system is delivered on time and that it meets quality, functional, and technical requirements of all major stakeholders.

IV&V can take many forms, including dedicated, full-time oversight of software development projects, testing and quality assurance, and periodic assessment of project health. For the CSES project, DHHS has determined that a periodic (semi-annual) review of project health indicators is appropriate. Upon notice-to-proceed, BerryDunn will work with the DHHS to refine our proven project health assessment instrument, project health indicators, and associated assessment criteria. This will serve as the framework from which all IV&V Reviews will be conducted over an estimated six-year period. Though the types of questions that we ask will evolve over time, as the project evolves through its multiple development stages, it is important that the project health indicators and associated criteria remain the same. This enables DHHS to gauge progress made in each project health area from review to review.

Providing effective IV&V services takes more than knowledge of best practices, technical experience, and subject matter expertise. It requires the IV&V team to **establish credibility early, exercise tact, and model professionalism** in order to build and maintain the trust of State leadership, your stakeholders, and vendors.

The BerryDunn team will work as partners with DWSS, your stakeholders, and contractors toward the achievement of project objectives.

The IV&V planning activities BerryDunn's IV&V team performs during the first 30 days of the contract will provide a solid footing for IV&V Reviews and promote a collaborative relationship between our IV&V team, the DWSS team, and your quality assurance (QA) and project management office (PMO) contractors throughout the CSES Replacement Project.

As the IV&V Service Provider, the BerryDunn team views ourselves as stakeholders, along with the State, vendors, and other contractors, in the success of the CSES project. In addition to preparing the foundational IV&V planning deliverables, we will work to establish credibility early in the project, build positive and productive relationships with members of the State and contractor teams, and communicate the message that our role is about promoting a successful project.

BerryDunn's IV&V Methodology

IV&V is a discipline that helps an organization build quality into a software implementation project (people, processes, and systems) during the software development life cycle, as shown in Figure 1.

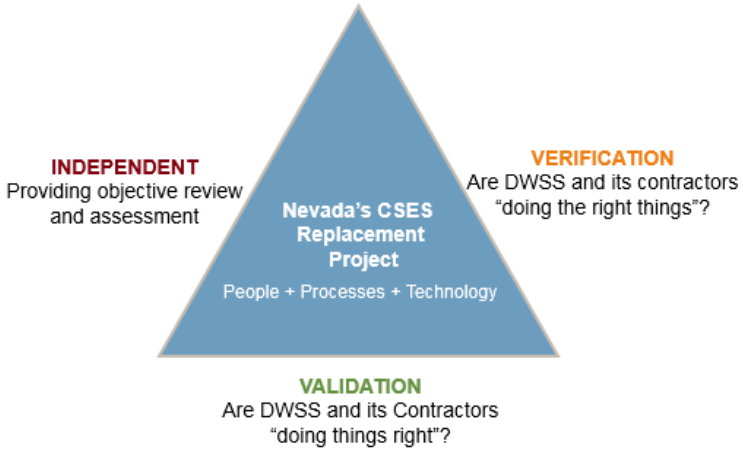


Figure 1. Core Tenets of IV&V. *The tenets of IV&V include an objective review to assess if the project is 'doing the right things' and 'doing things right.'*

We believe several factors are essential to effective IV&V, independent assessments, and quality assurance:

- ✓ ***Independence and objectivity***
- ✓ ***Open and honest dialogue***
- ✓ ***A "no surprises" philosophy***
- ✓ ***A proactive, active, and engaged IV&V team***
- ✓ ***Clearly documented project goals that are agreed to by project stakeholders to help ensure there are shared expectations regarding desired outcomes and project success***

An IV&V team can help promote strong project leadership and governance, both of which are essential to project success.

*A **core tenant of effective IV&V** is the philosophy that software defects and project challenges can be avoided through the use of industry best practice and conscious third-party assistance to independently verify and validate project decisions; in other words:*

Prevention *versus* **Detection**.

This concept builds on the simple fact that it is typically more cost and time-effective to prevent problems than it is to correct them once they have been implemented as part of the software product.

States expect their IV&V team to offer recommendations that prevent problems before they occur and require corrective actions. Nevada is no exception. BerryDunn is that firm. In our role providing IV&V for the State, we will place a significant focus on identifying risks and recommending mitigation strategies to prevent problems before it becomes necessary to correct them.

The role and scope of IV&V can vary:

- ***At one end of the spectrum, IV&V is involved continuously throughout the project and embedded in day-to-day project activities.***

- ***At the other end of the spectrum, IV&V enters the project periodically and operates more independently of the State, vendor, QA and PMO Contractors, and is more external to and detached from the daily life of the project.***

BerryDunn views Nevada's requested IV&V approach toward the right side of the spectrum. We understand that the DWSS is not looking for the selected IV&V Contractor to maintain a continuous presence and involvement in day-to-day project activities. Instead, the IV&V team will provide initial and semi-annual IV&V Risk Assessments and IV&V Reviews and Briefings, together with ongoing monitoring of progress toward OCSE, focused assessments of testing and security, and reviews of the vendor's major deliverables.

Our Independence

One of the key differentiators that BerryDunn brings to this project is our independence from systems vendors. During the early years of forming our consulting practice, BerryDunn made an important decision to not develop or sell hardware or software and to maintain strict independence from systems integrators. In our experience, very few consulting firms in the state agency arena can say this. Our proposed staff has many years of health and human services systems implementation experience, but we do not sell or implement enterprise systems.

Although IV&V must and will remain independent and objective, we will work collaboratively and in tandem with the DWSS and your partners and communicate the message that our role is about promoting a successful project. With the right team members present and a team with professional tact, we will participate in meetings by asking questions, within the DWSS' level of comfort, to spur discussion and help the CSES Replacement Project adhere to established and proven processes.

Our IV&V team provides the DWSS with leadership, experience, objectivity, and continuity throughout the project. In addition, we have proposed additional project resources to draw upon as specific project needs arise, which will allow us to be flexible and responsive when areas of expertise are needed and/or desirable. In our experience, this flexibility and scalability is essential to the function of IV&V.

BerryDunn has read and agrees to comply with Sections 3.1 through 3.3 of the RFP. Following are our team's responses to Sections 3.4, 3.5, and 3.6.

V.A Project Kickoff Meeting (RFP 3.4)

A project kick off meeting will be held with representatives from the State Replacement Project, the State's IV&V Contract Officer and the IV&V contractor after contract approval and prior to work performed. Items to be covered in the kick off meeting will include, but not be limited to:

3.4.1 Deliverable review process;

3.4.2 Determining format and protocol for project status meetings;

3.4.3 Determining format for project status reports;

3.4.4 Setting the schedule for meetings between representatives from the State and the contractor to develop the detailed project plan;

3.4.5 Defining lines of communication and reporting relationships;

3.4.6 Reviewing the project mission;

3.4.7 Pinpointing high-risk or problem areas; and

3.4.8 Issue resolution process.

1. **Prepare for and Conduct Kickoff Meeting.** ***During our initial conference call, we will discuss project goals and objectives, constraints, high level approach and timelines, communication preferences and primary points of contact. Additionally, we will determine the format of status meetings and reports, develop schedules, and discuss communication protocols. We will also identify any initial risks we may feel are important to raise that this time and discuss mitigation, if appropriate. This call will occur prior to the Project Kickoff Meeting described in Section V.A.***

Kickoff Presentation and Meeting

V.B Planning and Administration (RFP 3.5)

3.5.1.1 Work with the State to provide a detailed project plan for the IV&V project with fixed deadlines that take into consideration the State holiday schedule provided in Section 2.1, State Observed Holidays. The plan is to be initially delivered within the first thirty (30) days from the date of contract award, and updated and delivered one week prior to the commencement of the onsite portion of each Initial and Periodic IV&V Review. The IV&V Management Plan shall contain at least the following:

A. A schedule describing the next two-IV&V Review periods, including tasks, activities, deliverables, and milestones, and will show the schedule's critical path reflecting both IV&V Service Provider's and State's delivery and response milestones;

B. Project work plan for each deliverable, including a work breakdown structure;

C. Completion date of each task;

D. Entrance and exit criteria for specific project milestones;

E. Project organization including a resource plan defining roles and responsibilities for the awarded vendor, subcontractors (if applicable), the State IV&V Contract Officer, and the State Replacement Project as it relates to the IV&V project;

F. Resumes of all Key IV&V Service Provider personnel;

G. An organization chart reflecting the IV&V Service Provider's team, including the team's place within the IV&V Service Provider's corporate structure, and providing the key names, addresses and other contact information to be used for dispute resolution and customer feedback;

H. A narrative description of all deliverables, including expected format, content, and organization, to be developed and delivered during the next two IV&V Reviews (12 months); and

I. As Appendices, all applicable, Project lifecycle-appropriate IV&V Checklists to be utilized during the next two IV&V Reviews.

Project initiation and IV&V planning is signaled by acceptance of our proposal and successful negotiation of a contract. Based on existing documentation, terms of the contract, and additional input from the State, BerryDunn's IV&V project manager will provide the following initial planning deliverables within 30 calendar days after contract execution by both parties:

- ✓ ***IV&V Management Plan that we will use to manage and perform the IV&V services***
- ✓ ***Detailed Project Plan for all IV&V project tasks, deliverables, and milestones***
- ✓ ***Project Kickoff Meeting***

Phase 1: Initial Project Planning

Upon contract award, the BerryDunn team will conduct the following initial project planning tasks:

1.1 **Setup Project Site.** ***Our team will set up the BerryDunn KnowledgeLink SharePoint project site for managing and sharing project documentation with appropriate permissions set by the BerryDunn Project Manager and State IV&V Contract Officer, unless another site is preferred by the State.***

If desired by the DWSS, we will use BerryDunn KnowledgeLink, a customized web-based MS SharePoint tool (example screenshots from another project are shown in Exhibit A), to manage and store IV&V project documentation and work products; record project issues, risks, decisions and action items; and promote team collaboration throughout the project. BerryDunn will work with the DWSS to give state team members appropriate access to BerryDunn KnowledgeLink, and basic orientation. Using BerryDunn KnowledgeLink ensures all state and BerryDunn team members have access to key project documents and project status information any time, from any location with an internet connection.

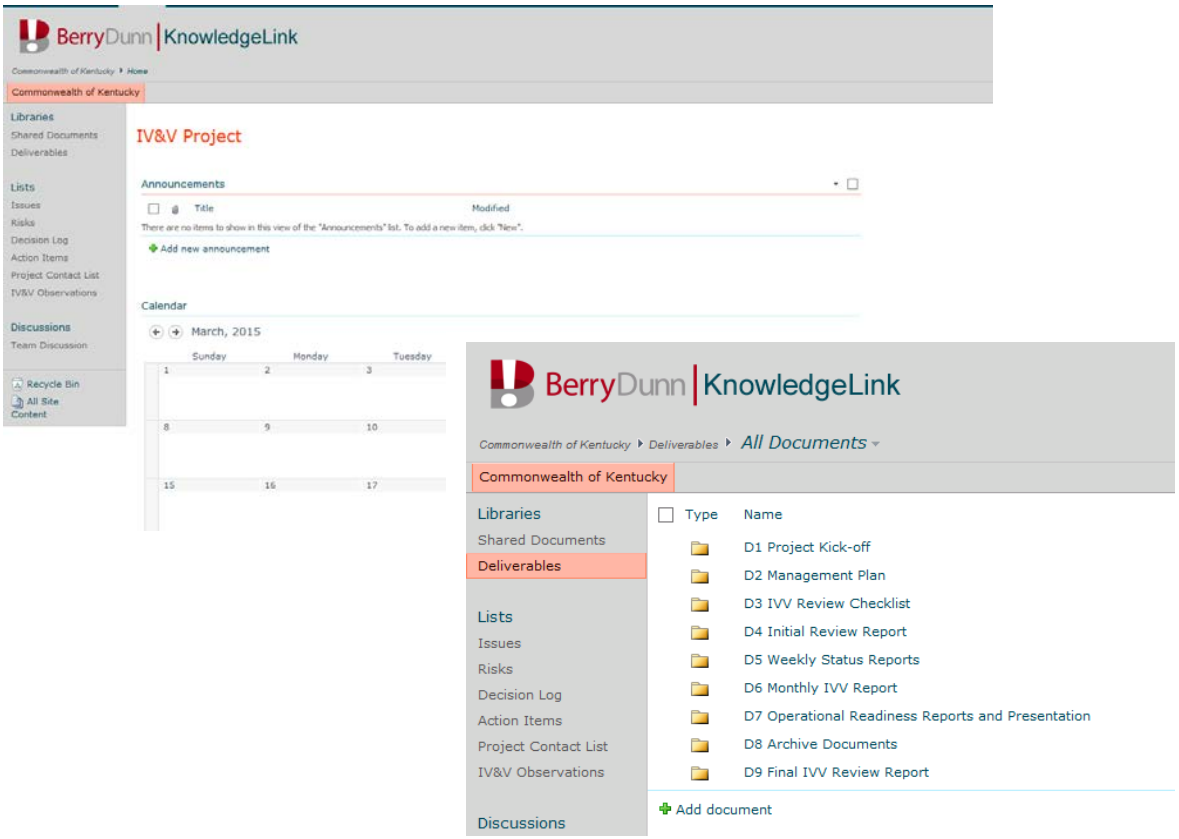


Exhibit A: BerryDunn KnowledgeLink. *We have provided screenshots of our SharePoint project repository tool used on most of our projects.*

This project repository contains the ability to maintain online project calendars, maintain lists of project team members and contact information, document and track issues and risks, monitor IV&V task and deliverable status, and serve as a secure repository for documents created throughout the engagement.

1.2 **Develop and submit information request.** ***During the first week of the project, we will prepare and submit an Information Request to the State IV&V contract officer to obtain key project documents and artifacts and access to project collaboration sites so that our team members can quickly orient themselves to the project. Examples of materials we will request include:***

- ***Contract documents associated with the CSES Replacement Project***
- ***CSES Project Work Plan and Project Charter***
- ***QA and PMO deliverables submitted to date, including status reports and project schedules***
- ***Advance Planning Document (APDs)***
- ***Steering Committee Meeting Materials and Minutes***
- ***Schedule of recurring meetings and participants***

1.3 **Develop IV&V Management Plan Deliverable Expectations Document (DED).** ***Prior to beginning work on the IV&V Management Plan and Detailed Project Plan, we will prepare a DED for review by the State IV&V contract officer. The objective of the DED is to gain agreement on the expected format, structure, and content prior to beginning work on developing these plans. We will conduct a walk-through of the DED with the State IV&V contract officer, make updates as warranted, and submit them in final to guide our IV&V planning activities.***

By clearly defining deliverable expectations up front, we are able to ***reduce risk and bring outcomes in line with the State's expectations*** *– a guiding principle of BerryDunn's approach.*

Items to be included in the IV&V Management Plan, per the RFP, are:

- ***Schedule***
- ***Project work plan for each deliverable, including a work breakdown structure;***
- ***Completion date of each task***
- ***Entrance and exit criteria for specific project milestones***
- ***Project organization***
- ***Resumes of all key IV&V service provider personnel***
- ***Organization chart reflecting the IV&V service provider's team***
- ***Narrative description of all deliverables***
- ***Project lifecycle-appropriate IV&V Checklists***

Our IV&V Management Plan will cover all mandatory IV&V requirements listed in Section 3.6.3 of the RFP.

1.4 **Prepare IV&V Management Plan.** ***Following the initial planning meeting, our IV&V project manager will develop and submit a comprehensive IV&V Management Plan work product for DWSS review and approval within 30 days after the project start. The IV&V Management Plan is a critical deliverable in setting joint expectations between DWSS and BerryDunn for how our team will conduct IV&V. Because the plan will address joint expectations, we will work with DWSS to customize our standard plan that is part of the BerryDunn IV&V Toolkit.***

The IV&V Management Plan will serve as a discussion tool with DWSS and describe important information such as:

- ✓ ***How the BerryDunn team will interact with the project governance structure, including escalation paths***
- ✓ ***How BerryDunn's proposed team is organized to fulfill our IV&V contractual requirements and coordinate with other stakeholders***
- ✓ ***How and when BerryDunn will communicate with DWSS, your contractors, and other stakeholders on the project***

- ✓ ***What steps BerryDunn will take for each IV&V deliverable to help ensure we provide quality deliverables to DWSS and your federal partners***
- ✓ ***What is included in BerryDunn's scope of IV&V services, as defined by BerryDunn's contract with the State, including our:***
  - ***Approach to developing the Risk Analysis and Mitigation Report***
  - ***Approach to conducting Semi-Annual IV&V Management Briefings***
  - ***Framework for identifying, communicating, escalating, and working with the State, QA and PMO contractors, and vendor contractor to mitigate project risks***
  - ***List of recurring project meetings that BerryDunn's IV&V team will observe or participate in to support IV&V analysis and tasks***
  - ***Approach to conducting the IV&V Testing Assessment***
  - ***Approach to conducting the Independent Security Assessment***
  - ***Approach to monitoring progress against OCSE Requirements, providing independent review of required certification artifacts, and developing the IV&V Certification Validation Report***
  - ***Approach to monitoring compliance with OCSE conditions of approval***
- ✓ ***How the BerryDunn team will manage scope, budget, change, schedule, risks/issues/opportunities, and resources***
- ✓ ***How BerryDunn manages staff, as well as our approach to resource management and coordination with other stakeholders***

We employ a standards-based, risk-focused IV&V methodology, based on relevant standards for CSE and IV&V, as shown below, which will be documented in the IV&V Management Plan:

- ***OCSE requirements for IV&V per 45 C.F.R. 307.15(b)(10)***
- ***Project Management Body of Knowledge (PMBOK), Fifth Edition; the Government Extension to the PMBOK Guide; and applicable Project Management Institute (PMI) Practice Standards***
- ***Software Engineering Institute (SEI) Capability Maturity Model Integration (CMMI)***
- ***Institute of Electrical and Electronics Engineers (IEEE), including:***
  - ***IEEE 730: Quality Assurance Plans***
  - ***IEEE 828: Configuration Management Plans***
  - ***IEEE 829: Standard for Software Test Documentation***
  - ***IEEE 830: Software Requirements Specification***
  - ***IEEE 1012: Standard for Software Verification and Validation***

> *IV&V is "a well-defined standard process for examining the organizational, management, and technical aspects of a project to determine the effort's adherence to industry standards and best practices, to identify risks, and make recommendations for remediation, where appropriate."*
>
> *45 CFR 95.626*

- ***IEEE 1028: Standard for Software Reviews***
- ***IEEE 1063: Standard for Software User Documentation***
- ***IEEE 1485: IT – Software Packages – Quality Requirements and Testing***
- ***IEEE SWEBOK: Software Engineering Body of Knowledge®***

- ***National Institute of Standards and Technology (NIST)***
- ***International Organization for Standardization (ISO), including:***
  - ***ISO/IEC 12207: Standard for Developing Software Life Processes***
  - ***ISO/IEC 15288: Standard for Developing System Life Processes***
  - ***ISO/IEC 15504: Information Technology – Process Assessment***
  - ***ISO/IEC 20000:2005 Information Technology Service Management Specification***
  - ***ISO 9001:2008 Quality Management Systems – Requirements***
- ***State of Nevada Software Development Life Cycle (SDLC) Methodology and information technology (IT) Standards***

The plan will be initially delivered within the first 30 days from the date of contract award, and updated and delivered one week prior to the commencement of the on-site portion of each Initial and Periodic IV&V Review.

1.5 **Develop Detailed Project Plan.** ***We have provided a preliminary Project Plan in Section VIII of this proposal. Following our initial planning meeting with the State, BerryDunn's IV&V project manager will update the preliminary Project Plan to reflect information our team has gained regarding the CSES Replacement Project, as well as the State's holiday schedule, and provide DWSS with a Detailed Project Plan, which includes the following:***

- ***Project schedule detailing project tasks, activities, milestones, activity duration, sequencing, dependencies, and dates for completing each IV&V task***
- ***Project Work Plan for each deliverable, including a Work Breakdown Structure***
- ***Dependencies on the overall timeline, including integration of contractor tasks***

1.6 **Review IV&V Management Plan and Project Plan with DWSS.** ***We will provide the draft IV&V Management Plan and Detailed Project Plan for DWSS review; facilitate a meeting to walk through these planning documents; make updates to reflect decisions made during the walkthrough; and submit the IV&V Management Plan and Project Plan for DWSS review and approval. We will then maintain these plans and manage and perform our IV&V services in accordance with them.***

IV&V Management Plan and Detailed Project Plan

1.7 **Develop CSES project-specific IV&V Review Indicators and Criteria.** ***The BerryDunn team brings a proven project health assessment approach and instrument to the CSES project. The instrument includes a series of IV&V Review Indicators, along with a series of assessment criteria for each indicator. This tool enables our team to provide a consistent set of metrics, regardless of the phase of the CSES project. As an early project task, we will develop a preliminary set of IV&V Review Indicators (based on the Requirement Items listed in the RFP), with draft assessment criteria for each.***

1.8 **Incorporate IV&V Review Indicators and Criteria into IV&V Review report template.** ***The BerryDunn team will embed these indicators and assessment criteria into a preliminary version of the IV&V Review instrument. These indicators and criteria will be used during all IV&V Reviews, thought the questions and checklists used to conduct the assessments will be dependent on the project phase.***

1.9 **Review IV&V Review Indicators and Criteria, and IV&V Review template.** ***Based on our activities in Tasks 1.7 and 1.8, our team will provide a copy of the IV&V Review Indicators and Criteria, as well as the updated IV&V Review template to the State IV&V contract officer for review by and feedback from the State stakeholders. Our team will review these indicators and criteria with key members of the CSES project management team, and will modify them as appropriate for use on the CSES project. We have provided a sample of the project health assessment instrument in Section IX.***

1.10 **Update IV&V Review Indicators and Criteria and IV&V Review template.** ***Based on the State's feedback, the BerryDunn team will update the IV&V Review Indicators and Criteria, as well as the IV&V Review template, based on feedback from the State IV&V Contract Officer and other stakeholders.***

Configured IV&V Review Instrument

3.5.1.2 Attend monthly project status meetings with the IV&V Contract Officer and the Replacement Project team at a location to be determined by the State. Attendance may be in person or via teleconferencing, as mutually agreed to by the project team. These meetings shall follow an agenda mutually developed by the awarded vendor and the State. The agenda may include, but not be limited to:

A. Review and approval of previous meeting minutes;

B. Contractor project status;

C. State project status;

D. Contract status and issues, including resolutions;

E. Status of IV&V activities,

F. New action items;

G. Outstanding action items, including resolutions;

H. Setting of next meeting date; and

I. Other business.

Minutes will be taken and distributed by State staff within five (5) working days after the meeting. Minutes may be distributed via facsimile or email.

1.11 ***Attend and participate in monthly project status meetings.*** ***Members of BerryDunn's IV&V team will participate in monthly project meetings with the State IV&V contract officer and CSES Replacement Project team in person or via teleconference, depending on the month. We have planned for participation in three meetings per semi-annual IV&V Review period, attended by two BerryDunn team members. As stated in the RFP, we understand that the meetings will follow an agenda to be determined with topics such as:***

- ***Review and approval of previous meeting minutes***
- ***Contractor project status***

- ***State project status***
- ***Contract status and issues, including resolutions***
- ***Status of IV&V activities***
- ***New action items***
- ***Outstanding action items, including resolutions***
- ***Setting of next meeting date***
- ***Other business***

3.5.1.3 Attend and participate in all IV&V project related meetings requested as well as Steering Committee meetings. The awarded vendor shall prepare materials or briefings for these meetings as requested by the State. Minutes will be taken and distributed by State staff within five (5) working days after the meeting. Minutes may be distributed via facsimile or email. Minutes will be taken and distributed by State staff within five (5) working days after the meeting. Minutes may be distributed via facsimile or email.

1.12 **Attend and participate in all IV&V project and Steering Committee meetings.** ***Members of BerryDunn's IV&V team will participate in project meetings as requested by the State IV&V contract officer to observe the project in action and inform our project assessments. In addition to scheduled project health assessment stakeholder interviews, we have planned for participation in an average of 16 hours of project meetings for each semi-annual IV&V assessment period. These meetings will be attended by two BerryDunn project team members.***

Attendance at all scheduled meetings

3.5.1.4 Provide written monthly status reports. No more than once a month during active work conducting a semi-annual (Initial or Periodic) IV&V Review, inform the IV&V Contract Officer of current contract status, availability of IV&V Service Provider key personnel, work and deliverables expectations prospective to the next 60 days in contract schedule.

1.13 **Provide written monthly status reports.** ***Members of BerryDunn's IV&V project team will provide the State IV&V contract officer with a monthly status report that details the current contract status, availability of BerryDunn's key personnel, and the work and deliverable expectations for the remainder of the schedule during each assessment period. We have assumed our team will develop three status reports during IV&V assessment period.***

Written Monthly Status Reports – Three Per IV&V Assessment Period

3.5.1.5 Prepare and deliver IV&V Checklists, presenting in Question and Answer format elements to be reviewed, observed, monitored, and commented on, with regard to all aspects of industry standards for Project Management, Software and Systems Development, and Engineering disciplines as found in IEEE, CMI, and PMBOK industry standards, at a minimum.

3.5.1.6 The IV&V Checklists are to be compiled and delivered on an ongoing basis, with the first checklists being delivered applicable to the project lifecycle phase to be monitored and reviewed within the Initial IV&V Review period, with such checklist delivery made prior to the onsite portion of the review being performed. As IV&V work progresses and project lifecycle phases change, applicable, updated IV&V Checklists will be delivered, as needed, prior to commencement of the on-site portion of that respective, periodic IV&V Review.

1.14 **Prepare and deliver IV&V checklists.** ***BerryDunn's IV&V team will develop IV&V review checklists to be used in the performance of fact-finding and analytical tasks to define the criteria and metrics against which a specific activity or deliverable will be reviewed. We have developed similar checklists in our IV&V work on other large enterprise system implementations and will leverage this experience to develop and tailor IV&V review checklists for the State in alignment with your goals and objectives for the CSES Replacement Project. These questions and checklists will be customized for each semi-annual assessment, based on the project phase.***

Each Checklist Area will relate to the IV&V requirements listed in Section 3.6.3 of the RFP. As an example, Table 1 contains a list of assessment criteria for the Software Development Checklist Area from a previous project.

Table 1: Sample Software Development Checklist Area Assessment Criteria

Checklist Item	ID	Assessment Criteria
Design	**SD-1**	Evaluate and make recommendations on existing high-level and detailed design products to verify the design is workable, efficient, and satisfies all system and system interface requirements.
	SD-2	Evaluate the design products for adherence to the project design methodology and standards.
	SD-3	Evaluate the design and analysis process used to develop the design and make recommendations for improvements. Evaluate design standards, methodology and tools used and make recommendations.
	SD-4	Verify that design requirements can be traced back to system requirements.
	SD-5	Verify that all design products are under configuration control and formally approved before coding begins.
Job Control	**SD-6**	Perform an evaluation and make recommendations on existing job control and on the process for designing job control.
	SD-7	Evaluate the system's division between batch and on-line processing with regard to system performance and data integrity.
	SD-8	Evaluate batch jobs for appropriate scheduling, timing, and internal and external dependencies.
	SD-9	Evaluate the appropriate use of OS scheduling software.

Checklist Item	ID	Assessment Criteria
	SD-10	Verify that job control language scripts are under an appropriate level of configuration control.
Code	**SD-11**	Evaluate and make recommendations on the standards and process currently in place for code development.
	SD-12	Evaluate the existing code base for portability and maintainability, taking software metrics including but not limited to modularity, complexity, and source and object size.
	SD-13	Code documentation will be evaluated for quality, completeness (including maintenance history) and accessibility.
	SD-14	Evaluate the coding standards and guidelines and the projects compliance with these standards and guidelines. This evaluation will include, but is not limited to, structure, documentation, modularity, naming conventions and format.
	SD-15	Verify that developed code is kept under appropriate configuration control and is easily accessible by developers.
	SD-16	Evaluate the project's use of software metrics in management and quality assurance.
Configuration and Rules	**SD-17**	Evaluate custom and COTS software for the ability to manage business rules and user workflows through end-user configurable tools verses coding changes
	SD-18	Evaluate the process for updating rule sets and configurations in a sustainable and auditable manner
	SD-19	Evaluate the overall plan for maintaining product configurations and rules once the system is in production
Unit Test	**SD-20**	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.
	SD-21	Evaluate the level of test automation, interactive testing and interactive debugging available in the test environment.
	SD-22	Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented.

Using the checklists and other review tools, we will analyze project artifacts such as project start-up deliverables, including the IV&V Management Plan. Additionally, we will analyze the practices of the project contractors and the State to determine the efficacy of those practices. We will draw upon industry standards and best practices as well as lessons learned in previous engagements to evaluate the quality and efficacy of the procedures in place.

IV&V Checklist

3.5.1.7 Prepare and deliver invoices for payment no more than once a month during active work conducting a semi-annual (initial or periodic) IV&V Review.

