



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 Tier II Assignment.

The Bidder's proposal must:

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

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 Tier II Assignment. The Bidder's proposal must:

ITS, as part of IES-FM implementation, needs support to secure and maintain federal approval. We bring experience and knowledge supporting federal reviews from [REDACTED] 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.



- [REDACTED]
- [REDACTED]
- [REDACTED]
- [REDACTED]

OUR UNDERSTANDING

NY ITS is currently engaged in a large scale IES 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 systems. 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. This review processes by FNS and IRS require teams' timely involvement and completion of the steps including demonstration of the system at various stages and respond to requests. We allocate time to plan and perform these critical tasks to achieve a smooth review process.

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-FM project.

- Deloitte supports the [REDACTED] with federal approvals and requirements. Here is how we plan to support IES-FM in its federal review process:

- **FNS 901 handbook which includes FNS System Go-Live Requirements/ pilot phase approvals.** We understand that FNS HB 901 serves as guidance for the State agencies that administer SNAP. We understand that it is FNS's responsibility to verify that the systems are adequately reviewed and tested. To meet this requirement, we understand that FNS has established two project milestones – one is after completions of UAT and the other is after completion of Pilot. We understand that the detailed requirements of these reviews are detailed in RFP section 6.4.7 Go/No-Go Decision Process including the documentation requirements in appendix A.16 Go/No-Go Decision Check List of FNS HB 901.
- **FNS SIRT tool.** We understand that FNS has developed a **SNAP System Integrity Review Tool (SIRT)** to be completed by State staff for review by FNS Regional Office staff, to confirm automation projects adhere to the policy requirements. We understand that FNS may conduct reviews of the system either prior to pilot, once it is fully operational statewide, or both. Deloitte supports the State through every steps of the federal reviews processes.
- **Child Support System Certification.** We understand that with the inclusion of Child Support pass through payments in the IES-FM scope, the Child Support system needs to go thru the certification process related to that element.
- **Child Support IV&V requirements.** Deloitte understands that with the inclusion of Child Support pass through payments, the State is required to procure the services of an IV&V contractor to review IES-FM system functionality that impacts the Child Support program. Deloitte coordinates and cooperates with the Child Support IV&V, or any other supporting agencies.

We also understand that Child Support IV&V services include:

- Assess Deloitte's project activities for overall consistency with industry standards, federal requirements, and IES-FM solution's quality standards and plan
 - Conduct independent review of program governance, Deloitte's Project Management, processes, and deliverables
 - Conduct periodic risk assessments
 - Provide IES-FM Solution status assessments to federal partners
- **Advanced Planning Document (APD) updates.** We understand that APD process is a series of successive steps through which state agencies obtain federal approval of Federal Financial Participation (FFP) in automation projects supporting HHS programs. We understand that FNS monitors progress of the IES-FM 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. We understand that we need to support ITS by providing input from an IES-FM 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-FM 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-FM 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-FM solution meets the requirements.

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OUR APPROACH

Deloitte understands that to take the IES-FM system through the review process, diligent planning, and thorough execution is required. To address this, we follow a [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.

- **System Compliance.** Combines tools, industry practices, and regulatory specialization, in order to design, develop and implement a **solution that meets the relevant federal requirements** during relevant federal review processes including on-site reviews. Additional details of our approach to System Compliance support can be found in the “System Compliance support” section below.

- **Process Compliance.** Involves activities that [REDACTED]

[REDACTED] Additional details of our approach to providing Process Compliance support can be found in the “Process Compliance support” section below.

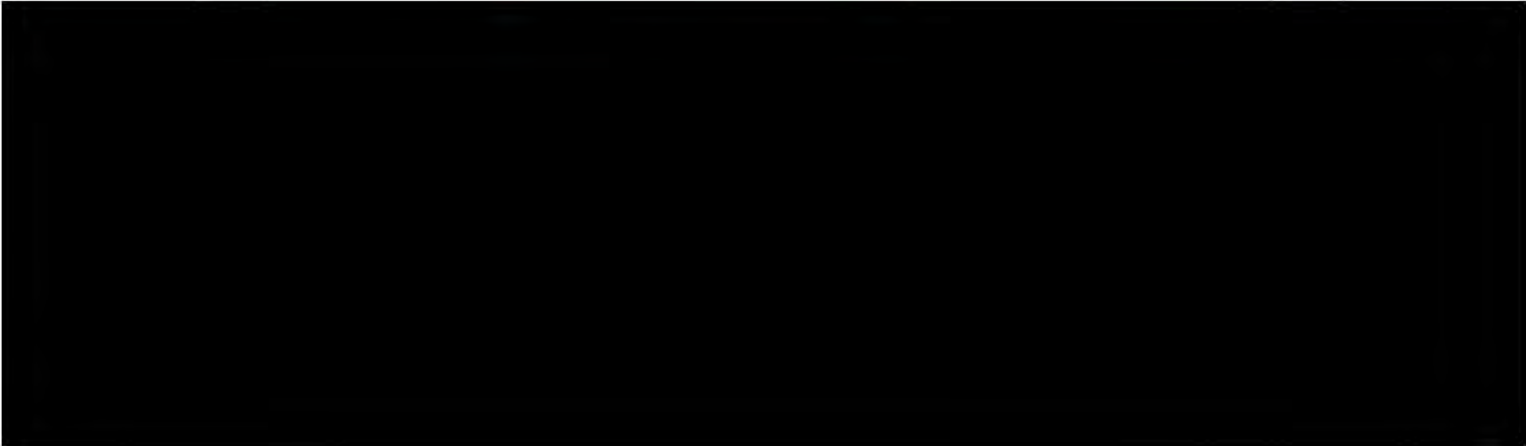


Figure E-1. How We Support NYS during Federal Reviews and Leverage Best Practices in [REDACTED].

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, <ul style="list-style-type: none">- FNS 901 handbook- FNS System Go-live requirements/ Pilot phase approvals• APDU (Advanced Planning Document Update)	<ul style="list-style-type: none">• [REDACTED]
- FNS SIRT Tool	<ul style="list-style-type: none">• [REDACTED]
- Child Support System Certification	<ul style="list-style-type: none">• [REDACTED]

RFP Requirements	How We Meet RFP Requirements
- Child Support IV&V requirements	• [REDACTED]
- IRS PUB 1075	• [REDACTED]
Support the State to prepare and submit federal review, monitoring, approval packages	• [REDACTED]
IES-FM 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.	• [REDACTED]

Figure E-2. How We Support the Federal Reviews and Requirements for IES-FM.

