Section E: Federal Review Support Requirements (10%)

In this section the Bidder must detail how they will provide federal review support requirements as outlined in Section 3.8.4 of the Assignment.

The Bidder's proposal must:

- Describe the approach to assisting the State in preparing for and conducting required federal agency review processes.
- Outline the approach to assisting the State in preparing federal review packages, including but not limited to the preparation of the following components:
    - Technical Architecture Diagrams
    - Project Management Plan and Schedule
    - Advanced Project Documents (APD) updates
    - Project Process Agreement
    - Release Plan
    - Requirements Documents
    - Security Risk Assessment, Security Plan
    - Test Plans
    - Test Reports
    - Go-Live Plan, including required checklists
    - Pilot Monitoring Plan
    - Pilot Evaluation Report
    - Post-Implementation Review
    - Design Documentation
    - Interface Documentation
    - Data Conversion Plan
    - Database Design Documentation, Logical and Physical Data Models
    - Data Management Plan
    - Contingency/Recovery Plan
    - Operations and Other Manuals
    - Implementation Plan
    - Federal Agency-specific requests, such as Certification justification, etc.

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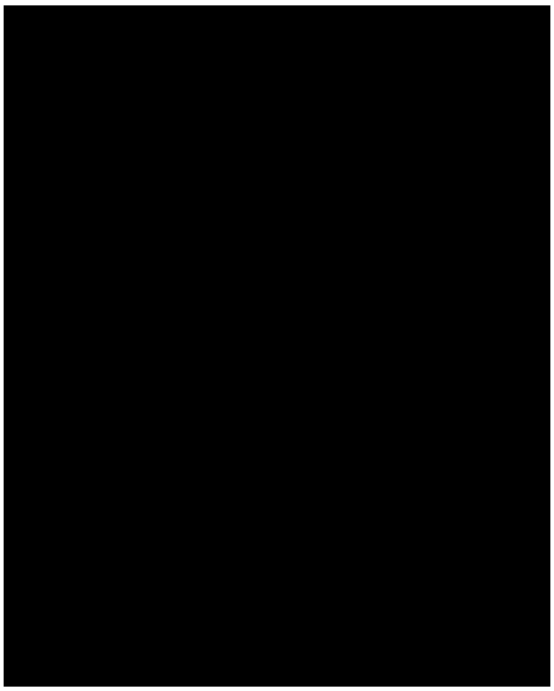
SECTION E: FEDERAL REVIEW SUPPORT REQUIREMENTS

RFP Requirement/Deliverable Addressed

In this section the Bidder must detail how they will provide federal review support requirements as outlined in Section 3.8.4 of the Assignment. The Bidder's proposal must:



ITS, as part of IES-EECM implementation, needs support to secure and maintain federal approval. We bring experience and knowledge supporting federal reviews from 31 recent and directly similar IES implementations. Using that experience, and our knowledge of the benefit programs at federal and state level, we are committed to helping the State meet and maintain federally mandated requirements from Food and Nutrition Service (FNS), Administration for Children and Families (ACF), Social Security Administration (SSA), Internal Revenue Service (IRS), Centers for Medicare and Medicaid Services (CMS), and other federal agencies.

Throughout the Federal Review process, the State, Deloitte, and each government agency collaborate to successfully navigate each stage of the review and take the appropriate steps to meet and maintain alignment with federal requirements. Each step of the way, from preparing required documentation to charting the post review process, Deloitte engages in required federal reviews as one team with our clients. Our detailed understanding of federally mandated requirements and the review process affords New York confidence as we work together to deliver a solution that meets federal review requirements.

OUR UNDERSTANDING

NY ITS is currently engaged in a large scale IES-EECM modernization that spans across various stakeholders, and agencies. Deloitte understands that the federal partners require a rigorous review process to assess the compliance of the processes and IES-EECM system's functionality. There are various documents, questionnaires, and tools like SNAP System Integrity Review tool (SIRT) from FNS and Advanced Planning Document (APD) submissions and updates that need to be completed and submitted at various milestones of the project and continue throughout the project including Test phases entry/exit milestones. This review processes by FNS and IRS require teams' timely involvement and completion of the steps including demonstration of the system at various stages including external interface functionalities and respond to requests. We allocate time to plan, co-ordinate and perform these critical tasks to achieve a smooth review process of IES-EECM project. The SIRT tool captures and scrutinizes that all the required functionalities in IES-EECM system are implemented and compliant to the federal requirements.

As required in the RFP section 3.8.4, Deloitte works with the New York State team to perform the Federal Review Support task and support the critical activities for the success of the IES-EECM project.

- Deloitte supports the **preparation** of responses to required federal review and **monitoring** activities and address **compliance** with federal approvals and requirements. Here is how we plan to support IES-EECM in its federal review process:

[redacted]

successive steps through which state agencies obtain federal approval of Federal Financial Participation (FFP) in automation projects supporting HHS programs. FNS monitors progress of the IES-EECM project using the APD Update (APDU) process, including regular conference calls and FNS site visits as needed. Deloitte recognize that the APDU documentation requirements include Transmittal Letter, Project Status, Changes to the Approved APD, Revised Schedule of Activities, Milestones, and Deliverables, Revised Budget, actual Expenditure to date, and Contractor's performance. Deloitte needs to support ITS by providing input from an IES-EECM project perspective to many of these items.

- **Internal Review Service Publication 1075**. We understand that this publication provides guidance to validate the policies, practices, controls, and safeguards that should be followed by the recipient agencies to adequately protect the FTI (Federal Tax Information). We have also worked closely with states to validate that their systems are 1075 compliant across health and human services projects.

- We support the State to prepare, and submit federal review, monitoring, and approval packages.
- We understand that the IES-EECM system must meet the testing provisions outlined in the FNS APD Testing FAQ document and FNS review requirements for Testing, Pilots, and Post-implementation Reporting as outlined in 7 CFR 277.18(g). Deloitte addresses these requirements thru our proven methodology, tools and processes and builds a solution that meets these requirements.
- We understand that the Testing of the IES-EECM system needs to verify that it complies with program requirements, design specifications, performance standards, useability, capacity, and security. We address these requirements thru our elaborate Test plans which verifies that the IES-EECM Solution meets the requirements.

[redacted]

OUR APPROACH

Deloitte understands that to take the IES-EECM system through the review process, [redacted]

We support ITS through each step of the federal review processes, including on-site federal review visits, involving the appropriate stakeholders, addressing identified gaps, and other relevant activities. Our approach to supporting federal review promotes collaboration and transparency amongst your state, county and city stakeholders, involving in decisions and keeping them aware of project status and action items, risks, or issues identified as the project progresses.