1.15 **Prepare and deliver invoices.** ***BerryDunn will prepare and deliver invoices to the State IV&V contract officer in accordance with the RFP and contract.***

V.C IV&V Planning (RFP 3.6)

3.6.1 The objective of this task is to conduct and report on IV&V activities to ensure quality processes and results for the CSEP's Replacement Project.

3.6.2 Activities

Phase 2: Conduct Initial IV&V Review

This phase of the project describes the details of the semi-annual IV&V Reviews that will be done in support of the initial IV&V Review of the CSES Replacement Project.

3.6.2.1 Conduct Initial IV&V Review of the Replacement Project. The Initial IV&V Review will commence within sixty (60) days from the date of contract award, with the first activity of the Initial IV&V Review being the onsite review. The IV&V Service Provider will be restricted to conducting its onsite review within a 10 calendar day period.

Our Initial IV&V Review, and subsequent reviews, will include all mandatory IV&V requirements listed in Section 3.6.3 of the RFP. The BerryDunn team will conduct the following tasks during our Initial IV&V Review:

2.1 **BerryDunn will submit to the State IV&V contract officer:**

- ***i) A schedule of on-site review activities to be performed with the CSES Replacement Project and DWSS, facilitated by BerryDunn's IV&V team***
- ***ii) A list of project team and stakeholder interviews to be performed and documentation we will be required to review***
- ***iii) A list of Project Documentation to be provided to BerryDunn's IV&V team for review. Once received, BerryDunn will review the project documentation to become well-prepared for our IV&V Review***
- ***iv) A list of project meetings to be attended and observed by the BerryDunn team***

2.2 **Develop web-based survey.** ***Based on current phase of the CSES Replacement Project, our team will develop a web-based survey. The purpose of this survey is to gather data from a broader set of stakeholders than would be possible through face-to-face interview alone. The data gathered from each semi-annual survey will be used to inform the questions and checklists developed by our team for use during onsite face-to-face meetings.***

- ***i) Develop web-based survey questions***
- ***ii) Review web-based survey questions with the State IV&V contract officer***
- ***iii) Update web-based survey questions based on State IV&V contract officer feedback***
- ***iv) Populate web-based survey instrument with survey questions and issue the survey***
- ***v) Review and analyze survey results and update the IV&V Review template appropriately based on results***

2.3 **Conduct IV&V review activities.** ***Our team will conduct IV&V Review activities following the methods such as attending stakeholder meetings, observing vendor activities, interviewing project team members, and reviewing project artifacts and deliverables in order to review project progress, quality, and the overall project health. We have planned to conduct focused assessments over a four- to five-day timeframe for members of our team to participate in project meetings, conduct interviews, and observe project activities. Our interviews will include the CSES Replacement Project staff, vendor staff, and other stakeholders.***

Table 2 describes key areas of focus for BerryDunn's IV&V team to monitor.

Table 2. Key Areas of Focus for BerryDunn's IV&V Team

Area of Focus	BerryDunn's Approach
Project Management and Governance	Project management and governance are important as part of any large-system implementation. We will be looking for efficient and effective State decision-making, clear lines of authority and accountability between the State, the vendor team, QA and PMO contractors, and within the State teams, and adherence to agreed-upon project management processes such as schedule and scope management to help keep the project on track.
Federal and State Requirements	BerryDunn's team has knowledge of several aspects of child support enforcement including: Title IV-A and IV-D; case initiation (TANF, non-TANF, Interstate); critical interfaces with Federal Parent Locator Service, Child Support Enforcement Network (CSENet), and Medicaid systems; the Automated Systems for Child Support Enforcement Guide; OCSE requirements and other federal security requirements related to government-funded programs and systems—including HIPAA and NIST. We understand the importance of adhering to federal regulations in order for states to receive enhanced funding. States cannot afford to reach the finish line without having cleared all of the hurdles along the way; there is simply too much at stake. Central to our IV&V approach, we will work with the DWSS and its stakeholders to plan for compliance from the outset of the project and proactively monitor compliance. In addition, we will pay special attention to the standards guiding the State's IT initiatives. BerryDunn has been repeatedly hired by states to evaluate compliance with regulatory requirements and provide guidance to help ensure the systems satisfy applicable laws, regulations, and directives. The DWSS can be assured that BerryDunn's IV&V team will keep compliance "on the front burner" throughout the life of the project.
End User Needs	End users' business needs should drive the system, NOT technology. In transformative technology initiatives such as the State's CSES Replacement Project, the focus can easily shift to making the technology work—thereby losing sight of the various stakeholder group and end user needs, which are the real project drivers. Through observation of the vendor's requirements validation sessions and use of IV&V subject matter experts (SMEs) in review of CSE business process documentation and functional requirements, BerryDunn's IV&V approach will help to ensure the State's business needs are clearly articulated and understood by the vendor. We also promote State participation in review of test cases and test results as well as testing to make sure the technology and outputs align with user expectations.

Area of Focus	*BerryDunn's Approach*
Testing	***Since testing often comes later in projects, it is often the phase that is cut short when schedule is the driver. BerryDunn's IV&V approach emphasizes test planning early in the project, as well as comprehensive life cycle testing including User Acceptance Testing (UAT), and use of SMEs and users in review of test cases to identify concerns as early in the project as possible. This approach helps to minimize the time and costs associated with rework.***
Requirements Traceability	***From the initial vendor planning documents, we will look for evidence that the vendor's methods, tools, and processes are developed and implemented to allow for backward (to the contract) and forward (to test results) requirements traceability. This approach helps to provide the DWSS with a high level of confidence that the functionality delivered meets state, federal, contractual, and user requirements.***

In addition to these key areas of review focus, BerryDunn's IV&V team will:

- ***Document identified issues and risks in alignment with the categorization and ranking of risks with the CSES Replacement Project's overall risk register***
- ***Monitor Nevada's procurement process for non-core CSES modules***
- ***Utilize metrics and other measures to monitor project performance, including the feasibility of the project schedule and testing progress (see Section VI.1 for additional details on our approach to managing metrics)***
- ***Recommend improvements for both ongoing and phase-specific project processes based on our team's observations and the project's alignment with industry standards and best practices***
- ***Assess whether the State and CSES vendor share a common understanding of the project scope, requirements, milestones, deliverables, and entrance/exit criteria***

For each IV&V Review, our team will draw upon knowledge of all IV&V activities during the IV&V Review period, including deliverable reviews and focused assessments, to inform our findings and recommendations for the IV&V Assessments.

2.4 **Conduct our review and analysis.** ***As requested by the State, we plan to conduct our review and analysis of project artifacts and the development of the Initial IV&V Review Report at BerryDunn offices.***

3.6.2.2 Create the Initial IV&V Review Report (Draft and Final)

2.5 ***Develop Initial IV&V Review Report.*** ***Our team will develop an IV&V Report; submit to the State IV&V contract officer for review and feedback. For each area evaluated, the report will contain the current status of the CSES Replacement Project, including appropriate background information.***

The report will provide an analysis of each area, answering pertinent questions as stated in RFP 3.6.2.2.E with quantifiable responses where appropriate. Our report will be based on industry best practices and lessons learned by our team based on our extensive IV&V

experience. We will include detailed recommendations with immediate mitigation strategies for risks and constraints, where necessary, as well as strategic improvements to support the project's long-term goals.

2.6 ***Conduct a formal IV&V Review Report briefing. Our team will develop and present a formal presentation to the DWSS leadership, State IV&V contract officer, the State project team, OCSE representatives, and other key stakeholders on our IV&V Review Report. If desired by the State, BerryDunn will also prepare and deliver a debriefing related to the latest, report results within five calendar days of the report's delivery.***

Initial IV&V Review (1)

Phase 3: Conduct Periodic IV&V Review Activities

3.6.2.3 Conduct Periodic IV&V Review Activities

BerryDunn will conduct Periodic IV&V Reviews every six months (11 times over six years) following the Initial IV&V Review. These reviews will include all mandatory IV&V requirements listed in Section 3.6.3 of the RFP.

3.1 **For each Periodic IV&V Review, BerryDunn will submit to the State IV&V contract officer:**

- ***i) A schedule of on-site review activities to be performed with the CSES Replacement Project and DWSS, facilitated by BerryDunn's IV&V team***
- ***ii) A list of project team and stakeholder interviews to be performed and documentation we will be required to review***
- ***iii) A list of project documentation to be provided to BerryDunn's IV&V team for review. Once received, BerryDunn will review the project documentation to become well-prepared for our IV&V Review***
- ***iv) A list of project meetings to be attended and observed by the BerryDunn team***

3.2 **Develop web-based survey.** ***Based on current phase of the CSES Replacement Project, our team will develop a web-based survey similar to the one developed in the Initial IV&V Review:***

- ***i) Refine web-based survey questions based on the Initial IV&V Review***
- ***ii) Review web-based survey questions with the State IV&V contract officer***
- ***iii) Update web-based survey questions based on State IV&V contract officer feedback***
- ***iv) Populate web-based survey instrument with survey questions and issue the survey***
- ***v) Review and analyze survey results and update the IV&V Review template appropriately based on results***

3.3 **Conduct IV&V review activities.** ***Our team will conduct IV&V Review activities following the methods such as attending stakeholder meetings, observing vendor activities, interviewing project team members, and reviewing project artifacts and deliverables in***

order to review project progress, quality, and the overall project health. We have planned to conduct focused assessments over a 10-day timeframe for members of our team to participate in project meetings, conduct interviews, and observe project activities. Our interviews will include the CSES Replacement Project staff, vendor staff, and other project stakeholders.

3.4 **Conduct our review and analysis***. As requested by the State, we plan to conduct our review and analysis of project artifacts and the development of the Periodic IV&V Reports at BerryDunn offices.*

Periodic IV&V Review (11)

3.6.2.4 Create Periodic IV&V Review Reports (Draft and Final)

3.5 ***Develop Periodic IV&V Review Report. The draft of our IV&V Review Report will be send to the Federal OCSE within 60 calendar days of our on-site review. OCSE will provide feedback based on the ACF priorities and updates will be made by the BerryDunn team. Once the report is finalized, it will be redelivered to the OCSE, the State IV&V contract officer, project team, and DWSS.***

The report will provide an analysis of each area, answering pertinent questions as stated in RFP 3.6.2.2.E with quantifiable responses where appropriate. Our report will be based on our findings as well as industry best practices and lessons learned based on our extensive IV&V experience. We will include detailed recommendations with immediate mitigation strategies for risks and constraints, where necessary, as well as strategic improvements to support the project's long-term goals.

Periodic IV&V Review Reports (11)

3.6.2.5 Conduct formal briefing presentation

3.6 **Conduct a formal IV&V Review Report briefing.** ***Our team will develop and present a formal presentation to the DWSS leadership, State IV&V contract officer, the State project team, OCSE representatives, and other key stakeholders on our IV&V Review Report. If desired by the State, BerryDunn will also prepare and deliver a debriefing related to the latest, report results within five calendar days of the report's delivery.***

Formal Briefing Presentation

3.6.2.6 Create Deliverable Observation Reports (DOR) as necessary (up to two)

3.7 **Develop Review and Feedback Criteria.** ***BerryDunn will perform IV&V Reviews of two CSES vendor deliverables during this project. Identification of these deliverables will be mutually agreed upon by the DWSS and BerryDunn. BerryDunn will provide feedback and comments to the CSES project manager in writing, prior to the DWSS response to or approval of the deliverable.***

BerryDunn will review the quality of these two vendor deliverables, providing objective evaluations and feedback to help ensure that the deliverables are effective and usable by the DWSS, and making recommendations during deliverable development. We recognize that vendor deliverables often reflect the quality, efficiency, and stability of the system, and that the DWSS relies on those deliverables in large part to assess the efficacy of the product.

As IV&V Review contractor for the CSES project, BerryDunn will draw upon that experience as well our experience on other major system implementation projects to evaluate the quality and efficacy of the deliverables and make recommendations as needed so that the State ultimately has a core CSES that serves the DWSS well.

In conducting reviews of vendor deliverables, we will evaluate the quality of the deliverables (based on quality indicators shown in Table 3)

Table 3. Key Deliverable Quality Indicator Definitions

Indicator	Definition
Completeness	• Are all documents expected included and complete? • Are all expected sections within documents included and complete?
Clarity	• Is the deliverable purpose clear? • Is the content clearly written and presented?
Submission Format	• Are the documents readily accessible to the reviewers (named clearly and correctly, and in a common file format)? • Is the content, including diagrams, legible? • Is the document free of basic spelling, grammatical, and formatting errors?
Consistency	• Is the content consistent within the document and between related documents? • Is the content provided at a consistent level of detail within and between documents?
Comprehensiveness	• Is the material presented at the expected level of detail given the phase of the project? • Does the content include inputs from all relevant sources such as joint application development (JAD) sessions, existing system documentation, federal guidance, and the RFP? • Does the approach follow best practices and industry standards?
Accuracy	• Is the material accurate based on client business and program needs?
Contractual Compliance	• Does the deliverable satisfy the RFP and/or contractual requirements?
Regulatory Compliance	• Is the deliverable consistent with state and federal regulations and guidance? • Is traceability to state and federal laws, regulations, and guidance demonstrated?

3.8 **Review Feedback with the DWSS; incorporate edits into a final set of criteria.** ***BerryDunn will work with the DWSS to refine the criteria upon which to assess the deliverables, and develop the Deliverable Observation Review (DOR). Once the criteria are agreed upon, BerryDunn will publish the final set. For deliverables produced by the CSES vendor,***

BerryDunn would recommend that the published set of deliverable evaluation criteria be provided to the vendor in advance of them producing the deliverable. This helps to set expectations about content and quality, and should result in a deliverable the meets these expectations.

3.9 **Review the Vendor's Deliverable Document Observation results in a DOR format.** ***BerryDunn will review the vendor's deliverable, based on the agreed upon criteria, documenting the findings and recommendations in an agreed upon DOR format. This will be submitted to the Agency for review and discussion, resulting in a final DOR that can be provided to the Vendor by the DOR.***

Deliverable Observation Review Reports (2)

3.6.2.7 Archive Documents

3.10 **Archive documents.** ***As part of each IV&V Review closeout process, BerryDunn will provide the State with a complete CD-ROM archive of all IV&V documents including draft and final reports, status briefings, exception reports, all versions of the Project Management Plan, DOR Reports, Monthly (Financial) Invoicing, Project Status Reports, and all project materials, documentation, artifacts, data, reports, and forms during the course of the latest IV&V Review. This complete archive will be submitted with the final invoice for the IV&V Review period in question.***

Section VI – Company Background and References (RFP 10.2.2.6, 4)

A. Vendor Information (RFP 4.1)

4.1.1 Vendors shall provide a company profile in the table format below.

Table 4: Company Profile

Question	*Response*
Company name	***Berry Dunn McNeil & Parker (dba BerryDunn)***
Ownership (sole proprietor, partnership, etc.)	***Limited Liability Company***
State of incorporation	***Maine***
Date of incorporation	***1974***
# of years in business	***43***
List of top officers	***John Chandler, CPA – Managing Principal*** ***Renee Bishop, CPA – Vice President*** ***Janice Latulippe, CPA – Vice President*** ***Timothy Masse – Vice President*** ***Francis O'Shea, CPA – Secretary***
Location of company headquarters	***Portland, Maine***
Locations of the office(s) that shall provide the services described in this RFP	***Phoenix, Arizona*** ***Portland, Maine***
Number of employees locally within the expertise to support the requirements identified in this RFP	***0***
Number of employees nationally with the expertise to support the requirements in this RFP	***50***
Location(s) from which employees shall be assigned for this project	***Phoenix, Arizona*** ***Portland, Maine***

4.1.2 **Please be advised**, pursuant to NRS 80.010, a corporation organized pursuant to the laws of another state must register with the State of Nevada, Secretary of State's Office as a foreign corporation before a contract can be executed between the State of Nevada and the awarded vendor, unless specifically exempted by NRS 80.015.

BerryDunn is registered with the Nevada Secretary of State as a Foreign Limited Liability Company. Our commercial registered agent is the Corporation Service Company, located at 2215-B Renaissance Drive, Las Vegas, Nevada 89119.

4.1.3 The selected vendor, prior to doing business in the State of Nevada, shall be appropriately licensed by the State of Nevada, Secretary of State's Office pursuant to NRS76. Information regarding the Nevada Business License can be located at http://nvsos.gov.

Question	Response
Nevada Business License Number:	***E0469922012-3***
Legal Entity Name:	***Berry Dunn McNeil & Parker, LLC***

Is "Legal Entity Name" the same name as vendor is doing business as? If "No", provide explanation.

Yes		No	X

Our proposal is submitted under the name Berry Dunn McNeil & Parker, LLC, doing business as BerryDunn.

4.1.4 Vendors are cautioned that some services may contain licensing requirement(s). Vendors shall be proactive in verification of these requirements prior to proposal submittal. Proposals that do not contain the requisite licensure may be deemed non-responsive.

BerryDunn understands this requirement and has verified that we maintain the licensing requirements necessary for conducting the proposed project work.

4.1.5 Has the vendor ever been engaged under contract by any State of Nevada agency?

Yes	X	No	

If "Yes", complete the following table for each State agency for whom the work was performed. Table can be duplicated for each contract being identified.

Question	Response
Name of State agency:	***University of Nevada, Las Vegas***
State agency contact name:	***Lori Temple***
Dates when services were performed:	***September 2012 to May 2013***
Type of duties performed:	***Strategic Technology Planning***
Total dollar value of the contract:	***$151,000***
Name of State agency:	***University of Nevada School of Medicine****
State agency contact name:	***Jean Regan, Chief Financial Officer***
Dates when services were performed:	***June 2015 to October 2015***
Type of duties performed:	***Productive Study and Review of Cost-Based Rates***
Total dollar value of the contract:	***$144,643***

**** BerryDunn was a subcontractor to the Baldacci Consulting Group for this engagement.***

4.1.6 Are you now or have you been within the last two (2) years an employee of the State of Nevada, or any of its agencies, departments, or divisions?

Yes		No	X

4.1.7 Disclosure of any significant prior or ongoing contract failures, contract breaches, civil or criminal litigation in which the vendor has been alleged to be liable or held liable in a matter involving a contract with the State of Nevada or any other governmental entity. Any pending claim or litigation occurring within the past six (6) years which may adversely affect the vendor's ability to perform or fulfill its obligations if a contract is awarded as a result of this RFP shall also be disclosed. Does any of the above apply to your company?

Yes		No	X

4.1.8 Vendors shall review and provide if awarded a contract the insurance requirements as specified in Attachment D, Insurance Schedule for RFP 3475.

Upon contract award, BerryDunn will provide the Certificate of Insurance identifying the coverages as specified in Attachment D, Insurance Schedule for RFP 3475.

4.1.9 Company background/history and why vendor is qualified to provide the services described in this RFP. **Limit response to no more than five (5) pages.**

BerryDunn's Government Consulting Group has been providing management and IT consulting services to public sector clients across the country since 1986. Currently within our Government Consulting Group, we have 120 full-time team members actively engaged in IT consulting projects nationwide. In addition, we maintain relationships with a range of independent consultants and subcontractors to augment our team and provide subject matter expertise on projects when needed.

BerryDunn is a recognized leader in providing independent and objective consulting and advisory services for state agencies. For more than 30 years, we have served as a trusted advisor to large and small state agencies, assisting our clients to:

- ***Strengthen business processes and supporting systems in alignment with federal and state regulations***
- ***Plan for, procure, and manage the implementation of enterprise systems, including Health Insurance Exchange (HIX), Integrated Eligibility Systems (IES), Medicaid Management Information Systems (MMIS), Data Warehouse/Decision Support Systems (DW/DSS), Pharmacy, and Electronic Health Records***
- ***Provide IV&V, quality assurance, and technical assistance for large system implementations***
- ***Manage the compliance and certification processes for federally funded systems***

- ***Evaluate and provide guidance related to enterprise architecture, system design, master data management, and data governance***
- ***Identify and plan for integration and data sharing needs with other systems***
- ***Evaluate and strengthen system security in alignment with nationally recognized standards and regulatory requirements***
- ***Analyze regulatory impacts and adapt policies and procedures***
- ***Provide cost allocation planning, rate setting, and funding analyses***

As an independent consulting firm, BerryDunn does not develop or sell hardware or software, nor do we partner with system vendors or integrators. This will provide assurance to the State that our team is able to provide truly independent IV&V services.

*"BerryDunn has been a true partner to West Virginia and is **unequivocally the best vendor I have worked with in my nearly 30 years of experience**.*

They bring high quality people to our projects and have very little turnover in staff, both of which have been key factors contributing to our project successes."

- Mr. Edward Dolly, CIO
Office of Management Information Services, West Virginia Department of Health and Human Resources

Clients value the objective perspective BerryDunn brings to IV&V engagements and our commitment to working collaboratively with our clients, their stakeholders, and vendors to help the project succeed.

IV&V has been a core service for more than 15 years. We have recently performed large-scale program/project IV&V services for a number of complex, highly visible, enterprise-wide, multi-stakeholder state IT implementation projects:

- ***IV&V Services for the Commonwealth of Massachusetts Health Insurance Exchange and Integrated Eligibility System (HIX/IES) Implementation***
- ***IV&V Services for Ohio Department of Administrative Services MMIS implementation***
- ***IV&V Services for the State of Missouri Eligibility Determination and Enrollment System***
- ***IV&V Services for the State of Maryland Health Benefit Exchange Implementation***
- ***IV&V Services for the State of Maine MMIS Implementation***

In addition to these recent projects, the following list of selected past IV&V projects shows the diversity of state government agencies and systems for whom we have performed IV&V services and the breadth of our experience:

- ***Commonwealth of Massachusetts, Human Resources Division, PeopleSoft Upgrade***
- ***State of Maryland Judiciary, Integrated Financial Systems Solution***
- ***State of Maine, Bureau for Motor Vehicles, Legacy System Modernization Project***

- ***State of New Hampshire, Department of Administrative Services, State-wide Enterprise Resource Planning System Implementation***
- ***State of West Virginia, Bureau for Medical Services, MMIS and Point-of-Sale System Implementation***
- ***State of New Hampshire, Department of Health and Human Services, Medicaid Decision Support System***

We have worked with state agencies from health and human services to transportation to administration and finance, giving us firm grounding in state IT systems and business needs across the state enterprise. In addition to our independence, our experience provides us with an understanding of state government operations and many of the state and federal regulatory requirements with which agencies must comply, as well as your focus and dedication to providing secure, accessible services for state employees and citizens. Table 5 lists core services our team provides to state agencies across a variety of systems.

Table 5: Government Consulting Group Core Services and Selected System Experience

Core Services	Selected System Experience
• IV&V • QA • Project Management • Implementation Planning and Oversight • Business Analysis • Business Process Improvement • Strategic Technology Planning • Feasibility Studies and Options Analyses • Systems Planning and Procurement • IT System and Security Audits • Security Risk Assessment	• All Payer Claims Database Case Management Systems • Childcare Subsidy Tracking and Payment Systems • Data Warehouse and Decision Support Systems • Electronic Health Record Systems • Enterprise Resource Planning Systems • Enterprise Time and Attendance Systems • HIX • Human Resources Systems • Integrated Eligibility Systems • Licensing Systems • Medicaid Management Information Systems • Quality Rating Information Systems

4.1.10 Provide a brief description of the length of time vendor has been providing services described in this RFP to the public and/or private sector.

It is important that the DWSS have an independent and experienced IV&V partner with demonstrated success serving on similar engagements and helping states to achieve a successful system implementation. Since 2003, **BerryDunn has been repeatedly selected by states to provide IV&V and QA services** ***for complex, highly visible, enterprise-wide, multi-stakeholder enterprise IT implementation projects:***

- ***IV&V Services for the State of Missouri Eligibility Determination and Enrollment System implementation (2013 to present)***
- ***IV&V Services for Ohio Department of Administrative Services MMIS implementation (2016 to present)***
- ***QA and Project Management for West Virginia's MMIS DDI and CMS certification (2013 to present)****
- ***IV&V Services for the Commonwealth of Massachusetts HIX/IES implementation (2012 to present)****
- ***IV&V Services for the State of Maryland Health Benefit Exchange implementation (2012 to 2014)****
- ***IV&V, QA, and Technical Assistance Services for the State of Maine MMIS implementation through CMS certification (2008 to 2012)****
- ***QA Oversight for West Virginia's MMIS implementation through CMS certification (2003 to 2007)***
- ***IV&V for the State of New Hampshire Medicaid Decision Support System implementation through CMS certification (2003 to 2005)****

All of these projects entailed managing and performing multiple IV&V assessments, developing and implementing a detailed IV&V Project Plans, participating in meetings with state and vendor personnel, reviewing milestones and deliverables, assessing project risks, providing recommendations for mitigating actions, and reporting our assessment findings.

BerryDunn also brings perspective to the State's CSES Replacement Project through our experience providing IV&V for other state government system implementations, including:

- ***IV&V for the Kentucky Transportation Cabinet's Automated Vehicle Information System implementation (2015)****
- ***IV&V for the Maryland Judiciary's Financial System implementation (2009 to 2011)****
- ***IV&V for Massachusetts Human Resources Division's PeopleSoft Human Resources System modernization (2009 to 2010)****
- ***IV&V for the New Hampshire Department of Administration's Statewide Enterprise Resource Planning System implementation (2007 to 2009)****

****Members of our proposed project team worked on these projects***

4.1.11 Financial information and documentation to be included in accordance with Section 11.5, Part III – Confidential Financial Information.

4.1.11.1 Dun and Bradstreet Number

4.1.11.2 Federal Tax Identification Number

4.1.11.3 The last two (2) years and current year interim:

A. Profit and Loss Statement

B. Balance Statement

BerryDunn's financial information and documentation has been provided under separate cover in Part III: Confidential Financial Information.

B. Subcontractor Information (RFP 4.2)

4.2.1 Does this proposal include the use of subcontractors?

Yes		No	X

C. Business References (RFP 4.3)

4.3.1 Vendors should provide a minimum of three (3) business references from similar projects performed for private, state and/or large local government clients within the last three (3) years.

4.3.2 Business references shall show a proven ability of:

4.3.2.1 Managing validation and verification projects associated with the development, design, implementation and /or transfer of a large scale application with public and/or private sectors;

4.3.2.2 Managing validation and verification projects associated with the development and execution of a comprehensive application test plan;

4.3.2.3 Managing validation and verification projects associated with the development and implementation of a comprehensive training plan;

4.3.2.4 Experience with comprehensive project management;

4.3.2.5 Experience with cultural change management;

4.3.2.6 Experience with managing subcontractors;

4.3.2.7 Development and execution of a comprehensive project management plan;

4.3.2.8 Developing executing, and/or evaluating comprehensive Risk Management Plan;

4.3.2.9 Developing, executing, and/or evaluating a comprehensive Requirements Management Plan;

4.3.2.10 Developing, executing, and/or evaluating a comprehensive Configuration Management Plan;

4.3.2.11 Developing, executing, and/or evaluating a comprehensive Quality Management Plan;

4.3.2.12 Developing, executing, and/or evaluating a comprehensive Test Plan;

4.3.2.13 Developing, executing, and/or evaluating a comprehensive Software Maintenance and Operations Plan;

4.3.2.14 Developing, executing, and/or evaluating a comprehensive Training Plan;

4.3.2.15 Developing, executing, and/or evaluating a comprehensive Knowledge Transfer Plan. Experience working with a system integrator; and

4.3.2.16 Experience working with a system integrator.

4.3.3 Vendors shall submit Attachment E, Reference Questionnaire to their business references.

4.3.4 It is the vendor's responsibility to ensure that completed forms are received by the Purchasing Division on or before the deadline as specified in Section 9, RFP Timeline for inclusion in the evaluation process. Reference Questionnaires not received, or not complete, may adversely affect the vendor's score in the evaluation process.

4.3.5 The State reserves the right to contact and verify any and all references listed regarding the quality and degree of satisfaction for such performance.