We demonstrate confidence to both design and deliver an IES-FM module that is federally compliant, and also navigate the review process to gain federal approvals. As examples, we have supported [REDACTED] and we bring this experience to the IES-FM project. In addition to these experiences, Deloitte has completed full Child Support Enforcement system implementations that achieved [REDACTED] and bring in experiences from working with [REDACTED]

The following figure provides a summary of our directly relevant experience helping other states navigate the federal review process, and how it helps New York.

DELOITTE SUPPORT OF FNS AND IRS REQUIREMENTS

Figure E-3. Deloitte Support of FNS and IRS Requirements for Multiple States.

KEY FEATURES AND BENEFITS OF OUR APPROACH

Features	Benefits to ITS
Collaborative Approach and Transparent Communication with the State and stakeholders	Timely completion of federal review submissions/reviews and seek approval to achieve the project milestones on time. Better ability of the teams and responsible parties to support the review process without conflicts or delays.
Experience in FNS, OCSE, and IRS review processes and Well Prepared	Deloitte as a strong partner supports the State in the required federal review process steps with compliant documentations/ package submissions and follows through the action items with strong familiarity of the requirements
Integrated Approach towards federal review process	It helps to focus on the required system compliances first including cyber security throughout the SDLC phases to make the federal reviews easier

Figure E-4. Features and Benefits of Our Approach to Federal Review Support Requirements.

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 is to **plan, prepare**, and have a **compliant system** that meets the design and functional requirements and has been tested through various required **testing processes**. Deloitte's approach begins with [REDACTED]

Deloitte supports the State in preparing and conducting each step of the review process—including mapping the IES-FM 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 to supporting FNS, OCSE and IRS reviews promote collaboration and transparency amongst project stakeholders, involving them in decisions and keeping them aware of project status and action items, risks, or issues identified as the project progresses.

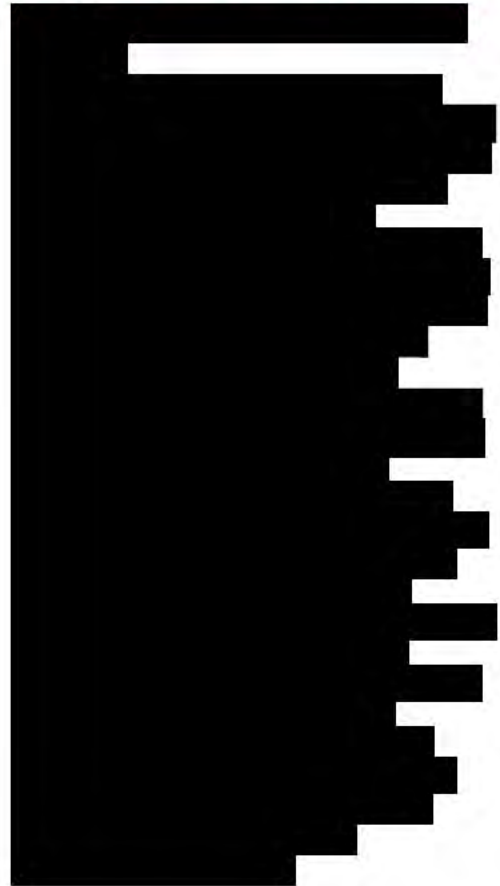
We understand that the equation for success is [REDACTED]

PROCESS COMPLIANCE SUPPORT

Our philosophy hinges on the fact that a close familiarity and detailed understanding of process is required to effectively navigate any federal review. This includes producing the required [REDACTED]

[REDACTED] 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, focus area pointers, 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 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



**Review
Preparation**

Prior to any review, Deloitte coordinates with ITS's management team to prepare and plan for related activities to achieve review readiness in the following ways:

[REDACTED]



**Review
Execution**

During a review visit or meeting with the federal agency, appropriate Deloitte staff are available, or on-call. Our combined team is well equipped to discuss the subject matter covered in the review, including:

- Program policy
- Systems
- Reports

The team actively participates in any required system demonstrations. We provide subject matter specialization on policy and business requirements for the project and facilitate communication with federal agencies to accomplish a smooth process. We plan that the relevant people are in the room, after having been appropriately prepared prior to the review.



**Review
Follow-up**

Once the review has been completed, the team then supports the development of a plan to correct any deficiencies found in order to meet minimum federal requirements for final Agency approval. The post review process includes document reviews follow-on action items, and coordination for their resolution. Based on our experience with other states, we help provide guidance and feedback towards your relevant questions pertaining to the review outcome. Once the review process has been completed, the team schedules adequate time in the project work plan for federal approval support tasks so they can be completed within the contract period.

Figure E-5. Description of Core Process Compliance Support Activities.

SYSTEM COMPLIANCE SUPPORT

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, FM 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-FM 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 [REDACTED]

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 ([REDACTED]). Additional details regarding the Review process are provided below.

The following figure shows an example of a [REDACTED]



Deloitte's has a proven track record providing system compliance support:

- Our approach is compliant with federal standards from agencies like FNS, CMS and the IRS.





Figure E-6. Deloitte Supports Completing the FNS SIRT Tool for the Federal Review Process.

