A Part 1A — Technical Proposal for

Nevada Department of Health and Human Service, Division of Welfare and Supportive Services

IV&V for Child Support Enforcement (CSE) System Replacement

19 October 2017
Engagement: 330045358
Solicitation Number: RFP 3475

Title Page — Section I

Part IA — Technical Proposal	
RFP Title:	IV&V for Child Support Enforcement System
RFP:	3475
Vendor Name:	Gartner Inc.
Address:	10 Glenlake Parkway Suite 390, Atlanta GA 30328
Opening Date:	10/19/17
Opening Time:	2:00 PM

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10 Glenlake Parkway
Suite 390, Atlanta GA 30328
Telephone: +1 617 851 6800
Facsimile: +1 770 216 8476
gartner.com

Gartner

19 October 2017

Ronda Miller
Purchasing Officer II
Nevada Department of Health and Human Service, Division of Welfare and Supportive Services
515 E. Musser Street, Suite 300
Carson City, NV 89701

Telephone: +1 775 684 0182
Email: rlmiller@admin.nv.gov

Engagement: 330045358 — Solicitation Number: RFP 3475
Re: Part 1A — Technical Proposal for IV&V for Child Support Enforcement (CSE) System Replacement

Dear Ms. Miller:

Gartner, Inc. (Gartner) is pleased to provide the Nevada Department of Health and Human Service, Division of Welfare and Supportive Services (DHHS/DWSS) with this Part 1A — Technical Proposal in response to RFP 3475: IV&V for Child Support Enforcement (CSE) System Replacement. Gartner understands the importance of this effort in order for DHHS/DWSS to include goals.

Gartner understands the value of a third-party vendor to provide objective Independent Verification and Validation (IV&V) for the Design, Development and Implementation (DDI) of the State's Child Support Enforcement System. Gartner brings the proven experience and capabilities essential for meeting the expectations of DHHS/DWSS for the enhanced CSE decision support system as well as the demands and guidelines the State will face from the State's Federal Partner — Office of Child Support Enforcement (OCSE). Our experienced team will provide valuable insight in the area of risk identification and mitigation; compliance with industry best practices for systems development; and compliance with Federal requirements for third-party oversight due to our extensive work in public sector Health and Human Services engagements similar to the CSE System Replacement Project.

Gartner is the world's leading IT research and advisory firm and has been serving the needs of public sector agencies for more than 37 years. In addition to our powerful combination of rigorous thought leadership, independent research, wisdom of practical experience, Gartner brings familiarity with the unique challenges facing Health and Human Services (HHS) agencies based on our significant experience helping public sector agencies (local, state and federal) throughout the nation with innovative approaches for technology enablement to enhance access, outcomes, costs and quality of the full continuum of HHS programs and services.

The Gartner Public Sector Health and Human Services Consulting team proposed for this engagement has demonstrated national leadership in promoting the new era of integrated approaches to HHS enabled by technology as well as demonstrated experience in the CSE Domain and in delivering Program Management, Quality Assurance and Independent Verification and Validation services. Based on our HHS experiences and lessons learned from

Gartner

work on similar projects, we will bring unsurmountable understanding of the challenges, risks and critical success factors for a successful CSE new system. Examples of such experiences include:

- **Arkansas, Florida, Georgia, Tennessee and Texas —** Forensic Assessment of the states' troubled HHS Projects
- **Connecticut, Florida, Georgia, Hawaii, Ohio and Tennessee —** Integrated Health and Human Services Eligibility & Enrollment Go to Market Readiness Assessment, Requirements Development and Procurement Life Cycle Support
- **Vermont — I**ntegrated Health and Human Services Eligibility & Enrollment Project Full Life Cycle Support — Planning, Requirements, Procurement Life Cycle Support and QA/IV&V Oversight (Includes Integrated Eligibility; Health Insurance Exchange, Integrated HHS Solution Pattern, Care Management and Medicaid Modernization)

Gartner not only brings a track record for successfully providing IV&V services for Health and Human Services organizations nationwide, but also proven success in leading large-scale projects on behalf of the State of Nevada. We are currently providing oversight and day-to-day project management for the Nevada's Statewide ERP Project (SMART 21) as well as conducting an independent health assessment for the DMV's $115M SysMod Project. We know the unique aspects of working in Nevada State government and key stakeholders in multiple state departments who will be impacted by the DDI project.

Our offer is valid for 180 days from the submission date of this Part 1A — Technical Proposal. This proposal is submitted under the terms and conditions of Gartner's existing Master Services Agreement with the State of Nevada (CETS #18964) signed by the Board of Examiners on September 12th, 2017. POC: Jeff Haag, State Procurement Officer, jhaag@admin.nv.gov.

Please contact me at +1 617 851 6800 or via email at frank.petrus@gartner.com if you have any questions regarding this Part 1A — Technical Proposal. We thank you for this opportunity and look forward to assisting DHHS/DWSS with this key initiative.

Sincerely,

Frank Petrus

Senior Managing Partner, Public Sector Health and Human Services Practice

Gartner Consulting

Mark Lennon

Managing Partner, State of Nevada

Gartner Consulting

cc: Jay Friedman, Client Executive, Gartner, Inc.

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Gartner has followed the State of Nevada's instructions and added a response after each question/comment in the RFP (per statement 10.1.10 of the RFP). Gartner has updated the questions/statement from the RFP with any changes provided in Amendment 1 and 2. Gartner has provided our IV&V Approach in the Scope of Work section (Section V) and provided responses to all questions related to managing our project (Questions 4.6 through 4.13 of the RFP) in the Preliminary Project Plan (Section VIII).

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1.0 Vendor Information Sheet — Section III

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	Gartner, Inc.

V2	Street Address	4501 N. Fairfax Drive, 8th floor

V3	City, State, ZIP	Arlington, VA 22203

V4	Telephone Number		
	Area Code: 703	Number: 387 5600	Extension: None

V5	Facsimile Number		
	Area Code: 800	328 2084:	Extension: None

V6	Toll Free Number		
	Area Code:	Number: Not Applicable	Extension:

V7	***Contact Person for Questions/Contract Negotiations, including address if different than above***
	Name: Phillip A. Cummings
	Title: Senior Director, Contracts Counsel
	Address: 4501 N. Fairfax Drive, 8th floor, Arlington , VA 22203
	Email Address: phillip.cummings@gartner.com

V8	Telephone Number for Contact Person		
	Area Code: 617	Number: 851 6800	Extension: None

V9	Facsimile Number for Contact Person		
	Area Code: 770	Number: 216 8476	Extension: None

V10	***Name of Individual Authorized to Bind the Organization***	
	Name: Phillip A. Cummings	Title: Senior Director, Contracts Counsel

V11	Signature ***(Individual shall be legally authorized to bind the vendor per NRS 333.337)***	
	Signature: Phillip A. Cummings	Date: October 19, 2017

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2.0 State Documents — Section IV

This section includes all requested "State documents" describe in section 10.2.2.4 of the RFP and includes the following:

- The signature page from all amendments signed by an individual authorized to bind the organization
- Attachment A — Confidentiality and Certification of Indemnification signed by an individual authorized to bind the organization
- Attachment B — Vendor Certifications signed by an individual authorized to bind the organization
- Attachment J — Certification Regarding Lobbying signed by an individual authorized to bind the organization
- Copies of any vendor licensing agreements and/or hardware and software maintenance agreements
- Copies of applicable certifications and/or licenses

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Signature Pages of All Amendments

State of Nevada
Department Administration
Purchasing Division
515 E. Musser Street, Suite 300
Carson City, NV 89701

Brian Sandoval
Governor

Jeffrey Haag
Administrator

SUBJECT:	Amendment 1 to Request for Proposal 3475
RFP TITLE:	**Independent Verification & Validation (IV&V) for Child Support Enforcement (CSE) System Replacement**
DATE OF AMENDMENT:	September 15, 2017
DATE OF RFP RELEASE:	August 21, 2017
OPENING DATE:	October 19, 2017
OPENING TIME:	2:00 PM
CONTACT:	Ronda Miller, Procurement Staff Member

The following shall be a part of RFP 3475***.*** If a vendor has already returned a proposal and any of the information provided below changes that proposal, please submit the changes along with this amendment. You need not re-submit an entire proposal prior to the opening date and time.

ALL ELSE REMAINS THE SAME FOR RFP 3475.

Vendor must sign and return this amendment with proposal submitted.

Vendor Name: Gartner, Inc.

Authorized Signature: Frank Petrus

Title: Senior Managing Partner Date: October 18 2017

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

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State of Nevada
Department Administration
Purchasing Division
515 E. Musser Street, Suite 300
Carson City, NV 89701

Brian Sandoval
Governor

Jeffrey Haag
Administrator

SUBJECT:	Amendment 2 to Request for Proposal 3475
RFP TITLE:	**Independent Verification & Validation (IV&V) for Child Support Enforcement (CSE) System Replacement**
DATE OF AMENDMENT:	September 29, 2017
DATE OF RFP RELEASE:	August 21, 2017
OPENING DATE:	October 19, 2017
OPENING TIME:	2:00 PM
CONTACT:	Ronda Miller, Procurement Staff Member

ALL ELSE REMAINS THE SAME FOR RFP 3475.

Vendor must sign and return this amendment with proposal submitted.

Vendor Name:	Gartner Inc		
Authorized Signature:	Frank Petrus		
Title:	Senior Managing Partner	Date:	October 18, 2017

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

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Confidentiality and Certification of Indemnification — Attachment A

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	✓
Justification for Confidential Status			
Part III — Confidential Financial Information			
YES		NO	✓
Justification for Confidential Status			

Gartner, Inc.

Company Name

Signature

Frank Petrus, Senior Managing Partner

Print Name

October 18, 2017

Date

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

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Vendor Certifications — Attachment B

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.

Gartner, Inc

Vendor Company Name

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Vendor Signature	
Frank Petrus, Senior Managing Partner	October 18., 2017
Print Name	Date

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

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Certification Regarding Lobbying — Attachment J

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

Frank Petrus

Signature of Official Authorized to Sign Application — Date

For: Gartner, Inc.

Vendor Name

IV&V for Child Support Enforcement (CSE) System Replacement.

Project Title

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

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2.1 Vendor Licensing Agreements/Hardware and Software Maintenance Agreements

Gartner does not hold any vendor licensing agreements or hardware and software maintenance agreements that are applicable to this scope of work.

2.2 Applicable Certifications/Licenses

This section includes applicable certifications held by the personnel proposed to deliver the services outlined in the State's RFP.

Richard Bateman

Project Management Institute

This is to certify that

Richard G. Bateman

has successfully completed all prescribed requirements and is hereby designated as a

Project Management Professional

13 November 2007 – 31 December 2010

PMP Since: 13 November 2007

In testimony whereof, we have subscribed our signatures under the seal of the Institute.

Linda Vella
Chair, Board of Directors

Chief Executive Officer

PMP Number: 494600

Project Management Institute

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Michael Leitch

Project Management Institute

This is to certify that

Michael Leitch

has successfully completed all prescribed requirements and is hereby designated by the Project Management Institute

as a

Project Management Professional

8 November 2003 - 31 December 2006

In testimony whereof, we have subscribed our signatures under the seal of the Institute.

Certification Number: 78157

Chair, Board of Directors

Chief Executive Officer

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Best Practice

OGC

Office of Government Commerce

APM GROUP

This is to Certify that

Michael Leitch

Passed

the PRINCE2

Foundation Examination

Date: 16 November 2005

Registration No: P2R/132567

Executive Director:

PRINCE2™

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Gartner

Kevin Chartrand

HIMSS CPHIMS
Certified Professional in Healthcare Information & Management Systems

Kevin Chartrand

Has successfully completed all requirements and is hereby designated a

Certified Professional in
Healthcare Information and Management Systems

April 14, 2015 - April 30, 2018

In witness thereof, the undersigned have affixed their signatures

Michael H. Zaroukian, MD, PhD, FACP, FHIMSS
Chair, HIMSS Board of Directors

Hal Wolf
President & CEO HIMSS

Certificate # 000700205547

Project Management Institute

THIS IS TO CERTIFY THAT

Kevin Chartrand

HAS BEEN FORMALLY EVALUATED FOR DEMONSTRATED EXPERIENCE, KNOWLEDGE AND PERFORMANCE IN ACHIEVING AN ORGANIZATIONAL OBJECTIVE THROUGH DEFINING AND OVERSEEING PROJECTS AND RESOURCES AND IS HEREBY BESTOWED THE GLOBAL CREDENTIAL

Project Management Professional (PMP)®

IN TESTIMONY WHEREOF, WE HAVE SUBSCRIBED OUR SIGNATURES UNDER THE SEAL OF THE INSTITUTE

Mark Dickson • Chair, Board of Directors

Mark A. Langley • President and Chief Executive Officer

PROJECT MANAGEMENT INSTITUTE CORPORATE SEAL 1969 PENNSYLVANIA

PMP® Number: 1355262
PMP® Original Grant Date: 28 August 2010
PMP® Expiration Date: 27 August 2019

PMI Project Management Institute

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Kemper Garland

Project Management Institute

THIS IS TO CERTIFY THAT

Garland Kemper

HAS BEEN FORMALLY EVALUATED FOR DEMONSTRATED EXPERIENCE, KNOWLEDGE AND PERFORMANCE IN ACHIEVING AN ORGANIZATIONAL OBJECTIVE THROUGH DEFINING AND OVERSEEING PROJECTS AND RESOURCES AND IS HEREBY BESTOWED THE GLOBAL CREDENTIAL

Project Management Professional (PMP)®

IN TESTIMONY WHEREOF, WE HAVE SUBSCRIBED OUR SIGNATURES UNDER THE SEAL OF THE INSTITUTE

Mark Dickson • Chair, Board of Directors

Mark A. Langley • President and Chief Executive Officer

PROJECT MANAGEMENT INSTITUTE CORPORATE SEAL 1969 PENNSYLVANIA

PMP® Number: 1581486
PMP® Original Grant Date: 01 March 2013
PMP® Expiration Date: 28 February 2019

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3.0 Scope of Work — Section V

3.1 SCOPE OF WORK

3.1.1 The scope of work is broken down into tasks, activities and deliverables. The tasks and activities within this section are not necessarily listed in the order that they should be completed. Vendors must reflect within their proposal and preliminary project plan their recommended approach to scheduling and accomplishing all tasks and activities identified within this RFP.

Gartner's proposal has included an overview of our IV&V project approach in response to question 3.2.1 and a discussion of each phase in response to questions 3.4, Project Kick-Off, 3.5, Planning and Administration and Section 3.6 IV&V Activities. In Section VIII Gartner has included a preliminary project plan which captures the sequencing of tasks, activities and deliverables. How these activities will be managed and controlled is outlined in our response to questions 4.6, Preliminary Project Plan, 4.7, Project Management, 4.8 Quality Assurance and 4.9 Metrics Management.

3.1.2 The vendor will perform all IV&V responsibilities defined in this RFP throughout the term of the contract. The vendor is expected to actively participate in all meetings and to contribute IV&V expertise to all phases of the State's Child Support Enforcement (CSE) System Replacement Project (the Replacement Project).

As outlined in our approach, Gartner will actively participate in all meetings required to meet the goals, objectives and requirements of this solicitation during the IV&V Report development period (see question 16 of Amendment 1).

3.1.3 The IV&V services will follow industry standard methodologies and approaches, and will consist at least of the services described below. All bidders are urged to demonstrate added value in their proposals by recommending IV&V services not addressed below.

Gartner has included an overview of our approach which aligns with industry standard methodologies and approaches and has been tailored to accommodate key lessons learned from the hundreds of engagements Gartner Consulting performs and learnings from Gartner research. As such, it includes additional activities which Gartner has found valuable in providing oversight services.

3.1.4 The definition of activities included under software V&V is necessarily quite broad, and includes both technical and management-based activities. The Federal approach to V&V differs somewhat from the international standard for software V&V, namely that found in the Institute of Electrical and Electronic Engineers (IEEE) Standard for Software Verification and Validation (IEEE Std 1012-2004). Contrary to the international standard, Federal V&V does not require a continuous on-site presence or extensive testing, nor does it perform actual quality assurance activities or other remediation activities. It instead imposes periodic reviews of software development projects that include site visits employing various industry standards to conduct artifact analysis with interviews of a project's team and stakeholders in order to fashion a comprehensive "snapshot" of a project's management and technical processes at work at a given point-in-time.

Gartner's approach is focused around producing periodic IV&V reports rather than a continuous on site presence. This is Gartner's typical approach and, over the course of our engagements, has refined the approach to ensure our recommendations are impactful while focusing our time with the project team to minimize the impact on project delivery.

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3.1.5 The frequency of IV&V oversight services under this procurement, resulting in a report of findings and recommendations has been determined to be Semi-Annual. Any bidder whose proposal suggests a constant presence on or within the Replacement Project will likely find their costs unnecessarily higher than those of a bidder who proposes to accomplish the same mission (from IV&V review initiation to final report delivery and presentation) within the otherwise defined, periodic time frame of semi-annual. For purposes of this solicitation, we believe the vendor's periodic IV&V reviews should each take no longer than an eight to ten-week time frame from initiation through to final report delivery and presentation. Further, though a bidder may indeed find need of multiple disciplines in the conduct of each periodic IV&V review, great care should be taken in the formulation of its overall project work plan and proposal not to propose unnecessary layers of management and contract oversight. From the State's perspective, excessive management staffing in an offer's IV&V review team is neither desirable nor appropriate, and should be avoided.

Gartner's approach aligns with this requirement. Please refer to our response to Question 3.1.4.

3,1,6 The vendor must develop and execute all project tasks and activities in accordance with industry best practices and at minimum, standards that are included in Table 1 below.

Table 1. Standards and Requirements (Table 4-1)

Practice Area	Standard/Reference	Name/Subject
Project Management	IEEE 1490-2003 PMI PMBOK	■ Adoption of Project Management Institute (PMI) Standard
Software Project Management	IEEE 1058-1998 IEEE 12207-2008	■ S/W Project Management Plan (SPMP) ■ Information Technology — Software life cycle processes
IT/Software Design and Development	IEEE 1063-2001 IEEE 1471-2000 IEEE 2001-1999	■ Standard for S/W User Documentation ■ Recommended Practice for Architectural Description (AD) of S/W Intensive Systems ■ Recommended Practice for Intranet Practices — web Page Engineering — Intranet/Extranet Applications
Work Breakdown Structure	PMI Practice Standard	■ PMI Practice Standard for Work Breakdown Structure (WBS)
Risk Management	ISO/IEC 16085-2006	■ Risk Management
Requirements Management	IEEE 830-1998 IEEE 1233-1998	■ Recommended Practice for S/W Requirements Specification ■ Guide for Developing System Requirements Specifications (SyRS)
Configuration Management	IEEE Std 828-2005	■ S/W Configuration Management
Quality Management	IEEE 730-2002 IEEE 1012-2004 IEEE 1028-2008 IEEE 1061-1998	■ Quality Assurance Plan ■ S/W Verification and Validation ■ Standard for Software Reviews and Audits ■ Quality Metrics Methodology
Test Strategy & Plans	IEEE 829-1998 IEEE 1008-1987	■ Standard for Test Documentation ■ Software Unit Testing

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Practice Area	Standard/Reference	Name/Subject
S/W Maintenance and Operations	IEEE Std 14764-2006	■ Software Engineering — Software Life Cycle Processes — Maintenance

Gartner is familiar with these standards and they are integrated into our assessment approach, framework and methodology.

3.1.7 Further, the IV&V Service Provider will employ the Capability Maturity Model Integrated (CMMI), and the Project Management Institute's Project Management Body of Knowledge (PMBOK) Fifth Edition, and the PMBOK — Government Extension, as additional standards by which to assess the Replacement Project. Vendors must clearly and thoroughly describe in their technical response, their approach to using, at a minimum, these three industry standards (CMMI, PMBOK, IEEE). Where an vendor has a similar, corresponding, but different set of minimum standards than those cited above, the vendor will be expected to cross-reference or otherwise map how their own standards meet the same level of detail and scope of review as the industry standards for IV&V cited herein (e.g., CMMI, PMBOK and IEEE.) Failure to provide this cross-referencing of standards in the vendor's proposal will be deemed as being non-responsive to this solicitation for purposes of evaluation of the vendor's proposal

Gartner is familiar with these standards and they are integrated into our assessment approach, framework and methodology.

3.1.8 Using predefined checklists and similar tools founded on industry standards, the IV&V Service Provider staff will interview and observe State's Replacement Project management staff, CSEP staff, the State's Replacement Project vendor staff (including any sub-contractors), observe project meetings and activities to understand the processes, procedures, and tools used in the Replacement Project environments, and review and analyze for adherence to accepted, contractually-defined industry standards all applicable and available documentation. As a result of these interactions and reviews of the applicable Replacement Project documentation, the IV&V Service Provider will produce a structured, exception-based semi-annual assessment report that objectively illustrates the strengths and weaknesses of the Project. The IV&V Service Provider will also provide recommendations for correcting the weaknesses that the assessment reports identify.

As outlined in our IV&V project approach (responses to questions 3.2.1 Scope of Work, 3.4, Project Kick-Off, 3.5, Planning and Administration and Section 3.6 IV&V Activities) Gartner will leverage an approach which will produce a structured, exception-based semi-annual assessment report that objectively assess the project. Gartner has also found our approach, teamed with seasoned practitioners, results in actionable recommendations that are adopted by the project team rather than recommendations which the project team is reluctant to implement as they will not improve project performance and/or address key project risks. Our approach focuses on identifying early indicators and making recommendations to address issues before they impact project performance.

3.1.9 To ensure the independence of the IV&V effort, all deliverables will be submitted concurrently to OCSE when a copy is transmitted to the cognizant State IV&V Contract Officer. This includes all work plans, review checklists, Deliverables Observation Review (DOR) reports, and draft and final IV&V Review reports. Final documents will likewise be delivered to OCSE by the IV&V Service Provider at the same time that they are submitted to the IV&V Contract Officer, DHHS and DWSS.

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Gartner anticipates submitting deliverables concurrently to OCSE and to the cognizant State IV&V Contract Officer concurrently.

3.1.10 IV&V services will be performed periodically, through performance of semi-annual IV&V reviews, as part of a larger oversight role of the day-to-day operations and management of the Replacement Project by State and Federal entities. To support the IV&V Service Provider in this role in a timely manner, the IV&V Service Provider shall have complete access to State's Replacement Project documents, facilities, and staff during normal business hours as required to carry out their oversight role. The IV&V Service Provider shall have access to all key staff on site at the State's Replacement Project location(s) daily, as needed to observe meetings, review deliverables and documentation, conduct interviews, etc., in order to ensure a high level of integrity and confidence in the IV&V Service Provider's State's Replacement Project oversight and monitoring.

Access to documentation, meetings and personnel are integral to the successful execution of our approach.

3.1.11 The IV&V project is broken down into the following tasks and activities that will be explained in detail within the following sections. The tasks and activities within this section are not necessarily listed in the order that they should be completed. Vendors must reflect within their proposal and preliminary project plan their recommended approach to scheduling and accomplishing all tasks and activities identified within this RFP. The tasks and their activities are:

Gartner understands the tasks outlined below and has included these tasks in our IV&V project approach (responses to questions 3.2.1 Scope of Work, 3.4, Project Kick-Off, 3.5, Planning and Administration and Section 3.6 IV&V Activities) and our Project Plan in Section VIII.

3,1,11,1 Planning and Administration

a. Create a detailed project pla
b. Attend monthly project status meetings
c. Attend requested IV&V project meetings & Steering Committee meetings
d. Provide monthly status reports
e. Create IV&V checklists
f. Create invoices

IV&V Activities

a. Conduct initial IV&V review
b. Create Initial IV&V Review Report
c. Conduct periodic IV&V reviews
d. Create Periodic IV&V Review Reports
e. Conduct formal briefings regarding IV&V Review Reports
f. Create Deliverable Observation Reports (DOR)
g. Provide a document archive

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3.1.12 Section 3.6.3 provides categorized detailed IV&V requirements which the vendor must meet in accomplishing the tasks and activities above. The requirement categories are:

3.1.12.1 IV&V Project Management

3.1.12.2. Planning Oversight

3.1.12.3. Replacement Project Management

3.1.12.4. Quality Management

3.1.12.5. Training

3.1.12.6. Requirements Management

3.1.12.7. Operating Environment

3.1.12.8. Development Environment

3.1.12.9. Software Development

3.1.12.10. System and Acceptance Testing

3.1.12.11. Data Management

3.1.12.12. Operations Oversight

3.2 VENDORS RESPONSE TO SCOPE OF WORK

3.2.1 Within the proposal, vendors must provide information regarding their approach to meeting the requirements described within Sections 3.4 through 3.6.

3.1 Gartner's Approach to the Scope of Work

Gartner has included an overview of our IV&V project approach in our response to question 3.2.1 Scope of Work and details of each phase in our response to section 3.4, Project Kick-Off, 3.5, Planning and Administration and Section 3.6 IV&V Activities).

The State of Nevada published this competitive RFP to identify a vendor to provide IV&V services with the objectives of:

- ***Verification to assure that the system activities/results for each development step, including steps by other vendors and DWSS, conforms according to specifications and requirements***
- ***Validation to ensure that the developed system functionality will comply with the current and planned needs of the Child Support Enforcement Program (CSEP)***
- ***Consulting services in support of the IV&V process and overall project efforts***

Over the past 25 years Gartner has refined our approach to providing IV&V services to ensure our approach meets our clients' objectives. Gartner's approach leverages check-lists and other standard tools to validate and verify other vendors are performing tasks according to best practices and standards and reporting project status. But Gartner has found the real value of IV&V services is not simply reporting project status but it is increasing the potential for project success — by assessing whether the functionality being built will meet the business' needs and identifying risks (which the project team may miss due to their focus on project activities) early and provide recommendations to address these risks. These are aligned with DWSS' objectives of this project and Gartner's approach is defined to ensure the maximum value is provided to the project team while minimizing the impact on project execution.

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Gartner's approach is more than just completing check lists — check lists assess performance against a generic set of standards. Gartner's approach focuses on improving project performance including:

- ***Identifying "leading indicators" of major project performance issues and focus on addressing these issues before they have a significant impact on project performance***
- ***Interpreting the data collected for the project's unique environment and assessing which and the highest priority/have the greatest impact on the project performance***
- ***Developing actionable, impactful and realistic recommendations to address the most important findings in addition to developing checklists of activities the project should do to conform to standards***

Gartner believes this approach, when executed by seasoned consultants, is the only way to realize the benefits DWSS outlined in the RFP. Following this approach has proven to provide significant value to both HHS clients and the State of Nevada.

Gartner has adopted a proven, structured approach for performing Independent Validation and Verification (IV&V) and quality assurance services that is consistent with standards established by the Institute of Electrical and Electronics Engineers, Inc. (IEEE) and the Project Management Institute (PMI). We have worked with many local, state and commercial (and private sector) organizations to provide IV&V and Quality Assurance (QA) services support throughout the entire life cycle of system implementations and we bring to the Child Support Enforcement System Replacement Project a complete understanding of the standards, practices and conventions necessary to support enterprisewide, cross-functional system implementations.

Our IV&V methodology is tightly integrated with overall project management objectives. This methodology includes understanding and managing customer satisfaction, requirements and benefits expectations; providing risk mitigation strategies that focus on avoiding problems rather than correcting them; providing value-enhancing strategies that focus on optimizing benefits; clearly communicating responsibilities; and ensuring that the project has appropriate resources to succeed in a timely and cost-effective manner.

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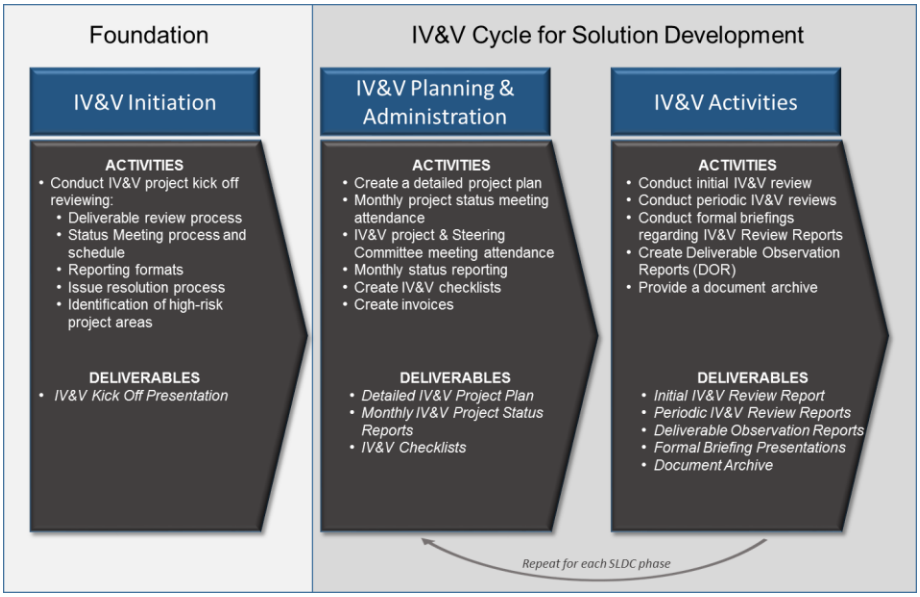
Figure 1. Gartner IV&V Methodology



Our approach to Independent Verification and Validation services is designed to oversee and enhance the Child Support Enforcement System Replacement vendors' project approach and internal State of Nevada QA activities. We will integrate IV&V activities into the solutions development life cycle of the Child Support Enforcement System Replacement implementation vendor to ensure integrated and iterative tracking of issues and risks, leveraging of lessons learned to strengthen future project phases and deliverables. Therefore, we will focus on several objectives:

- ***Ensuring that the Child Support Enforcement System Replacement Project managers and sponsors always have an accurate picture of overall project status and progress***
- ***Identifying and effectively managing project risks***
- ***Validating that the project, and the SI Vendors, are complying with appropriate State policies and procedures***
- ***Applying industry standard and best practices to the project's management and development processes***

For reference, Figure 1 provides an illustration of the overall Gartner framework for Quality Assurance of the Child Support Enforcement System Replacement Project.

Gartner's IV&V Services will provide third party, independent assessments and reviews of project processes and deliverables intended to ensure project success by assessing the project against generally accepted project management guidelines and Gartner best practices.

As depicted in the figure below, Gartner IV&V Services will also minimize project risk across various focus areas through risk assessment and mitigation recommendations.

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Figure 2. Identification of Early Risk Indicators Across Various Focus Areas

Project Management	Project Composition/Parameters • Business Case • Project Definition • Project Objectives • Value Metrics Defined	Management Focus • Leadership • PM Authority • PM Communication • Delivery Commitment	Project Team Focus • Experience of Team Members • Team Member Availability • Team Productivity • Governance Process
Financial Management	• Budget and Resource Size • Cost Controls	• Defined Benefits • Business Case Socialization • Earned Value Assessment	• Deliverables Based Payments
Performance Management	• Independent Project Oversight • Phase Entry and Exit Criteria • Delivery Standards	• Quality Gates • Executive Oversight • Vendor Management	• Quality Compliance • Schedule Compliance • Budget Compliance
Solution Management	• Requirement Stability • Requirement Completeness/Clarity • Testability	• Design Difficulty/Complexity • Implementation Difficulty/Complexity • System Dependencies	• Security Requirements • Value Realization Metrics • System Validation Plan • Readiness Plan • Post Implementation Assessment Process
Change Management	• Organizational Stability • Executive Involvement • Clear Sponsorship/Ownership	• Organizational Experience • User Involvement • User Acceptance	• User Training Defined • Internal Communications • External Communications
Governance	• Political Influences • Existing Governance Structures	• Clear Decision Making Process • Escalations Process	• Working Steering Committee • Executive Steering Committee

Accordingly, Gartner's methodology includes three types of reviews:

- ***Initial IV&V Assessment and Evaluation — Assessment and Evaluation of the project management, Project approach and processes in use on the project***
- ***Periodic IV&V Reviews — Evaluation of the effectiveness of the ongoing project management activities (both the organization and their selected SI vendor(s) involved in the project)***
- ***Ongoing Project Deliverables Reviews — Evaluation and review of key project deliverables (Deliverable Observation Reports)***

While producing the IVV Reports, we will review the Deliverable Expectation Documents (DEDs) and implementation project deliverables, and providing feedback to the project team.

Gartner will conduct an initial baseline assessment of the Child Support Enforcement System Replacement Vendor's project plans, followed by multiple interim, twice-yearly IV&V Reviews, though Gartner typically aligns these with implementation milestones to minimize the impact on the implementation project team and deliver the most value. Gartner's core team will provide consistency throughout the life of the project and will support the recommendations that come out of our IV&V analysis.

In the CSE Replacement Project IV&V Review Gartner will:

- ***Conduct an initial, baseline assessment of the overall health and risk level of the Child Support Enforcement System Replacement project***
- ***Perform additional IV&V Reviews as an ongoing assessment of the overall health and risk level of the CSE System Replacement project as it changes over time from the Initial IV&V Review and subsequent, twice-yearly IV&V Reviews***
- ***Identify the sources of the Project risk and provide recommended mitigation strategies***

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- ***Provide recommendations to support the Project team's continuous improvement of operations***
- ***The Initial Project IV&V Review is based on:***
  - ***Fact finding activities including documentation reviews, project and program meeting participation and on-site interviews focused on the Project's current issues, risks areas, and progress to-date***
  - ***Application of Gartner tools and methodologies including defined standards and best practices***

Our IV&V Reviews focus on the Project's capacity to govern and manage the initiative with specific attention to the following areas:

- ***Business Value (Benefit Specification); Project Prioritization; Complexity Control; Ongoing Cost Management; Gap Management; Value Management)***
- ***Budget and Schedule (Project Management; Project Plan; Project Resources; Budget Management; Scope & Change Management; Risk Management)***
- ***Operations (Project Administration; Vendor Support; Information Management; IT Support)***
- ***Organization (Project Governance; Communications; User Involvement; Organizational Change Management)***
- ***External Risk (From other State Entities; Federal Partners; or other external sources)***

Gartner has found that focusing on the areas (and the associated sub-areas) for the entire project rather than focusing on specific phases of the project not only capture the project status on key items but also identify risks early, significantly increasing the impact our recommendations have on the project team's performance — this approach identifies early indicators of future performance issues. Combine this with our experienced staff, and we identify the root cause of the issues and recommend resolution. For example, if the project is struggling to get the Governance Body Charter approved, this might be an indicator the structure of the governance body is incorrect.

3.2.2 If subcontractors will be used for any of the tasks, vendors must indicate what tasks and the percentage of time subcontractor(s) will spend on those tasks.

Gartner will be the primary contractor and no Subcontractors will be used for any of the tasks to complete this project.

3.2.3 Vendor's response must be limited to no more than five (5) pages per task not including appendices, samples and/or exhibits.

Gartner's proposal does not exceed this page limit (as clarified in question 13 of Amendment 1).

3.2.4 Within the proposal, vendors must provide information demonstrating their ability to perform the following activities, which are the same as those stated in Federal regulations at 45 CFR Part 307.15:

3.2.4.1 Develop a project work plan. The plan must be provided directly to the cognizant Federal Office at the same time it is given to the State.

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3.2.4.2 Review and make recommendations on both the management of the State's Replacement Project, both State and vendor, and the technical aspects of the State's Replacement Project. The results of this analysis must be provided directly to the cognizant Federal Office at the same time it is given to the State.

3.2.4.3 Consult with all stakeholders and assess the user involvement and buy-in regarding system functionality and the system's ability to meet program needs.

3.2.4.4 Conduct an analysis of past State's Replacement Project performance (schedule, budget) sufficient to identify and make recommendations for improvement.

3.2.4.5 Provide a risk management assessment and capacity planning services.

3.2.4.6 Develop performance metrics which allow tracking of State's Replacement Project completion against milestones set by the State.

Gartner is familiar with 45 CFR Part 307.15 as it relates to an IV&V vendor on a Federally approved IAPD. Gartner's approach, captured in this proposal, meets these expectations.

3.2.4.7 The vendor must also provide information that demonstrates that they possess the corporate knowledge and experience demonstrating the following capabilities and capacities:

A. Develop a project management plan, including recommendations for: adequate staff; staff skills, positions and abilities; equipment resources; training and facilities; and functional responsibility and authority within a structured project organization.
B. Analyze State's Replacement Project management; evaluate State's Replacement Project progress, resources, budget, schedules, workflow and reporting.
C. Review and analyze State's Replacement Project management planning documents.
D. Review and analyze State's Replacement Project software development documents.
E. Review and monitor development processes to ensure they are being documented, carried out, and analyzed for improvement.
F. Assess the State's Replacement Project's Configuration Management (CM) function/organization by reviewing CM reports and making recommendations regarding appropriate processes and tools to manage system changes.
G. Perform detailed reviews of State's Replacement Project deliverables for accuracy, completeness, and adherence to contractual and functional requirements.
H. Perform detailed reviews of the system documentation (Requirements, Design, Training, Test, and Management Plans, etc.) for accuracy and completeness.
I. Perform detailed reviews of the software architecture for feasibility, consistency, and adherence to industry standards.
J. Inventory and review the application software for completeness and adherence to programming standards for the State's Replacement Project.
K. Analyze application, network, hardware and software operating platform performance characteristics relative to expected/anticipated/contractually guaranteed results and industry standards/expectations.

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L. Review the process for tracking of business and technical requirements to their source and review the process established during the planning phase for requirements traceability throughout the subsequent development/implementation phase. Review the traceability of system requirements to design, code, test, and training.

M. Assess and recommend improvement, as needed, to assure maintenance of a data center, including data center input to the State's Replacement Project regarding operational and maintenance performance of the application.

N. Assess and recommend improvement, as needed, to assure software testing is being performed adequately through review of test plans or other documentation and through direct observation of testing where appropriate, including participation in and coordination of peer reviews.

O. Assess and recommend improvement, as needed, to assure appropriate user and developer training is planned and carried out.

P. Review system hardware and software configuration and report on any compatibility and obsolescence issues.

Q. Review and analyze system capacity studies.

Gartner is the global leader in IT research and advisory services (see Section VI). This corporate knowledge will be leveraged by our experienced staff assigned to this project (see Section VII). The proposed project team has over 60 years of experience performing a variety of roles implementing major IT projects and have provided oversight services on multiple successful projects. These experiences exceed those required to provide oversight over the tasks listed above and manage the IV&V project.

3.3 DELIVERABLE SUBMISSION AND REVIEW PROCESS

Once the detailed project plan is approved by the State, the following sections detail the process for submission and review of deliverables during the life of the project/contract.

The following sections detail the process for submission and review of deliverables during the life of the IV&V project/contract.

3.3.1 General

3.3.1.1. All deliverables, reports, analyses, etc., whether in draft or final, must be delivered by the IV&V Service Provider directly to the Federal OCSE at the same time they go to the State.

A. In this regard, in addition to the Federal OCSE, the IV&V Service Provider should ensure delivery to the IV&V Contract Officer who is the State entity responsible for IV&V deliverables dissemination to the State's Project, Agency, Departmental, and Stakeholder personnel.

B. The State may not modify, or reject any IV&V Review Report beyond recommendations to emend mistakes of fact.

C. State comments to all IV&V Review Report findings will only be appended to the respective report.

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Gartner will meet this requirement and our approach accommodates this approach to managing feedback.

3.3.1.2 The deliverables for this contract shall be provided in hardcopy form and on electronic media, using the following software standards (or lower convertible versions):

A. Word Processing — Microsoft Word 2003, or newer
B. Spreadsheets — Microsoft Excel 2003, or newer
C. Graphics — Microsoft PowerPoint 2003, or newer
D. Project Management — Microsoft Project 2003, or newer
E. As previously stated, all drafts and final deliverables shall be provided to the Federal OCSE at the same time they are provided to the State (e.g., IV&V Contract Officer). The State cannot modify or reject a report prior to submission

Gartner will provide hard and soft copies of our deliverables to the appropriate using the software listed above.

3.3.1.3 All deliverables shall be approved by the State in order for the task which produced them to be considered complete. In all cases, payments to the IV&V provider shall be contingent upon State approval of deliverables. No review will be considered complete until the approved documentation is delivered to and reviewed by the cognizant Federal OCSE and the State.

Gartner will follow this approach.

3,3,1,4 Draft documents will be reviewed by OCSE. OCSE will provide back comments and priorities to be incorporated into the deliverable. The vendor will revise the deliverable and provide it to the IV&V Contract Officer for release to the Replacement Project and DWSS five (5) calendar days after receipt of OCSE's comments and priorities.

Gartner will follow this approach.

3.3.1.5 The Replacement Project and DWSS comments to the draft version of the Periodic IV&V Review Report will be returned to the IV&V Service Provider within 20 calendar days of receipt of the draft version of the deliverable.

Gartner will follow this approach.

3,3,1,6 Subsequent to the State's review the IV&V Service Provider will correct mistakes of fact to the draft version of the respective deliverable, and append to the draft version all other comments, and redeliver the deliverable, marked as Final, to OCSE and the IV&V Contract Officer for dissemination to the Replacement Project and DWSS.

Gartner will follow this approach.

3.3.2 Deliverable Submission

3.3.2.1 Prior to development and submission of each contract deliverable, a summary document containing a description of the format and content of each deliverable will be delivered to the State IV&V Project Manager for review and approval. The summary document must contain, at a minimum, the following:

A. Cover letter;
B. Table of Contents with a brief description of the content of each section;

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C. Anticipated number of pages; and
D. Identification of appendices/exhibits.

Gartner will follow this format. Gartner anticipates collaborating with stakeholders to finalize this format while initiating the project.

3.3.2.2 The summary document must contain an approval/rejection section that can be completed by the State and OCSE. The summary document will be returned to the contractor within a mutually agreed upon time frame.

Gartner will follow this format. Gartner anticipates collaborating with stakeholders to finalize this format while initiating the project.

3.3.2.3 Deliverables must be developed by the contractor according to the approved format and content of the summary document for each specific deliverable.

Gartner will follow this format. Gartner anticipates collaborating with stakeholders to finalize this format while initiating the project.

3.3.2.4 Deliverables must be submitted no later than 5:00 PM, per the approved contract deliverable schedule and must be accompanied by a deliverable sign-off form (refer to Attachment F ~ Project Deliverable Sign-Off Form) with the appropriate sections completed by the contractor.

Gartner agrees to this timeline

3.3.3. Deliverable Review

3.3.3.1 General

A. As previously stated, the State's review may correct errors of fact and provide comments which the IV&V provider will append to the deliverable. The IV&V vendor will provide the deliverable to the IV&V Contract Officer for dissemination to the Replacement Project and DWSS five (5) days after OCSE provides comments and priorities to the IV&V vendor. The vendor will incorporate OCSE's comments and priorities prior to the State's review.
B. The State's review time begins on the next working day following receipt of the deliverable.
C. The State's review time will be determined by the approved and accepted detailed project plan and the approved contract.
D. Any subsequent deliverable dependent upon the State's acceptance of a prior deliverable will not be accepted for review until all issues related to the previous deliverable have been resolved.
E. After review of a deliverable, the State will return to the contractor the project deliverable sign-off form with the deliverable submission and review history section completed.

Gartner agrees to this approach.

3.3.3.2 Accepted

A. If the deliverable is accepted, the original deliverable sign-off form signed by the appropriate State representatives will be returned to the contractor.

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B. Once the contractor receives the original deliverable sign-off form, the State can then be invoiced for the deliverable (refer to Section 8, Financial).

Gartner agrees to this approach.

3.3.3.3 Comments/Revisions Requested by the State

If the State has comments and/or revisions to a deliverable, the following will be provided to the contractor:

C. The original deliverable sign-off form with an updated entry to the deliverable submission and review history section.

D. Attached to the deliverable sign-off form will be a detailed explanation of the revisions to be made and/or a marked up copy of the deliverable.

E. The State's first review and return with comments will be completed within the times specified in the contract.

F. The contractor will have five (5) working days, unless otherwise mutually agreed to, for review, acceptance and/or rejection of the State's comments.

G. A meeting to resolve outstanding issues must be completed within three (3) working days after completion of the contractor's review or a mutually agreed upon time frame.

H. Agreements made during meetings to resolve issues must be documented separately.

I. Once an agreement is reached regarding changes, the contractor must incorporate them into the deliverable for resubmission to the State.

J. All changes must be easily identifiable by the State.

K. Resubmission of the deliverable must occur within five (5) working days or a mutually agreed upon time frame of the resolution of any outstanding issues.

L. The resubmitted deliverable must be accompanied by the original deliverable sign-off form.

M. This review process continues until all issues have been resolved within a mutually agreed upon time frame.

N. During the re-review process, the State may only comment on the original exceptions noted.

O. All other items not originally commented on are considered to be accepted by the State.

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P. Once all revisions have been accepted, the original deliverable sign-off form signed by the appropriate State representatives will be returned to the contractor.

Q. The vendor will deliver the updated version of the deliverable, marked as Final, to OCSE and the IV&V Contract Officer for dissemination to the Replacement Project and the DWSS.

R. Once the contractor receives the original deliverable sign-off form, the State can then be invoiced for the deliverable (refer to Section 7, Financial).

Gartner agrees to this approach and has outlined the approach in the Project Plan (Section VIII) captured in this proposal.

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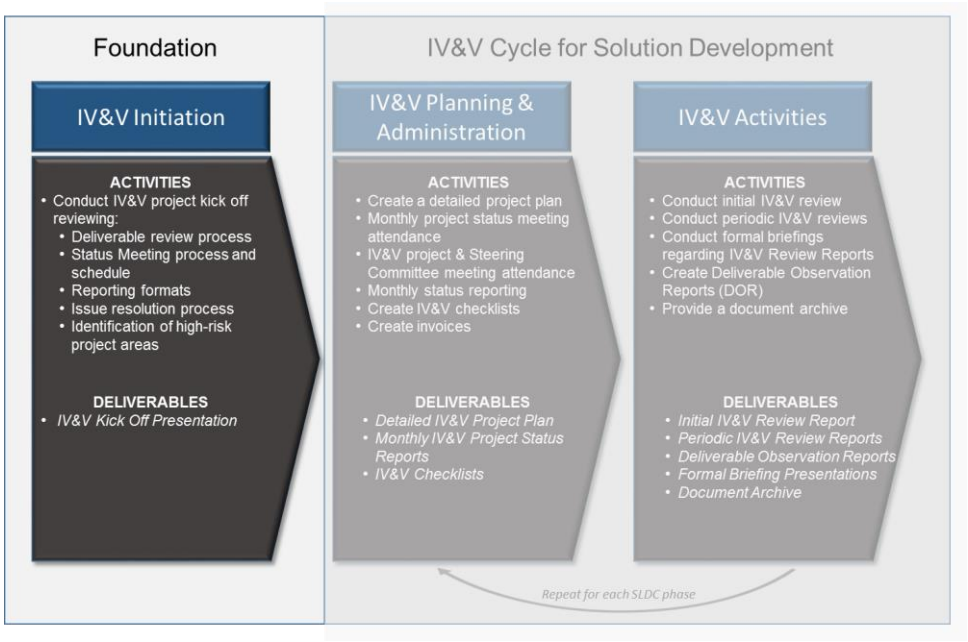
3.4 PROJECT KICK OFF MEETING

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:

3.2 Gartner's Approach to the Kick-Off

Gartner will work closely with the State project team to set the foundation for a successful engagement that is delivered on time, within budget and meets the State's objectives. Gartner will hold a kickoff meeting with the State's Replacement Project team and IV&V Contract Officer to ensure understanding of the project approach, objectives, scope, roles, responsibilities and required resources for Gartner and NV DWSS.

Figure 3. Project Kick-Off Tasks



The Kick Off Meeting agenda will include:

- ***Review of the IV&V mission***
- ***Structure and timing of IV&V status meetings***
- ***IV&V status reporting structure***
- ***Deliverable review process***
- ***Anticipated risks and mitigation plans***
- ***IV&V issue resolution processes***

Using lessons learned based on past experiences, and NV DWSS priorities, Gartner will work collaboratively with CSE Replacement Project team to identify high-risk, high-value areas for specific IV&V focus.

Gartner will develop the IV&V Kick Off Meeting presentation, other meeting materials and will, following the meeting, provide Meeting Minutes.

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3.4.1 Deliverable review process;

Gartner will collaborate with stakeholders following the approach outlined in Gartner's response to question 3.4 to finalize the deliverables review process. This will be covered during the kick-off.

3.4.2 Determining format and protocol for project status meetings;

Gartner will collaborate with stakeholders following the approach outlined in Gartner's response to question 3.4 to finalize the format and protocol for project status meetings. This will be covered during the kick-off.

3.4.3 Determining format for project status reports;

Gartner will collaborate with stakeholders following the approach outlined in Gartner's response to question 3.4 to finalize the format for project status reporting. This will be covered during the kick-off.

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

Gartner will collaborate with stakeholders following the approach outlined in Gartner's response to question 3.4 to finalize the detailed project plan.

3.4.5 Defining lines of communication and reporting relationships;

Gartner will collaborate with stakeholders following the approach outlined in Gartner's response to question 3.4 to finalize the communications and reporting relationships. The resulting communications approach will be included in the detailed project plan.

3.4.6 Reviewing the project mission;

Gartner will review the project mission and other project documents to gain a deeper understanding of the project so our detailed project plan and all other documents and activities are aligned with the mission/objectives.

3.4.7 Pinpointing high-risk or problem areas; and

Gartner will collaborate with stakeholders following our proposed approach to communicate and redefine how high risk areas will be identified, tracked and managed. This approach will be added into the detailed project plan and be communicated at the kick-off meeting (see Section VIII).

3.4.8 Issue resolution process.

Gartner will collaborate with stakeholders following our proposed approach to communicate and define the process for identifying, tracking and managing issues. This approach will be added into the detailed project plan and be communicated at the kick-off meeting.