Per Amendment 2, Question and Answer #20, we have provided the business reference forms (Attachment E) to the following references for BerryDunn:

- ***West Virginia Department of Health and Human Resources, Office of Management Information Services***
  Mr. Ed Dolly, CIO
  Phone: 304-356-5141 (office) | Email: ed.l.dolly@wv.gov
- ***Minnesota Bureau of Criminal Apprehension***
  Ms. Dana Gotz, Executive Director
  Phone: 651-793-1007 | Email: dana.gotz@state.mn.us
- ***Missouri Department of Social Services***
  Ms. Shawn Von Der Bruegge, MEDES Liaison & Eligibility Manager
  Phone: 537-751-6576 | Email: shawn.f.vonderbruegge@dss.mo.gov

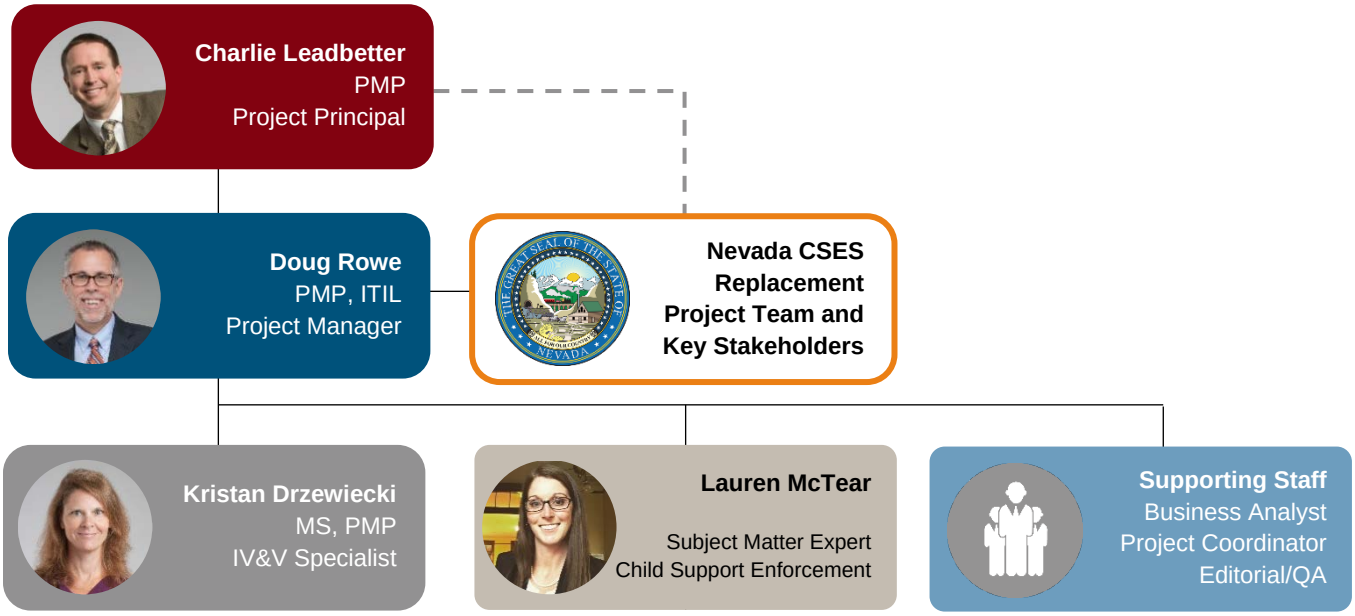
D. Vendor Staff Skills and Experience Required (RFP 4.4)

4.4 The vendor shall provide qualified personnel to perform the work necessary to accomplish the tasks defined in Section 3: Scope of Work. The State shall approve all awarded vendor resources. The State reserves the right to require the removal of any member of the awarded vendor's staff from the project.

BerryDunn will lead this project and take full responsibility for the successful completion of tasks and deliverables related to our IV&V services for this project. BerryDunn's team members were carefully selected based on the needs set forth in the RFP and team members' experience providing IV&V, project management, systems development, and subject matter expertise for CSE and other large, federally-funded and approved enterprise system implementations. Figure 2 provides the organization of our project team.

> ***An effective IV&V team*** *can often assist the larger project team to* ***turn down the "unproductive noise"*** *and help the team members keep their eyes on the project vision and goals—using the project vision, goals/objectives, and priorities* ***to steer the project and keep it on course****.*

Figure 2: BerryDunn's Proposed Project Team Structure. *We have proposed a team that will provide the DWSS with the right resources and the right time based on the needs of the project.*



D.1 Key Personnel

Our key personnel will be most visible and provide the most support to this project for the semi-annual assessments. Table 6 describes the roles and responsibilities for BerryDunn's Key Personnel.

Table 6. BerryDunn Key Personnel Responsibilities

Key Personnel Name and Project Role	Project Responsibilities
Doug Rowe *IV&V Project Manager*	• Serve as primary liaison with the State IV&V contract officer • Develop and maintain IV&V Management Plan and Work Plan • Lead project initiation and project close-out activities • Plan and allocate BerryDunn's IV&V resources • Perform day-to-day project and staff oversight during each review cycle • Maintain clear lines of communication and coordination of team members, both within our IV&V team and between our IV&V team and the DWSS project teams, OSCE, and contractor teams • Participate in project meetings with DWSS and contractor personnel • Participate in fact-finding, review, and analysis activities • Coordinate issue and risk management • Promptly communicate issues and risks related to the effective provision and performance of IV&V services to the State IV&V contract officer • Resolve issues and mitigate risks related to the provision of IV&V services • Escalate unresolved issues and realized risks to the State IV&V contract officer, implement corrective actions as needed • Oversee IV&V deliverable creation • Provide project management, large-system implementation subject matter expertise during each review cycle
Kristan Drzewiecki *IV&V Specialist*	• Provide expertise in IV&V services for large health and human services systems • Support IV&V project planning and kick-off preparations • Create, refine, and maintain IV&V checklists, reports, and monitoring and tracking tools • Participate in fact-finding, review, and analysis activities to identify gaps and evaluate project risks • Participate in project meetings with DWSS, vendor, and contractor personnel • Review and evaluate vendor deliverables and work products as necessary • Contribute to IV&V deliverables and work products
Lauren McTear *Child Support Enforcement Subject Matter Expert*	• Provide guidance on Child Support interfaces to support case initiation, case management, locate, and enforcement • Provide guidance for IV&V tasks related to child support capabilities such as: customer relationship management, interactive voice response, case initiation (TANF, non-TANF, Interstate), case management, enforcement, portals, financial management, reporting • Advise the IV&V team regarding functional, business processes, interface requirements

Key Personnel Name and Project Role	Project Responsibilities
	• Evaluate compliance with state and federal OCSE policies and regulations, Title IV-A, Title IV-D • Provide health and human services agency leadership expertise • Review technical aspects of the system such as architecture, hardware, database design, data conversion, hosting, processing capability and integration and interface requirements and design • Provide technical leadership, advice, and guidance including design recommendations

D.2 Additional BerryDunn Project Resources

Our team of key personnel will be supported by the following BerryDunn resources:

- ***Project Principal – Charlie Leadbetter will serve as project principal, ensure BerryDunn's full commitment to this engagement, and serve as a resource to our team and DWSS on large-scale enterprise system implementations. Charlie leads BerryDunn's State Government Practice Area with a focus on health and human services consulting engagements. He has overseen several IV&V and QA engagements over complex system implementations in the states of Kentucky, Maryland, Massachusetts, New Hampshire, and West Virginia.***
- ***Additional SMEs – Our core IV&V team will be supported by additional BerryDunn team members that bring deep expertise in areas such as testing, systems security, federal compliance, and financial analysis where needed during this engagement. We have leveraged team members' expertise on other IV&V engagements to conduct focused assessments and "deep dive" reviews of vendor deliverables and development activities. Our clients have appreciated this additional subject matter expertise being "a phone call away" and available as a resource for our IV&V team and the State.***
- ***Internal PMO and QA Resources – All BerryDunn projects are supported by the following resources:***

  Our internal PMO establishes and maintains standards, tools, and templates for effective management of our engagements and consistency across projects based on PMI standards. Our Editorial/QA team conducts editorial reviews and proofing of all BerryDunn deliverables and documentation prior to submission to clients.

We have used a similar staffing approach—a core team supported by a team of additional project resources—for IV&V and QA oversight engagements in Kentucky, Maine, Maryland, Massachusetts, Missouri, New Hampshire, Ohio, Vermont, and West Virginia. This staffing approach has benefitted our clients and their projects by providing a strong core team – together with a level of flexibility and scalability—to successfully perform IV&V services.

4.4.1 Project Manager Qualifications:

The Project Manager assigned by the awarded vendor to the engagement shall have:

4.4.1.1: A minimum of four (4) years of project management experience, within the last ten (10) years, in government or the private sector;

4.4.1.2: A minimum of three (3) years of experience, within the last ten (10) years, managing systems architecture and development projects;

4.4.1.3: A minimum of two (2) years of experience with systems analysis and design;

4.4.1.4: A minimum of two (2) years of experience with system development and implementation;

4.4.1.5: Completed at least one (1) project within the last three (3) years that involved designing business processes and procedures and developing new system to support the new business processes; and

4.4.1.6: Completed at least one (1) project within the past three (3) years that involved communication and coordination of activities with external stakeholders.

Our proposed project manager, Doug Rowe, has 30 years of experience working with public and private organizations to provide them with project management, business analysis, QA, and IV&V services. His experience for the last 10 years has been focused on state and municipal government agency projects.

Doug has been engagement/project manager for several projects involving the business process analysis and design, re-engineering, strategic planning, procurement, and implementation oversight of system architecture and development projects.

The projects Doug leads regularly involve communication and coordination of activities with several external stakeholders including agency leadership, system vendors, consulting vendors, agency staff, and end users.

Doug is a certified Project Management Professional (PMP) and has a certification in Information Technology Infrastructure Library (ITIL), which benefits the DWSS by bringing strong project leadership to this work, supported by industry best practices.

Doug meets the qualifications for the project manager role:

- ✓ ***12 years of project management experience, in government and the private sector***
- ✓ ***10 years managing systems architecture and development projects***
- ✓ ***20 years with systems analysis and design***
- ✓ ***30 years with systems development and implementation***
- ✓ ***10 years leading projects involving designing business processes/procedures and developing related systems***
- ✓ ***30 years leading projects involving stakeholder communication and coordination***

In support of Doug's project management experience, other team members bring extensive project management experience and best practices—our IV&V Specialist, Kristan Drzewiecki, and project principal, Charlie Leadbetter, are both certified PMPs with several years of project leadership expertise. All three of our PMPs have had leadership roles on IV&V projects for state agencies.

4.4.2	Individual Verification Services Team Member Qualifications:
4.4.2.1	The IV&V Team Member for Verification Services assigned by the awarded vendor must have significant experience with industry standard and best practices regarding quality, quality assurance, and quality control principles and techniques:
4.4.2.2	A minimum of two (2) years of IV&V experience on projects involving the implementation of new business processes and procedures and new automated systems to support the new business processes;
4.4.2.3	A minimum of two (2) years of IV&V experience on projects relating to the implementation of secure Internet applications;
4.4.2.4	Completed at least one (1) project within the past three (3) years that involved the receipt, installation, operation and maintenance of computer equipment and software for a Child Support Enforcement or similar large systems;

All of our team members have knowledge and understanding of quality assurance and quality control principles and methodologies. Along with knowledge from project experience and education, our consulting team uses a structured and disciplined approach to our projects based on established standards.

Figure 3 shows several industry standards we use to help in ensure quality while meeting project needs. We take into account the nature and complexity of a client's objectives, systems, resources, and operations while developing recommendations for improvement that are meaningful and achievable.

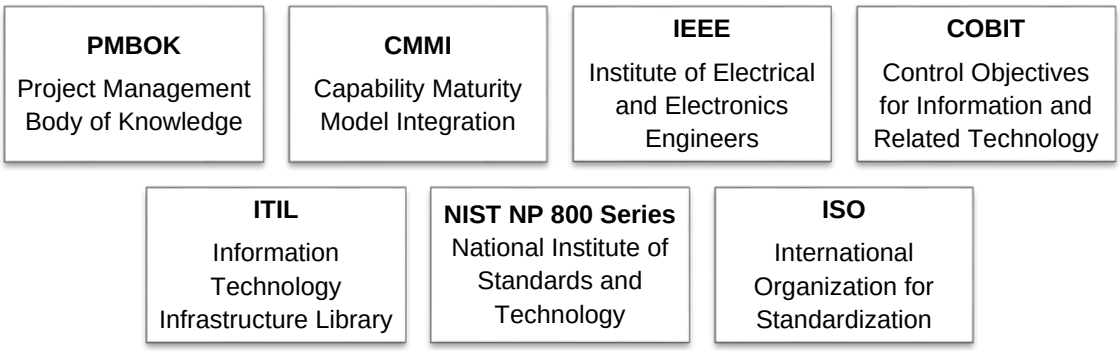


Figure 3: Industry Standards used by BerryDunn

We have carefully selected our project team to address the needs of this project through their IV&V, QA, business and technology experience, qualifications and understanding industry best practices, and supporting certifications. BerryDunn's Government Consulting Group has been providing IV&V and QA services for large system implementations for the last 20 years, including several projects for health and human services agencies. Table 7 shows our proposed team's experience and qualifications relevant to this project.

Table 7: Highlights of Proposed BerryDunn Resources Experience and Qualifications

BerryDunn Staff	Relevant Experience and Qualifications
Charlie Leadbetter, PMP **Principal**	• Project Principal, Vermont Independent Reviews of large system implementations (2017, as well as 20 reviews over the last 18 years) • Project Principal, IV&V for Kentucky Automated Vehicle Information System (2015) • Project Principal, Maryland Health Benefit Exchange IV&V Project (2012 – 2014) • Project Manager, Minnesota Bureau for Criminal Apprehension Risk Assessment of Criminal Record System and Crime Reporting System (2014) • Engagement Manager, Maryland Judiciary Integrated Financial System IV&V Project (2013) • Project Manager, Vermont Agency of Human Services Risk Assessment and Cost Benefit Analysis of Medicaid Enterprise System (2011) • Engagement Manager, Massachusetts PeopleSoft Upgrade IV&V Project (2009 – 2010) • Engagement Manager, New Hampshire ERP Implementation Quality Assurance Project (2007 – 2010) • Project Manager, North Carolina Independent Audit of State IT Services Enterprise Project Management Office (2007) • Project Manager, New Hampshire IV&V of Medicaid Decision Support System (2003)
Doug Rowe, PMP, ITIL **Project Manager**	• Project Manager/Engagement Manager, Vermont Independent Reviews of large system implementations (2013, 2014, 2015) • Project Manager, Minnesota Bureau for Criminal Apprehension Risk Assessment of Criminal Record System and Crime Reporting System (2014) • IV&V Risk and Quality Lead, Massachusetts HIX/IES IV&V Project (2013) • IV&V Risk and Certification Lead, Maine MMIS Implementation IV&V Project (2011 - 2012) • Project Manager for large system implementation projects, including the New Mexico Corrections Department's offender management system replacement project, the Vermont Judiciary's court case management system replacement project, and the Maine Judicial Branch's court case management system replacement project (2014 – 2017)
Kristan Drzewiecki, PMP **IV&V Specialist**	• Engagement Manager, Long-term Supports and Services Payment and Quality Reform (2015 – 2017) • QA Manager, Massachusetts HIX/IES IV&V Project (2013 – 2015) • IV&V Analyst, Maine MMIS Implementation IV&V Project (2008 – 2012) • QA Analyst, New Hampshire ERP Implementation Quality Assurance Project (2007 – 2009) • QA Analyst, West Virginia MMIS and POS Quality Assurance Oversight (2006 – 2008)

BerryDunn Staff	Relevant Experience and Qualifications
	• Lead Analyst, North Carolina Independent Audit of State IT Services Enterprise Project Management Office (2007)
Lauren McTear **CSE SME**	• Agency Business Process Director, Vermont Agency of Human Services Analysis, Management, and Oversight of Initiatives to Replace Legacy Systems including Child Support Enforcement and Child Welfare (2014 – 2017) • Technical Lead and Systems Developer, Vermont Department for Children and Families (DCF) with Operations and System Support for DCF and Vermont Health Access, led a team of developers and analysts, as well as the Standards Committee responsible for developing and implementing coding and operational standards for the Information Services Division (2007 – 2014)

Our team's professional experience is backed by several relevant certifications held by members of our Government Consulting Group, as shown in Figure 4. Through these certifications, combined with BerryDunn's years of work with government agencies on IV&V and QA projects, we bring a unique understanding of the services needed for this contract.

Figure 4: Selected BerryDunn Team Certifications

27 certified **Project Management Professionals (PMP)**

17 certified **Lean Six Sigma Green Belt**

13 certified **Information Technology Infrastructure Library (ITIL)**

12 certified **COBIT 5 Foundation**

Nine **Certified Information Systems Auditors (CISA)**

Eight **Certified Associates in Project Management (CAPM)**

Seven certified **Prosci Change Management**

Five **Certified Fraud Examiners (CFE)**

Four **Certified Information System Security Professionals (CISSP)**

Other certifications include:

- ✓ Certified Ethical Hacker (CEH)
- ✓ Certified Information Security Manager (CISM)
- ✓ Certified Public Accountant (CPA)
- ✓ Certified Professional in Health IT (CPHIT)
- ✓ Certified in the Governance of Enterprise IT (CGEIT)
- ✓ Cisco Certified Network Associate (CCNA)
- ✓ Master Analyst in Financial Forensics
- ✓ Microsoft Certified IT Professional
- ✓ Microsoft Certified Systems Administrator
- ✓ Microsoft SharePoint 2010
- ✓ Certified Novell Engineer (CNE)
- ✓ Certified Professional Electronic Health Records (CPEHR)
- ✓ Certified Process Professional (CPP)
- ✓ Certified Risk and Information Systems Control (CRISC)
- ✓ GIAC-Certified Forensics Analyst
- ✓ Microsoft Certified Desktop Support Technician
- ✓ Microsoft Certified Professional
- ✓ Microsoft Certified Systems Engineer
- ✓ PMI Risk Management Professional
- ✓ VMware Certified Professional (VCP5)

4.4.2.5 Completed at least one (1) project within the past three (3) years that involved a phased implementation where systems activities were coordinated between the old and new system environments;
4.4.2.6 Completed at least one (1) project within the past three (3) years that assessed training plans involving the development of course outlines and materials and organizing and conducting classes to support the implementation of new business processes and systems;
4.4.2.7 A minimum of two (2) years of IV&V experience related to system and user acceptance tests utilizing automated testing tools for a similar sized project;
4.4.2.8 Completed at least one (1) project within the past three (3) years that involved determining the readiness of the system production;
4.4.2.9 Broad experience with technical writing;
4.4.2.10 Demonstrated knowledge of Title IV, Part D of the Social Security Act;
4.4.2.11 Detailed knowledge of the Automated Systems for Child Support Enforcement: A Guide for States 2009;
4.4.2.12 A minimum of five (5) years of experience leading data cleansing and conversion for a similar sized project
4.4.2.13 Completed at least (1) project within the past three (3) years that involved determining the readiness of the system production
4.4.2.14 A minimum of four (4) years of experience conducting system and user acceptance tests for a similar sized project

Our combined project team meets the qualifications outlined in RFP 4.4.2.5 through 4.4.2.13 as shown in Table 8:

Table 8:

	Charlie Leadbetter Principal	**Doug Rowe Project Manager**	**Kristan Drzewiecki IV&V Specialist**	**Lauren McTear CSE SME**
4.4.2.5 Completed at least one (1) project within the past three (3) years that involved a phased implementation where systems activities were coordinated between the old and new system environments	**X**	**X**		**X**
Many of the projects that our team engages in are related to the replacement of enterprise-level systems with systems that are commercially-available, custom-developed, or a hybrid of these. Examples include the replacement of case management systems, child support enforcement and child welfare systems, Medicaid Management Information Systems (MMIS), integrated eligibility systems, financial systems, and more. Our involvement typically ranges from assessing the current state and determining a vision for the future state, through RFP development and procurement support, and then supporting our clients by providing IV&V, QA, or project management throughout the implementation of these replacement systems				
4.4.2.6 Completed at least one (1) project within the past three (3) years that assessed training plans involving the development of course outlines and materials and organizing and conducting classes to support the implementation of new business processes and systems		**X**	**X**	**X**
There are two primary scenarios in which BerryDunn is engaged to review and provide feedback on training plans: Reviewing vendor training plans as part of IV&V services; Reviewing training plans while engaged as our client's Project Manager on an enterprise-level system replacement project. In both cases we develop a set of review criteria with our clients, review the provided materials, and produce a report				

that describes the gaps identified, along with possible mitigation strategies for closing the gaps. Additionally, our proposed project manager, Doug Rowe, has significant experience in development of training plans, as well as curriculum design and development, based on several years of experience doing so with large software and technology training companies, as well as his own company.				
4.4.2.7 A minimum of two (2) years of IV&V experience related to system and user acceptance tests utilizing automated testing tools for a similar sized project	**X**			
Three of our proposed BerryDunn team members recently played key roles in providing IV&V services for a large state-based Affordable Care Act health insurance exchange. During this process, we oversaw and assessed the process by which the selected vendor tested the system functionality using automated tools. These tools produced results that we analyzed as part of our IV&V efforts.				
4.4.2.8 Completed at least one (1) project within the past three (3) years that involved determining the readiness of the system production	**X**		**X**	**X**
A prime example of our experience assessing production readiness of a system is our team's evaluation of the readiness for a large state-based Affordable Care Act health insurance exchange. Multiple readiness assessments were conducted prior to go-live, the results of which were produced for the Federal government for review and discussion.				
4.4.2.9 Broad experience with technical writing	**X**	**X**	**X**	**X**
Our consultants provide technical writing of deliverables for each project. Additionally, we have an editorial/QA writing team engaged in each project as part of our development of high quality deliverables.				
4.4.2.10 Demonstrated knowledge of Title IV, Part D of the Social Security Act			**X**	**X**
A key member of the BerryDunn team has knowledge and experience with Title IV from a practitioner's perspective, having work in a state government agency that was required to comply with this Act.				
4.4.2.11 Detailed knowledge of the Automated Systems for Child Support Enforcement: A Guide for States 2009			**X**	**X**
Two of our key team members of a working knowledge of this guide; one from a consulting perspective, and the other from a practitioner's viewpoint.				
4.4.2.13 A minimum of five (5) years of experience leading or providing oversight of data cleansing and conversion for a similar sized project				**X**
The migration of legacy data from existing systems to the replacement systems is almost always an element of the system replacement initiatives. Our team's role is typically to provide oversight for this effort, including assessing the data mapping techniques used, reviewing data review activities as a result of data transformation, and identifying risks and issues associated with planned or underway tasks.				
4.4.2.14 A minimum of four (4) years of experience conducting or providing oversight of system and user acceptance tests for a similar sized project	**X**		**X**	**X**
While providing IV&V services for a large state-based Affordable Care Act health insurance exchange, one of our team's responsibilities was to oversee the user acceptance testing activities for the implementation of the Exchange. Additionally, our team typically provide input to UAT activities in our role as IV&V or project manager on enterprise-level initiatives, such as those described within this proposal.				

To further elaborate on the qualifications of our staff, we have provided details of our IV&V Specialist and child support subject matter expert below.

Our proposed IV&V Specialist, Kristan Drzewiecki, is a leader in our health and human services practice with 12 years of experience providing IV&V, QA, and project management services for large, complex enterprise system implementation projects.

Kristan has served in several IV&V and QA roles for several BerryDunn projects, most notably:

- ***QA manager for the Massachusetts Health Insurance Exchange and Integrated Eligibility System IV&V project, where she led the review of project deliverables and conducted QA reviews of project processes***
- ***IV&V analyst for the Maine Medicaid Management Information System (MMIS) implementation project, where she conducted reviews of project management, system design and development documents, development of status reports, go-live readiness assessments, checklist development, stakeholder interviews, and IV&V report development***
- ***QA analyst for the West Virginia MMIS post-implementation project, where she reviewed vendor deliverables and implementation planning documents, identified and recommended strategies to address potential risks and issues***
- ***QA analyst for the New Hampshire Enterprise Resource Planning implementation QA project, where she conducted deliverable reviews, drafted reports, facilitated stakeholders meetings, provided go-live readiness assessments, and monitored user acceptance testing.***

Our proposed Child Support Enforcement SME, Lauren McTear, has 12 years of experience in state government agencies focused for the last seven years on health and human services programs, organization, operations, and systems to provide effective planning and reform. For the last two years, she has worked with the Vermont MMIS IV&V team through the Care Management design, development, and implementation project with responsibilities for deliverable review processes and vendor observation.

She has experience leading systems developers and business analysts on large and complex IT projects and overseeing IT vendors to ensure adherence to established IT processes, standards, and best practices. In addition, she has collaborated with business and architecture stakeholders to ensure technology strategies are aligned within context of portfolio and project planning, and coordinated the approval process for technical, system, and security documentation.

Lauren served as technical lead for projects for the Vermont Agency of Human Services, with a focus on systems integration design, including a system that supports both Title IV-A and Title IV-D. As Agency Business Process Director, Lauren engaged in analysis activities for identifying opportunities and constraints for replacing legacy systems and procure modules to support

MMIS, child support, integrated eligibility (Medicaid, SNAP, and TANF), family services (CCWIS), and service management/coordination for non-traditional Medicaid programs.

Her experience provides her a deep understanding of child support capabilities such as:

- ***Customer Relationship Management (CRM)***
- ***Interactive Voice Response (IVR)***
- ***Case Initiation - TANF, non-TANF, and Interstate***
- ***Case Management - including document management, workflow, case notes, case worker alerts***
- ***Enforcement***
- ***Employer and Customer Portals***
- ***Establishment of Paternity and Support Orders***
- ***Locate of Non-Custodial Parent***
- ***Financial Management and Reporting***

Her understanding of child support interfaces includes:

- ***State Medicaid System***
- ***Health Insurance Exchange***
- ***State IV-A System and Foster Care System***
- ***In-state financial Institution Data Match***
- ***Federal Parent Locator Service (FPLS)***
- ***Courts***
- ***Child Support Enforcement Network (CSENet)***
- ***eIWO***

E. Vendor Staff Resumes (RFP 4.5)

4.5 A resume shall be completed for each proposed individual on the State format provided in ***Attachment H, Proposed Staff Resume,*** including identification of key personnel per ***Section 13.3.19, Key Personnel*.**

We have provided Staff Resumes in Section VII.

F. Preliminary Project Plan (RFP 4.6)

4.6.1 Vendors shall submit a preliminary project plan as part of the proposal, including, but not limited to:
Gantt charts that show all proposed project activities; Planning methodologies; Milestones; Task conflicts and/or interdependencies; Estimated time frame for each task identified in ***Section 4, Scope of Work***; and Overall estimated time frame from project start to completion for both vendor and State activities, including strategies to avoid schedule slippage

We have provided our Preliminary Project Plan in Section VIII.

G. Project Management (RFP 4.7)

Vendors shall describe the project management methodology and processes utilized for:

4.7.1 Project integration to ensure that the various elements of the project are properly coordinated;

4.7.2 Project scope to ensure that the project includes all the work required and only the work required to complete the project successfully;

4.7.3 Time management to ensure timely completion of the project. Include defining activities, estimating activity duration, developing and controlling the project schedule;

4.7.4 Management of contractor and/or subcontractor issues and resolution process;

4.7.5 Responding to and covering requested changes in the project time frames;

4.7.6 Responding to State generated issues;

4.7.7 Cost management to ensure that the project is completed within the approved budget. Include resource planning, cost estimating, cost budgeting and cost control;

4.7.8 Resource management to ensure the most effective use of people involved in the project including subcontractors;

4.7.9 Communications management to ensure effective information generation, documentation, storage, transmission and disposal of project information; and

4.7.10 Risk management to ensure that risks are identified, planned for, analyzed, communicated and acted upon effectively.

A key to BerryDunn's success in providing IV&V services is our focus on providing tactful and effective project management that encourages a culture of shared learning and continuous process improvement. Our team understands that, as with all projects, the project management approach needs to be flexible to adjust to the priorities of the project. Yet, because we are the not managing the project, we need to approach risks and issues with tact and work collaboratively with the DWSS and Contractor project teams to be part of the solution.

With this in mind, BerryDunn has proposed a team with the right project management expertise, led by Doug Rowe as our IV&V project manager. Doug is a certified Project Management Professional (PMP) with 30 years of project management experience. He will be supported by two strong, experienced PMPs, Charlie Leadbetter and Kristan Drzewiecki.

The entire BerryDunn team will be supported by BerryDunn's proven project management approach, which is based on:

- ***Efficient and effective communication between DHHS, the DWSS project team, your PMO, QA, and Contractors, other stakeholders, and BerryDunn's project team. We strive to gain a clear understanding of stakeholder expectations, which helps our IV&V team to frame risks, issues, and opportunities within the context on stakeholder expectations.***
- ***Use of BerryDunn's IV&V Toolkit, which includes our customized risk, issue, and opportunity tracking and reporting database; our action-focused report development tool; and BerryDunn KnowledgeLink, a secure web-based SharePoint document repository (see Section V.B Task 1.2 for details), to enhance sharing of project materials and information among State and BerryDunn team members (unless DWSS prefers a State-operated repository).***

- ***Early identification and communication risks, issues, and opportunities along with recommended responses to mitigate the impact or maximize the opportunity.***
- ***Team members with knowledge of industry standards and best practices, including PMI best practices, and how and when to apply them to this project.***

These underlying principles—combined with BerryDunn's strong team, led by three PMI-certified PMPs—will allow us to apply our proven project management approach to support DWSS with the CSES Replacement Project.

Our project management approach:

- ✓ ***Engages DWSS partners early and often***
- ✓ ***Leverages project activities and tools across tasks to optimize use of project team members' and stakeholders' time***
- ✓ ***Builds on our team's knowledge and perspective of the national landscape of State health and human services and child support enforcement.***
- ✓ ***Includes regular monitoring of the evolving federal guidance and regulations related to state health and human services (HHS) programs, large HHS system implementation efforts, payment reform, and OCSE requirements to deliver work products that meet federal requirements and reflect the requirements in the RFP.***
- ✓ ***Leverages our relationships with other states and national entities such as National Academy for State Health Policy (NASHP), National Association of Health Data Organizations (NAHDO), Private Sector Technology Group (PSTG), National Association of State CIOs (NASCIO), and the New England States Consortium Systems Organization (NESCSO) to bring the most current best practices and lessons learned in enterprise system implementations to the State. Members of our Government Consulting practice are invited to present annually as thought leaders at several conferences throughout the country, including those focused on health and human services.***
- ✓ ***Builds on and/or integrates with existing workflows and systems when possible, including those of the CSEP project team.***

We maintain a 'big picture' view, managing our work with your end goals in mind:

- Completing projects on-time and on budget
- Meeting quality standards
- Complying with statutory, administrative, and regulatory requirements

Project Management Life Cycle

We apply proven project management processes, tools and techniques based on principles in the Project Management Book of Knowledge (PMBOK) version 5, published by the PMI, and scale them to fit the specific needs of each project. Our approach includes applying standard processes across the project management lifecycle, as shown in Figure 5 and described on the next page.