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

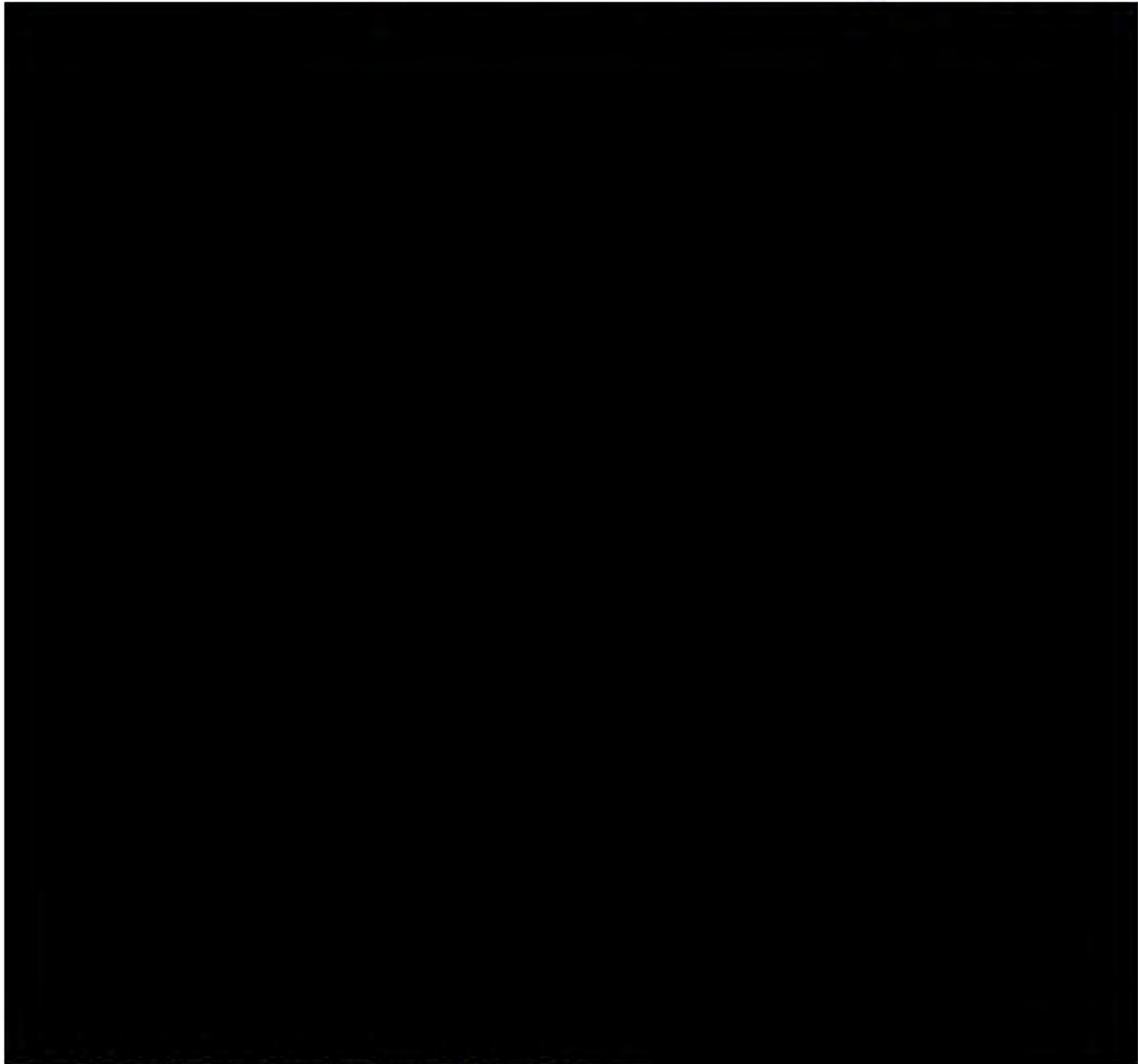


Figure E-7. Deloitte's Proven Steps for a Successful Federal Reviews.

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

- [Redacted]
- [Redacted]

SDLC Phases

How We Support the Federal Review Process Activities

Development and Testing

[Redacted content for Development and Testing phase]

Implementation

[Redacted content for Implementation phase]

**Transition to M&O
and System
decommission**

[Redacted content for Transition to M&O and System decommission phase]

Figure E-8. 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 [Redacted content]

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 [Redacted content]

[REDACTED]

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

<p>Authorized Use of FTI</p>	<ul style="list-style-type: none"> [REDACTED]
<p>Secure Data Transfer</p>	<ul style="list-style-type: none"> [REDACTED]
<p>State Tax Agency Limitations</p>	<ul style="list-style-type: none"> [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-9. 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-FM 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-FM 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-149, IES Testing Types*.

The IES-FM 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.



FNS Handbook 901 provides guidelines on Testing

The Food and Nutrition Service (FNS) Handbook 901 Chapter 6 describes the activities required for preparing an effective comprehensive test plan based on FNS testing requirements and industry best practices. It also includes information on the minimum requirements for the "Complete and Final Test Plan" FNS requires for submission prior to beginning the User Acceptance Test (UAT).

