

Statement of Work (SOW)
Contract: IT Advisory, Assessment, Verification and Validation (IV&V)
- Consulting Services

Project: Crime Victim Notification System (CVNS)

This Statement of Work (SOW) is issued under the Master Service Agreement (MSA) between IV&V Suppliers and the State of Arizona for IT Advisory, Assessment, Verification and Validation (IV&V) - Consulting Services. All **questions** regarding this SOW should be submitted in writing as soon as possible but no later than **Thursday August 1, 2024 at Noon MST (Arizona time)** to Lisa Meyerson Marshall of ADOA-ASET at lisa.meyerson@azdoa.gov and Simone Berg of ADOA-ASET at simone.berg@azdoa.gov.

To be considered for award of this Task Order, the IV&V Supplier must submit the **“Submissions with Task Order Response”** by or before **Thursday August 8, 2024 at Noon MST (Arizona time)**. The Task Order response should be sent electronically to Lisa Meyerson Marshall of ADOA-ASET at lisa.meyerson@azdoa.gov and Simone Berg of ADOA-ASET at simone.berg@azdoa.gov. Please do not reach out to other members of the ADOA-ASET or members of ACJC directly as this may disqualify your submission.

Business Issues and Project Goals/Outcomes

Victims of crimes in AZ have a right to be notified about their case. Currently, this is done through phone calls, emails, letters, or texts. This is a manual process and for large departments a labor intensive one.

The current system that ACJC uses is a service called Victim Information and Notification Everyday (VINE) which serves jails and is provided by Appriss Insights, LLC. The expanded system adds a service called SPIDR Tech which serves law enforcement and prosecution. Appriss Insights, LLC has been awarded the contract to provide both VINE and SPIDR Tech.

Both VINE and SPIDR Tech are SAAS products that are currently in use by agencies in Arizona and throughout the United States. Development of the products have been completed. However validation that the products meet the specific requirements of HB 2482 and the state’s scope of work have been attested to by the vendor but not verified. Configuration includes connecting agency computerized management systems to SPIDR Tech and customizing branding and notification messaging. In some cases interfaces will need to be developed.

An automated crime victim notification system is a service that provides required email, text, and/or voice notifications to crime victims. This reduces the burden on victim services personnel while ensuring victims rights are being met. An automated system will reduce the time between triggering event and when messages are sent giving victims more time to prepare or plan for their safety.

The system interfaces with the agency’s current management system and does not require input or effort from users. Notifications are sent based upon triggering events in the agency computerized management system. Users (officers, jail personnel, intake, prosecutors, et cetera) work as normal in their regular management system. Users do not need to be trained or have to use an additional system.

The current automated crime victim notification system is live or in development in 9 county sheriff offices. The system allows for automated victim notification for changes in custody of the county jail's inmates. The current system participants include county sheriffs with future expansion planned for state prisons (ADCRR).

HB 2482 allows ACJC to use monies in the fund to expand ACJC's automated crime victim notification system. Requires ACJC to use monies in the fund to pay for the costs for law enforcement agencies that choose to use the automated crime victim notification system. Requires ACJC to include a partnership between at least two vendors to expand ACJC's automated crime victim notification system. Adds additional requirements that the automated crime victim notification system and the software to implement the system must meet.

The additional requirements in HB 2482 include that the software used by ACJC to deploy the automated crime victim notification system must meet the following requirements:

- Comply with victims' rights as prescribed;
- Enable ACJC to deploy an automated crime victim notification system;
- Provide for multi agency notification to enable an agency to automatically share the status of an incident or investigation with an identified partner agency;
- Provide the capability to allow victims to leverage conversational artificial intelligence for bidirectional real-time communication with law enforcement agencies through voice, text messages and email and provide a virtual agent that responds and asks questions based on the victim's questions and responses;
- Provide a mechanism to track whether there is a data outage at a law enforcement agency and inform the law enforcement agency and ACJC of the data outage;
- Have a backup process for law enforcement agencies to ensure that notifications are made in a timely manner in the event of a data outage;
- Comply with the technical guidelines and standards for the operation of a statewide automated crime victim notification system as recommended by the U.S. Department of Justice's Bureau of Justice Assistance; and
- Provide a designated statewide toll-free number that is available 24 hours a day, 7 days a week and that: i. is operated by trained operators; ii. is available in multiple languages; and iii. allows victims, surviving immediate family members, witnesses and other concerned citizens to search for information about an offender, inmate or case and to register for notifications.