Initiation: Establishing Project Structure and Governing Processes

Project initiation is signaled by acceptance of our proposal and successful negotiation of a contract. Based on existing documentation, terms of the contract, and additional input from DWSS, BerryDunn's IV&V project manager will create the following initial planning deliverables within 30 days of contract execution:

- ✓ ***Comprehensive IV&V Management Plan***
- ✓ ***Detailed Project Plan for all IV&V project tasks, deliverables, and milestones***

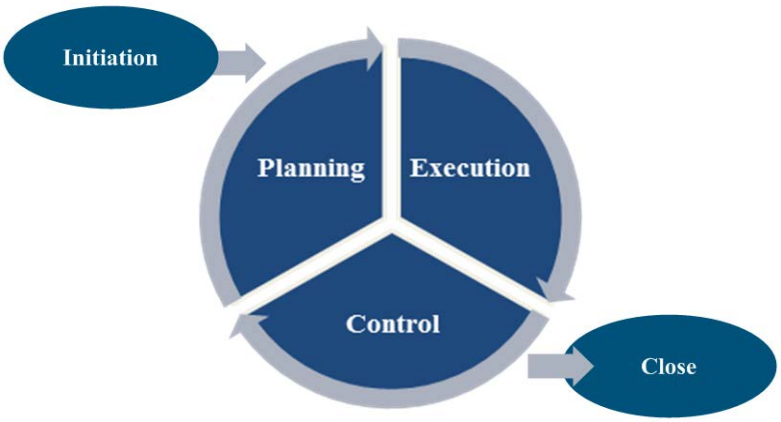


Figure 5. Project Management Lifecycle:
Applying a proven and scalable framework for managing our IV&V services

Planning: An Ongoing Process…

Planning is not a one-time task, but an ongoing project management process. In IV&V, it is important to be flexible and ready to change plans to adapt the project status and realignment of resources to meet the needs of the project. In support of this flexibility, BerryDunn's ongoing planning process entails clarifying deliverable expectations, identifying and integrating tasks, estimating level of effort and/or duration, allocating resources, and developing strategies to mitigate significant project risks. BerryDunn's IV&V project manager will conduct initial planning with the State IV&V contract officer and maintain and update planning documents throughout the engagement.

With a project management approach that is based on collaborating with stakeholders and communicating effectively and efficiently with stakeholders, we understand the need to adapt to various state governance models. For example, in our role providing IV&V for Massachusetts and Missouri, our teams have had to adapt to differences in project governance between a State-based marketplace project that includes integrated eligibility (Massachusetts) and an eligibility and enrollment project with an initial focus on Medicaid eligibility. Our teams have adapted and shown their flexibility as both Massachusetts and Missouri have undergone changes in system vendors and significant changes in governance and state leadership.

Execution and Control: Implement, Monitor, Measure, Report, and Mitigate.

Throughout the course of the engagement, our IV&V project manager, Doug Rowe, and our team will apply knowledge, skills, tools, and techniques to direct project activities, leverage resources, facilitate communication, and monitor team function to achieve the expectations established in the contract and as further refined by the State through initial and ongoing project planning.

Doug will serve as primary liaison with the State IV&V contract officer, provide regular status updates, respond to the State's questions and concerns, and provide management of project scope, schedule, risks, communications, costs, quality, and resources, as described further in the

paragraphs below. Throughout the project, we will explain the techniques we use and listen for your input to help us improve the way the processes fit into the culture of DWSS.

Project Close: Are We There Yet?

Project close activities and deliverables will validate that the State's expectations have been met and tasks have been completed as agreed upon. Knowledge-transfer activities are designed to ensure a smooth transition of our work to the State.

Scope and Schedule Management

From a project perspective, effective scope management establishes and helps to satisfy stakeholder expectations. This involves defining project success criteria and ongoing monitoring of the execution of project activities and deliverables against approved plans and requirements to ensure accountability for actual vs. planned outcomes.

The contract between BerryDunn and DWSS, including the RFP and BerryDunn's proposal, describe the deliverables and services BerryDunn will provide. BerryDunn's IV&V project manager will review the scope, objectives, and requirements for each task and deliverable with the State IV&V contract officer prior to commencing work in order to clarify expectations and ensure a common understanding. By clearly defining deliverable expectations up front, we are able to reduce risk and bring outcomes in line with expectations—a guiding principle of BerryDunn's approach.

Changes will follow an agreed-upon change control process as determined during initial project planning between BerryDunn and the State. Changes in scope, costs, and/or staffing, made by mutual agreement and approval with the State, may necessitate a revision to the Project Work Plan and/or Schedule. If such revisions are necessary, they will be submitted for DWSS review and approval using an agreed-upon Change Request Form, similar to the format presented in Exhibit B.

Exhibit B. Sample Change Request Form. *Some changes may impact a project without changing the contract. Such changes should be evaluated by the BerryDunn and State project managers and approved by both parties prior to their adoption.*

Sample Change Request Form

Request #:

Description of Change:

Reason for Change:

Impact Assessment

- **Scope**
- **Schedule**
- **Budget**
- **Deliverable Description**

Change Requested By: _____

Date Request Submitted: _____

Reviewed By	Date Reviewed	Recommendation

Change Request ☐ **Approved** ☐ **Denied**

_____ _____
State Signature *Date*

_____ _____
BerryDunn Signature *Date*

Resource Management

The Resource Management section of the Project Plan will outline project roles and responsibilities and depict the organization of project leadership, teams, and participants, including lines of escalation. The project organizational structure and project titles may differ from the organization chart and reporting structure of the sponsoring organization. Project roles and responsibilities are developed to serve the needs of the project.

Subcontractor Management

BerryDunn regularly works with independent subcontractors and companies to provide subject matter expertise or augment our team based on project needs. We have established processes for recruiting, networking, and maintaining relationships with prospective subcontractors. The following points describe BerryDunn's process for screening, selecting, onboarding, and managing subcontractors.

- ***BerryDunn's recruiting director and senior recruiter work closely with our Government Consulting Group to identify staffing needs for projects and assist with the subcontractor identification and recruiting process.***
- ***Prior to engaging subcontractors, we verify their qualifications and quality of work through various means, including (but not limited to) conducting reference checks, reviewing work samples, conducting interviews, and conducting background checks.***
- ***Subcontractors are required to participate in BerryDunn's established subcontractor orientation process, which helps to ensure that subcontractors have all of the tools and information necessary to perform their work and fully integrate with the BerryDunn team.***
- ***Our subcontractors that serve as SMEs typically have a minimum of 10 years of experience related to their area of expertise, and oftentimes upwards of 20 to 30 years of experience.***
- ***Our subcontractors who serve as SMEs typically have experience working as a state government employee and/or as a contractor to government agencies. In addition, many of our subcontractors bring relevant private sector experience to their role as SME.***
- ***If DWSS requests proof of payment for any subcontractors on this project, we will provide proof of payment within two business days of request. BerryDunn's contract coordinator works with each project principal and their respective subcontractors to coordinate and manage subcontractor payments, as well as compliance with client and BerryDunn contractual requirements. Subcontractors are provided an invoice template, which they must complete and submit to our contracts coordinator according to an established calendar; payments are processed twice monthly.***

We are accustomed to managing teams of BerryDunn employees and subcontractors and have established processes for integrating subcontractors into our project team so that our team structure is "seamless" to the client. The following points describe BerryDunn's process for managing subcontractors.

- ***BerryDunn's IV&V project manager will serve as the primary point of contact with the DWSS, including for all contract-related issues, regardless of whether the issue stems***

from BerryDunn's staff or subcontracted personnel. BerryDunn will be accountable for all work performed by our subcontractors.

- ***Subcontractors work under the direction of BerryDunn's IV&V project manager, who will monitor the performance of subcontractor(s) throughout the course of each engagement to ensure that the subcontractor's performance meets the expectations of BerryDunn and DWSS.***
- ***Subcontractors are required to participate in BerryDunn's established subcontractor orientation process, which helps to ensure that subcontractors have all of the tools and information necessary to perform their work and fully integrate with the BerryDunn team.***
- ***Subcontractors are required to follow all BerryDunn policies and procedures as relate to the project they are performing, including our established QA procedures. All documents developed by subcontractors undergo the same established QA review process as other deliverables developed by BerryDunn's team.***
- ***If issues arise with the subcontractor's performance, the BerryDunn IV&V project manager will address the issue in writing and work with the subcontractor to develop a plan of action for resolving the issue to help ensure that the DWSS is not affected by a subcontractor's nonperformance.***

Risk Management

As part of the IV&V Management Plan, BerryDunn's IV&V project manager will document our approach for managing and monitoring risks and issues related to our IV&V services contract. A risk is an uncertain event or condition that, if it occurs, would have an effect on at least one project objective. For example, availability of project resources is often identified as a project risk.

Risk identification and management is an ongoing activity that BerryDunn's IV&V project manager and team will perform throughout the life of the project, beginning at project onset when known risks and proposed mitigation strategies are identified, documented, and used for project planning purposes. Risks will be ranked as high, medium, or low for both probability and impact. As a general practice, a mitigation strategy will be developed for any risk ranked as high in terms of probability or impact.

Communications Management

BerryDunn understands that communication among the various stakeholders involved this CSES Replacement Project is key to project success. The right people need the right information at the right time. As part of our initial project planning, we will work with the State IV&V contract officer to define processes to support timely communication on the project. Our intent is to provide timely information to appropriate team members and stakeholders, clarify their roles and responsibilities, and minimize the impact to their day-to-day jobs. We will use the following project management tools and standards to address communication needs:

- ***Roles, Responsibilities, and Method of Communication – We will identify participants, teams, and stakeholder groups who have a need for project information and describe the communication needs of each group, as well as the method(s) and frequency of communication to meet those needs.***

- ***Communication Tools* – Communication with project team members will be facilitated through the use of the following:**
  - ***BerryDunn KnowledgeLink site (or something comparable) dedicated to the State's CSES Replacement Project***
  - ***Email, teleconferencing, web conferencing, and, when available, video-conferencing***
  - ***Advance copies of agendas and handouts for attendees to review prior to meetings***
  - ***Meeting minutes documenting discussions, decisions, and action items***
- ***Meeting Management* – BerryDunn's team members are experienced meeting facilitators and will schedule and structure meetings, interviews, and work sessions to make best use of participants' time. Appropriate BerryDunn team member(s) will attend project meetings as directed and facilitate and support those meetings led by our team, including (but not limited to) participating in planning activities, providing consultation and technical assistance, resolving issues, providing written status reports, documenting the meetings, providing draft and final minutes, and preparing agendas and other meeting materials.**

  Following are general guidelines for the project meetings, which will be reviewed and modified during the project planning process with the State IV&V contract officer:
  - ***Meetings will begin and end on time***
  - ***Meeting participants will be provided with reasonable notice of the meeting, as well as reasonable notice of meeting time/date/location changes and cancellation***
  - ***Key meeting participants who cannot attend should send a designee to attend in their stead***
  - ***Clearly defined meeting purpose or objectives will be included in the meeting invitation; whenever possible, the meeting agenda will be included***
  - ***Meeting participants should come to the meeting prepared, which includes reviewing meeting materials in advance and being prepared to present information when scheduled to do so***

H. Quality Assurance (RFP 4.8)

Vendors shall describe the quality assurance methodology and processes utilized to ensure that the project shall satisfy State requirements as outlined in Section 4, Scope of Work of this RFP.

Quality Management

We take the quality of our work seriously and work to exceed our clients' expectations of the quality and timeliness of our communications, service delivery, and final work products. We strive to assure quality by understanding client expectations, developing a reasonable and achievable project approach, gaining client concurrence on project tasks and timing, and using appropriate staff for each engagement. Our approach to Quality Management includes the following activities:

Quality Management Planning	• BerryDunn's IV&V project manager, in collaboration with business and technical analysts within the firm and DWSS, will identify quality standards relevant to the project and determine how to satisfy them.
Quality Assurance	• BerryDunn's IV&V project manager will evaluate project performance and deliverables on a regular basis to ensure an understanding of and compliance with the approved quality management standards and work with DWSS to eliminate causes of unsatisfactory performance.
Quality Control	• BerryDunn's IV&V project manager, in collaboration with firm analysts, will monitor specific project results and deliverables to determine compliance with relevant quality standards.

Our IV&V methods and work products are grounded in industry standards and frameworks, best practices, and hands-on experience. Table 9 highlights the key sources we use to conduct and inform our IV&V work.

Table 9: Key IV&V Reference Sources

Institute of Electrical and Electronics Engineers (IEEE) o IEEE 1012: Standard for Software Verification and Validation o IEEE 1028: Standard for Software Reviews and Audits o IEEE 1485: IT – Software Packages – Quality Requirements and Testing
International Standards Organization (ISO)/International Engineering Consortium (IEC) o ISO/IEC 27000-27006: Information technology - Security techniques - Information security management systems
Project Management Book of Knowledge (PMBOK) Fifth Edition
Industry Sources of Software Development Best Practices o Thomas McCabe metrics on code complexity, from McCabe Metrics o AppPerfect coding rules, including coding conventions, security, and optimization o GeoSoft's Java coding recommendations, based on coding standards from Java, Netscape, NASA, and AmbySoft o Oracle's Code Conventions for the Java Programming Language o Tomasz Nurkiewicz's recommended exceptions to Oracle's code conventions and standard Java coding practices o Java coding standards developed by the California Institute of Technology's Jet Propulsion Laboratory

As the IV&V service provider, we will work to establish positive and productive working relationships with the DWSS, State leadership, and vendors early in the project. We recognize that at times some project stakeholders may not agree with our observations and recommendations.

> We have found that providing effective IV&V services takes more than knowledge of best practices, technical experience, and subject matter expertise. It requires us to **establish credibility early, exercise tact, and model professionalism** in order **to build and maintain trust** of our client and vendor leadership and staff.

We adapt our IV&V approach as needed depending on the software development life cycle (SDLC) model/method being used and the type of implementation (custom development from scratch, commercial-off-the-shelf, major upgrade or enhancement, or hybrid). We have conducted IV&V engagements for projects utilizing the traditional waterfall development model, agile development, and hybrid approaches.

Despite these variations in IT initiatives, we maintain several standard IV&V methods to guide our work. The following sections present our standard methods for conducting the key IV&V activities of project status and quality monitoring and reporting, risk and issue management, and deliverable review.

Project Status and Quality Monitoring Methods

We utilize a checklist-driven approach to monitor project status and quality. The IV&V Checklist, customized for each project, is a comprehensive list of project areas and project assessment criteria for the IV&V team to analyze on a regular basis to independently validate and verify project work as shown in Figure 6.

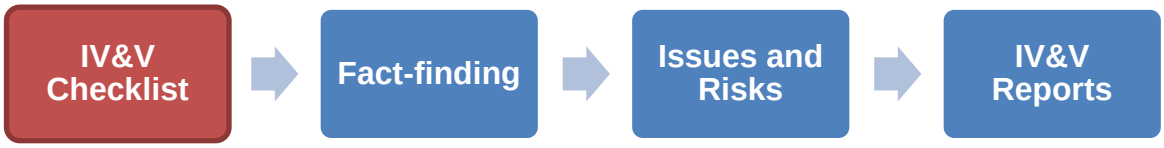


Figure 6: Role of IV&V Checklist. *The IV&V checklist drives team fact-finding activities to gather and assess project information to present in the IV&V Reports.*

The checklist is a critical IV&V tool to ensure the appropriate breadth and depth of IV&V review for any given project phase. Using the checklist helps us to be proactive, looking into all relevant areas across the system development lifecycle to identify and anticipate risks and issues.

The IV&V Review Checklist will be maintained on the preferred project collaboration site. IV&V team members will be assigned to monitor certain checklist areas and enter their checklist updates on the site so all IV&V project team members and project stakeholders can view the most current IV&V observations and findings anytime, from any computer with Internet access.

IV&V Checklist areas may include some or all of the following, depending on the initiative:

- ✓ **Project Management**
- ✓ **Quality Management**
- ✓ **Training**
- ✓ **Requirements Management**
- ✓ **Operating Environment**
- ✓ **Development Environment**
- ✓ **Software Development**
- ✓ **System and Acceptance Testing**
- ✓ **Data Management**
- ✓ **Operations & Maintenance**

We use three primary types of fact-finding activities as shown in Figure 7 below to collect the data needed to assess the criteria within the IV&V Checklist Areas.

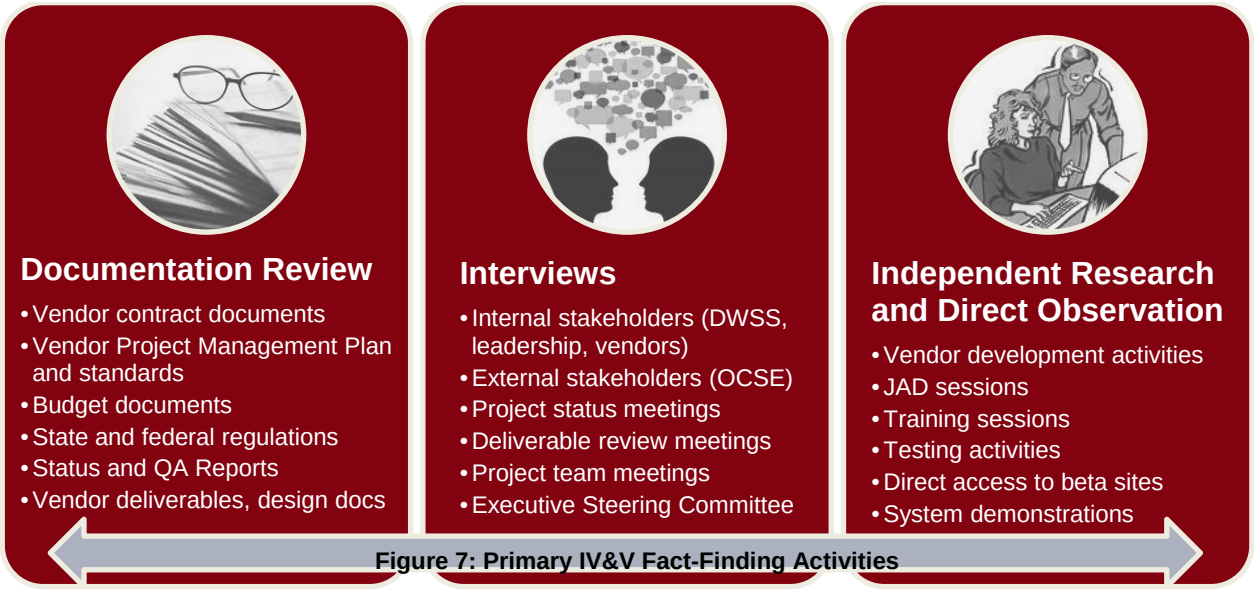


Figure 7: Primary IV&V Fact-Finding Activities

Our observations, findings, and recommendations are recorded as project issues or risks, and reported in regular reports.

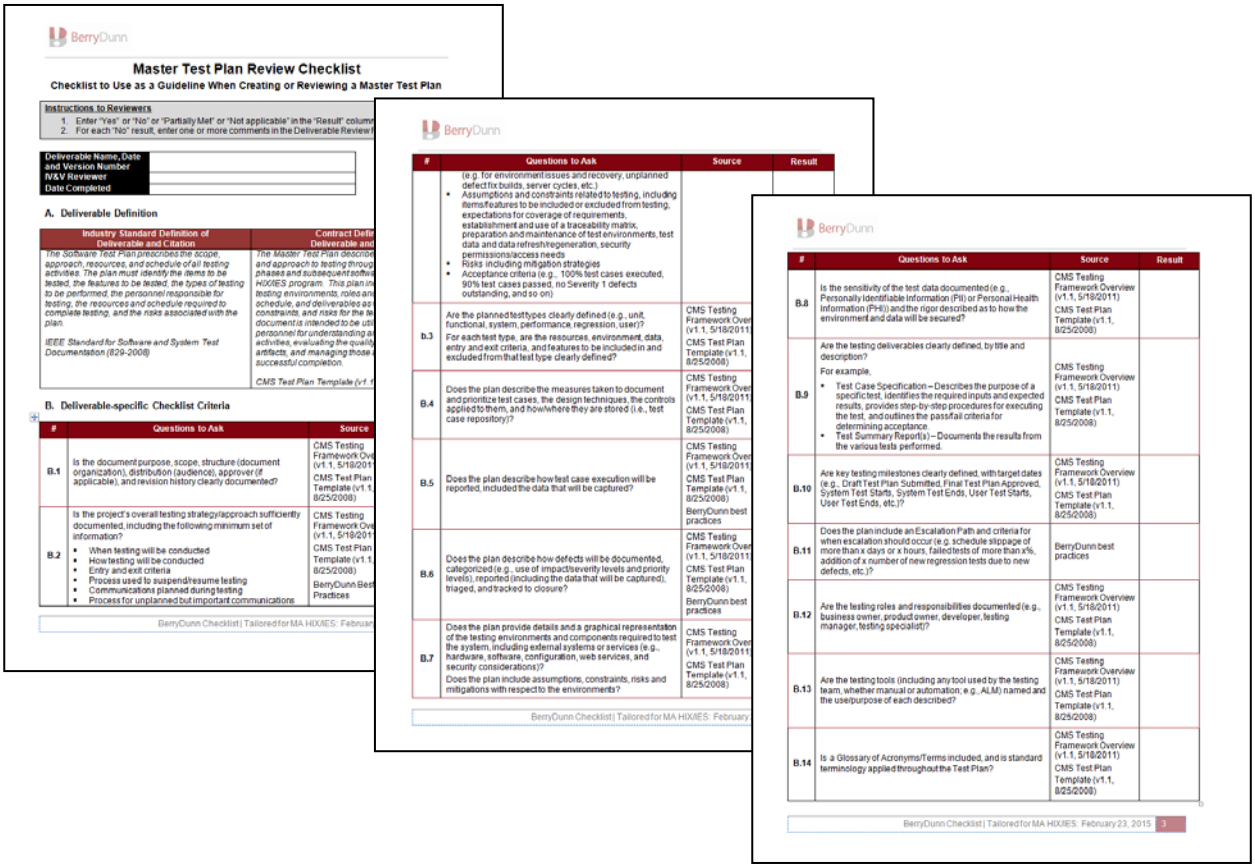
Deliverable Review Methods and Tools

Our approach to deliverable review aims to build in quality from the beginning by preventing excessive document re-work, keeping the project moving forward on schedule, maintaining high standards for deliverable quality, and encouraging the creation of deliverables that are relevant, useful, and accurately reflect project processes. We often assist clients and vendors with the development of deliverable review procedures. Our standard approach to review of vendor deliverables entails three steps—planning, review and recommendations—and described in the following sub-sections.

Step 1: Planning

Agreeing on review and acceptance criteria prior to or early in the development of deliverables increases the likelihood that the vendor's work products will adhere to the standards and best practices that are critical to a successful project, and that the review cycle will be completed on time. Vendor Deliverable Review Checklists, including acceptance criteria, will be developed, refined, and discussed with the DWSS and vendor teams to reflect the relevant project lifecycle and review phase. We maintain a repository of review checklists for typical system development life cycle deliverables that can be leveraged and tailored for this initiative. Our review checklists contain general quality standards such as completeness, accuracy and consistency; contractual compliance criteria; and industry standards for the particular work product under evaluation. Exhibit C shows a sample deliverable review checklist for a Master Test Plan.

Exhibit C: Master Test Plan Checklist



BerryDunn

Master Test Plan Review Checklist

Checklist to Use as a Guideline When Creating or Reviewing a Master Test Plan

Instructions to Reviewers

1. Enter "Yes" or "No" or "Partially Met" or "Not applicable" in the "Result" column
2. For each "No" result, enter one or more comments in the Deliverable Review F

Deliverable Name, Date and Version Number	
IV&V Reviewer	
Date Completed	

A. Deliverable Definition

Industry Standard Definition of Deliverable and Citation	Contract Defin Deliverable and
The Software Test Plan prescribes the scope, approach, resources, and schedule of all testing activities. The plan must identify the items to be tested, the features to be tested, the types of testing to be performed, the personnel responsible for testing, the resources and schedule required to complete testing, and the risks associated with the plan. *IEEE Standard for Software and System Test Documentation (829-2008)*	*The Master Test Plan describe and approach to testing throug phases and subsequent softwa HIXIES program. This plan in testing environments, roles an schedule, and deliverables as constraints, and risks for the te document is intended to be util personnel for understanding a activities, evaluating the quality artifacts, and managing those a successful completion.* *CMS Test Plan Template (v1.1*

B. Deliverable-specific Checklist Criteria

#	Questions to Ask	Source
B.1	Is the document purpose, scope, structure (document organization), distribution (audience), approver (if applicable), and revision history clearly documented?	CMS Testing Framework Ove (v1.1, 5/18/201 CMS Test Plan Template (v1.1, 8/25/2008)
B.2	Is the project's overall testing strategy/approach sufficiently documented, including the following minimum set of information? • When testing will be conducted • How testing will be conducted • Entry and exit criteria • Process used to suspend/resume testing • Communications planned during testing • Process for unplanned but important communications	CMS Testing Framework Ove (v1.1, 5/18/201 CMS Test Plan Template (v1.1, 8/25/2008) BerryDunn Best Practices

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#	Questions to Ask	Source	Result
	(e.g. for environment issues and recovery, unplanned defect fix builds, server cycles, etc.) • Assumptions and constraints related to testing, including items/features to be included or excluded from testing, expectations for coverage of requirements, establishment and use of a traceability matrix, preparation and maintenance of test environments, test data and data refresh/regeneration, security permissions/access needs • Risks including mitigation strategies • Acceptance criteria (e.g., 100% test cases executed, 90% test cases passed, no Severity 1 defects outstanding, and so on)		
B.3	Are the planned test types clearly defined (e.g., unit, functional, system, performance, regression, user)? For each test type, are the resources, environment, data, entry and exit criteria, and features to be included in and excluded from that test type clearly defined?	CMS Testing Framework Over (v1.1, 5/18/2011 CMS Test Plan Template (v1.1, 8/25/2008)	
B.4	Does the plan describe the measures taken to document and prioritize test cases, the design techniques, the controls applied to them, and how/where they are stored (i.e., test case repository)?	CMS Testing Framework Over (v1.1, 5/18/2011 CMS Test Plan Template (v1.1, 8/25/2008)	
B.5	Does the plan describe how test case execution will be reported, included the data that will be captured?	CMS Testing Framework Over (v1.1, 5/18/2011 CMS Test Plan Template (v1.1, 8/25/2008) BerryDunn best practices	
B.6	Does the plan describe how defects will be documented, categorized (e.g., use of impact/severity levels and priority levels), reported (including the data that will be captured), triaged, and tracked to closure?	CMS Testing Framework Over (v1.1, 5/18/2011 CMS Test Plan Template (v1.1, 8/25/2008) BerryDunn best practices	
B.7	Does the plan provide details and a graphical representation of the testing environments and components required to test the system, including external systems or services (e.g., hardware, software, configuration, web services, and security considerations)? Does the plan include assumptions, constraints, risks and mitigations with respect to the environments?	CMS Testing Framework Over (v1.1, 5/18/2011 CMS Test Plan Template (v1.1, 8/25/2008)	

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#	Questions to Ask	Source	Result
B.8	Is the sensitivity of the test data documented (e.g., Personally Identifiable Information (PII) or Personal Health Information (PHI)) and the rigor described as to how the environment and data will be secured?	CMS Testing Framework Overview (v1.1, 5/18/2011) CMS Test Plan Template (v1.1, 8/25/2008)	
B.9	Are the testing deliverables clearly defined, by title and description? For example, • Test Case Specification – Describes the purpose of a specific test, identifies the required inputs and expected results, provides step-by-step procedures for executing the test, and outlines the pass/fail criteria for determining acceptance. • Test Summary Report(s) – Documents the results from the various tests performed.	CMS Testing Framework Overview (v1.1, 5/18/2011) CMS Test Plan Template (v1.1, 8/25/2008)	
B.10	Are key testing milestones clearly defined, with target dates (e.g., Draft Test Plan Submitted, Final Test Plan Approved, System Test Starts, System Test Ends, User Test Starts, User Test Ends, etc.)?	CMS Testing Framework Overview (v1.1, 5/18/2011) CMS Test Plan Template (v1.1, 8/25/2008)	
B.11	Does the plan include an Escalation Path and criteria for when escalation should occur (e.g. schedule slippage of more than x days or x hours, failed tests of more than x%, addition of x number of new regression tests due to new defects, etc.)?	BerryDunn best practices	
B.12	Are the testing roles and responsibilities documented (e.g., business owner, product owner, developer, testing manager, testing specialist)?	CMS Testing Framework Overview (v1.1, 5/18/2011) CMS Test Plan Template (v1.1, 8/25/2008)	
B.13	Are the testing tools (including any tool used by the testing team, whether manual or automation; e.g., ALM) named and the use/purpose of each described?	CMS Testing Framework Overview (v1.1, 5/18/2011) CMS Test Plan Template (v1.1, 8/25/2008)	
B.14	Is a Glossary of Acronyms/Terms included, and is standard terminology applied throughout the Test Plan?	CMS Testing Framework Overview (v1.1, 5/18/2011) CMS Test Plan Template (v1.1, 8/25/2008)	

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The Planning phase also includes up-front work with the vendor to establish expectations for the format and content of each deliverable. We recommend DWSS request vendors to submit, walk through with the team, and obtain approval on an outline or Expectations Document for each deliverable prior to commencing work on a deliverable. This approach increases the likelihood that the deliverable will meet DWSS expectations on the first submission, and minimizes the number of review cycles a deliverable needs to be approved.