3.5 PLANNING AND ADMINISTRATION

3.5.1 Activities

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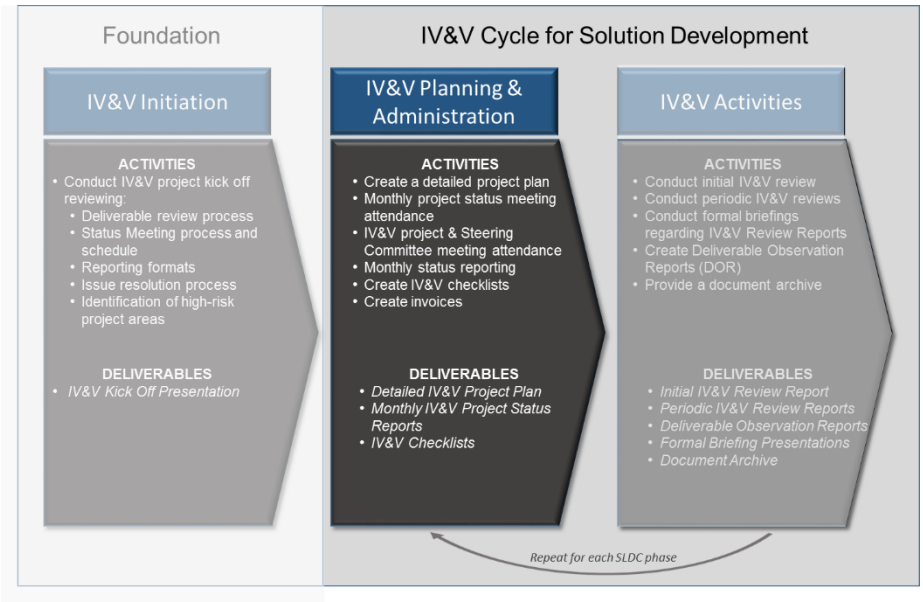
3.3 Gartner's Approach to Planning and Administration

Once familiar with DHHS/DWSS defined project scope, expectations, needs and capabilities, the Gartner project team will work with DWSS to finalize the IV&V Plan and develop a comprehensive Project Plan that will provide the appropriate level of oversight for the project to ensure project success and stakeholder acceptance.

Figure 4. Planning and Administration Tasks



<u>IV&V Project Plan</u>

Gartner will work closely with the NV CSE System Replacement Project Team to develop a detailed IV&V Project Plan based on the approved Statement of Work. This Plan will include a narrative overview of how Gartner's IV&V services will meet the State's needs as defined in the SOW. At a minimum the Plan will include:

- ***An updated version of the Project Plan Content (see Section VIII)***
- ***Project Introduction and Overview (IV&V Objectives and Goals; IV&V Approach)***
- ***IV&V Overview (Project Organization, Tools and Methodologies required to perform the IV&V activities***
- ***Glossary of Terms and Acronyms***

Gartner will develop a Work Plan aligned to the IV&V Plan and the CSE Replacement Project's Work Plan for DDI of the System. The Work Plan will include:

- ***IV&V Schedule (Work Breakdown Structure) — Major milestones and completion dates, IV&V organization and role assignments for each deliverable/task (including resumes for key personnel)***
- ***IV&V Activities, Tasks and Deliverables — aligned to the system life cycle***
- ***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)***

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- ***As Appendices, all applicable, Project life cycle-appropriate IV&V Checklists to be utilized during the next two IV&V Reviews***

IV&V Project Plan Updates: The IV&V Plan will be updated and delivered one week prior to the commencement of the on-site portion of each Initial and Periodic IV&V Review to ensure it reflects any changes or additions to the IV&V approach or activities. Updates may include but are not limited to:

- ***Modified IV&V Methodology***
- ***New or Modified Templates or Checklists***
- ***New or Modified Tools***
- ***Scheduled IV&V Activities (WBS)***
- ***Personnel Modifications***

IV&V Checklists

To guide the collection and analysis of IV&V-related information, Gartner will customize our IV&V Checklists, covering project areas to be reviewed, observed, monitored, and commented on. Checklists will be developed to align with industry standards for Project Management, Software and Systems Development, and Engineering disciplines as found in IEEE, CMI, and PMBOK industry standards, at a minimum.

The IV&V Checklists will be updated and delivered prior to on-site IV&V Review cycles, with the first checklists delivered being applicable to the project life cycle phase to be monitored and reviewed within the Initial IV&V Review. As IV&V work progresses and project life cycle 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.

Monthly IV&V Project Status Reports

Gartner will provide the IV&V Contract Officer with a written status report monthly during active work conducting a semi-annual (Initial or Periodic) IV&V Review. Report format will be determined during the IV&V Kick Off process. Reports will include, at a minimum:

- ***Current contract status***
- ***Availability of key IV&V team members***
- ***Work and deliverables expectations for the following 60 days***

The awarded vendor must:

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 on-site 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;

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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 life cycle-appropriate IV&V Checklists to be utilized during the next two IV&V Reviews.

Gartner's Preliminary Project Plan (Section VIII) includes the content requested in this RFP. During the planning phase Gartner will collaborate with DWSS, update the content and consolidate it into the IV&V Plan. This will be delivered within the timeline outlined in question 3.5.1.1.

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;

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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.

Gartner will attend monthly project status meetings and anticipate an agenda similar to the sub-bullets above.

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.

Gartner will attend, participate and, where appropriate, lead all IV&V project related meetings and Steering Committee meetings. In meetings where Gartner is leading or presenting Gartner will prepare materials and provide minutes. This approach will be captured in the Project Plan.

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.

Gartner will prepare a written monthly status report while conducting the semi-annual IV&V Reviews and, as required. This approach will be captured in the Project Plan.

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.

Gartner will provide materials, such as checklists and interview guides, prior to performing IV&V Services and, where appropriate, include in the Project Plan.

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 life cycle phase to be monitored and reviewed within the Initial IV&V Review period, with such checklist delivery made prior to the on-site portion of the review being performed. As IV&V work progresses and project life cycle 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.

Although Gartner will leverage more tools than check lists, the check lists will be updated and provided as described above. This approach will be captured in the Project Plan.

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.

Gartner will prepare invoices as noted above, though the invoice for the IV&V Report may occur after the semi-annual IV&V Review is completed.

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3.5.2 Deliverables

3.5 PLANNING AND ADMINISTRATION DELIVERABLES			
DELIVERABLE NUMBER	**DESCRIPTION OF DELIVERABLE**	**ACTIVITY**	***STATE'S ESTIMATED REVIEW TIME (WORKING DAYS)**
3.5.2.1	Detailed Project Plan	3.5.1.1	15
3.5.2.2	Attendance at all scheduled meetings	3.5.1.2 through 3.5.1.3	N/A
3.5.2.3	Written Monthly Project Status Reports	3.5.1.4	5
3.5.2.4	IV&V Checklists	3.5.1.5 and 3.5.1.6	15

*As stated previously, the State's review time begins following the Federal OCSE's review, and is limited to mistakes of fact and comments to be appended.

Gartner's approach captured in our answer to question 3.5.1 includes all of these deliverables.

3.6 IV&V ACTIVITIES

3.6.1 Objective

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

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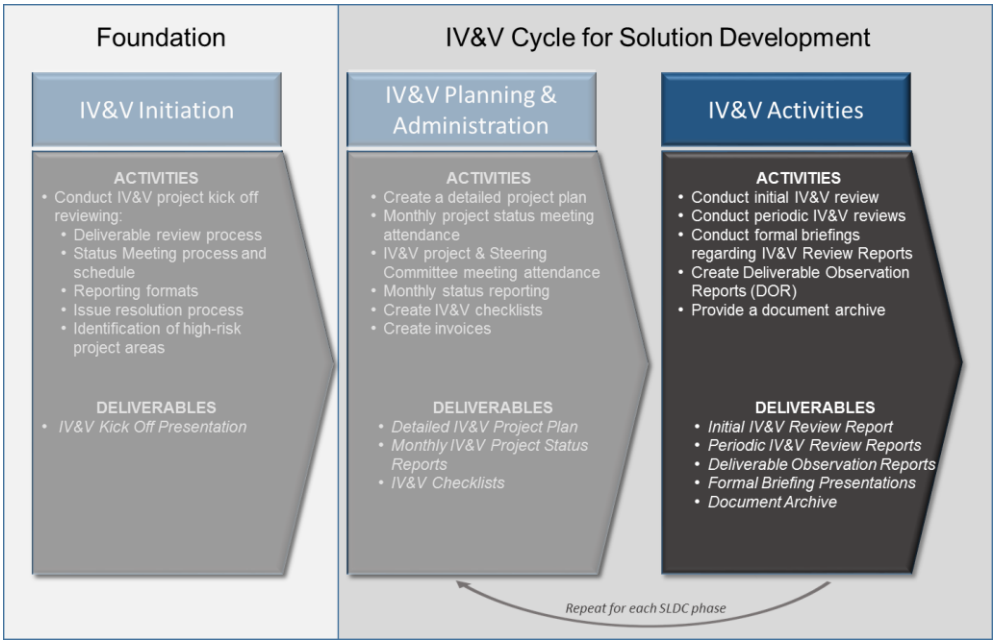
3.4 Gartner's Approach to IV&V Activities

Gartner's IV&V approach will center on an Initial IV&V Review, Bi-annual IV&V Reviews, and review of specified vendor deliverables.

Figure 5. IV&V and DOR Report Development Tasks



<u>Initial and Periodic IV&V Reviews</u>

Gartner will conduct an initial and ongoing periodic Program IV&V Review. These IV&V Reviews will include on-site interviews, document reviews, attending meetings and other fact finding to enhance Gartner's understanding of the Program's current issues, risks areas and progress. As part of the IV&V activities, Gartner will examine the Program's quality control review results, checklists, change requests and tracking, etc.

Based on the above, Gartner will summarize on-site fact finding activities (interview findings and document reviews and assessments) and document findings and recommendations for executive review of the overall Program's status, team performance, risks and issues, and will provide specific and actionable recommendations for process improvement to the Federal OCSE and the State IV&V Contract Officer, who can then share the findings and recommendations with the CSE project team, Steering Committee and the DDI Vendor(s).

Gartner will conduct an initial baseline assessment of project health at the beginning of the IV&V activities, commencing as soon as feasible after the contract commences (within 60 days).

Gartner will leverage tools and methodologies including defined standards and best practices covering all requirements outlined in the RFP. By measuring the Program's conformance with these practices, Gartner can assess the overall health and risk level of the Program as it changes over time. It will also pinpoint the sources of that risk so that mitigation strategies can be put in place so that individual and overall risk can be reduced.

The IV&V Review reports will contain the following:

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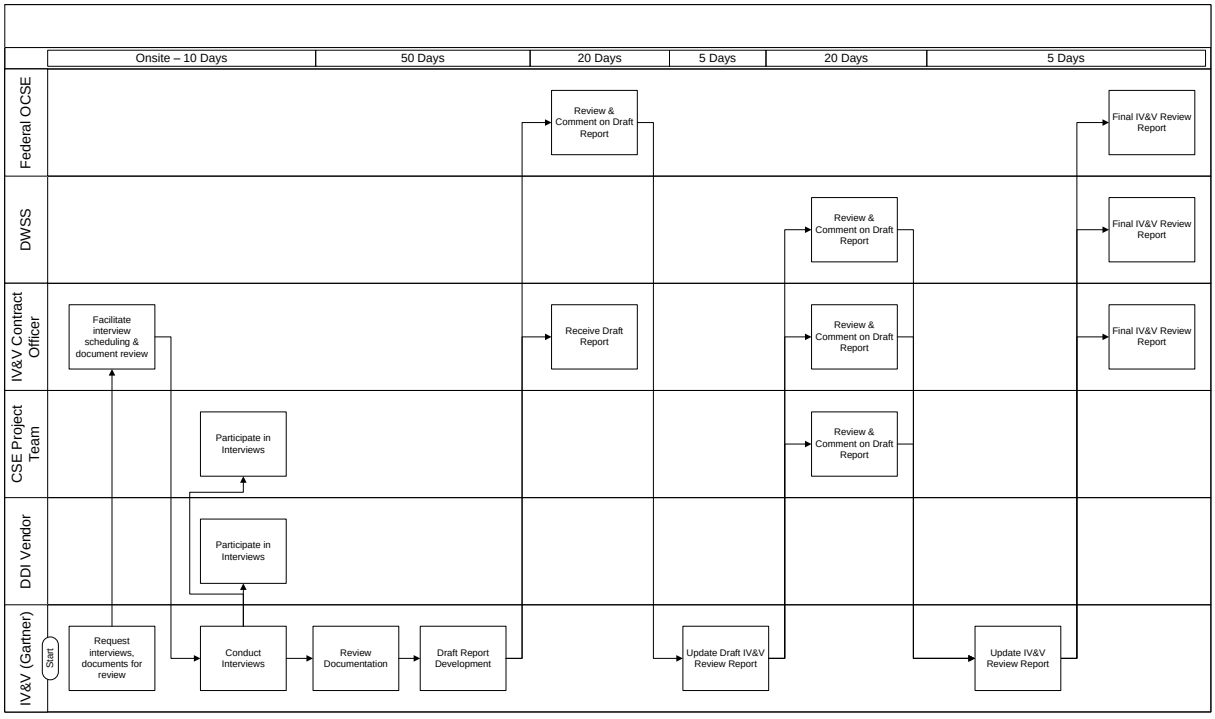
- ***An executive summary that includes:***
  - ***A summary of Program activities and accomplishments since the last report***
  - ***Plans, milestones and deliverables for the coming period***
  - ***Critical risks by assessment area***
  - ***Assessment of overall risk to the Program***
  - ***Evaluation of the overall Program status, budgets and schedules variances, stages of completion, indicating the causal factors, mitigation efforts and recommendations***
- ***Overall risk rank for the CSE Program***
- ***Risk rating of each of the health check domains***
- ***Evaluation of the CSE Program's ability to deliver the benefits/results***
- ***Observations and findings associated with each health check domain***
- ***Identified domain risks, gaps and issues***
- ***Recommendations for mitigation of risks, gaps and issues***

IV&V Review Flowchart

Figure 6 describes the initial and twice-yearly program IV&V Review process:

Figure 6. IV&V Review Flowchart



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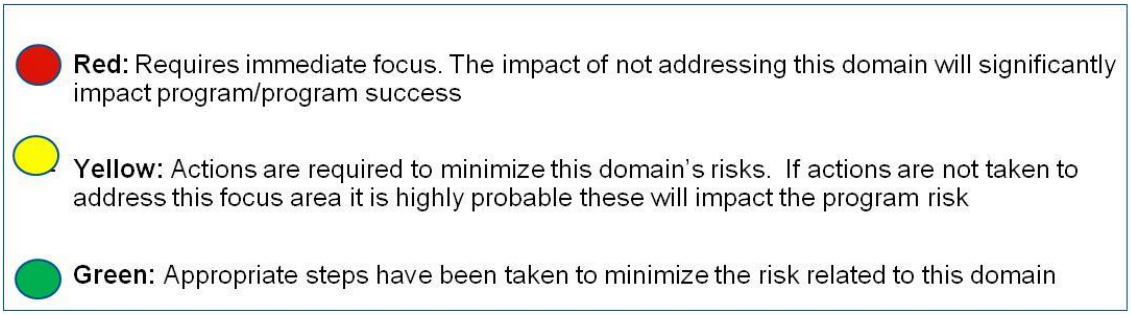
IV&V Review Process

IV&V Reviews will be completed twice-yearly based on the framework identified in the IV&V Plan. The CSE Program Manager and Gartner will work collaboratively to review the previous IV&V Review reports, discuss changes since the past IV&V Review and plan for the next IV&V Review.

The CSE Program Manager and Gartner will identify State and vendor stakeholders to interview. Gartner will also evaluate the DDI vendor activities and deliverables in relation to established criteria using the Sliding Scale described below for each focus area.

Figure 7. Evaluation Framework — Sliding Scale to illustrate Current State and Level of Risk



Gartner will then identify gaps that pose the highest risk potential. Gartner will develop a draft report that will include recommendations to manage identified risks for discussion with the CSE Program Manager.

The report will be presented to the State in draft form. If necessary, revisions are made based on Department feedback. These revisions can include changing the scoring or weighting based on new information presented by Department or changing some of the intrinsic project risk factors. After any required iterations, the final report is produced. The formal name of this project assessment report is the Quarterly IV&V Review Report.

IV&V Review Roles and Responsibilities

The four main roles and responsibilities in the IV&V Review review process are listed below:

1. ***The DDI Vendor Project Manager is the primary DDI Vendor contact for communicating risks and issues that do, and may, affect the project and other projects in the program. Other DDI Vendor team members will be interviewed as needed, and as identified by the DDI Vendor Project Manager***
2. ***Gartner is the external entity that will interview and seek feedback from State and vendor project stakeholders, consolidate all feedback, report on successes, risks and issues, and provide risk management suggestions to the DDI Vendor and State project team***
3. ***The State CSE Program Manager will provide feedback gathered from stakeholders between IV&V Reviews and coordinate interviews with key project stakeholders, with specific attention to those stakeholders that have identified project risks. The CSE Program Manager will also be responsible for ensuring that risks and issues identified in the IV&V Reviews are recorded and monitored between IV&V Reviews using standard project management methodologies***

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4. ***State Project Stakeholders are responsible for identifying project risks, proactively communicating those risks, and providing risk management suggestions when possible. They will interact with the CSE Program Manager and Gartner as needed and when requested to assist with the completion of the IV&V Reviews***

IV&V Review Areas

IV&V Reviews will focus on the current state of the CSE Program as a whole with specific attention to the following five domains:

Figure 8. IV&V Review Domain Areas

Business Value	Budget and Schedule	Operational	Organizational	External
▪ Benefit Specification ▪ Program Prioritization ▪ Complexity Control ▪ Ongoing Cost Management ▪ Gap Management ▪ Value Management	▪ Program Management ▪ Program Plan ▪ Program Resources ▪ Budget Management ▪ Scope & Change Management ▪ Risk Management	▪ Program Administration ▪ Vendor Support ▪ Information Management ▪ IT Support	▪ Program Governance ▪ Communications ▪ User Involvement ▪ Organizational Change Management	▪ External Risk Management

Gartner will classify project risks into the five domains, all of which need to be addressed as part of any business improvement program. Figure 9 below provides a summary of the program risks by domain.

Figure 9. Program Risks Classified by Domain

Business Value	Budget and Schedule	Operational	Organizational	External
Risk of the program not meeting stated business objectives	Risk of program overruns or failure to meet stated deadlines	Risk of failure due to poor quality and lack of audit trails	Risk of organizational disruption	Risk of external events having a detrimental impact on program outcomes

Comprehensive Deliverable Reviews (Deliverables Observation Reports)

As requested, Gartner will produce a Deliverables Observation Report. Through our experiences, we have found the review must include the Deliverable Expectation Documents (DED) and deliverable, and providing feedback to the project team. This ensures that the State receives a deliverable that captures the required content, it is of the highest quality and establishes the foundational for successful execution of down-stream activities.

In determining the quality of any project deliverable or process, our approach takes into account two factors:

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- ***The extent to which the content of the deliverable meets the project objectives and includes all the requirements defined in preceding project deliverables***
- ***The extent to which the deliverable or process conforms to State standards, project plans and industry best practice***

Gartner's primary tools for assessing deliverable content are the DEDs and any applicable requirements traceability matrix. These tools are then used as a checklist to verify the completeness of content in subsequent deliverables. To assess deliverable and process conformance with plans and practices, Gartner lists these plans and practices in our checklist prior to the start of the related activity. Gartner's assessments will focus on the following project components:

- ***Project Deliverables — Gartner will specifically assess project deliverables. These may include work plans; technical architectures; functional and technical designs and strategies for testing, conversion and training***
- ***Deliverable Expectation Documents (DEDs) including Templates and Acceptance Criteria —Gartner will review the DEDs and acceptance criteria to ensure that the content reflects appropriate standards and best practices***
- ***Quality Management Deliverables — To complement the vendor/system integrator's quality management activities, Gartner will review the outputs of those activities to ensure that they are working effectively, and that they conform to project plans and to industry standards and best practices***
- ***Project Processes — By reviewing project plans and observing project activities, Gartner will be able to assess the effectiveness of project processes and the degree to which they are being followed***

Examples of the type of activities and deliverables that Gartner may review throughout the software development life cycle include, but are not limited to:

- ***Requirements matrices***
- ***System approach and architecture***
- ***General designs***
- ***Detailed designs***
- ***Technical designs***
- ***Application integration plans***
- ***Data conversion plans***
- ***Implementation plans***
- ***Security plans***
- ***Change order requests***
- ***Go-live assessments***
- ***Post-implementation support plans***
- ***IST, performance, UAT test plans***
- ***Test scripts***
- ***Weekly status reports***
- ***Monthly risk reports***

Gartner will develop a Deliverable Observation Report for each deliverable reviewed. The Deliverable Observation Report includes the following:

- ***Name of Deliverable — The name of the deliverable includes its unique identifier that ties the deliverable to the Work-Breakdown Structure and DDI Vendor contract***
- ***Deliverable Comments — For each comment, the following is documented on the Deliverable Review Report:***
  - ***Location Reference — Location in the deliverable that the comment refers to***

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- ***Review Finding — A description of the risk, issue or defect identified with the deliverable***
- ***Recommendation — The recommendation for how the Review Finding should be addressed (i.e., corrected or remediated)***
- ***Severity — The priority describes the criticality of the Review Finding—***
  - ***High: Any Review Finding that is "High" means that the deliverable will be recommended for "rejection" (returned for re-work and re-submission)***
  - ***Medium: Medium priority findings may result in a recommendation to reject the deliverable and have the deliverable be remediated and re-submitted***
  - ***Low: These findings will not result in the deliverable being rejected, but may require the DDI Vendor to correct the deliverable and re-submit it***
- ***DDI Vendor Response — This item is left blank for the DDI Vendor to respond to the deliverable findings upon re-delivery of a deliverable***

- ***Acceptance Recommendation — Based on the degree of adherence to quality standards, Gartner will provide a recommendation to the CSE System Replacement Team regarding how to proceed with the deliverable. The following are examples of possible Acceptance Recommendations:***
  - ***Reject Deliverable — The deliverable is rejected and DDI Vendor must remediate the findings prior to re-delivery of the deliverable***
  - ***Accept Deliverable with Changes — Accept the deliverable with the understanding that the comments will be addressed and the remediated deliverable will be resubmitted with the changes incorporated***

All Deliverable Observation Reports will be delivered to the IV&V Contract Officer and OCSE simultaneously.

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 on-site review. The IV&V Service Provider will be restricted to conducting its on-site review within a 10 calendar day period. This on-site portion of the Initial IV&V Review will include the following activities:

A. Submit to IV&V Contract Officer a schedule of on-site review activities to be performed with the Replacement Project and DWSS;

B. Submit to IV&V Contract Officer a list of Project Team and Stakeholder interviews to be performed, documentation required to review;

C. Submit to IV&V Contract Officer a list of Project Documentation to be provided for IV&V Service Provider review; and

D. Submit to IV&V Contract Officer a list of Project Meetings, etc., to be attended and observed by the IV&V Service Provider.

Upon completion of the on-site portion of the review, the IV&V Service Provider will leave the Project site and at their own place of business

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review and analyze collected Project artifacts and draft the Initial IV&V Review Report.

Gartner's approach outlined in our response to question 3.6.2 includes an initial IV&V Review of the Replacement Project and will following the process outlined in steps A-D and are comfortable performing analysis at our own place of business.

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

A. An Initial IV&V Review Report (draft version) will be concurrently delivered to Federal OCSE and the IV&V Contract Officer sixty (60) calendar days after the start of the on-site portion of the Initial IV&V Review.
B. Federal OCSE will review this draft version and provide comments and ACF Priorities that will be incorporated to the draft version of the Initial IV&V Review Report and a revised report will be released to the State's Replacement Project and DWSS five (5) calendar days after receipt of ACF comments and Priorities to the draft version of the Initial IV&V Review Report.
C. Replacement Project and DWSS comments to the draft version of the Initial IV&V Review Report will be returned to the IV&V Service Provider within 20 calendar days of receipt of the draft version of the Initial IV&V Review Report.
D. The IV&V Service Provider will correct mistakes of fact to the draft version of the Initial IV&V Review Report, and append to the draft version all other Replacement Project and DWSS comments, and redeliver the Initial IV&V Review Report, marked as Final, to OCSE, the IV&V Contract Officer, the Replacement Project and DWSS. This final version of the Initial IV&V Review Report deliverable concludes the Initial IV&V Review.
E. For each area evaluated, the report should contain the current status of the State's effort, including any pertinent historical background information. The report should also contain a detailed analysis of each area, which answers, at the least, the following general questions:

    1. What is the State's current process in this area?
    2. What's good about the State's process?
    3. What about the State's process or technology needs improvement?
    4. Is the State making measurable progress in this area?
    5. Is the effort within the triple constraints of budget, scope, and schedule?
    6. What standards is the project following (State, industry [IEEE, SEI, ISO, etc.,]) internally?
    7. Are the appropriate documentation and other project artifacts accurate and up-to-date?
    8. Is there adequate Stakeholder involvement in the Project?
    9. Are best practices and metrics employed to identify issues, progress, performance, etc.?

    Responses should be quantified whenever possible. The report should also contain detailed recommendations in each area specifying what can be done immediately and in the long term to improve the State's

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operation. Any technologies, methodologies, or resources recommended should reflect industry standards and be appropriate for the unique circumstances and constraints of the Replacement Project. The recommendations should also specify a method of measuring the State's progress against the recommendations.

Gartner's Baseline IV&V Report (see response to question 3.6.2) will include the areas outlined above and Gartner's team will follow the review/approval process

3.6.2.3 Conduct Periodic IV&V Review Activities. Periodic IV&V Reviews will commence six (6) months following the start of the previous IV&V review, with the first activity of the Periodic IV&V Review being the on-site review. The IV&V Service Provider will be restricted to conducting its on-site review within a 10 calendar day period. This on-site portion of the Initial IV&V Review will include the following activities:

a. Submit to IV&V Contract Officer a schedule of on-site review activities to be performed with State Project and Department;

b. Submit to IV&V Contract Officer a list of Project Team and Stakeholder interviews to be performed, documentation required to review;

c. Submit to IV&V Contract Officer a list of Project Documentation to be provided for IV&V Service Provider review, and,

d. Submit to IV&V Contract Officer a list of Project Meetings, etc., to be attended and observed by the IV&V Service Provider.

Upon completion of the on-site portion of the Periodic Review, the IV&V Service Provider will leave the Project site and at their own place of business review and analyze collected Project artifacts and draft the respective Periodic IV&V Review Report.

Gartner's approach outlined in our response to question 3.6.2 includes periodic IV&V Review of the Replacement Project and will following the process outlined in steps A-D and are comfortable performing the analysis at our own place of business

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

a. A Periodic IV&V Review Report (draft version) will be delivered to Federal OCSE and IV&V Contract Officer (at same time) sixty (60) calendar days after the start of the on-site portion of the respective Periodic IV&V Review.

b. Federal OCSE will review this draft version and provide comments and ACF Priorities that will be incorporated to the draft version of the Periodic IV&V Review Report and a revised report will be released to the Replacement Project and DWSS five (5) calendar days after receipt of ACF comments and Priorities to the draft version of the respective Periodic IV&V Review Report.

c. Replacement Project and DWSS comments to the draft version of the Periodic IV&V Review Report will be returned to the IV&V Service Provider within 20 calendar days of receipt of the draft version of the respective Periodic IV&V Review Report.

d. The IV&V Service Provider will correct mistakes of fact to the draft version of the respective Periodic IV&V Review Report, and append to the draft version all other Replacement Project and Department comments, and redeliver the Periodic IV&V Review Report, marked as final, to OCSE, the IV&V Contract

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Officer, the Replacement Project and DWSS. This final version of the respective Periodic IV&V Review Report deliverable concludes the respective Periodic IV&V Review.

e. For each area evaluated, the report should contain the current status of the State's effort, including any pertinent historical background information. The report should also contain a detailed analysis of each area, which answers, at the least, the following general questions:

   i. What is the State's current process in this area?

   ii. What's good about the State's process?

   iii. What about the State's process or technology needs improvement?

   iv. Is the State making measurable progress in this area?

   v. Is the effort within the triple constraints of budget, scope, and schedule?

   vi. What standards is the project following (State, industry [IEEE, SEI, ISO, etc.,]) internally?

   vii. Are the appropriate documentation and other project artifacts accurate and up-to-date?

   viii. Is there adequate Stakeholder involvement in the Project?

   ix. Are best practices and metrics employed to identify issues, progress, performance, etc.?

   Responses should be quantified whenever possible. The report should also contain detailed recommendations in each area specifying what can be done immediately and in the long term to improve the State's operation. Any technologies, methodologies, or resources recommended should reflect industry standards and be appropriate for the unique circumstances and constraints of the Replacement Project. The recommendations should also specify a method of measuring the State's progress against the recommendations.

f. The Periodic IV&V Review Reports should have follow-up sections providing quantified information on the progress that the State has made against the recommendations from the previous review. The follow-up information should also contain any additional and/or modified recommendations at the same level of detail as the initial recommendations. All report findings and recommendations should be historically traceable (with a clear and consistent method of identification/numbering) from the time they are first reported by the IV&V Service Provider until closure.

Gartner's IV&V Reports (see response to question 3.6.2 will include the areas outlined above and Gartner's team will follow the review/approval process. Additionally, our IV&V Reports also track progress against previous IV&V Reports and recommendations.

3.6.2.5 Conduct formal briefing presentations to the DWSS, CSEP, Replacement Project, and OCSE on the Respective IV&V Review Report. If desired by and requested by the Replacement Project team, CSEP, and DWSS, the IV&V Service Provider will prepare and deliver a debriefing related to the latest, respective (Initial or Periodic) IV&V Review Report's results to the Replacement Project team, CSEP, DWSS, and OCSE. Any such debriefing must be conducted within 5 calendar

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days of delivery of the final version of the respective (Initial or Periodic) IV&V Review Report. Debriefings prior to this milestone within the IV&V Services contract, whether during the course of an on-site review, or subsequent IV&V Service Provider review, analysis, and report creation time frame, or prior to delivery of the respective IV&V Review Report under this contract, are prohibited.

Gartner's standard approach includes a debriefing with stakeholders. This helps ensure the assessment and recommendations are fully understood and increases the likelihood of our recommendations having an impact on project performance.

3.6.2.6 Create Deliverable Observation Reports (DOR) as necessary. If desired and requested by the Replacement Project team, CSEP, and DWSS, the IV&V Service Provider will prepare and deliver a one-time, focused, specific Deliverable Observation Report to the IV&V Contract Officer (for delivery to the State Replacement Project, etc.,) and OCSE, at the same time, presenting an analysis of a prescribed deliverable or other task not specifically referenced by this scope of work. Examples of such focused Deliverables Observation Reports include: a network capacity, bandwidth, and throughput analysis; independent analysis of compliance of a project deliverable with contract specifications, etc. The Replacement Project team, CSEP, and DWSS may receive a debriefing on the results of such a DOR from the IV&V Service Provider only with the concurrence and attendance of OCSE.

Gartner anticipates reviewing any deliverables that have been produced as part of the on-site activities required to produce the IV&V Reports. Gartner will produce Deliverable Observation Reports (DORs) as necessary. At the State of Nevada's request (question 10 of Amendment 2) this proposal includes producing only two formal DORs. Gartner has included hourly rates in the cost sheet to be leveraged if additional DORs are required.

3.6.2.7 Archive documents. 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, Deliverable Observation Review (DOR) Reports, Monthly (Financial) Invoicing, Project Status Reports, and all project materials, documentation, artifacts, data, reports, forms, etc., collected by the IV&V Service Provider during the course of their latest IV&V Review. This complete archive is to be submitted with the respective final invoice for the IV&V Review period in question.

Gartner will archive all documents and submit with the respective final invoice.

3.6.3 IV&V Requirements

3.6.3.1 This section contains lists of requirements which detail specific topics for which IV&V is to be performed and reported on. All items in 3.6.3.1 through 3.6.3.12 are mandatory IV&V requirements for fulfilling related activities and considered part of this solicitation. The activities should be costed and scheduled in the bidder's IV&V Project Management Plan and reported on in the Initial and Periodic IV&V Reports.

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3.6.3.2 IV&V Project Management

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
IV&V Management Plan	**IM-1**	As the first deliverable the IV&V provider shall develop an IV&V Management Plan. This plan shall describe the activities, personnel, schedule, standards, and methodology for conducting the IV&V reviews. (see *3.5.1.1* for more details)
Conduct Initial Review	**IM-2**	Prepare and deliver an Initial IV&V report on the required activities. Report on status of each activity. (see *3.6.2.1* and *3.6.2.2* for more details)
Conduct Periodic Review(s)	**IM-3**	Prepare and deliver a Follow-up IV&V report on the required activities. Report on status of each activity and progress since the previous report. (see *3.6.2.3 and 3.6.2.4* for more details)
Management Briefing	**IM-4**	Prepare and deliver a formal presentation(s) on the status of the IV&V project. Presented as required, with at least ten (10) business days' notice. No more than once a month. (see *3.6.2.5* for more details)

Gartner will meet all of these requirements

3.6.3.3 Replacement Project Management

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Project Sponsorship	**PM-1**	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**.**
Project Sponsorship	**PM-2**	Verify that executive sponsorship has bought-in to all changes which impact project objectives, cost, or schedule.
Management Assessment	**PM-3**	Verify and assess project management and organization, verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
Management Assessment	**PM-4**	Evaluate project progress, resources, budget, schedules, workflow, and reporting.
Management Assessment	**PM-5**	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.
Project Management	**PM-6**	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.
Project Management	**PM-7**	Evaluate the project reporting plan and actual project reports to verify project status is accurately traced using project metrics.
Project Management	**PM-8**	Verify milestones and completion dates are planned, monitored, and met.
Project Management	**PM-9**	Verify the existence and institutionalization of an appropriate project issue tracking mechanism that documents issues as they arise, enables

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
		communication of issues to proper stakeholders, documents a mitigation strategy as appropriate, and tracks issues to closure. This should include but is not limited to technical and development efforts.
Project Management	**PM-10**	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.
Business Process Re-engineering	**PM-11**	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.
Business Process Re-engineering	**PM-12**	Verify that the re-engineering plan has the strategy, management backing, resources, skills and incentives necessary for effective change.
Business Process Re-engineering	**PM-13**	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, and actions) throughout the re-engineering process.
Risk Management	**PM-14**	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.
Change Management	**PM-15**	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.
Communication Management	**PM-16**	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 communication plans and strategies are effective, implemented, monitored and complete.
Configuration Management	**PM-17**	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.
Configuration Management	**PM-18**	Verify that all critical development documents, including but not limited to requirements, design, code and JCL are maintained under an appropriate level of control.
Configuration Management	**PM-19**	Verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.
Configuration Management	**PM-20**	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.
Configuration Management	**PM-21**	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization and timely scheduling of maintenance actions.

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Configuration Management	**PM-22**	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.
Configuration Management	**PM-23**	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in project management.
Project Estimating and Scheduling	**PM-24**	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.
Project Estimating and Scheduling	**PM-25**	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.
Project Estimating and Scheduling	**PM-26**	Examine historical data to determine if the project/department has been able to accurately estimate the time, labor and cost of software development efforts.
Project Personnel	**PM-27**	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.
Project Personnel	**PM-28**	Evaluate the State's hiring plan for the project to verify that adequate human resources will be available for development and maintenance.
Project Personnel	**PM-29**	Evaluate the State's personnel policies to verify that staff turnover will be minimized.
Project Organization	**PM-30**	Verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the project.
Project Organization	**PM-31**	Verify that the project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, and any other functions critical for the project's success.
Subcontractors and External Staff	**PM-32**	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.
Subcontractors and External Staff	**PM-33**	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.
Subcontractors and External Staff	**PM-34**	Verify that the subcontractors' software development methodology and product standards are compatible with the system's standards and environment.
Subcontractors and External Staff	**PM-35**	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 off-site support of the project
Subcontractors and External Staff	**PM-36**	Verify that any proprietary tools used by subcontractors do not restrict the future maintainability, portability, and reusability of the system.
State Oversight	**PM-37**	Verify that State oversight is provided in the form of periodic status reviews and technical interchanges.

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
State Oversight	**PM-38**	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.
State Oversight	**PM-39**	Verify that State staff have the ultimate responsibility for monitoring project cost and schedule.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.4 Quality Management

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Quality Assurance	**QA-1**	Evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.
Quality Assurance	**QA-2**	Verify that QA has an appropriate level of independence from project management.
Quality Assurance	**QA-3**	Verify that the QA organization monitors the fidelity of all defined processes in all phases of the project.
Quality Assurance	**QA-4**	Verify that the quality of all products produced by the project is monitored by formal reviews and sign-offs.
Quality Assurance	**QA-5**	Verify that project self-evaluations are performed and that measures are continually taken to improve the process.
Quality Assurance	**QA-6**	Monitor the performance of the QA contractor by reviewing its processes and reports and performing spot checks of system documentation; assess findings and performance of the processes and reports.
Quality Assurance	**QA-7**	Verify that QA has an appropriate level of independence; evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.
Quality Assurance	**QA-8**	Verify that the QA vendor provides periodic assessment of the CMM activities of the project.
Quality Assurance	**QA-9**	Evaluate if appropriate mechanisms are in place for project self-evaluation and process improvement.
Process Definition and Product Standards	**QA-10**	Review and make recommendations on all defined processes and product standards associated with the system development.
Process Definition and Product Standards	**QA-11**	Verify that all major development processes are defined and that the defined and approved processes and standards are followed.
Process Definition and	**QA-12**	Verify that the processes and standards are compatible with each other and with the system development methodology.

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Product Standards		
Process Definition and Product Standards	**QA-13**	Verify that all process definitions and standards are complete, clear, up-to-date, consistent in format, and easily available to project personnel

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.5 Training

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
User Training and Documentation	**TR-1**	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.
User Training and Documentation	**TR-2**	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.
User Training and Documentation	**TR-3**	Verify that user-friendly training materials and help desk services are easily available to all users.
User Training and Documentation	**TR-4**	Verify that all necessary policy and process and documentation are easily available to users.
User Training and Documentation	**TR-5**	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.
Developer Training and Documentation	**TR-6**	Review and make recommendations on the training provided to system developers.
Developer Training and Documentation	**TR-7**	Verify that developer training is technically adequate, appropriate for the development phase, and available at appropriate times.
Developer Training and Documentation	**TR-8**	Verify that all necessary policy, process and standards documentation is easily available to developers.
Developer Training and Documentation	**TR-9**	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

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3.6.3.6 Requirements Management

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Requirements Management	**RM-1**	Evaluate and make recommendations on the project's process and procedures for managing requirements.
Requirements Management	**RM-2**	Verify that system requirements are well-defined, understood and documented.
Requirements Management	**RM-3**	Evaluate the allocation of system requirements to hardware and software requirements.
Requirements Management	**RM-4**	Verify that software requirements can be traced through design, code and test phases to verify that the system performs as intended and contains no unnecessary software elements.
Requirements Management	**RM-5**	Verify that requirements are under formal configuration control.
Security Requirements	**RM-6**	Evaluate and make recommendations on project policies and procedures for ensuring that the system is secure and that the privacy of client data is maintained.
Security Requirements	**RM-7**	Evaluate the project's restrictions on system and data access.
Security Requirements	**RM-8**	Evaluate the project's security and risk analysis.
Security Requirements	**RM-9**	Verify that processes and equipment are in place to back up client and project data and files and archive them safely at appropriate intervals.
Requirements Analysis	**RM-10**	Verify that an analysis of client, State and federal needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal regulations.
Requirements Analysis	**RM-11**	Verify that all stakeholders have been consulted as to the desired functionality of the system, and that users have been involved in prototyping of the user interface.
Requirements Analysis	**RM-12**	Verify that all stakeholders have bought-in to all changes which impact project objectives, cost, or schedule.
Requirements Analysis	**RM-13**	Verify that performance requirements (e.g., timing, response time and throughput) satisfy user needs
Requirements Analysis	**RM-14**	Verify that user's maintenance requirements for the system are completely specified
Interface Requirements	**RM-15**	Verify that all system interfaces are exactly described, by medium and by function, including input/output control codes, data format, polarity, range, units, and frequency.
Requirements Analysis	**RM-16**	Verify approved interface documents are available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.
Requirements Allocation and Specification	**RM-17**	Verify that all system requirements have been allocated to either a software or hardware subsystem.

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Requirements Allocation and Specification	**RM-18**	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.
Reverse Engineering	**RM-19**	If a legacy system or a transfer system is or will be used in development, Verify that a well-defined plan and process for re-engineering the system is in place and is followed. The process, depending on the goals of the reuse/transfer, may include reverse engineering, code translation, re-documentation, restructuring, normalization, and re-targeting.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.5 Operating Environment

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
System Hardware	**OE-1**	Evaluate new and existing system hardware configurations to determine if their performance is adequate to meet existing and proposed system requirements.
System Hardware	**OE-2**	Determine if system hardware is compatible with the State's existing processing environment, if it is maintainable, and if it is easily upgradable. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
System Hardware	**OE-3**	Evaluate current and projected vendor support of the hardware, as well as the State's hardware configuration management plans and procedures.
System Software	**OE-4**	Evaluate new and existing system software to determine if its capabilities are adequate to meet existing and proposed system requirements.
System Software	**OE-5**	Determine if the software is compatible with the State's existing hardware and software environment, if it is maintainable, and if it is easily upgradable. This evaluation will include, but is not limited to, operating systems, middleware, and network software including communications and file-sharing protocols.
System Software	**OE-6**	Current and projected vendor support of the software will also be evaluated, as well as the State's software acquisition plans and procedures.
Database Software	**OE-7**	Evaluate new and existing database products to determine if their capabilities are adequate to meet existing and proposed system requirements.
Database Software	**OE-8**	Determine if the database's data format is easily convertible to other formats, if it supports the addition of new data items, if it is scalable, if it is easily refreshable and if it is compatible with the State's existing hardware and software, including any online transaction processing environment.
Database Software	**OE-9**	Evaluate any current and projected vendor support of the software, as well as the State's software acquisition plans and procedures.
System Capacity	**OE-10**	Evaluate the existing processing capacity of the system and verify that it is adequate for current statewide needs for both batch and online processing.
System Capacity	**OE-11**	Evaluate the historic availability and reliability of the system including the frequency and criticality of system failure.

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
System Capacity	**OE-12**	Evaluate the results of any volume testing or stress testing.
System Capacity	**OE-13**	Evaluate any existing measurement and capacity planning program and evaluate the system's capacity to support future growth.
System Capacity	**OE-14**	Make recommendations on changes in processing hardware, storage, network systems, operating systems, COTS software, and software design to meet future growth and improve system performance.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.8 Development Environment

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Development Hardware	**DE-1**	Evaluate new and existing development hardware configurations to determine if their performance is adequate to meet the needs of system development.
Development Hardware	**DE-2**	Determine if development hardware is maintainable, easily upgradable, and compatible with the State's existing development and processing environment. This evaluation will include, but is not limited to, CPUs and other processors, memory, network connections and bandwidth, communication controllers, telecommunications systems (LAN/WAN), terminals, printers and storage devices.
Development Hardware	**DE-3**	Current and projected vendor support of the hardware will also be evaluated, as well as the State's hardware configuration management plans and procedures.
Development Software	**DE-4**	Evaluate new and existing development software to determine if their capabilities are adequate to meet system development requirements.
Development Software	**DE-5**	Determine if the software is maintainable, easily upgradable, and compatible with the State's existing hardware and software environment.
Development Software	**DE-6**	Evaluate the environment as a whole to see if it shows a degree of integration compatible with good development. This evaluation will include, but is not limited to, operating systems, network software, CASE tools, project management software, configuration management software, compilers, cross-compilers, linkers, loaders, debuggers, editors, and reporting software.
Development Software	**DE-7**	Evaluate language and compiler selection with regard to portability and reusability (ANSI standard language, non-standard extensions, etc.)
Development Software	**DE-8**	Evaluate current and projected vendor support of the software, as well as the State's software acquisition plans and procedures.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.9 Software Development

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
High-Level Design	**SD-1**	Evaluate and make recommendations on existing high level design products to verify the design is workable, efficient, and satisfies all system and system interface requirements.
High-Level Design	**SD-2**	Evaluated the design products for adherence to the project design methodology and standards.
High-Level Design	**SD-3**	Evaluate the design and analysis process used to develop the design and make recommendations for improvements. Evaluate design standards, methodology and CASE tools used and make recommendations.
High-Level Design	**SD-4**	Verify that design requirements can be traced back to system requirements.
High-Level Design	**SD-5**	Verify that all design products are under configuration control and formally approved before detailed design begins.
Detailed Design	**SD-6**	Evaluate and make recommendations on existing detailed design products to verify that the design is workable, efficient, and satisfies all high level design requirements.
Detailed Design	**SD-7**	Evaluate design products for adherence to the project design methodology and standards.
Detailed Design	**SD-8**	Evaluate the design and analysis process used to develop the design and make recommendations for improvements.
Detailed Design	**SD-9**	Design standards, methodology and CASE tools used will be evaluated and recommendations made.
Detailed Design	**SD-10**	Verify that design requirements can be traced back to system requirements and high level design.
Detailed Design	**SD-11**	Verify that all design products are under configuration control and formally approved before coding begins.
Job Control	**SD-12**	Perform an evaluation and make recommendations on existing job control and on the process for designing job control.
Job Control	**SD-13**	Evaluate the system's division between batch and online processing with regard to system performance and data integrity.
Job Control	**SD-14**	Evaluate batch jobs for appropriate scheduling, timing and internal and external dependencies.
Job Control	**SD-15**	Evaluate the appropriate use of OS scheduling software.
Job Control	**SD-16**	Verify that job control language scripts are under an appropriate level of configuration control.
Code	**SD-17**	Evaluate and make recommendations on the standards and process currently in place for code development.
Code	**SD-18**	Evaluate the existing code base for portability and maintainability, taking software metrics including but not limited to modularity, complexity and source and object size.
Code	**SD-19**	Evaluate code documentation for quality, completeness (including maintenance history) and accessibility.

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Code	**SD-20**	Evaluate the coding standards and guidelines and the project's compliance with these standards and guidelines. This evaluation will include, but is not limited to, structure, documentation, modularity, naming conventions and format.
Code	**SD-21**	Verify that developed code is kept under appropriate configuration control and is easily accessible by developers.
Code	**SD-22**	Evaluate the project's use of software metrics in management and quality assurance.
Unit Test	**SD-23**	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.
Unit Test	**SD-24**	Evaluate the level of test automation, interactive testing and interactive debugging available in the test environment.
Unit Test	**SD-25**	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.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.10 System and Acceptance Testing

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
System Integration Test	**ST-1**	Evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system modules.
System Integration Test	**ST-2**	Evaluate the level of automation and the availability of the system test environment.
System Integration Test	**ST-3**	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, including formal logging of errors found in testing.
System Integration Test	**ST-4**	Verify that the test organization has an appropriate level of independence from the development organization.
Pilot Test	**ST-5**	Evaluate the plans, requirements, environment, tools, and procedures for pilot testing the system.
Pilot Test	**ST-6**	Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and those tests are run in a realistic, real-time environment.
Pilot Test	**ST-7**	Verify that test scripts are complete, with step-by-step procedures, required pre-existing events or triggers, and expected results.
Pilot Test	**ST-8**	Verify that test results are verified, that the correct code configuration has been used, and that the tests runs are appropriately documented, including formal logging of errors found in testing.

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REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Pilot Test	**ST-9**	Verify that the test organization has an appropriate level of independence from the development organization.
Interface Testing	**ST-10**	Evaluate interface testing plans and procedures for compliance with industry standards.
Acceptance and Turnover	**ST-11**	Verify that acceptance procedures and acceptance criteria for each product are defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.
Acceptance and Turnover	**ST-12**	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.
Acceptance and Turnover	**ST-13**	Verify that the acceptance test organization has an appropriate level of independence from the implementation vendor.
Acceptance and Turnover	**ST-14**	Verify that training in using the contractor-supplied software is ongoing throughout the development process, especially if the software is to be turned over to State staff for operation.
Acceptance and Turnover	**ST-15**	Review and evaluate implementation plan.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.11 Data Management Oversight

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Data Conversion	**DM-1**	Evaluate the State's existing and proposed plans, procedures and software for data conversion.
Data Conversion	**DM-2**	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data clean-up as required.
Data Conversion	**DM-3**	Determine conversion error rates and if the error rates are manageable.
Data Conversion	**DM-4**	Make recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.
Database Design	**DM-5**	Evaluate new and existing database designs to determine if they meet existing and proposed system requirements.
Database Design	**DM-6**	Recommend improvements to existing designs to improve data integrity and system performance.
Database Design	**DM-7**	Evaluate the design for maintainability, scalability, refreshability, concurrence, normalization (where appropriate) and any other factors affecting performance and data integrity.
Database Design	**DM-8**	Evaluate the project's process for administering the database, including backup, recovery, performance analysis and control of data item creation.

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Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.3.12 Operations Oversight

REQUIREMENT ITEM	REQ #	REQUIREMENT DESCRIPTION
Operational Change Tracking	**OO-1**	Evaluate statewide system's change request and defect tracking processes.
Operational Change Tracking	**OO-2**	Evaluate implementation of the process activities and request volumes to determine if processes are effective and are being followed.
Customer & User Operational Satisfaction	**OO-3**	Evaluate user satisfaction with the system to determine areas for improvement
Operational Goals	**OO-4**	Evaluate impact of the system on program goals and performance standards.
Operational Documentation	**OO-5**	Evaluate operational plans and processes.
Operational Processes and Activity	**OO-6**	Evaluate implementation of the process activities including backup, disaster recovery and day-to-day operations to verify the processes are being followed.