HB 2482 defines a law enforcement agency as a state, city, town, county, tribal, university or prosecutorial agency. This expands the current system to include local and other law enforcement, and prosecution agencies.

It is estimated that the new system will reduce the time victim services staff spend on notification by 30%

Project Description

SUMMARY:

38 Agencies including law enforcement and prosecution.

14 unique interfaces from agency RMS to SPIDR Tech.

10,718 sworn officers or prosecutors using the system.

The first section below indicates what is already Live in the system.

Milestones 1 to 5 will be part of the project to be implemented and requires IV&V consultation.

Milestone	Sworn Officers	Agency	RMS
LIVE	37	Tolleson PD	Motorola/Spillman
LIVE	85	Apache Junction PD	TriTech
LIVE	15	Pinetop Lakeside PD	Custom
LIVE	91	Marana PD	Motorola/Spillman
LIVE	172	Surprise PD	Motorola/Spillman
LIVE	36	Show Low PD	RIMS
LIVE	332	Chandler PD	Versaterm
LIVE	504	Pima County SO	Motorola/Spillman
LIVE	111	Flagstaff PD	Intergraph
LIVE	240	Pinal County SO	Motorola/Spillman
Total	1623		
Milestone 1	325	Gilbert PD	Intergraph
Milestone 1	36	Cottonwood PD	Motorola/Spillman
Milestone 1	90	Queen Creek PD	Versaterm
Milestone 1	87	ASU PD	<i>Custom RMS</i>
Total	538		
Milestones 2/3	2928	Phoenix PD	Versaterm
Total	2928		
Milestone 4	800	Mesa PD	Intergraph
Milestone 4	119	Yavapai PD	Motorola/Spillman
Milestone 4	1085	AZDPS	Motorola/Spillman
Milestone 4	<i>estimated 15</i>	Gilbert Prosecutor	<i>Custom RMS</i>
Milestone 4	140	Buckeye PD	Motorola/Spillman
Milestone 4	9	St Johns PD	RIMS
Milestone 4	130	Oro Valley PD	Motorola/Spillman
Milestone 4	50	Gila County SO	Motorola/Spillman
Milestone 4	122	Avondale PD	Motorola/Spillman
Total	2455		
Milestone 5	196	Peoria PD	Tyler
Milestone 5	90	Casa Grande PD	Tyler

Milestone 5	65	UArizona PD	<i>Custom RMS</i>
Milestone 5	158	Goodyear PD	AEGIS
Milestone 5	33	Coolidge PD	Tyler
Milestone 5	72	Prescott PD	TriTech
Milestone 5	44	Sahuarita PD	Motorola/Spillman
Milestone 5	160	SRPM PD	Tyler
Milestone 5	1995	MCSO	Intergraph
Milestone 5	173	Yuma PD	Tyler
Milestone 5	<i>estimated 30</i>	Mesa Prosecutor	PbK
Milestone 5	<i>estimated 10</i>	Queen Creek Prosecutor	<i>Custom RMS</i>
Milestone 5	17	NAU PD	HxGN
Milestone 5	100	MC Prosecutor	PbK
Total	3103		

IV&V Statutory Provision

Arizona Revised Statute Section 18-104. A. 1. (g) states in relevant part: “If the total project costs exceed \$5,000,000, the department shall require the budget unit to contract with an independent third party to review and guide the technology approach, scope, estimated cost, timeline for completion and overall feasibility of the project before making recommendations to the information technology authorization committee. On or before the thirtieth day following the last day of each calendar quarter, the budget unit shall submit a report from the independent third party to the information technology authorization committee and the joint legislative budget committee regarding the progress of each ongoing project.”