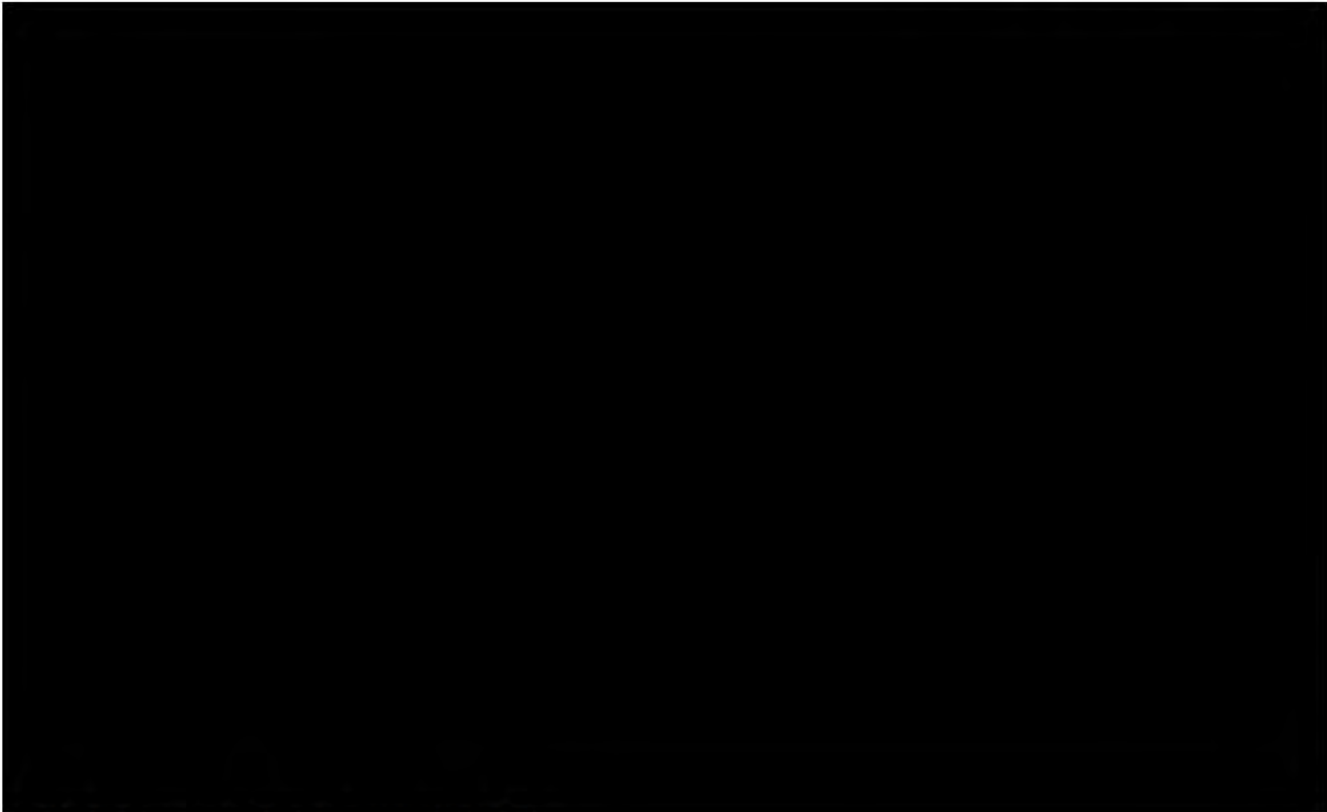


Figure E-10. An Integrated Testing Approach for IES.

Deloitte's testing of the solution verifies that it [redacted] Deloitte addresses these requirements thru our elaborate Test plans which verifies that the IES-FM 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-11. 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-FM 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-FM, 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-12. 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.

STAKEHOLDERS



Figure E-13. 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 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
 - 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
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
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-14. Deloitte’s Deliverables are Completed in a Timely Manner for the Federal Review Packages.

The federal review process participants/roles include [REDACTED]
[REDACTED] 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.

DELOITTE TEAM SUPPORTING THE REVIEW PROCESS

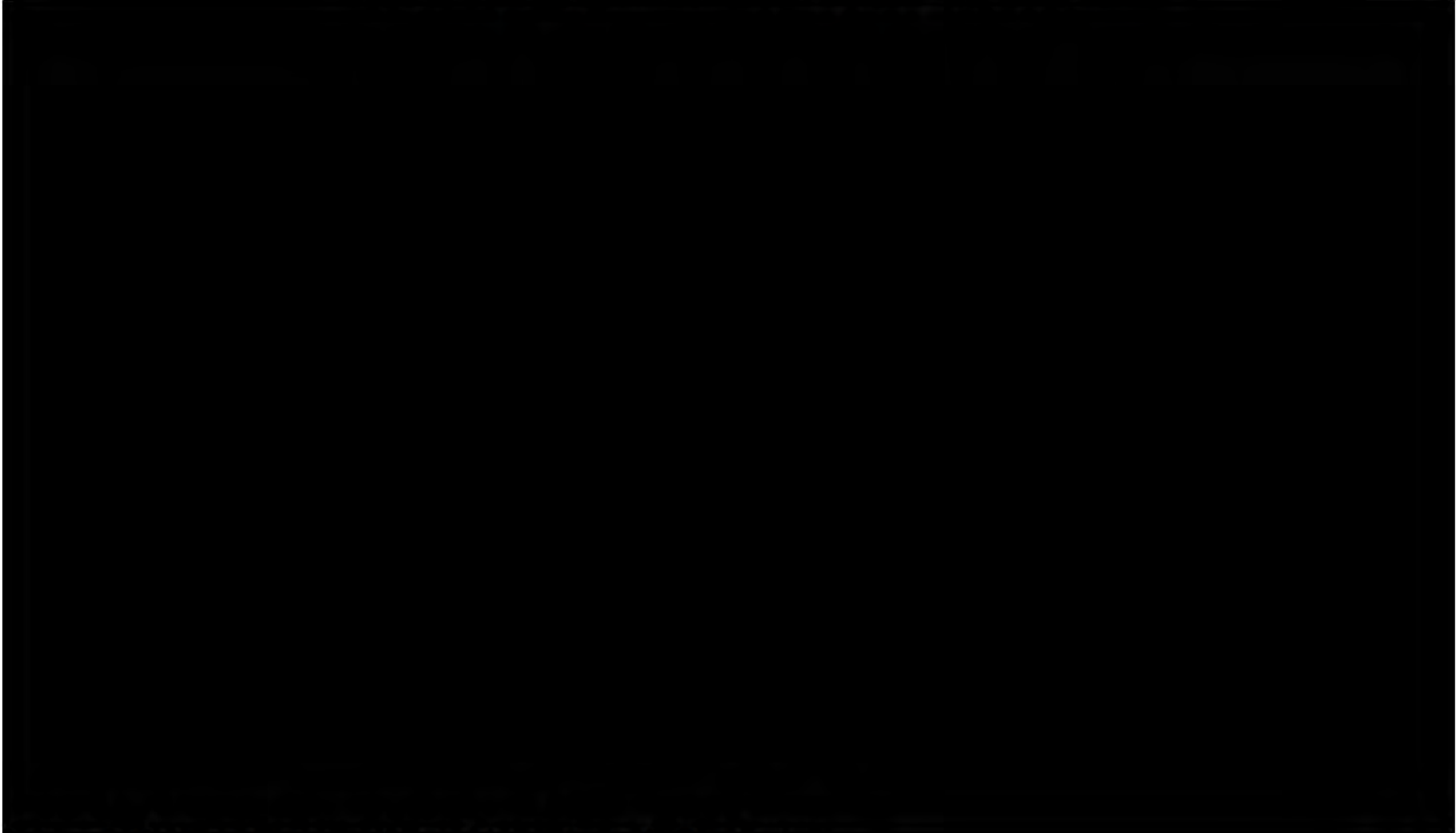


Figure E-15. Active Engagement by our Teams Supporting the Reviews.

For example, Deloitte recently supported [REDACTED] 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.