- [redacted]

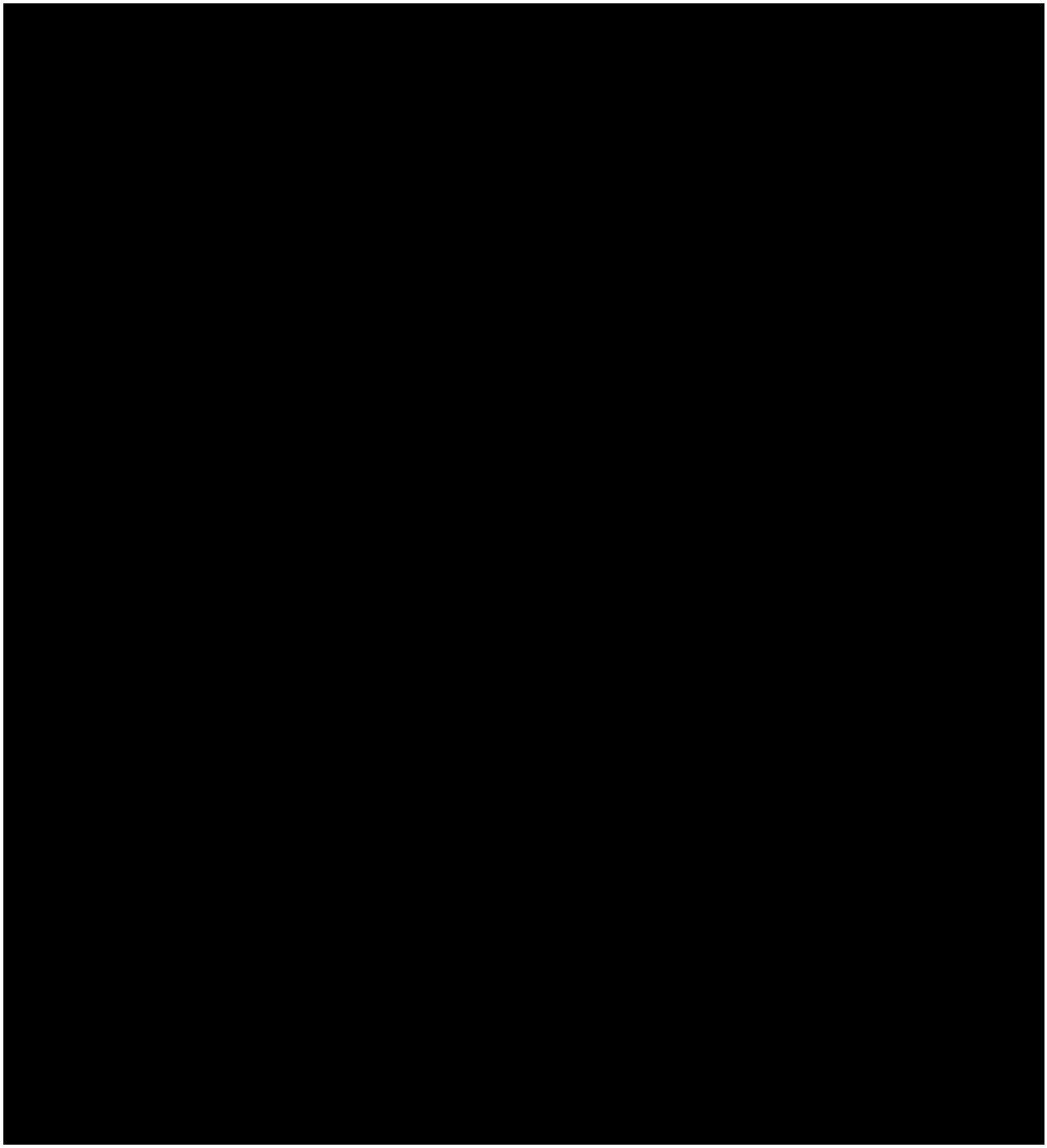


Figure E-1. How Deloitte Builds the IES-EECM System Compliant with Required Functionalities.

Figure E-2. How We Support NYS during Federal Reviews and Leverage Best Practices in [redacted]

The following figure lists the requirements from RFP section 3.8.4 and provides a brief summary on **how** we address each requirement.

RFP Requirements	How We Meet RFP Requirements
Preparation of responses to all required federal review and monitoring activities and address compliance with federal approvals and requirements including, – FNS 901 handbook – FNS System Go-live requirements/ Pilot phase approvals • APDU (Advanced Planning Document Update)	[redacted]
– FNS SIRT Tool	
– Child Support System Certification	

RFP Requirements	How We Meet RFP Requirements
– Child Support IV&V requirements	[redacted]
– IRS PUB 1075	
Support the State to prepare and submit federal review, monitoring, approval packages	
IES-EECM Solution must meet testing provisions outlined in the FNS APD Testing FAQ document and FNS Review requirements for Pilot. Testing needs to verify that system and test plans comply with the requirements.	

Figure E-3. How We Support the Federal Reviews and Requirements for IES-EECM.

We demonstrate confidence to both design and deliver an IES-EECM module that is federally compliant, and also navigate the review process to gain federal approvals. As examples, we have supported [redacted]. In addition to these experiences, Deloitte has completed full Child Support Enforcement system implementations that achieved **OCSE certification** in various states including [redacted] and bring in experiences from working with federal partners to review OCSE certification requirements.

The following figure provides a summary of our directly relevant experience helping other states navigate the federal review process – experience that we bring to NY.

[redacted]

[redacted]

[redacted]

[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

[redacted]

E.1 ASSISTING THE STATE IN PREPARING/CONDUCTING FOR FEDERAL REVIEWS

RFP Requirement/Deliverable Addressed

- Describe the approach to assisting the State in preparing for and conducting required federal agency review processes.

HOW WE MEET YOUR REQUIREMENTS

Deloitte understands that to achieve a successful outcome from the federal review processes requires **planning, preparation**, and a **compliant system** that meets the design and functional requirements and has been thoroughly validated through the required **testing processes**. Deloitte supports the State in preparing and conducting each step of the review process—including mapping the IES-EECM project schedule to standards and milestones, generation of necessary artifacts and documentation and upload of those materials to assist with reviews, addressing identified gaps, and other activities. Our approach [redacted]

[redacted]

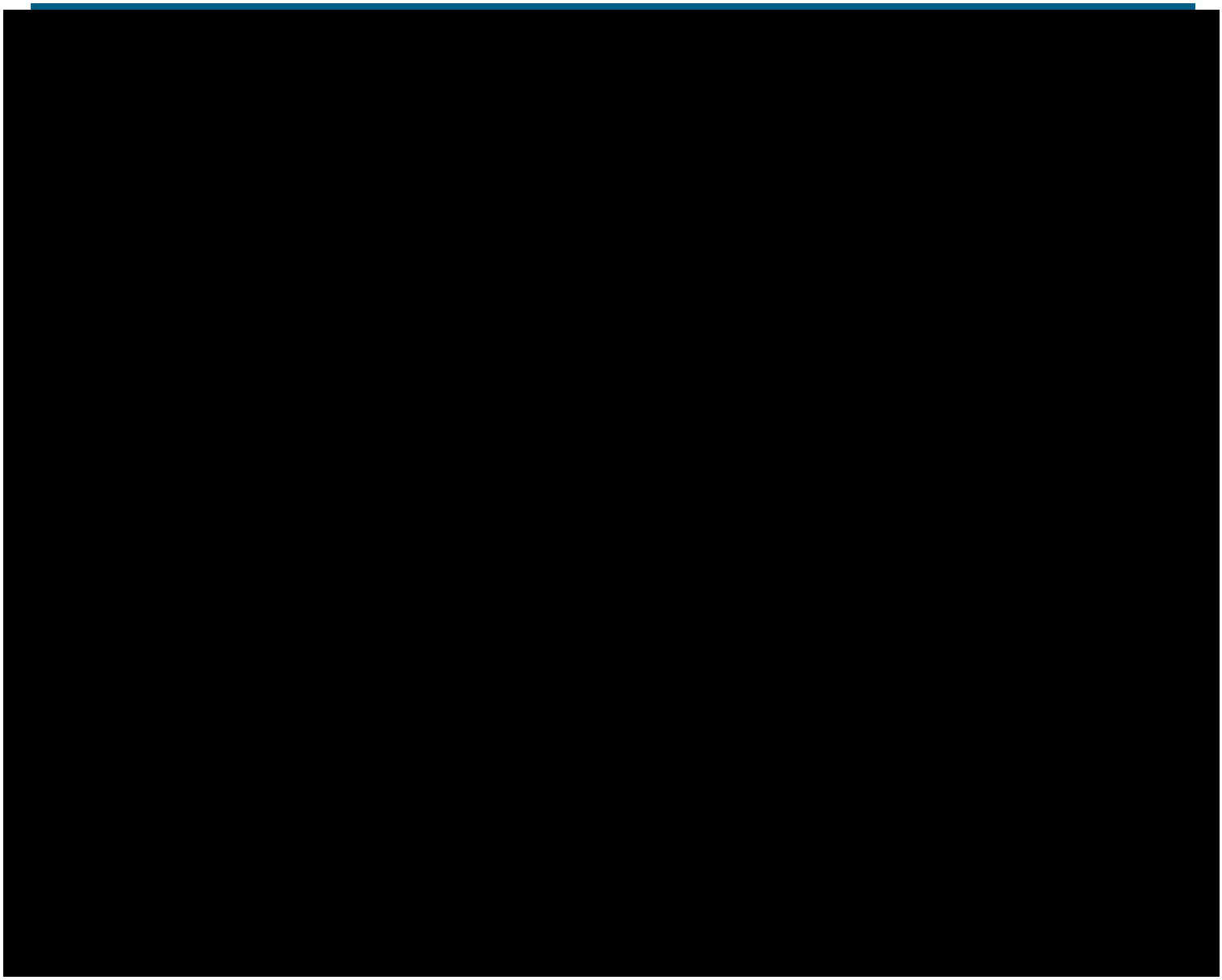
We understand that the equation for success is **Plan & Prepare** (Compliant System, Required Documentation, Testing) + **Conduct** Timely Federal Review Process = **Successful Federal Reviews** leading to on-time implementations.