Step 2: Review

BerryDunn typically uses an Excel comment log known as the Deliverable Review Form to track defects in and comments on vendor deliverables. The Deliverable Review Form includes the deliverable review checklist and acceptance criteria, links the comments to the checklist criteria, and allows for an interactive process by providing space for the vendor to respond to each comment. Exhibit D show a portion of a sample Deliverable Review Form.

Exhibit D: Sample Deliverable Review Form

1st Review QA Findings and Recommendations							Vendor Response
ID#	Document Reference	Acceptance Criteria	Met?	Comments	Severity	Reviewer	Response
		Does the Test Plan include an approach to test functional and non-functional requirements?	Yes, No or Partial	*If No or Partial, explain.*	Major or Minor	QA/KD	Agree; modified document. Disagree; explanation.
		Does the Test Plan include entry and exit criteria and sign-off process for each test phase?					
		Does the Test Plan specify the regression test strategy?					
		Does the Test Plan include a process for reporting and classifying defects?					
		Does the Test Plan clearly describe roles and responsibilities of all parties involved in testing?					
		Does the Test Plan describe the communication plan and procedures to be employed during the different test phases?					
		Does the Test Plan describe the hardware and software requirements, test environments, and security procedures?					
		Does the Test Plan describe the testing tools to be employed?					

- ***Actionable Comments: BerryDunn prides itself in providing clear, concise, and—most importantly—actionable comments. The purpose of each comment is to provide the vendor with a clearly articulated explanation of the deficiency, and a clearly defined measure for accepting the correction. This prevents "ping-ponging" of the Deliverable Review Form back and forth between the reviewers and the vendor.***
- ***Comment Priority: Each comment will be ranked as "major" or "minor." Major comments are material deficiencies that must be addressed in order for the deliverable to be approved. Minor comments are typically cosmetic in nature and should be fixed prior to finalizing the document but left unaddressed will not likely increase project risk or impact system performance.***

BerryDunn recognizes that state resources are finite and often stretched across multiple projects. It is our belief that state resources should not be asked to review vendor deliverables until there is a reasonable expectation that the deliverable is in final draft form and contains the content expected. To maximize the value of time state resources spend reviewing deliverables, BerryDunn can review and provide feedback prior to state review. We can also conduct our reviews concurrently with state team members, and all reviewer comments can be combined into a single set of review comments for the vendor.

Step 3: Recommendations

Our review will result in a recommendation to accept or reject the deliverable, as shown in Table 10. This recommendation will be supported by the findings contained in the Deliverable Review Form. The presence of one or more "major" comment will result in deliverable rejection. In the event that the deliverable review team recommends returning a deliverable to the vendor, the content in the form allows the review team to report on the specific expectations that were not met. Further, the form allows the review team to drill down to an additional level of detail and display each individual comment tied to the expectation in question. Significant deliverable deficiencies are reported as project issues or risks and escalated according to agreed-upon project management processes.

Table 10: Deliverable Acceptance Recommendation Categories

IV&V Recommendation	
Accept "as-is" We recommend that the State accept this deliverable without any changes required.	☑
Accept "with requested modifications" We recommend that the State accept the deliverable with a requirement that the vendor address the issues identified and resubmit a revised final deliverable to the State IV&V contract officer. The issues identified are not critical and should not impact project quality or scope.	
Reject "with requested modifications" We do not recommend that the State accept this deliverable at this time. The issues identified should be addressed, the deliverable modified accordingly and resubmitted for approval. The resubmitted deliverable should be reviewed by BerryDunn and the State, and the project work plan should be modified to reflect the additional review tasks.	

Any time BerryDunn submits a deliverable back to the vendor for rework or to DWSS for review and approval, BerryDunn will make its review team available to meet with deliverable stakeholders to discuss the results of our review. On previous engagements, BerryDunn has found that these walkthroughs can significantly reduce the amount of back-and-forth that takes place during the review process and expedite the completion of the review process.

Risk and Issue Management Methods

Risk management is an ongoing activity that begins at the project onset and occurs throughout the life of the project. BerryDunn leverages the PMI PMBOK Project Risk Management discipline as a framework for the management and control of risks and issues. Figure 8 presents key elements of this discipline.

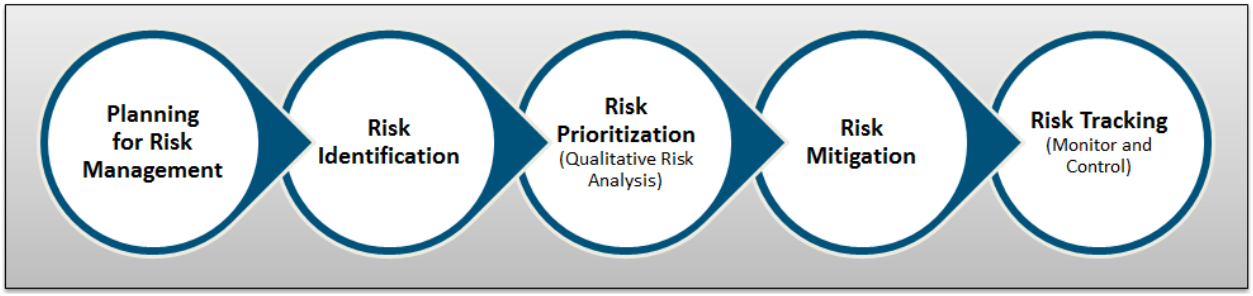

Figure 8: Key Elements of PMI PMBOK Project Risk Management Framework

Our risk management approach includes:

- ***Identifying the Right Risks.*** ***Identifying too many or too few risks can negatively impact risk management processes. It is important to define the difference between risks, issues, and action items, and address each appropriately. This allows the DWSS and your contractors to focus efforts on priority risks/issues.***
- ***Documenting Risks.*** ***Consistent and comprehensive documentation of risks and issues facilitates efficient communication, shared understanding, analysis, and other risk-management activities.***
- ***Communicating Risks.*** ***Clear and timely communication of risks is essential to the risk-management process. In order to ensure an appropriate level of action, we will keep the State IV&V contract officer informed of significant risks as they are identified, not waiting until our status reports to communicate them. In this way, we are often able to include progress toward the implementation of recommendations in the reports.***
- ***Effectively Prioritizing Risks.*** ***Risks are evaluated based on the probability that they will occur and their potential impact to the project. Following is an example of how issues and risks may be prioritized according to severity of impact on the project and criticality of resolution or mitigation. These terms can be modified if desired by the DWSS to be consistent with the CSES Replacement Project terminology.***

  R — **Significant**: The issue or risk is preventing or may prevent mission-critical project activities from being completed on time, on budget, and/or within scope and quality parameters, and must be immediately resolved or mitigated before related project work continues.

  Y — **Moderate**: The issue or risk is not currently preventing mission-critical project work from proceeding as planned, but will if it is not addressed or mitigated timely. Resolution must occur, but work can continue.

  G — **Minimal**: The issue or risk is cosmetic in nature and should be resolved, but does not have to be resolved prior to go-live.

  For each risk, we also assign a probability factor of High, Medium, or Low according to the team's assessment of its likelihood of occurrence.

- ***Defining and Executing Mitigation Plans/Strategies.*** ***The development of a mitigation strategy for each risk is central to the success of our role providing IV&V. The time to look at options, develop an approach, and reach consensus is before the risk becomes a reality. In evaluating risk, we consider the following mitigation strategies and will work***

with the State IV&V contract officer and State project team to determine the risk tolerance and risk threshold:

- ✓ ***Avoid – Work to eliminate the risk and protect the project from its impact.***
- ✓ ***Transfer – Shift risk to a third party along with ownership of the response.***
- ✓ ***Mitigate – Work to reduce the probability and/or impact of the risk.***
- ✓ ***Accept – Acknowledge the risk and not take any action unless the risk occurs.***

BerryDunn manages the risks, issues, and opportunities using our customized Risk and Issue Management Database that is part of BerryDunn's IV&V Toolkit. The database allows us to keep historical information about the findings, risks, and issues we identify over the life of a project.

With our knowledge of how findings can change, we designed the database to allow a database entry to be easily downgraded from a finding to a risk or issue without losing prior information or re-entry. For reporting purposes, the database has the ability to customize reports and the flexibility to select the most recent update to an item or to pull the entire history. Finally, the database allows us to track action on findings, risks, and issues, as shown in Exhibit E.

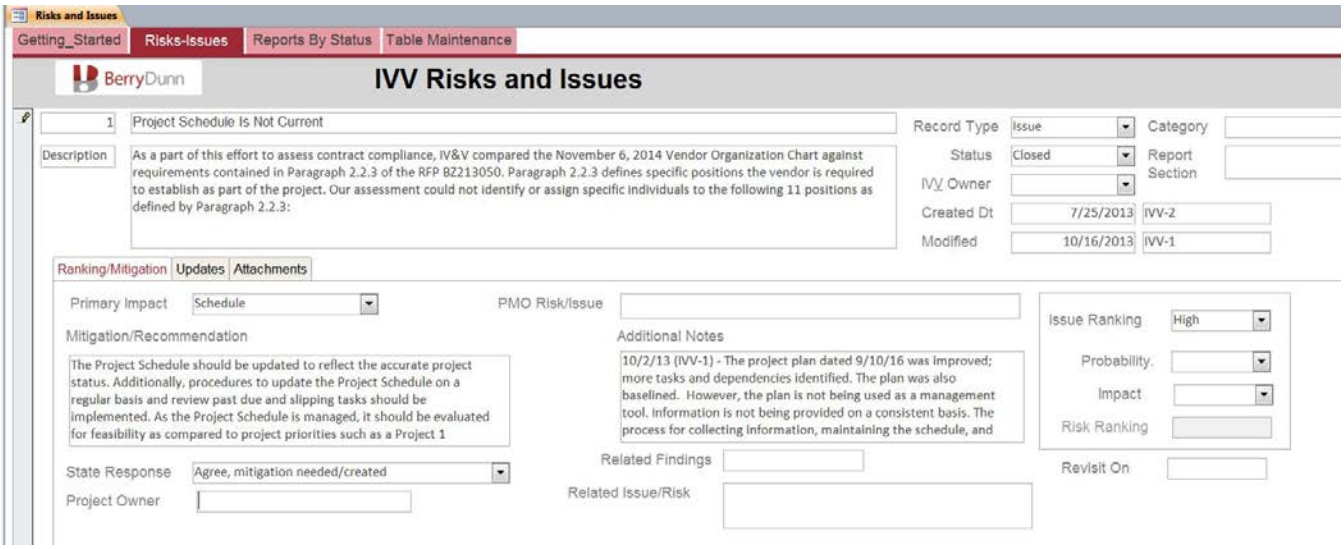

Exhibit E. Risk and Issue Management Database Entry Screen

Deliverable Quality

The following quality assurance guidelines will apply to the preparation, submission, review and approval of BerryDunn deliverables:

We encourage the Evaluation Committee to speak with our references to gain an understanding of our clients' satisfaction with the quality of our services and our ability to fiscally manage contracts of comparable scale, scope, and complexity.

I. Metrics Management (RFP 4.9)

Vendors shall describe the metrics management methodology and processes utilized to satisfy State requirements as outlined in Section 3, Scope of Work of this RFP. The methodology shall include the metrics captured and how they are tracked and measured.

One of BerryDunn's important early activities is to develop IV&V checklists to be used in the performance of fact-finding and assessment tasks. The activities and requirements outlined in the Section 3 of the RFP provide a foundation for creation of the checklists. The purpose of the checklists is to define the criteria and metrics against which a specific activity, process, or product will be reviewed. Through our work on recent IV&V engagements for enterprise system projects in Maine, Maryland, Massachusetts, and Missouri, we have created checklists and will leverage this work to develop and tailor IV&V checklists for the State in alignment with your goals and objectives for the CSES Replacement Project. The IV&V Checklists will be based on:

- ***Contractor contract requirements and the CSES Project Management Plan***
- ***State and federal laws, rules, and guidelines, including OCSE requirements for IV&V, and State of Nevada SDLC methodology and IT standards***
- ***Industry standards, including but not limited to IEEE, CMMI, PMBOK, ISO, and NIST***
- ***BerryDunn's collective knowledge and experience gained while conducting similar IV&V work for large-scale, federally-funded system development projects.***

We will develop checklists to evaluate tasks related to Replacement Project Management, Quality Management, Training, Requirements Management, Operating Environment, Development Environment, Software Development, System and Acceptance Testing, Data Management Oversight, and Operations Oversight. A sample Project Management review checklist is shown in Exhibit F.

Exhibit F. Snapshot of an IV&V Review Checklist for Project Management

Task Item	Task #	Review Period	Task Description	BerryDunn Task Area Lead	State/ Vendor POC	Approach
Project Management						
Project Sponsorship	PM-1	Initial, Periodic	Assess and recommend improvement, as needed, to assure continuous executive stakeholder buy-in, participation, support, and commitment, and that open pathways of communication exist among all stakeholders.			Interviews Meetings
	PM-2	Initial, Periodic	Verify that executive sponsorship has bought in to all changes that impact project objectives, cost, or schedule.			Attend weekly Executive Meetings Vendor Interviews
Management Assessment	PM-3	Initial, Periodic	Verify and assess project management and organization; verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.			Interviews Meetings
	PM-4	Initial, Periodic	Evaluate project progress, resources, budget, schedules, work flow, and reporting.			Deliverable Reviews Interviews Meetings

Providing checklists early in the project and prior to the development of work products or deliverables increases the likelihood that the work products and processes will adhere to the standards and best practices that are critical to a successful project. We will develop, refine, and deliver IV&V checklists on a quarterly basis to reflect the relevant project lifecycle and review phase, and with consideration for previously identified risks.

J. Design and Development Processes (RFP 4.10)

Vendors shall describe the methodology, processes and tools utilized for:

4.10.1 Analyzing potential solutions, including identifying alternatives for evaluation in addition to those suggested by the State;

4.10.2 Developing a detailed operational concept of the interaction of the system, the user and the environment that satisfies the operational need;

4.10.3 Identifying the key design issues that shall be resolved to support successful development of the system; and

4.10.4 Integrating the disciplines that are essential to system functional requirements definition.

As part of each IV&V Review, BerryDunn will monitor the timing of vendor deliverables. We recognize that vendor deliverables often reflect the quality, efficiency, and stability of the system, and that the State relies on those deliverables in large part to assess the efficacy of the product. As IV&V Vendor for CSES project, BerryDunn will draw upon that experience to evaluate the availability and usefulness of the Vendor's deliverables and make recommendations as needed. In conducting the IV&V Reviews, we will evaluate the timeliness of the deliverable review process (based on factors described in Table 11).

Table 11. Key Factors Impacting Deliverable Review Timeliness

Factors	Description
Deliverable Quality	See definitions in Task 3.7 (DOR) of our work plan in Section V.
Deliverable Size	Deliverables range in size from a single 15-page Word document such as a "Best Practices" deliverable to multiple Word documents and spreadsheets, such as a "Requirements Packet" deliverable with many Use Cases, plus associated wireframes and storyboards.
Deliverable Complexity	Deliverables vary in their complexity from narrative planning documents to complicated business process models and detailed tax credit calculations and eligibility rules with legal and regulatory implications.
# of Reviewers	Each deliverable has a different review and approval path. • Some deliverables require review from several different agency roles, such as legal, operations, finance, communications, and/or program. • Some deliverables require review by more than one business owner • Some deliverables require executive review and approval
Review Team Readiness and Availability	This factor relates to the State's communication, planning, and resource scheduling prior to the receipt of a vendor deliverable, and availability of resources to participate in the review process based on schedules and competing priorities.
Leadership - Review Process	This factor relates to communication and coordination with agency reviewers and the implementation contractor, prior to and during the review process.
Stability of Content	Scope and status of business/program content is in constant flux in this project due to factors such as the following, impacting the content of some deliverables more than others: • Business owners' need to define new programs and policies to align with federal laws and regulations • Decisions related to project scope and schedule • Availability of federal guidance
Quality of Comment Responses *(for resubmissions)*	The ability for reviewers to efficiently use the Review Form to locate changes made to specific deliverable documents depends in part on the level of detail of responses to comments in the Review Form.

K. Configuration Management (RFP 4.11)

Vendors shall describe the methodology, processes and tools utilized for:

4.11.1	Control of changes to requirements, design and code;
4.11.2	Control of interface changes;
4.11.3	Traceability of requirements, design and code;
4.11.4	Tools to help control versions and builds;
4.11.5	Parameters established for regression testing;
4.11.6	Baselines established for tools, change log and modules;
4.11.7	Documentation of the change request process including check in/out, review and regular testing;
4.11.8	Documentation of the change control board and change proposal process; and
4.11.9	Change log that tracks open/closed change requests.

Please refer to Section J for details of our process for verifying and reporting on the progress and timeliness of the vendor's work.

L. Peer Review Management (RFP 4.12)

Vendors shall describe the methodology, processes and tools utilized for:

4.12.1	Peer reviews conducted for design, code and test cases;
4.12.2	Number of types of people normally involved in peer reviews;
4.12.3	Types of procedures and checklists utilized;
4.12.4	Types of statistics compiled on the type, severity and location of errors; and
4.12.5	How errors are tracked to closure.

Please refer to Section J for details of our process for verifying and reporting on the progress and timeliness of the vendor's work.

M. Project Software Tools (RFP 4.13)

5.13.1 Vendors shall describe any software tools and equipment resources to be utilized during the course of the project including minimum hardware requirements and compatibility with existing computing resources as described in Section 2.4, Current Computing Environment.

5.13.2 Costs and training associated with the project software tools identified shall be included in Attachment I, Project Costs.

For the daily management of project tasks, we strive to avoid unnecessary delays, enhance productivity, promote collaboration, and minimize barriers to participation. To that end, we utilize the following software that is familiar to most users, as shown in Table 12. As part of the initial planning process and as needed throughout the project, we will review software preferences and user accessibility to ensure we are meeting the State's project needs.

Table 12: Project Management Technology/Tools

Technology/Tool	Description and Benefits for this Project
Microsoft Word and Excel	Most of our deliverables are developed using these common software applications.
Microsoft Project	We use Microsoft Project to develop and maintain project schedules. Where licensing constraints present a barrier, BerryDunn can easily provide an alternative format such as PDF for ease of client access. All of our project managers are familiar with Microsoft Project and use it to manage engagements.
Adobe Acrobat	We frequently provide "final" documents in Adobe PDF format, as this format allows documents to be easily shared with project stakeholders without the concern that documents may have been or become altered. This transferable file format allows clients to access and read the deliverable documents without having to license specific Microsoft software products.
Microsoft PowerPoint	We use PowerPoint primarily for communicating key information during presentations and training sessions. In addition to displaying the PowerPoint presentation on a screen, we provide hand-outs of the presentation for participants.
Microsoft Visio	We use Visio for the development of process flows, organization charts, and business process diagrams and will provide DWSS with final versions in both Visio and PDF formats.
Teleconference Bridge, Videoconference, and Recording	BerryDunn provides teleconference and videoconference technology, which allows up to 20 callers to simultaneously participate in teleconferences and multi-point video conferences.
Zoom	BerryDunn provides teleconference and videoconference technology, which allows up to 35 callers to participate in teleconferences and multi-point video conferences. We currently use Zoom, a cloud video conferencing service that provides video, audio, and wireless capabilities for online meetings, screen sharing, and group messaging.

Section VII – Attachment H – Proposed Staff Resumes (RFP 10.2.2.7 and 4.5)

On the following pages, we have provided resumes for our proposed IV&V personnel:

- ***Project Principal – Charles K. Leadbetter, PMP***
- ***IV&V Project Manager – Doug Rowe, PMP, ITIL***
- ***IV&V Specialist – Kristan Drzewiecki, MP, PMP***
- ***Subject Matter Expert, Child Support Enforcement – Lauren McTear***

PROPOSED STAFF RESUME FOR RFP 3475

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***BerryDunn***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Charlie Leadbetter***	**Key Personnel: (Yes/No)**	***No***
Classification; i.e., Project Manager, Implementation Lead, etc.	***Project Principal***		
# of Years in Classification:	***7***	**# of Years with Firm:**	***23***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

Charlie Leadbetter is a principal and leads BerryDunn's State Government Consulting Group. Charlie has served as project manager and participated on project teams for clients in the public sector for over 25 years, with a focus on providing independent and objective services related to IV&V, QA, technology planning for system modernization projects. He has led large-scale projects providing oversight to BerryDunn and subcontractor teams, state leadership, system vendor teams, and external stakeholders

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the project/position and software/hardware used during the project engagement.

Hawaii Department of Health - Business Process Improvement (July 2017 to present). Charlie is the project principal for this initiative to review studies, analyze documented operational processes, observe current workflow patterns, conduct interviews with key personnel, and gather information on current barriers to improving efficiency. The project will culminate in process improvement recommendations and strategies to implement proposed changes.

Vermont Department of Health Laboratory - Project Management Oversight of STARLIMS (January 2017 to present). Charlie is project principal leading our team as they provide project management oversight for the implementation of the Department's laboratory information system.

West Virginia Bureau of Children and Families (BCF) - Enterprise Content Management (ECM) System Planning (2015 to present). As project principal, Charlie is providing oversight to the BerryDunn team's collaboration with BCF to develop 'As-Is' business processes that depict how they conduct major processes today and identify where bottlenecks, challenges, and redundancies existing in the current business process.

Kentucky Transportation Cabinet and Commonwealth Office of Technology - IV&V Services (2015). Charlie served as the engagement manager for an initiative to evaluate the project health of the planning components for the replacement of the current legacy titling and registration system with a new Kentucky Automated Vehicle Information System (KAVIS:2).

Vermont Agency of Human Services, Health Services Enterprise – Lessons Learned Initiative (March to April 2013). Charlie served as project principal for a "lessons learned" initiative to help the State evaluate the governance, management and oversight of the initial implementation of this first

release of the Health Services Enterprise solution (Vermont Health Connect and MAGI Medicaid eligibility) including the best approach to organizational realignment to meet their goals.

Minnesota Department of Public Safety, Bureau of Criminal Apprehension – System Risk Assessment (2014). Charlie served as project principal for this risk assessment of a Criminal History and Crime Reporting System replacement to improve business processes to create efficiencies, increase automation, and leverage features of modern systems. Charlie provided project oversight of the tasks related to advising the DPS in the best ways to improve the delivery and quality of crime statistics to the FBI and inform the juvenile and adult justice statistics and reporting.

Vermont Agency of Digital Services – Independent Reviews (2013 to 2014). Charlie has been project principal for several Vermont Independent Reviews including the VHCURES, Vermont's All Payers Claims Database and Health Benefit Exchange and Integrated Eligibility Solution project. These reviews, required under State statute by the Office of the CIO, involve independently evaluating the vendor contracts, project planning and management activities, soundness of the proposed solutions, and State readiness to implement the systems. In his role, Charlie utilized his knowledge of ACA mandates, health benefit exchanges, the health insurance marketplace, and health care system functionality and architecture to provide oversight and guidance to the Independent Review Reports developed by the BerryDunn team.

Missouri Department of Mental Health – Independent Assessment and Long Range IT Strategic Plan (2013). BerryDunn completed an independent assessment of DMH's current information systems, as well as future information system needs as defined by DMH management and the HITECH Act. Based on our evaluation, BerryDunn developed an Information Strategy Plan to identify gaps between the current and long-range business and technical needs and provide a roadmap for DMH to acquire, develop, and/or integrate clinical information systems to optimize efficiency and meet state/federal regulatory requirements. Following the completion of our initial long-range planning project, BerryDunn worked with DMH to analyze funding alternatives for procuring a new EHR solution. As principal, Charlie oversaw the quality of services provided by our team.

Maryland Health Benefit Exchange – IV&V Services (November 2012 to April 2014). Charlie led BerryDunn's team to provide IV&V for Maryland's HIX/IES implementation, to fulfill the State's health insurance eligibility and enrollment functionality and plan management, presentment, and selection. As principal, Charlie oversaw the quality of services provided by our project management team, our four core team analysts, and our pool of SMEs and analysts.

Maryland Judiciary – System Planning, Procurement, and IV&V Services (2010 to 2013). BerryDunn assisted the Maryland Judiciary with a project to develop system requirements and an RFP for an integrated local accounting and cashiering solution. Charlie provided oversight for this project, managing the project team that was responsible for documenting the "As Is" revenue and local accounting processes and systems; evaluating systems and processes in light of industry best practices; developing functional and technical requirements for a replacement system; identifying critical organization and /or process changes needed to implement an effective solution; and assisting in the creation of a RFP and proposal evaluation criteria. Additionally, Charlie lead the team in assisting the Judiciary in evaluating current needs, constraints, and considerations in place related to their ePayment system. Following our completion of the system planning and RFP development project, Charlie managed the follow on project of IV&V services during the implementation of the integrated financial system.

Massachusetts Executive Office of Health and Human Services – State Medicaid Health IT Plan (SMHP) Development (2011 to 2012). BerryDunn led the development of Massachusetts' SMHP, as required by the American Recovery and Reinvestment Act and Health Information Technology Economic and Clinical Health Act. The SMHP serves as the strategic vision for EOHHS as it moves forward with the development of health information technology (HIT) and information exchange activities and will become a critical component of the overall Commonwealth HIT Plan. Following the development of the SMHP, BerryDunn developed Massachusetts' Implementation Advance Planning Document, which set

forth the State's funding request and cost justification to CMS. Charlie served as Project Director for this engagement, where he was responsible for four core teams of BerryDunn and subcontractor resources, along with Subject Matter Experts and other project resources.

Massachusetts IT Division – Project Health Assessments (2009). Charlie served as Engagement Manager for BerryDunn's project to conduct Project Health Assessments of eight previously approved capital IT projects. The objective of this project was to determine whether each of the projects were on track, progressing successfully toward achieving their business and technical objectives, and being managed in accordance with project management best practices with the appropriate control processes and systems.

Vermont Agency of Human Services – Risk Assessment, Cost Benefit Analysis, and Procurement Assistance (2011). Charlie led BerryDunn's team in conducting a Medicaid Enterprise Systems Risk Assessment and Cost/Benefit Analysis and documenting information from these assessments in Vermont's MES Implementation-Advance Planning Document (I-APD).

Vermont Department of Children and Families – Business Analysis, Planning, and Procurement Assistance (2010 to 2012). BerryDunn was engaged by the Vermont DCF to analyze the current processes and business needs for the Child Development Division's Integrated Services Data Management System. As the result of our analysis, DCF determined the need to procure a new system. BerryDunn then assisted with the development of functional requirements and an RFP document. We then provided project advisory services during the implementation of the selected system. As Engagement Manager, Charlie had responsibility for the quality of work provided to the DCF, including the approval of all deliverables.

Massachusetts HR Division – PeopleSoft Upgrade IV&V Services (September 2009 to June 2010). Charlie served as Engagement Manager for BerryDunn's IV&V engagement for the HR Division's PeopleSoft HCM upgrade from version 8.0 to 9.0. The upgrade represented a significant shift and expansion of the Commonwealth's HR and payroll functionality. BerryDunn conducted an initial assessment of risks. In addition, we conducted three point-in-time assessments following the completion of the Construction, Transition, and Deployment phases to evaluate compliance with previous recommendations, identify risks, recommend mitigation strategies, and determine readiness to enter the next phase of the implementation.
As a follow-on to our IV&V work, the Commonwealth hired BerryDunn to assist with the inventory of payroll and tax policies; conduct national best practice research related to Federal and State Payroll/Tax rules, regulations, and guidelines; and develop a gap-analysis report that incorporated recommended changes based on issues identified in our research and analysis.

New Hampshire Department of Administrative Services – QA Services (May 2007 to June 2010). Charlie served as Project Manager for BerryDunn's engagement to provide QA for New Hampshire's Statewide ERP system implementation, a far-reaching project that impacted how every agency in the State conducts its work. In this role, Charlie led a team of eight BerryDunn analysts, managed the BerryDunn project plan and schedule, identified project risks and issues, developed a monthly status report and reporting methodology, maintained on-time deliverables, and exceeded State expectations for deliverable quality. Additionally, Charlie worked diligently to create an effective team between the implementation vendor, the State, and BerryDunn.