IV&V Management & Policy

The Governor’s Office Executive Administrative [Memo](#) issued on February 15, 2022 provides in relevant part that for any new IT projects presented to ITAC on or after March 16, 2022, ADOA-ASET will be the entity responsible for managing 3rd party IV&V providers and that ADOA-ASET will select the IV&V provider and provide scope and direction of the vendor’s work. Further, the Memo clarifies that Agencies will continue to include the IV&V costs in their IT project budgets and will make financial arrangements with ADOA as necessary. The activities of ADOA-ASET and the Business Units is further defined in the State’s IV&V Policy (<https://aset.az.gov/sites/default/files/2023-10/P1020%20IV%26V%20Policy.pdf>).

Timeline/Project Plan

It is anticipated that the project will be presented to the Information Technology Authorization Committee (ITAC) for approval at the August 21, 2024 meeting. IV&V must be in place before ACJC presents the project to ITAC. If approved, the Project will kick off within 5 to 30 days of project approval - kick off date will be disclosed to IV&V Contractor once set.

Project Assumptions

The project is anticipated to cost approximately \$5.361 million dollars over 7 months.

Project Dependencies

Project will be funded, including for IV&V services. Engagement is dependent on the project being reviewed favorably by ITAC. Project is funded out of the Crime Victim Notification Fund.

Responsibilities

State Agency - ACJC. Manage Vendor Relationship; Test and Sign off on Vendor deliverables; Provide Vendor with SME support; Provide IV&V Contractor with access to appropriate data, documentation and personnel; Project Manager: Sasha Allen

Vendor - The RFP process has concluded and a vendor selected. Appriss Insights, LLC has been awarded the contract. The Vendor will be responsible to perform all milestones and tasks defined in the oversight plan delivered at the beginning of the awarded contract. The Vendor has completed development and the product is currently being deployed in Arizona and across the United States. Project Manager for Appriss Insights will be Lisa Simon, PMP lisa.simon@equifax.com.

ADOA-ASET Oversight Team (Project) - The ADOA-ASET Engagement Manager for ACJC is Cheyenne McFadden or their replacement. The ADOA-ASET Oversight Analyst for this Project is Leslie Carey or their replacement. The IV&V Contractor will include the members of the ADOA-ASET Oversight Team in its quarterly interviews.

ADOA-ASET IV&V Management - Lisa Dee Meyerson Marshall, Chief of Enterprise Programs and Consulting, ADOA-ASET or her replacement will manage the IV&V engagement resulting from the award of this Task Order.

Period of Performance, including Effective Date

The project will commence shortly after approval by ITAC with a project kick-off that the IV&V will attend. The project will continue through the completion date in the underlying project contract. Key milestones will be defined in the project plan for the underlying project. Five IV&V reports will be issued at month 1, then bi-monthly (month 3, month 5, and month 7) thereafter through the term of the project. A final report (5th report) will be issued including lessons learned within 30 days after project completion.

Requirements

The IV&V contractor will be responsible for providing consulting services consistent with their underlying IT Advisory, Assessment, Verification and Validation (IV&V) Contract to include without limitation:

1) Bi-monthly Reports covering the following core areas at a minimum:

1	Schedule Management
2	Resource Management
3	Scope & Requirements Management
4	Technical Solution Management
5	Data Management / Migration /Conversion
6	Quality Assurance, Testing, Defect Resolution, Re-Testng
7	Project Governance & Communication
8	Financial Management
9	Change, Issues & Risks Management
10	Documentation & Deliverables Management
11	Security Management
12	Training, Go-Live & Post Implementation Support

Note: The first report shall also list any risks, issues or concerns with the proposed project and the last report shall include any lessons learned.

- 2) Actionable recommendations in each Area evaluated in the Bi-monthly Report. These recommendations to be detailed in a Recommendation Tracker similar to [this sample template](#)
- 3) Priority and Scoping methodology to be deployed in each Quarterly Report
- 4) Consulting to support the Customer to implement the recommendations in a timely manner to improve project outcomes

Acceptance

All IV&V Contractor deliverables will be sent in draft form 5 Business Days prior to their due date. If the Manager of the IV&V Engagement believes a deliverable does not meet expectations, it shall inform the IV&V Contractor who shall make necessary adjustments. Once the final deliverable is received it shall be accepted or rejected within 3 Business Days (in accordance with the underlying IV&V contract under which this Task Order is issued).