PROCESS COMPLIANCE SUPPORT

Our philosophy hinges on the fact that a close familiarity and detailed understanding of process is required to effectively navigate federal reviews. This includes producing the required APD documentation and reporting, addressing ITS's defined roles and responsibilities, and actively participating in any required activities including milestone reviews and development of associated artifacts. We understand the requirements for each review, and we prepare required documents, deliverables, and presentations. We leverage our prior experience, and organizational assets such as previous review templates, presentations and lessons learned documents to create appropriate representations of the project aligning with the FNS and IRS compliance and requirements for each review.

Overall, we assist during the federal review with relevant agencies throughout each stage of the review process from preparation to completion. This includes the following core activities:

Core Activities **How We Support the State with Federal Agency Reviews**



SYSTEM COMPLIANCE SUPPORT

[redacted]

From the beginning of the SDLC, we address the requirements, design, documents, and plan for the system federal requirements. Our comprehensive approach to delivering a system that is aligned with relevant guidelines from federal agencies such as FNS, and the IRS are clearly narrated in *Section D, IES Solution Design, Development, and Implementation (DDI) Requirements*. As a result, the Deloitte approach lends confidence to the delivery of a system that meets or exceeds federal requirements. We have the relevant knowledge, tools, and practices highlighted in the RFP, along with a commanding knowledge of how to apply these on the ground to the challenge at hand, to deliver a system that is federally compliant.

Familiarity with key tools such as the FNS and IRS Toolkits enables us to preempt commonly observed issues, and instead implement practical solutions to make sure that NY IES-EECM is compliant with federal guidelines across agencies. Our team is current with the FNS 901 handbook including FNS SIRT tool and IRS publication 1075. Our understanding of the toolkit helps confirm the system and enhancements meet the federal requirements, and satisfy the objectives described in the State's Advance Planning Document (APD).

Further, our[redacted] aligns with the FNS requirements framework to guide and coordinate Information Technology (IT) projects. This enables us to respond quickly to changing requirements and mitigate the impact of regulatory gaps and deficiencies as System Development Life Cycle Progresses. This methodology aligns with and exceeds standards from federal agencies including FNS System Go-live Requirements and IRS publication 1075 requirements.

These processes help to develop a compliant system based on industry practices. During the Software Development Life cycle, Deloitte works through the FNS and IRS review process, based on an understanding of what requirements are necessary to meet during each phase (including predefined APD reviews for exchange information). Additional details regarding the Review process are provided below.

The following figure shows an example of a **completed SIRT tool** to support the [redacted]

Figure E-7. Deloitte Supports Completing the FNS SIRT Tool for the Federal Review Process.

As mentioned in Figure E-1, FNS requires IES-EECM to have a list of modules/functionalities to be complaint. The below Figure E-8 highlights the sample list of questions for each of modules that need to be responded, explained and demonstrated using the IES-EECM system to prove the compliance as per the federal requirement.

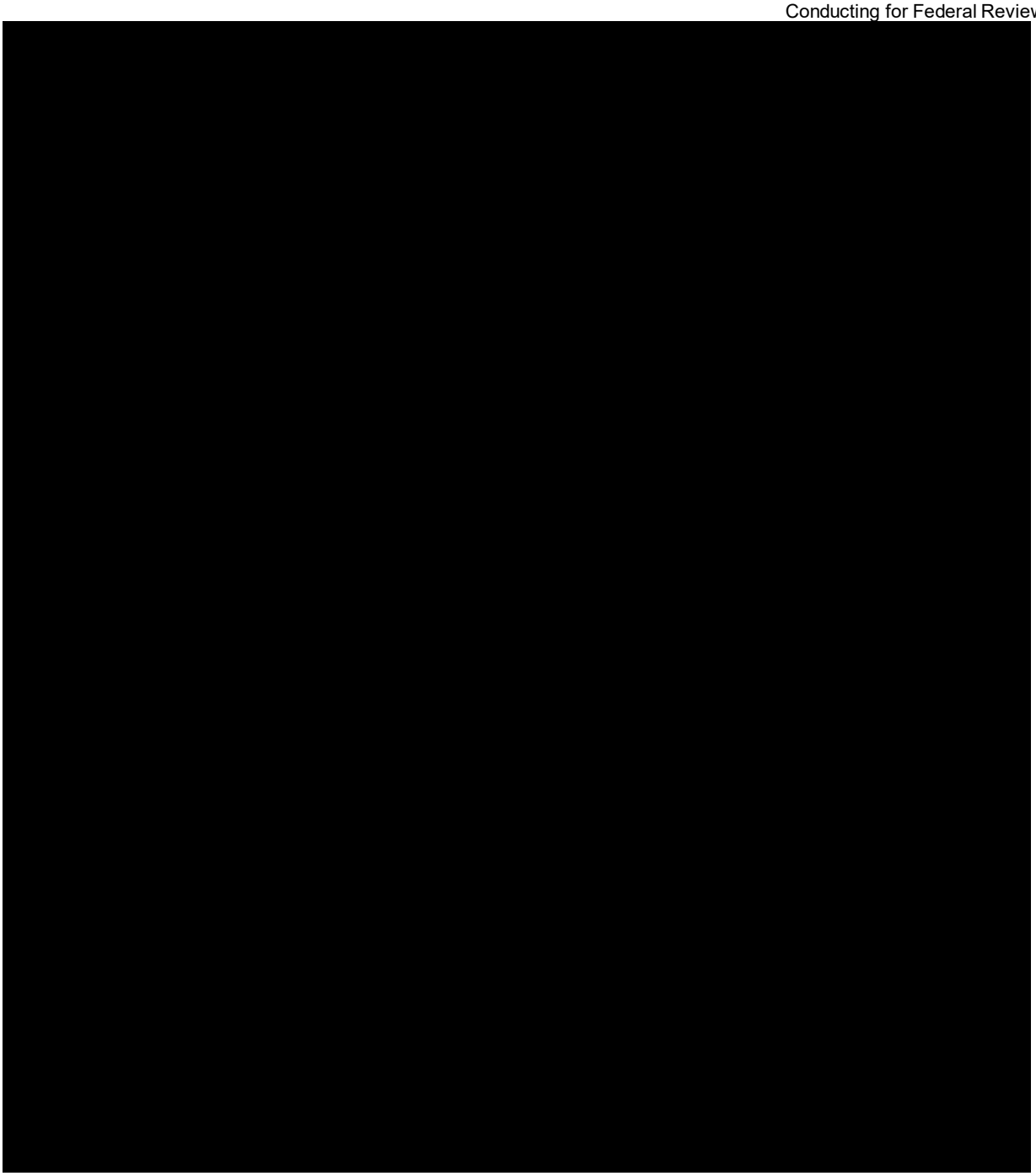


Figure E-8. Deloitte Understands the Compliance Requirements of IES-EECM for the Federal Review Process.