West Virginia Bureau for Medical Services – QA Services (2003 to 2007). BerryDunn worked in partnership with West Virginia's BMS to assess the development and implementation of the MMIS replacement and Pharmacy POS system and ensure that the systems developed met stated business and technical requirements. Charlie served as part of BerryDunn's project team to provide independent QA services for West Virginia's MMIS implementation.

North Carolina Office of the State Auditor - Independent Evaluations of IT Projects (2007). Charlie conducted an independent evaluation of IT projects managed by the North Carolina Office of IT Services' Enterprise Project Management Office (EPMO) to determine whether the EPMO's policies, procedures,

and practices were significantly improving the likelihood that a given project would be brought in on time and on budget. This involved evaluating a sampling of 12 enterprise IT projects managed by the EPMO, including NC FAST (Families Accessing Services through Technologies), a program designed to improve the way North Carolina DHHS and county departments of social services do business.

New Hampshire Department of Health and Human Services - IV&V for Medicaid Decision Support System Implementation (2003). Charlie served as project manager for BerryDunn's engagement to provide IV&V services for New Hampshire's Medicaid DSS implementation, which involved analyzing issues, risks, and system impacts and providing recommendations to mitigate these potential problems. As project manager, Charlie served as liaison with the State and vendor project teams, oversaw the services provided by BerryDunn's teams, and led the development of BerryDunn's deliverables.

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

BS, Computer Science and Economics, University of Maine, Orono

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

Certified Project Management Professional, Project Management Institute 2006

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

Information required should include: environments, hardware, software, tools and databases.

N/A

REFERENCES

A minimum of three (3) references are required, including name, phone number, fax number and email address.

Roger Marchand, Project Manager
New Hampshire Department of Revenue Administration
109 Pleasant Street, PO Box 457
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603-230-5074

April Bunker, Program Manager
New Hampshire Liquor Commission
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Linda Vincent, Information Technology Manager
Vermont Department of Liquor Control
13 Green Mountain Drive
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PROPOSED STAFF RESUME FOR RFP 3475

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***BerryDunn***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Doug Rowe***	**Key Personnel: (Yes/No)**	***Yes***
Classification; i.e., Project Manager, Implementation Lead, etc.	***Project Manager***		
# of Years in Classification:	***25***	**# of Years with Firm:**	***6.5***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

Doug Rowe is a senior manager in BerryDunn's Government Consulting Group with over 30 years of IT industry experience, with 12 years focused on state and local government agency consulting. Doug's experience includes project management, quality assurance, enterprise system planning and deployment, technology support, and training. Doug has a focus on justice and public safety, helping agencies improve their services in areas such as case management, offender management, and child support enforcement. He has presented at the national and regional level, sharing his knowledge of technology and training to support government agency reform efforts.

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the project/position and software/hardware used during the project engagement.

Vermont Judiciary – Next Generation Case Management System (CMS) Planning and Implementation Services (2017 to present). Doug is leading the BerryDunn team in supporting the Judiciary with project management services for the planning and implementation of their next generation CMS, including the development of a project charter, system planning and procurement oversight, and project management of the CMS implementation.

Massachusetts State Ethics Commission – Case Management System (CMS) Planning and Implementation Services (2017). Doug supervised the BerryDunn team in supporting the Ethics Commission through the development of a comprehensive list business and technical requirements, as well as a findings and recommendations report in support of the Commission's CMS replacement initiative.

Maine Judicial Branch – Case Management System Planning and Implementation Services (2014 to 2015). In the role of project manager, Doug assisted the MJB in leading preliminary Joint Requirements Planning sessions for their e-filing Case Management System. He also led the effort to develop a Request for Proposals for this system.

Minnesota Department of Public Safety, Bureau of Criminal Apprehension – System Risk Assessment (2014). Doug was the project manager for the risk assessment of a Criminal History and Crime Reporting System replacement to improve business processes to create efficiencies, increase automation, and leverage features of modern systems. Doug used his expertise in justice and public

safety systems to advise the DPS in the best ways to improve the delivery and quality of crime statistics to the FBI and inform the juvenile and adult justice statistics and reporting.

Vermont Department of Information and Innovation – Independent Reviews (2013 to 2014). Doug served as project and engagement manager for three of BerryDunn's independent reviews for Vermont agency procurements: Department of Public Safety's Grants Management System and e911 System, and Department of Corrections Offender Management Solution. These reviews included an analysis of the vendor's proposed costs, the architecture of the proposed solution, the vendor's proposed implementation plan, and the vendor's capacity to provide the proposed equipment, support, and services. The primary objective of the independent reviews was to identify risks or issues that may affect the success of the project.

Massachusetts HIX/IES Entities – IV&V Services (2013). BerryDunn worked with the Commonwealth to provide IV&V services for the implementation of their Health Insurance Exchange/Integrated Eligibility System (HIX/IES). Doug worked with the HIX/IES project team as the reporting lead, ensuring the Commonwealth was apprised of issues and risks that may have an adverse impact on the project's scope, schedule, or quality. Doug was also responsible for developing and delivering a monthly briefing to the Massachusetts HIX/IES Executive Committee.

West Virginia Bureau for Medical Services – Medicaid Information Technology Architecture Business Mapping (2012). Doug served as project manager for the Bureau's organizational redesign to align with the newly released Medicaid Information Technology Architecture (MITA) 3.0 Framework. Doug led BerryDunn's team in mapping Bureau functions to the MITA business model and recommending an organizational structure that aligns with the ten MITA business areas. The recommended organizational structure will lay the groundwork for subsequent process improvements and ongoing process management by further defining the roles and responsibilities of business area and process owners.

Maine Department of Health and Human Services – IV&V Services (2011 to 2012). Doug provided Independent Verification and Validation (IV&V) services for the Maine Department of Health and Human Services' Medicaid Management Information System implementation. His focus was on identifying risks and providing recommendations for remediation to prepare the vendor for federal system certification by the Centers for Medicare and Medicaid Services (CMS), building upon knowledge of project management and systems development best practices.

Loryx Systems, Inc. (2010 to 2011). As product manager for a jail case management software solution, Doug developed and managed product roadmaps for strategic enterprise software solutions and collaborated with customers, industry experts, internal sales, and the software development team to meet the objectives of the market. This position required a deep understanding of the county-level justice and public safety marketplace as it relates to an integrated justice model.

Abilis New England (2004 to 2009). Doug served as project manager for an at-risk $10 million enterprise-level case management software development project for a state department of corrections, which resulted in a successful implementation. In addition, as strategic solutions manager, Doug worked with county- and state-level government corrections clients to determine case management business requirements, while reducing risk and maintaining profitability for the software product. In both roles, he was responsible for managing a geographically dispersed team that provided varied levels of technical and business expertise.

UNUM (1989 to 2002). As a manager of technology support services for UNUM (a disability and life insurance company), Doug provided internal business units with technical and training services. In this role, he developed a collaborative framework within which UNUM's Technology Training Team and Technology Help Desk staff provided single point of contact services to the business units. He also worked with the HR Team and IT Managers to develop and deploy a Skills Assessment/Management model for IT professionals, including a core set of competencies and skills required by the various IT roles.

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

BS, Math and Computer Science, University of New Hampshire

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

Information Technology Infrastructure Library (ITIL), Foundation Certification
Project Management Professional, Project Management Institute, since 2012

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

Information required should include: environments, hardware, software, tools and databases.

N/A

REFERENCES

A minimum of three (3) references are required, including name, phone number, fax number and email address.

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Dave Packard, CIO
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Capital Judicial Center
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david.packard@courts.maine.gov

Tara McGuire, Executive Director
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PROPOSED STAFF RESUME FOR RFP 3475

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***BerryDunn***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Kristan Drzewiecki***	**Key Personnel: (Yes/No)**	***Yes***
Classification; i.e., Project Manager, Implementation Lead, etc.	***IV&V Specialist***		
# of Years in Classification:	***9***	**# of Years with Firm:**	***11***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

Kristan Drzewiecki is a senior manager in BerryDunn's Government Consulting Group, with 15 years of consulting experience. As a leader of our Health and Human Services Practice, she provides state agencies and public organizations with IV&V, QA, and project management services for the modernization of systems to improve their ability to support the delivery of government-funded health and human services. This experience provides her with a deep understanding of the methods and processes for providing independent and objective oversight to help reduce risk and assure quality during system design, development and implementation. She is a strong leader, facilitator, and technical writer with the ability to translate complex policies into clear, tangible actions.

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the project/position and software/hardware used during the project engagement.

West Virginia Department of Health and Human Resources (DHHR) (2016 to present).

- **Income Maintenance Manual Redesign.** Kristan led the DHHR's efforts to revamp their 30 chapter, 2,500+ page Income Maintenance Manual, the primary policy resource for state staff to make eligibility decisions and conduct case management for state benefit programs, and for consumers to obtain information about state benefit programs. Kristan led the creation of an end user survey, facilitated focus groups with end users, and the effort to rewrite the manual to be more usable and understandable as well as to develop a change management process to keep content updated.
- **Medicaid Benefit Plan Cost Savings Opportunities Analysis.** Kristan led an effort to benchmark West Virginia's two Medicaid benefit plans against surrounding states' plans; identify opportunities for cost savings on the services side that would keep the state aligned with benefit levels in neighboring states; and estimate potential costs savings through claims analysis.
- **Integrated Eligibility and Enrollment (E&E) System Request for Proposal (RFP) Development Project.** Kristan served as a subject matter expert, reviewing draft requirements, leading joint requirements planning (JRP) sessions, and developing RFP content for the child support enforcement, child welfare and child care components of the system.

West Virginia BMS – Long-term Supports and Services Reform (2015 to 2017). Kristan served as engagement manager for a project with West Virginia's Medicaid agency to assess opportunities related to LTSS reform. As part of this work, Kristan provided oversight to the team's evaluation of the feasibility and impact of Home and Community-Based Services options that will empower older adults and people with disabilities to live in the community, including Community First Choice and PACE (Program of All-inclusive Care for the Elderly). The team evaluated nursing home payment reform and quality initiative options and developed developing demographic and financial projections of the future LTSS environment; providing short-, medium-, and long-term recommendations for LTSS reform. A project outcome was the development of an LTSS reform implementation plan.

Massachusetts Executive Office of Education, Department of Early Education and Care – Quality Rating Improvement System (QRIS) Analysis and Planning (2015 to 2016). Kristan served as project manager for this effort to document and analyze the current and future state business processes related to the agency's QRIS, and develop a roadmap for future process, policy, and system changes. She led business process mapping sessions and analysis of process gaps, bottlenecks, challenges, and inefficiencies.

Colorado Department of Human Services – Needs Assessment, Feasibility Study, and Procurement Assistance (2014 to 2015). Kristan served as project manager to conduct an assessment of the current childcare automated tracking system for the CDHS to understand its technical feasibility relative to the Colorado Child Care Assistance Program. She also led the effort to define current and future system requirements and help the DHS develop a RFP for the system. This project involved stakeholders from 64 counties across the State.

Massachusetts HIX/IES Entities – IV&V Services (2013 to 2015). BerryDunn is currently working with the Commonwealth to provide IV&V services for implementation of their Health Insurance Exchange/Integrated Eligibility System (HIX/IES) to ensure the system meets the October 1, 2013 ACA deadline for meeting HIX and Eligibility System requirements. Kristan worked with the HIX/IES project team as QA Manager leading the review of project deliverables and conducting QA reviews of overall project processes and deliverables.

New Hampshire Department of Administrative Services – IV&V and QA Services (2007 to 2009). Kristan served as business analyst for BerryDunn's engagement to provide IV&V and QA services for New Hampshire's Statewide ERP system implementation, a far-reaching project that impacted how every agency in the State conducts its work. In this role, Kristan conducted deliverable reviews and drafted deliverable review reports, facilitated meetings with software vendor and state stakeholders and assessed material for Go-live readiness assessments, and monitored User Acceptance Testing (UAT).

Maine Department of Health and Human Services- IV&V Services (2008 to 2012). As IV&V Analyst, Kristan conducted reviews of project management and system design and development documents for clarity of content, consistency with project objectives, contractual compliance, and best practices and assisted with IV&V project management, including development of status reports. She also assisted with Go-live Readiness Assessments, including developing checklists, conducting stakeholder interviews, analyzing project status data, and preparing final deliverables.

Massachusetts Executive Office of Health and Human Services (EOHHS) – State Medicaid Health IT Plan (SMHP) (2010 to 2011). For this project, Kristan served as Lead for BerryDunn's SMHP Development Core Team, responsible for managing the timeline, tasks, and team members associated with the development of the SMHP and I-APD.

Massachusetts EOHHS – Next Generation System Planning (2011 to 2013). Kristan worked on the BerryDunn project team to support the Commonwealth on the EOHHS Next Generation Systems Planning Project. She assisted with project activities to complete a Medicaid Information Technology Architecture (MITA) State Self-Assessment (SS-A) for the Department of Developmental Services (DDS), Department of Mental Health (DMH) and the Department of Public Health (DPH) including facilitating business process definition meetings with the DDS.

West Virginia Department of Health and Human Resources (DHHR) – Affordable Care Act (ACA) Consulting (2008 to 2011). Kristan worked with DHHR and Bureau for Medical Services (BMS) stakeholders to identify ACA provisions that impacted DHHR offices; evaluate specific ACA provisions in terms of their impacts on policies, programs, systems, budgets and operations; and monitor regulations and guidance. As lead analyst, she facilitated meetings with stakeholders, provided subject matter expertise, oversaw a team of BerryDunn analysts, and developed and reviewed project deliverables. During this time she also served as an analyst for the MITA 2.0 State Self-Assessment, assisted with the development of an RFP and APD for the MMIS Replacement project, and led the development of the DW/DSS APD.

West Virginia BMS – QA Oversight for MMIS Implementation (2006 to 2008). Kristan worked as part of BerryDunn's team to provide post-implementation QA oversight of West Virginia's MMIS. As a QA analyst, Kristan reviewed vendor deliverables, implementation planning documents, and other project artifacts to identify and recommend strategies to address potential risks and issues.

West Virginia Bureau for Medical Services – MMIS Re-Procurement Services (2008 to 2011). BerryDunn worked in partnership with West Virginia's BMS to provide MMIS re-procurement services, including conducting West Virginia's MITA SS-A, analyzing the current MMIS and Fiscal Agent operations, developing an APD and RFP for the re-procurement, and providing project management through the implementation and certification process. Kristan assisted with the development of the APD and RFP. She also provided change management and project management support to the West Virginia BMS, with responsibility for overseeing vendor completion of contractual obligations and verifying compliance with State and Federal legislative requirements.

Vermont Department of Children and Families – Planning and Procurement for Integrated Data Management System (2010). BerryDunn was engaged by the Vermont DCF to analyze the current processes and business needs for the Child Development Division's Integrated Services Data Management System. As the result of our analysis, DCF determined the need to procure a new system. BerryDunn then assisted with the development of functional requirements, development of an RFP document for a vendor to develop a Children's Integrated System solution, and provided project advisory services for the implementation. Kristan served as a business/technical analyst for this project, where she conducted onsite fact-finding meetings and facilitated Joint Requirements Planning (JRP) work sessions, conducted best practice research, and assisted in the development of project deliverables.

North Carolina Enterprise Project Management Office – Independent Evaluation of IT Enterprise PMO (2007). Kristan conducted an independent evaluation of IT projects managed by the North Carolina Office of IT Services' Enterprise Project Management Office (EPMO) to determine whether the EPMO's policies, procedures, and practices were significantly improving the likelihood that a given project would be brought in on time and on budget. This involved evaluating a sampling of 12 enterprise IT projects managed by the EPMO, including NC FAST (Families Accessing Services through Technologies), a program designed to improve the way North Carolina DHHS and county departments of social services do business.

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

MP, Housing and Community Development, University of Virginia
BS, Foreign Service, Georgetown University

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

Certified Project Management Professional, Project Management Institute

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

Information required should include: environments, hardware, software, tools and databases.

N/A

REFERENCES

A minimum of three (3) references are required, including name, phone number, fax number and email address.

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Lansing, MI 48909
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DoxieS@michigan.gov

Jeff Wiseman, Assistant to the Deputy Secretary
WV Department of Health and Human Resources
1 Davis Square, Suite 100E
Charleston, WV 25301
304-558-6052
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Oxana Golden
Child Care Policy Consulting, Inc.
303-758-2763
303-717-6959 (cell)
ogolden@earthlink.net

PROPOSED STAFF RESUME FOR RFP 3475

A resume must be completed for all proposed prime contractor staff and proposed subcontractor staff.

Company Name Submitting Proposal:	***BerryDunn***

Check the appropriate box if the proposed individual is prime contractor staff or subcontractor staff.			
Contractor:	***X***	**Subcontractor:**	

The following information requested pertains to the individual being proposed for this project.			
Name:	***Lauren McTear***	**Key Personnel: (Yes/No)**	***Yes***
Classification; i.e., Project Manager, Implementation Lead, etc.	***Child Support Enforcement Subject Matter Expert***		
# of Years in Classification:	***12***	**# of Years with Firm:**	***>1***

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

Information should include a brief summary of the proposed individual's professional experience.

Lauren McTear is a senior consultant with extensive experience working in state government. She has experience as a systems developer for child support applications, working with the Vermont Medicaid Division, supporting Title IV-A and Title IV-D. She has recently provided analysis for identifying opportunities and constraints for replacing legacy supporting programs in the Department of Vermont Health Access, Department for Children and Families, Department of Aging and Independent Living, and Vermont Department of Health. Her planning team helped AHS procure modules to support MMIS, Child Support, Integrated Eligibility (SNAP and TANF), Family Services (CCWIS), and Service Management/Coordination. She has worked on a preliminary analysis of alternatives to present to leadership to decide if, and how, they would like to proceed with projects that will ultimately replace legacy IT systems, satisfy federal requirements, improve business process performance, and maximize on IT investments funded by federal partners.

RELEVANT EXPERIENCE

Information required should include: timeframe, company name, company location, position title held during the term of the project/position and software/hardware used during the project engagement.

Vermont Agency of Human Services (October 2014 to November 2017). As the Agency Business Process Director, Lauren translated business strategies and objectives into capabilities, including the traceability of strategy to capabilities and processes. She modeled how federal and state programs/services, operations, and systems interoperate within the Agency of Human Services; developed and maintained Enterprise Architecture artifacts such as system assessments, multi-year cost models, and security assessments; and performed analysis, evaluation, planning, design and implementation of the Agency of Human Services enterprise systems. She created procurement documents for IT products or services and was responsible for the review and approval of design, development, and implementation (DDI) deliverables.

In this role, Lauren was engaged in analysis activities for identifying opportunities and/or constraints for replacing legacy systems supporting programs in the Department of Vermont Health Access (Medicaid), Department for Children and Families (including Title IV-A programs, the Child Support Enforcement System and Child Welfare Information System), Department of Aging and Independent Living, and Vermont Department of Health.

Vermont Department for Children and Families (October 2007 to October 2014). Lauren served as technical lead for Agency of Human Services' projects with concentration on systems integration design.

She developed technical strategies to support project objectives, led systems developers and business analysts on large and complex IT projects, and oversaw IT vendors to ensure adherence to established IT processes, standards, and best practices. In addition, she collaborated with business and architecture stakeholders to ensure technology strategies are aligned within context of portfolio and project planning, and coordinated the approval process for technical, system, and security documentation.
As a systems developer, she assisted with prioritizing Department and Agency IT projects based on strategic goals. She led a team of developers and analysts, as well as the Standards Committee responsible for developing and implementing coding and operational standards for the Information Services Division. Lauren also provided operations and systems support for the Department for Children and Families and Department of Vermont Health Access.

Vermont Department of Motor Vehicles (November 2005 to October 2007). As a commercial vehicle operations supervisor, Lauren managed her unit's incoming work and daily activities. This included resolving escalated customer and employee issues and reporting weekly/monthly performance metrics to department leadership.

Vermont Department of Information and Innovation (April 2005 to November 2005). Lauren served as a computer operator, responsible for troubleshooting and resolving mainframe job errors and failures. She worked in conjunction with technical leads when errors and failures required subject expertise.

EDUCATION

Information required should include: institution name, city, state, degree and/or Achievement and date completed/received.

Bachelor of Science in Business Technology and Management
Vermont Technical College

Associate of Applied Science in E-Commerce
Vermont Technical College
Honors Recognition

CERTIFICATIONS

Information required should include: type of certification and date completed/received.

Professional development courses through the Center of Achievement in Public Service

- White Belt Performance and Process Improvement (May 2017)
- Yellow Belt Performance and Process Improvement (June 2017)
- Supervising in State Government
- Managing Conflict in the Workplace
- Providing Excellent Customer Service

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

Information required should include: environments, hardware, software, tools and databases.

Customer Relationship Management (CRM)
Interactive Voice Response (IVR)
Case Initiation (TANF, non-TANF, and Interstate)
Case Management - including document management, workflow, case notes, case worker alerts
Enforcement
Employer and Customer Portals
Establishment of Paternity and Support Orders
Locate of Non-Custodial Parent
Financial Management
Reporting

Understanding of Child Support interfaces to support case initiation, case management, enforcement, and/or locate (partial list specifically for Vermont)

- State Medicaid System
- Health Insurance Exchange
- State IV-A System
- State Foster Care System
- Unemployment Compensation
- In-state financial Institution Data Match
- Utility Companies
- Credit Bureau
- Federal Parent Locator Service (FPLS)
- Courts
- National Change of Address
- Child Support Enforcement Network (CSENet)
- eIWO

REFERENCES

A minimum of three (3) references are required, including name, phone number, fax number and email address.

Andrew Laing, Chief Data Officer
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Dru Roessle, Director of Performance Improvement
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Darin Prail, Chief Information Officer for Vermont Agency of Human Services
Vermont Agency of Digital Services
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Section VIII – Preliminary Project Plan (RFP 10.2.2.8 and 4.6)

4.6.1 Vendors shall submit a preliminary project plan as part of the proposal, including, but not limited to:

- 4.6.1.1 Gantt charts that show all proposed project activities;
- 4.6.1.2 Planning methodologies;
- 4.6.1.3 Milestones;
- 4.6.1.4 Task conflicts and/or interdependencies;
- 4.6.1.5 Estimated time frame for each task identified in Section 4, Scope of Work; and
- 4.6.1.6 Overall estimated time frame from project start to completion for both vendor and State activities, including strategies to avoid schedule slippage.

On the following pages, we have provided a preliminary project plan for the IV&V activities related to the CSES Replacement Project.

ID	Task Name	Start	Finish	Duration
1	**Contract Start (Notice to Proceed or NTP)**			
2	1. Prepare for and Conduct Kickoff Meeting	**5/1/2018**	**5/1/2018**	**1d**
3	**Phase 1 – Preliminary Project Planning**	**5/1/2018**	**5/1/2018**	**1d**
4	1.1 Setup Project Site	5/1/2018	5/10/2018	10d
5	1.2 Develop and submit information request	5/1/2018	5/1/2018	1d
6	1.3 Develop IV&V Management Plan Deliverable Expectation Document (DED)	5/2/2018	5/3/2018	2d
7	1.4 Prepare IV&V Management Plan	5/3/2018	5/3/2018	1d
8	1.5 Develop Detailed Project Plan	5/3/2018	5/4/2018	2d
9	1.6 Review IV&V Management Plan and Project Plan with DWSS	5/4/2018	5/5/2018	2d
10	1.7 Develop CSES Project-specific IV&V Review Indicators and Criteria	5/7/2018	5/10/2018	4d
11	1.8 Incorporate IV&V Review Indicators and Criteria into IV&V Review report template	5/8/2018	5/9/2018	2d
12	1.9 Review IV&V Review Indicators and Criteria, and IV&V Review Template	5/9/2018	5/10/2018	2d
13	1.10 Update IV&V Review Indicators and Criteria and IV&V Review Template	5/10/2018	5/10/2018	1d
14	1.11 Attend and participate in monthly project status meetings	5/1/2018	7/14/2018	75d
15	1.12 Attend and participate in all IV&V project and Steering Committee meetings	5/1/2018	7/14/2018	75d
16	1.13 Provide written monthly status reports	5/1/2018	7/14/2018	75d
17	1.14 Prepare and deliver IV&V Checklists	5/10/2018	5/14/2018	5d
18	**Phase 2 – Conduct Initial IV&V Review*** ***this initial review timeline will be repeated semi-annually**			
19	2.1 (i) Submit to IV&V Contract Officer a schedule of onsite review activities to be performed with the Replacement Project and DWSS	5/15/2018	5/21/2018	7d
20	2.1 (ii) Submit to IV&V Contract Officer a list of Project Team and Stakeholder interviews to be performed, document required to review	5/15/2018	5/17/2018	3d
21	2.1 (iii) Submit to IV&V Contract Officer a list of Project Documentation to be provided for IV&V Service Provider review; review requested documents	5/15/2018	5/19/2018	5d
22	2.2 (i) Develop web-based survey questions based on current phase of the NV CSE Replacement Project	5/20/2018	5/24/2018	5d
23	2.2 (ii) Review web-based survey questions with the IV&V Contract Officer	5/24/2018	5/24/2018	1d
24	2.2 (iii) Update web-based survey questions based on IV&V Contract Officer feedback	5/24/2018	5/26/2018	3d
25	2.2 (iv) Populate web-based survey instrument with survey questions; Issue survey	5/26/2018	5/27/2018	2d
26	2.2 (v) Review and analyze survey results; update the IV&V Review template with results	5/27/2018	6/5/2018	10d
27	2.3 Conduct IV&V Review activities	6/8/2018	6/22/2018	15d
28	2.4 Conduct our review and analysis	6/23/2018	6/27/2018	5d
29	2.5 Develop Initial IV&V Review Report	6/28/2018	7/2/2018	5d
30	2.6 Conduct formal IV&V Review briefing	7/13/2018	7/14/2018	2d

4.6.2 Vendors shall provide a written plan addressing the roles and responsibilities and method of communication between the contractor and any subcontractor(s).

Please see Section G, where we address our plan for communications for this project.

4.6.3 The preliminary project plan shall be incorporated into the contract.

We agree to work with the DWSS to have a preliminary project plan incorporated into the contract.

4.6.4 The first project deliverable is the finalized detailed project plan that shall include fixed deliverable due dates for all subsequent project tasks as defined in Section 3, Scope of Work. The contract shall be amended to include the State approved detailed project plan.

Please see Section V: Scope of Work, for our proposed tasks associated with the development of a detailed project plan.

4.6.5 Vendors shall identify all potential risks associated with the project, their proposed plan to mitigate the potential risks and include recommended strategies for managing those risks

Please see Section G for details of our risk and issue identification and mitigation methodologies.

4.6.6 Vendors shall provide information on the staff that shall be located onsite in Carson City. If staff shall be located at remote locations, vendors shall include specific information on plans to accommodate the exchange of information and transfer of technical and procedural knowledge. The State encourages alternate methods of communication other than in person meetings, such as transmission of documents via email and teleconferencing, as appropriate.

When not on-site in Carson City, our team will communicate knowledge, information, and documentation through several methods discussed in detail within other parts of our proposal:

- ✓ ***BerryDunn KnowledgeLink, or the use of the State's preferred project repository***
- ✓ ***Secured email***
- ✓ ***Teleconference meetings***
- ✓ ***Zoom (videoconference) meetings***

Nevada Department of Health and Human Services (DHHS)
Division of Welfare and Supportive Services (DWSS)
Child Support Enforcement System Replacement Project

Client Logo Here

IV&V Review Report

Version: Final

October 10, 2017

Prepared for:

Client Name Here
Street Address,
City, Client ZIP Code

SAMPLE

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Table 1: Version History

Version	Delivered Date	Description

SAMPLE

DOCUMENT PURPOSE

This document was developed as a representative sample of the type of report that BerryDunn develops as a result providing IV&V Review Report services. This sample report represents an IV&V Review Report for an application development project that uses an agile methodology. However, the IV&V Review Report process is designed to be used for many types of projects, including implementation of custom-developed systems. The remaining sections of this document represent sections that may be included in a report resulting from an IV&V Review Report for your agency. Although the proven BerryDunn IV&V Review Report approach and methodology is used, each IV&V Review Report is customized for the specific use of the agency. Customization includes, but is not limited to:

- Determination of Project Indicators and Sub-Indicators
- Sub-Indicator Control Tests (Assessment Tests)
- Point structure
- Use of various data gathering methods (e.g., web survey, document review, interviews, and observation)
- Risk Ratings
- Interview Groups

Below is a summary-level description of the approach used to conducting an IV&V Review Report, including collaborating with the Client to customize the IV&V Review Report Instrument for use on the first and subsequent assessments.

SAMPLE

EXECUTIVE SUMMARY

BerryDunn has completed its IV&V Review Report of the DHHS DWSS CSES Replacement Project. Figure 1 below provides the final results for this IV&V Review Report. Section 2 of this report includes a high-level project narrative for the project with a brief project description, stakeholder interview results, health assessment score results, and an overall analysis of the assessment results.