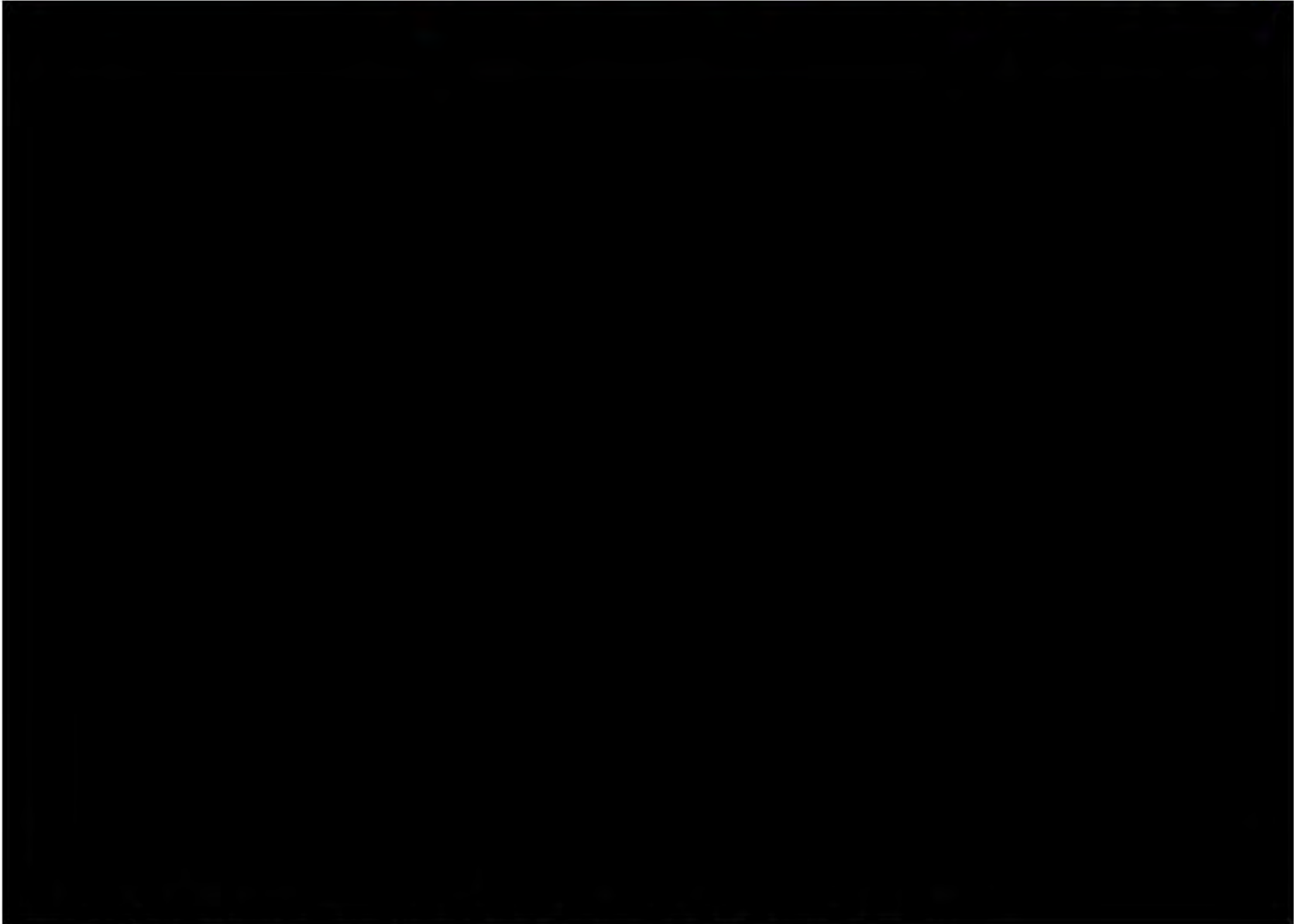


Figure E-16. Deloitte Supports the State during System Demo as Part of the Federal Review Process.

The NY IES-FM Project work plan incorporates when each of the communications and reviews with each of the 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.



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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 Tier II 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 Maintenance and Operations (M&O) entity.
- Describe how the Contractor must manage the transition while maintaining all IES production schedules.
- Describe the qualifications and expected 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.

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 Tier II 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 module like IES-FM 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.

OUR UNDERSTANDING

Turnover of a critical benefit delivery system like the IES- FM 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-FM 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. The Turnover activities begins prior to the Pilot rollout to help prepare M&O entity resources to take over operation of the IES-FM system. We recognize the need to make periodic updates to the Turnover plan if significant changes occur to the IES-FM solution.

SECTION HIGHLIGHTS

- [Redacted]
- [Redacted]
- [Redacted]
- [Redacted]

DELIVERING SUCCESS WITH CONFIDENCE

NY IES Deloitte PRODUCED BY PROVEN

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The following figure highlights projects similar in size and scope, where we have successfully provided turnover services.

Deloitte Experience with Turnovers Deloitte Role in Providing Services Similar to ITS Requirements

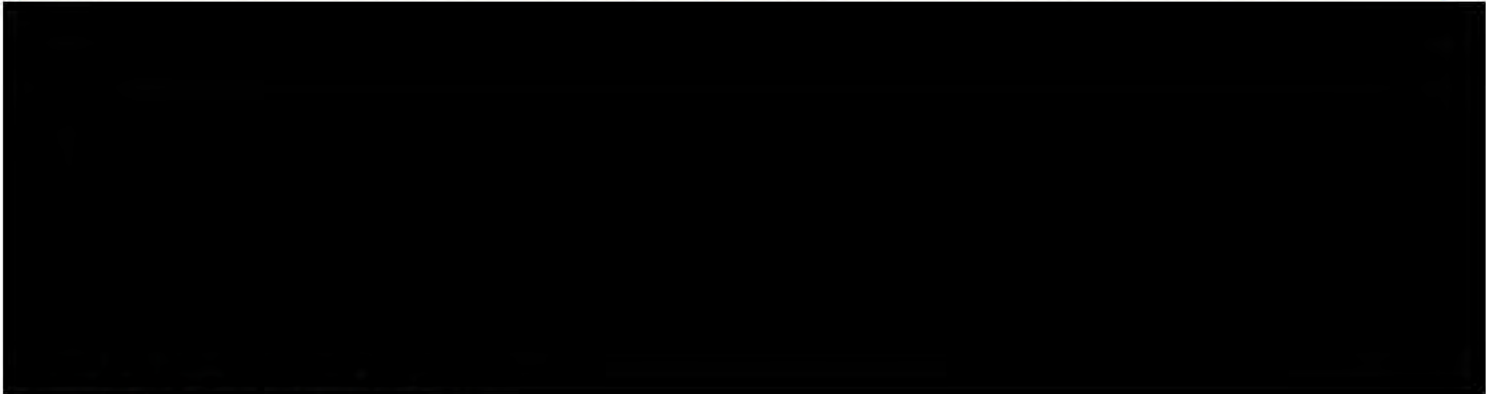
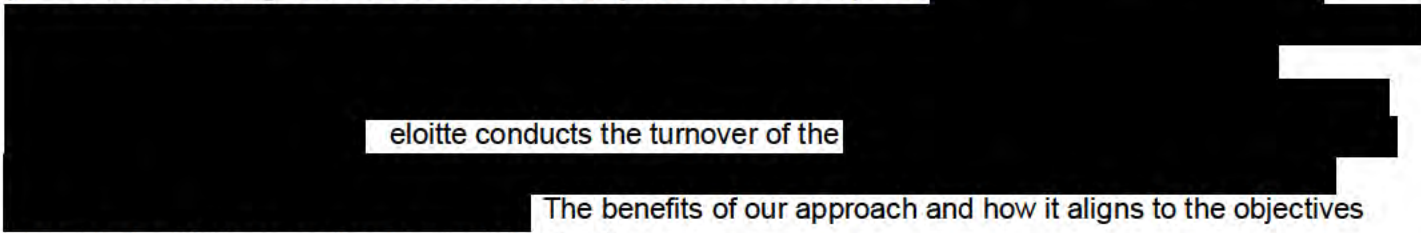