How We Provide Support for Federal Reviews of IES, Provider and IES Systems

Deloitte's approach in supporting federal review activities in every phase of SDLC and at milestones has been depicted in the following figure. As required by FNS in support of PAPD and IAPD process, Deloitte supports the State in preparation and review of project artifacts. The following chart further describes the process, and our approach:

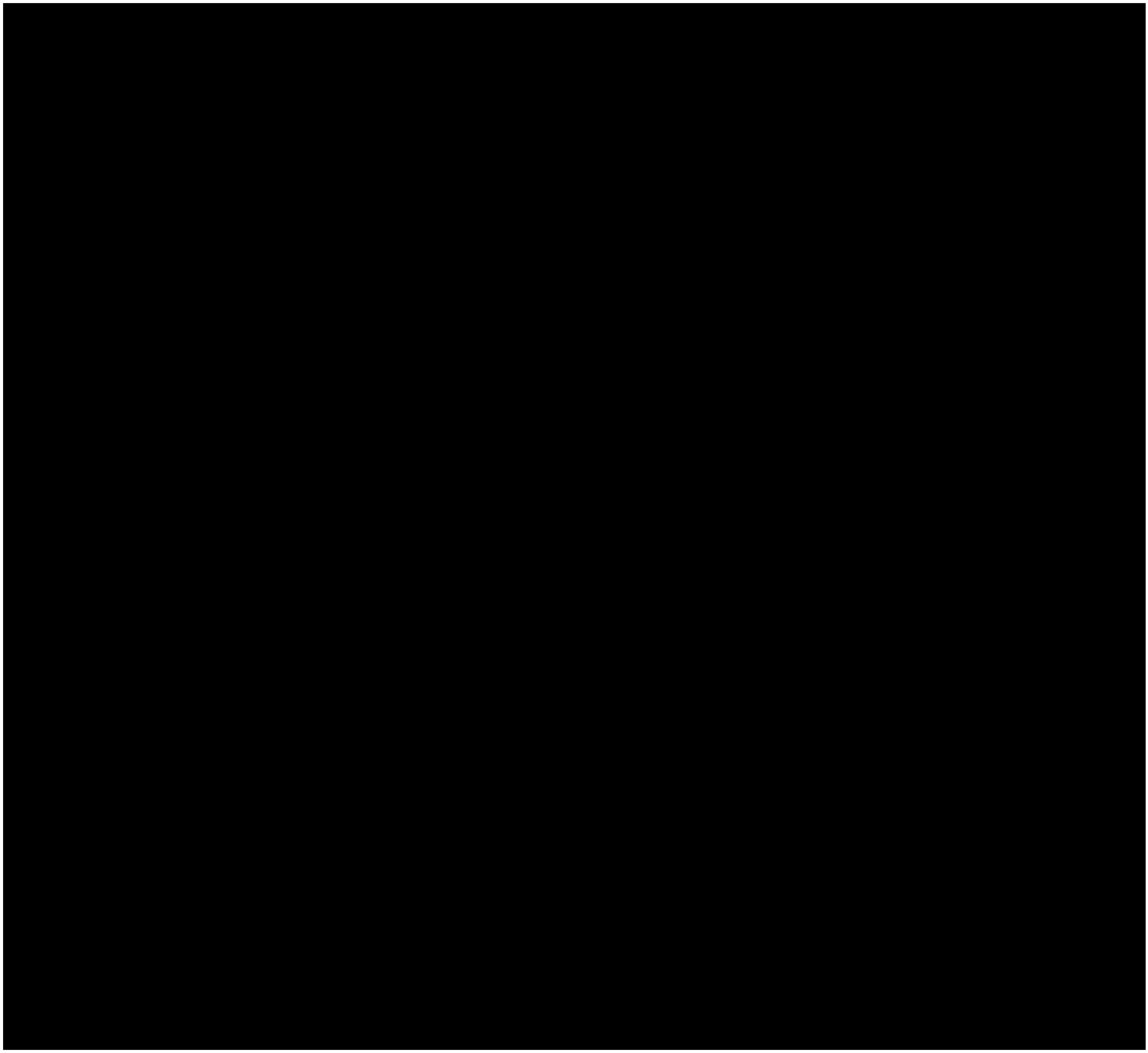


Figure E-9. Deloitte's Proven Steps for a Successful Federal Reviews.

We work with the appropriate State and vendor teams to develop a plan for federal review activities to:

- Outline the processes and procedures that are used to manage system review activities.
- Define requirements for the required Federal review guidelines during and after system implementation.
- Explain how the solution meets the criteria for federal compliance by reviewing and providing a written assessment of each gate review and compliance materials produced by Deloitte in advance of federal gate reviews and post-implementation review activities.
- Explain how documentation for federal gate reviews and system compliance activities, including a Compliance Validation Report validating that the federal requirements have been met and documented.

SDLC Phases	How We Support the Federal Review Process Activities
Development Planning	[redacted]
Requirement Analysis and Design	[redacted]

SDLC Phases	How We Support the Federal Review Process Activities
Development and Testing	[redacted]
Implementation	[redacted]
Transition to M&O and System decommission	[redacted]

Figure E-10. Deloitte's Approach Aligns the SDLC Phases and Federal Review Activities.

How We Support IRS (PUB 1075) Compliance Review Process

Deloitte develops a detailed system design that meets IRS requirements. We organize and conduct working sessions with subject matter specialists and the solution implementation team to understand the system boundary, collaboratively determine the most suitable way to enable management, operational, and technical controls. We document the required security and privacy controls in the **System Security Plan (SSP)** and the other required security documentation for regulatory agencies as specified in the Figure E-9 on the following page.

We understand that safeguarding Federal Tax Information (FTI) is critical to protect the confidentiality of taxpayers' information, and we adhere to NYS ITS guidelines set to meet the safeguard requirements of IRC 6102(p)(4) mentioned in IRS 1075.

We comply with applicable NYS ITS security policies and implement operational and technical security controls to prevent unauthorized disclosure of FTI. We thoroughly analyze and implement the applicable requirements mentioned in IRS 1075, such as recordkeeping, secure storage, restricting access, reporting, and computer system security. These safeguards include, but are not limited to, performance of tests on the applicable

solution components described in the **IRS Computer Security Evaluation Matrix (SCSEM)** and remediation of the issues identified. This helps to harden the IES Solution application system and meet IRS's minimum baseline requirements. Furthermore, we perform Information **System Risk Assessment (ISRA)** of the IES Solution on a regular basis, making the protection of FTI data an integral part of the IES Solution security review process, per IRS audit requirements.

Deloitte supports the State team in Safeguard reviews (On-site or Remote) by IRS which is an evaluation of the use of FTI (Federal Tax Information), and the measure employed by the receiving State and its staff to protect the data. Deloitte supports the State and IRS in the various types of evaluations during the IRS reviews such as visual inspections, observations, interviews, document exchange, and automated scanning using screen sharing capabilities, teleconferences, video enabled software. Deloitte supports and participates in Preliminary Security Evaluation (PSE) calls which is held to determine the scope of the review. Deloitte supports the State team in various review methods by IRS such as spot check agency records for FTI, employee interviews, facility tours, documents review, automated/ manual testing, remote assessment tools. Deloitte works with the State in reviewing the PFR (preliminary Findings Report) and SRR (Safeguard Review Result) including any necessary steps needed to address the findings. Deloitte works with the State in addressing each finding in the report and supports in drafting a mitigation plan to Safeguards review team within 7 days as required. Deloitte also supports the State in responses/updates and submissions semi-annually until the review findings are accepted and closed.