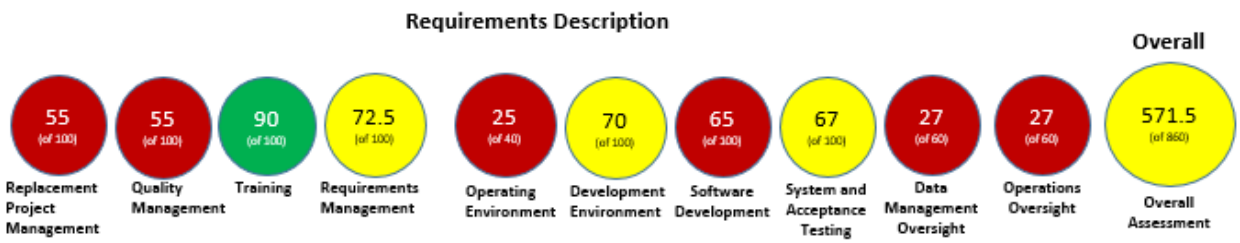


Figure 1: IV&V Review Report Results

One out of the ten Indicators (Training) is rated “Low Risk” and was colored green. Primary considerations resulting from our assessment of these areas include:

- *Primary reasons for the Low Risk rating would be provided here.*

Three of the ten Indicators are rated “Medium Risk” and were colored yellow. Primary considerations resulting from our assessment of these areas include:

- *Primary reasons for the Medium Risk rating would be provided here.*

Six of the ten Indicators are rated “High Risk” and were colored red. Primary considerations resulting from our assessment of these areas include:

- *Primary reasons for the High Risk rating would be provided here.*

Overall, this results in a project health of “Medium Risk.” Recommendations designed to reduce the risk of the project include:

- *Remediation recommendation summaries would be provided here.*

Focus should be placed on the six “High Risk” project health Indicators. Implementing recommendations associated with these may not immediately result in a project health dashboard with additional “Low Risk” Indicators; however, the overall project health risk Indicator values should move more squarely into the median of the “Medium Risk” category and result in a project that is more likely to succeed. Details regarding these recommendations are provided in Section 2.

SAMPLE

1 INTRODUCTION

1.1 Project Background and Overview

In the spirit of using technology to enable effective and efficient business processes, the Client is replacing its current system with a system developed and implemented by a vendor, using an Agile-based methodology. The goal of the system replacement is to help the Client improve business processes to create efficiencies, increase automation, and leverage the features of modern systems available today.

As a best practice, and according to federal rules, when a large technology initiative is undertaken, periodic IV&V Review Reports are required until project completion. In this case, the system replacement project requires two assessments to be conducted during the life of the project to understand if the project team is managing outcomes against the required timeline, and to identify the risks and issues that may jeopardize the success of the implementation. These assessments will provide the Client with independent feedback and perspective on their approach to the replacement of this system, arming them with a comprehensive awareness of the risks and the mitigation strategies to avert, or at least diminish, the potential of them being realized.

Of particular importance to the Client, this system replacement will impact the agencies, departments, and personnel that integrate with it, emphasizing the need for a complete understanding of the risks involved in its implementation and associated processes. BerryDunn has been engaged by the Client to conduct multiple assessments for the system replacement project. BerryDunn has customized an IV&V Review Report instrument for use in the assessments.

1.2 Project Approach

For this assessment, BerryDunn utilized its IV&V Review Process (Assessment Process). This Assessment Process is based on project management best practices as established by the Project Management Institute (PMI) and documented in the PMI Project Management Book of Knowledge (PMBOK) Guide, Fifth Edition. Additionally, BerryDunn has incorporated best practices outlined in PMI's Government Extension to the PMBOK. (The PMBOK and Government Extension to the PMBOK may be found at PMI's website: www.pmi.org)

The IV&V Review Process utilizes a framework of ten Project Health Indicators (Indicators) that were each awarded points for their performance against defined assessment criteria. The specific Indicators and allowable points for each are shown below in Table 2.

SAMPLE

Table 2: IV&V Review Report Indicators

Project Health Indicator	Indicator Definition	Total Points Allowed
1. Replacement Project Management	(Specific Indicator Definition would be placed here.)	100
2. Quality Management	(Specific Indicator Definition would be placed here.)	100
3. Training	(Specific Indicator Definition would be placed here.)	100
4. Requirements Management	(Specific Indicator Definition would be placed here.)	100
5. Operating Environment	(Specific Indicator Definition would be placed here.)	40
6. Development Environment	(Specific Indicator Definition would be placed here.)	100
7. Software Development	(Specific Indicator Definition would be placed here.)	100
8. System and Acceptance Testing	(Specific Indicator Definition would be placed here.)	100
9. Data Management Oversight	(Specific Indicator Definition would be placed here.)	60
10. Operations Oversight	(Specific Indicator Definition would be placed here.)	60
11. Overall Project Health	N/A	860

BerryDunn evaluated each Indicator based on a series of sub-indicators and related assessment tests. These sub-indicators and control tests are detailed in Appendix E: IV&V Review Report Instrument. An Indicator Health Assessment was determined based on the total number of points awarded for each Indicator. For instance, the Project Indicator for Replacement Project Management may receive a total of 100 Heath Assessment Points (Points) if the project passes all control tests identified. Table 2 above lists the total number of points each Indicator may be assessed.

Points are distributed across the sub-indicators based on their relative importance when compared to other sub-indicators. Table 3 provides an example of how this process was applied across each of the ten Project Health Indicators.

Table 3: Example from the Interview Question Template

Requirement Item	Control Test	Points Allowed	Points Assessed
Sub-requirements item 1	Test 1 Test 2	20 10	0 0
Sub-requirements item 2	Test 1 Test 2	15 5	15 5
Sub-requirements item 3	Test 1	10	10

SAMPLE

Requirement Item	Control Test	Points Allowed	Points Assessed
Sub-requirements item 4	Test 1	15	0
Sub-requirements item 5	Test 1 Test 2	20 5	20 5
Total		**100**	**55**

Each Indicator received a final Health Assessment Rating based on the total percentage of allowable points the Indicator was actually awarded. An Indicator may receive a rating of "High," "Medium," or "Low" health designation based on the total number of points assessed for that Indicator. Ratings were assessed based on the percentage of points awarded, shown on the next page in Table 4, and after results have been analyzed. Thresholds for Risk Ratings were discussed and confirmed with the Client prior to commencing the assessment.

Table 4: Assessment Points and Color Designations

Triple Constraints, Project Quality, and Project Management and Approach **(100 points)**	Project Organization and Stakeholder Engagement Project Indicators **(60 points)**	Project Risks and Issues Indicators **(40 points)**	Overall Project Health **(700 Points)**
Red: <=65 points assessed Yellow: >65 and <=82.5 points assessed Green: >82.5 points assessed Gray: Not able to complete	Red: <=39 points assessed Yellow: >39 and <=49.5 points assessed Green: >49.5 points assessed Gray: Not able to complete	Red: <=26 points assessed Yellow: >26 and <=33 points assessed Green: >33 points assessed Gray: Not able to complete	Red: <455 points assessed Yellow: >455 and <=577.5 points assessed Green: >577.5 points assessed Gray: Not able to complete

Table 5: Indicator Health Rating Symbols and Criteria

Risk Rating	Symbol
Low Risk	
Medium Risk	
High Risk	

SAMPLE

During the performance of the assessment, the following major activities were conducted, using the Assessment Process as a framework:

- BerryDunn requested and received existing documentation from the Client PM. This documentation was reviewed prior to conducting on-site fact-finding meetings (see below). This activity enabled the BerryDunn team to better understand the project landscape and inform questions to be asked during the on-site fact-finding meetings. The inventory of documentation received and reviewed is listed in Appendix D and is included in the Evidence folder included in this packet.
- BerryDunn and the Client developed and issued a web-based surveys; the target audience for one of them was the project stakeholder group and project team. The intent of this survey was to increase participation in and gather information from a broader cross-section of project participants and stakeholders than those interviewed during the on-site fact-finding meetings. The survey was issued, completed, and results analyzed prior to conducting the on-site fact-finding meetings (see below).
- BerryDunn, the Client PM, and the Vendor PM scheduled a series of fact-finding meetings. These meetings were conducted on-site at the Client headquarters during the week of October 5, 2017; they were conducted with Vendor personnel via telephone on October 12 and October 19, 2017. Each interview group was provided a series of questions in advance. The questions asked during the interviews were directly related to the Assessment Process project health Indicators.
- The BerryDunn team developed a series of findings associated with each project health indicator defined within the Assessment Process. Points were applied to each health indicator and a total number of points for each of the ten project health categories was arrived at. Please see Appendix E: IV&V Review Report Instrument for details.
- The BerryDunn team then developed a series of recommendations intended to reduce the risk levels for each of the eight project health Indicators. These are provided in Section 2.

Throughout this report, we will refer to the IV&V Review Report Approach described above as the “Assessment Process.”

1.3 Project Constraints and Assumptions

Over the course of the eight-week Health Assessment Project, BerryDunn assessed the health of eight Indicators for the Client’s System Replacement Project. The assessment process included collecting and processing a significant volume of project documentation, analyzing web-based survey results from project stakeholders, and conducting interviews with project team members and stakeholders. Critical to the success of this project was the full participation by all designated project participants.

SAMPLE

BerryDunn identified the following project constraints and assumptions at project initiation as critical for project success:

1. Project team members and stakeholders identified for interviews during the week of October 5, 2017, would be available to participate in their scheduled interviews.
2. There was a sufficient number of survey respondents to provide a reasonably valid data sample.
3. Collectively, BerryDunn was provided access to sufficient information and project personnel to conduct a thorough review.
4. BerryDunn's assessment process depends on the accuracy and timeliness of requested information. This is an IV&V Review Report and is not a "forensic assessment;" as such, BerryDunn is making the assumption that all information submitted, particularly information collected during face-to-face interviews, is an accurate and truthful representation of the project.
5. BerryDunn recognizes that project management is a broad professional field that may include any number of different aspects. Thus, we acknowledge that while we believe our assessment process is comprehensive and accurate, there may be questions or issues that are not addressed to the level others may feel is required. In planning for this project, we have tried to address this concern by working closely with the Client to ensure the assessment process meets their expectations.
6. BerryDunn is not providing information in this report to anyone beyond the core Client project team members. The Client shall determine what, if any, information included in this report is shared with the project management teams and will be responsible for sharing this information.

SAMPLE

2 SYSTEM REPLACEMENT IV&V REVIEW REPORT

This section includes a summary of findings and associated recommendations for each of the ten project health Indicators described earlier. In general, the BerryDunn team identified between three and five findings for each Indicator, with one to three recommendations for improving the project health relative to the Indicator.

2.1 Replacement Project Management

2.1.1 Assessment Findings

- *Replacement Project Management Assessment Findings would be provided here.*

2.1.2 Recommendations

- *Replacement Project Management Recommendations would be provided here.*

2.2 Quality Management

2.2.1 Assessment Findings

- *Quality Management Assessment Findings would be provided here.*

2.2.2 Recommendations

- *Quality Management Recommendations would be provided here.*

2.3 Training

2.3.1 Assessment Findings

- *Training Assessment Findings would be provided here.*

2.3.2 Recommendations

- *Training Recommendations would be provided here.*

2.4 Requirements Management

2.4.1 Assessment Findings

- *Project Requirements Management Assessment Findings would be provided here.*

2.4.2 Recommendations

- *Project Requirements Management Assessment Recommendations would be provided here.*

2.5 Operating Environment

2.5.1 Assessment Findings

- *Operating Environment Findings would be provided here.*

2.5.2 Recommendations

- *Operating Environment Assessment Recommendations would be provided here.*

2.6 Development Environment

2.6.1 Assessment Findings

- *Development Environment Assessment Findings would be provided here.*

SAMPLE

2.6.2 Recommendations

- *Development Environment Assessment Recommendations would be provided here.*

2.7 Software Development

2.7.1 Assessment Findings

- *Software Development Assessment Findings would be provided here.*

2.7.2 Recommendations

- *Software Development Recommendations would be provided here.*

2.8 System and Acceptance Testing

2.8.1 Assessment Findings

- *System and Acceptance Testing Assessment Findings would be provided here.*

2.8.2 Recommendations

- *System and Acceptance Testing Recommendations would be provided here.*

2.9 Data Management Oversight

2.9.1 Assessment Findings

- *Data Management Assessment Findings would be provide here.*

2.9.2 Recommendations

- *Data Management Recommendations would be provided here.*

2.10 Operations Oversight

2.10.1 Assessment Findings

- *Operations Oversight Assessment Findings would be provided here.*

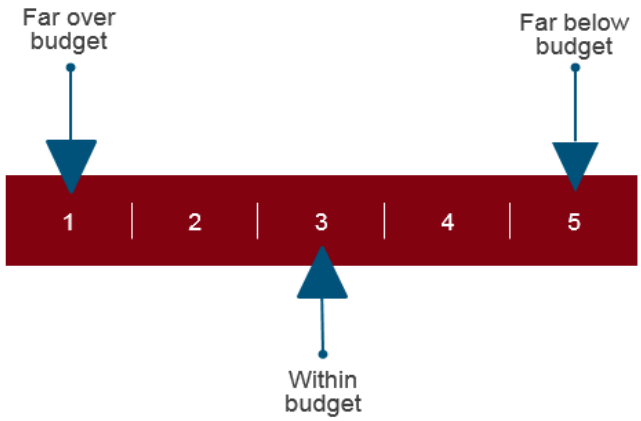
2.10.2 Recommendations

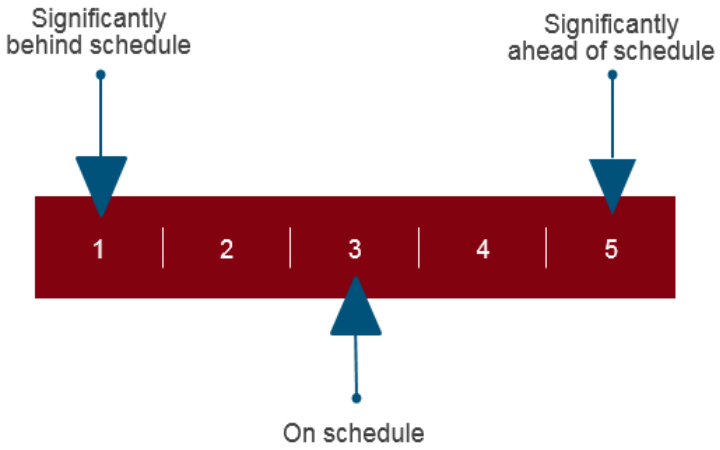
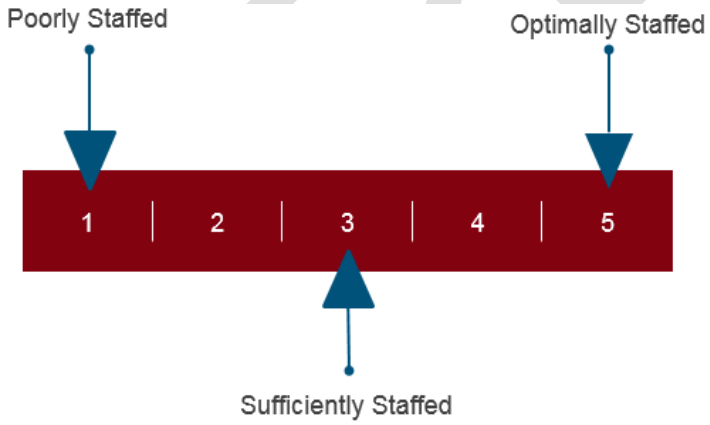
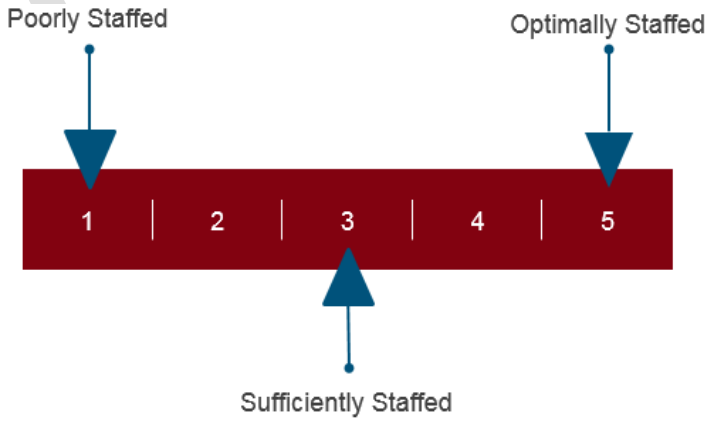
- *Operations Oversight Recommendations would be provided here.*

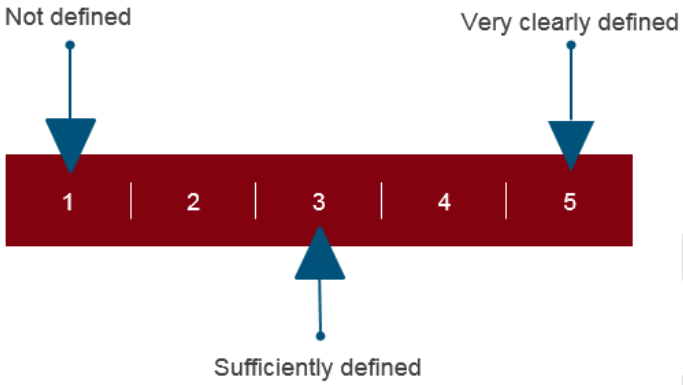
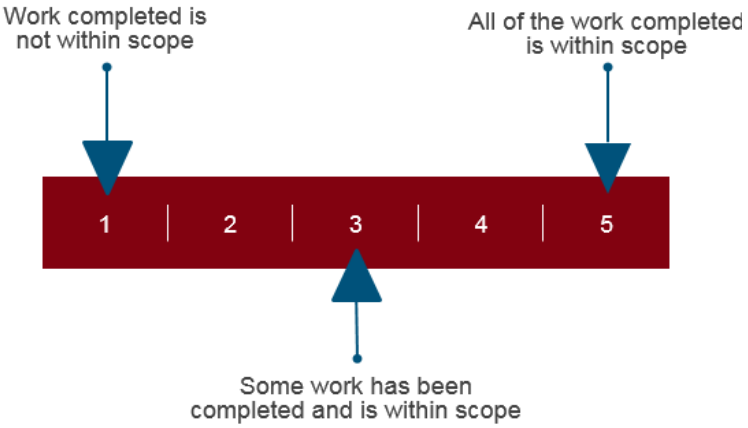
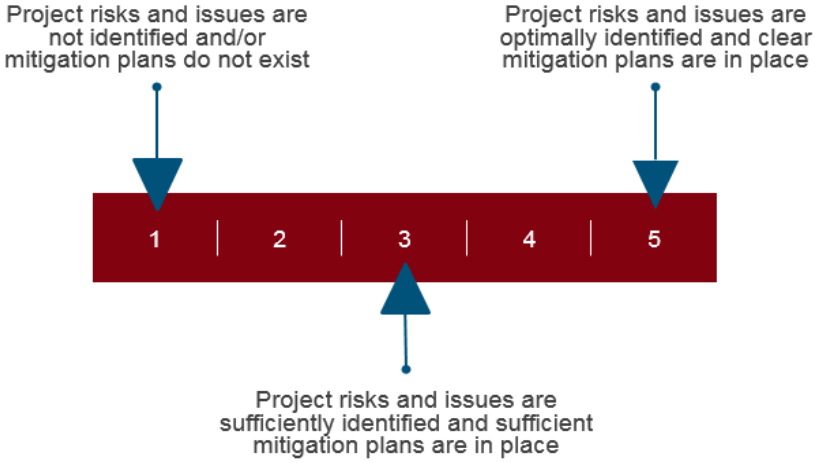
SAMPLE

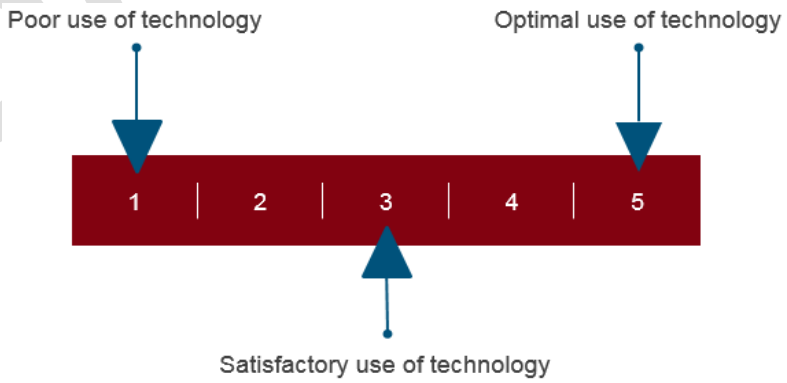
APPENDIX A: DATA COLLECTION SURVEY

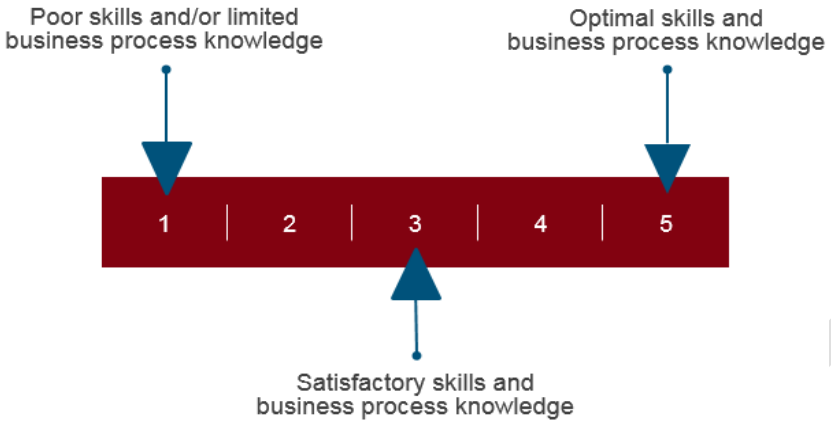
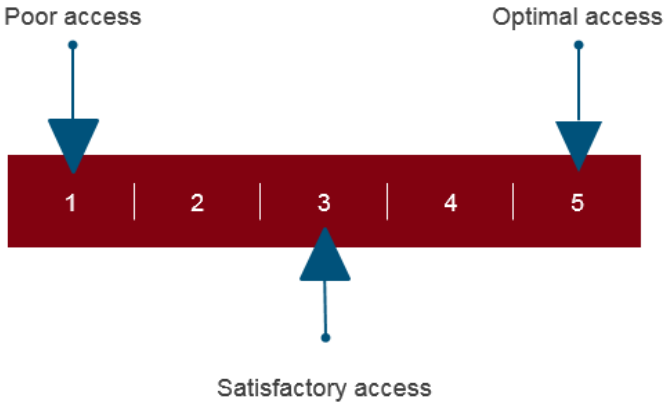
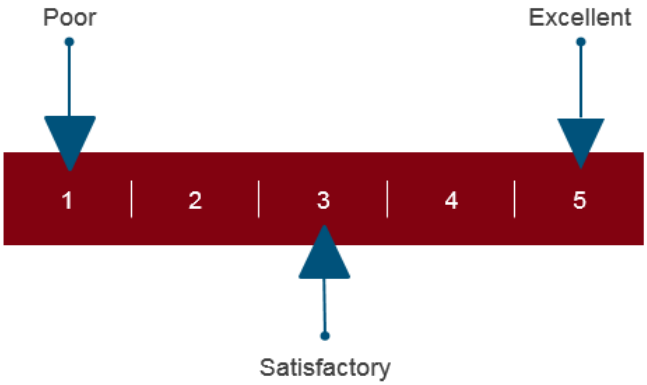
A.1 Web Survey Questions *(sample set only; specific questions will be developed)*

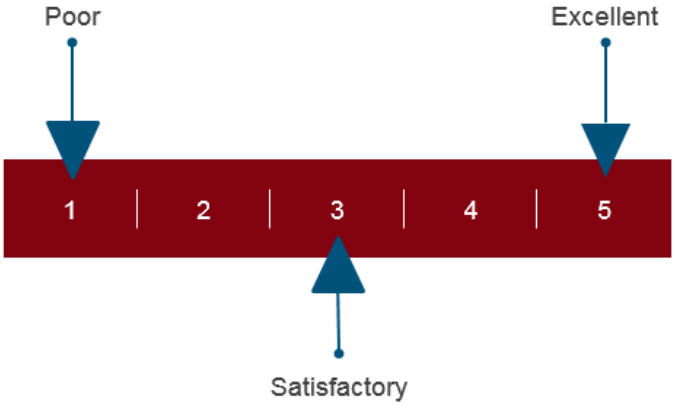
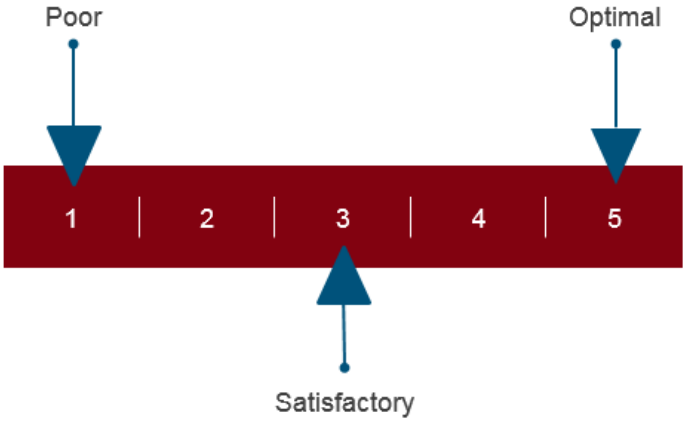
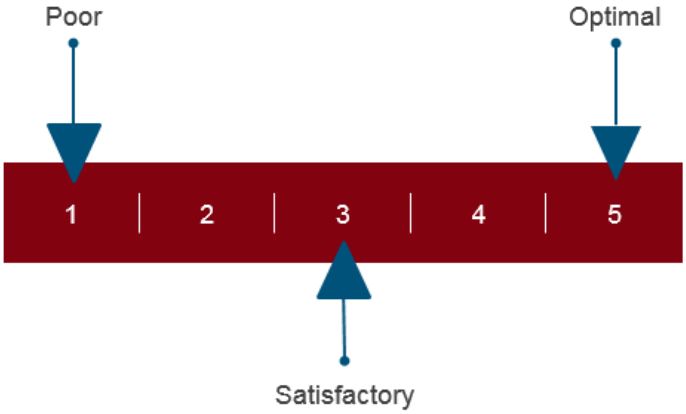
User Survey Questions	
No.	**Question**
1	What is your role on the project? (choose one) a) Project Sponsor b) Client Project Management c) Vendor Project Management d) Client Project Team Member e) Vendor Project Team Member
2	What is your perception of actual project costs as compared with the project budget, thus far? (choose one) 
3	What is your perception of the availability of project funding? (choose one)

User Survey Questions	
No.	**Question**
4	What is your perception of the status of the project's schedule? (choose one) 
5	What is your perception of the adequacy of Client staffing for this project? 
6	What is your perception of the adequacy of Vendor staffing for this project? 

User Survey Questions	
No.	**Question**
7	What is your perception of the extent to which scope has been defined for this project? 
8	What is your perception of the work completed in relationship to this project? 
9	What is your perception regarding the identification and mitigation of risks and issues for this project? 

User Survey Questions	
No.	**Question**
10	What is your perception of the quality of deliverables provided by and activities conducted by the Vendor for this project?
11	What is your perception of the quality of activities conducted by the Client and the level of participation of Client resources for this project?
12	What is your perception of the use of technology to improve communication, collaboration, and knowledge sharing for this project? 

User Survey Questions	
No.	**Question**
13	What is your perception of the skills and business process knowledge that project team members currently have, with respect to their responsibilities for this project? 
14	What is your perception regarding the project team's access to resources, knowledge, and tools required to fulfill project responsibilities? 
15	What is your perception regarding the Client's project management efforts for this effort? 

User Survey Questions	
No.	**Question**
16	What is your perception regarding the Vendor's project management efforts for this effort? 
17	What is your perception of the project's organizational structure? 
18	What is your perception of the project manager's ability to add additional resources to the project when needed? 

User Survey Questions	
No.	**Question**
19	What is your perception of the level of stakeholder readiness planning for the new system, as part of this project?
20	Are there any additional comments that you would like to provide to provide in relation to the health of this project?
21	If we determine it is necessary, may we contact you to discuss the results of this survey?
22	If yes, please enter your contact information.

SAMPLE

APPENDIX B: INTERVIEW GUIDES

B.1 Vendor Project Manager Interview Guide (Sample Set)

Subject: Vendor Project Manager

Objective: Fact-finding sessions will be conducted at the beginning of this project to discuss how the Client and Vendor are developing the replacement system. The objective of the fact-finding sessions is to document existing challenges and to identify areas for improvement. Representative interview questions are provided below; some may not be specifically relevant to your domain expertise. Those that are not will be skipped during the interview.

Meeting Participation: Based on this interview outline, representatives from all impacted departments should plan to participate in the interview process. Input from a variety of users is very important as the process of documenting existing challenges and planning for future needs begins.