Change Control

The Task Order resulting from this Statement of Work shall be controlled by the underlying IV&V contract and in case of any conflict between that contract and the resulting Task Order, the underlying Contract shall control. Any changes to the resulting Task Order shall be by amendment in writing signed by the State and the IV&V Contractor.

Submissions by IV&V Contract with Task Order Response

To be considered for award of this Task Order, the IV&V Contractor must submit, by or before close of business on **Thursday August 8, 2024 at Noon MST (Arizona time)**, the following:

- 1) Approach to Engagement including why IV&V Contractor believes they provide best value for the Project (up to 3 pages)
- 2) Project Plan for IV&V performance including a plan, without limitation:
 - a) To engage with project teams (agency and vendor) to garner understanding of project strengths and weaknesses
 - b) For interviews leading to quarterly report,
 - c) For documents it plans to review and comment on in its quarterly report,
 - d) engaging with the project team after the report is issued to advance adoption of report recommendations.
- 3) Bi-monthly Report Format Template including without limitation:
 - a) Validation that Core Areas will be evaluated (See above).
 - b) Other Key Areas IV&V Contractor Proposes to Evaluate
 - c) Priority or recommendations methodology including sample recommendation tracker
 - d) Scoring methodology
 - e) Overall Quarterly Status (Green, Yellow, Red) on 3 factors: Scope, Budget and Schedule (based on multiple core and key factors)
 - f) Validation that actionable recommendations will be provided in each Core and Key Area evaluated
 - g) Validation that progress on actionable recommendations from prior reports will be discussed in subsequent reports and tracked in a recommendation tracker.
- 4) Planned IV&V Team members
 - a) Experience with Subject Area of the underlying project
 - b) Experience with similar size and complexity project as IV&V
 - c) Proposed Roles of Team Members
 - d) Resumes (last 5 years)
- 5) IV&V Supplier Experience
 - a) References (2 per Supplier) (including emails and phone numbers)
- 6) Pricing Attachment A

PRICING ATTACHMENT A
 STATEMENT OF WORK FOR TASK ORDER
 Contract: IT Advisory, Assessment, Verification and Validation (IV&V)

Project: Crime Victim Notification System (CVNS)

All Deliverables defined in the SOW are expected each reporting period, unless otherwise specified in the Task Order. Please plan to meet the following schedule in regard to your services and propose costs for each accordingly:

Report #	Month (Draft and Final) Report is Due	Price Per Report Period
1 and Initial	1st month	
2	3rd month	
3	5th month	
4	7th month	
5 and Lessons Learned	Final - 30 days after project close	
		Total Price

IT Advisory, Assessment, Verification and Validation (IV&V) - Consulting Services

Arizona Criminal Justice
Commission – Automated Crime
Victim Notification System
Implementation

Task Order Response

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Info-Tech Research Group
3960 Howard Hughes Parkway, Suite 500
Las Vegas, NV, 89169



August 08, 2024

Lisa Meyerson Marshall and Simone Berg
Arizona Department of Administration (ADOA)
Arizona Criminal Justice Commission (ACJC)
100 N 15th Ave, Ste 302
Phoenix, AZ 85007
Attention: lisa.meyerson@azdoa.gov, simone.berg@azdoa.gov

Reference: IT Advisory, Assessment, Verification, and Validation (IV&V) - Consulting Services

Dear Lisa Meyerson Marshall and Simone Berg,

Thank you for the opportunity to respond to the Arizona Criminal Justice Commission (ACJC) solicitation for Independent Verification and Validation (IV&V) services for the ACJC Automated Crime Victim Notification System (CVNS) Implementation Project. Info-Tech is uniquely positioned to partner with ACJC on this important initiative, and we look forward to being a part of the ACJC Automated CVNS Project.

Your IV&V partner must be an integral part of your team as a trusted advisor. It will be important to select a team with proven IV&V experience, that is independent and objective and equipped with a vast repository of defined best practices. Most importantly, your partner must be trusted to be with you step-by-step in your pursuit of successful completion.