IRS Pub 1075 Requirement	How We Support Meeting Pub 1075 Requirements
Authorized Use of FTI	[redacted]
Secure Data Transfer	[redacted]
State Tax Agency Limitations	[redacted]

IRS Pub 1075 Requirement	How We Support Meeting Pub 1075 Requirements
Coordinating Safeguards within an Agency	[redacted]
Safeguard Reviews	[redacted]
Termination of FTI	[redacted]
Reporting Improper Inspections or Disclosures	[redacted]
Disclosure to Other Persons	[redacted]
Return Information in Statistical Reports	[redacted]

Figure E-11. Deloitte's Addresses the IRS Pub 1075 Requirements in Support of IRS Reviews for Compliance.

How We Support Testing Requirements Compliance

Deloitte understands that the IES-EECM system must meet the testing provisions and FNS review requirements for Testing, Pilots, and Post-implementation Reporting. Deloitte addresses these requirements thru our proven Testing methodology, tools, Templates, and processes that adequately tests the IES-EECM system using various tests as required that meets these requirements. Our Testing approach includes various

types of testing and our methodology is elaborated upon in *Section D.9, Testing Task*, specifically in the *Figure D-138. An Integrated Testing Approach for IES.*

The IES-EECM requires an integrated testing approach incorporating various areas of testing within each testing phase to validate components, underlying systems and external interfaces using end-to-end functional test scenarios.

Figure E-12. An Integrated Testing Approach for IES.

Deloitte's testing of the solution verifies that it complies with program requirements, design specifications, performance standards, useability, capacity, and security. Deloitte addresses these requirements thru our elaborate Test plans which verifies that the IES-EECM Solution meets the requirements.

Deloitte understands the Test Plan documentation as required in the "**Complete and Final Test Plan**" referenced in the chapter ***6.0 Test Planning of FNS 901 Handbook*** which is diligently followed in our Testing plans as detailed in *Section D.9, Testing Task*. Deloitte understands that the base contents that is required in the Test Plan by FNS are as follows.

- Timeline/Milestones
- Testing Resources
  - Staffing with Roles and Responsibilities
  - Test Environment and Equipment – Itemized list
- Test Approach
- Items to Be Tested

- Data Conversion
- System Security
- Stress/Load Testing
- Issue/Defect Tracking and Prioritization – At a minimum FNS expects to see these defect levels identified:
  - Defect Resolution process
  - Regression Testing process
  - Evaluation of Test Progression
  - Go/No-Go Decisions
- Roll Back Contingency Plan
- Risk Management

The following figure depicts the FNS requirements for Test Plan that Deloitte follows to be compliant with the APD updates.

Figure E-13. Complete and Final Test Plan Milestones: Deloitte Prepares Final Test Plan and Submits per FNS Requirements.

Engaging the Right Stakeholders in the Federal Review Process

The preparation for the federal reviews is performed in consultation with the State, FNS, IES-EECM IV&V, Child Support agency, Child Support IV&V, State-assigned PMO, and other vendors or entities as required during the project. Our experience is to develop detailed Stakeholder Management Plan to clearly define the governance model and who are the decision-makers for various aspects of the project enables the stakeholder's engagement and participation in the federal review processes including FNS and IRS review process. We identify a team that has the knowledge and experience working with the federal partners from the State teams, Deloitte teams and IV&V vendors, so they know the requirements and expectation of each of those roles to support the Federal Review Process. We have worked in large, multi-vendor projects similar to NY IES-EECM, and have learned to capitalize on the shared client commitments of the various teams to drive the reviews with coordinated effort between the various stakeholders mentioned below.

Figure E-14. Deloitte Understands the Importance of the Stakeholder Engagement/ Involvement through the Review Process.

We understand that for a system of this importance has numerous stakeholders get involved in various activities and responsible for completing different levels of responsibilities. We work with the State PMO team and State team to include the necessary stakeholders including the teams identified in the following figure.

Figure E-15. Deloitte engages the appropriate stakeholders for a successful review process.

E.2 ASSISTING THE STATE IN PREPARING FEDERAL REVIEW PACKAGES

RFP Requirement/Deliverable Addressed

- Outline the approach to assisting the State in preparing federal review packages, including but not limited to the preparation of the following components:
  - Technical Architecture Diagrams
  - Project Management Plan and Schedule
  - Advanced Project Documents (APD) updates
  - Project Process Agreement
  - Release Plan
  - Requirements Documents
  - Security Risk Assessment, Security Plan
  - Test Plans
  - Test Reports
  - Go-Live Plan, including required checklists
  - Pilot Monitoring Plan
  - Pilot Evaluation Report
  - Post-Implementation Review
  - Design Documentation
  - Interface Documentation
  - Data Conversion Plan
  - Database Design Documentation, Logical and Physical Data Models
  - Data Management Plan
  - Contingency/Recovery Plan
  - Operations and Other Manuals
  - Implementation Plan
  - Federal Agency-specific requests, such as Certification justification, etc.

HOW WE MEET YOUR REQUIREMENTS

Our PMO team serves as the point of contact for providing documentation needed for federal review packages, as well as facilitating the review process of included components by our team. We maintain the plan and associated federal review deliverables throughout the different phases of the Systems Development Life Cycle (SDLC) based on the evolution of the project. A month prior to any federal review meetings or package due date, our PMO team facilitates a review of what is needed and coordinates action items across Deloitte and State staff. Documents are versioned controlled and can be pulled as needed from our project repository. We plan for the appropriate stakeholders are involved in reviewing the packages before submissions.

We produce and review the necessary artifacts (as listed in the following figure) that are needed to meet the Federal review packages submission requirements during the project phases. This approach promotes consistency, transparency, timeliness, and quality throughout the lifecycle of the project. The details descriptions of these artifacts and contents are mentioned in various sections of this response.

Federal Review Package Artifacts	SDLC Phase	Details in Sub-sections of this RFP response
Project Management Plan and Schedule	Planning	C.1.6 & C.1.8
Advanced Project Documents (APD) Updates	Planning	C.4.3
Project Process Agreement	Planning	C.1.5
Operations and Other Manuals	Planning	D.17, D.18
Release Plan	Planning	D.11.2 & D.15
Technical Architecture Diagrams	Design	D.12 & D.14.2
Interface Documentation	Design	D.10
Database Design Documentation, Logical and Physical Data Models	Design	D.12
Design Documentation	Design	D.10
Requirements Documents	Design	C.5

Federal Review Package Artifacts	SDLC Phase	Details in Sub-sections of this RFP response
Security Risk Assessment, Security Plan	Design	D.14
Data Conversion Plan	Design	D.13
Data Management Plan	Design	D.12
Test Plans	Testing	D.10
Test Reports/ Results/Certification Test Results	Testing	D.11
Go-Live Plan, including required checklists	Implementation	D.15
Contingency/Recovery Plan	Implementation	D.16
Implementation Plan	Implementation	D.15
Pilot Monitoring Plan	Post-Pilot	D.15
Pilot Evaluation Report	Post-Pilot	D.15
Post-Implementation Review	Post-Pilot	D.15

Figure E-16. Deloitte's Deliverables are Completed in a Timely Manner for the Federal Review Packages.

The federal review process participants/roles include Deloitte PMO Team, NY IES PMO Team, Subject Matter Experts (SME)/ Policy Experts, Business/Functional Team, Technical Team, Deloitte Cyber Security team, and NY ITS teams that support the federal review activities.