Figure F-1. Deloitte Turnover Experience.

OUR APPROACH

Our approach to turning over the IES-FM solution is based on past experiences in numerous states where we have supported the development of turnover plans, as well as well-established principles for confirming a successful handoff of information systems, with the goal of seamless continuity of business functions. Turnover is an expansive, intricate, and nuanced process, rather than a simple handoff of systems, documentation, and processes. Providing for an effective and orderly turnover relies upon a



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The benefits of our approach and how it aligns to the objectives stated in the RFP are outlined in the following figure:

Features	Benefits to ITS
Structured approach with	

Figure F-2. 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
<p>The Contractor must provide turnover planning and the requisite services in support of the following State's turnover objectives:</p> <ol style="list-style-type: none"> 1. Provide for an orderly, complete, and controlled transition to the State, inclusive of formalized Knowledge Transfer Plans 	
<ol style="list-style-type: none"> 2. Avoid disruptions of services provided to clients and users of the system during the turnover period 	
<ol style="list-style-type: none"> 3. Provide technical and operational services and information as needed to facilitate an informed, coordinated, and complete transfer of activity 	
<ol style="list-style-type: none"> 4. Prepare State staff to assume Financial Management Solution maintenance and operational support responsibilities by participating in a Contractor-led knowledge transfer program. 	
<p>The Contractor must provide full support and assistance in the transition of Financial Management Solution operations to the State. The Bidder must state in its Proposal a commitment to working with the State in planning and performing the Turnover activities.</p>	
<p>At the initiation of the FM Solution's warranty period, the Contractor must provide a Turnover Plan to the State. The plan must include:</p> <ol style="list-style-type: none"> 1. Proposed approach to turnover. 2. Knowledge transfer plan and schedule 3. Turnover work plan, including detailed tasks and subtasks 4. Schedule for turnover 5. Procedures for maintaining up-to-date documentation during turnover. <p>Thereafter, the Turnover Plan must be updated anytime a materially significant update has been made to the production system or annually, whichever comes sooner during the warranty period.</p>	

Turnover Activities

Along with the Turnover Plan, the Contractor must submit a statement of the resources that will be required by the State to take over operation of the FM Solution. The Resource Statement must include:

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

This statement must be based on the Contractor's experience in the operations of financial management solutions and must include actual Contractor resources devoted to the operation of the system and other functions. This Resource Statement must be updated annually and must be submitted as part of the Turnover Plan and updates.

How We Deliver



Please refer to Sections F.1 and F.3, Qualifications and Level of Turnover Staffing for a detailed response.

Figure F-3. How We Deliver on the Turnover Requirements.

DELIVERABLES PRODUCED

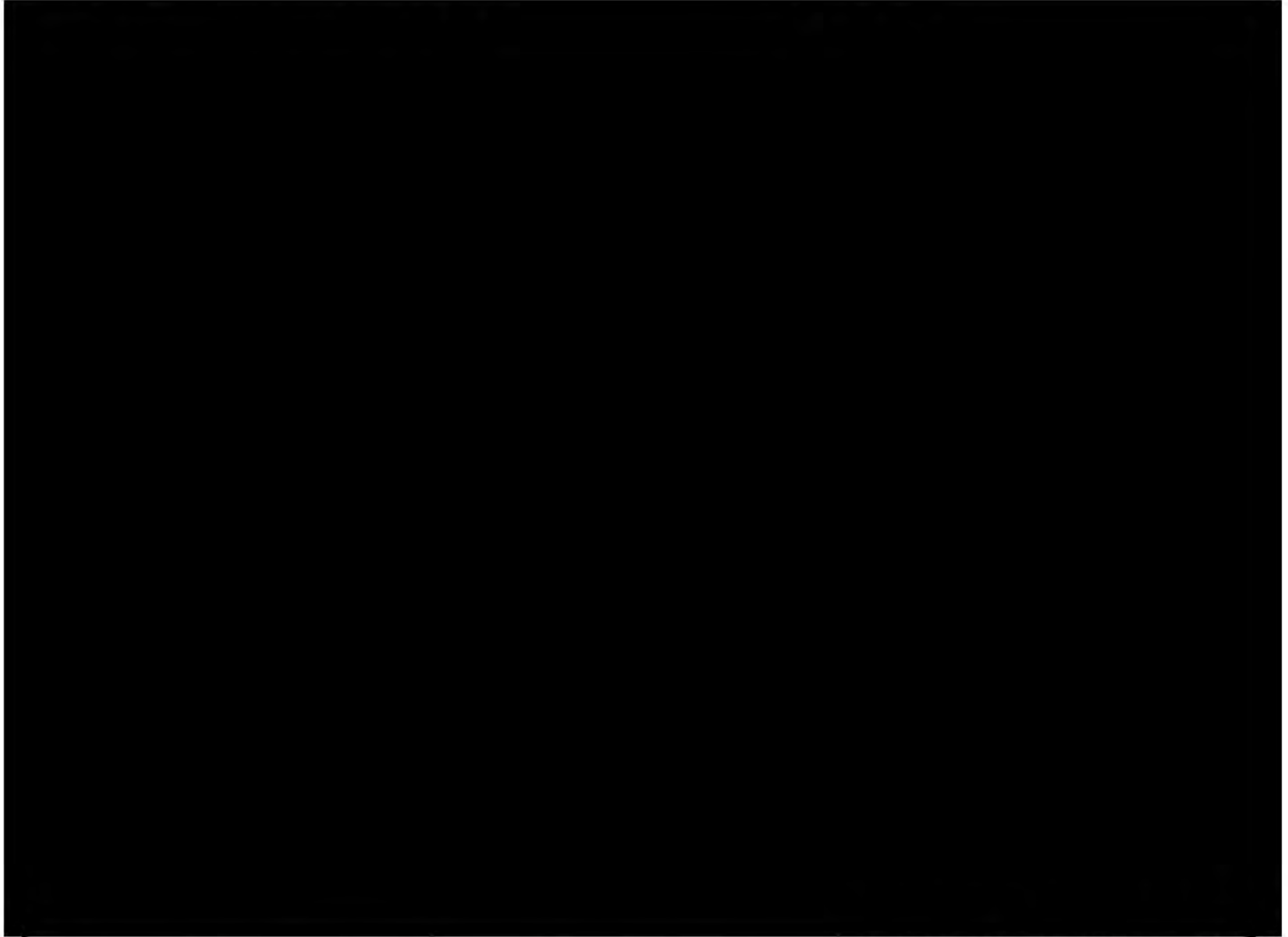
The following figure provides the list of the deliverables that are created during this Task, the components of this deliverable and the frequency. The deliverable complies with the guidelines and templates for the project using New York provided tools.