Info-Tech is this team for these reasons and more:

We are delivering successful IV&V projects in the State of Arizona: Info-Tech currently has several ongoing engagements with the State of Arizona including the MEDSIS program with ADHS and the AZ360 HRIS Modernization with ADOA. Our IV&V practitioners have delivered IV&V on technical projects (AzParks Broadband Modernization) and on highly modular centralized portal projects (ADOA Business One-Stop). Our Arizona clients trust our ability to deliver high-impact IV&V services to reduce risks and increase project success. Our team knows IV&V inside and out in Arizona, along with ADOA-ASET, and the environment, and will therefore require very minimal ramp-up time.

We deliver IV&V with proven experience and a successful track record: You are partnering with an experienced leader in IV&V. With this team of Subject Matter Experts (SMEs), you are equipped with the most proficient people for successful implementation.

We are independent and objective: You want a team that is not affiliated with any State vendors, contractors, system integrators, or hardware suppliers. It is extremely important to be knowledgeable about a solution while being solution-agnostic. Having a trusted advisor whose only focus is to provide you with the tools, knowledge, and expertise to support your mission is invaluable.

We are research-backed with a vast repository of defined best practices: Our research-based best practices are embedded in our IV&V methodology, providing a repeatable and proven approach. Our library of research provides immense support to all our consulting teams, benefiting our engagements with immediate reach back to templates, tools, and best practices across a range of relevant subjects.

Your trust in partnering with us as a valued contributor is greatly appreciated. This team wants to earn your business and we are ready to support you with this important initiative and investment.

Sincerely,

Darren Devereaux
Vice President – PPM
Info-Tech Research Group
3960 Howard Hughes Parkway, Suite 500
Las Vegas, NV, 89169

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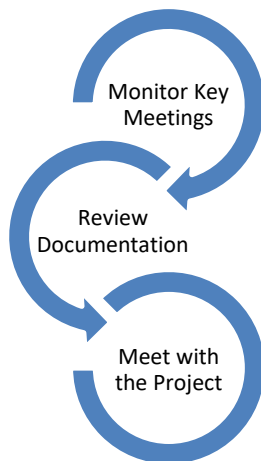
1. Approach to Engagement & Why Info-Tech is the Best Value

Info-Tech's Independent Verification & Validation (IV&V) Methodology is not a "check-the-box" exercise. We offer a structured advisory service with the goal of building quality into development and implementation projects/products. Our IV&V process evaluates a given system, software, or infrastructure project/product for conformance to requirements and satisfaction with intended use and user needs.

Info-Tech IV&V practitioners use an approach that combines our extensive consulting experience with Info-Tech's repository of best-practice research. The framework we use combines pertinent aspects of COBIT, IEEE, and CMMI frameworks. Our framework was first developed for use in a project with the United Nations and has since been refined through our continued iterative experiences. Our IV&V team will evaluate a specific project including all Core areas plus additional Key areas, based on, but not limited to, the following success criteria:

- **Adherence to Standards** – Based on relevant industry standards (IEEE, PMBOK, etc.), our IV&V practitioners will assess whether the program adheres to the aforementioned standards. Where the project/program deviates from best practice, the IV&V practitioners evaluate why the deviation is required and if it is satisfying a project/program's need in the most efficient manner.
- **Known Best Practices** – Where standards fall short, or where the project/program is unable to adhere to standards, our IV&V practitioners will assess whether the project/program adheres to best practices using Info-Tech's extensive research library that defines best practices along with our IV&V team's collective experience.
- **Project/Program Goals** – Assess whether the project/program understands and supports the achievement of project/program goals.
- **Continuous Improvement** – Assess whether the project/program is seeking opportune ways to improve its delivery or engagement.
- **Compliance** – Where required, assess whether the project/program is complying with oversight (ADOA-ASET, etc.), funding, or other requirements.
- **Risk** – Assess the inherent risk of, or to, the project/program's goals. Focus on high probability and high impact risks to the project/program.