This involves end-to-end activities including the artifacts reviews at various stages of SDLC and preparing for federal reviews are captured in the following figure and progressively updated throughout the project as needed for various federal reviews, and submissions.

Figure E-17. Active Engagement by our Teams Supporting the Reviews.

An example of our proven experience in Federal Review Support, is Deloitte's recent support of [redacted] through the Federal Review process in May 2021 during the System demonstration to address FNS request. This is similar to the scope and complexity of the Federal Review Support requirement specified in this RFP.

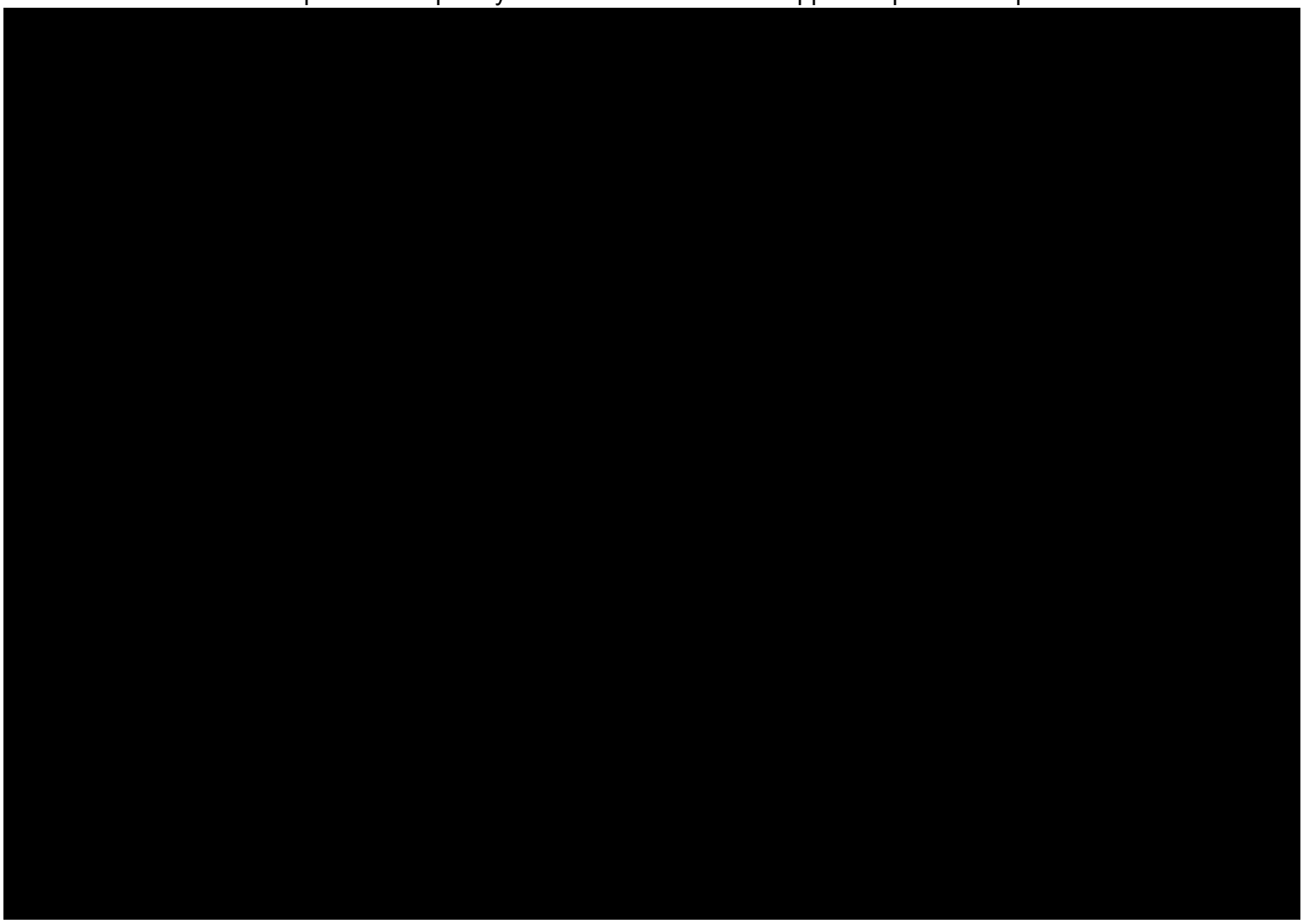


Figure E-18. Deloitte Supports the State during System Demo as Part of the Federal Review Process.

The NY IES-EECM Project work plan incorporates each of the communications and reviews with federal agencies planned to occur as defined in our Project Management Plan including the responsible Stakeholders/ participants for each of the tasks to complete the federal Review Processes/milestones.

Section F: Turnover (10%)

In this section the Bidder must detail how they will manage turnover as outlined in Section 3.8.5 of the Assignment.

The Bidder must describe its proposed methodology for turning the system over to the State. This methodology will be the basis for the Turnover Plan. The methodology should describe the Contractor's approach and plan for turnover.

The Bidder's proposal must:

- Describe the approach for knowledge transfer/training to a Maintenance and Operations (M&O) entity.
- Describe how the Contractor will manage the transition while maintaining all IES production schedules.
- Describe the expected qualifications and levels of staff responsible for turnover.
- Describe proposed procedures for maintaining up-to-date documentation during turnover, including System/User Manuals.
- Include a statement that the Contractor is committed to working with the M&O entity in planning and performing the Turnover activities.
- Include a statement that the Contractor is committed to following State ITS ITSM standards which follow ITIL industry standards.

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SECTION F: TURNOVER

RFP Requirement/Deliverable Addressed

In this section the Bidder must detail how they will manage turnover as outlined in Section 3.8.5 of the Assignment.

The Bidder must describe its proposed methodology for turning the system over to the State. This methodology will be the basis for the Turnover Plan. The methodology should describe the Contractor's approach and plan for turnover.

The Bidder's proposal must:

ITS benefits from our collaborative and transparent approach to knowledge transition and turnover. We recognize that turnover of a complex system like IES-EECM requires an experienced partner that performs turnover activities in an organized and structured manner with an emphasis on self-sufficiency and long-term success of New York with a focus on the continuity of delivery of services and benefits. We bring demonstrated experiences performing turnover of similar systems, both in New York, and other prioritized programs nationally.

[redacted]

OUR UNDERSTANDING

Turnover of a critical benefit delivery system like the IES- EECM solution requires a partner with a sophisticated understanding of the operating environment and a plan for the smooth transition of the system to the M&O entity. In the RFP, ITS has outlined the required support activities for the IES-EECM system for the effective and collaborative turnover of the knowledge and the processes related to the M&O of it. We understand the turnover process consists of several key activities, including transferring physical system, data, content, files, instructions, processes, materials, and other resources. You are seeking a formal Knowledge Transfer Plan, a Turnover Work Plan showing the tasks and the schedule, and a contractor-led knowledge transfer program to aid State staff in assuming M&O activities with no impact to ongoing operations. Turnover activities begin prior to the Pilot rollout to help prepare M&O entity resources to take over operation of the IES-EECM system. We recognize the need to make periodic updates to the Turnover plan if significant changes occur to the IES-EECM Solution.

[redacted]

OUR APPROACH

Our approach to turning over the IES-EECM Solution is based on our experience in numerous states where we have supported the development of turnover plans with the goal of seamless continuity of business functions. Providing for an effective and orderly turnover relies upon a positive, collaborative learning environment coupled with a structured approach to the successful transfer of knowledge on IES-EECM modules, business functions, and technology domains to state resources. We have found that establishing a collaborative environment and well-defined processes early is important part of delivering a smooth, timely, and uninterrupted turnover. Deloitte conducts the turnover of the IES-EECM system by following a well-defined process for the turnover, constantly collaborating, and leveraging resources and tools that make up the foundation for a robust turnover process. The benefits of our approach and how it aligns to the objectives are:

Features	Benefits to ITS
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

Figure F-1. Features and Benefits of Our Turnover Approach.