RFP #, Deliverable	Description	Submission	Format/Medium
11. Turnover Plan			

Figure F-4. 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.



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Figure F-5. EVD for IES 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 [REDACTED]

As shown in the following table, [REDACTED]

[REDACTED] NY ITS achieve an effective

turnover:

Phase	Objectives
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

Figure F-6. 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 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-FM 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.

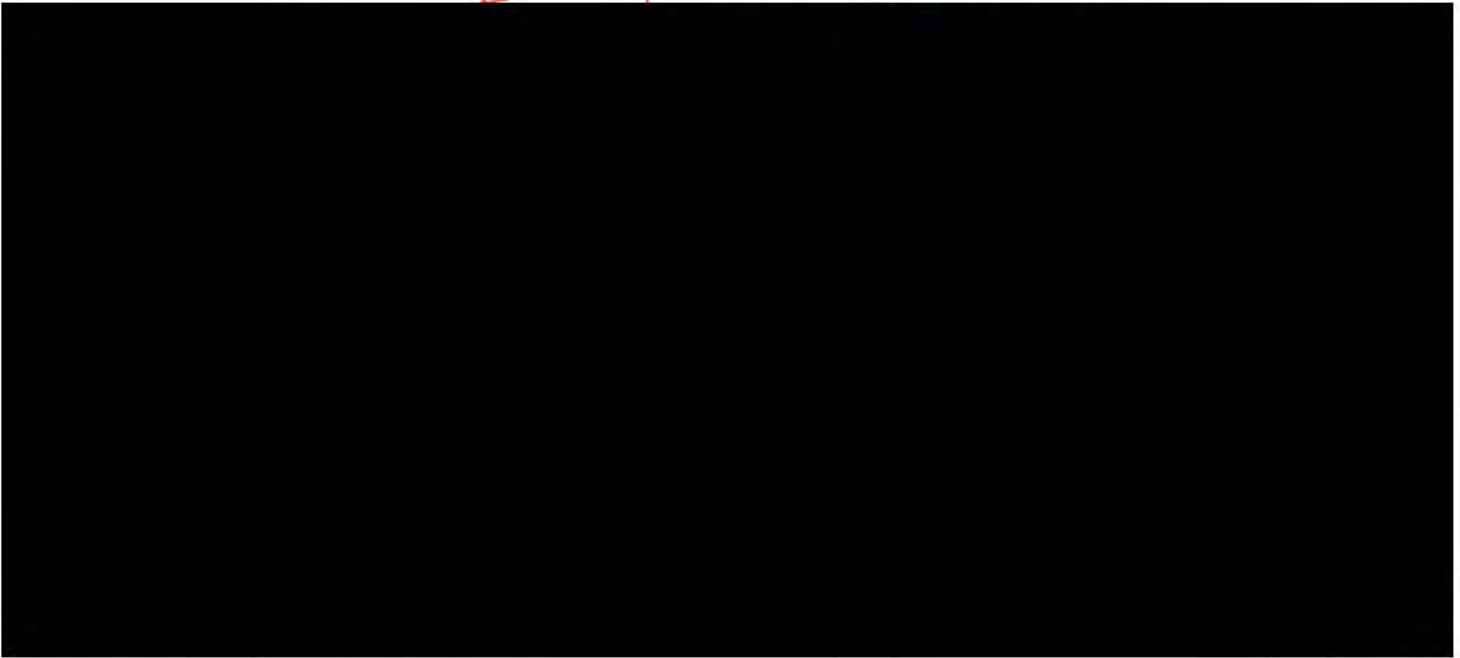


Figure F-7. Three Distinct Phases of Turnover.

PREPARE TURNOVER PLAN

The turnover process begins with Deloitte working with ITS to establish the [REDACTED] needs of the turnover process. In order for the turnover to be successful it is important to determine the [REDACTED].

The Turnover Plan is submitted [REDACTED] to the rollout of the system.

The goal of the planning process is to create a workplan based on the [REDACTED] required for the turnover. As part of this process, we share lessons learned regarding the [REDACTED] impacting this phase. The combined planning and assessment activities in this phase lead to the development of the final Turnover Plan which is followed across the subsequent phases of turnover. The turnover plan is subject to the ITS defined review and feedback process to gain final approval before execution commences. To allow for transparency and traceability as we progress through the task, the plan is created and maintained using ITS approved tools. 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
Turnover Planning	• [Redacted]
Turnover Management Process	• [Redacted]
Turnover Logistics	• [Redacted]
Turnover Work Plan and Schedule	• [Redacted]
Submit Work Plan	• [Redacted]

Figure F-8. Turnover Plan Activities.