We approach IV&V projects with three primary points of contact to drive and maintain project understanding to be as impactful as possible with recommendations. Each point of contact is designed to be as efficient as possible with the project/program's time while ensuring our team is engaged and aware of project/program progress and process:



Monitor Key Meetings: Info-Tech will attend key meetings such as status and steering, demos, huddles, and working sessions to view the process and maintain project understanding.

Review Documentation: As documentation becomes available, Info-Tech's practitioners will review the documentation to ensure it meets project/program needs and verify its adherence to best practices.

Meet with the Project/Program: Info-Tech will, as holistically as possible, meet with the key stakeholders of the project/program to assure that all aspects of planning are represented, that the processes are best practices and followed, and that the project/program is building the solution that the business needs.

We leverage these three primary touchpoints to drive a report that provides a truly independent and holistic opinion of project/program planning and delivery practices inclusive of a set of recommendations designed to solve issue root causes, mitigate risk, and improve delivery maturity.

Info-Tech's IV&V services are **uniquely positioned** to provide **exceptional value** to Arizona on the ACJC Automated CVNS Implementation Project. Info-Tech has provided IV&V services for the State of Arizona as a trusted IV&V partner since 2016. Info-Tech's verification and validation partnership has provided independent reviews on over \$200 million dollars' worth of critical projects, including ADOA-ASET – Shared Hosted Data Center (SHDC) – Phase IV, ADCS CHILDS Replacement Program (GUARDIAN), ADOA's HRIS Modernization Project, and ADE Finance Payment System (SFPS) calculator and Budget/AFR platform (Phase 1 and 2). Our IV&V practitioners have delivered over 80 IV&V reports across a wide variety of technical platforms, business needs, and team organizations.

Info-Tech's IV&V practitioners have observed both successful and highly challenged enterprise implementations. We know the challenges and pitfalls an implementation such as the Automated CVNS Implementation Project will face. As such, Info-Tech's IV&V framework provides a cadenced holistic view of the project, and value to the State, which will:

- **Focus on the future:** Our IV&V process will not audit where the project has been, but rather focus on partnering with the project to ensure its success. This forward-thinking approach ensures we are driving the highest **value** for our clients.
- **Ensure a small footprint:** IV&V is a valuable service to a project but cannot negatively impact project progress. We leverage a methodology that requires minimal input from the project. We strive to create actionable recommendations that will return **value** when enacted.
- **Provide actionable items for change:** Our recommendations are derived from our immense IV&V and Program Delivery experience, best-practice standards, and Info-Tech's proprietary research. Our team will provide actionable items for change, tracking, and monitoring progress against these actionable items.

Value in our in-state experience: Our in-state experience demonstrates that we understand the various roles the oversight bodies play relative to Automations Project Fund (APF) funded projects. We manage the expectations required of oversight bodies (ASET, JLBC, OSPB, ITAC) by providing information, heading off questions, and providing touchpoints to ensure proper context. This allows Info-Tech to deliver the following **value** to the State:

- **Hit the ground running:** Info-Tech has been an Arizona trusted IV&V vendor for the past eight years and we are uniquely poised to continue our responsibilities. We have worked with the State, its vendors, and agencies through all project phases. We understand the risks, rewards, and strategic imperatives set forth by ADOA-ASET.
- **Remain fiercely independent:** Info-Tech has extensive experience as an independent advisor on system development and implementation projects. Info-Tech is solution and integrator agnostic and has researched and evaluated most of the current solutions, system implementors, and approaches as a leading IT Research Firm. We have no agenda other than the successful definition, design, development, implementation, and operations of Arizona projects.
- **Focus on the project's stakeholder:** We focus on ensuring that the project is delivering the value for the business and the user it is expecting through best-practice requirements gathering and scope management.
- **Focus on the future:** Our IV&V process will not audit where the project has been, but rather focus on partnering with the project to ensure its success. This forward-thinking approach ensures we are driving the highest value for our client.
- **Provide actionable items for change:** Our recommendations are derived from our immense IV&V and Program Delivery experience, best-practice standards, and the Info-Tech proprietary research.