Gartner will meet all of these requirements at a level required to produce our semi-annual reviews (see Amendment 1, question 72)

3.6.4 Deliverables

3.6 IV&V ACTIVITIES DELIVERABLES			
DELIVERABLE NUMBER	**DESCRIPTION OF DELIVERABLE**	**ACTIVITY**	***STATE'S ESTIMATED REVIEW TIME (WORKING DAYS)**
3.6.4.1	Initial IV&V Review	3.6.2.1	NA
3.6.4.2	Initial IV&V Review Report	3.6.2.2	15
3.6.4.3	Periodic IV&V Reviews	3.6.2.3	NA
3.6.4.4	Periodic IV&V Review Reports	3.6.2.4	15
3.6.4.5	Formal Briefing Presentations	3.6.2.5	NA
3.6.4.6	Deliverable Observation Reports (DOR)	3.6.2.6	15
3.6.4.7	Document Archive	3.6.2.7	15

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*As stated previously, the State's review time begins following the Federal OCSE's review, and is limited to mistakes of fact and comments to be appended

As outlined in our response to question 3.6.2 Gartner will produce the deliverables listed above.

4.0 Gartner Background and References — Section VI

This section provides Gartner's response to section 10.2.27, Section 4, Company Background and References. Responses are in bold/italics immediately following the applicable RFP question, statement and/or section.

4.1 Vendor Information

4. Company Background and References

4.1 Vendor Information

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

Question	Response
Company name:	***Gartner, Inc.***
Ownership (sole proprietor, partnership, etc.):	***Gartner is a publicly traded corporation (NYSE: IT) Gartner joined the S&P 500 in April 2017***.
State of incorporation:	***State of Delaware***
Date of incorporation:	***1979***
# of years in business:	***38+***
List of top officers:	■ ***Eugene A. Hall, Chief Executive Officer*** ■ ***Craig W. Safian, Executive Vice President and Chief Financial Officer*** ■ ***Jules Kaufman, EVP General Counsel & Corporate Secretary*** ■ ***Per Anders Waern, EVP, Gartner Consulting*** ■ ***Ken Davis, EVP, Products and Services*** ■ ***Alwyn Dawkins, EVP, Events*** ■ ***Mike Diliberto, EVP and Chief Information Officer*** ■ ***Peter Sondergaard, EVP, Research*** ■ ***Chris Thomas, EVP, Business Sales*** ■ ***David Godfrey, EVP, Global Sales***
Location of company headquarters:	***Stamford, Connecticut***
Location(s) of the office that shall provide the services described in this RFP:	***Primary location: 980 9th Street, Sacramento California 95814. This team will have access to Gartner's Carson City office provided courtesy of the Governor's Office of Economic Development***
Number of employees locally with the expertise to support the requirements identified in this RFP:	***66 consultants are local to the State of Nevada (from California, Oregon, and Washington).***

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Question	Response
Number of employees nationally with the expertise to support the requirements in this RFP:	***423 Consultants are employed nationally with RFP expertise.***
Location(s) from which employees shall be assigned for this project:	***Although Gartner has a presence in Nevada, Gartner has selected the most qualified personnel to deliver the scope of this project. The proposed personnel are from San Diego, Sacramento, Boston and Stamford. From our 80 global offices over 675 consultants and 1,900 analysts can be used to support the State if we feel they have specific expertise or experience that would enhance the likelihood of success or if their knowledge would benefit a project.***

4.1.2 **Please be advised**, pursuant to NRS 80.010, a corporation organized pursuant to the laws of another state shall 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.

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:	***Gartner is registered and qualified to do business in the State of Nevada and is registered with the Nevada Secretary of State with the Entity Number of C16713-1994. Our Nevada Business ID is NV19941112701.***
Legal Entity Name:	***Gartner, Inc.***

Is "Legal Entity Name" the same name as vendor is doing business as?

Yes	✔	No	

If "No," provide explanation.

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.

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

Yes	✔	No	

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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.

Gartner has listed our three projects below:

Question	Response
Name of State agency:	***Department of Administration***
State agency contact name:	***Lee-Ann Easton, Deputy Director***
Dates when services were performed:	***June 2016 — Present***
Type of duties performed:	***Please see response directly below this table.***
Total dollar value of the contract:	***$1.1M***

Project description — Gartner is supporting NV DOA on the SMART 21 Project, which is a statewide Enterprise Resource Planning (ERP) solution for Payroll, HR and Budgeting. The project was initiated in June 2016 and scope currently includes:

- ***Developing a statewide ERP strategy and functional/nonfunctional requirements. This included conducting over 20 working sessions with department SME's, identifying differentiating requirements for specific departments, developing an acquisition strategy, and documenting all requirements for inclusion in an RFP***
- ***Procurement support. Gartner is currently supporting the State in development of the ERP RFP and leading the state through a complex procurement, to include vendor scoring, contract negotiations and contract award***
- ***Project IV&V. The State has requested that Gartner provide IV&V services for the duration of the estimated 5-year implementation of the ERP solution***

Question	Response
Name of State agency:	***Department of Administration***
State agency contact name:	***Lee-Ann Easton, Deputy Director***
Dates when services were performed:	***June 2016 — Present***
Type of duties performed:	***Please see response directly below this table.***
Total dollar value of the contract:	***$595K***

Project Description — The Department of Administration engaged Gartner to assist the state in the establishment of a Project Management Office (PMO) which will be responsible initially for the management and oversight of the SMART 21 Project, Grants Management Project and eProcurement Project. The scope of work includes:

- ***Project Management Capabilities Development and Temporary Management of SMART 21 Project and close integration with and oversight of the Grants Management and eProcurement Projects***

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- ***Organizational Change Management Support***
- ***State Core Team Ramp-Up and Capability Transfer***

Question	Response
Name of State agency:	***Department of Motor Vehicles***
State agency contact name:	***Terri Albertson, Director***
Dates when services were performed:	***October 2017 — Present***
Type of duties performed:	***Please see response directly below this table.***
Total dollar value of the contract:	***$166K***

Project Description — The Director of the DMV has requested Gartner provide an independent Health Assessment of its Motor Vehicle System Modernization Project (SysMod). The scope of this engagement includes:

- ***Development of a prioritized set of recommendations to address current issues with the SysMod Project as well as future potential risks***
- ***Support recommended improvement strategies with a detailed assessment of selected focus areas from Gartner's risk assessment framework and a comparison with industry best practices***
- ***Prepare and present a draft and final version of Gartner's health check report that includes an Executive Summary and prioritized roadmap for addressing critical findings***

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	✓

If "Yes," please explain when the employee is planning to render services, while on annual leave, compensatory time, or on their own time?

If you employ (a) any person who is a current employee of an agency of the State of Nevada, or (b) any person who has been an employee of an agency of the State of Nevada within the past two (2) years, and if such person shall be performing or producing the services which you shall be contracted to provide under this contract, you shall disclose the identity of each such person in your response to this RFP, and specify the services that each person shall be expected to perform.

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?

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Yes		No	✓

If "Yes," please provide the following information. Table can be duplicated for each issue being identified.

Question	Response	
Date of alleged contract failure or breach:	***N/A***	
Parties involved:		
Description of the contract failure, contract breach, litigation, or investigation, including the products or services involved:		
Amount in controversy:		
Resolution or current status of the dispute:		
If the matter has resulted in a court case:	Court	Case Number
Status of the litigation:		

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.

Gartner has reviewed Attachment D from RFP 375. Below are the Gartner proposed clarifications of RFP No. 3475 Attachment D entitled Insurance. Gartner requests the proposed Indemnification clause be modified to read as follows:

INDEMNIFICATION CLAUSE:

Contractor shall indemnify, hold harmless and, not excluding the State's right to participate, defend the State, its officers, officials, agents, and employees (hereinafter referred to as "Indemnitee") from and against all liability, claims, actions, damages, losses, and expenses, including without limitation reasonable attorneys' fees and costs, (hereinafter referred to collectively as "claims"), proximately caused, ~~or alleged to be caused, in whole or in part~~, by the negligent or willful acts or omissions of Contractor or any of its owners, officers, directors, agents, employees or subcontractors. This indemnity includes any claim or amount arising out of or recovered under the Workers' Compensation Law or arising out of the failure of such contractor to conform to any federal, state or local law, statute, ordinance, rule, regulation or court decree. It is the specific intention of the parties that the Indemnitee shall, in all instances, except for claims arising ~~solely~~ from the negligent or willful acts or omissions of the Indemnitee, be indemnified by Contractor from and against any and all claims. It is agreed that Contractor will be responsible for primary loss investigation, defense and judgment costs where this indemnification is applicable. In consideration of the award of this contract, the Contractor agrees to waive all rights of subrogation against the State, its officers, officials, agents and employees for losses arising from the work performed by the Contractor for the State.

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1. ***Gartner requests Section B entitled <u>Notice of Cancellation</u> be amended to read as follows:***

Gartner shall employ commercially reasonable efforts to advise Client within thirty (30) days of any cancellation or determination to effect a material change in the insurance coverage's listed herein and/or maintained by Gartner in support of this agreement.

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4.2 Gartner Background and Qualifications to Provide RFP Services

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.

Gartner is the world's leading information technology research and advisory company, and is a leader for supporting large scale, key IT initiatives. We deliver the technology-related insight necessary for clients in 13,000 organizations across 100 countries to make the right decisions, every day. Founded in 1979 and headquartered in Stamford, Connecticut, USA, Gartner has 5,800 associates, including 950 analysts and 500 consultants who are dedicated to analyzing and interpreting the business of IT within the context of our clients' individual roles. No other company can provide the unique combination of assets and experiences that we bring to bear in delivering value to our clients every day. The key Gartner lines of business are illustrated in Figure 10:

Figure 10. The Gartner Advantage

Gartner is engaged on our clients' most critical needs, quickly operationalize research insights with custom focus to their industry and their enterprise, and provide on-site support through long-term engagements.

4.2.1 Gartner Value

There is a reason that Gartner is quoted an average of 70 times per week in more than 30 leading business publications. There is a reason that more than 72% of the Fortune 1000 companies and 75% of the Global 500 companies support their key technology decisions with Gartner insight. And, there is a reason that our clients in more than 13,000 distinct organizations worldwide trust their organizations to Gartner. The reason is simple: Gartner delivers value to our clients every day.

The cornerstone of the Gartner Value Proposition is that our solutions are research-based, industry-focused and benchmark-enabled.

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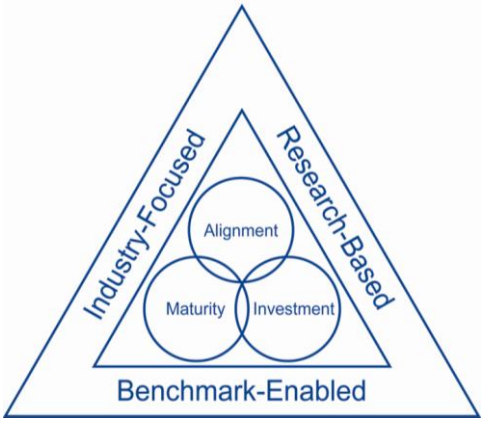
Figure 11. Gartner's Unique Value



Gartner Consulting Background

Gartner Consulting leverages proven models, business domain experience and intellectual capital combined with highly experienced multidisciplinary teams help our clients to frame and meet any challenges that may be identified during engagements. Constantly, Gartner research analysts proactively monitor vendors and enterprise system implementations, giving our project team unique and unparalleled access to independent and objective perspectives and insights regarding IT implementation projects. These, in turn, drive Gartner Consulting's approach, frameworks and delivery of projects.

To maximize the value delivered to our clients, Gartner Consulting is a matrixed organization, with practices and industries providing capabilities and deep knowledge to the projects. The practices, aligned with research, include experts in specific solution domains, and provide market leading insight into the specific challenges our clients face, such as oversight on major system implementations. This results in market leading frameworks, check list and other intellectual property to be leveraged by experts on the project. The industries are organized around client specific businesses, such as Health and Human Services. These teams become experts in the industry, understanding business trends and goals, how technology can be leveraged to realize these goals and the challenge unique to that business. As Gartner completes engagements, lessons learned are shared across the practices and industries to ensure Gartner Consulting has the most current and comprehensive knowledge available for the next engagement.

The key aspects of Gartner Consulting's Value to DHHS are as follows:

- ***Gartner's Dedicated Public Sector Health and Human Practice — Gartner has a dedicated Health and Human Services team whose sole focus is public sector HHS engagements. Through this focus Gartner has gained deep experience and knowledge which is invaluable in assessing client issues and articulating recommendations, efficiently and effectively. Not only does Gartner understand the industry trends, both in service delivery and the impact on States of Federal activities, but Gartner also understand the vendors and their direction. Regarding delivery, this team has gained a deep understanding of HHS specific processes, expectations of different Federal partner departments and the associated regulations. Finally, the HHS team has gained a deep understanding of the functionality required to support specific Federally Funded programs and, more importantly, the complexity of this functionality. Gartner's deep experience in and***

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knowledge of the public sector HHS business is critical to accurately assessing the project, providing realistic, impactful and actionable recommendations and producing reports which align with stakeholder needs and expectations.

- ***Gartner's Public Sector IV&V Experience — Gartner has been performing IV&V work within the public sector for more than 37 years. Gartner has a clear understanding of the unique challenges and sensitivity of providing IV&V services within the public sector. We have always focused our work on maximizing the value delivered to our stakeholders and not on providing a low-cost, "check the box" service like some of our competitors. As a result, we have a track record where the large, complex implementation projects on which we have provided oversight or IV&V services have been delivered successfully.***
- ***Gartner's Experienced Personnel — Clients engage Gartner to address their most strategic problems. Solving these problems require personnel who have faced these challenges before. Gartner Consulting staffs these projects with personnel with relevant experience rather than analysts who are facing these challenges for the first time. This results in more effective assessments and recommendations, while minimizing the impact on the client while staff "learns on the job." Additionally, this project team will be supported by consulting and research subject matter experts so Gartner is confident no problem will arise with which we are not familiar.***
- ***Gartner's Independence and Objectivity — Core to Gartner's business model is our independence and objectivity — at a time when alliances between consultants and technology suppliers have clouded the landscape, Gartner remains resolutely objective. Our only allegiance is to help DHHS and its stakeholders achieve the results it wants for the CSE Replacement System initiative***
- ***Gartner's Proven IV&V Methodology — Our team will bring all the assets of Gartner Research as well as the people and experience of our consultants from around the world. Gartner's proven IV&V methodology has been used to support numerous public sector agencies in the successful implementation of complex system solutions. One of Gartner's key strengths in conducting project assessment and oversight engagements is our ability to customize our approach based on our understanding of the unique challenges and business priorities of our clients. It is easy for third-party oversight contractors to "second-guess" other companies' implementation techniques, methodologies and decisions. It is far more difficult to provide constructive insights (and, sometimes, constructive criticism) and communicate these insights with potential solutions in a way that enhances the probability of project success. This includes communicating with both internal and external project stakeholders in a positive, but realistic way. Gartner takes pride in its proven ability to enhance the cohesiveness of the project team while communicating tough issues and finding proactive alternatives to them.***

Gartner's seasoned team will leverage all of the lessons learned through all of our IV&V and HHS engagements to provide assessments and recommendations in a fact-based manner throughout this IV&V engagement.

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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.

Gartner has an expansive and successful track record of helping federal, state and local government maximize their use of information technology. We have a deep understanding of the multiple and often competing challenges facing government organizations given their unique environment, pressures and orders of magnitude in terms of resources and service requirements. Approximately half of Gartner Consulting's business comes from government, and the State and Local segment is the largest component of this. We have performed over 2,500 engagements for public sector clients in the last four years, ranging from short, targeted strategic support to multi-year programmatic support of implementation efforts.

Gartner has more than 37 years of experience providing quality assurance services to public and private sector organizations across North America throughout the entire life cycle of our clients' IT initiatives. Almost all of Gartner's quality assurance engagements are performed for large projects with budgets ranging from $10s to $100s of millions.

Gartner has conducted more than 440 relevant engagements (program monitoring, quality assurance, IV&V, program management) in the last four years including 216 for public sector organizations.

Gartner's HHS Experience

As highlighted elsewhere in this proposal, Gartner has found experience in the specific industry is a pre-requisite to providing IV&V services — the insight that comes from understanding the industry trends, functional complexities, stakeholders and regulations is required to provide accurate assessments and actionable, impactful recommendations.

Gartner has a depth of experience across the nation on critical HHS engagements and, more importantly child support enforcement systems. Table 2 is a partial list the proposed team's HHS clients. Gartner has also highlighted the services provided to these States as Gartner recognizes the value of understanding the entire software development life cycle and understanding child support enforcement from a functional and technical perspective.

Table 2. Gartner HHS State and Local Government Health and Human Services Experience

State	Readiness Assessment, Planning and Strategic Road Map	Procurement Support	Program, Project and Portfolio Management	QA/IV&V Services	Systems Assessment	HHS Information Technology Target State Development
Alabama	✓	✓				✓
Alaska		✓				
Arizona	✓	✓		✓	✓	✓
Arkansas						✓
California	✓	✓	✓	✓	✓	✓
Connecticut	✓				✓	✓

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State	Readiness Assessment, Planning and Strategic Road Map	Procurement Support	Program, Project and Portfolio Management	QA/IV&V Services	Systems Assessment	HHS Information Technology Target State Development
Delaware		✓			✓	
Florida	✓	✓			✓	✓
Georgia	✓	✓			✓	✓
Hawaii	✓	✓	✓	✓	✓	✓
City of Houston	✓	✓			✓	✓
Illinois	✓	✓		✓	✓	✓
Iowa					✓	
Kentucky	✓				✓	
Los Angeles County	✓	✓		✓	✓	✓
Montgomery County, MD	✓				✓	✓
Minnesota	✓	✓	✓	✓	✓	
New Mexico	✓	✓		✓	✓	
New York	✓	✓	✓	✓	✓	
New York City	✓	✓	✓	✓	✓	✓
North Carolina	✓	✓	✓			
North Dakota	✓				✓	
Ohio	✓	✓			✓	✓
Oregon	✓	✓	✓	✓		
Pennsylvania	✓	✓			✓	✓
San Diego County, CA	✓	✓		✓	✓	✓
South Carolina	✓					
Tennessee	✓	✓		✓	✓	✓
Texas	✓	✓		✓	✓	✓
Vermont	✓	✓		✓	✓	✓
Virginia	✓			✓		
Washington State	✓	✓		✓		✓
Wyoming	✓		✓	✓	✓	

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Gartner's Public Sector IV&V Experience

Achieving success in Nevada requires more than implementing a new software package. Successful implementation requires an understanding of the complexities associated with child support functionality, integration with other systems, complex architecture, data migration, user adoption and scalability. Gartner works with these complexities daily and staffs teams that bring the right knowledge to bear at the right time in the project. Table 3 provides a sample set of several of the clients from the broader public sector for which Gartner has provided Business Advisory Services for their mission-critical projects. In particular, these projects were chosen to illustrate examples of IV&V and project oversight engagements which include complexities similar to the State of Nevada.

Table 3. Selected Subset of Relevant Gartner IV&V Experience for State and Local Government

Organization Name and Project Title	Requirement Analysis	Application Solutioning	Project Oversight	Application Testing	Technical Audit
Vermont — Integrated Health and Human Services Project Full Life Cycle Support	✓	✓	✓	✓	
Hawaii — Integrated Health and Human Services Project Full Life Cycle Support	✓				
San Diego County, CA — Knowledge Integration Project (KIP)	✓	✓	✓		
County of Los Angeles— EHR Requirements Development, Procurement Support and QA/IV&V Oversight	✓	✓	✓	✓	
California Department of Conservation — DORIIS Project IV&V	✓	✓	✓	✓	✓
California Office of System Integration (OSI) — Child Welfare Services/Case Management System (CWS/CMS) and Procurement Assistance for Child Welfare Services Case Management	✓	✓	✓	✓	
City University of New York (CUNY) — IV&V of PeopleSoft ERP	✓		✓	✓	✓

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Organization Name and Project Title	Requirement Analysis	Application Solutioning	Project Oversight	Application Testing	Technical Audit
Texas — Department of State Health Services (DSHS) Women, Infants and Children(WIC)—Planning, Requirements and Case Management System Procurement Support and Quality Assurance Oversight	✓	✓	✓		
Johns Hopkins University Applied Physics Laboratory- Oracle Enterprise Business Systems Implementation	✓		✓	✓	
Long Island University University-wide ERP solution IV&V	✓	✓	✓	✓	
New York City Health and Hospitals Corporation (NYC HHC) — Project Management Office Support & Assessment of HR Requirements and Development of a Strategy for HR Systems Acquisition	✓	✓	✓	✓	
New York State Board of Elections Statewide Voter Registration Procurement Support & Program Assurance	✓	✓	✓	✓	
State of Connecticut- PeopleSoft ERP Implementation	✓		✓	✓	
State of New Mexico- ERP Oversight Services Project SHARE	✓	✓	✓	✓	
State of Florida Financial Systems Implementation — IV&V	✓	✓	✓	✓	
State of New Mexico PeopleSoft ERP (Financials, HCM, Purchasing, Inventory)	✓		✓	✓	
State of Tennessee ERP Post-Implementation Assessment	✓	✓	✓		✓
State of Wyoming Department of Health- IRIS Project Assessment and Oversight Support Services	✓	✓	✓		✓

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Organization Name and Project Title	Requirement Analysis	Application Solutioning	Project Oversight	Application Testing	Technical Audit
Texas Department of Motor Vehicles — Requirements, Solutioning and Project Oversight	✓	✓	✓	✓	✓
University of Virginia Enterprisewide ERP Implementation IV&V	✓	✓	✓	✓	✓
U.S. Army, Installation Management Command IV&V, Acquisition, and Program Management Support	✓	✓	✓	✓	✓
U.S. Department of Transportation, Federal Motor Carrier Safety Administration Strategic Sourcing, PMO Development and Implementation, CPIC and Performance Management Support, Enterprise Architecture Development	✓	✓	✓	✓	✓
U.S. Department of Health and Human Services Identity and Access Management PMO Support, HHS Identity Program	✓	✓	✓	✓	
U.S. Department of State State Messaging and Archive Retrieval Toolset (SMART) Implementation	✓	✓	✓	✓	✓
U.S. Mint IRIS PMO Support	✓	✓	✓		

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4.3 Financial Information and Documentation

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 ***Gartner's D&B (DUNS) Number is 09-722-0180.***

4.1.11.2 Federal Tax Identification Number ***Gartner's FTIN is 04-3099750.***

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

A. Profit and Loss Statement

B. Balance Statement

Gartner, Inc. is a public company with 1,341 holders of record of our common stock on January 31, 2017. As such, it is subject to the reporting requirements and other regulations of the Securities Exchange Act of 1934, as amended. Gartner files publicly available annual, quarterly and other current reports with the Securities and Exchange Commission, and provides an annual report to shareholders. Summary year-over-year financial statistics are presented in Table 4 below. More detailed financial data can be found at investor.gartner.com.

Table 4. Selected Financial Statistics Year Over Year

Income	*2016*	*2015*	*2014*	*2013*
Revenue/Sales	***$2.44 billion***	***$2.16 billion***	***$2.02 billion***	***$1.78 billion***
Net Income	***$193.6 million***	***$175.6 million***	***$183.8 million***	***$182.8 million***

Balance Sheet	*2016*	*2015*	*2014*	*2013*
Cash and Cash Equivalents	***$474.2 million***	***$373.0 million***	***$365.3 million***	***$423.9 million***
Total Assets	***$2.4 billion***	***$2.2 billion***	***$1.90 billion***	***$1.78 billion***
Total Debt	***$702.5 million***	***$825.0 million***	***$405.0 million***	***$205 million***
Stockholders' Equity (Deficit)	***$60.9 million***	***$(132.4) million***	***$161.2 million***	***$361.3 million***

4.2 Subcontractor Information

Subcontractors are defined as a third party, not directly employed by the contractor, who shall provide services identified in this RFP. This does not include third parties who provide support or incidental services to the contractor.

4.2.1 Does this proposal include the use of subcontractors?

Yes		No	✓

If "Yes," vendor shall:

4.2.1.1 Identify specific subcontractors and the specific requirements of this RFP for which each proposed subcontractor shall perform services.

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Not Applicable

4.2.1.2 If any tasks are to be completed by subcontractor(s), vendors shall:

A. Describe how the work of any subcontractor(s) shall be supervised, channels of communication shall be maintained and compliance with contract terms assured; and

Not Applicable

B. Describe your previous experience with subcontractor(s).

Not Applicable

4.2.1.3 Provide the same information for any proposed subcontractors as requested in Section 5.1, Vendor Information.

Not Applicable

4.2.1.4 Business references as specified in Section 5.3, Business References shall be provided for any proposed subcontractors.

Not Applicable

4.2.1.5 Provide the same information for any proposed subcontractor staff as specified in Section 5.4, Vendor Staff Skills and Experience Required.

Not Applicable

4.2.1.6 Staff resumes for any proposed subcontractors as specified in Section 5.5, Vendor Staff Resumes.

Not Applicable

4.2.1.7 Vendor shall not allow any subcontractor to commence work until all insurance required of the subcontractor is provided to the vendor.

Not Applicable

4.2.1.8 Vendor shall notify the using agency of the intended use of any subcontractors not identified within their original proposal and provide the information originally requested in the RFP in Section 5.2, Subcontractor Information. The vendor shall receive agency approval prior to subcontractor commencing work.

Gartner will not use any subcontractors not identified within this original proposal.

4.2.1.9 All subcontractor employees assigned to the project shall be authorized to work in this country.

Not Applicable

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4.4 Business References

4.3 Business References

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.

Relevant references from similar projects are listed below.

Matthew Robertson ***DSS — ImpaCT*** ***State of Connecticut*** ***55 Farmington Ave.*** ***Hartford, CT 06105*** ***860 424 5811/860-263-1705*** ***Matthew.Robertson@ct.gov*** ***www.ct.gov/dss***	***Greg Turner*** ***State of Tennessee State Technology Services (STS)*** ***Enterprise Systems Modernization Strategic Planner*** ***615 394 1767*** ***Greg.N.Turner@tn.gov***	***State of Vermont — Dept. of VT Health Access (DVHA)*** ***Joseph J. Liscinsky*** ***Health Enterprise Director II*** ***MMIS Program Deputy Lead*** ***Mobile: 802 233 6212*** ***Office: 802 879 1183***

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

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4.3.2.16 Experience working with a system integrator.

Gartner proven the ability to perform all of the above on all three of the clients we submitted Attachment E, Reference Questionnaire. Refer to Gartner's response to question 4.3.4 for the reference details.

4.5 Reference Questionnaire, Attachment E

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

Gartner has submitted Attachment E, Reference Questionnaire to 3 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.

Gartner has provided the supplied Attachment E, Reference Questionnaire to each of our business references as instructed in Section 4.3.4 of the RFP. Business references contacted by Gartner who are expected to submit Attachment E to the purchasing division by the RFP deadline are:

Matthew Robertson ***DSS — ImpaCT*** ***State of Connecticut*** ***55 Farmington Ave.*** ***Hartford, CT 06105*** ***860 424 5811/860-263-1705*** ***Matthew.Robertson@ct.gov*** ***www.ct.gov/dss***	***Greg Turner*** ***State of Tennessee State Technology Services (STS)*** ***Enterprise Systems Modernization Strategic Planner*** ***615 394 1767*** ***Greg.N.Turner@tn.gov***	***State of Vermont — Dept. of VT Health Access (DVHA)*** ***Joseph J. Liscinsky*** ***Health Enterprise Director II*** ***MMIS Program Deputy Lead*** ***Mobile: 802 233 6212*** ***Office: 802 879 1183***

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.

Gartner has read this clause and acknowledges and understands the State's right to contact and verify all references.

Note: The State of Nevada's response to question 17 of Amendment Two stated Section VI should include responses to Questions 4.1-4.5 while the State of Nevada's response to question 22 of Amendment Two requires responses to questions 4.4 and 4.5 be included in Section VII. Gartner has included our responses to questions 4.4 and 4.5 in Section VII, as required in the response to question 17.

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5.0 Proposed Staff Resumes — Section VII — Attachment H

4.4 Vendor Staff Skills and Experience Required

The vendor shall provide qualified personnel to perform the work necessary to accomplish the tasks defined in Section 4, 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.

Over the past decade, Gartner has observed that the effectiveness of IV&V services employed on large State projects have deteriorated as these services have come to be viewed as "commodities" to be acquired at the lowest possible costs, simply producing reports for compliance purposes with little emphasis on the value that effective project oversight can provide in ensuring the successful completion of projects within budget, on schedule and delivering the expected business value. Historically IV&V has been:

- ***Reactive and backward looking***
- ***Transactional, one-off responses to questions***
- ***Limited capacity to facilitate positive change to project execution***

Gartner does not take this perspective when considering IV&V engagements. In addition to providing the required reports, Gartner focuses our IV&V engagements on providing value to the project team with actionable recommendations.

As outlined in Section VI, Gartner has significant experience providing IV&V services on strategic application implementations. Through this experience Gartner have defined an optimal staffing approach for early identification of risks, assessing and prioritizing issues and developing actionable recommendations. While assessing which consultants to assign to the project Gartner considered the State of Nevada's minimum qualifications but also considered criteria we have found to be successful when providing IV&V services. These include:

- ***The team must have an understanding of the business objectives and the functionality required to realize those objectives and which are the most important and complex***
- ***The team must have significant experience both providing IV&V services and hands-on experience implementing large enterprise systems***
- ***Experience with State and Local governments, Federal reviewers and the specific State in which we are providing IV&V services***

Gartner is proposing a team with deep experience in these areas and exceeds the qualification captured in the RFP. Resources without hand-on experience can collect the data, but only a seasoned team can deliver the real value of IV&V services — interpreting the data and focusing the constrained project resources on the most important risks and issues and providing realistic recommendations. Additionally, to truly have an impact on project performance, the IV&V team must have the respect of the project team. Unless the IV&V team has "walked in their shoes" the project team will waste valuable project team time as they learn the business and not gain the respect from the project team, minimizing the impact of the recommendations.

Gartner is proposing our standard organization structure for this project team. This ensures high-level sponsorship and quality assurance, strong day-to-day project management, a focused team of project consultants, and deep subject matter expertise.

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Through our IV&V experience, it has become abundantly clear that staffing a team with multiple members, offering different perspectives and areas of expertise and experiences, results in delivering significantly more value.

Figure 12. CSE System Replacement IV&V Team

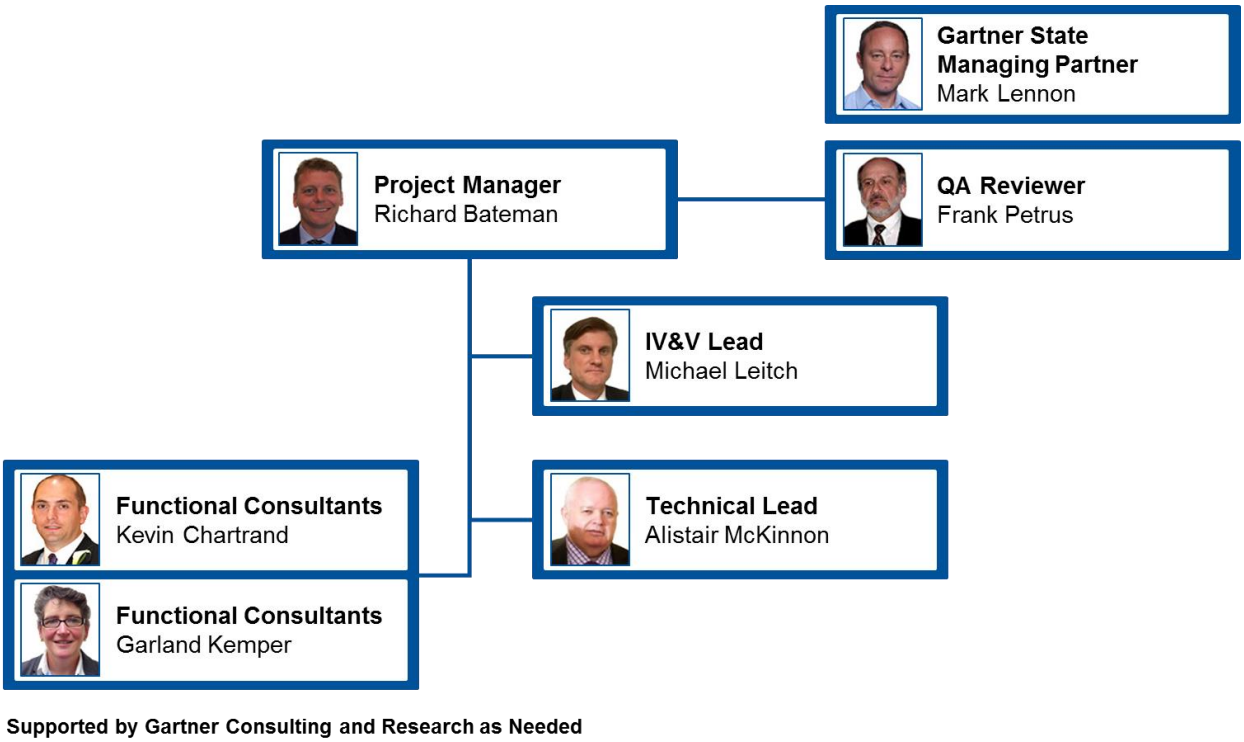

Table 5 below highlights the proposed individuals, their roles and key responsibilities.

Table 5. Staff Roles and Responsibilities

Proposed Consultant	Role	Responsibilities
Mark Lennon	State Managing Partner	■ Provide insight and lessons learned regarding the State of Nevada processes and policies ■ Perform quality assurance to ensure the project team's deliverables exceed the State of Nevada's needs and objectives ■ Maintain relationship with the State of Nevada's leadership to ensure any needs or concerns are addressed expeditiously
Frank Petrus	Quality Assurance Reviewer	■ Conduct internal quality review of deliverables with Gartner project team prior to delivery to client ■ Perform quality assurance to ensure the project team's deliverables exceed the State of Nevada's needs and objectives ■ Provide executive leadership and direction to the project team, including lessons learned from HHS experiences ■ Designated representative for escalations ■ Maintain relationship with the DHHS' leadership to ensure any needs or concerns are addressed expeditiously

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Proposed Consultant	Role	Responsibilities
Richard Bateman	Project Manager	■ Ensure Gartner's deliverables are activities support DHHS goals ■ Responsible for the day-to-day activities of the Gartner team, contract compliance and team performance ■ Manage the project to the approved project plan and schedule all activities ■ Manage all project resources and ensuring that appropriate resources are available throughout the life of the contract ■ Lead coordination effort with the State Project Manager regarding all of Gartner's tasks ■ Provide leadership and direction to the project team ■ Maintain and execute reporting, budget/cost reporting, and issue reporting, tracking, escalation, invoicing and resolution procedures as defined in the Project Plan ■ Primary author of the project Kick-Off materials, Project Plan and Monthly Status Reports ■ Ensure appropriate resources are assigned to develop the Deliverable Observations Reports
Michael Leitch	IV&V Lead	■ Collaborate with OSE to ensure Gartner's IV&V framework meet OSE's expectations ■ Primary author of the draft IV&V Reports; coordinate content developed by functional and technical resources ■ Lead all activities in support of the IV&V Report review and approval process ■ Finalize IV&V Check Lists ■ Adjust IV&V check lists and IV&V framework if required as the project's needs change
Kevin Chartrand	Functional/Project Consultant	■ Perform assessment of functionally focused areas of the project for inclusion in the IV&V Reports ■ Produce/provide input into Deliverables Observations Reports for functionally focused deliverables ■ Provide child support enforcement functional expertise to the project team
Garland Kemper	Functional/Project Consultant	■ Perform assessment of functionally focused areas of the project for inclusion in the IV&V Reports ■ Produce/provide input into Deliverables Observations Reports for functionally focused deliverables ■ Provide child support functional enforcement functional expertise to the project team

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Proposed Consultant	Role	Responsibilities
Alistair McKinnon	Technical Lead	■ Perform assessment of architecture and design (technically) focused areas of the project for inclusion in the IV&V Reports ■ Produce/provide input into Deliverables Observations Reports for technically focused deliverables ■ Provide child support functional enforcement functional expertise to the project team ■ Provide reviews and counsel regarding the Technical direction of the project ■ Support the core project team by providing subject matter expertise and lead the technical tasks and deliverables as needed throughout the engagement

5.1.1 Project Manager Qualifications

4.4.1 Project Manager Qualifications

Table 6 below captures the Project Manager Qualifications from the RFP and Mr. Bateman's experiences which exceed the required qualifications. Mr. Bateman's resume is included in the next section and highlights the most relevant experience.

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

Table 6. Required Experience (RFP Sections 4.4.1.1 to 4.4.1.6)

Required Experience	Exp.	Met ?	Industry Experience
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;	***7 yrs***	✓	■ ***Over the past 7 years Mr. Bateman has been managing over 20 projects, primarily within state clients***
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 yrs***	✓	■ ***Mr. Bateman worked as the Project Manager for 2 separate implementations of enterprise systems for state government clients*** ■ ***Mr. Bateman provided IV&V services for 2 separate enterprise systems implementation projects***
4.4.1.3 A minimum of two (2) years of experience with system analysis and design;	***10+ yrs***	✓	■ ***Mr. Bateman worked as an analyst designing software solutions for ~9 years***
4.4.1.4 A minimum of two (2) years of experience with systems development and implementation;	***~9 yrs***	✓	■ ***Mr. Bateman has worked within a software development organization and for a software company managing implementations (7 years)*** ■ ***Mr. Bateman has managed two separate enterprise software implementations with State clients (3 years)***

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Required Experience	Exp.	Met ?	Industry Experience
4.4.1.5 Completed at least one (1) project within the past three (3) years that involved designing business processes and procedures and developing new systems to support the new business processes; and	***3 projects***	✓	■ ***Over the past 3 years Mr. Bateman led the development of future state business processes for enterprise systems on 3 separate projects.***
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.	***3 projects***	✓	■ ***Over the past 3 years Mr. Bateman has managed three projects which included multiple stakeholders. Two of these projects included Gartner's client, their control agencies and the Federal partners as stakeholders. One of these projects included the legislature and governor's office as stakeholders.***

5.1.2 Team Member Qualifications

4.4.2 Individual Verification Services Team Member Qualifications

Table 7 below captures the IV&V team member qualifications and which of our team members meet these requirements. The section that follows includes a resume for each team member. These highlight their most relevant experiences.

Table 7. Required Experience (RFP Sections 4.4.2.1 to 4.4.2.16)

Required Experience	Richard Bateman	Kevin Chartrand	Garland Kemper	Michael Leitch	Alistair McKinnon
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	✓	✓	✓	✓	✓

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Required Experience	Richard Bateman	Kevin Chartrand	Garland Kemper	Michael Leitch	Alistair McKinnon
and software for a Child Support Enforcement or similar large systems;					
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 Completed at least (1) project within the past three (3) years that involved determining the readiness of the system production;	See 4.4.2.8 (this is a duplicate)				
4.4.2.13 A minimum of five (5) years of experience conducting or providing oversight of data cleansing and conversion for a similar sized project;	✓	✓			✓
4.4.3.14 A minimum of four (4) years of experience conducting or providing oversight of systems and user acceptance tests for a similar sized project;	✓	✓			✓

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4.5 VENDOR STAFF RESUMES

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 13.3.18, Key Personnel.

This section includes resumes in the State's format (Attachment H) for all Gartner individuals proposed including the identification of Key Personnel.

PROPOSED STAFF RESUME FOR RFP 3475

Company Name Submitting Proposal:	***Gartner Inc.***

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:	Mark Lennon	**Key Personnel: (Yes/No)**	No
Classification; i.e., Project Manager, Implementation Lead, etc.	State of Nevada Managing Partner (Senior Manager)		
# of Years in Classification:	2	**# of Years with Firm:**	6

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE
Information should include a brief summary of the proposed individual's professional experience.

Mark Lennon is a Managing Partner and leads Gartner Consulting's delivery engagements for the State of Nevada. Mark has over 15 years of state and local government experience, Mr. Lennon possesses significant experience as a government executive at both the State and Federal levels as Deputy Secretary of Veterans Affairs to California Governor Jerry Brown, and Senior Advisory to the Undersecretary Benefits at the U.S. Department of Veterans Affairs.

Mr. Lennon is a high performance team builder adapting experience gained from 20 years as a Navy Reserve Intelligence Officer working in the Special Operations community, to include a combat deployment to Iraq. He is a frequent speaker on the topic of leadership and creating a high performance culture in public sector organizations.

Prior to joining Gartner, Mark was a Managing Consultant with Deloitte, where he focused on large-scale system integration projects in the public sector.

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

Time frame — June 2016 — Ongoing

Company name and location — Nevada Department of Administration

Position held and description — Engagement Manager

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Project description — NV DOA is undertaking the SMART 21 Project, which is a statewide Enterprise Resource Planning (ERP) solution for Payroll, HR and Budgeting. The project was initiated in June 2016 and scope currently includes:

- Developing a statewide ERP strategy and functional/non functional requirements. This included conducting over 20 working sessions with department SME's, identifying differentiating requirements for specific departments, developing an acquisition strategy, and documenting all requirements for inclusion in an RFP
- Procurement support. Gartner is currently supporting the State in development of the ERP RFP and leading the state through a complex procurement, to include vendor scoring, contract negotiations and contract award
- Project IV&V. The State has requested that Gartner provide IV&V services for the duration of the estimated 5-year implementation of the ERP solution.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio, SharePoint and other project management tools.

EDUCATION

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

- London School of Economics, Master Science in Public Policy
- University of California San Diego, Bachelor Arts in Political Science

CERTIFICATIONS

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

Project Management Professional, Project Management Institute

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

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

Proficient in Microsoft Office, Microsoft Visio, Microsoft Project, SharePoint and additional tools leveraged to provide strategic consulting services such as project oversight.

REFERENCES

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

- Name: Patrick Cates, Director Nevada Department of Administration, Phone Number: (775)-684-0170, Email address: pcates@admin.nv.gov
- Name: Lee-Ann Easton, Deputy Director Nevada Department of Administration, Phone Number: (775) 684-0299, Email address: leaston@admin.nv.gov
- Name: Jeff Haag, Nevada State Procurement Officer, Phone Number: (775) 684-0184, Email address: jhaag@admin.nv.gov

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PROPOSED STAFF RESUME FOR RFP 3475

Company Name Submitting Proposal:	Gartner Inc.

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:	Frank Petrus	**Key Personnel: (Yes/No)**	No
Classification; i.e., Project Manager, Implementation Lead, etc.	HHS Managing Partner (Senior Manager)		
# of Years in Classification:	10+	**# of Years with Firm:**	10+

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

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

Frank Petrus is Senior Managing Partner and leads Gartner's Public Sector Health and Human Services (HHS) Practice. He and his team solely focus on public sector health and human services consulting services. Frank brings more than four decades of state and local government experience in public sector health and human services. He has been in executive leadership roles in state and local government and is a recognized national expert on federally funded health and human services programs and management information systems.
Frank's range of experience includes eligibility and enrollment, Child Support Enforcement, Medicaid, public health, behavioral health services, child welfare services, welfare-to-work and temporary assistance for needy families (TANF), supplemental nutrition assistance program-SNAP (food stamps), women, infant and children (WIC), and homeless services. He has a proven record of accomplishment in ensuring the effective application of information technology to human services. For more than 20 states—including Arizona, Arkansas, California, Connecticut, Georgia, Hawaii, Illinois, Indiana, Iowa, Maryland, Tennessee, Texas, Ohio, New Mexico, New York and Vermont.

Prior to joining Gartner, Mr. Petrus was the President of Children and Family Services Consulting Services at MAXIMUS, Inc.; Executive Vice President of the Center for the Support of Families, Executive Vice President of the Child Welfare Institute and Director of Children and Family Services for New York State Department of Social Services.

RELEVANT EXPERIENCE

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

Time frame — October 2013 — Ongoing (Two Phases: Phase I 2013-2015; Phase II 2016-Present)

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Company name and location — State of Tennessee Department of Human Services Enterprise Systems Modernization Project — Planning, Requirements, Procurement Strategy and Quality Assurance

Position held and description — Engagement Manager and Functional SME

Project description — TN DHS has developed an Enterprise Systems Modernization Roadmap for the development of an enterprise integration platform to support the business point-specific solutions for Child Support Enforcement; SNAP; TANF; Child Care and other DHS programs and services. Gartner supported in Phase I the development of the roadmap which DHS executed and the brought Gartner in for the development of the Requirements for Child Support Enforcement; SNAP; TANF and Child Care; support the development of the federally required IAPD for the in scope programs (including Child Support Enforcement); development of the go to market procurement strategy; and provide Quality Assurance Oversight for the System Integration as solution vendors are on boarded.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio, SharePoint and other project management tools.

Time frame — October 2013 — Ongoing

Company name and location — State of Georgia Department of Public Health (DPH) Enterprise Systems Modernization Project — Planning, Readiness Assessment, Requirements, Procurement Life Cycle Support and Quality Assurance

Position held and description — Engagement Manager and Functional SME

Project description — Supported GA DPH in a readiness assessment and in the development of an Enterprise Systems Modernization (ESM) Strategic Plan that leveraged both the National and State agenda for provision of integrated health and human services, and the technology necessary to move the Department into the future. This work included: Functional Requirements, Non-Functional Requirements and General Systems Design, PAPD and IAPD Development, Procurement Strategy and Life Cycle Procurement Support, Shared Analytics Business Intelligence Competency Center, Quality Assurance Role, and the Establishment and Support of the DPH ESM Program Management Office (PMO). In addition to the above consulting services, provided coaching and mentoring to the Technical and Business leads around: restructuring of DPH's IT Organization including development of new job descriptions; set up of the PMO organizational structure, staffing required, charter, reporting tools and risk and issue tracing mechanisms; and ongoing PMO operations.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio, SharePoint and other project management tools.

Time frame — March 2011 — February 2016

Company name and location — County of San Diego (CoSD) Health and Human Services Agency (HHSA) — Enterprise Systems Modernization Project — Planning, Readiness Assessment, Requirements, Procurement Life Cycle Support and I V&V

Position held and description — Engagement Manager and Functional SME

Project description — Supported San Diego County HHSA in the development of strategic initiatives for an information exchange and collaboration solution across multiple County agencies and targeted toward specific populations. Developed Future State scenarios, models of practice, a Technology Solution Pattern and Implementation Roadmap.

Provided CoSD with professional and expert transformation advice and guidance to define, implement, and sustain this significant transformation initiative. Supported transformation

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services from initial visioning, through definition of the future state model of service provision, procurement of the necessary services, and building a model for ongoing sustainment.

Worked with CoSD HHSA Program and Technical SMEs to develop the requirements for the technology solution that will enable the County to realize its vision. Supported the transformation objectives of the Knowledge Integration Program, and helped to build out a plan for the ongoing transformation program the will be driven by the Knowledge Integration Program.

This work included: Development of Functional Requirements, Non-Functional Requirements and General Systems Design, Procurement Strategy and Life Cycle Procurement Support leading to the securing of a best value System Integrator and provided I V&V Services.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio, SharePoint and other project management tools.

EDUCATION

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

St. John Fisher College, Rochester, New York — B.S. degree

State University of New York at Brockport, New York — M.S. degree

University of Rochester, Rochester, New York — Completed all but Dissertation for EdD

CERTIFICATIONS

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

N/A

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

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

Proficient in Microsoft Office, Microsoft Visio, Microsoft Project, SharePoint and additional tools leveraged to provide strategic consulting services such as project oversight.

REFERENCES

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

- Name: Paul Ruth, Phone Number: 404 657 2708, Fax Number: 404 657 2910, Email address: Paul.Ruth@dph.ga.gov
- Name: Greg Turner, Phone Number: 615 394-1767, Fax Number: N/A (Please use Email), Email address: greg.N.Turner@tn.gov
- Name: Nick Macchione, Phone Number: 619 929-5028, Fax Number: 858 467 9088, Email address: Nick.Macchione@sdcounty.ca.gov

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PROPOSED STAFF RESUME FOR RFP 3475

Company Name Submitting Proposal:	Gartner Inc.

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:	Richard Bateman	**Key Personnel: (Yes/No)**	Yes
Classification; i.e., Project Manager, Implementation Lead, etc.	Senior Director (Senior Manager)		
# of Years in Classification:	10+	**# of Years with Firm:**	10+

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

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

Mr. Bateman has more than 20 years of experience leading organizations through enterprise application initiatives. He is currently a Managing Partner within the Public Sector Health and Human Services Practice where his primary focus is leading enterprise health and human services applications related project. In this role he has developed a deep knowledge of HHS business challenges and how to best leverage technology to address these challenges.

Mr. Bateman has more than 10 years managing projects of all sizes, ranging from teams of less than 10 people to teams of more than a hundred people. Through this varying experience he has gained an understanding of how to scale (or not scale) project management teams and processes to meet the needs of the project being performed. These projects span the entire life cycle of software development, from strategy development to maintenance and operations, with a focus on project management and oversight on software implementation projects.

Prior to joining Gartner Mr. Bateman spent 9 years working for a variety of small and large software companies in software development organization filling project manager, product manager, implementation manager and other leadership roles.

RELEVANT EXPERIENCE

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

Time frame — Nov. 2010 — Dec. 2011

Company name and location — California State Teachers Retirement Fund (CalSTRS), Sacramento, CA

Position held and description — Project Manager, Penalties and Interest Project

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Project description — The project's scope was to implement an enterprise solution to track all contributions and calculate and any penalties and interests for the $213 billion pension fund. The role performed was the client project manager (the implementation was outsourced). The tasks included all project management tasks anticipated for a multi-year, large enterprise software implementation including vendor management, schedule management, budget management, scope/change management, risk and issues management, performance management and quality management.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — May 2011 — June 2013

Company name and location — California State Teachers Retirement Fund (CalSTRS), Sacramento, CA

Position held and description — Project Manager, Corporate Accounting and Resource Management (CARM)

Project description — The project's scope was to implement a corporate accounting system for the $213 billion pension fund. The role performed was the client project manager (the implementation was outsourced). The tasks included all project management tasks anticipated for a multi-year, large enterprise software implementation including vendor management, schedule management, budget management, scope/change management, risk and issues management, performance management and quality management.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — June 2007 — June 2010

Company name and location — California Division of Recycling, Sacramento, CA

Position held and description — IV&V, Division of Recycling Integrated Information System (DORIIS)

Project description — The project's scope was to implement a system to track all financial activities related to the State of California's Recycling Program. The role performed was the IV&V consultant, performing deliverables reviews, detailed analysis to identify risk and issues and provide periodic IV&V reports to the project leadership. This included providing strategic guidance and executive presentations and reports to the project leadership.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — Jan. 2013 — Current

Company name and location — Department of Human Services, Honolulu, HI

Position held and description — Project Manager for Gartner's team and individual contributor. Assisted in developing DHS' strategy, managed a Request for Information process, lead the development of detailed functional requirements, development implementation requirements and multiple Statement of Work, wrote the IAPD and managed through the approval process, developed multiple Request for Proposals for multiple implementation vendors, a multi-vendor integrator and IV&V vendor and assisted with the vendor evaluation process.