HOW WE PERFORM TURNOVER ACTIVITIES TO SUPPORT CONTINUITY OF BENEFIT SERVICES AND SERVICES DELIVERY

The following figure provides how we meet your Turnover requirements as outlined in RFP section 3.8.5.

Turnover Activities	How We Deliver
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

Turnover Activities	How We Deliver
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

DELIVERABLES PRODUCED

The following figure lists deliverables that are created during this Task, with the components and frequency of each. These comply with the guidelines and templates for the project using New York provided tools.

RFP #, Deliverable	Description	Submission	Format/Medium
11. Turnover Plan	Documentation that describes how the IES-EECM Solution is transitioned to another vendor or to the State for continued operation. The plan will include: 1. Data Turnover tasks; 2. Custom Interface turnover tasks; 3. Reusable code, configurations, and turnover tasks; 4. Documentation regarding products (with versions), files, interfaces, and work flows not considered to be part of the COTS proprietary documentation tasks; and 5. A timeline with milestones for the Turnover to include planning, execution, and implementation approval. 1. Knowledge Transfer Plans 2. Knowledge Base Articles based on State ITS Standards	By the end of Planning Phase; updated as needed at the end of design phase for each iteration	Word Document Microsoft Project

Figure F-3. Turnover Deliverables.

TURNOVER METHODOLOGY, DELIVERING CONFIDENCE IN RESULTS

Our documented, reliable, and repeatable turnover methodology is part of our [redacted] and serves as the foundation of our turnover approach. The following figure illustrates our [redacted] as well as the interconnectivity to the larger [redacted] that we use.

[redacted]

Figure F-4. [redacted] Turnover Methodology.

As part of the turnover process, Deloitte proposes a structured and well-defined timeline to plan, execute, and complete necessary activities required for a smooth and timely turnover. This includes reviewing and providing comprehensive technical and operational documents from the lifespan of the IES-EECM project. This is built into a series of knowledge transfer activities that are agreed during the planning phase and integrated into timeline of the turnover process. As shown in the following table, the turnover process is divided into three distinct phases with well-defined objectives and a common set of enablers and tools that help NY ITS achieve an effective turnover:

Phase	Objectives
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

Figure F-5. Turnover Phases.

Each phase of the turnover is unique, with its own predefined objectives, while having a common set of enablers and tools involving people, process, and technology components that benefit ITS throughout the process. A detailed description of each phase and its related activities is outlined in Section F.1.

MEETING YOUR REQUIREMENTS

F.1 APPROACH TO KNOWLEDGE TRANSFER

RFP Requirement/Deliverable Addressed

- Describe the approach for knowledge transfer/training to a Maintenance and Operations (M&O) entity.

HOW WE MEET YOUR REQUIREMENTS

Effective knowledge transfer is a continuous and phased process that relies upon a positive, collaborative learning environment established early in the project lifecycle for a multi-year engagement. Detailed Knowledge Transfer steps are part of the Turnover Work Plan and the knowledge being transferred builds a strong foundation for the M&O entity's staff in working independently after turnover. These plans guide the process of training and mentoring the M&O staff on the IES-EECM Solution. Our knowledge transfer program establishes a foundation at the beginning of the project, builds upon that foundation throughout the life of the project and ultimately prepares the M&O entity's staff for the full transition of the project responsibilities at the conclusion of the Turnover phase.

The next section dives into the details of each phase of Turnover and discusses the activities of each, as also reflected in the following figure.

Figure F-6. Three Distinct Phases of Turnover.

PREPARE TURNOVER PLAN

The turnover process begins with Deloitte working with ITS to establish the objectives, scope, size, resources needs of the turnover process. In order for the turnover to be successful it is important to determine the timeline, tasks, needs, and governance processes and to document the current and future activities of the task. The Turnover Plan is submitted six months prior to the rollout of the system.

The collaborative approach taken by our team during the planning phase provides for a smoother execution and completion of Turnover. The details of each activity within this phase are outlined in the following figure:

Activity	How We Perform Turnover Activity
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

Figure F-7. Turnover Plan Activities.

The following figure summarizes the objectives, activities, and the deliverable during the prepare work plan phase.

[redacted]

Figure F-8. Prepare Turnover Plan Phase.

The following figure shows the contents of a sample Turnover Work Plan:

Figure F-9. Sample Turnover Work Plan.

Resource Statement for Turnover

Along with the Turnover Plan, the State is looking at Deloitte to provide a resource statement which it can leverage to take over the operation of the IES-EECM Solution. We use our experience in managing similar systems in a M&O phase, to provide ITS with the requisite details. The resource statement includes:

- An inventory of application software used to perform the functions of components of the IES-EECM Solution
- An inventory of system software and other technical environment resources required to operate components of the IES-EECM Solution
- The number, type, and detail skillset of personnel required to perform the functions under the contract, including both technical and administrative support staff.

EXECUTE TURNOVER ACTIVITIES

Upon approval of the Turnover Plan, we execute turnover activities and prepare deliverables defined in the approved plan. It is continually maintained with the status of activities assigned to both Deloitte and M&O entity staff. ITS benefits from our detail-oriented turnover execution with defined steps, practiced and communicated processes, and a collaborative environment. In addition to conducting turnover activities, we follow an agreed-on process for risk and issue management that helps identify, prioritize, and mitigate risks identified during turnover. Activities and milestones from the work plan are completed as defined and a satisfactory level of knowledge transfer is achieved. The execution phase is supported by well-defined status reporting mechanisms as well. The primary activities performed during this phase are:

Activity	How We Conduct Turnover Activities
[redacted]	[redacted]
[redacted]	[redacted]
[redacted]	[redacted]

Figure F-10. Execute Work Plan Activities.

Deloitte uses a variety of methods to conduct knowledge transfer to the M&O entity. Steps for delivery are:

Knowledge Transfer Activity	How We Perform Knowledge Transition Activities
[redacted]	[redacted]
[redacted]	[redacted]

Figure F-11. Knowledge Transfer Methods.

The Knowledge Transfer activities are performed across the following areas:

Area	Knowledge Transfer Elements
[redacted]	[redacted]

Figure F-12. Areas of Knowledge Transfer.

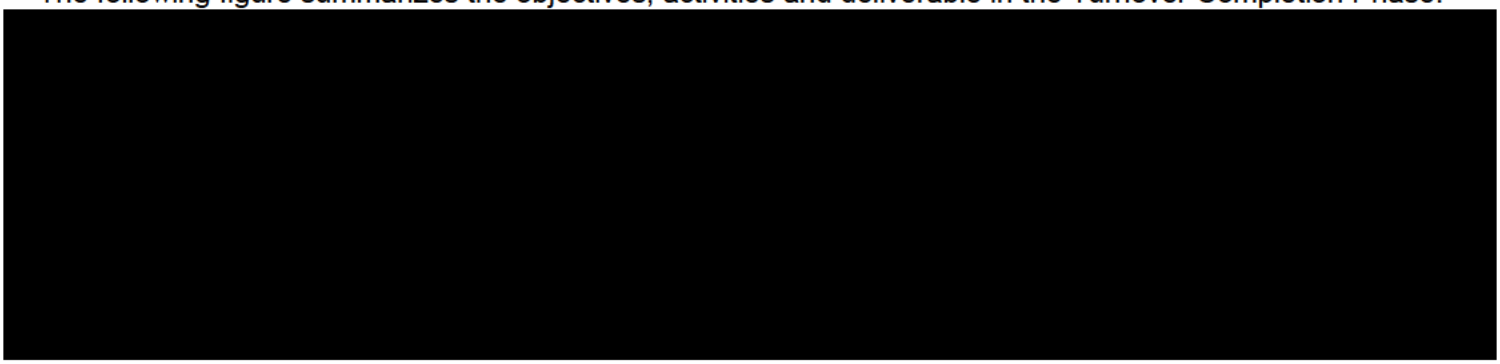
Updating Turnover Plan During Warranty

One of the key aspects of Turnover is the system documentation, as it provides a foundation of information and procedures which enables the M&O entity to support the operation of the IES-EECM Solution. Deloitte maintains and provides documentation relating to the system development, maintenance, and operational support activities throughout our engagement. During the Warranty phase, if the system is enhanced, or a materially significant update has been made to the system, the system documentation is updated and the Turnover plan is also updated accordingly, if required.