I. Introductions

II. Identify Core Business Processes

Meeting participants should be prepared to discuss the business processes that are conducted by their department.

1. What business functions does your group support?
2. What are the primary objectives of the business processes you perform?

III. Project Cost

Meeting participants should be prepared to discuss project cost.

1. Do you have a copy of the project expenditures and project budget?
2. What is your current change control process? Has the project been adjusted as the project has been progressing? Do you have a few examples (three) of the change control process being used and how that went?
3. How are project costs tracked and reviewed? (Tracked regularly?)
4. How are payments made to the Vendor?
5. Are payments tied to deliverables?
6. What is the formal deliverable process? (Sign-off, acceptance forms, etc.) Do you have a few (three) examples?

IV. Project Schedule

Meeting participants should be prepared to discuss project schedule.

1. How long is each sprint in the project schedule?
2. How quickly does the team typically get through the user stories in each sprint? Is this tracked in the schedule?

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3. What is the process for adjusting the project schedule when a change request is approved? Do you have a few examples (three) of Client-approved project change requests?
4. Do you have Client and Vendor staffing plans? How often are they updated?
5. Have there been any other challenges related to the project schedule and completing work on time?

V. Project Scope

Meeting participants should be prepared to discuss project scope.

1. Was the project scope defined and agreed upon contractually between the Client and the Vendor?
2. Do you maintain a product backlog? How is it maintained? (Ahead of the current sprint?)
3. What is the common definition of "done" on the team?
4. How are the estimates in the product backlog derived? Are they based on time or more on size (story points)?
5. Where is your sprint backlog stored? How does the team work off the sprint backlog?
6. What is included in the sprint backlog? Does it include a set of product backlog items selected for the sprint, a plan for delivering the product increment and realizing the sprint goal?
7. Who has access to the sprint backlog? Can any stakeholder see it?
8. How often is the sprint backlog updated?
9. If the team does not deliver what they commit to on the sprint backlog, what is the tracking process?
10. Do you find that the product backlog changes as the product and environment in which the product will be used changes? How often has the backlog been adjusted as the project has progressed?
11. What is the process if unplanned work outside of the Sprint backlog comes up during a Sprint?
12. Have there been any other challenges related to the project scope and the amount of work being completed in this project?

VI. Project Risks and Issues

Meeting participants should be prepared to discuss project risks and issues.

1. Do you have a documented risk and issue management process?
2. Where do you track risks and issues? How often is this managed or considered throughout the project?
3. Have there been any other challenges related to the tracking and handling of risks or issues in this project?

SAMPLE

VII. Project Quality

Meeting participants should be prepared to discuss project quality.

1. Is there a formalized project deliverable review and acceptance process? What is it?
2. How far in advance are sprint reviews planned? Are they usually a specific amount of time in duration?
3. How are sprint reviews conducted? Does each team member present their own work? Is feedback documented?
4. Are only "done" user stories presented at each sprint review?
5. During the sprint review does someone discuss the product backlog and forecast likely completion dates based on progress to date?
6. What else is discussed in the sprint review? Are the timeline, budget, and potential capabilities for the next anticipated release of the product discussed?
7. Is there a requirements traceability matrix in place that is used to outline the Client's expectations for the new system? Does it include both functional and technical requirements?
8. Prior to the start of testing activities, is there a formalized test plan agreed upon? If not, will the formalized testing plan be completed prior to the start of planned testing activities?
9. When is the acceptance testing documentation developed for most user stories for each sprint? Who develops the acceptance testing documentation?
10. Is working, tested software delivered by the end of each sprint?
11. Are sprint retrospectives held after each sprint (after the sprint review)? What is the purpose of the sprint retrospective?
12. How long are sprint retrospectives in duration?
13. Does the team participate in the sprint retrospectives? Do you discuss potential improvements as you move into the next sprint?
14. Do you have any examples of improvements that were brought up in a sprint retrospective that were implemented in the next sprint?
15. Have there been any other challenges related to project quality that we have not discussed?

VIII. Project Stakeholder Satisfaction

Meeting participants should be prepared to discuss project stakeholder satisfaction.

1. Have there been any challenges related to stakeholder satisfaction that you have observed?

IX. Project Management and Approach

Meeting participants should be prepared to discuss project management and approach.

1. Do you have a formalized project charter?
2. Who is the product owner? What is the product owner responsible for? What is their role?

SAMPLE

3. Who is the scrum master? What is the scrum master responsible for? What is their role?
4. Does the team feel like they live by the values and practices of the principles of scrum?
5. Does the scrum master do what he/she needs to do to help the team perform at the optimum level?
6. Would you consider your scrum master a “protector” of the team?
7. Does the scrum master assist in tearing down barriers helping to facilitate meetings?
8. Who coordinates most between the product owner and the team?
9. Does anyone (in the team) feel that their time is over allocated on this project? Or that they are overcommitted?
10. What are some of the communication channels if you (the team) needs to connect with the stakeholders, other team members, or the product owner?
11. Do you (the team) feel supported in your work to deliver the product?
12. How often do you (the team) communicate with the product owner throughout each sprint?
13. Has a base-lined project work plan (schedule and tasks) been approved by both the Client and the Vendor for this project?
14. During sprint planning, how do you determine what work can be accomplished within the next sprint?
15. Does the PM take into account past performance when projecting capacity into the next sprint?
16. How long do sprint planning sessions typically take?
17. Who attends sprint planning meetings?
18. After the sprint planning meeting is over, is there a consensus among team members that the sprint backlog is realistic and doable?
19. How are the results of the sprint review taken into account when planning the probable product backlog of the next sprint?
20. Do you have an approved and documented communication plan?
21. Do you have an approved and documented change order plan?
22. How often does the Vendor provide status reports to the Client?
23. Do the daily scrum meetings occur at the same time and in the same place every day?

X. Project Organization and Stakeholder Engagement

Meeting participants should be prepared to discuss project organization and stakeholder engagement.

1. Who are the project sponsors (Client project manager, Vendor project manager)?
2. What is the process by which stakeholder readiness will be determined, executed, and verified? Is this process included in the Change Management Plan or another deliverable definition?
3. Have there been any challenges related to project organization and stakeholder engagement?

SAMPLE

B.2 Vendor Quality Assurance Interview Guide (Sample Set)

Subject: Project Interview (Vendor Testing)

Objective: Fact-finding sessions will be conducted at the beginning of this project to discuss how the Client and Vendor are developing the replacement system. The objective of the fact-finding sessions is to document existing challenges and to identify areas for improvement. Representative interview questions are provided below; some may not be specifically relevant to your domain expertise. Those that are not will be skipped during the interview.

Meeting Participation: Based on this interview outline, representatives from all impacted departments should plan to participate in the interview process. Input from a variety of users is very important as the process of documenting existing challenges and planning for future needs begins.

I. Introductions

II. Identify Core Business Processes

Meeting participants should be prepared to discuss the business processes that are conducted by their department.

1. What business functions does your group support?
2. What are the primary objectives of the business processes you perform?

III. Project Quality

Meeting participants should be prepared to discuss project quality.

1. Is there a formalized project deliverable review and acceptance process? What is it?
2. How far in advance are sprint reviews planned? Are they usually a specific amount of time in duration?
3. How are sprint reviews conducted? Does each team member present their own work? Is feedback documented?
4. Are only “done” user stories presented at each sprint review?
5. During the sprint review does someone discuss the product backlog and forecast likely completion dates based on progress to date?
6. What else is discussed in the sprint review? Are the timeline, budget, and potential capabilities for the next anticipated release of the product discussed?
7. Is there a requirements traceability matrix in place that is used to outline the Client’s expectations for the new system? Does it include both functional and technical requirements?
8. Prior to the start of testing activities, is there a formalized test plan agreed upon? If not, will the formalized testing plan be completed prior to the start of planned testing activities?

SAMPLE

9. When is the acceptance testing documentation developed for most user stories for each sprint? Who develops the acceptance testing documentation?
10. Is working, tested software delivered by the end of each sprint?
11. Are sprint retrospectives held after each sprint (after the sprint review)? What is the purpose of the sprint retrospective?
12. How long are sprint retrospectives in duration?
13. Does the team participate in the sprint retrospectives? Do you discuss potential improvements as you move into the next sprint?
14. Do you have any examples of improvements that were brought up in a sprint retrospective that were implemented in the next sprint?
15. Have there been any other challenges related to project quality that we have not discussed?

B.3 Vendor Developer/Architect Interview Guide (Sample Set)

Subject: Vendor Developer/Architect

Objective: Fact-finding sessions will be conducted at the beginning of this project to discuss how the Client and Vendor are developing the replacement system. The objective of the fact-finding sessions is to document existing challenges and to identify areas for improvement. Representative interview questions are provided below; some may not be specifically relevant to your domain expertise. Those that are not will be skipped during the interview.

Meeting Participation: Based on this interview outline, representatives from all impacted departments should plan to participate in the interview process. Input from a variety of users is very important as the process of documenting existing challenges and planning for future needs begins.

I. Introductions

II. Identify Core Business Processes

Meeting participants should be prepared to discuss the business processes that are conducted by their department.

1. What business functions does your group support?
2. What are the primary objectives of the business processes you perform?

III. Project Cost

Meeting participants should be prepared to discuss project cost.

1. What is your current change control process? Has the project been adjusted as the project has been progressing? Do you have an example of the change control process being used and how that went?

SAMPLE

IV. Project Schedule

Meeting participants should be prepared to discuss project schedule.

1. What is the process for adjusting the project schedule when a change request is approved?
2. Do you have Client and Vendor staffing plans? How often are they updated?
3. Have there been any other challenges related to the project schedule and completing work on time?

V. Project Scope

Meeting participants should be prepared to discuss project scope.

1. Do you maintain a product backlog? How is it maintained? (Ahead of the current sprint?)
2. What is the common definition of "done" on the team?
3. How are the estimates in the product backlog derived? Are they based on time or more on size (story points)?
4. Where is your sprint backlog stored? How does the team work off the sprint backlog?
5. What is included in the sprint backlog? Does it include a set of product backlog items selected for the sprint, a plan for delivering the product increment and realizing the sprint goal?
6. Who has access to the sprint backlog? Can any stakeholder see it?
7. How often is the sprint backlog updated?
8. If the team does not deliver what they commit to on the sprint backlog, what is the tracking process?
9. Do you find that the product backlog changes as the product and environment in which the product will be used changes? How often has the backlog been adjusted as the project has progressed?
10. What is the process if unplanned work outside of the Sprint backlog comes up during a Sprint?
11. Have there been any other challenges related to the project scope and the amount of work being completed in this project?

VI. Project Risks and Issues

Meeting participants should be prepared to discuss project risks and issues.

1. Have there been any challenges related to the tracking and handling of risks or issues in this project?

VII. Project Quality

Meeting participants should be prepared to discuss project quality.

1. Is there a formalized project deliverable review and acceptance process? What is it?
2. How far in advance are sprint reviews planned? Are they usually a specific amount of time in duration?

SAMPLE

3. How are sprint reviews conducted? Does each team member present their own work? Is feedback documented?
4. Are only “done” user stories presented at each sprint review?
5. During the sprint review does someone discuss the product backlog and forecast likely completion dates based on progress to date?
6. What else is discussed in the sprint review? Are the timeline, budget, and potential capabilities for the next anticipated release of the product discussed?
7. Is there a requirements traceability matrix in place that is used to outline the Client’s expectations for the new system? Does it include both functional and technical requirements?
8. Prior to the start of testing activities, is there a formalized test plan agreed upon?
9. When is the acceptance testing documentation developed for most user stories for each sprint? Who develops the acceptance testing documentation?

VIII. Project Stakeholder Satisfaction

Meeting participants should be prepared to discuss project stakeholder satisfaction.

1. Have there been any challenges related to stakeholder satisfaction that you have observed?

IX. Project Management and Approach

Meeting participants should be prepared to discuss project management and approach.

1. How often does the Vendor provide status reports to the Client?
2. Have there been any challenges related to project management and approach that you have noted?

X. Project Organization and Stakeholder Engagement

Meeting participants should be prepared to discuss project organization and stakeholder engagement.

1. Have there been any challenges related to project organization and stakeholder engagement?

NOTE: Interview Guides for each interview group would be provided here.

SAMPLE

APPENDIX C: DOCUMENT COLLECTION INVENTORY

Document Reference #	Document Title
DOC01	System Replacement Implementation Project Scope Statement v1 - Signed
DOC02	Replacement Project Plan v0.1
DOC03	Project Plan_FINAL
DOC04	Project Estimates
DOC05	Project Risks v1.5
DOC06	Monthly Status Report_Sprint 12
DOC07	Resource Analysis
DOC08	Vendor and Client Personnel
DOC09	Project Acronyms List
DOC10	Tracking Metrics - Master
DOC11	Replacement System Story Map
DOC12	Retrospective Stories - Detailed
DOC13	Software License Agreement
DOC14	System Integration Test Plan
DOC15	Test Strategy Final-ver1.4
DOC16	Replacement.SRS
DOC17	Change Management Plan Guidelines v2
DOC18	System Replacement_BRS
DOC19	System Replacement RFP – Test Planning
DOC20	System Replacement RFP - Data Conversion Planning
DOC21	System Replacement RFP
DOC22	Application Development Methodology
DOC23	Vendor Contract - Deliverables Pricing

SAMPLE

APPENDIX D: LIST OF MEETINGS AND PARTICIPANTS

Project Kickoff Meeting	
Name	**Department**
Alexandra Manning	Client Project Manager
Ruth Simpson	Client Business Analyst
Adrian Sutherland	Client Product Manager
Jonathan Randall	Client System Architect
Rachel Taylor	Client Business Analyst
Andrea Lee	Client Information Technology
Connor Ball	Client Quality Assurance
Phil Sharp	Client Quality Assurance
Jason Sanderson	Client SME
Stewart Coleman	Client Project Manager
Product Manager Interview	
Name	**Department**
Tracy Welch	Client Product Manager
Trainer Interview	
Name	**Department**
Lorena Baldwin	Client Trainer
Developer/Architect Interview	
Name	**Department**
Evelyn Love	Client System Architect
Alma Evans	Client Information Technology
Troy Phelps	Client Developer
Business Sponsor Interview	
Name	**Department**
Janice Floyd	Client Business Sponsor
Erick Phillips	Client Business Sponsor

SAMPLE

Subject Matter Expert (SME) Interview	
Name	**Department**
Jacob Griffith	Client Legacy System SME
Bert Chandler	Client Biometrics
Clint Cooper	Client Biometrics
Business Analyst Interview	
Name	**Department**
Josh Allison	Client Business Analyst
Bridget Hoffman	Client Business Analyst
Lynn Taylor	Client Business Analyst
Quality Assurance Interview	
Name	**Department**
Tiffany Pearson	Client Quality Assurance
Kurt Alvarez	Client Quality Assurance

SAMPLE

Project Manager Interview	
Name	**Department**
Philip Hogan	Client Project Manager
Hazel Porter	Client Deputy Project Manager
Vincent Steele	Client Deputy Project Manager
Enterprise Architects Interview	
Name	**Department**
Brandon Steele	Client Architecture
Tracy Perez	Client EA Architect
Network Operations Interview	
Name	**Department**
Ian Wilson	Network Operations
Ray Stewart	Network Operations
Technical Sponsor Interview	
Name	**Department**
Tom Kelley	Client Information Technology
Ron Morales	Client Information Technology
Alton Palmer	Client Information Technology
Vendor Testing Staff Interview (via phone)	
Name	**Department**
Carlos Barnes	Vendor Testing
Vendor/ Developers Interview (via phone)	
Name	**Department**
Crystal Tate	Vendor Developer
Gloria Ramsay	Vendor Developer
Vendor Project Manager Interview (via phone)	
Name	**Department**
Roger Malone	Vendor Project Manager

SAMPLE

Vendor Engineer Interview (via phone)	
Name	**Department**
Corey Gomez	Vendor Engineer

SAMPLE

APPENDIX E: IV&V REVIEW REPORT INSTRUMENT

Project Contact Information

Project Name:	CSES Replacement	Department Owner:	N/A
Project Liaison Name:	Sarah Moulder (Deputy PM)	Project Vendor Name:	Vendor (Hailey Winston – PM)
Project Liaison Email:	Sarah.Moulder@state.client.us	Project Vendor Email:	HWinston@Vendor.com
Project Liaison Telephone:	(207) 555-2711	Project Vendor Telephone:	(207) 666-5997
Project Manager Name:	Peter Schmidt (PM)	Project Sponsor Name:	Nick Day
Project Manager Email:	Peter.Schmidt@state.client.us	Project Sponsor Email:	Nick.Day@state.client.us
Project Manager Telephone:	(207) 555-2595	Project Sponsor Telephone:	(207) 555-1007

SAMPLE

Current Project Health

Project Health Indicator	Points Allowed	Points Assessed	Indicator Status
1. Replacement Project Management	100	55	
2. Quality Management	100	55	
3. Training	100	90	
4. Requirements Management	100	72.5	
5. Operating Environment	40	25	
6. Development Environment	100	70	
7. Software Development	100	65	
8. System and Acceptance Testing	100	67	
9. Data Management Oversight	60	27	
10. Operations Oversight	60	27	
11. Overall Project Health	860	571.5	

SAMPLE

Health Indicator Status Key

100 points	60 points	40 points	Overall Project Health (860 Points)
Red: <=65 points assessed Yellow: >65 and <=82.5 points assessed Green: >82.5 points assessed Gray: Not able to complete	Red: <=39 points assessed Yellow: >39 and <=49.5 points assessed Green: >49.5 points assessed Gray: Not able to complete	Red: <=26 points assessed Yellow: >26 and <=33 points assessed Green: >33 points assessed Gray: Not able to complete	Red: <455 points assessed Yellow: >455 and <=577.5 points assessed Green: >577.5 points assessed Gray: Not able to complete

Interview Group Key

Group	Designated By
Project Sponsors	PS
Project Team	PT
Project Clients (Stakeholders)	PC
Project Vendor	PV

SAMPLE

1. Replacement Project Management

This Project Health Indicator assesses actual replacement project management, the perception of replacement project management, and the processes and controls utilized to manage replacement project management.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
PM-1 Project Sponsorship	Assess and recommend improvement, as needed, to assure continuous executive stakeholder buy-in, participation, support, and commitment, and that open pathways of communication exist among all stakeholders.					
PM-2 Project Sponsorship	Verify that executive sponsorship has bought in to all changes that impact project objectives, cost, or schedule.					
PM-3 Management Assessment	Verify and assess project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.					
PM-4 Management Assessment	Evaluate project progress, resources, budget, schedules, work flow, and reporting.					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
PM-5 Management Assessment	Assess coordination, communication, and management to verify agencies and departments are not working independently of one another and that they are following the communication plan.					
PM-6 Project Management	Verify that a Project Management Plan is created and being followed. Evaluate the project management plans and procedures to verify that they are developed, communicated, implemented, monitored, and complete.					
PM-7 Project Management	Evaluate the project reporting plan and actual project reports to verify project status is accurately traced using project metrics.					
PM-8 Project Management	Verify milestones and completion dates are planned, monitored, and met.					
PM-9 Project Management	Verify the existence and institutionalization of an appropriate project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents a					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
	mitigation strategy as appropriate, and tracks issues to closure. This should include (but is not limited to) technical and development efforts.					
PM-10 Project Management	Evaluate the system's planned life-cycle development methodology or methodologies (waterfall, evolutionary spiral, rapid prototyping, incremental, etc.) to see if they are appropriate for the system being developed.					
PM-11 Business Process Reengineering	Evaluate the project's ability and plans to redesign business systems to achieve improvements in critical measures of performance, such as cost, quality, service, and speed.					
PM-12 Business Process Reengineering	Verify that the reengineering plan has the strategy, management backing, resources, skills, and incentives necessary for effective change.					
PM-13 Business Process Reengineering	Verify that resistance to change is anticipated and prepared for by using principles of change management at each step (such as excellent communication, participation, incentives) and having the appropriate leadership (executive pressure, vision,					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
	and actions) throughout the reengineering process.					
PM-14 Risk Management	Verify that a Project Risk Management Plan is created and being followed. Evaluate the project's risk management plans and procedures to verify that risks are identified and quantified and that mitigation plans are developed, communicated, implemented, monitored, and complete.					
PM-15 Change Management	Verify that a Change Management Plan is created and being followed. Evaluate the change management plans and procedures to verify they are developed, communicated, implemented, monitored, and complete; and that resistance to change is anticipated and prepared for.					
PM-16 Communication Management	Verify that a Communication Plan is created and being followed. Evaluate the communication plans and strategies to verify they support communications and work product sharing between all project stakeholders; and assess if					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
	communication plans and strategies are effective, implemented, monitored, and complete.					
PM-17 Configuration Management	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.					
PM-18 Configuration Management	Verify that all critical development documents, including (but not limited to) requirements, design, code, and JCL are maintained under an appropriate level of control.					
PM-19 Configuration Management	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.					
PM-20 Configuration Management	Verify that appropriate source and object libraries are maintained for training, test, and production and that formal sign-off procedures are in place for approving deliverables.					
PM-21 Configuration Management	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review,					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
	prioritization, and timely scheduling of maintenance actions.					
PM-22 Configuration Management	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version of the system.					
PM-23 Configuration Management	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in project management.					
PM-24 Project Estimating and Scheduling	Evaluate and make recommendations on the estimating and scheduling process of the project to ensure that the project budget and resources are adequate for the work-breakdown structure and schedule.					
PM-25 Project Estimating and Scheduling	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing, and rework.					
PM-26 Project Estimating and Scheduling	Examine historical data to determine if the project/department has been able to accurately estimate the time, labor,					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
	and cost of software development efforts.					
PM-27 Project Personnel	Examine the job assignments, skills, training, and experience of the personnel involved in program development to verify that they are adequate for the development task.					
PM-28 Project Personnel	Evaluate the State's hiring plan for the project to verify that adequate human resources will be available for development and maintenance.					
PM-29 Project Personnel	Evaluate the State's personnel policies to verify that staff turnover will be minimized.					
PM-30 Project Organization	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.					
PM-31 Project Organization	Verify that the project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, and					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
	any other functions critical for the project's success.					
PM-32 Subcontractors and External Staff	Evaluate the use of sub-contractors or other external sources of project staff (such as an IS staff member from another State organization) in project development.					
PM-33 Subcontractors and External Staff	Verify that the obligations of sub-contractors and external staff (terms, conditions, statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.) are clearly defined.					
PM-34 Subcontractors and External Staff	Verify that the subcontractors' software development methodology and product standards are compatible with the system's standards and environment.					
PM-35 Subcontractors and External Staff	Verify that the subcontractor has and maintains the required skills, personnel, plans, resources, procedures and standards to meet their commitment. This will include examining the feasibility of any offsite support of the project					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
PM-36 Subcontractors and External Staff	Verify that any proprietary tools used by subcontractors do not restrict the future maintainability, portability, and reusability of the system.					
PM-37 State Oversight	Verify that State oversight is provided in the form of periodic status reviews and technical interchanges.					
PM-38 State Oversight	Verify that the State has defined the technical and managerial inputs the subcontractor needs (reviews, approvals, requirements, and interface clarifications, etc.) and has the resources to supply them on schedule.					
PM-39 State Oversight	Verify that State staff have the ultimate responsibility for monitoring project cost and schedule.					
				Subtotal:		

SAMPLE

2. Quality Management

This Project Health Indicator assesses actual quality management, perception of quality management, and the processes and controls utilized to manage the quality management.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
QA-1 Quality Assurance	Evaluate and make recommendations on the project's Quality Assurance plans, procedures, and organization.					
QA-2 Quality Assurance	Verify that QA has an appropriate level of independence from project management.					
QA-3 Quality Assurance	Verify that the QA organization monitors the fidelity of all defined processes in all phases of the project.					
QA-4 Quality Assurance	Verify that the quality of all products produced by the project are monitored by formal reviews and sign-offs.					
QA-5 Quality Assurance	Verify that project self-evaluations are performed and that measures are continually taken to improve the process.					
QA-6 Quality Assurance	Monitor the performance of the QA contractor by reviewing its processes and reports and					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
	performing spot checks of system documentation; assess findings and performance of the processes and reports.					
QA-7 Quality Assurance	Verify that QA has an appropriate level of independence; evaluate and make recommendations on the project's Quality Assurance plans, procedures, and organization.					
QA-8 Quality Assurance	Verify that the QA vendor provides periodic assessment of the CMM activities of the project.					
QA-9 Quality Assurance	Evaluate if appropriate mechanisms are in place for project self-evaluation and process improvement.					
QA-10 Process Definition and Product Standards	Review and make recommendations on all defined processes and product standards associated with the system development.					
QA-11 Process Definition and Product Standards	Verify that all major development processes are defined and that the defined and approved processes and standards are followed.					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
QA-12 Process Definition and Product Standards	Verify that the processes and standards are compatible with each other and with the system development methodology.					
QA-13 Process Definition and Product Standards	Verify that all process definitions and standards are complete, clear, up-to-date, consistent in format, and easily available to project personnel					
				Subtotal:		

SAMPLE

3. Training

This Project Health Indicator assesses training, the perception of training, and the processes and controls utilized to manage training.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
TR-1 User Training and Documentation	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.					
TR-2 User Training and Documentation	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.					
TR-3 User Training and Documentation	Verify that user-friendly training materials and help desk services are easily available to all users.					
TR-4 User Training and Documentation	Verify that all necessary policy and process and documentation are easily available to users.					
TR-5	Verify that all training is given on-time and is evaluated and					

SAMPLE

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
User Training and Documentation	monitored for effectiveness, with additional training provided as needed.					
TR-6 Developer Training and Documentation	Review and make recommendations on the training provided to system developers					
TR-7 Developer Training and Documentation	Verify that developer training is technically adequate, appropriate for the development phase, and available at appropriate times.					
TR-8 Developer Training and Documentation	Verify that all necessary policy, process, and standards documentation is easily available to developers.					
TR-9 Developer Training and Documentation	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.					
				Subtotal:		

SAMPLE

4. Requirements Management

This Project Health Indicator assesses actual requirements management, the perception of requirements management, and the processes and controls utilized to manage requirements management.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
RM-1 Requirements Management	*Requirement Description*					
RM-2	*Requirement Description*					
RM-3	*Requirement Description*					
RM-4	*Requirement Description*					
RM-5	*Requirement Description*					
				Subtotal:		

SAMPLE

5. Operating Environment

This Project Health Indicator assesses the actual operating environment, the perception of the operating environment, and the processes and controls utilized to manage the operating environment.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
OE-1 System Hardware	*Requirement Description*					
OE-2 System Hardware	*Requirement Description*					
OE-3 System Hardware	*Requirement Description*					
OE-4 System Software	*Requirement Description*					
	Requirement Description					
				Subtotal:		

SAMPLE

6. Development Environment

This Project Health Indicator assesses the actual development environment, the perception of the development environment, and the processes and controls utilized to manage the development environment.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
DE-1 Development Hardware	*Requirement Description*					
DE-2 Development Hardware	*Requirement Description*					
DE-3 Development Hardware	*Requirement Description*					
DE-4 Development Software	*Requirement Description*					
DE-5 Development Software	*Requirement Description*					
				Subtotal:		

SAMPLE

7. Software Development

This Project Health Indicator assesses software development, the perception of software development, and the processes and controls utilized to manage the software development

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
SD-1 High-Level Design	*Requirement Description*					
SD-2 High-Level Design	*Requirement Description*					
SD-3 High-Level Design	*Requirement Description*					
SD-4 High-Level Design	*Requirement Description*					
SD-5 High-Level Design	*Requirement Description*					
				Subtotal:		

SAMPLE

8. System and Acceptance Testing

This Project Health Indicator assesses system and acceptance testing, the perception of system and acceptance testing, and the processes and controls utilized to manage the system and acceptance testing

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
ST-1 System Integration Test	*Requirement Description*					
ST-2 System Integration Test	*Requirement Description*					
ST-3 System Integration Test	*Requirement Description*					
ST-4 System Integration Test	*Requirement Description*					
ST-5 Pilot Test	*Requirement Description*					
				Subtotal:		

SAMPLE

9. Data Management Oversight

This Project Health Indicator assesses data management oversight, the perception of data management oversight, and the processes and controls utilized to manage the data management oversight.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
DM-1 Data Conversion	*Requirement Description*					
DM-2 Data Conversion	*Requirement Description*					
DM-3 Data Conversion	*Requirement Description*					
DM-4 Data Conversion	*Requirement Description*					
DM-5 Database Design	*Requirement Description*					
				Subtotal:		

SAMPLE

10. Operations Oversight

This Project Health Indicator assesses operations oversight, the perception of operations oversight, and the processes and controls utilized to manage operations oversight.

Requirement Item	Requirement Description	Interview Group	BerryDunn Findings	Evidence References	Points Allowed	Points Assessed
OO-1 Operational Change Tracking	*Requirement Description*					
OO-2 Operational Change Tracking	*Requirement Description*					
OO-3 Customer & User Operational Satisfaction	*Requirement Description*					
OO-4 Operational Costs	*Requirement Description*					
OO-5 Operational Documentation	*Requirement Description*					
				Subtotal:		

SAMPLE