Project description — The State of Hawaii engaged Gartner to lead them through the process of modernizing their legacy systems. The engagement commenced with leading DHS' leadership

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through the process of defining their strategy and is concluding with the selection of an implementation vendor.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — July 2016 — Current

Company name and location — Department of Human Services, Little Rock, AR

Position held and description — Project Manager for Gartner's team and individual contributor. Assisted in assessing their current $100M implementation project, led the development detailed functional requirements, developed detailed implementation requirements and statements of work for two separate RFPs and led Arkansas through the evaluation and selection process

Project description — Arkansas' Department of Human Services engaged Gartner to assess the troubled implementation. This health check lead to a strategy to contract with a new vendor to manage the entire system. Gartner was then engaged to lead Arkansas through the selection process.

EDUCATION

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

Northwestern University, Evanston, IL — Bachelor of Science, 1991; graduated with honors

University of Michigan, Ann Arbor, MI — Master of Business Administration (MBA); graduated with honors; received Citibank scholarship awarded to the top 2% of students

CERTIFICATIONS

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

Certified Project Management Professional (PMP) — November 2007

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

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

Proficient in Microsoft Office, Microsoft Visio, Microsoft Project and additional tools leveraged to provide strategic consulting services such as project oversight.

REFERENCES

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

- Name: Chris Caietti, Phone Number: 916 414 4073, Fax Number: 916 414 5040, Email address: ccaietti@calstrs.com
- Name: Kim Gardner, Phone Number: 501-231-8612, Fax Number: 501 682 4310, Email address: Kim.Gardner@arkansas.gov
- Name: Ryan Shimamura, Phone Number: (808) 561-1253, Fax Number: N/A,,Email address: RShimamura@dhs.hawaii.gov

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PROPOSED STAFF RESUME FOR RFP 3475

Company Name Submitting Proposal:	Gartner Inc.

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:	Michael Leitch	**Key Personnel: (Yes/No)**	Yes
Classification; i.e., Project Manager, Implementation Lead, etc.	Director (Senior Consultant)		
# of Years in Classification:	18	**# of Years with Firm:**	18+

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

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

A member of Gartner's New York City-based consulting team, Mike Leitch has over 20 years of experience in a variety of government and industry engagements. His experience includes project portfolio management, IT & business process analysis, application development and implementation, program management, IT governance, and quality assurance (QA) and independent verification and validation (IV&V) services. Mr. Leitch specializes in providing quality assurance and project assessments to major initiatives and in the implementation of Project/Program/Portfolio Management Offices (PMO), processes and standards. His background includes application development, including requirements definition, user interface and data design, coding and testing.

RELEVANT EXPERIENCE

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

Time frame — April 2016 — ongoing

Company name and location — State of Connecticut, Department of Social Services:

Position held and description — IV&V Lead

Project description — Ongoing ImpaCT (new Integrated Eligibility implementation) Independent Validation & Verification services. Providing in-depth guidance on program management, quality, and strategic issues and risks through regular support, deliverable review, and formal program health-checks.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — January 2015 — Ongoing

Company name and location — State of Georgia, Department of Public Health:

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Position held and description — Program and Project Management Subject Matter Expert

Project description — Created Generalized System Design and detailed non-functional requirements for the in-process Enterprise Care Management, WIC Electronics Benefits and Enterprise Claiming and Payment advanced planning (in support of Federal Funding applications) and procurements.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — February 2013 — March 2016

Company name and location — State of Vermont, Department of Social Services:

Position held and description — IV&V Lead

Project description — Provided Independent Validation & Verification quality assurance services for a transformative Health and Human Services initiative. Provided project and program reviews including evaluation of vendor deliverables and development strategy. Interviewed senior State officials and other stakeholders and provided findings and recommendations to program leadership

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — March 2012 — June 2012

Company name and location — City of New York, Taxi & Limousine Commission

Position held and description — Quality Assurance Lead

Project description — Provided PM/QA services on a critical program to modernize and automate business processes. Advised the executive team on contract term compliance. Reviewed deliverables and ensured scheduled program activities were reported accurately. Provided oversight on requirements development and validation, testing, and system implementation..

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — Jan 2004 — April 2011

Company name and location — City of New York: Department of Information Technology and Telecommunications

Position held and description — Quality Assurance Lead, PMO Subject Matter Expert

Project description — Established Program Management Office (PMO) for highly visible integrated program affecting the safety of New York City. Created PM processes, including vendor contract management; program risk management; and quality planning and management. Assessed project governance, processes, and execution against industry best-practice. Advised client and vendors on development of an integrated program roadmap and program plan. Created communications, risk management, and vendor management plans for the program, including reporting processes and methods. Responsible for ensuring all program activities adhered to best-practice program management methodology while supporting the unique needs of the City of New York. Provided guidance on Task Order and Statement of Work development for system integrator services. Developed management dashboards used to track and control program activities. Established program management quality assurance processes and methods. Developed risk management processes and trained project managers on

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implementation. Created financial reporting processes — driving both vendor and City financial management.

EDUCATION

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

Campbell University, Buies Creek, North Carolina — Masters in Business Administration (MBA), 1995

Campbell University, Buies Creek, North Carolina — Bachelor of Business Administration (BBA) in Accounting (with honors), 1992

CERTIFICATIONS

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

Project Management Professional (PMP), Project Management Institute, 2003

PRINCE2, U.K. Office of Government Commerce, 2005

Information Technology Infrastructure Library (ITIL), 2003

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

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

Proficient in Microsoft Office, Microsoft Visio, Microsoft Project and additional tools leveraged to provide strategic consulting services such as project oversight.

REFERENCES

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

- Name: Matthew Robertson, ImpaCT Program Director, Department of Social Services, State of Connecticut. Phone Number: 860 424 5811, Fax Number: N/A, Email address: Matthew.Robertson@ct.gov
- Name: Paul Ruth, Chief Information Officer (CIO), Department of Public Health, State of Georgia, Phone Number: 404 657 2708, Fax Number: N/A, Email address: Paul.Ruth@dph.ga.gov
- Name: Paul Pratt, AHS IT Director- PMO, Agency of Human Services, State of Vermont, Phone Number: 802 871 3171, Fax Number: N/A, Email address: paul.pratt@state.vt.us

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PROPOSED STAFF RESUME FOR RFP 3475

Company Name Submitting Proposal:	***Gartner Inc.***

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:	Garland Kemper	**Key Personnel: (Yes/No)**	No
Classification; i.e., Project Manager, Implementation Lead, etc.	Associate Director (Senior Consultant)		
# of Years in Classification:	20	**# of Years with Firm:**	4+

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

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

Garland Kemper is a member of the Gartner State and Local Government Health and Human Services Vertical and has over 20 years of direct experience in working with health and human services agencies and providers throughout the United States.

She has a deep range of experience in working with eligibility and case management systems and data for the full array of human services, including Medicaid, public assistance, child support, public health, mental health, child welfare, and education. She has worked on projects to implement over 20 critical HHS and education solutions in 15 states, and has managed projects as large as $200M in total contract value.

Her background includes project management, IT strategic planning, functional requirements development and analysis, Quality Assurance, procurement development and support, and all aspects of large systems implementation.

RELEVANT EXPERIENCE

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

Time frame — January, 2016 — current

Company name and location — Tennessee Department of Human Services

Position held and description — Functional Lead — As Functional Lead, Ms. Kemper assures that all to-be business processes and functional requirements are documented in support of a procurement for an integrated human services solution. Program included in this project are Child Support, TANF, SNAP and Child Care.

Project description — Gartner was retained to develop the functional and non-functional requirements and develop the IAPD for an enterprise solution for the Tennessee Department of Human Services.

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Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management and documentation tools

Time frame — March, 2015 — current

Company name and location — Arkansas Department of Human Services

Position held and description — Functional Lead — As Functional Lead, Ms. Kemper assures that all to-be business processes and functional requirements are documented in support of a procurement for an integrated human services solution. Program included in this project are MAGI, CHIP, Medicaid, TANF, and SNAP.

Project description — Gartner was retained to develop the functional and non-functional requirements, the Request for Proposals, and perform procurement support for an enterprise solution for the Arkansas Department of Human Services.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management and documentation tools

Time frame — Jan — Dec, 2014 (while with Unisys)

Company name and location — State of Michigan

Position held and description — SACWIS Project Communication Lead — Served as the Communications Lead, providing direction and content about the project status and startup activities for dissemination to all project stakeholders.

Project description — System Integration of a statewide automated child welfare system (SACWIS).

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other communication tools

Time frame — Jan — Dec, 2013 (while with Unisys)

Company name and location — State of Maine

Position held and description — MMIS System Implementation Project Manager — Oversaw the Design, Development, and Implementation for the State of Maine's Medicaid Fiscal Agent contract, an engagement to implement the Unisys Health PAS solution. Directly and indirectly managed a team of over 70 staff from Unisys and four principle subcontractors. Managed revenue of $178M.

Project description — System integration of a Medicaid management information system (MMIS)

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools

Time frame — July — Dec, 2012 (while with Unisys)

Company name and location — State of Indiana

Position held and description — SACWIS System Quality Assurance Project Manager — Provided quality assurance and project management best practices oversight and consulting services to the State of Indiana's ICWIS modernization project. Developed project planning, documentation, testing and quality assurance processes and plans to the State and Unisys project management.

Project description — Statewide Automated Child Welfare System (SACWIS) modernization project

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Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools

Time frame — April, 1998 — June, 2000 (while with Public Consulting Group)

Company name and location — Commonwealth of Massachusetts

Position held and description — Quality Assurance Data Analyst — Served on the quality assurance team. Supervised the data model design process on a department-wide development project, funded through the federal State and Child Welfare and Information System (SACWIS) program. Helped convert data from a 20-year-old legacy system to the Oracle production database. Developed the data model for the data warehouse—a second Oracle Database that satisfies all reporting requirements for the application

Project description — Statewide Automated Child Welfare System (SACWIS) implementation project

Software/hardware used during the project engagement — MS Office, MS Project, Oracle RDBMS and modelling tools

EDUCATION

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

Wellesley College, Wellesley, MA — Bachelor of Arts, 1986

University of Massachusetts, Boston, MA — Master of Business Administration (MBA)

CERTIFICATIONS

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

Certified Project Management Professional (PMP) — March 2008

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

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

Proficient in Oracle 10 and DB2 databases, SQL, Microsoft Office, Microsoft Visio, Microsoft Project and additional tools leveraged to provide strategic consulting services such as project oversight.

REFERENCES

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

- Name: Susan Burton, DHS Policy & Research Director, Phone Number: 501 537 9728,Fax Number: N/A,Email address: Susan.Burton@Dhs.Arkansas.gov
- Name: Lawrence Sanders, Sr. Project Director, Enterprise System Modernization Project, Phone Number: 615 253 3337, Fax Number: N/A, Email address: lawrence.sanders@tn.gov
- Name: Joseph Liscinsky, Health Reform Enterprise Director, Phone Number: (802) 233-6212, Fax Number: N/A, Email address: Joseph.Liscinsky@state.vt.us

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PROPOSED STAFF RESUME FOR RFP 3475

Company Name Submitting Proposal:	Gartner Inc.

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:	Kevin Chartrand	**Key Personnel: (Yes/No)**	Yes
Classification; i.e., Project Manager, Implementation Lead, etc.	Director (Senior Consultant)		
# of Years in Classification:	9	**# of Years with Firm:**	9

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

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

Mr. Chartrand specializes in project planning, procurement and oversight for the Health and Human Services practice at Gartner Consulting. He has experience in financial and competitive analysis; project management; procurement support; process, benefits and asset modeling; and business case and strategy development for government and commercial IT. He has experience managing multiple complex, simultaneous engagements. His experience in management includes projects on Integrated Health and Human Services for the breadth of HHS programs including Child Support. He also has broad experience in Health Information Technology (HIT), Health Information Exchange (HIE), Health Insurance Exchange (HIX), Medicaid Management Information System (MMIS) Medicaid Information Technology Architecture (MITA) 3.0, MMIS State Medicaid Health Information Technology Plan (SMHP), Shared Analytics focusing on Predictive and Performance Analytics and Electronic Health Records/Electronic Medical Records (EHR/EMR) adoption.

RELEVANT EXPERIENCE

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

Recent relevant work includes:

Time frame — Phase II 2016 — Present

Company name and location — State of Tennessee Department of Human Services Enterprise Systems Modernization Project — Planning, Requirements, Procurement Strategy and Quality Assurance

Position held and description — Project Director and Functional SME

Project description — TN DHS has developed an Enterprise Systems Modernization Roadmap for the development of an enterprise integration platform to support the business point-specific solutions for Child Support Enforcement; SNAP; TANF; Child Care and other DHS programs

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and services. Gartner supported in Phase I the development of the roadmap which DHS executed and the brought Gartner in for the development of the Requirements for Child Support Enforcement; SNAP; TANF and Child Care; support the development of the federally required IAPD for the in scope programs (including Child Support Enforcement); development of the go to market procurement strategy; and provide Quality Assurance Oversight for the System Integration as solution vendors are on boarded.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio, SharePoint and other project management tools.

Time frame — October 2013 — Present

Company name and location –State of Georgia Department of Public Health (DPH) Enterprise Systems Modernization Project — Planning, Readiness Assessment, Requirements, Procurement Life Cycle Support and Quality Assurance

Position held and description — Project Manager and Multi-role SME

Project description — Supported GA DPH in a readiness assessment and in the development of an Enterprise Systems Modernization (ESM) Strategic Plan that leveraged both the National and State agenda for provision of integrated health and human services, and the technology necessary to move the Department into the future. This work included: Functional Requirements, Non-Functional Requirements and General Systems Design, PAPD and IAPD Development, Procurement Strategy and Life Cycle Procurement Support, Shared Analytics Business Intelligence Competency Center, Quality Assurance Role, and the Establishment and Support of the DPH ESM Program Management Office (PMO). In addition to the above consulting services, provided coaching and mentoring to the Technical and Business leads around: restructuring of DPH's IT Organization including development of new job descriptions; set up of the PMO organizational structure, staffing required, charter, reporting tools and risk and issue tracing mechanisms; and ongoing PMO operations.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio, SharePoint and other project management tools.

Time frame — March 2011 — February 2016 (in various project phases)

Company name and location — County of San Diego (CoSD) Health and Human Services Agency (HHSA) — Enterprise Systems Modernization Project — Planning, Readiness Assessment, Requirements, Procurement Life Cycle Support and I V&V

Position held and description — Project Manager and Functional SME

Project description — Supported San Diego County HHSA in the development of strategic initiatives for an information exchange and collaboration solution across multiple County agencies and targeted toward specific populations. Developed Future State scenarios, models of practice, a Technology Solution Pattern and Implementation Roadmap.

Provided CoSD with professional and expert transformation advice and guidance to define, implement, and sustain this significant transformation initiative. Supported transformation services from initial visioning, through definition of the future state model of service provision, procurement of the necessary services, and building a model for ongoing sustainment.

Worked with CoSD HHSA Program and Technical SMEs to develop the requirements for the technology solution that will enable the County to realize its vision. Supported the transformation objectives of the Knowledge Integration Program, and helped to build out a plan for the ongoing transformation program the will be driven by the Knowledge Integration Program.

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This work included: Development of Functional Requirements, Non-Functional Requirements and General Systems Design, Procurement Strategy and Life Cycle Procurement Support leading to the securing of a best value System Integrator and provided I V&V Services.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio, SharePoint and other project management tools.

EDUCATION

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

University of Pittsburgh (Pittsburgh, PA) — Bachelor of Science in Materials Science Engineering, 2001

University of California, Davis Graduate School of Management (Davis, CA) — Masters of Business Administration, 2008

University of California, Davis (Davis, CA) — Health Informatics Certificate, 2010

CERTIFICATIONS

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

Certified Professional in Health Information and Management Systems (CPHIMS) — 2015

Information Technology Infrastructure Library (ITIL) Fundamentals v3 — 2012

Certified Project Management Institute (PMI) Project Management Professional (PMP) — 2010

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

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

Proficient in Microsoft Office, Microsoft Visio, Microsoft Project and additional tools leveraged to provide strategic consulting services such as project oversight.

REFERENCES

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

- Name: Joseph Liscinsky, Phone Number: 802-233-6212, Fax Number: N/A, Email address: Joseph.Liscinsky@vermont.gov
- Name: Lawrence Sanders, Phone Number: 615 253 3337, Fax Number: N/A, Email address: Lawrence.Sanders@tn.gov
- Name: Michelle Mosher, Phone Number: 802 503 7331, Fax Number: N/A, Email address: michelle.a.mosher@gmail.com

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PROPOSED STAFF RESUME FOR RFP 3475

Company Name Submitting Proposal:	Gartner Inc.

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:	Alistair McKinnon	**Key Personnel: (Yes/No)**	No
Classification; i.e., Project Manager, Implementation Lead, etc.	Senior Director (Senior Consultant)		
# of Years in Classification:	10+	**# of Years with Firm:**	18+

BRIEF SUMMARY OF PROFESSIONAL EXPERIENCE

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

Mr. McKinnon is the Gartner Health and Human Services practice lead for Enterprise Information Management (EIM). Mr. McKinnon specializes in helping Health and Human Services organizations improve operations and outcomes through enhanced processes, advanced analytics, information architecture, information management and applications systems strategy. Mr. McKinnon has 35+ years of experience in EIM systems (enterprise architecture, application development, business intelligence, data architecture and data warehouse technology). For the last 8 years Mr. McKinnon has been largely focused on the challenges and opportunities of the Government Health and Human Services information management, business intelligence, analytics and health informatics. During this time working for a number of federal, state and local jurisdictions developing strategic and operational EIM plans, architectural assessments/analyses and procurements.

RELEVANT EXPERIENCE

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

Time frame — April 2016 — ongoing

Company name and location — State of Connecticut, Department of Social Services:

Position held and description — Architecture, EIM and technology Lead

Project description — Ongoing ImpaCT (new Integrated Eligibility implementation) IV&V. Providing in-depth guidance on architecture and technology issues and risks through regular support and formal health-checks.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — April 2013 — August 2013

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Company name and location — State of Connecticut, Department of Social Services:

Position held and description — Architecture, EIM and technology Lead and Project Manager

Project description — Using the Gartner Research EIM maturity assessment tool developed a Strategic Roadmap for Shared Analytics and Business Intelligence Infrastructure to bring order to the variety of outsourced data exchanges and analytics in use and set the foundation for enhancing DSS' BI and Shared Analytics maturity and the envisioned partnership with University of Connecticut for an Informatics/Data Utility.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — November 2011 — July 2012

Company name and location — State of Connecticut, Department of Social Services:

Position held and description — Architecture, EIM and technology Lead and Project Manager

Project description — Development of "Advanced Planning Documentation" for expedited funding (EAPD) for Integrated Eligibility for Connecticut with a scope including all HHS services and the State's Benefit (Health Insurance) Exchange. Including subsequent Quality Health-checks and IV&V of the resulting CT integrated eligibility project "ImpaCT."

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — June 2010 — November 2010

Company name and location — State of Connecticut, Department of Social Services:

Position held and description — Architecture, EIM and technology Lead

Project description — Development of the State Medicaid Health Information Technology Plan (SMHP) as required to enable Connecticut to administer and pay Federal incentives to healthcare providers in order to subsidize HIT development and the implementation of EHR systems across Connecticut.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — January 2017 — ongoing

Company name and location — State of Tennessee, Department of Human Services:

Position held and description — Architecture, EIM and technology Lead

Project description — Continuing project developing the Feasibility Study, Cost-benefit Analysis and Implementation Advanced Planning Documents (IAPD) for the ESM program. This included the development of a Generalized System Design and detailed non-functional requirements for the ESM Solution Set (technology enablement and support for TANF, SNAP, Child Care Licensing and Services, CSE, Program Integrity and Appeals & Hearings) and Enterprise Integration Platform in support of the Feasibility Study and forthcoming procurement efforts.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — January 2014 — May 2014

Company name and location — State of Tennessee, Department of Human Services:

Position held and description — Architecture, EIM and technology Lead and Project Manager

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Project description — Developed a strategic roadmap for Enterprise Systems Modernization (ESM) addressing enterprise architecture and application systems rationalization for systems across the scope of TDHS main activities. This included devising enterprise approaches for Family Assistance Eligibility and Benefits Management, Child Care Licensing and Child Support Enforcement.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — January 2013 — March 2013

Company name and location — State of Tennessee, Department of Children's Services:

Position held and description — Architecture, EIM and technology Lead and Project Manager

Project description — Conducted a critical assessment of a State's SACWIS system focusing on the Analytics, BI strategy and Information Management capabilities. This engagement resulted in a wide range of organizational and technical recommendations that are being implemented with immediate effect.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — January 2015 — Ongoing

Company name and location — State of Georgia, Department of Public Health:

Position held and description — Architecture, EIM and technology Lead

Project description — Created Generalized System Design and detailed non-functional requirements for the in-process Enterprise Care Management, WIC Electronics Benefits and Enterprise Claiming and Payment advanced planning (in support of Federal Funding applications) and procurements.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

Time frame — July 2014 — January 2015

Company name and location — State of Georgia, Department of Public Health:

Position held and description — Architecture, EIM and technology Lead

Project description — Developed a strategic roadmap for Enterprise Systems Modernization addressing enterprise architecture and application systems rationalization for public health informatics. This included devising enterprise approaches for Care Management, Claiming and Billing and Shared Analytics for the full set of surveillance, prevention, preparedness, and health promotion needs.

Software/hardware used during the project engagement — MS Office, MS Project, MS Visio and other project management tools.

EDUCATION

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

Strathclyde University, Glasgow, Scotland — Bachelor of Science, Physics, 1974

Strathclyde University, Glasgow, Scotland — Postgraduate diploma in Operations Research, 1975

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CERTIFICATIONS

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

N/A

HARDWARE/SOFTWARE SUMMARY (BE SPECIFIC)

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

Proficient in Microsoft Office, Microsoft Visio, Microsoft Project and additional tools leveraged to provide strategic consulting services such as project oversight.

REFERENCES

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

- Name: Matthew Robertson, ImpaCT Program Director, Department of Social Services, State of Connecticut, Phone Number: 860-424-5811, Fax Number: N/A, Email address: Matthew.Robertson@ct.gov
- Name: Greg Turner, ESM Executive Director, Department of Human Services, State of Tennessee, Phone Number: 615-339-5093, Fax Number: N/A, Email address: Gregory.N.Turner@tn.gov
- Name: Paul Ruth, Chief Information Officer (CIO), Department of Public Health, State of Georgia, Phone Number: 404-657-2708, Fax Number: N/A, Email address: Paul.Ruth@dph.ga.gov

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6.0 Preliminary Project Plan — Section VIII

Through our experiences providing IV&V services, Gartner had recognized the value of producing a plan as the first step in the engagement and appreciate the opportunity to provide components of this plan in our proposal. However, Gartner typically includes more than just the elements outlined in the questions (Section 4.7-4.13 of the RFP) which the State of Nevada has requested be included in the "Preliminary Project Plan" section of the proposal. Gartner typically develops an IV&V Plan which not only outlines the project schedule, project management processes and other project management activities (Section VIII of this Proposal) but also captures the approach and methodology leveraged to produce the IV&V Reports (captured in Section V of this Proposal). Our intention is to consolidate this information into an IV&V Plan during the planning phase of the project.

To align with Section 10.1.10 of the RFP, Gartner has included a response to each RFP question/statement from Sections 4.6 — 4.13 in the section. These, collectively should be considered the Preliminary Project Plan and will be reformatted/restructured and integrated into the IV&V Plan during the planning phase of the project.

4.6 Preliminary Project Plan

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;

Gartner has included a gantt chart within this proposal which captures the activities required to provide the services outlined in the Statement of Work. For ease of readability the gantt chart only includes the tasks through the completion of the first Periodic IV&V Report (Project Planning, Initial IV&V Report, the first Periodic IV&V Report and the first Deliverable Observation Report). The intention is to follow the same steps to produce all of the subsequent Periodic IV&V Reports and Deliverable Observation Reports. This report aligns with the steps defined in Section 3.0, Statement of Work, of the RFP though some tasks and required duration were unclear. Some assumptions made by Gartner in developing this schedule include:

- ***OCSE only needs to review IV&V related deliverables (e.g., they review the IV&V Reports but not deliverables such as "Written Monthly Project Status Reports")***
- ***OCSE requires 4 weeks to review the deliverables***
- ***The State required 20 days to review deliverables (Sections 3.6.2.2 C and 3.6.2.4 C state 20 days while Section 3.6.4 state 15 days)***
- ***The first DOR will be required approximately 5 months after the project commences***

Gartner anticipates updating this preliminary plan/schedule during the initial phase of the engagement to fully align with the State's expectations

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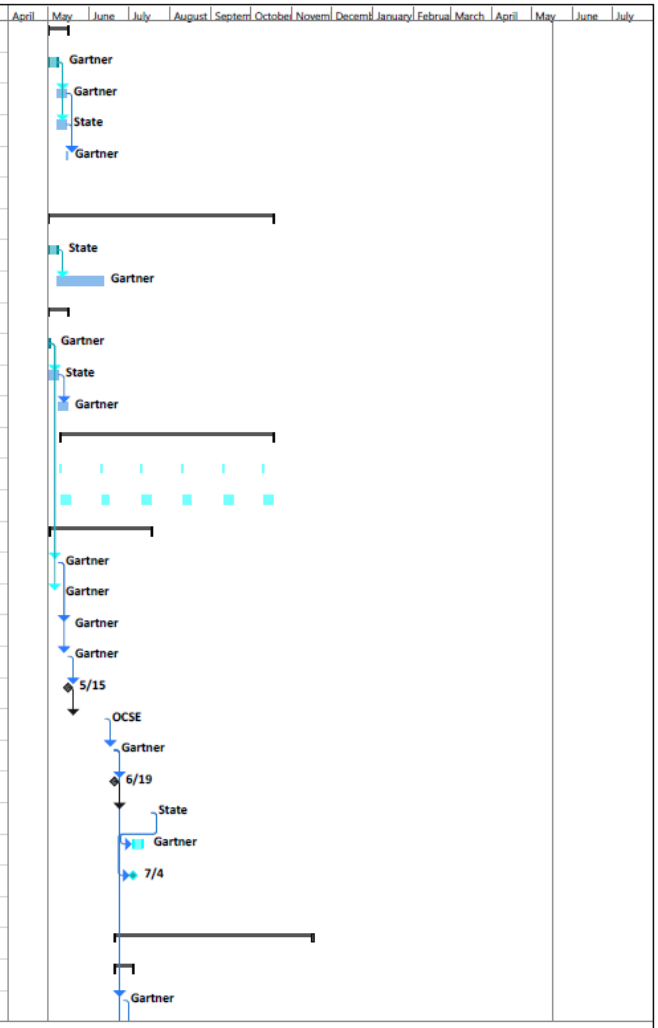
Figure 13. Initial Project Schedule

ID		Task Name	Duration	Start	Finish	Predecessors	Resource Names
1		**Phase 1 - Project Initiation (3.4)**	**11 days?**	**Tue 5/1/18**	**Tue 5/15/18**		
2		Facilitate Project Planning Session(s) with State Project Manager to finalize project management approach)	5 days	Tue 5/1/18	Mon 5/7/18		Gartner
3		Develop Kick-Off Meeting Materials	5 days	Tue 5/8/18	Mon 5/14/18	2	Gartner
4		Identify stakeholders and schedule Kick-Off Meeting (State)	5 days	Tue 5/8/18	Mon 5/14/18	2	State
5		Facilitate Kick-Off Meetings	1 day?	Tue 5/15/18	Tue 5/15/18	3,4	Gartner
6							
7		**Phase 2 - Project Planning (3.5)**	**122 days**	**Tue 5/1/18**	**Wed 10/17/18**		
8		Identify project meetings for Gartner to attend	5 days	Tue 5/1/18	Mon 5/7/18		State
9		Attend project meetings	25 days	Tue 5/8/18	Mon 6/11/18	8	Gartner
10		**Planning Deliverable Summary Documents**	**11 days**	**Tue 5/1/18**	**Tue 5/15/18**		
11		Develop Deliverable Summary Document for Planning Deliverables	1 day	Tue 5/1/18	Tue 5/1/18		Gartner
12		Provide feedback on Deliverables Summary Document	5 days	Wed 5/2/18	Tue 5/8/18	11	State
13		Update and approve Deliverables Summary Document	5 days	Wed 5/9/18	Tue 5/15/18	12	Gartner
14		**Monthly Status Reports**	**115 days**	**Thu 5/10/18**	**Wed 10/17/18**		
15		**Develop Monthly IV&V Status Report**	**110 days**	**Thu 5/10/18**	**Wed 10/10/18**		
22		**Provide Feedback on Monthly IV&V Status Reports**	**114 days**	**Fri 5/11/18**	**Wed 10/17/18**		
29		**Develop IV&V Plan**	**55 days**	**Wed 5/2/18**	**Tue 7/17/18**		
30		Discuss preliminary plan (content in this proposal) with State stakeholders and collect feedback	5 days	Wed 5/2/18	Tue 5/8/18	11	Gartner
31		Review IV&V Checklists	5 days	Wed 5/2/18	Tue 5/8/18	11	Gartner
32		Consolidate content provided in this Proposal into draft IV&V Plan	5 days	Wed 5/9/18	Tue 5/15/18	30	Gartner
33		Update to reflect State feedback and adjust for any changes identified	5 days	Wed 5/9/18	Tue 5/15/18	30	Gartner
34		Provide Planning Deliverables (e.g. Draft IV&V Plan) to OCSE for feedback	0 days	Tue 5/15/18	Tue 5/15/18	33	Gartner
35		Review Planning Deliverables	20 days	Wed 5/16/18	Tue 6/12/18	34	OCSE
36		Update Planning Deliverables to address OCSE feedback	5 days	Wed 6/13/18	Tue 6/19/18	35	Gartner
37		Provide draft Planning Deliverables to the State for review	0 days	Tue 6/19/18	Tue 6/19/18	36	Gartner
38		Review Planning Deliverables	20 days	Wed 6/20/18	Tue 7/17/18	37	State
39		Update and finalize Planning Deliverables	5 days	Wed 7/4/18	Tue 7/10/18	38	Gartner
40		Close out Planning Phase and invoice	0 days	Wed 7/4/18	Wed 7/4/18	38	Gartner
41							
42		**Produce Initial IV&V Report (3.6)**	**108 days?**	**Wed 6/20/18**	**Fri 11/16/18**		
43		**IV&V Report Planning Activities**	**10 days**	**Wed 6/20/18**	**Tue 7/3/18**		
44		Identify project meetings and reviews for Gartner to attend	5 days	Wed 6/20/18	Tue 6/26/18	36	Gartner



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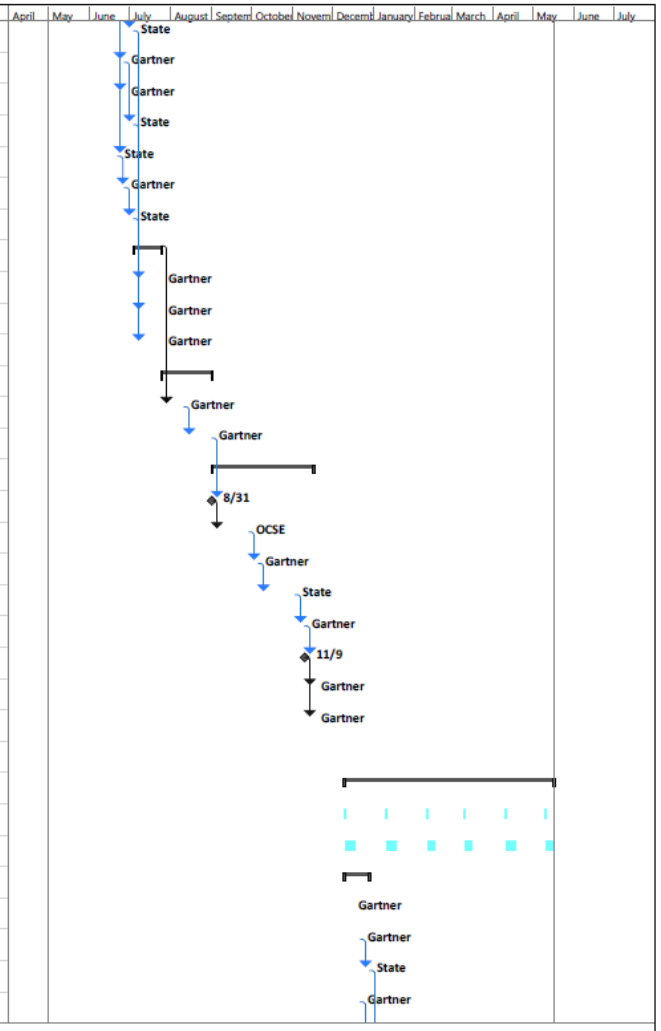
ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
45	Invite Gartner to project meetings	5 days	Wed 6/27/18	Tue 7/3/18	44	State
46	Identify interviewees	5 days	Wed 6/20/18	Tue 6/26/18	36	Gartner
47	Develop Interview Guide	5 days	Wed 6/20/18	Tue 6/26/18	36	Gartner
48	Schedule interviews	5 days	Wed 6/27/18	Tue 7/3/18	46	State
49	Provide inventory of available documentation	2 days	Wed 6/20/18	Thu 6/21/18	36	State
50	Select Documents for Review	3 days	Fri 6/22/18	Tue 6/26/18	49	Gartner
51	Provide Documents	5 days	Wed 6/27/18	Tue 7/3/18	50	State
52	**Perform Data Collection**	**15 days**	**Wed 7/4/18**	**Tue 7/24/18**		
53	Perform Interviews	15 days	Wed 7/4/18	Tue 7/24/18	48	Gartner
54	Attend project meetings	15 days	Wed 7/4/18	Tue 7/24/18	45	Gartner
55	Review Documentation	15 days	Wed 7/4/18	Tue 7/24/18	51	Gartner
56	**Develop Draft Initial IV&V Report**	**28 days**	**Wed 7/25/18**	**Fri 8/31/18**		
57	Analyze findings and follow up (if required)	13 days	Wed 7/25/18	Fri 8/10/18	52	Gartner
58	Develop Draft IV&V Report	15 days	Mon 8/13/18	Fri 8/31/18	57	Gartner
59	**Finalize Initial IV&V Report**	**55 days?**	**Fri 8/31/18**	**Fri 11/16/18**		
60	Submit draft to OCSE and IV&V Contract Officer	0 days	Fri 8/31/18	Fri 8/31/18	58	Gartner
61	Review draft Initial IV&V Report	20 days	Mon 9/3/18	Fri 9/28/18	60	OCSE
62	Update draft Initial IV&V Report to address ACF's feedback	5 days	Mon 10/1/18	Fri 10/5/18	61	Gartner
63	Review draft Initial IV&V Report and provide feedback	20 days	Mon 10/8/18	Fri 11/2/18	62	State
64	Update Draft Initial IV&V Report to address the State's feedback and produce Final Initial IV&V Report	5 days	Mon 11/5/18	Fri 11/9/18	63	Gartner
65	Deliver Final Initial IV&V Report	0 days	Fri 11/9/18	Fri 11/9/18	64	Gartner
66	Conduct formal briefing presentatoin	5 days	Mon 11/12/18	Fri 11/16/18	65	Gartner
67	Archive documents	5 days	Mon 11/12/18	Fri 11/16/18	65	Gartner
68						
69	**Produce Periodic IV&V Report (3.6)**	**114 days**	**Mon 12/10/18**	**Thu 5/16/19**		
70	**Produce Monthly IV&V Status Report**	**110 days**	**Mon 12/10/18**	**Fri 5/10/19**		
77	**Provide Feedback on Monthly IV&V Status Report**	**113 days**	**Tue 12/11/18**	**Thu 5/16/19**		
84	**IV&V Report Planning Activities**	**15 days**	**Mon 12/10/18**	**Fri 12/28/18**		
85	Review the state of the implementation project and assess whether the IV&V Plan requires updates	5 days	Mon 12/10/18	Fri 12/14/18		Gartner
86	Identify project meetings and reviews for Gartner to attend	5 days	Mon 12/17/18	Fri 12/21/18		Gartner
87	Invite Gartner to project meetings	5 days	Mon 12/24/18	Fri 12/28/18	86	State
88	Identify interviewees	5 days	Mon 12/17/18	Fri 12/21/18		Gartner



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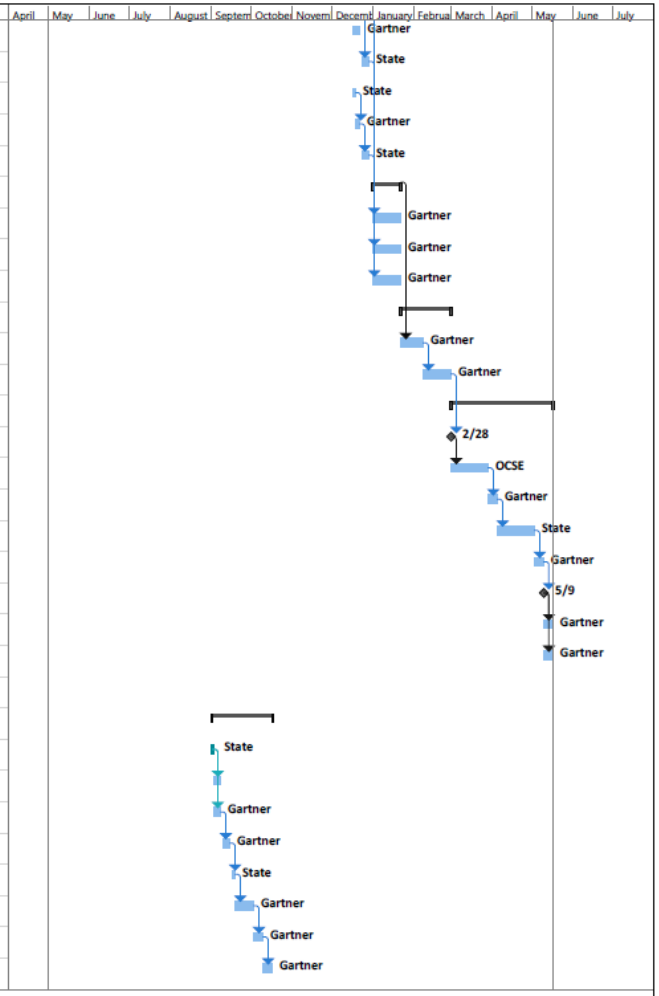
ID	Task Name	Duration	Start	Finish	Predecessors	Resource Names
89	Develop Interview Guide	5 days	Mon 12/17/18	Fri 12/21/18		Gartner
90	Schedule interviews	5 days	Mon 12/24/18	Fri 12/28/18	88	State
91	Provide inventory of available documentation	2 days	Mon 12/17/18	Tue 12/18/18		State
92	Select Documents for Review	3 days	Wed 12/19/18	Fri 12/21/18	91	Gartner
93	Provide Documents	5 days	Mon 12/24/18	Fri 12/28/18	92	State
94	**Perform Data Collection**	**15 days**	**Tue 1/1/19**	**Mon 1/21/19**		
95	Perform Interviews	15 days	Tue 1/1/19	Mon 1/21/19	90FS+1 day	Gartner
96	Attend project meetings	15 days	Tue 1/1/19	Mon 1/21/19	87FS+1 day	Gartner
97	Review Documentation	15 days	Tue 1/1/19	Mon 1/21/19	93FS+1 day	Gartner
98	**Develop Draft IV&V Report**	**28 days**	**Tue 1/22/19**	**Thu 2/28/19**		
99	Analyze findings and follow up (if required)	13 days	Tue 1/22/19	Thu 2/7/19	94	Gartner
100	Develop IV&V Report	15 days	Fri 2/8/19	Thu 2/28/19	99	Gartner
101	**Finalize IV&V Report**	**55 days**	**Thu 2/28/19**	**Thu 5/16/19**		
102	Submit draft to OCSE and IV&V Contract Officer	0 days	Thu 2/28/19	Thu 2/28/19	100	Gartner
103	Review draft IV&V Report	20 days	Fri 3/1/19	Thu 3/28/19	102	OCSE
104	Update draft IV&V Report to address ACF's feedback	5 days	Fri 3/29/19	Thu 4/4/19	103	Gartner
105	Review draft IV&V Report and provide feedback	20 days	Fri 4/5/19	Thu 5/2/19	104	State
106	Update Draft IV&V Report to address the State's feedback and produce Final Initial IV&V Report	5 days	Fri 5/3/19	Thu 5/9/19	105	Gartner
107	Deliver Final IV&V Report	0 days	Thu 5/9/19	Thu 5/9/19	106	Gartner
108	Conduct formal briefing presentatoin	5 days	Fri 5/10/19	Thu 5/16/19	107	Gartner
109	Archive documents	5 days	Fri 5/10/19	Thu 5/16/19	107	Gartner
110						
111	**Produce Deliverables Observation Report (DOR) (3.6.2.6)**	**32 days**	**Sat 9/1/18**	**Tue 10/16/18**		
112	Request a DOR be produced	1 day	Sat 9/1/18	Sat 9/1/18		State
113	Provide document to Gartner	5 days	Mon 9/3/18	Fri 9/7/18	112	
114	Assess staffing needs and identify appropriate resources	5 days	Mon 9/3/18	Fri 9/7/18	112	Gartner
115	Develop framework for performing DOR	5 days	Mon 9/10/18	Fri 9/14/18	114	Gartner
116	Review framework and provide feedback	2 days	Mon 9/17/18	Tue 9/18/18	115	State
117	Review deliverable and produce draft DOR including recommendations	10 days	Wed 9/19/18	Tue 10/2/18	116	Gartner
118	Review DOR with appropriate State resources	5 days	Wed 10/3/18	Tue 10/9/18	117	Gartner
119	Update and finalize DOR	5 days	Wed 10/10/18	Tue 10/16/18	118	Gartner



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Please note, Gartner believes we can produce the IV&V Reports in less than 60 days, however, as the Statement of Work state it will be delivered "sixty (60) calendar days after the start of the on-site portion." Gartner has built the schedule based on that constraint.

4.6.1.2 Planning methodologies;

Gartner has established standard planning methodology for developing IV&V Reports which continues throughout the project. The initial step is to collaborate with stakeholders to update and finalize the IV&V Plan, which will capture how we will perform the assessments. By including this in the initial phase we can ensure our framework and methodology best aligns with the needs of the implementation project. For example, subtle changes will be required to our framework if the implementation vendor leverages an agile planning approach rather than a waterfall approach. The initial IV&V Plan establishes the approach and methodology for the Initial IV&V Report.

Gartner continually monitors the status of the project as we have found this results in more efficient use of State resources, higher quality reports and faster report turn-around. Understanding the current status makes planning for each IV&V Report cycle easier and results in more efficient interviews as they are not spent understanding the project status. From a planning perspective, the high level steps include:

- ***Assess the stakeholder's expectations regarding their current needs and expectations***
- ***Review the current state of the implementation project and assess whether the IV&V Plan needs to be updated to ensure the most effective, efficient assessment can be performed***
- ***Collaborate with the State Project Manager to identify and documents, meetings, and interview candidates***

Once these planning activities are completed Gartner will perform the tasks required to develop the IV&V Report. All of these activities are captured in the project plan.

4.6.1.3 Milestones;

The key milestones are captured within the Project Plan as milestones. For the IV&V Project these milestones are primarily completion of the Draft and Final IV&V Plan and IV&V Reports. All of these milestones are captured in the plan

4.6.1.4 Task conflicts and/or interdependencies;

Currently Gartner has not identified any task conflicts, however, Gartner anticipates there could be conflicts once we try to align our schedule with critical activities on the implementation project. If this occurs Gartner will collaborate with the stakeholders and the State Project Manager to adjust our schedule to minimize the impact on the implementation project team, while meeting stakeholder needs.

Regarding managing interdependencies, the Project Plan includes all task dependencies. These will assist in managing these throughout the project. Gartner has also added the primary resources required for each task (Gartner, State or OCSE). This provides visibility into whether there are resource constraints/dependencies with non-IV&V related tasks.

4.6.1.5 Estimated time frame for each task identified in **Section 4, Scope of Work**; and

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As noted above, Gartner's approach includes all activities required to complete the tasks outlined in Section 3: Scope of Work (note: Gartner has assumed this should refer to Section 3, Scope of Work). The Project Plan includes all of these tasks and the preliminary duration, to be validated during the initial phase of the project.

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.

The Project Plan includes the estimated time frame to create and finalize each IV&V Report. As these will be semi-annual reviews, the total project duration aligns with the contract duration (through April 2024) though, for readability, the tasks required to produce each Periodic IV&V Report are not repeated.

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).

Gartner's proposal does not include any subcontractors. Gartner has included the roles and responsibilities for our project team in Section 4.4 of this proposal. Gartner's Project Manager (Richard Bateman) will be responsible for day-to-day project activities. As such, he is the primary point of communication within Gartner's team and to the State's Project Manager and Federal partners.

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

Gartner expects the preliminary project plan will be 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 4, Scope of Work. The contract shall be amended to include the State approved detailed project plan.

Gartner agrees the final detailed project plan with fixed deliverable due dates which will be incorporated into the contract. These dates may change if the State or Federal stakeholders request a shift to better align the IV&V services with the implementation project (e.g., shift an IV&V Report to align with a major implementation project milestone).

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.

Throughout the project Gartner will continually be monitoring the project status and upcoming tasks to identify risks. Gartner has considered the issues that have occurred in previous engagements in deciding on how to staff the project team and developing the project plan and IV&V approach. As a result of these steps, Gartner does not see any as significant risk to developing high quality, impactful IV&V Reports. We have identified the following risks to providing high quality IV&V reports to the State and Federal agencies and the mitigation strategies, some of which have already captured in this proposal:

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Table 8. Identified Risks

Risk	Priority	Mitigation Strategies
Implementation project team is reluctant to provide the information required	***Low***	■ ***Provide senior project team who understand the challenges of major projects to establish credibility*** ■ ***Provide interview guides prior to performing interviews to ease concerns*** ■ ***Establish credibility with project leadership for being independent and objective and focused on providing value to the project team***
The level of effort assumes a certain level of quality from the implementation vendor. If this does not occur and the general scope is increased	***Low***	■ ***Establish effective relationship with the State project manager to adjust if required*** ■ ***Attend project meetings early to gain an understanding and minimize the impact***
Federal IV&V requirements change, increasing the level of effort required, or requiring resources not currently anticipated.	***Very Low***	■ ***Establish communications with the Federal partner***
If the implementation vendor is unable to perform or is removed may result in the additional tasks or extend the overall timeline	***Very Low***	■ ***Establish effective communications with State project manager***
Excessive focus on compliance may result in the IV&V vendor focusing on complying rather than providing valuable advice	***Low/Med***	■ ***Establish expectations with all stakeholders*** ■ ***Constantly focus on delivering value***

Gartner is confident the project team proposed and the proposed IV&V approach mitigates many of these risks.

See Gartner's response to question 4.7.10 for our approach to managing the risks

4.6.6 Vendors shall provide information on the staff that shall be located on-site 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.

Although Gartner has an office in Carson City and constant presence at the State of Nevada, due to the scope of this project Gartner intends to have resources on this project only on-site while performing activities which require on-site presence. Gartner has found this allows us to maintain our objectivity and minimizes our impact on the implementation project team by focusing our on-site time to specific issues.

As a global company Gartner recognizes the need for enhancing communications and have made a variety of tools and technology, above and beyond mobile phones and emails, available to consultant to enhance remote communications within our teams and with clients. Gartner consultants have access to a variety of tools including:

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- ***Audio Conference — Every Gartner consultant has their own access code and can establish a conference call on demand 24X7X365***
- ***Document Management Systems — Gartner consultants can create secure FTP site on-demand for exchanging large volumes of data and/or documentation. Gartner staff and clients have access to download and upload documents***
- ***Webex — Gartner has an enterprise license for Webex which consultants can use to video conference with clients or present documents running on their computers***
- ***Video conference capabilities — Gartner offices are equipped with video conference capabilities. These can be leveraged for virtual meetings above and beyond the video conferencing capabilities of a computer***

Gartner consulting typically staffs teams with the specific expertise required to address our clients' key strategic priorities. As such, these resources often reside in offices throughout the country. As a result, Gartner consultants are very familiar working in this a virtual environment.

6.1 Project Management

4.7 Project Management

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

Gartner has a standard, structured approach to managing the projects we deliver. This response describes this approach and how it will be leveraged for this engagement. How we assess the implementation project's project management is captured in Section V, Statement of Work.

There are a number of crucial activities that must be performed to effectively manage a strategic engagement:

Gartner's project management process guides reporting, risk mitigation and project control. Our standard processes align with PMP and CMMI standards and are customized to address the unique needs of each project.