Additionally, as required by the RFP, the Turnover Plan is reviewed annually with stakeholders and updates can be made to it if a need arises based on the discussion. The following figure summarizes the objectives and activities during the execute turnover phase.

Figure F-13. Execute Turnover Phase.

The following figure summarizes the objectives, activities and deliverable in the Turnover Completion Phase.



F.2 MAINTAINING THE IES PRODUCTION SCHEDULE

RFP Requirement/Deliverable Addressed

- Describe how the Contractor will manage the transition while maintaining all IES production schedules.

HOW WE MEET YOUR REQUIREMENTS

Deloitte understands the need for business continuity while the Knowledge Transfer and transition activities are ongoing. Designated M&O entity staff resources responsible for maintaining the production schedule shadow Deloitte resources, gradually assuming additional responsibility of tasks, activities, and meetings. This approach provides the new M&O resources the ability to learn firsthand and experience project activities, operations, and other tasks they take over when turnover is complete.

The following figure lists the activities that are part of the transition.

Activities	Description
[redacted]	[redacted]

Figure F-16. Transition Activities.

For each of the Transition Activity steps, we work collaboratively with M&O entity resources and are available to manage, guide, support and mentor the M&O team through each step of the transition process. As the Production operations and schedule is transitioned to the M&O resources gradually and under Deloitte mentorship, these steps help ensure that ongoing business operations and Production schedules are not impacted during the transition process.

F.3 QUALIFICATIONS AND LEVEL OF TURNOVER STAFFING

RFP Requirement/Deliverable Addressed

- Describe the expected qualifications and levels of staff responsible for turnover.

HOW WE MEET YOUR REQUIREMENTS

It is important to have experienced resources who have knowledge of the system functionality to help with the Turnover activities. For an effective Turnover, the following resources support the activities from the Deloitte team. As discussions progress on the Turnover Plan, additional roles can be added, as required.

Role	Qualifications	Levels of Staff
Project Manager [redacted]	• 8-10 years in active management of software development methodology in a large-scale IT systems integration project. • 8-10 years of project management experience of a Web-based system handling IES programs and proven experience of project management concepts and tools • 8-10 years of experience in the understanding of end user, and operational delivery of IES services	• Project Manager - Level II
Business Analyst [redacted]	• 6-8 years of hands-on experience and knowledge in the application management and implementation of IES programs in the state environment • 6-8 years of experience in the understanding of end user, and operational delivery of services in a similar environment • 6-8 years of experience in the understanding of program experience in an IE environment • 6-8 years of experience in managing mission critical enterprise application of similar size and complexity	• Business Analyst – Level III
Programmers [redacted]	• Hands on programming and unit testing experience • Experience with applicable technologies to perform the functions of a programmer • Experience with development standards, guidelines, and processes • 2 - 3 years in software development methodology in a large-scale IT systems integration project.	• Developer – Level III • Developer - Level II • Developer – Level I
Technical Architect [redacted]	• 10 years' experience as Technical Architect or Solutions Architect on large scale enterprise-wide systems or application implementations • Experience with Integrated Eligibility Systems government projects • Experience with health and human services and/or EECM Systems	• Architect - Level III
Security Analyst [redacted]	• 6-8 years of hands-on experience as a security analyst on large scale enterprise-wide systems or application implementations • Experience with Integrated Eligibility Systems government projects • Experience with health and human services and/or EECM Systems	• Security Analyst - Level I

Figure F-17. Roles and Qualification of Staff.

F.4 MAINTAINING DOCUMENTATION DURING TURNOVER

RFP Requirement/Deliverable Addressed

- Describe proposed procedures for maintaining up-to-date documentation during turnover, including System/User Manuals.

HOW WE MEET YOUR REQUIREMENTS

System Design documentation and Manuals play a key role during each phase of the SDLC cycle, including during Turnover. System documentation is one of the critical inputs to the Turnover process and it is important to maintain the documentation up to date. Deloitte uses SharePoint to store the related documentation. SharePoint serves as the system of record across the project for documentation developed throughout the SDLC. It has the most up to date source of system technical, functional and operational documentation.

The process for updating and approving the documentation is documented in the Project Management Plan. We update the design documentation and progressive updates through the established documentation management processes, including when there are material changes to the system. The Turnover Plan includes detailed tasks where the maintenance of these documents would transition to the M&O entity's resources. At a high level, our team maintains the following document types through the transitioned to the M&O entity:

Figure F-18. Document Types.

F.5 STATEMENTS OF COMMITMENT

RFP Requirement/Deliverable Addressed

- Include a statement that the Contractor is committed to working with the M&O entity in planning and performing the Turnover activities.
- Include a statement that the Contractor is committed to following State ITS ITSM standards which follow ITIL industry standards.

HOW WE MEET YOUR REQUIREMENTS

Deloitte is committed to working with the M&O entity in planning and performing Turnover activities. Deloitte follows the applicable aspects of State ITS ITSM standards, which follow ITIL industry standards.

ATTACHMENTS AND APPENDICES

In this section, we have provided the following Attachments and Appendices. We have also noted the Attachment 2 Response Section(s) in which each documents was referenced.

Document Name	Response Section Containing Reference
Attachment 4: EECM Functional Requirements Response Matrix	B.1, Solution Overview – Functional Requirements
Attachment 5: EECM Technical Requirements Response Matrix	B.2, Solution Overview – Technical Requirements
Appendix A: Sample Project Management Plan	C.1, Project Management Plan and Controls
Appendix B: Draft MS Project Schedule	C.1, Project Management Plan and Controls
Appendix C: Sample Quality Management Plan	C.1, Project Management Plan and Controls
Appendix D: Meeting Minutes Template	D.4, Functional Requirements Analysis and Business Rules Decomposition Task D.6, Technical Requirements Analysis Task
Appendix E: Requirements Checklist Template	D.4, Functional Requirements Analysis and Business Rules Decomposition Task D.6, Technical Requirements Analysis Task
Appendix F: Requirements Management Plan Template	D.4, Functional Requirements Analysis and Business Rules Decomposition Task
Appendix G: Requirements Traceability Matrix Template	D.4, Functional Requirements Analysis and Business Rules Decomposition Task D.6, Technical Requirements Analysis Task
Appendix H: Example Data Dictionary Deliverable	D.7, System Design Task
Appendix I: Example Interface Control Design Deliverable	D.7, System Design Task
Appendix J: Example Low-level Technical Design Deliverable	D.7, System Design Task
Appendix K: Example SNAP Benefits Management Deliverable	D.7, System Design Task
Appendix L: Example Vendor Creation Screen Deliverable	D.7, System Design Task
Appendix M: Example Workstream Architecture and High-level Design Document	D.7, System Design Task
Appendix N: NYS Freedom of Information Law (FOIL) Disclosure Exemption Request	Cover Letter
Appendix O: Performance Bond Commitment Letter	Cover Letter

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