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

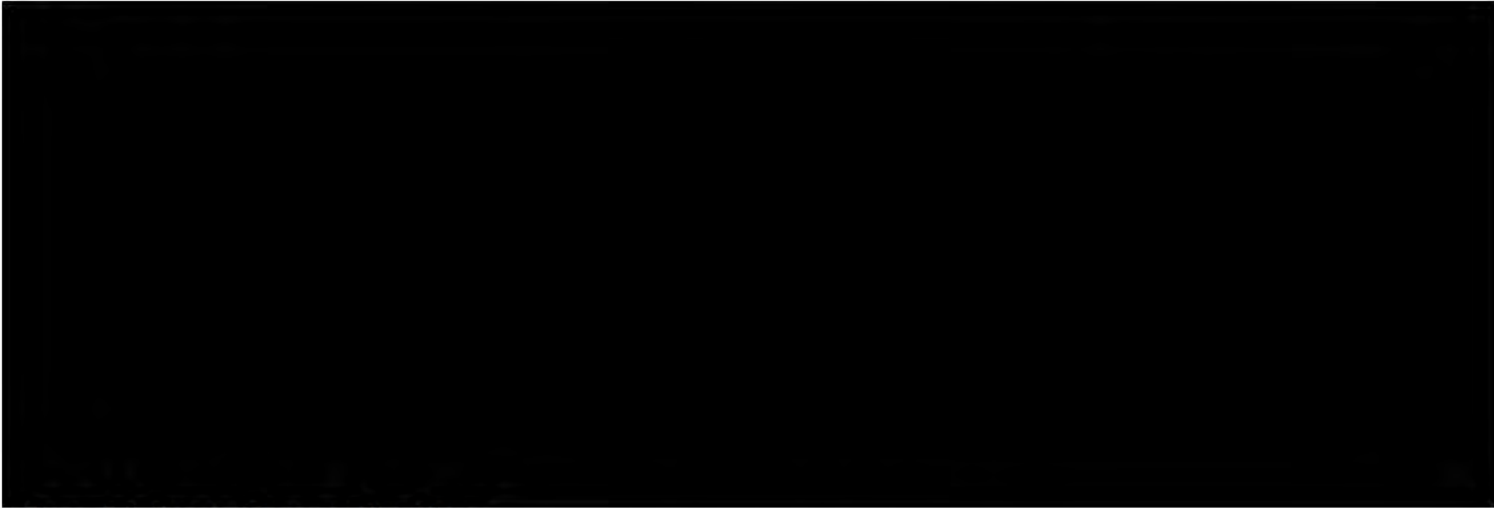


Figure F-9. Prepare Turnover Plan Phase.

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



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Figure F-10. 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-FM 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:

- [Redacted]
- [Redacted]
- [Redacted]

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 outlined here:

Activity	How We Conduct Turnover Activities
Execute Turnover Activities	<ul style="list-style-type: none">• [REDACTED]
Maintain and Update System Documentation	<ul style="list-style-type: none">• [REDACTED]
Provide Turnover Results Report	<ul style="list-style-type: none">• [REDACTED] pletion of activities• Prepare periodic status report

Figure F-11. Execute Work Plan Activities.

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

Knowledge Transfer Activity	How We Perform Knowledge Transition Activities
[REDACTED]	<ul style="list-style-type: none">• [REDACTED]
[REDACTED]	<ul style="list-style-type: none">• [REDACTED]

Figure F-12. Knowledge Transfer Methods.

The Knowledge Transfer activities are performed across the following areas:

Area	Knowledge Transfer Elements
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

Figure F-13. 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-FM solution. Deloitte maintains and [REDACTED]

[REDACTED] During the Warranty phase, if the system is enhanced, or a materially significant update has been made to the system, [REDACTED]

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-14. Execute Turnover Phase.

COMPLETE TURNOVER

The Turnover Completion Phase [redacted] Deloitte's structured and collaborative approach results in a seamless turnover process which culminates in the completion phase of the turnover. During the final phase of the turnover process the [redacted] In addition to confirming the objectives, activities, and deliverables are complete, [redacted] Finally, completion also includes providing the M&O entity with access to the [redacted] so that their staff can completely takeover business systems and support services for the IES-FM solution. The Turnover checklist contains the list of all functionalities or system areas for which knowledge transfer was completed. This checklist is submitted at the end of Turnover and indicates that the transition is completed and accepted as part of Turnover closure. The Turnover Completion Phase activities are summarized here:

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

Figure F-15. Complete Turnover Activities.

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

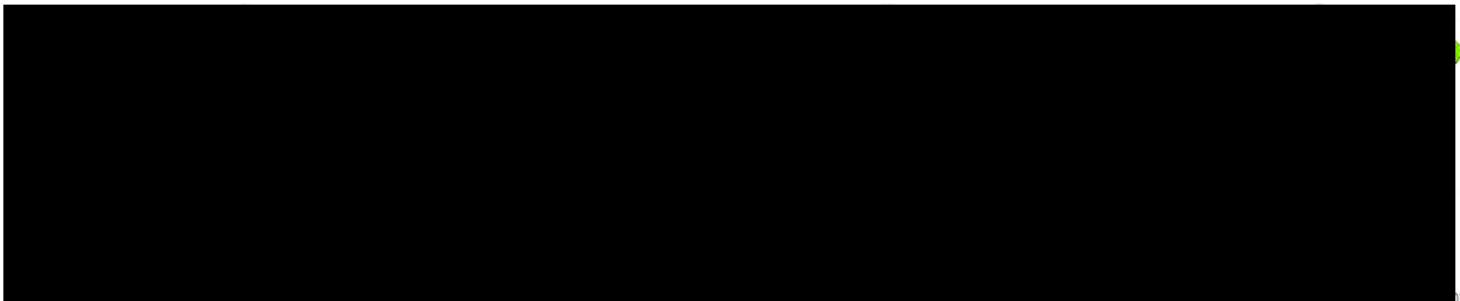


Figure F-16. Completion Phase.

F.2 MAINTAINING THE IES PRODUCTION SCHEDULE

RFP Requirement/Deliverable Addressed

Describe how the Contractor must 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]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

Figure F-17. 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.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, the following types of documents are maintained by our team through the transitioned to the M&O entity:

Documentation Type	How Comprehensive Documentation Supports Knowledge Transition
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]
[REDACTED]	[REDACTED]

Figure F-19. 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.