Table 9. Client Value Derived from Typical Gartner Project Management Life Cycle

Life Cycle Stage	Gartner Activities and Results	Value to Client
	■ Create customized approach based on client environment, requirements and challenges. ■ Conduct preparation including internal kickoff meeting with subject matter experts, identification of relevant Gartner research, and establishing an online project repository.	■ Increased project success through customized approach — not "cookie cutter." ■ Client does not pay for learning curve; project team "hits the ground running." Increased efficiency through use of a project repository tool. ■ Open lines of communication between Gartner and the

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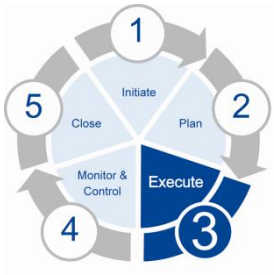
Life Cycle Stage	Gartner Activities and Results	Value to Client
	■ Create collaborative approach by using the most appropriate collaborative tools. ■ Conduct a client kickoff meeting to ensure understanding of the project objectives, scope, schedule, milestones, roles and responsibilities of required resources, and anticipated risks and mitigation strategies.	client throughout the entire project life cycle. ■ Project that is delivered on time and within budget; ability of client to plan for its involvement.
	■ Finalize project management plans, baseline schedule and risk list that is updated throughout the duration of the project. ■ Apply project management tools and leading techniques, customized based on the client requirements and characteristics. ■ Define governance model to formalize key project processes and rules for making important project decisions.	■ Increased value and decreased project risk through proactive approach to identifying and mitigating risks. ■ Rigor in project management, with more than 20% of all Gartner associates PMI certified. ■ More-efficient execution of decision making and recurring tasks.
	■ Manage execution according to the agreed-on schedule, which is updated based on changing client needs. ■ Conduct quality assurance by reviewing and validating the processes used in the execution of project activities.	■ Project that stays on track despite changes to client needs or situation. ■ Deliverables that are based on sound methods and that address client needs.
	■ Proactively manage changes and risks by identifying changing client needs, analyzing impact on the project, and finding a solution with the client. ■ Follow quality control process for draft deliverables that typically includes two reviews (one with internal subject matter experts and one with the client). ■ Report performance through regular status reports that generally include progress to date, activities planned during the next reporting cycle, challenges being faced in execution, risks identified or anticipated, and recommended risk mitigation plans.	■ Increased client satisfaction through quick identification and resolution of required changes. ■ Deliverables that conform to the high Gartner standards, and that meet client requirements, needs and expectations. ■ Decreased project risk through regular status reporting and forward-looking, analytical approach.

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Life Cycle Stage	Gartner Activities and Results	Value to Client
	■ Ensure knowledge transfer which equips the client to be successful and self-sustainable in continued efforts. Review contract with the client to discuss outcomes, accomplishments, lessons learned, client satisfaction, and next steps that can be taken together.	■ Continued client success through increased cultural viability and buy-in that continues after the close of the engagement. ■ Documented lessons learned to help ensure that future Gartner projects for the client run smoothly and effectively.

Gartner's expectation is the project management processes required to manage and control our engagement will be updated during the initial phase of the project and integrated into the IV&V Plan, balancing the need for ensuring effective project management with the need to minimize the impact on the project team. This will likely include areas of project management above and beyond what is requested in this proposal, such as:

- ***Acceptance Management (aligned with what is captured in the RFP, but including how deliverables such as "Attendance at all scheduled meetings" are submitted and approved)***
- ***Issue Management***
- ***Project Change Control Management (how are request to change the scope and/or schedule requested, processes, documented and approved)***
- ***Roles and Responsibilities***
- ***Schedule Management***

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

Although project integration issues are uncommon in IV&V projects, Gartner has structured the project team structure and defined roles of each team member to address any project integration issues. The IV&V Lead will be the primary author of the IV&V Reports and that role is accountable for the quality of the report. The process Gartner will follow to ensure the highest quality report is produced and adequate integration is as follows:

- ***The IV&V Lead establish the framework for the IV&V Report, standards and expectations***
- ***The IV&V identifies areas where a subject matter expert is required and communicate to the subject matter expertise their role in performing the assessment***
- ***Team members attend all interviews and meetings and review documentation relevant to their area (this results in multiple people attending sessions and review documents) so the inputs into assessing the projects are common across the team members***
- ***Once the draft detailed assessments are completed the team reviews the entire assessment***

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- ***The team meets to discuss the draft assessment and any areas where different team members may have different perspectives***
- ***As recommendations often span multiple assessment areas the team will collectively identify recommendations***

Additionally, although Gartner's effort does not need to integrate with the implementation project, scheduling our activities to align with the implementation project will produce the most impactful IV&V Reports and minimize the impact of our efforts on the project team. For example, it may be worthwhile adjusting the scheduled IV&V Report to align with a major project milestone to avoid adding more tasks to the constrained team and/or so our reports can be more impactful. Gartner expects this to occur and our proposed approach to making this type of adjustment has been outlined elsewhere in this section.

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;

As this is a fixed fee contract, Gartner's assumption is the project will only include the services outlined in the RFP. Gartner has built a schedule capturing when these services will be performed and provided our approach to providing these services. During the first phase of the project Gartner will collaborate with stakeholders to ensure these align with expectations.

Gartner's project manager will be responsible for ensuring this scope is executed as planned. If stakeholders request minor changes to the schedule or scope (e.g., delay an IV&V Report by one month to align with a major implementation project milestone) the Project Manager is empowered to make those changes.

If, as the project progresses, stakeholders requests significant changes to the approach, schedule or scope, Gartner will follow a rigorous process to ensure the appropriate approvals are received, the impact is fully understood and all organizations are aligned. If a stakeholder requests a change, Gartner will follow the following process (to be finalized during the initial phase of the project):

- ***Gartner and the State project manager discuss the change and whether it is worth pursuing***
- ***Client (State of Federal) and Gartner collaborate and document the change request***
- ***Gartner reviews requested change and assesses the impact***
- ***The State and Gartner Project Managers assess the impact of the change and identify what approvals are required***
- ***The change is presented to the appropriate body for approval (e.g., Federal partner, Project Executive Steering Committee)***
- ***Once/if approved, the State and Gartner project managers complete the required paperwork and Gartner's IV&V Plan will be updated to reflect the change***

Note, the expectation is the level of approval required will vary based on the size of the change requested (e.g., the State project manager can approve small changes while large changes will require Federal and Steering Committee approval). These levels will be defined during the initial phase of the project.

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

Gartner had developed a draft schedule as part of this proposal, which will be finalized during collaborative sessions in the first phase of the project. This establishes the timeline for completing the deliverables. Before each phase the Gartner project manager will develop a task plan with specific resources assigned to each task. Collectively the team will review this plan to ensure the team is comfortable with the estimated duration. Once the tasks commence Gartner's project manager will monitor progress directly with resources and if there is risk that the schedule will not be met will rebalance workload/tasks within the team.

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

N/A — Gartner is not proposing any contractors or subcontractors

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

Gartner plans to follows the same process if there is a request to change any of the project parameters — scope, schedule or budget — and will follow the process outlined in our answer to question 4.7.2. This process ensures all stakeholders agree to the change, the appropriate approvals are received and minimizes the impact on the project team.

4.7.6 Responding to State generated issues;

The first step in responding to issues is to establish communications channels between Gartner and all stakeholders, both State and Federal. Gartner expects to establish these relationships early in the engagement so these issues can be effectively communicated.

Throughout the project the Gartner project manager will maintain a risk and issue tracking tool where all identified risks and issue will be entered. The Gartner project manager will leverage one of many tools Gartner has created through completing similar projects.

The Gartner project manager will work with the State and the Gartner team to prioritize the issue and identify actions to address this issue

Based on the severity of the issues, the Gartner and State project manager will meet to review progress against resolving the issue

As outlined in the Quality Assurance section of this proposal (question 4.8) Gartner has a standard escalation process. If the State and Gartner project managers are not satisfied with the progress being made on resolving the issue this escalation process will be followed.

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;

Gartner's proposal includes a fixed fee cost for the entire scope of the engagement. These estimates were developed by produced a bottom's up estimate of hours required to complete the tasks included in the Scope of Work and a tops down estimate based on our experiences performing similar tasks. Gartner is confident we can deliver these services and produce high quality deliverables within this budget.

For internal purposes Gartner will develop a forecast of anticipated hours by resource by week. Resources will track hours worked against the forecast. On a monthly basis the

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project manager will review costs against forecast to identify any areas of concern. In the unlikely occurrence that issues are identified, Gartner will collectively review our approach and identify the areas which are causing the inefficiencies. It is important to note that, as this is a fixed fee proposal, this will not impact the State of Nevada.

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

On an IV&V project if resources are not effectively used both the IV&V team and the implementation team are impacted — valuable project resources waste time meeting with the IV&V vendor because that vendor is not focused. Gartner's resource management approach (driven by our IV&V approach) is designed to use our and project team resources most efficiently and effectively.

As mentioned elsewhere, Gartner will continually monitor the status of the project so we are prepared for each IV&V Report cycle. Before each IV&V Report cycle Gartner will assess the status of the project and identify the key areas on which the report should focus (for example, implementation planning will not be a focus early in the IV&V project). After our initial assessment Gartner will collaborate with stakeholders (Federal and State) to review our proposed plan and adjust if needed.

The project manager is responsible for managing the IV&V project resources. Based on this plan he will define the level of involvement each team member will have in building the report and the time commitment. For example, the CSE functional resources will likely be more involved in the design phase than the build phase, when the technical resources will be more involved. While performing the data gathering tasks the team will meet frequently to discuss their learnings. The project manager will lead these and, if required, will re-assign resources and hours to the high-risk/complex areas. In addition, the project manager will attempt to identify areas where the team needs additional assistance. In the unlikely occurrence an area is identified, the project manager will reach out to Gartner Inc. and engage with an industry expert on the specific subject.

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

Effective bidirectional communications is the foundation of producing high quality, impactful IV&V Reports. This includes communications between Gartner and clients/stakeholders and within the Gartner team. Sample communications channels include:

- ***Executive communications — Gartner expects communications with the implementation project executives to review our IV&V Reports, focusing on the critical, strategic findings and recommendations and to address any items that need to be escalated by the project managers***
- ***Communications to Federal partners — Although the primary communication with the Federal partners is through the IV&V Reports, Gartner will establish a communication channel to ensure our IV&V Plans align with their expectations.***
- ***Project communications — The Gartner project manager and client project manager will coordinate all project activities, including items such as project status, risks, issues, scheduling and upcoming plans. These communications will be frequent and include performing status calls.***
- ***Implementation project team interviews — Interviews are critical to understanding the project status and producing high quality IV&V Reports. Through years of***

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experience, Gartner has staff trained in facilitating interview sessions, and ensuring the interviewee is comfortable confiding in the IV&V team. As example of how Gartner has learned to make the interviews as productive as possible is providing an Interview Guide prior to performing the interview to prepare the interviewees.

- ***Project Team meetings — Although these are typically one way, the information communicated is foundational to developing the IV&V Plans***

As the project progresses Gartner assumes additional communication channels will be established to maximize the value of our IV&V effort and to minimize the impact on the project team.

Regarding communications through documentation, Gartner anticipates receiving documents from the implementation project team. Gartner is comfortable with multiple approaches to receiving those documents, ranging from accessing the implementation project document repository to receiving copies of these and saving them on our secure servers. Gartner will conform to the State's policies regarding disposing of these documents.

As part of our scope, Gartner will generate documents. As the IV&V Vendor should remain as independent as possible, Gartner plans to maintain all working documentation on Gartner systems. All draft versions of these will be managed within Gartner's secure network and on encrypted computers which are provided and managed by Gartner. Gartner will collaborate with the State's project manager to define how these are provided to the State and Federal partners. Gartner will comply with the State's policies regarding disposing of these document.

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

While performing our projects Gartner follows a risk management approach aligned with Project Management Institute's PMBOK. This includes the following key steps:

1. ***Risk identification — As captured our responses to question 4.6.5, Gartner has already commenced identifying risks to our project. This will continue throughout the project. Gartner will use multiple techniques to identify risks, such as, on a periodic basis, performing a "look forward" session where we consider the status of the project in 60-90 days to try and identify potential items which could impact our success***
2. ***Prioritization — For each risk identified Gartner will prioritize the risks, based on impact (impact if the risk is realized) and probability (likelihood of the risk being realized). This prioritization will, as appropriate, include other stakeholders***
3. ***Risk Response — The Gartner team will review the risk and assess the appropriate response to the risk (e.g., avoid, transfer, reduce, accept). If the team decides action is required, a mitigation strategy will be developed and, if required, a contingency plan will be formulated***
4. ***Risk Monitoring — As the project progresses the risk will be tracked and managed b the Gartner project manager***

Note: This response is related to risks associated with the IV&V project. All implementation project risks identified while developing IV&V Plans will be tracked following a separate approach. How we identify and track these risks are captured in our response in Section V of this proposal.

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6.2 Quality Assurance

4.8 Quality Assurance

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.

Note: In answering this question Gartner has assumed the State of Nevada is interested in understanding how Gartner assure the services we provide are high quality rather than how we provide Quality Assurance services on implementation projects (similar to IV&V services). If the State of Nevada is interested in understanding If the State of Nevada is interested in understanding how Gartner would/could provide Quality Assurance services on an implementation project, please refer to Section V of this proposal as this outlines Gartner's approach to IV&V services, which is similar to Quality Assurance services.

Quality Assurance and Procedures

Gartner builds in Quality Assurance in all of our projects and has a standard approach to ensuring quality. For consulting engagements, Gartner defines quality as delivering services that:

- ***Meet and exceed the client's objectives and expectations***
- ***Are delivered on schedule***
- ***Are delivered within budget***
- ***Are of the highest quality***
- ***Benefit from cutting-edge Gartner research***
- ***Result in client satisfaction***

On each Gartner project, we ensure quality of service through a rigorous, independent top-down quality assurance (QA) and technical review process. We identify subject-matter experts and research analysts who will not be involved in the day-to-day operations of the project. At the start of the project, they meet internally with the Gartner project team to ensure that all team members are prepared with the tools, knowledge and approaches consistent with Gartner best practices. Throughout the project, they conduct periodic reviews of project progress and key deliverables, thereby independently validating the results of our analysis, assessments and recommendations. They are also available for consultation with team members as required throughout the project to provide insights and address issues.

Gartner ensures the quality of its services and deliverables through a comprehensive and rigorous project management process that involves weekly internal reviews and assessments of engagement activities.

Budget and Schedule Management

The Gartner project manager has responsibility for managing project budget, scope and schedule. All project budgets and time and expense charges are captured in the Gartner project management system utilized by all associates. This tool provides the detailed actual and forecast information required to support the project manager in delivering on our commitments. Gartner and the client's project manager will work to validate the project schedule and work activities prior to starting the project tasks. Once both parties

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are in agreement on the schedule, the Gartner project manager will report progress throughout project execution to manage and control the project schedule and budget. Gartner assumes that all parties involved will use reasonable business efforts to complete the engagement in accordance with the project schedule.

Deliverable Quality

Each draft deliverable goes through an iterative review process prior to submission to the client for feedback. To ensure quality deliverables, the following review and editing cycles are included in each deliverable creation process:

- ***Prior to developing the draft deliverable the entire team discusses an outline of the deliverable to ensure the structure will address the needs of all stakeholders***
- ***Deliverables are submitted to the project manager for review***
- ***The project manager reviews and provides comments for revisions***
- ***Suggested revisions are discussed and incorporated as appropriate***
- ***Deliverables are submitted to the QA representative for feedback***
- ***The QA representative provides recommendations for revisions***
- ***Suggested revisions are discussed and incorporated as appropriate***
- ***The project manager submits the deliverable to the client for review and feedback***

Performance Measurement Reporting and Tools

Performance measurement and reporting are handled through periodic status reporting. The status reporting includes project status discussions, which may include reports on:

- ***Status of current activities***
- ***Accomplishments for the reporting period***
- ***Planned activities for the next period***
- ***Performance against planned budget and schedule***
- ***Open issues and issues resolved since the last period***
- ***Project risks and mitigation plans***

Gartner uses standard project management tools. These tools can include custom spreadsheets developed by Gartner or also in Microsoft Project, depending on the scope and complexity of the project. In addition, depending on the nature of the project, Gartner also utilizes proprietary electronic tools for data collection, benchmarking, surveys and analysis.

Client Issue Escalation and Satisfaction

If a client issue arises that requires escalation, Gartner has an assigned engagement manager or managing partner with responsibility for ensuring client satisfaction on any project. This individual is formally tasked with the following objectives:

- ***Ensuring that Gartner activities support the client's goals***
- ***Building and maintaining a long-standing relationship with the client***
- ***Providing high-level oversight of the project***

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- ***Taking action as needed to resolve issues***

Also, the Gartner Project Management Life Cycle includes mitigation activities targeting any concerns or issues identified by the client. These activities include:

- ***Conducting a joint kick-off meeting to ensure common understanding of project scope and methodology, and to ensure that Gartner deliverables are structured in accordance with client requirements***
- ***Providing regular status reports throughout the engagement that include an analysis of potential risks and appropriate mitigation actions***
- ***Maintaining open lines of communication with the client during each phase of the project so that any issues can be rapidly identified, communicated and resolved***
- ***Performing a close-out procedure after the engagement is completed that may include a Customer Satisfaction Questionnaire/Post-Engagement Review to review the level of client satisfaction and help ensure even greater satisfaction on future efforts with the client***

6.3 Metrics Management

4.9 Metrics Management

Vendors shall describe the metrics management methodology and processes utilized to satisfy State requirements as outlined in **Section 4, Scope of Work** of this RFP. The methodology shall include the metrics captured and how they are tracked and measured.

Note: Gartner assumes you are requesting the metrics management methodology and processes Gartner will leverage to satisfy the requirements outlined in Section 3, Scope of Work.

When Gartner performs IV&V project there are two perspectives as it relates to managing metrics — assessing the implementation vendor's approach to managing metrics and managing metrics generated by our IV&V team.

It is critical the implementation project team has effective processes and policies for tracking project metrics. These can range based on the software development life cycle methodology being leveraged (for example, the metrics will be significantly different if they are following an Agile methodology rather than a Waterfall methodology) however, there are key areas where metrics should be tracked and managed to measure project performance and inform strategic decisions. These areas include, at a minimum:

- ***Business objectives***
- ***Schedule management (velocity, percentage complete, earned value etc.)***
- ***Project changes (including scope, schedule and budget)***
- ***Completed specification and deliverables***
- ***Organizational change management metrics (acceptance etc.)***
- ***Testing metrics (defect find rate, defect fix rate etc.)***
- ***Conformance with contract requirements (tracking requirements against Requirement Traceability Matrix etc.)***
- ***Project budget performance***

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- ***Staffing (e.g., employee turn-over)***
- ***Risks and Issues***

Gartner, while developing each IV&V Report will assess the project's process for reporting and monitoring these metrics. As an IV&V vendor it is important to not only assess the status of these metrics (e.g., performance against the project's plan) but also assess the definition of the metric (is it a valuable metric, defined such that it provides an accurate picture), the processes and policies behind capturing these metrics and whether the project team is conforming to these processes and policies.

Gartner's approach to measuring the project's performance against key metrics starts with developing the IV&V Plan. During the initial phase of the project Gartner will assess which metrics are applicable to the current phase of the project and, during the Initial IV&V Report, will assess the project team's performance against these metrics, as outlined above. In subsequent IV&V Reporting cycles, Gartner will assess whether the metrics the project team should be tracking has changed (for example, defect metrics may not be applicable during the initial phases of the project). If required, Gartner will update our IV&V Plan and include these metrics in our subsequent IV&V Report.

The second element of metrics management for an IV&V vendor is managing metrics generated by the IV&V vendor. In each IV&V Report Gartner will identify key findings (e.g., risks, issues) and identify and prioritize recommendations. Gartner will treat performance against these as a metric and track project team performance against addressing the key findings and implementing the risks.

For the purposes of IV&V, metrics may be collected to measure the success and effectiveness of the project team's quality management processes. If deemed appropriate, Gartner can independently maintain a log to document and report on the following metrics:

- ***The number of DDI Vendor deliverables reviewed***
- ***The number of deliverables rejected by project team as a result of project team reviews (by rejection reason)***
- ***The average time between deliverable submission, review and disposition***
- ***The average time between original deliverable submission and acceptance by project team***
- ***The average number or iterations to accept a deliverable***
- ***Number of deliverables submitted ahead of schedule***
- ***Number of deliverables submitted one time***
- ***Number of deliverables submitted late***
- ***Number of deliverables in multiple review cycles***

6.4 Design and Development Processes

4.10 Design and Development Processes

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;

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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 outlined in our IV&V Approach in Section V of this proposal, Gartner will review the implementation project's design and development process, methodology and tools utilized in developing our IV&V Reports

6.5 Configuration Management

4.11 Configuration Management

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.

As outlined in our IV&V Approach in section V of this proposal, Gartner will review the implementation project's configuration management in developing our IV&V Reports

6.6 Peer Review Management

4.12 Peer Review Management

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.

As outlined in our IV&V Approach in section V of this proposal, Gartner will review the implementation project's peer review management in developing our IV&V Reports

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6.7 Project Software Tools

4.13 Project Software Tools

4.13.1 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.

Gartner anticipates leveraging the software tools outlined in Section 3.3.1.2 of the RFP to produce our deliverables. Due to the scope of this engagement and the need to stay independent, Gartner doesn't see any compatibility issues with the existing computing resources described in Section 2.4. However, Gartner is familiar with these technologies if the need arises.

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

Gartner's fixed fee and hour rates include any training, if required.

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7.0 Other Informational Material — Section IX

7.1 Example Deliverables

The following two documents are included as attachments as part this proposal and represent example Gartner deliverables. These relate to Section V, Scope of Work.

- IV&V Quality Management Plan
- IV&V Baseline Health Check Deliverable

7.2 Additional/Optional Services

7.2.1 Additional Deliverables Observation Reports

Gartner has found performing an independent review of key deliverables is extremely valuable. When performed by seasoned staff the review can reveal significant insight into potential issues well before the team recognizes this is an issue. For example, if the architecture deliverable is low quality, any vendor can identify what parts of the document need to be fixed. However, Gartner's seasoned team would recognize this is symptomatic of a bigger problem which could lead to catastrophic project issues. For example, possible the architect is not qualified/does not have the required experience to architect a solution of this size and scope and/or the architecture simply will require significant rework to deliver the functionality required to support the business' needs.

Aligned with the State of Nevada's Amendment 2, Gartner has included the production of 2 Deliverables Observation Reports in our proposal. Gartner is pleased to offer, as an optional deliverable, the ability to produce additional Deliverable Observation Reports, to be performed on the critical project deliverables from which the project will benefit the most by having a senior staff perform an independent unbiased review.

7.2.2 Research Services — Executive Program

Gartner, Inc. (Gartner) is pleased to provide the Nevada Department of Health and Human Services (DHHS), Division of Welfare and Supportive Services (DWSS) with this Proposal in response to the Scope of Work (SOW) requesting the services of a third-party vendor to provide Independent Verification and Validation (IV&V) related to the design, development and implementation of a replacement automated system for the Child Support Enforcement Program (CSEP). Gartner brings the proven experience and capabilities essential for meeting the expectations of NV DWSS and its Federal Partners, and can provide valuable insight in the review of all technical and managerial aspects of this project.

Gartner's extensive and demonstrated experience in public sector Health and Human Services can provide great value in verifying and validating the design, development, and implementation of large scale, enterprise technology projects. We can provide valuable insight in the area of risk identification and mitigation; compliance with industry best practices for systems development; and compliance with Federal requirements for third-party oversight and attestation due to our years of QA/QA/IV&V experience. In addition, this set of Consulting Services includes Research Services that will provide added value and augment the Consulting Services provided to NV DWSS to further support the success of this project.

Combining the strength of our research and advisory-based services with the execution capabilities of Gartner Consulting will provide added value and extend the value of the Consulting services provided to NV DWSS on an ongoing basis through annual subscriptions to

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support the success of this project. By combining the execution capabilities brought by Gartner Consulting for Independent Verification and Validation with Gartner's Research and Advisory Services, NV DWSS will spend significantly less overall, while having the opportunity to tap the full power of Gartner for support that goes beyond just the IV&V effort for this major technology modernization initiative.

In addition to experienced consulting teams, Gartner has a team of government Research and Advisory analysts dedicated to the public sector and more specifically to the business of government healthcare organizations — our research analysts and consultants have direct experience with the vendor landscape, business challenges and technology solutions that make government healthcare organizations run. This gives our engagement team for NV DWSS unique insight and access to independent objective research relevant to this project.

Gartner is the world's leading IT research and advisory company and we have been offering services in this field since 1979, some 37+ years. Our 13,000+ associates deliver technology-related insight to clients in 11,000 organizations worldwide, supporting 74% of the Global 500 and 71% of the Fortune 1000 with independent advice via Research and Consulting. Gartner has 1,900+ analysts and 675 consultants dedicated to analyzing and interpreting IT in the context of our clients' roles. We know what good looks like and we help our clients achieve it:

We help our clients reduce cost, operate more effectively, mitigate risks and improve business outcomes. No other company can provide the unique combination of assets that we bring to bear in delivering value to our clients every day:

- **Our reputation for objective, independent and candid advice** — We're not obligated to any external agenda or influenced by any third party. Gartner is the only research organization of its kind equipped with an ombudsman's office to ensure that our research is objective, independent and meets our exacting quality standards
- **Our unequaled breadth and depth of expertise** — Our 1,900+ analysts serve clients in 11,000 distinct client organizations across 100+ countries, and our 675 consultants deliver 3,200 engagements each year. We cover 27 core technology areas through 255 annual product and vendor evaluations such as Hype Cycles and Magic Quadrants. This unmatched size and scale enable us to discern patterns and trends that no other research firm can see and to provide actionable advice that drives superior results
- **Our rigorous, analytical approach** — Our proprietary research methodologies represent time-tested practices and procedures designed to maximize quality, and we continually update and improve them, as well as developing new ones to meet our clients' changing needs. We use this same approach for all of the approximately 5,000 research documents we produce a year—totaling 135,793 documents across 1,372 technology and business topics all available on gartner.com
- **Our unique perspective** — Gartner insights are drawn from a fact base that is not available anywhere else. Gartner analysts engage in 250,000 one-to-one client interactions and 23,000 vendor briefings every year. We also have the largest repository of IT performance and staffing data, the largest community of CIOs and an exclusive online client community of 57,000 experienced IT professionals

If the State sees value in the optional Research Services, at contract initiation, we can provide quotes on the cost of these services.

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7.3 Assumptions

The deliverables, schedule and pricing in this Part 1A — Technical Proposal are based on the following assumptions:

DHHS/DWSS Participation:

- DHHS/DWSS will designate a project manager to act as the primary point of contact for this project. The DHHS/DWSS project manager will be expected to work closely with the Gartner employees as needed and will: (a) approve project priorities, detailed step plans and schedules; (b) facilitate the scheduling of Gartner interviews with appropriate client personnel; (c) notify Gartner in writing of any project or performance issues; and (d) assist in resolving project issues that may arise
- The work effort described in this Proposal assumes DHHS/DWSS personnel are available to assist in the manner defined in this Proposal. In the event that DHHS/DWSS personnel are not available, a change of scope may be necessary
- DHHS/DWSS will schedule DHHS/DWSS resources for project activities and provide meeting facilities as necessary
- DHHS/DWSS personnel will be available per the final project schedule

Data Collection:

- Required documentation is readily available
- DHHS/DWSS will provide timely access to all appropriate personnel to be interviewed. These personnel will provide data necessary to complete this project, answer questions, provide existing documentation and attend working sessions
- All data collection and interviews/workshops will take place in person/on-site in Carson City, Nevada or via telephone as described in this Part 1A — Technical Proposal and/or as agreed to at the project kickoff

Key Personnel:

- Resumes of key personnel provided in this Part 1A — Technical Proposal assume a project start date of 5/1/2018. If the actual project start date is different, proposed individuals may not be available. In this event, we will work with DHHS/DWSS to identify alternative personnel with appropriate skills and background

Deliverables and Changes to Scope:

- The scope of this project is defined by this Part 1A — Technical Proposal/Statement of Work. All DHHS/DWSS requests for changes to the SOW must be in writing and must set forth with specificity the requested changes. As soon as practicable, Gartner shall advise DHHS/DWSS of the cost and schedule implications of the requested changes and any other necessary details to allow both parties to make an informed decision as to whether they will proceed with the requested changes. The parties shall agree in writing upon any requested changes prior to Gartner commencing work (see Gartner's' response to 4.7.2 of this Part 1A — Technical Proposal).

  As used herein, "changes" are defined as work activities or work products not originally planned for or specifically defined by this SOW. By way of example and not limitation, changes may include the following:

  - Any activities not specifically set forth in this SOW

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- ❑ Providing or developing any deliverables not specifically set forth in this SOW
- ❑ Any change in the respective responsibilities of Gartner and DHHS/DWSS, including any reallocation or any changes in engagement or project manager staffing
- ❑ Any rework of completed activities or accepted deliverables
- ❑ Any investigative work to determine the cost or other impact of changes requested by DHHS/DWSS
- ❑ Any additional work caused by a change in the assumptions set forth in this SOW
- ❑ Any delays in deliverable caused by modification of acceptance criteria in this SOW

Pricing:

- This is a firm fixed fee consulting proposal. The consulting fee basis for this engagement encompass all expenses related for the consulting services provided for the project. Gartner does not charge for administrative, contracts management or deliverable production. All of those associated costs are built into the firm fixed price for this engagement
- Gartner costing is based on the scope including one Initial IV&V Report and 11 Periodic IV&V Reports based on the contract duration (Section 1.0) and the request for semi-annual reports (Section 3.1.5)

7.4 Master Services Agreement

Attached below is the Gartner, Inc. Consulting Services Supplement to the Master Client Agreement.

Gartner, Inc. Consulting Services Supplement to the State of Nevada Master Client Agreement

This Agreement between Gartner, Inc. with offices located at 56 Top Gallant Road, Stamford, CT 06904 ("Gartner") and [State of Nevada] ("CLIENT") amends the terms of the Master Client Agreement Contract No. ContractName, with an effective date of 9/12/17 between Gartner and CLIENT, and shall apply to all Consulting and/or Benchmarking Services ordered from Gartner. The specific engagement and related fees shall be set forth in separate Statements of Work.

1. Intellectual Property — (a) Gartner shall retain sole and exclusive ownership of the Gartner tools, methodologies, questionnaires, responses, and proprietary research and data generated in the course of performing the consulting services, together with all intellectual property rights therein and the report delivered to Client (the "Deliverables") (collectively, the "Gartner Materials"). Gartner grants to CLIENT a perpetual, non-exclusive, royalty-free license to use and to disclose the Deliverables, subject to the limitations set forth below.

(b) Nothing contained in this Agreement shall preclude Gartner from rendering services to others or developing work products that are competitive with, or functionally comparable to, the consulting services performed. Gartner shall not be restricted in its use of ideas, concepts, know-how, data and techniques acquired or learned in the course of performing the consulting services, provided that Gartner shall not use or disclose any of CLIENT's confidential information, as defined below.

(c) With respect to any benchmarking Services performed by Gartner, CLIENT acknowledges that (i) the contents of the Benchmarking Report (as defined in the

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applicable Statement of Work) and other deliverables are based upon information which is proprietary to Gartner and contained in Gartner's proprietary database, (ii) the contents of the database belong to Gartner solely, (iii) CLIENT's data will become part of the database, (iv) Gartner will code any presentation of CLIENT's data to preserve CLIENT's anonymity, and (v) the database will be used by Gartner in future consulting and benchmarking engagements.

(d) CLIENT shall retain its rights in any proprietary material that CLIENT supplies to Gartner. If CLIENT provides Gartner with materials owned or controlled by CLIENT or with use of, or access to, such materials, CLIENT grants to Gartner all rights and licenses that are necessary for Gartner to fulfill its obligations under each Statement of Work for consulting services.

2. Use of Deliverables — Subject to payment in full of the applicable fees, Gartner grants to CLIENT for internal purposes only a worldwide, royalty-free, perpetual license to use, reproduce, display, distribute copies of, and prepare derivative works of the Deliverables. Unless the Deliverable is a Request for Proposal (RFP) or similar document intended to be distributed by CLIENT, CLIENT shall not make the Deliverables available, in whole or in part, to anyone outside of CLIENT or quote excerpts from the Deliverables to the public, without the prior written consent of Gartner. Notwithstanding the foregoing, CLIENT may share the Deliverables with (i) its outside auditors and/or accountants, (ii) third parties who have signed appropriate confidentiality agreements with CLIENT who are engaged by CLIENT to review or implement suggestions or to further research the issues contained in the Deliverables, and (iii) governmental or regulatory bodies as required by law.

3. Confidentiality — (a) The parties agree to keep confidential and not to use or disclose to any third parties any non-public business information of the other party learned or disclosed in connection with each Statement of Work, including the Gartner Materials ("Confidential Information"). The obligation of the parties with respect to the Confidential Information shall terminate with respect to any particular portion of the Confidential Information if and when: (i) it is in the public domain at the time of its communication; (ii) it is developed independently by the receiving party without use of any confidential information; (iii) it enters the public domain through no fault of the receiving party subsequent to the time of the disclosing party's communication to the receiving party; (iv) it is in the receiving party's possession free of any obligation of confidence at the time of the disclosing party's communication; (v) it is communicated by the disclosing party to a third party free of any obligation of confidence; or (vi) the receiving party has the disclosing party's written permission.

(b) Each party shall provide notice to the other of any demand made upon it under lawful process to disclose or provide any of the other party's confidential information. The receiving party agrees to cooperate with the disclosing party, at the disclosing party's expense, if the disclosing party elects to seek reasonable protective arrangements or oppose such disclosure. Any confidential information disclosed pursuant to such lawful process shall continue to be confidential information.

4. Limitation of Liability — (a) Neither party shall be liable for any consequential, indirect, special or incidental damages, such as damages for lost profits, business failure or loss arising out of use of the Deliverables or the consulting services, whether or not advised of the possibility of such damages. Except for liability for personal injury or death or for damage to property caused by the negligence or willful misconduct of Gartner or its employees, Gartner's total liability arising out of this Agreement and the provision of the

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consulting services shall be limited to the fee paid by CLIENT under the Statement of Work under which such liability arises.

5. Expenses — If any aspect of the consulting services or the Deliverables become the subject of compulsory process for documents, testimony or other investigation, the parties will negotiate in good faith and agree on the fees to be paid in this regard.

6. Acceptance Procedure — Gartner shall perform any Consulting Services in accordance with the schedule set forth in this Agreement or the time specified in a Purchase Order issued by CLIENT. Unless otherwise agreed to by Gartner and CLIENT in any Exhibit or Statement of Work incorporated in this Agreement, Gartner shall provide written notification of performance of any Services, to CLIENT ("Delivery Notice"). CLIENT shall have fifteen (15) days from the date of receipt of the Delivery Notice to provide Gartner with written notification of acceptance or rejection due to unsatisfactory performance. CLIENT's failure to provide written notification of acceptance or rejection shall constitute acceptance for purposes of submission of an invoice by Gartner and Payment. In the event CLIENT issues a rejection notice, Gartner shall, as quickly as is practicable, correct at its expense all deficiencies caused by Gartner. CLIENT shall not unreasonably withhold or delay such acceptance or rejection.

7. Employee Hiring — CLIENT acknowledges that Gartner has invested substantial time and expense in recruiting, hiring, training and retaining employees. CLIENT agrees not to solicit or hire any of Gartner's employees or agents who are involved with the consulting services during the term of this Agreement and for 12 months thereafter, without Gartner's prior written consent. For purposes of this section "to hire" means to hire as an employee or otherwise to engage or retain as an independent contractor or consultant. The prohibition on solicitation shall not apply to employees of either Party who respond to general employee recruitment activities (i.e. job fairs, newspapers, employment websites, etc.) that are routinely made available to the general public.

8. No Third-Party Beneficiaries — This Agreement is for the benefit of the parties only. None of the provisions of this Agreement are for the benefit of, or enforceable by, any third party. It is the intention of Gartner and CLIENT that no third party shall have the right to (i) rely on the consulting services provided by Gartner or (ii) seek to impose liability on Gartner as a result of the consulting services or any Deliverables furnished to CLIENT.

9. Termination — (a) Either party may, upon giving ten (10) business days' written notice identifying specifically the basis for such notice, terminate this Addendum or an individual Statement of Work issued via this Addendum for breach of a material term or condition of this Addendum, provided the other party shall not have cured such breach within the ten (10) business day cure period.

(b) The CLIENT may terminate this Addendum or an individual Statement of Work issued via this Addendum for its convenience upon thirty (30) calendar day's written notice to Contractor. In the event of such termination for convenience, Contractor shall be entitled to payment of all fees incurred prior to the effective date of such termination. All provisions of this Addendum which are by their nature intended to survive the expiration or termination of this Addendum for breach and/or CLIENT's convenience shall survive such expiration or termination.

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Any questions regarding this Part 1A — Technical Proposal should be addressed to:

Frank Petrus
Senior Managing Partner
Gartner, Inc.
10 Glenlake Parkway
Suite 390, Atlanta GA 30328
Telephone: +1 617 851 6800
Facsimile: +1 770 216 8476
Email: frank.petrus@gartner.com

This Part 1A — Technical Proposal was prepared for Nevada Department of Health and Human Service, Division of Welfare and Supportive Services:

Ronda Miller
Purchasing Officer II
Nevada Department of Health and Human Service, Division of Welfare and Supportive Services
515 E. Musser Street, Suite 300
Carson City, NV 89701
Telephone: +1 775 684 0182
Email: rlmiller@admin.nv.gov

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A Plan for

State Department of Social Services

Child Support Enforcement System Replacement – Independent Validation & Verification Quality Management Plan

V1.0

June 1, 2017
Engagement: 330NB0077

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SAMPLE

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1.0 Introduction

The State Department of Social Services Quality Management Plan (QMP) will provide all Child Support Enforcement Replacement (CSE) program participants and key stakeholders with a shared understanding of the scope of services, specific activities and deliverables that Gartner will provide as the Independent Validation and Verification[1] (IV&V) contractor for the CSE program.

The IV&V engagement will encompass the entire CSE Replacement program, which currently includes several core projects but will expand to include other projects as needed. Core projects include:

- Implementation of a replacement CSE system
- Retirement and de-commissioning of the current legacy Child Support Enforcement system

CSE projects that are not currently in the scope of this IV&V engagement are:

- Licensing and Registration System upgrade
- Replacement of the State Legal Affairs Platform (SLAP) system

The IV&V services are designed to help ensure the success of the CSE Replacement project — a robust and responsive enterprise solution, developed and delivered on time, within budget, with the full scope of functionality envisioned (both in terms of technology and business value); and aligned with the State and Department models of practice. The QMP will allow stakeholders to track alignment with defined architectures that the Department has already adopted.

The IV&V tasks will focus on aspects of the projects that are the key success factors (and largest potential risks) for projects. Monitoring, reporting on and managing these risks provides larger insurances that the project will meet its objectives and be delivered within scope, schedule and cost. These focus areas are summarized in Figure 1 below.

SAMPLE

[1] Quality Assurance is thought of as a traditional third party role, supporting Software Development Life Cycle (SDLC) and System Integrator (SI) Vendor oversight. It includes reviewing, commenting and recommending acceptance or revision of major deliverables. It also includes establishing deliverable review criteria, process and oversight. Independent Verification and Validation (IV&V) is an enhanced QA role built on Department of Defense (DoD) and NASA QA standards. It features more intense SDLC and SI oversight of project management, detailed designs, code development, testing and implementation. It includes the full project life cycle oversight – not just milestones. It encompasses review and evaluation of SDLC / SI methodologies and key SDLC tasks and deliverables.

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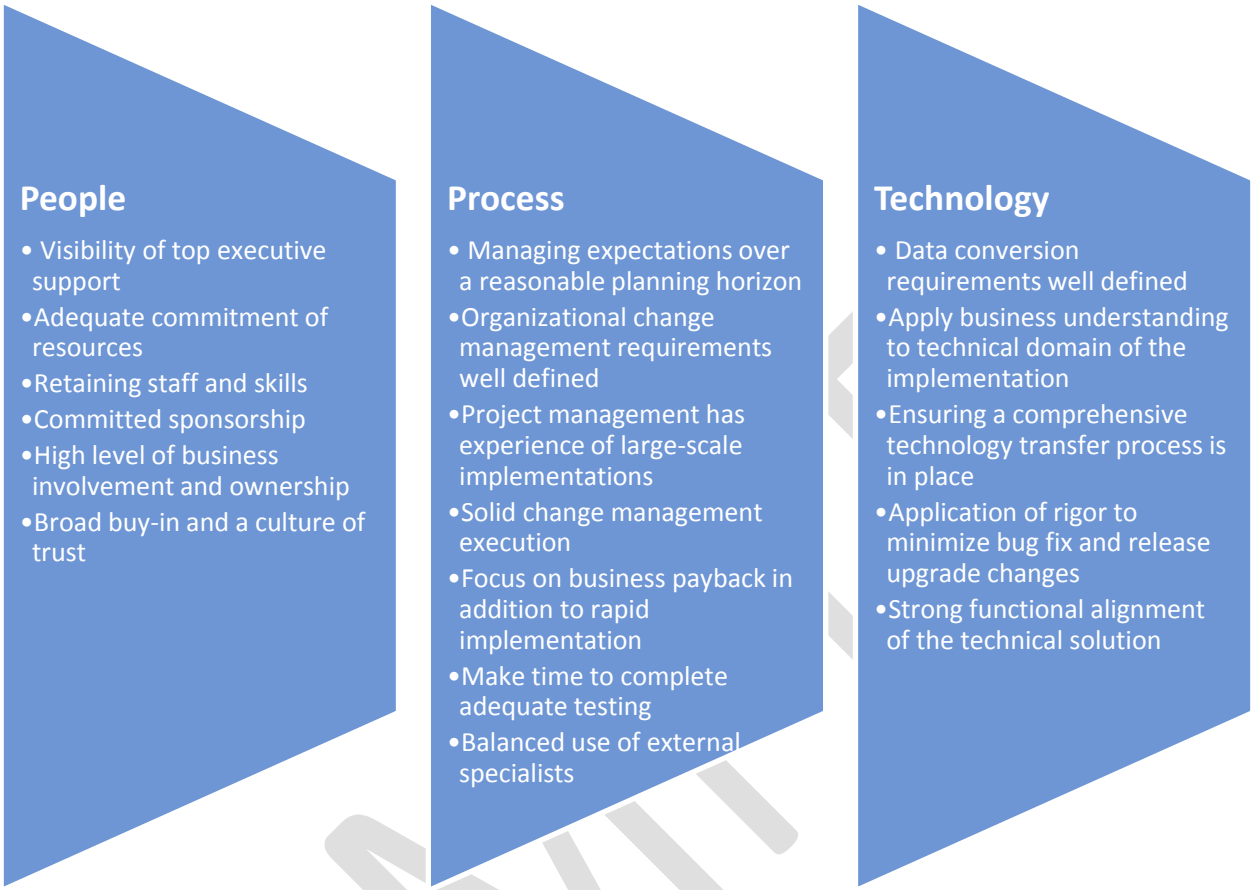
Figure 1. Key Quality Assurance Focus Areas



This Quality Management Plan documents the following:

- Practices and processes that will be applied by State teams, Gartner and all Design, Development and Implementation (DDI) and cooperating vendors to manage the quality of the implementations, and to ensure that sound quality management is an integral element in the DDI phases and all future phases of projects under the program umbrella. The Quality Assurance and IV&V structures set forth are in alignment with industry best practices and standards established by the Institute of Electrical and Electronics Engineers, Inc. (IEEE) and the Project Management Institute (PMI)
- Reporting relationship and interaction with the Department program and project teams, and the DDI vendors, in the delivery of IV&V services. The quality assurance processes documented in this Plan will apply to all vendors (DDI, IV&V, Staff Augmentation, other vendors etc.) and State resources working under the CSE program umbrella
- Quality Assurance activities designed to reduce project risk, and increase the likelihood that the project will successfully deliver the intended solution on time, within budget and with the full business and technology objectives envisioned. As the plan documents, all critical activity will be accomplished by measuring the quality of project deliverables and project processes. These measures assess the extent to which the deliverables meet the State's requirements, and the extent to which the processes are operating as designed and are generating error-free deliverables.

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Accordingly, the IV&V approach includes three critical program and project review and assessment activities:

1. **Initial and Ongoing Program Health Check Reviews** – Assessment and evaluation of the effectiveness of the ongoing program/project management and software development lifecycle activities (both the organization and their selected vendor(s) involved in the project)
2. **Ongoing Project Milestone Reviews** – Assessment and review of key milestone activities and outcomes
3. **Deliverables Reviews for Key Deliverables –** Assessment and evaluation and review of key project deliverables and work products

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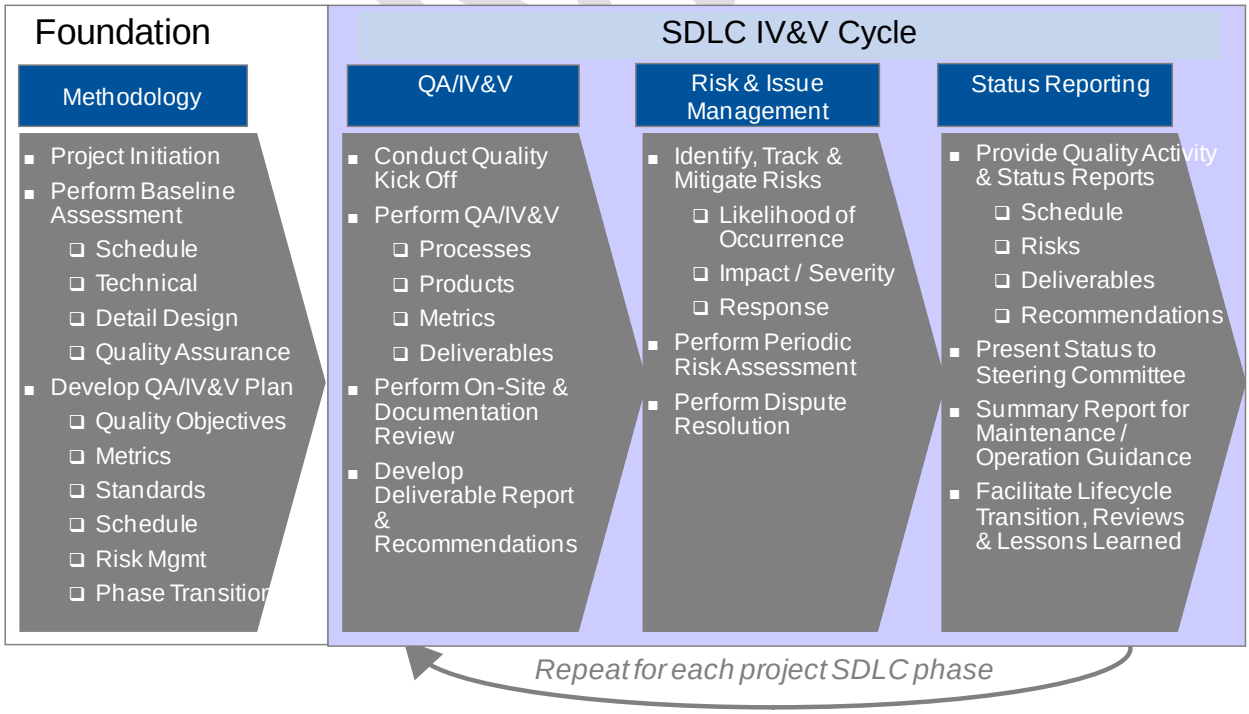
2.0 Quality Assurance Approach and Methodology

The CSE project IV&V processes promote a commitment to quality by applying established principles and tools throughout the project lifecycle. Quality Assurance involves the performance of a series of review and assessment activities in order to minimize the occurrence of issues and risk that could impact the overall success of the project. These review and assessment activities will occur at key milestones and other intervals over the lifecycle of the CSE program and each constituent project. These reviews are designed to assess and evaluate how the project is adhering to the contractual obligations, project management processes and best practices that have been put in place to help ensure overall success.

This section of the Quality Management Plan documents the processes that Gartner will employ on the project for Quality Assurance, starting from the creation of the Quality Management Plan (this document) and ending with development of activity review documentation for quality improvement as highlighted in the figure below. The project team is responsible for managing the quality of the project. If there are findings in regards to quality, as outlined in the Quality Assurance Report, the project Quality Assurance lead will make sure that action items are identified in the Quality Assurance reports and will monitor and review these items throughout the projects to ensure their management by the project team.

The Quality Assurance tasks and activities for the CSE Program will promote adherence to guidelines, effective testing, and other components that result in effective business continuation. It also allows expectations involving process, technology, and organizational modifications to be communicated to relevant internal and external sources. These sources' confidence that the current project will result in the highest quality outcome is one of the key benefits of the Quality Assurance processes.

Figure 2. Quality Assurance Tasks and Activities



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The IV&V processes will employ recognized industry best practices and/or standards as the basis of its review along with proprietary methods as required. The IV&V assessment framework and criteria is tailored to the appropriate level for the task order utilizing industry standards and sources such as PMI PMBOK, critical success factors as defined by Control Objectives for Information and Related Technology (COBIT®) from the Information Systems Audit and Control Association, IEEE standards and/or other industry best practices (e.g. ITIL).

Assessment of project performance and IV&V recommendations will be documented in the Initial Program Health Check, Quarterly Program Health Checks, Milestone Reviews and Key Deliverable Reviews, and status reports on the criteria and best practices documented in the following industry standards and project documentation:

- The project's documented quality checklists
- Relevant industry standards for the assessment of project deliverables and processes – See the Appendix A for a comprehensive list
- Industry best practices

The following sections provide an overview of Gartner's Quality Assurance Rules of Engagement, tasks and activities that will be accomplished during the IV&V work stream activities, along with their associated deliverables and a conceptual timeframe when each will be delivered.

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3.0 Quality Assurance Charter and Rules of Engagement

To ensure alignment between all State stakeholders and vendors, a IV&V charter and Rules of Engagement has been adopted. These define the scope, roles and responsibilities of the participants as they relate to IV&V.

3.1 Quality Assurance Charter

Quality Assurance will aim to assure that the projects within the CSE Replacement are delivered within scope, schedule and supported by appropriate resources at a level of quality expected by the State. The IV&V process will achieve these objectives by:

- Monitoring the processes, content, approach and value delivery of core CSE projects, and the CSE program as a whole to assess the level to which they are on track to deliver the projected benefits within time/budget and to an acceptable level of quality;
- Providing evaluation and analysis on the program/project statuses, against the contracts, in an individual and consolidated view based upon the input of State and vendor experts.
- Producing reports in an agreed format and at an agreed frequency to the designated channels/levels of the organization;
- Reviewing risks that have been raised by the State, vendors and through independent review, providing assessments of the severity and impact and tracking the progress and resolution
- Making remedial recommendations to the program and project staff and monitoring that actions are taken in order to improve the situation; and
- Supporting the gathering of lessons learned and using these to drive further improvements via, among others, the continuous improvement process.

3.2 Quality Assurance Rules of Engagement

The Quality Assurance Rules of Engagement for the CSE Replacement projects are:

- All standard processes will follow the documented processes agreed upon
- All reports and tools will follow the templates agreed upon
- The IV&V function will follow those roles and responsibilities as defined by the Department PMO, and under the auspices of the State EPMO
- The IV&V functions will interface primarily with the Department PMO – with those responsible for the core projects and with the Project Director team
- The Department PMO will be responsible for:
  - Assuring the State's timely participation in the IV&V process – securing appropriate resources, identifying and sharing documentation for review, escalating issues as necessary, providing input as needed, follow-up with individuals and groups causing delay in analysis, mitigation, and/or resolution etc.
  - Escalating issues and risks to the appropriate governance bodies

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- ❑ Assuring the DDI Vendors' timely participation in the IV&V process
- ❑ Ensuring Gartner's awareness of project artifacts, status and changes pertinent to the IV&V process
- ❑ Facilitating document / deliverable gathering and maintaining a centralized repository for program, project and IV&V artifacts to be shared by the Department PMO and the IV&V vendor

- Gartner will be responsible for:
  - ❑ Timely review of deliverables as agreed
  - ❑ Identification of new risks, potential risk management strategies, issues and PMO / vendor action items arising from IV&V activities
  - ❑ Measures of project quality at each milestone review
  - ❑ Communication of risks and issues to the PMO
  - ❑ Review of program and project-level alignment with target architectures, processes, use cases, requirements, scope and schedule
  - ❑ Address any action items as identified in quality review reports

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4.0 Initial and Ongoing Activities

Below is an overview of the tasks and activities that will be accomplished during the IV&V work stream, along with their associated deliverables.

- **Quality Management Planning**:
  - ❑ Development and finalization of a Quality Management Plan
- **IV&V Activities:**
  - ❑ Conducting an initial and quarterly Program Health Check for the overall CSE program including views of each project within the program, the program and project management activities, and coordination activities between the projects
  - ❑ Conducting milestone reviews at appropriate points in the Software Development Life Cycle (SDLC) of each project to ensure alignment with the project goals, objectives, expectation documents, and plans
  - ❑ Conducting review of key DDI Vendor and State deliverables for each project, as agreed upon for each project
- **Quality Monitoring**:
  - – Updating this Quality Management Plan document through the project lifespan
  - – Monitoring of various status report elements
  - – Monitoring of various logs including the Risk and Issue Logs.
  - – Monitoring and assessment of project status, and publishing weekly and monthly IV&V status reports
  - – Monitoring project activities and accomplishments, assessing risks, and providing the project team and key stakeholders with an assessment of project risks and recommended mitigation actions

4.1 Quality Management Planning Activities

Table 1. Gartner Quality Assurance Deliverables

Gartner Quality Assurance Deliverables	Timeline
Quality Management Plan	At the start of IV&V activities
List of Project Deliverables for Review	After DDI deliverable list has been accepted by the State
List of Project Milestones for Review	After DDI work plan has been accepted by the State

4.1.1 Development of a Quality Management Plan

The Quality Management Plan (this document) has been developed using:

- All available project planning artifacts including any guidance provided by the Department PMO in writing or orally

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- The PMBOK, fifth or latest edition

This plan includes, or will include once complete, the following tools or references to other coordinating project tools:

- Detailed plan for IV&V reviews, including scope, criteria, and methodologies to be employed
- Quality management tools (included in plan):
  - Quality standards
  - Quality checklists
  - Deliverable quality standards documented in the Deliverable Expectation Documents (DEDs) for DDI Vendor deliverables
  - Templates for all reporting types required during the life cycle of the Project; (e.g., Monthly Status Report, Weekly Status Report, Quarterly Health Check Report, Milestone and Deliverable Review Report, etc.)
  - Additional quality tools and methods as needed

4.2 Quality Assurance Activities

Work products and deliverables included in the IV&V activities are shown in the table below and the quality assurance timeline summarized in the figure below.

Table 2. Gartner Quality Assurance Deliverables

Gartner Quality Assurance Deliverables	Timeline
Quarterly Health Check Report	At the start of IV&V activities; each 90 Days thereafter
Project Milestone Review Report	At key milestones
DDI Deliverable Review Document	After submission by the DDI Vendor and prior to acceptance by the State

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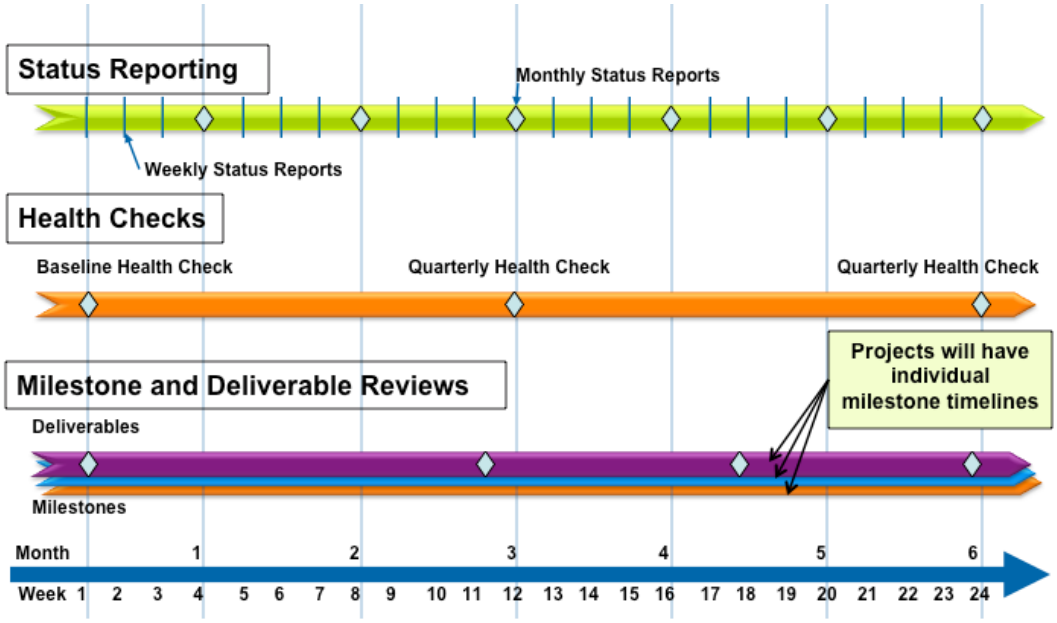
Figure 3. IV&V Timeline



4.2.1 Review 1 – Initial and Quarterly Health Checks

Gartner will conduct an initial and ongoing quarterly Program Health Check. These Health Checks will include on-site interviews and fact finding to enhance Gartner's understanding of the Program's current issues, risks areas and progress. As part of the Quality Assurance activities Gartner will examine the Program's quality control review results, checklists, change requests and tracking, etc.

Based on the above, Gartner will summarize on-site fact finding activities (interview findings and document reviews and assessments) and document findings and recommendations for executive review of the overall Program's status, team performance, risks and issues, and will provide specific and actionable recommendations for process improvement to the CSE Program Manager, who can then share the findings and recommendations with the Operational Steering Committee and the DDI Vendor(s).

Gartner will conduct an initial baseline assessment of project health at the beginning of the IV&V activities, aligned with the start of the first DDI activities.

Gartner will leverage tools and methodologies including defined standards and best practices. By measuring the Program's conformance with these practices, Gartner can assess the overall health and risk level of the Program as it changes over time. It will also pinpoint the sources of that risk so that mitigation strategies can be put in place so that individual and overall risk can be reduced.

The quarterly Health Check reports will contain the following:

- An executive summary that includes—
  - A summary of Program activities and accomplishments since the last report
  - Plans, milestones and deliverables for the coming period

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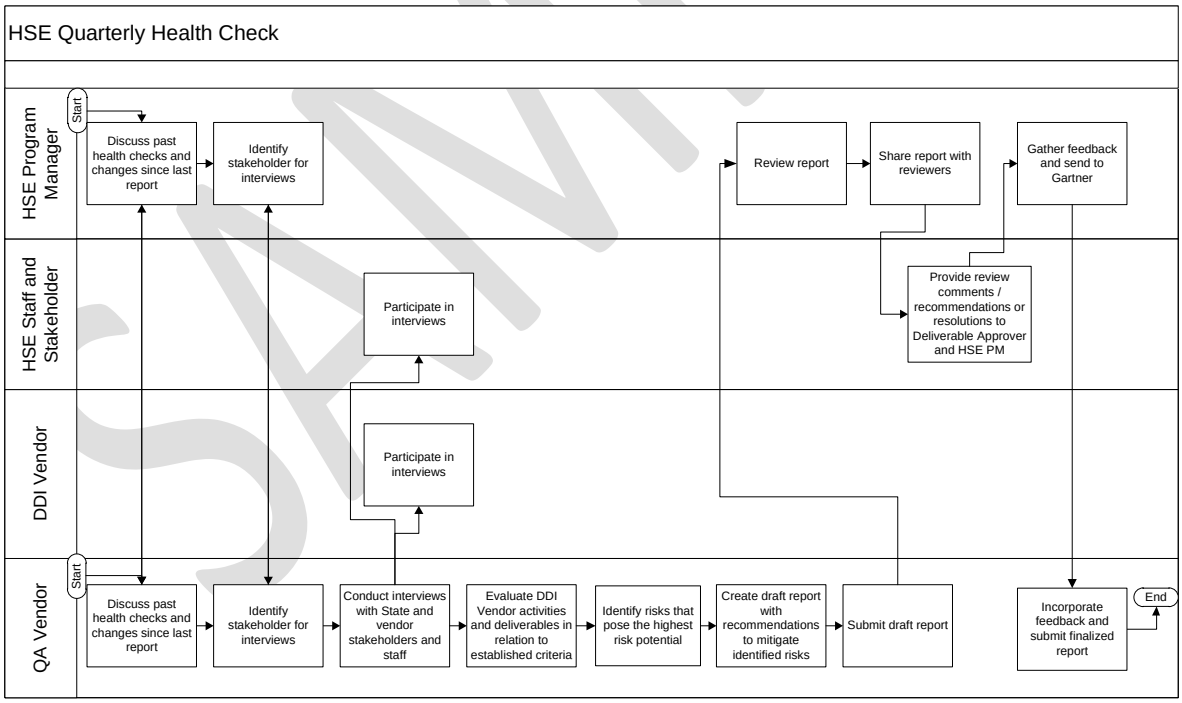
- ❑ Critical risks by assessment area
- ❑ Assessment of overall risk to the Program
- ❑ Evaluation of the overall Program status, budgets and schedules variances, stages of completion, indicating the causal factors, mitigation efforts and recommendations

- Overall risk rank for the CSE Program
- Risk rating of each of the health check domains
- Evaluation of the CSE Program's ability to deliver the benefits/results
- Observations and findings associated with each health check domain
- Identified domain risks, gaps and issues
- Recommendations for mitigation of risks, gaps and issues

4.2.1.1 Health Check Flowchart

The following figure describes the quarterly program Health Check process:

Figure 4. Health Check Review Flowchart



4.2.1.2 Health Check Process

Health Checks will be completed quarterly based on the framework identified in the Quality Management Plan. The CSE Program Manager and Gartner will work collaboratively to review

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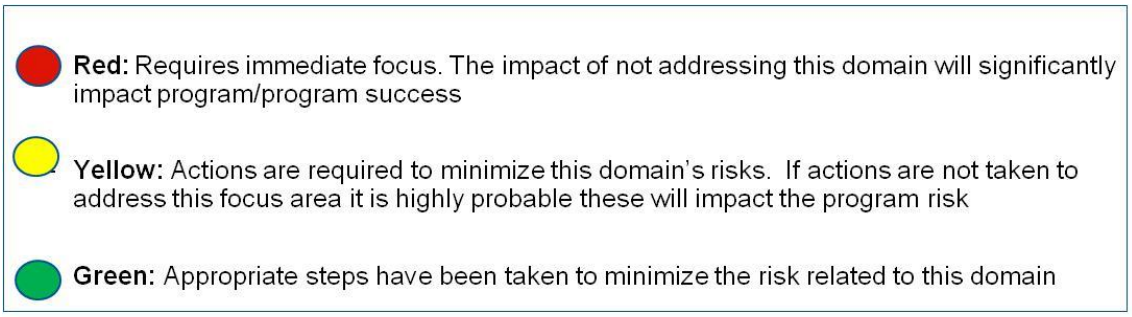
the previous Health Check reports, discuss changes since the past Health Check and plan for the next Health Check.

The CSE Program Manager and Gartner will identify State and vendor stakeholders to interview. Gartner will also evaluate the DDI vendor activities and deliverables in relation to established criteria using the Sliding Scale described below for each focus area.

Figure 5. Evaluation Framework- Sliding Scale to illustrate Current State and Level of Risk



Gartner will then identify gaps that pose the highest risk potential. Gartner will develop a draft report that will include recommendations to manage identified risks for discussion with the CSE Program Manager.

The report will be presented to the State in draft form. If necessary, revisions are made based on Department feedback. These revisions can include changing the scoring or weighting based on new information presented by Department or changing some of the intrinsic project risk factors. After any required iterations, the final report is produced. The formal name of this project assessment report is the Quarterly Health Check Report.

4.2.1.3 Health Check Roles and Responsibilities

The four main roles and responsibilities in the Health Check review process are listed below:

1. The DDI Vendor Project Manager is the primary DDI Vendor contact for communicating risks and issues that do, and may, affect the project and other projects in the program. Other DDI Vendor team members will be interviewed as needed, and as identified by the DDI Vendor Project Manager.
2. Gartner is the external entity that will interview and seek feedback from State and vendor project stakeholders, consolidate all feedback, report on successes, risks and issues, and provide risk management suggestions to the DDI Vendor and State project team.
3. The CSE Program Manager will provide feedback gathered from stakeholders between Health Checks and coordinate interviews with key project stakeholders, with specific attention to those stakeholders that have identified project risks. The CSE Program Manager will also be responsible for ensuring that risks and issues identified in the Health Checks are recorded and monitored between Health Checks using standard project management methodologies.
4. State Project Stakeholders are responsible for identifying project risks, proactively communicating those risks, and providing risk management suggestions when possible. They will interact with the CSE Program Manager and Gartner as needed and when requested to assist with the completion of the Health Checks.

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4.2.1.4 Health Check Review Areas

Health Check Reviews will focus on the current state of the CSE Program as a whole with specific attention to the following five domains:

Figure 6. Quarterly Health Check Domain Areas

Business Value	Budget and Schedule	Operational	Organizational	External
▪ Benefit Specification ▪ Program Prioritization ▪ Complexity Control ▪ Ongoing Cost Management ▪ Gap Management ▪ Value Management	▪ Program Management ▪ Program Plan ▪ Program Resources ▪ Budget Management ▪ Scope & Change Management ▪ Risk Management	▪ Program Administration ▪ Vendor Support ▪ Information Management ▪ IT Support	▪ Program Governance ▪ Communications ▪ User Involvement ▪ Organizational Change Management	▪ External Risk Management

Gartner will classify CSE project risks into the five domains, all of which need to be addressed as part of any business improvement program. The figure below provides a summary of the program risks by domain.

Figure 7. Program Risks Classified by Domain

Business Value	Budget and Schedule	Operational	Organizational	External
Risk of the program not meeting stated business objectives	Risk of program overruns or failure to meet stated deadlines	Risk of failure due to poor quality and lack of audit trails	Risk of organizational disruption	Risk of external events having a detrimental impact on program outcomes

4.2.1.5 Health Check Review Reports

The following figure provides an example of the artifacts that may be found in the Health Check Reports.

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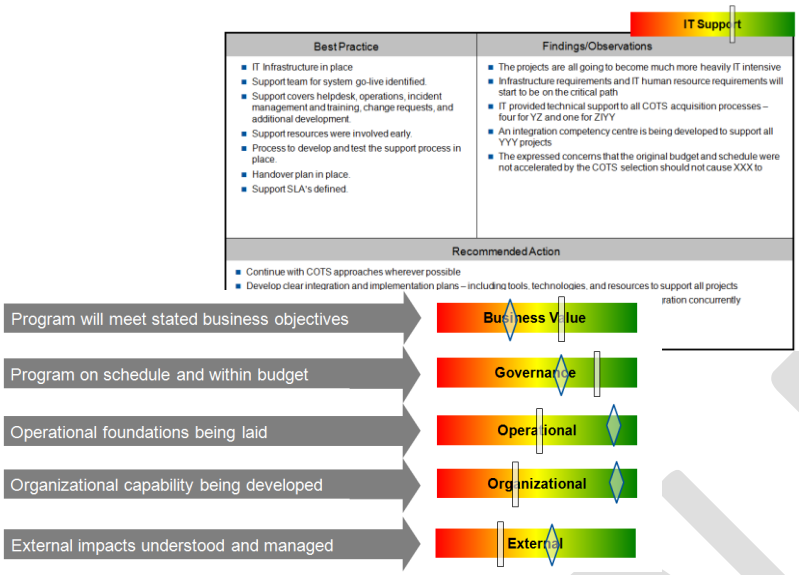
Figure 8. Health Check Report and Dashboard Examples



4.2.2 Review 2 – Conduct Periodic Milestone Reviews

Gartner will perform periodic milestone reviews at key points during each project phase. These milestones will be agreed upon by Department, the DDI Vendor and Gartner at the beginning of the IV&V activities for that project.

The Milestone Reviews will be based on 54 areas of project risk, or a portion of those that apply at a given point in a project SDLC. These risks are monitored based on the SDLC phase and are included as needed during assessments.

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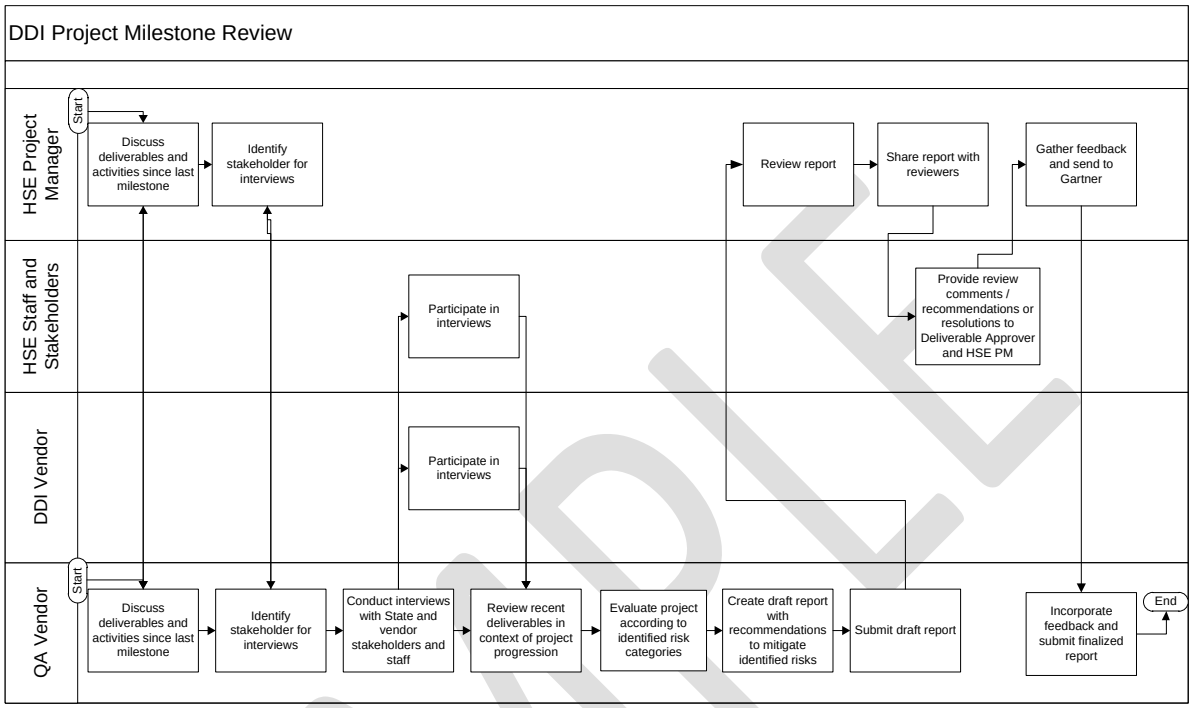
4.2.2.1 Project Milestone Review Flowchart

The following figure describes the Project Milestone Review process:

Figure 9. Project Milestone Review Flowchart

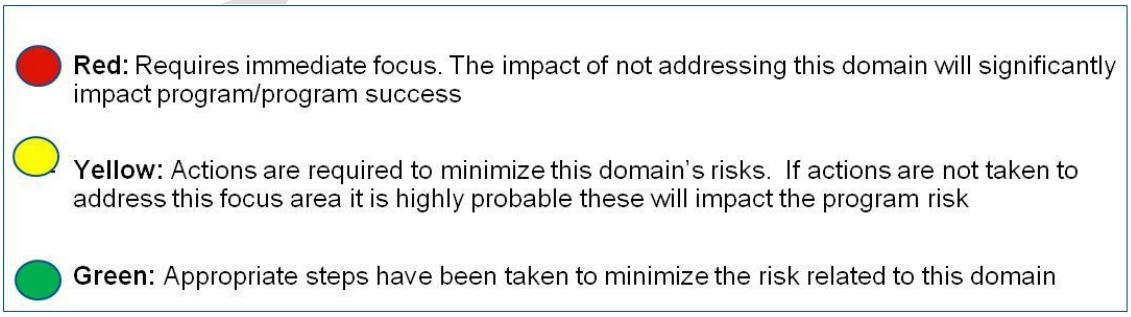


4.2.2.2 Project Milestone Review Process

The Project Milestone Reviews will be based on the framework identified in the Quality Management Plan (this document). The CSE Project Manager and Gartner will work collaboratively to review the previous milestone reports, discuss changes since the past Project Milestone Review and plan for the current Milestone Review.

The CSE Project Manager and Gartner will identify State and vendor stakeholders to interview and give priority to those that have been involved in the previous activities as well as those who have expressed interest in being part of the Review. Gartner will also evaluate the DDI vendor activities and deliverables in relation to established criteria using established risk areas based on project phases.

Figure 10. Evaluation Framework- Sliding Scale to Illustrate Current State and Level of Risk



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Gartner will then identify risks that pose the highest risk potential and severity. Gartner will develop a draft report that will include recommendations to manage identified risks for review by the CSE Project Manager and other stakeholders that he/she identifies.

The report will be presented to Department in draft form. If necessary, revisions will be made based on Department feedback. These revisions can include changing the scoring or weighting based on new information presented by Department or including additional project risk factors. After review and editing, Gartner will deliver the final report.

4.2.2.3 Project Milestone Review Roles and Responsibilities

The four main roles and responsibilities in the DDI Project Milestone Review process are listed below:

1. The CSE Project Manager is the primary project coordinator for the milestone review process in coordination with Gartner. The Project Manager, in coordination is responsible for informing Gartner of activities that have occurred since the previous milestone, identifying and coordinating State stakeholders for interviews, and coordinating DDI Vendor involvement. The CSE Project Manager is also responsible for reviewing and coordinating SME review of the draft Project Milestone Review report.
2. The DDI Vendor including key personnel from the vendor that have been involved in the delivery of the work since the preceding milestone. The DDI Vendor Project Manager is the primary contact for identifying and coordinating DDI Vendor resources for this process.
3. CSE Staff and Stakeholders are those State staff that have accountability for the project and/or have been involved in DDI activities since the previous milestone. They are responsible for actively participating in the interview process for the review, and reviewing and giving feedback on the Project Milestone Review report.
4. Gartner, as the IV&V vendor, is the external entity that will review activities and deliverables since the previous milestone, conducting interviews, gathering perspectives and creating a draft and final report Project Milestone Review report. They will work in coordination with the CSE Project Manager to facilitate the entire process.

4.2.2.4 Project Milestone Review Focus Areas

The Project Milestone Review framework uses a structured framework to identify projects risks, as well as report on the comprehensive set of risk factors that may be found in any of the CSE projects. These include:

Table 3. Quality Assurance Risk Areas

S #	Evaluation Phase / Category
	1 Strategy Phase
1	1.1 Program Governance Strategy
2	1.2 Executive Support
	2 Planning Phase
3	2.1 Project Management Approach and Methodology
4	2.2 Risk Management Planning
5	2.3 Schedule Planning
6	2.4 Budget Planning

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S #	Evaluation Phase / Category
7	2.5 Scope Refinement
8	2.6 Resource Planning
9	2.7 Communication Planning
10	2.8 Organizational Change Management Planning
11	2.9 Quality Planning
12	2.10 Requirements Planning
13	2.11 Architecture and Design Planning
14	2.12 Security Planning
15	2.13 Development Planning
16	2.14 Overall Test Planning
17	2.15 Data Conversion Planning
18	2.16 Training Strategy and Planning
19	2.17 Deployment Planning
20	2.18 Integration/Interface Planning
21	2.19 Reporting and BI Planning
22	2.20 Vendor Support Planning
	3 Execution Phase
23	3.1 Program Governance Execution
24	3.2 Risk Management
25	3.3 Schedule Management
26	3.4 Budget Management
27	3.5 Scope Management
28	3.6 Resource Management
29	3.7 Communication Management
30	3.8 Organizational Change Management Execution
31	3.9 Vendor Support
32	3.10 Requirements Management
33	3.11 Security Execution
34	3.12 Development Execution
35	3.13 Overall Test Management
36	3.14 Pilot Execution
37	3.15 Functional / Integration Testing
38	3.16 Performance Testing
39	3.17 User Acceptance Testing
40	3.18 Data Conversion Execution
41	3.19 Training Development & Delivery
42	3.20 Deployment Execution
43	3.21 Integration / Interface Implementation
44	3.22 Legacy Decommission Execution
45	3.23 Reporting and BI Implementation

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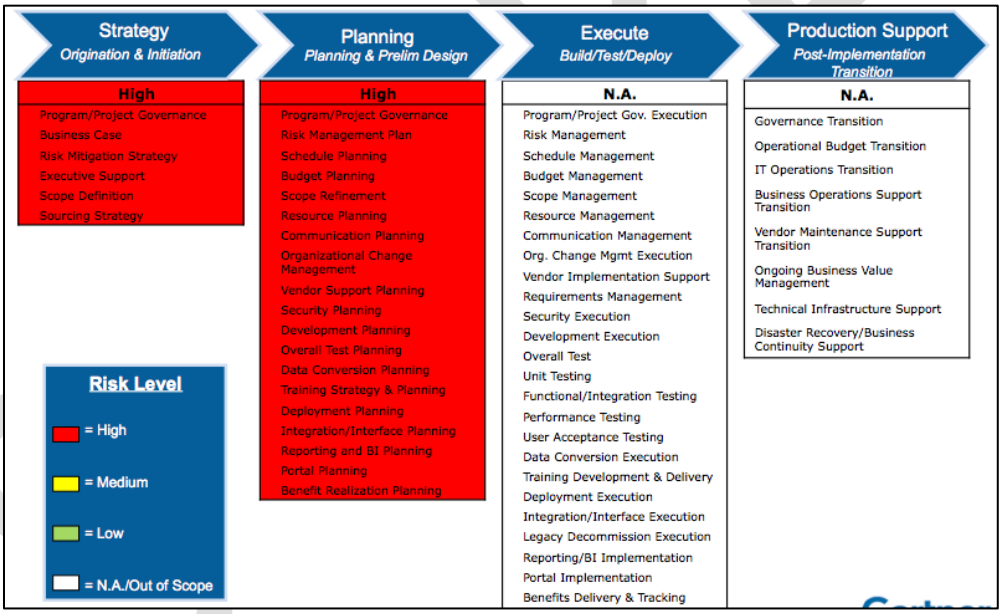
S #	Evaluation Phase / Category
46	3.24 Portal and other Components Implementation
47	3.25 Benefits Delivery & Tracking
48	3.26 Operational Transition Planning
	4 Production Support Phase
49	4.1 Governance Transition
50	4.2 IT Operations Transition
51	4.3 Business Operations Support Transition
52	4.4 Vendor Maintenance Support Transition
53	4.5 Technical Infrastructure Support
54	4.6 Disaster Recovery / Business Continuity Support

4.2.2.5 Project Milestone Review Reports

The following figures provide examples of the artifacts that may be found in the Project Milestone Review reports.

Figure 11. Milestone Review Report and Dashboard Examples



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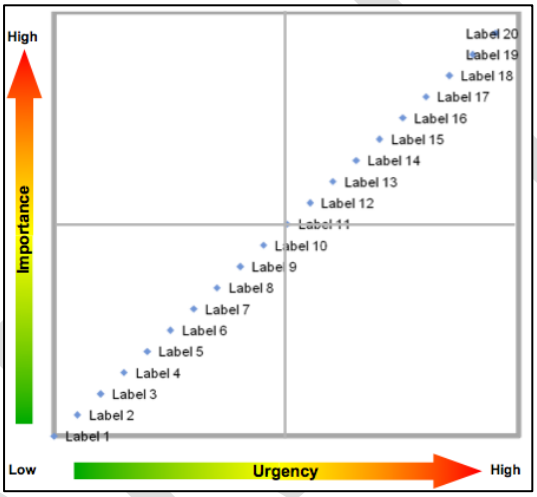
Evaluation Phase/Category	Risk	Evaluation Phase/Category	Risk	Evaluation Phase/Category	Risk
1 Strategy Summary	**High**	2.14 Training Strategy & Planning	High	3.15 Functional/Integration Testing	N.A.
1.1 Program/Project Governance	High	2.15 Deployment Planning	High	3.16 Performance Testing	N.A.
1.2 Business Case	High	2.16 Integration/Interface Plan	High	3.17 User Acceptance Testing	N.A.
1.3 Risk Mitigation Strategy	High	2.17 Reporting and BI Planning	High	3.18 Data Conversion Execution	N.A.
1.4 Executive Support	High	2.18 Portal Planning	High	3.19 Training Dev & Delivery	N.A.
1.5 Scope Definition	High	2.19 Benefit Realization Planning	High	3.20 Deployment Execution	N.A.
1.6 Sourcing Strategy	High	**3 Execution Summary**	**N.A.**	3.21 Integration/Interface Execution	N.A.
2 Planning Summary	**High**	3.1 Program/Project Governance	N.A.	3.22 Legacy Decommission Execution	N.A.
2.1 Program/Project Governance	High	3.2 Risk Management	N.A.	3.23 Reporting/BI Implementation	N.A.
2.2 Risk Management	High	3.3 Schedule Management	N.A.	3.24 Portal Implementation	N.A.
2.3 Schedule Planning	High	3.4 Budget Management	N.A.	3.25 Benefits Delivery & Tracking	N.A.
2.4 Budget Planning	High	3.5 Scope Management	N.A.	3.26 Operational Transition Planning	N.A.
2.5 Scope Refinement	High	3.6 Resource Management	N.A.	**4 Production Support Summary**	**N.A.**
2.6 Resource Planning	High	3.7 Communication Management	N.A.	4.1 Governance Transition	N.A.
2.7 Communication Planning	High	3.8 Org. Change Mgmt Execution	N.A.	4.2 Operational Budget Transition	N.A.
2.8 Org. Change Mgmt Planning	High	3.9 Vendor Implementation Support	N.A.	4.3 IT Operations Transition	N.A.
2.9 Vendor Support Planning	High	3.10 Requirements Management	N.A.	4.4 Business Ops Support Transition	N.A.
2.10 Security Planning	High	3.11 Security Execution	N.A.	4.5 Vendor Maint. Support Transition	N.A.
2.11 Development Planning	High	3.12 Development Execution	N.A.	4.6 Ongoing Business Value Mgmt	N.A.
2.12 Overall Test Planning	High	3.13 Overall Test Management	N.A.	4.7 Technical Infrastructure Support	N.A.
2.13 Data Conversion Planning	High	3.14 Unit Testing	N.A.	4.8 Disaster Recovery/Bus. Continuity	N.A.



4.2.3 Review 3 – Conduct Key Deliverable Reviews

Gartner will conduct reviews of agreed upon key deliverables after submission by the DDI Vendor and prior to acceptance by the State. The State will review comments and suggestions from Gartner and take action as appropriate prior to acceptance of the deliverable.

The list of agreed upon deliverables that will be reviewed, by project, will be provided in separate documents.

4.2.3.1 DDI Deliverable Review Flowchart

The following figure describes the deliverable review process for DDI Vendor Deliverables:

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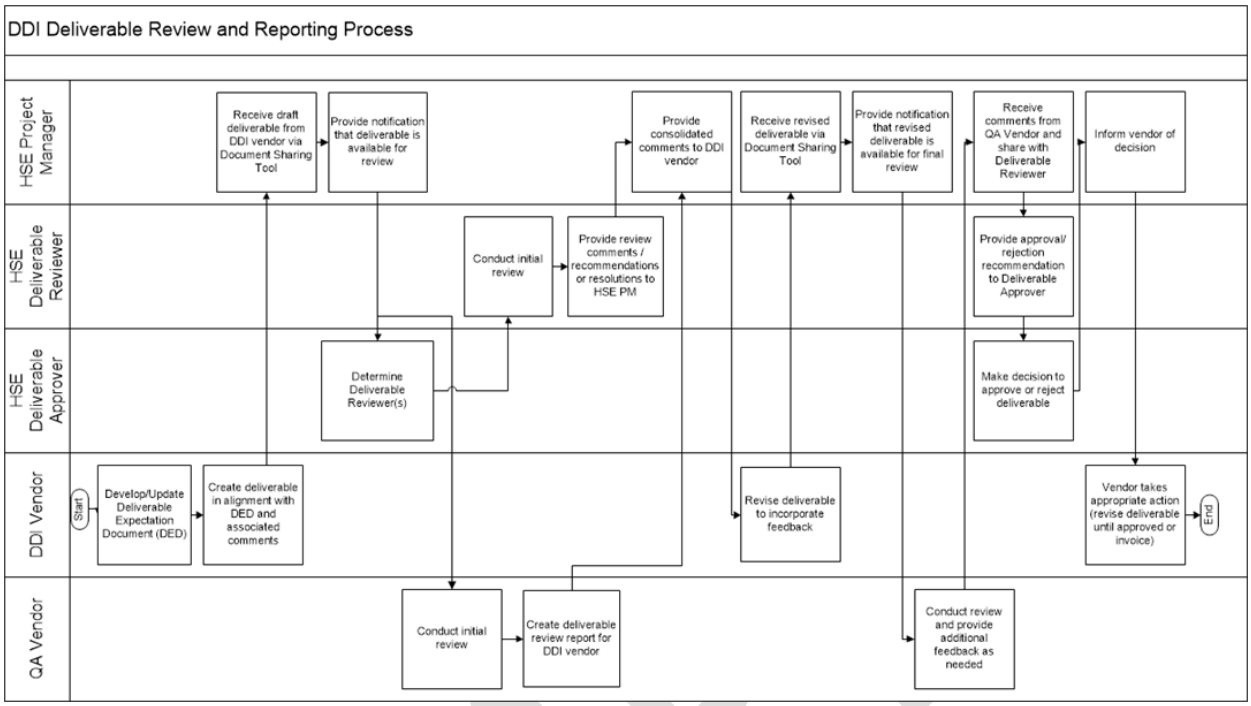
Figure 12. Deliverable Review Process for DDI Vendor Deliverables



4.2.3.2 DDI Deliverable Review Process

This process describes the IV&V review and report process for identified key project deliverables.

As early as possible in the deliverable development process, the DDI Vendor Project Manager and CSE Project Manager initiate work on the Deliverable Expectations Documents.

To ensure that they are relevant and meet the needs of the project, DEDs will be developed as agreed up on by the State and the DDI Vendor. Development approaches may include:

- Developed just prior to the start of work on the deliverable
- Prepared at the beginning of the project and revised prior to submission.

4.2.3.3 Key Deliverable Review Roles and Responsibilities

The five main roles and responsibilities in the DDI deliverable review and approval process are listed below:

1. The DDI Vendor Project Manager is the primary DDI Vendor deliverable contact that will submit the deliverable for review and approval to the CSE Project Manager.
2. The CSE Project Manager will identify the Deliverable Approver(s) and track the deliverable through the approval process. The CSE Project Manager is responsible for ensuring that the appropriate stakeholders are prepared for, and involved in the review process, that the project schedule is managed during the review, and that all appropriate

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stakeholders are involved in the appropriate communications. The CSE Project Manager is the Deliverable Approver by default.

3. The Deliverable Approver is the CSE resource that makes the sign-off decision for the deliverable. Prior to signing-off, the Deliverable Approver designates one or more Deliverable Reviewers for the deliverable, ensures the Deliverable Reviewers are satisfied with the deliverable and verifies the deliverable meets the contract requirement (if applicable).
4. The Deliverable Reviewer is a person designated by the Deliverable Approver to review the deliverable and provide an approval recommendation. The Deliverable Approver can designate one or more Deliverable Reviewers for a faster parallel review, or to expand the expertise of the review team.
5. Gartner, as the IV&V vendor, is the external entity that will review and provide guidance and recommendations to the CSE Project Manager.

Note: The Executive Committee and Operations Steering Committee do not play a direct role approval process, although individual members of the committees may. The CSE Project Manager should notify the committees when:

- Executive approval is required
- Upon review, the deliverable is unlikely to be delivered on time and on budget; or key project deadlines are at risk of not being met
- Completion of a deliverable is a project milestone
- The project team requests assistance with contacting and/or locating the right people for review or approval
- The deliverable is an input to, needs input from or has integration points with another CSE project

Note: If multiple reviewers are involved in the process, logistics of the review process will require careful attention. Some recommended mechanisms include:

- Distribute the deliverable to Deliverable Reviewers using the appropriate mechanism
- Provide consolidated feedback from Deliverable Reviewers and Gartner to the DDI Vendor (e.g., using ‘track changes’ option in Word; in an Excel tracking sheet)
- Re-distribute the deliverable to the Deliverables Reviewers and Gartner for review of changes after feedback has been incorporated by the DDI Vendor
- Enable version control during the review process
- Communicate signoff recommendations to Deliverable Approver(s)

4.2.3.4 Signoff

Early signoff planning will enable DDI Vendor Project Manager and Deliverable Approver to keep reviewers and approvers appropriately in the loop while developing the deliverable, making the review and signoff process less cumbersome. It also enables more accurate resource planning, as reviewer time can be planned and budgeted.

The Deliverable Approver(s) make the signoff decision after reviewing the deliverable and obtaining satisfactory input from the Deliverable Reviewers and Gartner. The formal signoff

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procedure will be as follows:

1. The CSE Project Manager provides the reviewed deliverable with filled out Deliverable Approval Form to the Deliverable Approver
2. Approver obtains signoff recommendations from the Deliverable Reviewers
3. If satisfied, the Deliverable Approver signs and dates the Deliverable Approval Form
4. The CSE Project Manager files the Deliverable Approval Form, along with the final deliverable, in the project library

4.2.4 Update Issues, Risks and Actions Log

The CSE Program and Project Managers will ensure that the appropriate logs and other project documentation is updated during and after the deliverable and milestone reviews. Such artifacts may include:

- **Issue Log** – Issues identified from the deliverable review should be logged and monitored
- **Risk Log** – Risks identified in the deliverable, and the review process should be identified, monitored and handled as appropriate to that risk
- **Project Schedule** – Deadline and progress updates should be incorporated into the project schedule, including identification of schedule slippage as a result of State reviews or re-work by the DDI Vendor.

4.3 Quality Monitoring and Control Activities

The activities and deliverables that are part of Quality Monitoring and Control are listed in the table below.

Table 4. Gartner IV&V Deliverables

Description	Timeline
Weekly Status Reports	Each week at an agreed upon day
Monthly Status Reports	Each month prior the Gartner bi-weekly status meeting
Updates to QMP	As-needed

4.3.1 Status Reports

Gartner will provide status reports on a weekly and monthly basis. Weekly status reports will focus on activities that have been completed, and those that are planned by Gartner and any key or urgent findings that need to addressed by the PMO. They will focus primarily on the status of individual projects with a high-level view of the CSE program. These reports will be combined with the current Gartner status report document and meeting.

Monthly status reports will include an additional review of program-level issues and risks.

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Table 5. Elements of Regularly Occurring Status Reports

Element	Description
General Project Background (Project Information)	A largely static but established baseline information set for the CSE program that is included in both weekly and monthly reports for informational/reference purposes: ■ Project budget ■ Project schedules and milestones ■ Staffing and system resources ■ Project funding ■ Project scope ■ Proposed system functionality ■ System development standards
Period Accomplishments Report	Analysis of IV&V accomplishments during the period covered by the report (weekly/monthly), meant to augment Project Management reports and provide independent verification of project progress.
Issues Evaluation	Independent evaluation of issues and constraints facing the project during the period covered by the report (week/monthly). May be used by Project Management for objective insight and issues management recommendations as viewed by the IV&V team.
Milestone & Task Tracking Report	Independent evaluation of the remaining project effort and committed task, milestone, and deliverable timeframes. Monthly IV&V Reports will highlight program-level milestone tracking.
Risk Analysis and Mitigation Strategy Evaluation	Addresses new or existing risks identified during the course of ongoing IV&V assessments. Addresses the probability of occurrence, and overall impacts expected. Also included, as part of this report is an evaluation of risk management practices, mitigation strategies currently in effect, identification of new strategies, and recommended mitigation actions. Monthly IV&V Status Reports will focus on program-level risk analysis and recommendations.

5.0 IV&V in the State CSE Program and Project Organization

The CSE Program will involve various State stakeholders in the planning, decision-making, issue resolution, implementation, tracking, and reporting processes related to project activities. The figure below explains the CSE Program organization including the two projects

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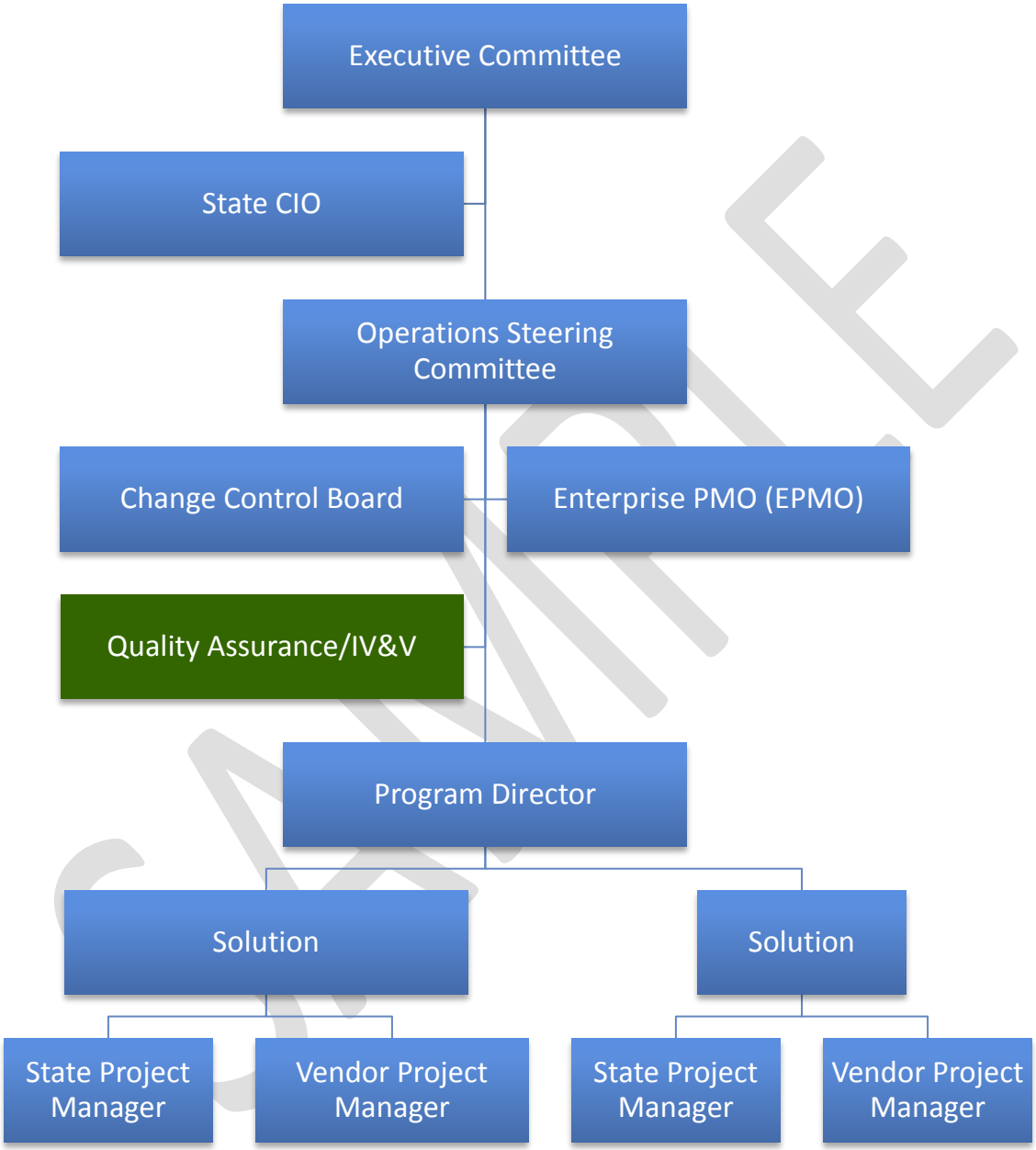
currently in flight. Additional projects will be added in the same format as they develop requirements for Quality Assurance activities.

Figure 13. CSE Program Organization



5.1 Gartner IV&V Roles and Responsibilities

The table below describes the key Gartner roles and players in support of the CSE Program as they relate to IV&V activities.

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Table 6. Gartner IV&V Team Roles and Responsibilities

Role	Associate Name	Responsibilities
Engagement Manager	**Rich Batemen**	Provides leadership and direction to the IV&V team. Key responsibilities include but are not limited to: ■ Provide subject matter expertise and quality assurance oversight of project methodologies and deliverables. ■ Accountable for the success of all Gartner workstreams, including IV&V services ■ Maintain strong lines of communication with Department leadership to ensure that any needs or concerns are addressed expeditiously.
Project Management	**Mike Leitch**	The Project Management will lead the project team and be committed to the project from the workstream origination date through the IV&V workstream. Key responsibilities include but are not limited to: ■ Support for the for the coordination and delivery of all IV&V services ■ Primary point of contact between Gartner and the Department PMO for all activities ■ Lead the development of the IV&V and PM methodologies ■ Lead the development of all IB plans and schedules, focusing on integration with the rest of the project ■ Provide day-to-day management of the workstream including overall performance and contract compliance ■ Provide day-to-day management and direction to IV&V resources assigned to the project ■ Manage the project to the current work plans and coordinating the availability of scheduled resources to the project ■ Manage all project resources and ensuring that appropriate resources are available throughout the life of the workstream ■ Establish and maintaining regular communications with the Department PMO ■ Maintain reporting, budget/cost reporting, and issue reporting, tracking, escalation, and resolution procedures
Functional Lead	**Erika Chahil**	The Functional Lead must provide expertise in the project and Deliverable Reviews: ■ Lead phase assurance activities relating to functional aspects of the project ■ Lead quality assurance efforts to assess and validate activities such as requirements validation, quality assurance during testing etc. ■ Provide expertise and best practices on specific topics, including — business processes, requirements traceability, use cases and other topics which may arise

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Role	Associate Name	Responsibilities
Technical Lead	**Kevin Chartrand**	The Technical Lead must provide expertise in and Deliverable Reviews: ■ Lead phase assurance activities relating to technical aspects of the project ■ Focus on assessing and validating the DDI Vendor efforts on requirements planning, design, construction, and testing of system modules, interfaces, conversion routines, integration and performance testing, and technical environments ■ Ensure that the General System Design and technical requirements are properly addressed by the DDI Vendor ■ Provide reviews and counsel regarding the technical direction of the project
IV&V Lead	**Mike Leitch**	■ Primary point of contact for the Department PMO for IV&V activities ■ Responsible for coordination of the delivery of all IV&V services ■ Lead the execution of Gartner IV&V plans and schedules, focusing on integration with the rest of the project ■ Provide day-to-day direction to the Gartner team on IV&V-related tasks
Project Consultants: Functional (as needed)	**Garland Kemper**	■ Provide expertise and best practices on specific topics, including — business processes, requirements traceability, use cases and other topics which may arise ■ Provide expertise through meetings, conference calls, memos, and attendance at workshops ■ Perform all phase assurance activities on the Functional solution ■ Ensure that the DDI Vendor is diligent in maintaining traceability matrices and IV&V checklists ■ Perform checking of results vs. expected as appropriate during testing assessments
Project Consultants: Technical (as needed)	**Alistair McKinnon**	■ Provide expertise and best practices on specific topics, including — SOA strategy and implementation, specific technologies, system testing, and other topics which may arise ■ Provide expertise through meetings, conference calls, memos, and attendance at workshops ■ Perform all phase assurance activities on the technical solution

Appendix A. Standards

A.1 List of Candidate Standards for DDI Deliverables

The following table shows the list of Candidate Standards to be used as guidelines for the review of DDI Vendor Deliverables

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Table 7. List of Candidate Standards

S #	Candidate Standard	Description
	IEEE	
A1	IEEE Std 610.12-1990	IEEE Standard Glossary of Software Engineering Terminology
A2	IEEE Std 730-2002	IEEE Standard for Software Quality Assurance Plans
A3	IEEE Std 828-2005	IEEE Standard for Software Configuration Management Plans
A4	IEEE Std 829-2008	IEEE Standard for Software Test Documentation
A5	IEEE Std 830-1998	IEEE Recommended Practice for Software Requirements Specifications
A6	IEEE Std 982.1-2005	IEEE Standard Dictionary of Measures to Produce Reliable Software
A7	IEEE Std 1008- 2003	IEEE Standard for Software Unit Testing
A8	IEEE Std 1012-2004	IEEE Standard for Software Verification and Validation
A9	IEEE Std 1016-2009	IEEE Recommended Practice for Software Design Descriptions
A10	IEEE Std 1028-2008	IEEE Standard for Software Reviews
A11	IEEE Std 1044- 2002	IEEE Standard Classification for Software Anomalies
A12	IEEE Std 1058-1998	IEEE Standard for Software Project Management Plans
A13	IEEE Std 1061-1998	IEEE Standard for a Software Quality Metrics Methodology
A15	IEEE Std 1063-2001	IEEE Standard for Software User Documentation
A16	IEEE Std 1074-2006	IEEE Standard for Developing Software Life Cycle Processes
A21	IEEE Std 1220-2005	IEEE Standard for the Application and Management of the Systems Engineering Process
A22	IEEE Std 1228-1994	IEEE Standard for Software Safety Plans
A23	IEEE Std 1233-1998	IEEE Guide for Developing System Requirements Specifications
A29	IEEE Std 1465-1998	IEEE Standard Adoption of International Standard ISO/IEC 12119:1994(E), Information Technology— Software packages— Quality requirements and testing
A30	IEEE Std 1471-2000	IEEE Recommended Practice for Architectural Description of Software Intensive Systems

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S #	Candidate Standard	Description
A31	IEEE Std 1490-2003	IEEE Guide— Adoption of PMI Standard— A Guide to the Project Management Body of Knowledge
A32	IEEE Std 1517-1999	IEEE Standard for Information Technology— Software Life Cycle Processes— Reuse Processes
A33	IEEE/EIA 12207- 2008	Systems and Software Engineering — Software Life Cycle Processes
ISO		
B1	ISO 9000	Quality Management Systems— Fundamentals and Vocabulary
B2	ISO 9001	Model for Quality assurance in Design, Development, Production, Installation and Servicing
B3	ISO 9002	Model for Quality Assurance in Production, Installation and Servicing
B4	ISO 9003	Model for Quality Assurance in Final Inspection and Test
B6	ISO 9126	Information technology — Software Product Evaluation — Quality Characteristics and Guidelines for their use
B7	ISO 12207	Software Lifecycle Processes
B9	ISO/IEC 14764:2006	Information Technology— Software Maintenance
B19	ISO/IEC 9126- 1:2001	Software Engineering— Product Quality-- Part 1: Quality Model
Other Standards		
C5	HIPAA 45 CFR Part 162	CFR Standards to meet HIPAA Privacy and Security Requirements

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A.2 Suggested Standards for DDI Deliverable Review

The following table shows a list of selected standards to be used as guidelines for the review of DDI vendor deliverables. As deliverables are defined for projects and are arranged in phases, these standards can be applied to these deliverable reviews. This table is included for sample purposes to describe the standards that may be applied to deliverables.

Table 8. Gartner Review of DDI Vendor Deliverables and Selected Standards

DDI Deliverable Name	Selected standards for review
Project Kickoff Presentation	DDI Vendor Format
Roles and Responsibilities Plan (HR Plan)	IEEE STD 1058, 1074, 1490, ISO 12207
Scope Management Plan	IEEE STD 828, 1058, 1074, 1490
Cost Management Plan	IEEE STD 1058, 1074, 1490
Schedule Management Plan	IEEE STD 1058, 1074, 1490
Communications Management Plan	IEEE STD 1058, 1074, 1490
Quality Management Plan	IEEE STD 730, 730.1, 829, 1012, 1028, 1058, 1061, 1074, 1465, 1490, ISO 9000-9003, 9126
Risk Management Plan	IEEE STD 1058, 1074, 1490
Change Management Plan	IEEE STD 828, 1058, 1074, 1490
Work Breakdown Structure	IEEE STD 1058, 1074, 1490
Final Work Plan and Schedule	IEEE STD 1058, 1074, 1490, 12207
Performance Management	IEEE STD 1058, 1074, 1490
Requirements Analysis, Validation and Development Plan	IEEE STD 830, 1074, 12207, 1233
System Design Plan	IEEE STD 1016, 1074, 12207, 1517
System Development Plan	IEEE STD 1074, 12207, 1517
Testing Plan	IEEE STD 829, 982, 1008, 1012, 1028, 1044, 1074, 12207, 1465,
Implementation/Deployment Plans	IEEE STD 12207, 1074
Requirements Template	IEEE STD 1233, 830
Detailed Functional and Technical Requirements Traceability Matrices	IEEE STD 1233, 830
SOA Handbook	IEEE STD 1233, 830
SOA Functional Requirements	IEEE STD 1233, 830
SOA Technical Requirements	IEEE STD 1233, 830
System Architecture	IEEE STD 830, 1233, 1471
SOA Models	IEEE STD 1471
SOA Transition Plan	DDI Vendor Format
Functional Design Document	IEEE 12207
Technical Design Document	IEEE 12207
Security Plan	ISO/IEC 27002
Disaster Recovery Plan	DDI Vendor Format
Capacity Plan	DDI Vendor Format
Infrastructure Services Plan	DDI Vendor Format
System Testing — Test Results	IEEE 829
System Readiness Certification for User Acceptance Testing	IEEE STD 730, 829, 1012, 1465
Site Readiness Reports	DDI Vendor Format

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DDI Deliverable Name	Selected standards for review
UAT Report	IEEE STD 730, 829, 1012, 1465
FAT Report	IEEE 829, ISO 9126
Pilot Plan	DDI Vendor Format
System Pilot Evaluation Report	DDI Vendor Format
System Operations Documentation	IEEE 1063
Data Conversion Plan	IEEE STD 1058
Training Plan	IEEE STD 1063, 1074, 12207
Training Materials	DDI Vendor Format
Infrastructure Services Deployment Report	DDI Vendor Format
System Maintenance, Support and System Transition Plan	IEEE STD 1044, 1058, 12207, 14764
System Incident Reports — Warranty	IEEE STD 1044
Corrective Maintenance Reports	DDI Vendor Format
System Source Code and Documentation	IEEE 1028

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Appendix B. Frameworks and Templates

B.1 DDI Deliverable Review Reporting Framework

A Deliverable Review Report for each formal key DDI Vendor deliverable will include the following:

- **Deliverable Review Summary**
  - **Deliverable Name / Version** — The name of the deliverable includes its unique identifier that ties the deliverable to the Work-Breakdown Structure and DDI Vendor contract.
  - **Deliverable Owner** — The State project member responsible for the delivery of the deliverable, if noted
  - **Document Originator** — The source of the deliverable to the State and/or to Gartner, as noted in the container email
  - **Work Package ID** — The WBS identification of the deliverable
  - **Date Submitted to Gartner** — The date submitted to Gartner for IV&V review
  - **Comments Requested By** — The date by which Gartner was requested to return comments to the State for review and consolidation to the DDI Vendor
  - **Item reviewed against** — Standards, requirements or artifacts the deliverable was reviewed against
  - **Review Type** — The type of review requested; most commonly a standard IV&V deliverable review
  - **Reviewers** — The names of the Gartner IV&V reviewers
- **Deliverable Recommendations**
  - **Recommendation: Accept/Reject** — Based on the degree of adherence to quality standards, a recommendation on how to proceed with the deliverable. The following are examples of possible Acceptance Recommendations:
    - **Accept Deliverable** — Department should accept the deliverable as submitted as it meets the expectations of Department for quality, content and context
    - **Reject Deliverable** — Department should reject the deliverable and the DDI Vendor should remediate the findings prior to re-delivery and acceptance of the deliverable.
  - **Reason for Reject** — Additional details on the reason for the recommendation to reject the deliverable
- **Deliverable Review Details**
  - **Comment #** — An identified for the comment within the document
  - **Page / Section** — Location in the deliverable that the comment refers to
  - **Findings** — A description of the risk, issue or defect identified with the deliverable
  - **Recommendations** — A recommendation for rectifying, mitigating or correcting the finding. This will be used for findings marked as ‘High’, ‘Medium’ and sometimes ‘Low’ priority.

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- **Priority (H/M/L)** The criticality of the finding —
  - High: Any finding that is "High" means that the deliverable will be recommended for "rejection" (to be fixed and re-delivered)
  - Medium: Medium priority findings may result in a recommendation to reject the deliverable and have the deliverable be remediated and re-delivered
  - Low: These findings will not result in the deliverable being rejected, but may require the DDI Vendor to correct the deliverable and re-deliver it

Table 9. Suggested DDI Deliverable Review Template

Deliverable Review Summary	
Deliverable Name / Version:	
Deliverable Owner	
Document Originator	
Work Package ID	
Date Submitted to Gartner	
Comments Requested By	
Item reviewed against	
Review Type	
Reviewers	

Deliverable Recommendations	
Recommendation: Accept/Reject	
Reason for Reject	

Deliverable Review Details				
#	**Page / Section**	**Findings**	**Recommendations**	**Priority (H/M/L)**

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B.2 Quality Log Template to Track DDI Deliverables

The purpose of the Quality Log is to issue a unique reference for each quality check planned; to act as a pointer to the quality check documentation for a product; and to act as a summary of the number and type of quality checks held. The log summarizes all the quality checks, which are planned/have taken place, and provides information for the control points as well as the Lessons Learned Report.

The following table describes the elements in the Quality Log and samples of content that could be included.

Table 10. Suggested Quality Log Template

Quality Log	
Quality ID	Q-1
Work Product ID	D1
Version Number	D1
Work Product Name	Deliverable
Description	Description
Submit Date	12/01/12
Submitted by	CSE PMO team member
Review Date	12/04/17
Reviewed by	Gartner team member
Reviewer Comments	N/A
Outcome	**Approved**
Approval Date	12/11/17
Approved By	CSE PMO team member
Approver Comments	N/A
Associated Documents	N/A
Other Notes	

MPLE

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B.2.1 IV&V Log - Metrics on DDI Deliverables

For the purpose of quality management, metrics will be collected to measure the success and effectiveness of the overall quality management process. Gartner will be responsible for maintaining a log to document and report the following metrics:

- The number of DDI vendor deliverables reviewed
- The number of deliverables rejected by the State project team as a result of IV&V reviews (by rejection reason)
- The number of deliverables accepted by Gartner and rejected by the State (by rejection reason)
- The average time between deliverable submission and IV&V review and disposition
- The average time between IV&V review/disposition and Departmental review/disposition
- The average time between original deliverable submission and acceptance by the State project team
- The average number or iterations to accept a deliverable by the State project team
- Number of deliverables submitted ahead of schedule
- Number of deliverables submitted on time
- Number of deliverables submitted late
- Number of deliverables in multiple review cycles

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Any questions regarding this Report should be addressed to:

Frank Petrus
Senior Managing Partner
Gartner, Inc.
+1 617-851-6800
Frank.petrus@gartner.com

Kevin Chartrand
Associate Director
Gartner, Inc.
+1 916-337-3233
Kevin.Chartrand@gartner.com

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State of Alexander Department of Social Services

HHS System – Independent Verification and Validation (IV&V)
Quarterly Health Check Report for the Period Jan-Mar 2017

Frank Petrus, Senior Managing Partner
Practice Lead
Gartner Consulting
Public Sector Health and Human Services

May 8, 2017

GARTNER PUBLIC SECTOR CONSULTING

A Report for State of Alexander Department of Social Services
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Gartner

Agenda

- Background and Objectives
- Health Check Framework
- Executive Summary
  - Overview
  - Critical Findings and Recommendations
  - Summary of Risks and Recommendations by Domain
- Detailed Health Check Findings
  - Business Value & Strategy Alignment
  - Program Operations
  - Program Organization
  - SDLC[1] Approach & Execution
  - System Deployment & Ongoing Operations
- Next Steps

[1] Software Development Life Cycle

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Background and Objectives

Project Background and Gartner's Understanding

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Background and Objectives

HHS System Program Background

- The Department of Social Services (DSS) administers and delivers a wide variety of services to children, families, adults, people with disabilities and elders, including health care coverage, child support enforcement, long-term care and support, energy assistance, food and nutrition aid, and program grants. DSS administers a myriad of state and federal programs and approximately one-third of the state budget, currently serving more than 1.5 million individuals
- DSS has undertaken a significant transformation to enhance access, quality, and outcomes of the federal programs it offers to its citizens through technology enablement. The HHS System project will provide simpler, more accessible and robust eligibility determination capabilities (screening, application, determination and feed for enrollment to eligible programs) and benefits management functionality. The HHS System project will provide capabilities that:
  - Meet the Centers for Medicare and Medicaid Services (CMS) requirements for MAGI Medicaid, Traditional Medicaid and CHIP services
  - Meet U.S. Department of Agriculture Food and Nutrition Service (FNS) requirements for Supplemental Nutrition Assistance Services (SNAP) Eligibility Solution
  - Meet Federal Office of Child Support Enforcement (OCSE) certification requirements
  - Will leverage Federal enhanced funding under OMB Circular A-87 for eligibility solution for all DSS programs and services
  - Establish a technology platform that is extensible and scalable in the future to support the many health and human services (HHS) programs Alexander DSS offers

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Background and Objectives

Gartner Understanding of the Status of the HHS System Project

- The work has been going on for several years which has included the HHS GATEWAY common gateway for consumers and staff and ACA required MAGI eligibility determination capabilities which was implemented in 2013
- The HHS System solution is based on XYZ's MAGIC Solution
- Once HHS System is fully deployed, HHS GATEWAY will remain as the Consumer Portal, with the User Interface for staff being HHS System
- Based upon the successful results of the Test Location, five (5) waves have been planned for full deployment:
  - The Test Location as well as Waves 1-3 have been successfully rolled-out
  - Wave 4 is planned for May 15, 2017
  - Wave 5 is planned for June 18, 2017

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Background and Objectives
Gartner's Project Objectives

- Execute IV&V for the HHS System Project within a coordinated approach established to assure the HHS System Program objectives are achieved
- Using our existing and proven IV&V approach, methodology, tools and templates, Gartner will consistently and objectively assess whether the HHS System Project is:
  - On Schedule
  - On Budget
  - Meeting Specified Requirements, including CMS and FNS Requirements
  - Achieving the Overall Vision and Business Objectives and Goals set forth for the HHS System Project
- Provide independent, objective guidance and expertise to identify and recommend risk mitigation strategies

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Health Check Assessment Framework

Health Check Process and Framework

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Health Check Assessment Framework

Health Check Assessment Focuses on Five Domains

- **Business Value & Strategy Alignment:** Alignment of program scope and activities with DSS' vision, strategy and model of practice goals for HHS System
- **Program Operations:** Governance and execution of program activities, including communications, vendor management, and data governance
- **Program Organization:** Team staffing, user involvement, and organizational change management
- **SDLC Approach & Execution :** Application of standard project management and solution development processes and methodologies across the HHS System program
- **System Deployment & Ongoing Operations:** Planning and transition of the program solution to ongoing operations

Business Value & Strategy Alignment	Program Operations		Program Organization
• Program Definition and Alignment • Benefit Specification • Program Prioritization • Value and Expectations Management	• Program Governance • Quality Management • Program Administration • Communications Management • Information and Data Management	• Solution Coordination/Standardization • Project Management Coordination • Vendor Management • Risk Management	• Program Team • User Involvement • Org Change Management • Training

SDLC Approach & Execution		Deployment & Ongoing Operations
• Project Management Approach and Execution • Requirements Validation Approach and Execution • Design and Development Approach & Execution • Security and Regulatory Planning and Execution	• Data Conversion Approach and Execution • Testing Lifecycle Approach and Execution • Interface Design Approach and Execution • Training and Knowledge Transfer	• Deployment Planning and Execution • Turn-Over to Production • System Maintenance and Operations • User Support • Performance Metrics and Tracking

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Health Check Assessment Framework

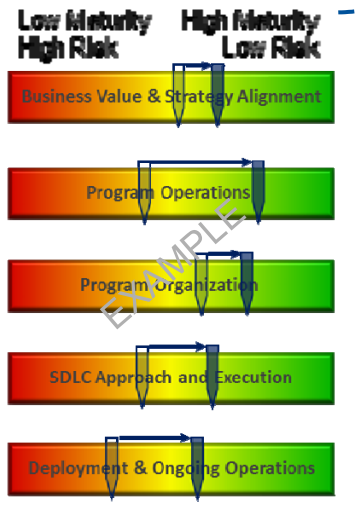
Health Check Process

Inputs

- Key Informant Interviews
- Document Review
- Demonstrations

Analysis

Assessment Domain – Sub-Domain	
Best Practice	Findings/Observations
Recommended Action(s)	



Risk by Domain

Outputs

- Detailed Recommendations

- For each **Sub-Domain** Gartner identifies findings (strengths and challenges) compared to industry standards and best practices
- **Recommended Actions** to address risks or issues are included for each sub-domain
- Based on the sub-domain findings, Gartner identifies key findings and risks for each **Domain**
- Gartner analyzes the domain findings to identify **Key Recommendations**/ mitigations to address the highest risk areas (High HHS System/High Probability)

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Health Check Assessment Framework

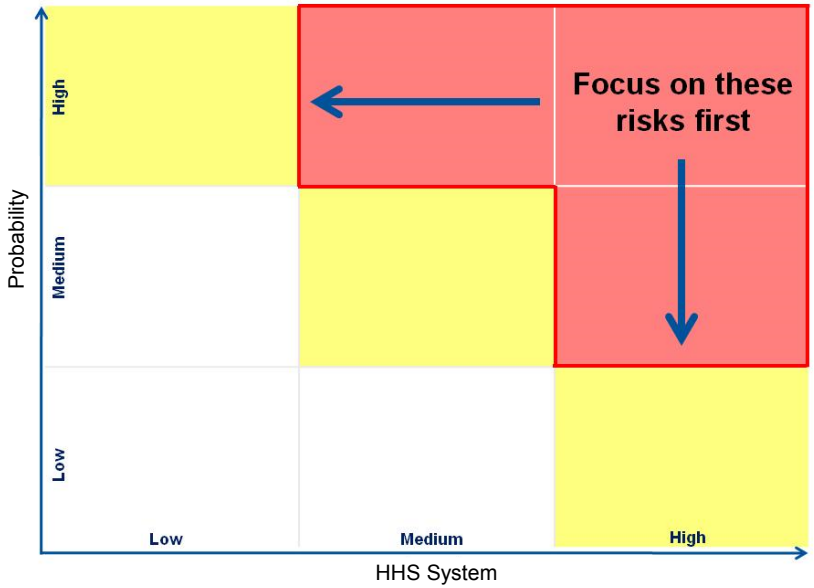
Risk Probability + HHS System = Criticality

- **Probability and HHS System:** For each risk identified, Gartner assesses the probability and the HHS System of the risk to the HHS System Program
  - Probability: What is the likelihood of risk occurrence
  - HHS System: How and to what degree will the risk affect HHS System

Probability	
Classification	**Probability of Occurrence**
Low	Risk has minimal potential to occur
Medium	Risk may occur
High	Risk is very likely to occur

HHS System	
Classification	**HHS System**
Low	Risk will result in minimal HHS System to the success of the HHS System Program
Medium	Risk will result in moderate HHS System to the success of the HHS System Program
High	Risk will result in a significant HHS System to the success of the HHS System Program

- **Risk Criticality:** The designations for probability and HHS System together provide the risk criticality
  - Risk criticality is a common method used to prioritize risks
  - Risks with the highest probability and HHS System as indicated by the red shaded area below should be addressed first
- Additional dimensions such as urgency were also



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Health Check Assessment Framework

Assessment Rating Methodology and Reporting Format

- A Risk and Readiness Assessment Rating — Gartner uses a “red, yellow, green” maturity scale to highlight potential risks to the project in each assessment area

“Red” The current approach in areas with this rating present **serious risks to the program** and requires the State’s immediate attention. Recommendations for areas assigned this rating are essential for mitigating program risk for moving the effort forward

“Yellow” The current approach presents **a risk to the program**. Recommendations for areas assigned this rating are important considerations for the State to ensure program success

“Green” The approach meets or exceeds established best practices and processes. To receive this ranking, the Project’s current approach presents **no significant risks** to achieving the envisioned success of the program

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Executive Summary

Summary of Key Risks and Recommendations

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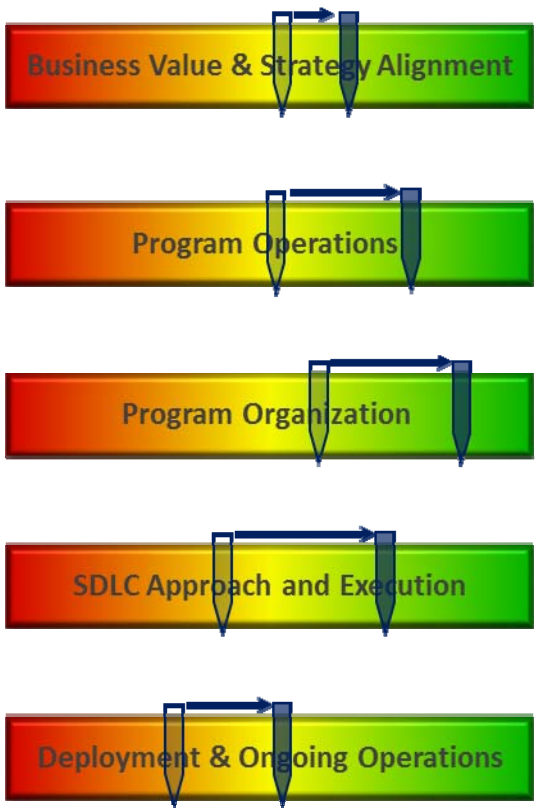
Executive Summary
Assessment Summary

- This assessment reflects the HHS System project's status as of March 2017, and provides a high level assessment of relevant evaluation areas using a "red, yellow, green" reporting approach
- As with any implementation of this magnitude, risks always exist. Garner has seen DSS anticipate, define and taken actions to prevent and mitigate risks. There has been clear growth in overall program maturity in all domains assessed in the Health Check. In an effort to support the continuous growth of the program's maturity, Gartner has identified three priority areas to focus on going forward
- Critical areas of concern are:
  - **Long-term Operational Support** – Long-term planning regarding the overall roles, responsibilities and clear delineation of duties for providing Service Desk functions, end user and infrastructure support
  - **Vanishing Institutional Knowledge** – DSS institutional knowledge resides with a handful of Department and vendor staff who are either nearing retirement or are stretched thin working on multiple projects. Legacy systems lack appropriate documentation
  - **Component Reusability –** Ability of HHS System components to support the DSS Enterprise reusability strategy well into the future



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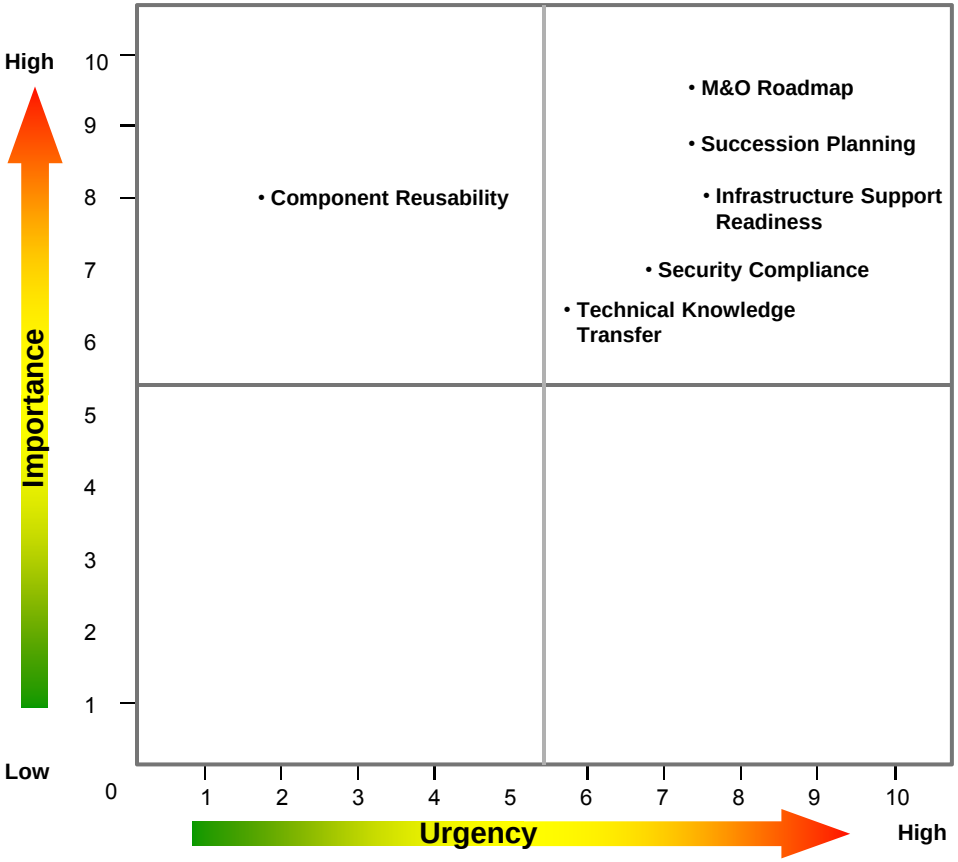
Executive Summary
Prioritized Recommendations

- The quadrant to the right highlights the major recommendations for the project based on:
  - Importance – How important is the risk mitigation activity to the successful go-live effort.
  - Urgency – How soon does the issue need to be addressed before adversely impacting the HHS System the go-live date
- Gartner recommends that DSS take action on each of these recommendations. We have plotted these recommendations to show relative priorities, not to indicate recommendations that can be ignored. Low priority recommendations do not appear on any of the Executive Summary recommendation slides



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Domain-Level Findings, Risks, and Recommendations

Domain 1: Business Value & Strategy Alignment
Domain 2: Program Operations
Domain 3: Program Organization
Domain 4: SDLC Approach and Execution
Domain 5: System Deployment & Ongoing Operations

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Domain 1: Business Value & Strategy Alignment
Overview

- The Business Value and Strategy Alignment domain examines how program goals support the Department's long-term vision and how business benefit expectations are defined and measured. A consistent and broadly-understood definition of the program scope and goals is essential in a multi-Division, multi-vendor environment
- The domain was evaluated across the following dimensions (sub-domains)
  - Program Definition and Alignment: Program definition and alignment with DSS vision
  - Benefit Specification: Program benefits definition and measurement
  - Program Prioritization: Degree to which the program is understood and receives executive support
  - Value and Expectations Management: Analysis and update of the anticipated business value as the program evolves

Domain Risk Rating – Yellow \ Green

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Domain 1: Business Value & Strategy Alignment
Summary of Assessment Findings and Recommendations

- Measurable Business Value:
  - The HHS System program continues to be well managed by a highly-skilled team, and program goals are well understood across the stakeholder community. However, specific, measurable outcomes and the link between solution implementation and business outcomes are less well understood
- Recommendations:
  - Continue to track and report against Key Performance Indicators. Ensure business outcome HHS System traceable to system implementation is documented
  - Lessons Learned from HHS System's success should be captured, analyzed, and available to current and future Department initiatives

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Domain 2: DHS Enterprise Program Operations
Overview

- The Program Operations domain examines the processes, tools and methodology used to manage program activities. To fully realize expected benefits and coordinate Department resources and activities, a Program Plan addressing the following areas should be in place
- The Program Operations domain was evaluated across the following dimensions (sub-domains):
  - **Program Governance**: The management framework that defines how program decisions are made
  - **Quality Management**: Processes, procedures, and policies required to ensure that the program will satisfy the needs for which it was undertaken
  - **Program Administration**: Tools, procedures and framework that allows the program team to operate and meet organizational guidelines
  - **Communications Management**: Understanding stakeholder communication needs, communication planning, and execution and monitoring of the Program Communications Plan
  - **Information and Data Management**: Policies and procedures governing how program data is controlled and managed
  - **Solution Coordination/Standardization**: Integration and coordination of program business process, technology, and data solutions

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Domain 2: Program Operations
Overview (continued)

- Program Operations Sub-domains
  - **Project Management Coordination**: Program-wide Project Management coordination for Risk Management, Schedule Management, Budget Management, Project Change Management
  - **Vendor Management**: Policies and procedures defining how the program will perform Contract Management, Financial Management, and Vendor Performance, and Relationship Management
  - **Risk Management**: Processes and tools to manage program-level risks and facilitate inter-project risk management

Domain Risk Rating – Green

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Domain 2: Program Operations
Summary of Assessment Findings and Recommendations

- **Deliverable Reviews** – Though the project schedule did account for deliverable review and approval cycles, the review cycles haven't followed a fully rigorous process with multiple deliverables being submitted at the same time, as well as DSS resource constraints on deliverable reviewers
- **Recommendation**: Prioritize high-value / high-risk deliverables for delivery and review. Ensure that all required deliverables are scheduled for completion and catalogued. Require re-work on any vendor or State deliverable which does not meet the standard of usability defined in the *Delivery Expectations Document*

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Domain 2: Program Operations
Summary of Assessment Findings and Recommendations, Cont'd

- **Enterprise Information and Platform Management Data Stewardship** – There are gaps around Enterprise Information and Platform Data stewardship and Data Governance in the organization as a whole that may limit the usefulness of these Enterprise capabilities and HHS System where and how the archived data will be handled
- **Recommendation**: Ensure Information and Platform Data Sharing Components of the Design align with the Enterprise Strategy
  - To meet the long term goal for a strategically focused "Person Centered Practice", revisit the design of the following enterprise technology components to ensure an enterprise level approach to data sharing has been designed in and functional including:
    - Introducing a Shared Analytics and Data Warehouse capability for all DSS enterprise needs

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Domain 3: Program Organization
Overview

- The Program Organization domain includes assessment of the State and vendor program team composition, roles & responsibilities and availability. The domain includes the process used to ensure appropriate solution user involvement in program activities. In addition, the program's Org Change Management planning and activities are examined
- Scope for Domain 3 Assessment: The domain was evaluated across the following dimensions (sub-domains):
  - **Program Team**: Composition and staffing of the State and vendor program organization
  - **User Involvement**: Identification of solution users and their participation in program activities
  - **Organizational Change Management**: The framework for managing the effect of new processes, changes in organizational structure or cultural changes within DSS
  - **Training**: Alignment of training plan with program goals and the processes required to define training requirements

Domain Risk Rating – Green

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Domain 3: Program Organization
Summary of Assessment Findings and Recommendations

- **Undocumented Legacy Systems and Vanishing Institutional Knowledge** – Legacy system knowledge resides with a handful of DSS staff who have either nearing retirement or stretched thin working on multiple projects
- **Recommendation**:
  - Make support staff training a priority with the transition of HHS System to Maintenance and Operations
  - Ensure system documentation developed during the HHS System program is updated, maintained and available to support team members

- **Succession Planning** – There is no clear succession planning in place for loss of key personnel, within HHS System, due to retirement and/or other reasons
- **Recommendation**: Develop a Succession Planning Process
  - Identify key positions at risk for need of succession planning
  - Ensure succession planning and knowledge transfer at the earliest before the imminent departure of various key resources including EMS Technical SMEs

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Domain 4: SDLC Approach and Execution
Overview

- The SDLC Approach and Execution domain includes examination of the processes, tools, and methodology employed at the component project level to control project activities and ensure that the project meets user requirements and integrates with and supports program goals
- The domain was evaluated across the following dimensions (sub-domains):
  - **Project Management Approach and Execution**: Processes and methodology to control project resources and activities and ensure the achievement of project, program, and enterprise goals
  - **Requirements Validation Approach and Execution**: Framework and processes to validate that requirements meet Department needs and support Program goals
  - **System Design and Development Approach and Execution**: Project solution design planning and activities
  - **Security and Regulatory Planning and Execution**: Processes and methodology to ensure the system meets security and other regulatory requirements
  - **Data Conversion Approach and Execution**: Management of project activities required for extraction, conversion, and loading of solution data
  - **Knowledge Transfer**: Activities executed to verify that technical and system knowledge is transferred from the Vendor to the State staff or its representatives to ensure that the dependency on the Vendor is reduced during Maintenance and Operations phases

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Domain 4: SDLC Approach and Execution
Overview (continued)

Domain Risk Rating – Green

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- SDLC Approach and Execution Findings:
  - Good Management support, leadership visibility and executive interaction have helped in successful implementation of the first three Waves. The project has a well-developed and disciplined approach and methodology for risk anticipation, identification, monitoring and control. A comprehensive integrated project management plan and schedule are in place and generally followed. A comprehensive reporting mechanism is in place to report on project monitoring activities including status reports risk logs, issue logs and action items
  - Some gaps still exist and need to be planned for and mitigated:
    - Risks of anchoring all key tasks to the baseline schedule wherein the full scope of some of the talks like Interface testing is not fully accounted for
    - Not accounting for variations in the quality of approach to interface testing across the trading partners. In some cases the level of coordination has been inadequate. This may result in interface issues not being identified resulting in future problems and disruptions of service
    - Interface lifecycle progress reporting is not accurately capturing all the relevant details of progress, the risks and associated mitigation plans
- SDLC Approach and Execution Recommendations:
  - Ensure continued management support along with increased accuracy in reporting of interface implementation progress and identify risks and mitigation plans well in advance
  - Account for adequate schedule durations to test for increased size of release packages, due to new interfaces being added along with Change Requests (CRs), in the future waves

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Requirements Validation Approach and Execution Findings:
  - This area was not evaluated in depth as all of the requirements planning and execution tasks have been completed at least one year prior to this report. However, requirements gathering, design, and execution are being undertaken for some of the functionality still to be developed and implemented including Interfaces and Reporting
  - Some gaps that HHS System down-stream deliverables still exist and need to be planned for and mitigated:
    - Still some ambiguity on classifying defect vs CR. However, processes have been defined to address these ambiguities
    - Gaps in meeting key reporting requirements where the field user currently has to switch between the old reports from EMS and new reports in HHS System to get their reports completed
    - Gaps in locking the full scope of requirements on a number of interfaces where the requirements and design updates are being worked upon in tandem as more information from trading partners in known
    - Gaps due to inadequate planning during the requirements phase resulting from lack of clarity regarding data ownership / governance on data shared between HHS System and AHCT

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Requirements Validation Approach and Execution Recommendations:
  - During the stabilization period, ensure that defects are tracked back to the requirements traceability matrix and all dependencies are identified as they are reworked. Ensure workarounds are minimized and permanent fixes are in place
  - Revisit and validate some core data sharing requirements for additional clarity regarding data ownership / governance on data shared between HHS System and other State systems
  - Ensure effective reporting is provided during the transition and future HHS System releases

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- System Design Development Approach and Execution Findings:
  - This area was not evaluated in depth as all of the Systems Design and Developments planning and execution tasks have been completed at least one year prior to this report
  - However, significant gaps that HHS System down-stream deliverables still exist and need to be planned for and mitigated:
    - Though ICDs of all interfaces have been completed and signed off, there are still a number of interface design updates that are still being undertaken as more information from trading partners is known
    - There are no current plans evident for the maintenance of EMS and HHS System data in the long-term to support Analytics (such as trend analysis) such as an Enterprise Data Warehouse (EDW). This may be an important factor is delaying the full retirement of EMS
    - The technical design does not appear to account for how single instances of enterprise shared components could be built, including Rules Engine and MDM
    - Gaps in the design and development approach where 100's of Data Change Requests (DCRs) are occurring daily and workarounds are in place

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- System Design Development Approach and Execution Recommendations:
  - To meet the long term goal of strategically focused “Person Centered Model of Practice”, and ensure an enterprise level approach, revisit the design of all enterprise technology components including an Enterprise Rules Engine to support both AHCT and HHS System, an Enterprise MDM approach, Shared Analytics and Data Warehouse
  - Ensure that Data Change Request (DCRs) act as workarounds and are just that and not a permanent feature of design. Need to ensure that the defects are permanently fixed even if component design has to be tweaked to accommodate future releases having minimal HHS System

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Security Compliance Findings:
  - Tasks related to Security, Privacy, State and Federal compliance have been adequately addressed as part of the Solution design and implementation
  - Several Security-related deliverables are still outstanding
  - However, there are a number of non-design issues (regulatory issues) including adherence to MARS certification and various regulatory environments including IRS, SSA, HHS/CMS/HIPAA, USDA and OCSE that need to be fully addressed. Efforts are underway to address these but it is not clear what is the status since Test Location Go-Live
- Security Compliance Recommendations:
  - The HHS System team, including XYZ, BEST and DSS must work closely with the CSO to identify and mitigate any risks arising out of regulatory issues, including adherence to MARS certification and various regulatory environments including IRS, SSA, HHS/CMS/HIPAA, USDA and OCSE
  - Ensure that all required Security documentation is delivered and reviewed by the State security team

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Data Conversion Findings:
  - The overall data conversion planning process, tools and to a large extent the execution part seems well documented as part of the Data Conversion plan and conversion checklists.
  - However, significant gaps still exist and need to be planned for and mitigated:
    - There seem to be gaps around Data stewardship and Data Governance in the organization as a whole that may HHS System where and how the archived data will be handled
    - Still significant gaps regarding data quality, data cleansing, transformation and load from the legacy system to the HHS System System, which could potentially result in having parallel systems, both the new HHS System and legacy EMS, for longer a period of time, than anticipated
    - A lot more than anticipated Data Correction Scripts (DCSs) are running to fix Data Change Requests (DCRs), where 1000s of records are being corrected every single day
    - There are significant gaps in planning and data preparation of current legacy data that requires the support of field SMEs who are currently handling all cases in progress
- Data Conversion Recommendations:
  - Continue to gather data conversion metrics to identify trends
  - Ensure that backend data conversion scripts are reduced over time
  - Ensure that the gaps regarding data preparation, data quality, data cleansing, transformation and load from the legacy system to the HHS System System are significantly reduced
  - Ensure that workarounds do not become the norm and that design and development tweaks are made to fully fix the defects

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Testing Life Cycle Findings:
  - The overall testing lifecycle has been found to be adequate to successfully implement the first three waves
  - However, some gaps still exist and need to be planned for and mitigated:
    - End to End Testing is currently performed in various environments in separate compartments including IIT, CIT, UAT etc. However the sum total of all the compartmental testing has been found to adequately fulfill the needs
    - Gaps in Regression testing process – a potential for undetected failure into the system over a period of time
    - Gaps in Interface Testing of certain interfaces where some of the trading partners have been slow to adapt
    - Gaps in prioritization and conflict resolution of the defects and CRs which could HHS System the testing life cycle specifically regression testing and interface testing

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Testing Life Cycle Recommendations:
  - Continue to ensure that End-to-End testing is being conducted, though in compartments and addresses at a minimum, all agreed upon Functionality, Interfaces, Performance, Reports, Data conversion, Security, Data Integrity and privacy
  - Plan, Account and Test for the increasing size of the regression suite as the system grows in terms of functionality and complexity when new interfaces and CRs are added in each release cycle
  - Formalize performance metrics before testing begins and verify performance to take action
  - Have a proper contingency plan in case Data conversion rate is less than an agreed target before each wave
  - Plan for complexity of increasing data conversion sizes as the project moves through future waves

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Interface Design and Execution Findings:
  - Though a majority of the interfaces have been implemented, still a significant portion of the interfaces are yet to be tested and implemented, some of which are complex
  - However, significant gaps still exist and need to be planned for and mitigated:
    - Some of the ICDs are still going through design changes which HHS Systems all downstream activities including the testing cycle and the interface designs re-engineered to make them function
    - For some interfaces, still significant gaps exist in coordination with trading partners in gathering interface requirements which could potentially HHS System design decisions, UAT lifecycle and implementation schedule
    - Resource constraints on DSS side to support some of the complex interfaces from signing of the MOUs to acting as the go between the external vendors
    - Lack of documentation on the EMS system to understand current interface data formats and mechanisms.
    - There are some gaps in managing the Interface lifecycle especially on roles and responsibilities between DSS and XYZ in scheduling and coordinating with trading partners

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Interface Design and Execution Recommendations:
  - Continue to ensure that IIT (Interface Integration Testing) is not short changed due to schedule constraints and is linked to other forms of testing including UAT, CIT and final ETE Testing.
  - Conduct a risk assessment of delays with trading partners. Enforce escalation procedures as reqd.
  - Ensure proper communication during all tasks of the interface lifecycle between DSS and XYZ
  - Ensure the availability of DSS Testing resources well in advance
  - Ensure that progress reporting on Interface lifecycle reflects the ground reality

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Domain 4: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Technical Knowledge Transfer Findings:
  - There do not appear to be enough State IT team members (both DSS and BEST) to shadow XYZ resources, especially in the areas of application design, customization and maintenance. This is a high risk as this could lead to a high dependency on XYZ to complete all maintenance requests and thus greatly increasing maintenance costs
- Technical Knowledge Transfer Recommendations:
  - Ensure Technical Knowledge Transfer is happening between XYZ and key DSS and BEST resources
  - Ensure that DSS and BEST resources are provided adequate training and space to shadow their XYZ counterparts

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Domain 5: System Deployment & Ongoing Operations
Overview

- The System Deployment & Ongoing Operations domain examines the planning and readiness for the transition of the solution to Production and Maintenance & Operations (M&O). Included in the domain are both program team and M&O procedures and the coordination between these organizations
- The domain is evaluated across the following dimensions (sub-domains):
  - **Deployment Planning and Execution**: Management of enhancement requests, review, and approval. Enhancement deployment process and controls
  - **Turn-Over to Production**: Processes and procedures for managing transition to Maintenance & Operations phase
  - **System Maintenance and Operations**: Solution Maintenance & Operations policies and procedures
  - **User Support**: Help Desk and user self-help processes and procedures
  - **Performance Metrics & Tracking**: Vendors have a customer-centric approach to M&O

Domain Risk Rating – Yellow

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Domain 5: System Deployment & Ongoing Operations
Summary of Assessment Findings & Recommendations

- Deployment Planning and Execution Findings:
  - There has been tremendous progress in this domain in bridging of gaps during the Test Location and first three waves including issues related to addressing the exact nature of roles and responsibilities between DSS staff, BEST staff and XYZ, identifying all action items and formalizing deployment and release plans and executing successfully etc.
  - Some gaps still exist and need to be planned for and mitigated –
    - Deploying and supporting both the legacy EMS and new HHS System Systems over a longer than anticipated period of time in the various field offices due to not having a clear cutover date and plan for legacy retirement
    - There are still some gaps that need to be addressed after Go-Live system failures and action points have been identified and mitigation plans/actions developed and validated
    - There are still considerable gaps with key support personnel not having a full understanding of the system failure points and in depth knowledge transfer has been suspect
- Deployment Planning and Execution Recommendations:
  - Continue to improve using the lessons learned from past waves
  - Continue to employ root cause analysis and lessons learned from the previous waves with respect to system deployment and software release activities and the resulting issues that surfaced post deployment

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Domain 5: System Deployment & Ongoing Operations
Summary of Assessment Findings & Recommendations

- System Turnover to Production Findings:
  - The core processes involving System Turnover to Production have been highly effective
  - However, some gaps still exist and need to be planned for and mitigated
    - Though contractor staff has been hired to smoothen the transition from development to deployment, there does not seem to be a mid to long term staffing plan on identifying the full set of staff with the demonstrated and proven skillset to handle the integrated technologically advanced solution components of HHS System to support the solution
    - Though BEST has provided excellent support in the first three waves of deployment with some of the core support process like Event Management, Release Management, Incident Management, Change Management etc. implemented effectively, It is not clear if some of the advanced service delivery processes like capacity management, demand management, problem management etc. at BEST are robust enough and are in place so as to provide the required support to operate the deployed system without the continued support of XYZ
- System Turnover to Production Recommendations:
  - Incorporate root cause analysis and lessons learned from the implementation of the first three waves with respect to system development and validation activities and the resulting issues that surfaced post go-live
  - Continue to improve the System Transition Plan and use it to aggressively manage the long term transition of system support from XYZ to the State staff. BEST and DSS should work together and manage this activity to ensure compliance with State needs
  - Strategize for the long term where all core service delivery and support processes are in place so as to provide the required support to operate the deployed system without the continued dependency on XYZ for on-going support

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Domain 5: System Deployment & Ongoing Operations
Summary of Assessment Findings & Recommendations

- M&O Planning and Support Findings:
  - Progress on the development and execution of sustaining support model for the deployed system is moving forward
  - However, significant gaps still exist and need to be planned for and mitigated:
    - The M&O roadmap in the long term is not clear. Not clear what the plan is after the expiry of XYZ's M&O contract in September 2017. Not clear if efforts are underway and to what degree the efforts are happening to mitigate this critical risk within the time constraints
    - In the long term, not clear if the BEST organization has the full set of staff with the demonstrated and proven skill set to handle technologically advanced solution components of HHS System to support the solution
    - Though some core service delivery support process like Event Management, Release Management, Incident Management, Change Management etc. are implemented effectively, it is not clear if some of the other core service delivery processes like demand management, problem management etc. are robust, and in place so as to provide the required support to operate the deployed system without the continued support of XYZ

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Domain 5: SDLC Approach and Execution
Summary of Assessment Findings & Recommendations

- M&O Planning and Support Recommendations:
  - It is very important that DSS start planning with support from BEST on a long term M&O roadmap to mitigate critical risk of XYZ's M&O contract expiring in September 2017. It is very important that planning for this task be acted upon immediately to meet the goals with the time constraints. A long term sustaining support model that provides DSS with 7/24 support should be defined
  - As part of the M&O long term planning, DSS and BEST should ensure that they take into account all the activities required for Maintenance, Operation and Support to continue supporting the System after the current XYZ's contract ends. This may include:
    - Detailing the Requirements for M&O support
    - Detailing the Roles and Responsibilities for M&O support
    - Market scan of viable options
    - Alternatives Analysis
    - Procurement Strategy etc.
  - DSS and BEST must plan for the loss of key resources to retirement, expiry of XYZ's contract (if it happens), unplanned changes to contracted staffing model or other unplanned events to allow the organization to more effectively address the critical activities it must accomplish in order to be ready to take on the larger role of sustaining support for the deployed system without XYZ's support. This planning must allow for a considerable increase in the demand for enhancements due to the backlog caused by transition and the users expectation of HHS System as a modern system capable of ready enhancement

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Domain 5: System Deployment & Ongoing Operations
Summary of Assessment Findings and Recommendations

- User Support Findings:
  - The current service desk setup for basic triaging of problem, incident and change management seems adequate with BEST providing first level support and XYZ helping to troubleshoot escalated second level issues
  - However, some gaps still exist and need to be planned for and mitigated:
    - A number of contractor staff have been hired to smoothen the deployment lifecycle. There is no mid to long term staffing plan on infrastructure support personnel
    - Inadequate long term planning on the overall roles, responsibilities and clear delineation of duties for providing Service desk functions and end user support amongst BEST, DSS and XYZ and what the future entails if XYZ contract is not extended
- User Support Recommendations:
  - The HHS System team must continue to conduct a deep dive of the long term Operational support plan to further define the criteria for escalation, communication mechanisms between the various help desk support levels, roles, responsibilities and delineation of duties. These activities must be aligned to the ITIL Service desk functions

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Domain 5: System Deployment & Ongoing Operations
Summary of Assessment Findings and Recommendations

- Performance Metrics and Tracking Findings:
  - The project has a well defined business case that was reviewed and approved by key agency stakeholders during planning and is serving as a solid foundation for the project execution including documenting key business processes and operational benefits envisioned by the HHS System System
  - However, even through three waves of deployment, a set of specific system benefits (success criteria) are yet to be developed for post deployment benefit measurement within the full scope being implemented, including:
    - Inadequate formal procedures to gather feedback from all the field offices that have been converted to the new system. Gaps in streamlining all feedback for process improvements
    - Lack of metrics on business process improvement
    - Lack of metrics on effectiveness of healthcare delivery
    - Inadequate metrics on data accuracy and reporting
    - No Service Level or Operational Level Agreements (SLAs or OLAs) between Infrastructure Services provider (BEST) and DSS
    - Inconsistencies in data gathering and reporting leading to missing key indicators – e.g. field office personnel are about 7500 tasks behind across all offices and this number has more than doubled in the last quarter. There is only limited staffing to handle the backlogs

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Domain 5: SDLC Approach and Execution
Summary of Assessment Findings and Recommendations

- Performance Metrics and Tracking Recommendations:
  - Continue to develop more formal processes to gather feedback to track various metrics including feedback from the field offices, performance measures on infrastructure service delivery etc.
  - Continue to develop detailed post-implementation system assessment processes that identify the set of specific system benefits (success criteria and measurement) with respect to the full scope being implemented including business process improvement, effectiveness of health and human services healthcare delivery, data accuracy and improved functionality etc. that the system is expected to deliver to DSS following its implementation
  - Work on a structure with BEST to at least track key SLA and/or OLA metrics like MTTR (mean time to resolution), Response Times, Availability, System Utilization etc. though these may not have to be strictly formal in nature, considering the existing nature of how business is conducted between the two organizations. At a minimum, work on the following three areas to identify metrics for improvement –
    - Effectiveness in delivering service
    - Efficiency with respect to meeting performance requirements
    - Agility in responding dynamically to change

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Detailed Health Check Findings

Detailed Findings and Recommendations across each Domain and Sub-Domain

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Health Check Assessment Framework

Health Check Assessment Focuses on Five Domains

- **Business Value & Strategy Alignment:** Alignment of program scope and activities with DSS' vision, strategy and model of practice goals for HHS System
- **Program Operations:** Governance and execution of program activities, including communications, vendor management, and data governance
- **Program Organization:** Team staffing, user involvement, and organizational change management
- **SDLC Approach & Execution :** Application of standard project management and solution development processes and methodologies across the HHS System program
- **System Deployment & Ongoing Operations:** Planning and transition of the program solution to ongoing operations

Business Value & Strategy Alignment	Program Operations		Program Organization
• Program Definition and Alignment • Benefit Specification • Program Prioritization • Value and Expectations Management	• Program Governance • Quality Management • Program Administration • Communications Management • Information and Data Management	• Solution Coordination/Standardization • Project Management Coordination • Vendor Management • Risk Management	• Program Team • User Involvement • Org Change Management • Training

SDLC Approach & Execution		Deployment & Ongoing Operations
• Project Management Approach and Execution • Requirements Validation Approach and Execution • Design and Development Approach & Execution • Security and Regulatory Planning and Execution	• Data Conversion Approach and Execution • Testing Lifecycle Approach and Execution • Interface Design Approach and Execution • Training and Knowledge Transfer	• Deployment Planning and Execution • Turn-Over to Production • System Maintenance and Operations • User Support • Performance Metrics and Tracking

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Domain 1 – Business Value & Strategy Alignment

1.1 – Program Definition and Alignment

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with PMBoK (5th Edition); IEEE 1062, and industry best practice including: ▪ Program Charter is approved ▪ Program goals support departmental strategy ▪ Objective, measurable success criteria for the program have been defined	**(+)** Program goals are generally understood across the stakeholder community. **(+)** The program is defined through the *Advanced Planning Document* (APD) process, as well as approved vendor contracts, Statements of Work, and amendments **(-)** Specific, measurable outcomes are less well-defined and the link between solution implementation and business outcomes remains less well understood

Recommended Action(s)
▪ The PMO and Organizational Change Management team should continue to communicate the achievement of measurable Program goals throughout the Wave rollouts, including how HHS System is linked to Departmental strategy

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Domain 1 – Business Value & Strategy Alignment

1.2 – Benefit Specification

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with CMMI-ACQ and industry best practice including: ▪ Business benefits are defined and maintained ▪ The linkage between tangible business benefits and the outputs of the Program are defined ▪ A process is in place to ensure original business objectives are still valid ▪ A change process is in place to link changes in business objectives to benefits	**(+/-)** Replacement of an aging and costly-to-support system is widely understood to be a major benefit of HHS System. Some concern remains among stakeholders that the existing system will need to be maintained **(+/-)** Several components of HHS System are designed and architected with a goal of re-usability. Efforts are underway to begin including re-usability of those element in other department initiatives **(+)** Consistent involvement by the program business sponsor and subject matter experts ensures that changes to business requirements are communicated to the program team

Recommended Action(s)

- The PMO should ensure that required system documentation is delivered and available to other initiatives and that system knowledge is transferred to State staff
- The Program should continue to track and report against Key Performance Indicators, ensuring that business outcome HHS System traceable to system implementation is documented

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Domain 1 – Business Value & Strategy Alignment

1.3 – Program Prioritization

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with PMBoK (5th Edition); IEEE 1062, and industry best practice including: ▪ Regular management meetings are held to check on Program progress ▪ The Program team gets commitment from management in the form of additional resources and support when necessary ▪ Program team is receiving and retaining commitment from management in terms of active engagement and resolution of issues	**(+)** Bi-weekly Executive Steering Committee meetings are held and executive leadership is kept up-to-date on program activities, issues, and decision-making requirements **(+)** Weekly PMO meetings are held, updating Program leadership on status, issues, and risks **(+)** BEST leadership remains engaged with the program with representation at key Program meetings **(-)** External constraints related to State staffing and budget continue to limit leadership's ability to provide resources

Recommended Action(s)
▪ The Program should identify critical risks associated with loss of key team members, analyze HHS System to Program success, and escalate as necessary with alternatives analysis and recommended approach

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Domain 1 – Business Value & Strategy Alignment

1.4 – Value and Expectations Management

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with ISO 10014 and industry best practice including: ▪ A process is in place to ensure there is a link between system capabilities delivered and business benefits expected ▪ Program vision and scope is communicated to all key stakeholders ▪ Stakeholder expectations are in line with program scope ▪ The relationship between funding opportunities, program schedule and business value is understood and incorporated into program goals and planning	**(+)** While Health Check interviews did not include end users, clients, or measures of end user familiarity with HHS System, attendance during daily user-community calls revealed a wide-ranging interest and participation by users in field offices **(+)** Organizational Change Management activities continuously address communication of program scope and seek to identify gaps in stakeholder understanding. These efforts have been effective in setting stakeholder expectations **(+)** Throughout program leadership and the PMO there is an understanding of the program funding landscape and the alignment of it with the program schedule and prioritization

Recommended Action(s)
▪ No additional actions required. The PMO should continue its focus on aligning OCM activities with delivery of HHS System functionality

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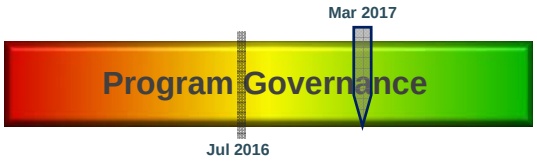
Domain 2 – Program Operations
2.1 – Program Governance



Best Practice	Findings/Observations
Activities and processes for this area are in alignment with PMBoK (5th Edition); IEEE 1490, and industry best practice including: ▪ A program management methodology is in place and approved ▪ Governance is defined and a Steering Committee formed ▪ The program is aligned with specific, measurable business objectives ▪ The program team structure is documented including roles, responsibilities and reporting relationships ▪ Decision-making authority is defined and understood	**(+)** A Program Steering Committee, and well as Department Executive Committee, are in place and meet regularly **(+)** The Program team structure is documented and understood by the stakeholder community **(+)** Although formal decision-making authority is not defined, the decision process is understood across the Program team and operates effectively **(+/-)** While no formal *Program Management Plan* has been adopted, the program team and stakeholder community as a whole are generally aware of processes, roles, and responsibilities

Recommended Action(s)

- Lessons Learned from HHS System's success should be captured, analyzed, and available to current and future Department initiatives
- Similar program efforts in the future should include application of a Program Management Plan which guides program-level activities. Efforts to create a robust Program Management Plan at this point in the program life cycle would not be cost-effective

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Domain 2 – Program Operations
2.2 – Quality Management

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with IEEE 730, IEEE STD 12207, IEEE 1220, IEEE 1028, IEEE 1061, and industry best practice including: ▪ Program and Project Quality Management Plans are in place and being followed ▪ Quality Assurance and Quality Control activities are included in Program planning ▪ The Program team includes a Quality Manager or Lead with documented responsibilities ▪ Quality standards and measures have been defined ▪ Lessons Learned exercises are planned and conducted. Findings are used to improve quality of subsequent activities	**(+)** Project Quality Management Plan (XYZ) has been approved **(+)** While no formal program-level Quality Management Plan is in place, quality management responsibilities are performed by PMO team members – specifically the Testing Lead, PMO Lead, and Release Manager **(+/-)** Deliverable Expectation Documents have been created and approved, but are widely viewed as being of limited value **(-)** The deliverable review process continues to be hampered by the size and number of deliverables – combined with constraints on State staff required to review them

Recommended Action(s)
▪ The PMO should review and update (as needed) Deliverable Expectation Documents to identify remaining high-risk/high-value deliverables and ensure delivered products fully meet Program needs

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Domain 2 – Program Operations
2.3 – Program Administration

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with CMMI-ACQ and industry best practice including: ▪ Program office in place and program management staff is sufficiently trained and experienced ▪ Central electronic program repository in place, secure and maintained ▪ Document control mechanisms are in place and program files are archived and maintained ▪ Meeting minutes or notes are recorded and distributed ▪ Regular program review processes are in place ▪ A deliverable tracking mechanism is in place	**(+)** A Program Management Offices is in place at the Program level, and effectively coordinates with stakeholder organizations **(+)** A comprehensive document repository is in place and widely used **(+)** Deliverables are closely tracked by the PMO and included in regular Status Reporting **(+)** Meeting minutes or notes are published regularly and available within the program document repository **(+)** Program Reviews are held with State Executive team members, as well as regularly with Federal partners

Recommended Action(s)
▪ No immediate actions required ▪ The Program should document Lessons Learned from the PMO team's successful management of HHS System development and implementation and make those findings available to other Department initiatives

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Domain 2 – Program Operations
2.4 – Communications Management

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with PMBoK (5th Edition); IEEE 1490, and industry best practice including: ▪ A communication program was defined early and processes initiated with management ▪ A Communications Plan is in place ▪ A stakeholder identification and analysis process has been completed and reviewed regularly ▪ Status reporting processes and structures are defined ▪ Reporting formats are defined and used consistently across the program	**(+)** A consistent reporting format is in place and regular Program Status Reports are published **(+)** Public-facing communications are developed and distributed effectively **(+)** The Org Change Management team is deeply involved in identifying stakeholders, their information needs, and vehicles to address communication of program goals and activities. Their efforts have been key to the success of HHS System roll-outs thus far **(+/-)** The approved XYZ Project Management Plan included a Communications Plan which meets industry best practice. However, it has not been updated since initial approval, and this Health Check did not assess whether processes and activities defined in the Communications Plan align with current program activities

Recommended Action(s)
▪ No additional actions required. However, the PMO should continuously seek to measure and improve the effectiveness of communications

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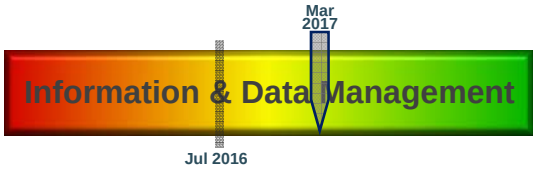
Domain 2 – Program Operations
2.5 – Information and Data Management



Best Practice	Findings/Observations
Activities and processes for this area are in alignment with ISO/IEC 17799 (Code of Practice for Information Security Management), IEEE 610.5 (Standard Glossary of Data Management Terminology) and industry best practice including: ▪ Enterprise information managed as an enterprise asset through conversion and beyond with governance needed to assure data quality and facilitate data sharing ▪ Master data management is used to coordinate master data at the point of data acquisition ▪ Logical data warehouse mechanisms in place for reconciling semantics and consolidating enterprise data to facilitate data sharing and analytics	**(+)** A pragmatic approach has been adopted to the management and synchronization of client identities across applications for health and human services benefits by the implementation of a registry-based EMPI **(+/-)** A strategy for EMPI deployment across other systems serving the AX client base is reportedly under development **(+/-)** Data stewardship is provided by dedicated individuals in the EMPI team and he overall authority for governance of the shared Master Data belongs with the Executive Steering Committee with no comprehensive formal Information Governance processes and structures as yet defined

Recommended Action(s)

- The Program should participate in the establishment of formal processes and structures to govern information shared across the integrated Health and Human Services processes and systems of AX
- Develop a strategy for sharing operational and analytical data in support of CT's vision for integrated health and human services that fully exploits the enterprise systems and infrastructure being implemented by HHS System

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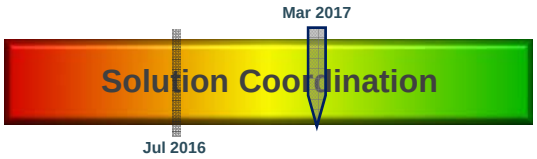
Domain 2 – Program Operations
2.6 – Solution Coordination/Standardization



Best Practice	Findings/Observations
Activities and processes for this area are in alignment with CMMI-ACQ and industry best practice including: ▪ "Horizontal" portfolio management, architecture, process and skills improvement practices implemented in order to ensure cooperation between silos	**(-)** Resource constraints across the State severely hamper the project's ability to coordinate solution development with external systems. System knowledge, especially related to aging mainframe applications, is limited to a handful of State employees and contractors

Recommended Action(s)

- Ensure succession planning and knowledge transfer at the earliest before the imminent departure of various key resources due to retirement or other reasons
- To meet the long term goal of achieving a strategically-focused Person Centered Model of Practice, revisit the design of enterprise technology components to ensure an enterprise level approach

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Domain 2 – Program Operations
2.7 – Project Management Coordination

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with CMMI-ACQ and industry best practice including: ▪ Program team is focused on risks within the program ▪ There is defined scenario-planning to identify mitigation strategies for high-probability, high-HHS System risks ▪ Program scope is clearly defined ▪ Program deliverables are clearly defined and understood by the program team ▪ The program schedule is up-to-date and there is a clear understanding of activities to be executed in the plan, key milestones and critical path ▪ Processes are in place to ensure all affected business units are identified ▪ Business is involved in, and has ultimate approval of, all scope changes ▪ A process is defined and in place to implement scope changes ▪ The program management team understands and communicates the HHS System of changes ▪ A Budget Management and review process is in place ▪ Budget changes are included in the Change Management process	**(+)** The project management approach remains consistent and well-executed throughout the program **(+)** Program management meetings are focused on risks, and high-probability, high-HHS System risks are closely managed **(+)** Program deliverables are defined through the Deliverable Expectation Document process and are generally understood by the program team **(+)** The program schedule is updated weekly and activities are included in Program Status Reporting and updates **(+)** Department business representatives are involved in defining and approving scope changes **(+)** The change order process is well-defined and controls how scope changes are implemented **(+/-)** Critical path identification and management was not evaluated during this Health Check process **(+/-)** Budget Management and review processes were not evaluated during this Health Check process

Recommended Action(s)
▪ None at this time

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Domain 2 – Program Operations
2.8 – Vendor Management

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with PMBoK (5th Edition); IEEE 1490, IEEE 1061, and industry best practice including: ▪ Implementation methodology is in place ▪ Implementation support contracts with external vendor(s) defined ▪ Support contracts contain SLA's with defined penalties for non-adherence ▪ Escalation mechanism to obtain on-site support is defined ▪ Vendors have a customer centric approach to M&O (e.g., Vendors have an account management structure with a single individual responsible for the success of the relationship) ▪ The Vendor performance is measured on business metrics (outcomes) rather than process metrics	**(+)** The Program Implementation Plan has been developed and the methodology defined. The PMO team closely monitors and manages the go-live process **(+)** Performance metrics aligned to business HHS System are under development **(+)** Escalation procedures are in place and tracked **(-)** No Service Level Agreements for support of technology are in place

Recommended Action(s)
▪ The Program should investigate alternative support models incorporating BEST requirements and staffing/skill constraints, with identification of required support levels and specific business justification used to define risks associated with lack of enforceable Service Level Agreements

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Domain 2 – Program Operations
2.9 – Risk Management

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with PMBoK (5th Edition), IEEE 1540, and industry best practice including: ▪ There is a mechanism in place to recognize, log and manage project and program issues. Issues are reported and issue logs available to appropriate program stakeholders ▪ There is a mechanism in place to recognize, log and manage project and program Risks. Risks are reported and risk logs available to appropriate program stakeholders ▪ Identified risks include HHS System analysis and alternatives, when appropriate ▪ External program risks are identified, documented, analyzed, and managed	**(+)** Risks are identified, tracked, and included in Status Reports weekly **(+)** External program risks are identified and well-understood by the program leadership team **(+)** The risk identification, management, and escalation process is generally understood by the stakeholders **(+/-)** An approved Risk Management Plan is in place at the project level (XYZ). No Program-level Plan is currently in place. However, the risk process is well-managed by the PMO

Recommended Action(s)

- No immediate actions required at this time
- The PMO should continue to seek improvements in Program risk identification and management – including HHS System analysis and alternative identification

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Domain 3 – Program Organization
3.1 – Program Team

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with IPMBoK (5th Edition), IEEE 1490, and industry best practice including: ▪ Program team roles & responsibilities are defined and staffed ▪ There is full-time participation on the program by both business and IT representatives ▪ The System Integrator has sufficient, qualified staff on the program ▪ All team members acquired relevant training on the program ▪ The System Integrator maintains continuity of staff ▪ Mechanism are in place to manage program turnover, i.e. people leaving and joining the program and projects	**(+)** The business team supporting HHS System is exceptional, and continues to be seen across the stakeholder community as high-performing **(-)** Turnover of program staff – both State and vendor – continues to be a concern to some stakeholders. Institutional knowledge is being lost as team members retire or, in the case of some vendor staff, are moved to other engagements **(-)** While the current Program team is solid, there continues to be little or no continuity planning by the State due to constraints imposed by the recruiting and hiring process. These constraints are outside the control of the Program team

Recommended Action(s)

- The Program team, both business and technical, lead by the PMO, should define and quantify the risk associated with loss of staff and the resulting lack of system knowledge. Risks, along with alternatives and recommended approach, should be escalated to the appropriate decision-maker

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Domain 3 – Program Organization
3.2 – User Involvement

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with IEEE STD 12207, 1220 and industry best practice including: ▪ There is a high level of business and end-user involvement in the program team ▪ A forum is in place to gather information and feedback from the user base ▪ Key personnel from each affected area have been identified	**(+)** The user community reports a high level of satisfaction with their involvement in the HHS System program **(+)** The Org Change Management team is actively engaged in gathering user feedback and ensuring that a wide range of user input is available to inform Program decisions **(+)** Daily meetings are held to coordinate system rollout and address user concerns **(+)** User representatives are involved in testing and continue to review both system and user acceptance test cases

Recommended Action(s)
▪ *Lessons Learned* from the HHS System program's successful engagement with the user community should be documented and made available to other State initiatives – both internal to DSS and other State departments

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Domain 3 – Program Organization
3.3 – Organizational Change Management

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with the ACMP Standard for Change Management and industry best practice including: ▪ There is a committed business sponsor ▪ The Organizational Change Management Team and Program Team fully understand change methodology ▪ Culture foster's an environment that encourages and supports new ideas and change ▪ Key personnel (change champions) from each affected business area are involved in the program ▪ Specific obstacles and barriers to change are identified and mitigated ▪ Senior management make themselves available to the user base to explain the changes and why they are needed ▪ User groups or user committees are in place to inform the user base of required changes early ▪ A training strategy was developed early in the program	**(+)** The program sponsor is engaged and supportive **(+)** A highly-skilled and competent Change Management Team is in place and continues to receive support from across the stakeholder community **(+)** Stakeholders interviewed report that the OCM process is being well-managed and is supported by Department leadership **(+)** OCM activities are integrated into program Status Reports and schedules **(+)** State investment in a robust OCM approach has greatly influenced the success of the Wave rollouts thus far

Recommended Action(s)

- No recommended actions at this time
- The Program team should document *Lessons Learned* from the success of the HHS System OCM effort for leveraging by other Department initiatives

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Domain 3 – Program Organization
3.4 – Training

Best Practice	Findings/Observations
Activities and processes for this area are in alignment with IEEE 1490, IEEE STD 1028 and 12207 and industry best practice including: ▪ A Training Plan is in place which addresses the unique requirements of the organization and the industry ▪ The Training Plan identifies and describes linkages to go-live dates ▪ The Training Plan defines the scope of the training effort in terms of the modules, business processes, and stakeholder groups HHS Systemed and their associated functions ▪ The training Plan describes a governance structure for the training effort ▪ A system is in place to collect feedback on the effectiveness of training and to adjust or re-train as necessary	**(+)** A professional and highly-skilled training team is in place and integrated with Program activities **(+)** A Training Plan is being executed which includes all required elements **(+)** In concert with the Organizational Change Management process, feedback mechanisms are being put in place to develop key metrics and feedback processes **(+)** Stakeholders interview expressed high levels of satisfaction with training, and credit it with leading to largely uneventful implementations thus far

Recommended Action(s)
▪ No additional actions required at this time

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Domain 4 – SDLC Approach and Execution

4.1 – Project Management Approach and Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE 1490, IEEE STD 1028 and 12207 including: ▪ Experienced Project Management is in place ▪ Project plans and schedules are defined and maintained in an up-to-date status ▪ Regular project review processes are in place and being used to manage the project on a daily basis ▪ Project feedback mechanism to recognize and log action issues/risks is in place and being used to manage the project on a daily basis ▪ There is a process in place for staff turnover and mitigation actions	**(+)** Good Management support, leadership visibility and executive interaction have helped in successful implementation of the first three waves **(+)** The project has a well developed and disciplined approach and methodology for risk identification, monitoring and control **(+)** A comprehensive reporting mechanism is in place to report on project monitoring activities including status reports, risk logs, issue logs and action items **(-)** In some areas, where the Baseline Schedule is used as the anchor point for scheduling, the scope of testing (especially interface integration) is not fully accounted for. This could cause issues due to the increasing size of future waves with new function points added via CRs and new interfaces and the amount of time it takes to test each of these **(-)** The HHS System project has encountered variations in the quality of approach to interface testing across the trading partners. In some cases the level of coordination has been inadequate. This may result in interface issues not being identified resulting in future problems and disruptions of service **(-)** Interface development lifecycle reporting is not accurately capturing all the relevant details of progress, the risks and associated mitigation plans

Recommended Action(s)

- Ensure proper management support along with increased accuracy in reporting of interfaces implementation progress and identify risks and mitigation plans well in advance
- Account for adequate schedule durations to test for increased size of release packages, due to new interfaces being added along with Change Requests (CRs), in the future waves

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Domain 4 – SDLC Approach and Execution

4.2 – Requirements Validation Approach and Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 12207 and 1220, including: ▪ A formal process of engaging and training business users to participate in the system's test and validation effort has been defined and developed ▪ Prototyping to allow end users to validate the functionality and operation of key elements of the HHS System System interactively was part of the overall development approach and requirements validation process ▪ Process for soliciting and addressing end-user concerns is in place ▪ Key stakeholders and end-users have been identified, and are available and trained to support User Acceptance Test (UAT) activities	**(+)** This area was not evaluated in depth as all of the requirements planning and execution tasks have been completed at least one year prior to this report. However, requirements gathering, design and execution are being undertaken for some of the functionality still to be developed and implemented including Interfaces and Reporting. **(-)** The majority of contracted for functionality has been implemented as planned. However, there are various defects that are being worked on during the stabilization period to ensure the system functions as intended **(-)** There are still some gaps in meeting key reporting requirements. Field users must currently switch between legacy reports from EMS and new HHS System reports to get their reports completed. An ad-hoc reporting environment (based on a replication of the Production database) is not meeting DSS user expectations **(-)** There are still a number of interfaces where requirements and design updates are being worked upon as more information is received from trading partners. This is still a work in progress **(-)** There are a few core defects that have come about due to inadequate planning during the requirements phase which resulted from lack of clarity regarding data ownership / governance on data shared between HHS System and AHCT. E.g. one recurring issue is coordinating changes between systems – "overlapping aid" between HHS System and AHCT

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Domain 4 – SDLC Approach and Execution

4.2 – Requirements Validation Approach and Execution, Cont'd…

Best Practice	Findings/Observations
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Recommended Action(s)

- During the stabilization period, ensure that defects are tracked back to the requirements traceability matrix and all dependencies are identified as they are reworked to be implemented as part of ongoing releases
- Ensure that workarounds (which are necessitated due to urgency) are minimized and permanent fixes are in place where defects are fully removed and the system is working as intended tracing back to requirements
- Revisit and validate some core data sharing requirements to bring clarity regarding data ownership / governance on data shared between HHS System and AHCT. E.g. "overlapping aid"
- Ensure effective reporting is provided during the transition and into the future for HHS System including:
  - ✓ Training on the implications of EMS / HHS System data structure differences is provided to all staff producing and consuming reports
  - ✓ Analyze and address expectations for ad-hoc reporting from the various types of users involved

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Domain 4 – SDLC Approach and Execution

4.3 – System Design and Development Approach and Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1233, 1058, 1074, 1490 and Gartner Best Practices, including: ▪ Standards regarding format and content have been developed, documented and approved for all development documentation ▪ These standards are being used to assess the development documentation submitted by the vendor ▪ The Project Plan identifies the submittal dates (draft and final) for all development documentation ▪ A formal process has been documented and is being used to review and provide comments on development documentation submitted by the vendor to State ▪ The vendor is meeting all quality and delivery schedule standards for development documentation ▪ System conceptual design has been fully defined, documented and approved ▪ System detailed design requirements are fully defined, documented and approved ▪ System functional and performance requirements are fully defined, documented and approved ▪ System interface requirements are fully defined, documented and approved ▪ System database design requirements are fully defined, documented and approved ▪ The overall system architecture is fully defined, documented and approved ▪ The overall system design does not employ "cutting-edge" technology but instead leverages industry best practices	**(+)** This area was not evaluated in depth as all of the Systems Design and Developments planning and execution tasks have been completed at least one year prior to the writing of this report **(-)** Although ICDs for all interfaces have been completed and signed off, there are still a number of interface design updates underway as more information is received from trading partners. This is still a work in progress. A number of ICD's are undergoing design changes as they progress towards the interface testing cycle **(-)** There are no current plans evident for the long-term maintenance of EMS and HHS System data to support Analytics (e.g. trend analysis) such as an Enterprise Data Warehouse. This may be an important factor is delaying the full retirement of EMS **(-)** The technical design does not appear to account for how single instances of enterprise shared components will be built, including Rules Engine and MDM. The current architecture and design seems to duplicated core enterprise technology components with respect to AHCT **(-)** There are some minor gaps in the design and development approach resulting in Data Change Requests (DCRs) occurring daily and workarounds required to complete user tasks. Ongoing design and development must accommodate fixes and eliminate workarounds

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Domain 4 – SDLC Approach and Execution

4.3 – System Design & Development Approach and Execution, Cont'd…

Best Practice	Findings/Observations
Continued from previous page…	

Recommended Action(s)

- To meet the long-term goal of a strategically-focused "Person-Centered Model of Practice" and ensure an enterprise level approach, the Program should revisit the design of all enterprise technology components including an Enterprise Rules Engine to support both AHCT and HHS System, an Enterprise MDM approach, Shared Analytics and Data Warehouse
- Ensure that Data Change Request (DCRs) are treated as workarounds and not a permanent feature of design. Ensure that defects are permanently remediated even if component design must be adjusted

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Domain 4 – SDLC Approach and Execution

4.4 – Security and Regulatory Planning and Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with ISO 17799 and Gartner Best Practices including: ▪ Project security requirements are completely specified and clearly written ▪ The DDI Contractor has a clear understanding of the security requirements ▪ The vendor will implement a secure means for storage and transfer of sensitive project data ▪ The vendor maintains a written policy which prohibits the transfer of sensitive data via unencrypted e-mail or other media ▪ The vendor addresses all security concerns through a qualified security lead resource ▪ The vendor designates a security professional to facilitate the resolution of security issues ▪ The vendor channels security issues through the designated information security focus lead ▪ Systems are compatible with all required agents or other collection techniques required for intrusion management ▪ The vendor provides specific compatibility documentation between system software and intrusion management software ▪ The vendor provides compatibility verification at the time of install. ▪ State, DDI and QA vendors monitor sources of vulnerability reporting and ensure vulnerabilities that arise during development are properly addressed	**(+)** Tasks related to Security, Privacy, State and Federal compliance have been adequately addressed as part of the Solution design and implementation **(-)** There are a number of non-design issues (regulatory issues) including adherence to MARS certification and various regulatory environments including IRS, SSA, HHS/CMS/HIPAA, USDA and OCSE that need to be fully addressed. Efforts are underway to address these

Recommended Action(s)
▪ The HHS System team, including XYZ, BEST and DSS must work closely with the CSO to mitigate any risks arising out of regulatory issues including adherence to MARS certification and various regulatory environments including IRS, SSA, HHS/CMS/HIPAA, USDA and OCSE that need to be fully addressed as the project progresses

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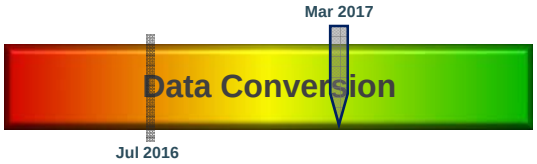
Domain 4 – SDLC Approach and Execution

4.5 – Data Conversion Approach and Execution



Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1058, 1074 and Gartner Best Practices, including: ▪ Accountability for data conversion is assigned ▪ Data conversion was planned early in the project ▪ Processes are in place for validating conversion success and mitigating conversion failures ▪ Validation routines exist to ensure conversion success ▪ Conversion checklists defined ▪ Conversion resources defined ▪ Required vendor support during conversion defined and communicated ▪ Restart and rollback scenarios in case of conversion failure defined ▪ Estimated conversion effort defined ▪ Contingency in case of conversion problems defined ▪ All legacy system data stores have been identified ▪ Extensive and effective data cleansing and standardization was accomplished before data conversion activities began ▪ Automated data conversion routines have been validated ▪ Manual data conversion routines and processes have been validated ▪ The data conversion process includes a multiphase approach to ensure conversion accuracy ▪ Key subject matter experts perform rigorous data accuracy reviews during each phase of the conversion process ▪ The system's go-live readiness assessment includes validation of successful data conversion processes by both the HHS System Project Team and QA vendor	**(+)** The overall data conversion process is well-managed. Planning, tools, and, to a large extent, execution are well documented as part of the Master Data Conversion plan and conversion checklists **(-)** Though many Data Conversion issues have been sorted out between the legacy EMS system and the new HHS System environment during initial waves, there are still significant gaps in the data conversion lifecycle demonstrated during the initial three waves. These need to be planned for and mitigated **(-)** There seem to be gaps around Data stewardship and Data Governance in the organization as a whole that may HHS System where and how archived data will be handled **(-)** Decision was made to leave "no data behind". However, it appears that there are still significant gaps regarding data quality, data cleansing, transformation and load from the legacy system to the HHS System System which could potentially result in having parallel systems for longer than anticipated **(-)** Many more Data Correction Scripts (DCSs) than anticipated are running to address Data Change Requests (DCRs) – with 1000s of records being corrected each day

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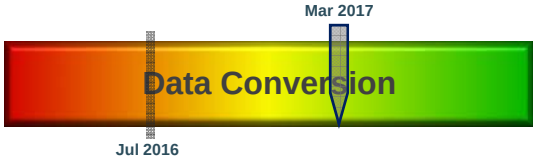
Domain 4 – SDLC Approach and Execution

4.5 – Data Conversion Approach and Execution, Cont'd…



Best Practice	Findings/Observations
Continued from previous page….	**(-)** There are significant gaps in planning and preparation of legacy data that requires the support of field SMEs who are currently handling "cases in progress". Field staff are currently stretched handling both legacy EMS and HHS System system duties and thus not fully engaged to support this important data preparation task to support the transition of client records

Recommendation

- Continue to gather data conversion metrics to identify trends
- Ensure that backend data conversion scripts are reduced over time
- Ensure management is actively involved in determining differences in the naming convention of DCRs and their intent – DSS staff do not subscribe to the fact that these are not really "Data Change Requests" as XYZ classifies them. The term "Change Request" seems inappropriate in this case when data is being fixed for conversion and not really a proper CR
- Ensure that the gaps regarding data preparation, data quality, data cleansing, transformation and load from the legacy system to the HHS System System are significantly reduced, minimizing the duration of having parallel systems, both HHS System and EMS
- Ensure that workarounds do not become the norm and that design and development changes fully remediate defects

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Domain 4 – SDLC Approach and Execution

4.6 – Testing Lifecycle Approach and Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 829, 730, 1044, 1074, 1012, 12207, 1028, ISO 17799 and 1061, including: ▪ The project has a documented Master test plan with comprehensive End-to-End testing documentation ▪ The testing process has been designed to assess and validate all functionality and their performance – End-to-End ▪ The test plan addresses at a minimum some of the critical areas of system: ✓ Functionality ✓ Interfaces ✓ Performance ✓ Reports ✓ Data conversion ✓ Security ✓ Data integrity and privacy	**(+)** The overall testing lifecycle and approach has been found to be adequate to successfully implement the first three waves **(-)** Testing is currently performed in various environments in separate compartments including IIT (Interface Testing), CIT (Data Conversion Testing) and UAT (User Acceptance Testing) and none of these measures has come together as true integrated End-to-End testing. However, the sum total of all the compartmented testing has been found to adequately fulfill the requirements of End-to-End testing **(-)** There are gaps in the Regression testing process which could build a potential for undetected failure into the system over a period of time. The potential size of the regression suite increases over time as the system grows in terms of functionality and complexity. Not accounting for the increasing size and the amount of time it takes to test could potentially lead to failures in future releases **(-)** There are still gaps in testing of certain interfaces where some of the trading partners have been slow to adopt **(-)** Though good processes are in place for predicting, bundling and scheduling changes and testing those for each release, there are still gaps in prioritization and conflict resolution of defects and CRs which could HHS System the testing life cycle - specifically regression testing and interface testing

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Domain 4 – SDLC Approach and Execution

4.6 – Testing Lifecycle Approach and Execution, Cont'd…

Best Practice	Findings/Observations
Continued from previous page…	

Recommended Action(s)

- Continue to ensure that End-to-End testing is being conducted and addresses all agreed upon Functionality, Interfaces, Performance, Reports, Data Conversion, Security, Data Integrity and Privacy
- Ensure that Interface Integration Testing (IIT) gets linked to other forms of testing including UAT and CIT and all these are integrated into final End-to-End Testing
- Ensure that performance, load, and stress testing occurs with automated tools and test scripts in a production-like environment
- Plan, Account and Test for the increasing size of the regression suite as the system grows in terms of functionality and complexity when new interfaces and CRs are added in each release cycle
- Formalize performance metrics before testing begins. Verify performance results against the metrics and take corrective action
- Before each wave, have a proper contingency plan in place in case Data conversion rate is less than an agreed target
- Continue planning for complexity of increasing data conversion sizes as the project moves through future waves

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Domain 4 – SDLC Approach and Execution

4.7 – Interface Design and Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1074, 12207 and 1028, including: ▪ System Interface (hardware and software) requirements are fully defined and documented in the Interface Requirements Specification document, and approved by State ▪ The overall system architecture is fully defined and documented (both hardware and software) in the systems architecture document ▪ Critical or new interface technology has been fully tested and key resources identified to provide needed support during testing and go-live activities ▪ The interface testing process has been designed to assess and validate all interfaces and their performance (operational, security and integration) ▪ All external system interfaces have been tested and fully validated in terms of their: ✓ Functionality ✓ Performance ✓ Data accuracy ✓ Security compliance	**(+)** Though a majority of interfaces have been implemented, a significant portion are yet to be tested and implemented, some of which are complex **(-)** Some ICDs are still undergoing design changes which HHS Systems all downstream activities, including the testing cycle and the interface design re-engineered to make them function **(-)** For some of the interfaces yet to be implemented, there remain significant gaps or disconnects with trading partners in gathering interface requirements, potentially HHS Systeming design decisions, user acceptance testing and the implementation schedule **(-)** Resource constraints on the DSS side to support some complex interfaces, from signing of the MOUs, to acting as the go between external vendors and XYZ, to agreeing on the interfacing mechanisms and data formats, could HHS System interface testing and implementation schedule **(-)** The existing EMS system lacks documentation describing the existing interface data formats and mechanisms, requiring complex code reverse engineering to determine interface mechanisms and data structures being used

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Domain 4 – SDLC Approach and Execution

4.7 – Interface Design Approach and Execution, Cont'd…

Best Practice	Findings/Observations
Continued from previous page…	**(-)** There are some gaps in managing the Interface lifecycle especially on roles and responsibilities between DSS and XYZ in scheduling and coordinating with trading partners **(-)** There are some gaps in progress reporting of the Interface lifecycle where the reports may not be accurately capturing the actual progress, risks and mitigation plans

Recommended Action(s)

- Continue to ensure that IIT (Interface Integration Testing) is not short-changed due to schedule constraints
- Continue to ensure that IIT gets linked to other forms of testing including UAT and CIT and all these are integrated into final End-to-End Testing
- Conduct a risk assessment and HHS System analysis of delays with trading partners
- Escalate and ensure executive support in communicating with trading partners and getting them on the same page in the case of those partners where there is significant disconnect
- Develop contingency plans in case some of the interfaces cannot be completed through the next planned set of Wave Testing and projecting that some interface issues may yet surface in the future due to inadequate Trading Partner testing
- Ensure proper communication during all tasks of the interface lifecycle between DSS and XYZ interface teams
- Ensure the availability of DSS resources who are SMEs in that particular Interface are well planned for, trained and available for Interface testing
- Ensure that progress reporting on Interface lifecycle reflects the on-the-ground reality where risks are identified well in advance and mitigation plans are agreed to

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Domain 4 – SDLC Approach and Execution
4.8 – Training and Knowledge Transfer Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1058, 1490, 1074, 12207, PMBOK, and Gartner Best Practices, including: ▪ End-user training program and Technical Knowledge Transfer program was developed and established early in the project's life cycle ▪ Capability defined to "pilot" functionality of the system prior to go-live ▪ Procedural manuals will be created to give a step-by-step guide to staff and systems administrators ▪ The process to verify users are adequately trained in the HHS System System has been defined ▪ A process to verify that Technical Knowledge Transfer has taken place ▪ A verification process has been defined to ensure that users follow defined processes after go-live ▪ The project has developed and executed a comprehensive training plan that introduces the following at a minimum: ✓ Training objectives and results ✓ Identification of training groups and resources ✓ Types of training to be provided (e.g., instructor lead, computer-based training (CBT), etc.) ✓ Training curriculum development and approval process ✓ Training logistics (locations, timeframes, equipment, instructors and facilitators, etc.) ✓ Training materials development, review and approval process. ✓ Post-training assessment and evaluation process and tools	**(+)** The Training and Knowledge Transfer (KT) cycle appears to be adequately planned and documented and is being carried out with the support of the QA Vendor, First Data **(-)** Given the considerable action items the project staff currently have to accomplish to meet release timelines, this doesn't appear to be given as much priority as other areas and thus considerable gaps exist, including **(-)** There does not appear to be enough State IT team members (both DSS and BEST) to shadow XYZ resources, especially in the areas of application design, customization and maintenance. This is a high risk as this could lead to a high dependency on XYZ to complete all maintenance requests and thus greatly increasing maintenance costs

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Domain 4 – SDLC Approach and Execution

4.8 – Training and Knowledge Transfer Execution, Cont'd…

Best Practice	Findings/Observations
Continued from previous page….	

Recommended Action(s)

- Identify all key State staff, especially on the Technical knowledge transfer, and allocate enough time as part of their job duties to shadow XYZ resources so that technical knowledge transfer happens between XYZ and key DSS and BEST resources
- Ensure that XYZ and First Data allocate enough time and resources so that DSS and BEST resources can shadow their counterparts for knowledge transfer activities

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Domain 5 – System Deployment & Ongoing Operations

5.1 – Deployment Planning and Execution

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1074, 12207 and Gartner Best Practices, including: ▪ Security, data backup, disaster recovery, and business continuity processes have been developed and validated, and comply with State standards and industry best practices. ▪ Rollback plans have been developed and validated for use in case of system failure during turnover to production ▪ Plans are in place for the standby of key support resources during turnover-to-production activities ▪ Potential go-live system failures and action points have been identified and mitigation plans/actions developed and validated ▪ Key project resources have been trained in failure procedures ▪ Support contracts with external vendors are defined and in place ▪ Support contracts contain Service-Level Agreements (SLAs) with defined penalties for non-performance/ compliance to the SLA requirements ▪ Escalation processes to obtain on-site support are defined and in place ▪ System is deployed with all security controls and features implemented and tested prior to go-live ▪ The vendor confirms all security configurations prior to placing a system into the production environment ▪ Governance and communications processes have been established for go-live authorization and status reporting	**(+)** There has been tremendous improvement in this domain in bridging of gaps during the Test Location rollout and initial three waves including issues related to addressing the exact nature of roles and responsibilities between DSS staff, BEST staff and XYZ, identifying all action items and formalizing deployment and release plans and executing successfully **(-)** Deploying and supporting both the legacy EMS and new HHS System systems over a longer than anticipated period of time in the various field offices due to not having a clear cutover date and plan for legacy retirement **(-)** There are still some gaps that need to be addressed after Go-Live system failures and action points have been identified and mitigation plans/actions developed and validated. E.g. PDTX DB2 issue. Though the issue was fixed with the help of IBM and XYZ resources, the root cause is still unknown and the support staff may lack the knowledge to support future system failures of this type and magnitude **(-)** There are still considerable gaps with key support personnel not having a full understanding of system failure points

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Domain 5 – System Deployment & Ongoing Operations

5.1 – Deployment Planning and Execution, Cont'd…

Best Practice	Findings/Observations
Continued from previous page …	

Recommended Action(s)

- Continue to develop and improve the Implementation process using the lessons learned from past Waves
- Continue to employ root cause analysis and lessons learned from the previous waves with respect to system deployment and software release activities and the resulting issues that surfaced post deployment

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Domain 5 – System Deployment & Ongoing Operations

5.2 – System Turnover to Production

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1074, 1219, 1362 and Gartner Best Practices including: ▪ The HHS System Project Team has worked collaboratively with all stakeholders including BEST to clearly define the deployment strategy for the HHS System System ▪ HHS System project team has defined a strategy and / or have plans in place to develop: ✓ The Overall Deployment Approach i.e. Phased release with Pilot and the set of wave deployments etc. ✓ The System Turnover-To-Production Plan ✓ Identification of all critical resources (internal and vendor) and a process to ensure that they are available to support deployment activities ✓ A process to ensure that all critical or new technology has been fully tested and key resources have been identified to provide needed support ✓ Contingency plans to deal with implementation issues that may arise ✓ An approved governance structure and communication plan that defines the implementation decision process and go/no-go events and criteria ✓ A communications plan to keep external stakeholders informed of the implementation process and status	**(+)** The core processes involving System Turnover to Production have been highly effective **(-)** Contractor staff have been hired in key positions to provide the infrastructure support for HHS System system as part of BEST organization. This has helped in smooth transitioning of System from Development to Production. However, there does not seem to be a mid to long-term staffing plan on identifying the full set of staff with the demonstrated and proven skillset to handle the integrated technologically advanced solution components of HHS System **(-)** Though BEST has provided excellent support in the three waves of deployment with some of the core support process like Event Management, Release Management, Incident Management, Change Management etc. implemented effectively, It is not clear if some of the advanced service delivery processes at BEST are robust enough and are in place to provide the required support to operate the deployed system without the continued support of XYZ. Some of these include – • Gaps in Demand Management • Gaps in Capacity Planning • Gaps in Service Level Management • Gaps in Knowledge Management • Gaps in Problem Management

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Domain 5 – System Deployment & Ongoing Operations

5.2 – System Turnover to Production, Cont'd…

Best Practice	Findings/Observations
Continued from previous page…	

Recommended Action(s)

- Incorporate root cause analysis and lessons learned from the implementation of the three waves with respect to system development and validation activities and the resulting issues that surfaced post go-live. Put in place the necessary improvement opportunities so that similar issues do not arise during major delivery milestones to be accomplished for HHS System
- Continue to improve the System Transition Plan and use it to aggressively manage the long term transition of system support from XYZ to the State staff. BEST and DSS should work together and manage this activity to ensure compliance with State needs
- Strategize for the long-term where all core service delivery and support processes are in place so as to provide the required support to operate the deployed system without the continued support of XYZ. Work on improving Demand Management, Capacity Planning, Service Level Management, Knowledge Management, Problem Management etc.

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Domain 5 – System Deployment & Ongoing Operations

5.3 – Maintenance and Operations Support Planning

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1074, 1219, 1362 and Gartner Best Practices including: ▪ The HHS System Project Team has Worked Collaboratively with the IT Organization and BEST Data Center Staff to clearly define the future operations and support plan for the HHS System System. Together these Organizations and the HHS System Project Team Have defined a plan that includes: ✓ The overall strategy for the transition of systems operations and support from the vendor to organic capabilities ✓ The timeframe, key milestones, critical path activities and deliverables required for ongoing operations and support ✓ Identification of all critical resources (internal and vendor) and a process to ensure they are available to support the transition to organic operations and support activities ✓ A knowledge transfer process and deliverables to ensure organic capabilities are fully ready to provide the required operations and support ✓ A process to ensure that all critical or new technology operations and support issues are fully validated ✓ Contingency plans to deal with operational transition issues that may arise ✓ An approved governance structure and communications plan define the operational support decision process and go/no-go assessment events and criteria to ensure planned operations and support activities are being performed as defined ✓ Service level agreements which have been developed for all key areas or ongoing systems operations and support	**(+)** The development and execution of the sustaining support model for the deployed system is moving forward. **(-)** In the long term, it is not clear if the BEST organization has the full set of staff with the demonstrated and proven skill set to handle technologically advanced solution components of HHS System. Contractor staff have been hired in key positions to provide infrastructure support for HHS System system as part of BEST organization. This has helped in smooth transitioning of System deployment and support **(-)** Though some core service delivery support process like Event Management, Release Management, Incident Management, Change Management etc. are implemented effectively, it remains unclear if some of the other core processes are in place to provide the required support to operate the deployed system without the continued support of XYZ, these include support for Capacity planning, Demand Management, Service Level Management etc.

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Domain 5 – System Deployment & Ongoing Operations

5.3 – Maintenance and Operations Support Planning

Best Practice	Findings/Observations
Continued from previous page…	

Recommended Action(s)

- As part of the M&O long-term planning, DSS and BEST should ensure that they take into account all the activities required for Maintenance, Operation and Support to continue supporting the System after the current XYZ's contract ends. This may include –
  - ✓ Detailing the Requirements for M&O support
  - ✓ Detailing the Roles and Responsibilities for M&O support
  - ✓ Market scan of viable options
  - ✓ Alternatives Analysis
  - ✓ Procurement Strategy etc.
- DSS and BEST must plan for the loss of key resources to retirement, expiry of XYZ's contract (if it happens), unplanned changes to contracted staffing models or other unplanned events to allow the organization to more effectively address the critical activities it must accomplish in order to be ready to take on the larger role of sustaining support for the deployed system without XYZ. This planning must allow for a considerable increase in the demand for enhancements due to the backlog caused by transition and the users expectation of HHS System as a modern system capable of ready enhancement

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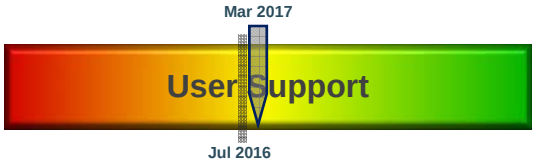
Domain 5 – System Deployment & Ongoing Operations

5.4 – User Support (Service Desk)



Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with ITIL; CMMI-SVC, V1.3 and Gartner Best Practices including: ▪ Fully integrated Service Desk activities defined ▪ Service ▪ Incident recording (including RFC's), ▪ Incident Classification ▪ Incident Prioritization ▪ Incident Escalation ▪ Search for Work Around ▪ Update the customer and IT group on progress ▪ Perform communication activities for the other ITIL processes (e.g. Release notifications, change schedules, SLM-reports) ▪ Perform daily CMDB verification ▪ Report to Management, Process Managers and customers (through SLM) on Service Desk performance	**(+)** The current service desk setup for basic triaging of problem, incident and change management appears adequate with BEST providing first level support and XYZ helping to troubleshoot escalated second level issues **(-)** A number of contractor staff have been hired to smoothen the deployment lifecycle. There is no mid to long-term staffing plan on infrastructure support personnel **(-)** Inadequate formal procedures to gather feedback from field offices where the HHS System system has been implemented **(-)** Inadequate long term planning on the overall roles, responsibilities and clear delineation of duties for providing Service desk functions and end user support amongst BEST, DSS and XYZ and what the future entails if XYZ contract is not extended

Recommended Action(s)
▪ The HHS System team must continue to conduct a deep dive into the long term Operational Support Plan to further define the criteria for escalation, communication mechanisms between the various help desk support levels, roles, responsibilities and delineation of duties. These activities must be aligned to the ITIL service desk functions

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Domain 5 – System Deployment & Ongoing Operations

5.5 – Performance Metrics and Tracking

Best Practice	Findings/Observations
Activities and processes for this Focus Area are in concert with IEEE STD 1074, 12207 and Gartner Best Practices, including: ▪ Based on the Business Case, the Vendor and DSS have developed and documented specific business process improvement, technology and healthcare delivery benefits the system will provide to DSS ▪ The Vendor and DSS have developed specific and measurable criteria for assessing the benefits of the deployed system. ▪ The Vendor and DSS have developed a detailed post-implementation plan that includes: ✓ Overall post-implementation assessment process ✓ Resource requirements of all entities ✓ System business, technology and healthcare delivery areas to be assessed ✓ Schedule of assessment activities ✓ Assessment findings reporting, review and approval process ✓ Corrective action and issues mitigation process ✓ Recurring assessment activities	**(+)** The project has a well defined business case that was reviewed and approved by key agency stakeholders during planning and is serving as a solid foundation for the project execution, including documenting key business processes and operational benefits envisioned by the HHS System System **(-)** Even through three waves of deployment, a set of specific system benefits (success criteria) are yet to be developed for post deployment benefit measurement within the full scope being implemented **(-)** Inadequate formal procedures to gather feedback from all the field offices that have been converted to the new system **(-)** Gaps in streamlining all feedback for process improvements **(-)** Lack of metrics on business process improvement **(-)** Lack of metrics on effectiveness of healthcare delivery **(-)** Inadequate metrics on data accuracy and reporting **(-)** No Service Level or Operational Level Agreements (SLAs or OLAs) between Infrastructure Services provider (BEST) and DSS **(-)** Inconsistencies in data gathering and reporting leading to missing key indicators – e.g. field office personnel are about 7500 tasks behind across all offices and this number has more than doubled in the last quarter. There is only limited staffing to handle the backlogs

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Domain 5 – System Deployment & Ongoing Operations

5.5 – Performance Metrics and Tracking

Best Practice	Findings/Observations
Continued from previous page…	

Recommended Action(s)

- Continue to develop more formal processes to gather feedback to track various metrics, including feedback from the field offices, performance measures on infrastructure service delivery, etc.
- Continue to develop detailed post-implementation system assessment processes that identify the set of specific system benefits (success criteria and measurement) with respect to the full scope being implemented including business process improvement, effectiveness of health and human services delivery, data accuracy and improved functionality etc. that the system is expected to deliver to DSS following its implementation
- Work on a structure with BEST to at least track key SLA and/or OLA metrics like MTTR (mean time to resolution), Response Times, Availability, System Utilization etc. though these may not have to be strictly formal in nature, considering the existing nature of how business is conducted between the two organizations. At a minimum, work on the following three areas to identify metrics for improvement –
  - Effectiveness in delivering service
  - Efficiency with respect to meeting performance requirements
  - Agility in responding dynamically to change

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