Value in our experienced IV&V Delivery Team: Info-Tech's IV&V team comprises of IV&V experts, project management experts, and development Subject Matter Experts (SMEs). Info-Tech recognizes the complexity of delivering a holistic solution across the State. There are many risks to the implementation, but we have called out a few critical factors below:

- **Testing and Quality Management:** Automated systems to reduce workload create substantial process improvements to organizations, but only if they function. The nature of the material of the implementation (case notification) implies that the State must deliver the right messaging to the right person at the right time. This implies a lower acceptable bug rate than typical for an implementation of this size. Therefore, Quality Assurance will be integral to the delivery of the system.
- **Interfaces and Technical Planning:** The system is largely technical in nature. To satisfy the project's tight timeline and constraints, the technical planning team must be prepared to offer project planning with higher-than-expected rigor. Additionally, the technical team's capabilities should be closely monitored to ensure resource capabilities match project needs.
- **Vendor and Contract Management:** The implementation has a tight schedule in which the Vendor deliveries will have to be tightly coordinated with State availability. Best practice processes to determine, monitor, and approve project deliverables will be key to ensure project progress is smooth through to implementation.
- **Governance and Regulatory Compliance:** Appropriate governance structures are key to project success. Delivering a solution across a wide variety and number of departments requires substantial leadership buy-in and clout to ensure smooth implementation.
- **Organizational Change and Buy-in:** This solution has the opportunity to substantially reduce the workload of the Victim Services Team. Anytime a substantial workload reduction occurs, care should be taken to ensure the delta of change is understood, buy-in is early and continuous, and the team is adequately trained in the end-state processes. Even users with minimal changes to their day-to-day (Officers, jail personnel, etc.) should be routinely informed of that fact.

To be great IV&V practitioners the team must be backed by an immense amount of IT project knowledge. Info-Tech Research Group prides itself on that fact. When our IV&V practitioners are evaluating a project for need, we leverage our experience, but also the experience of our 400+ researchers defining best practices in a wide variety of IT management and governance domains:

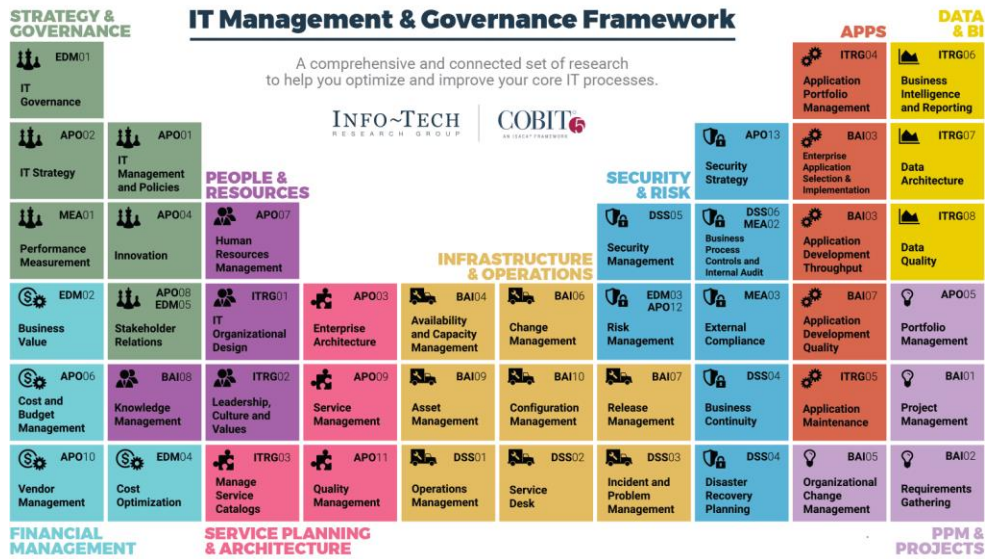


Figure 1 Info-Tech's IT Management & Governance Framework

2. Project Plan for IV&V Performance

a. Plan to Engage with Project Teams

Info-Tech’s IV&V methodology is the direct result of working with private and public organizations to deliver an IV&V product that continuously drives project/program value. This methodology has been leveraged on enterprise implementations ranging from \$5 million to \$100+ million. The methodology is platform, business, and development lifecycle agnostic:

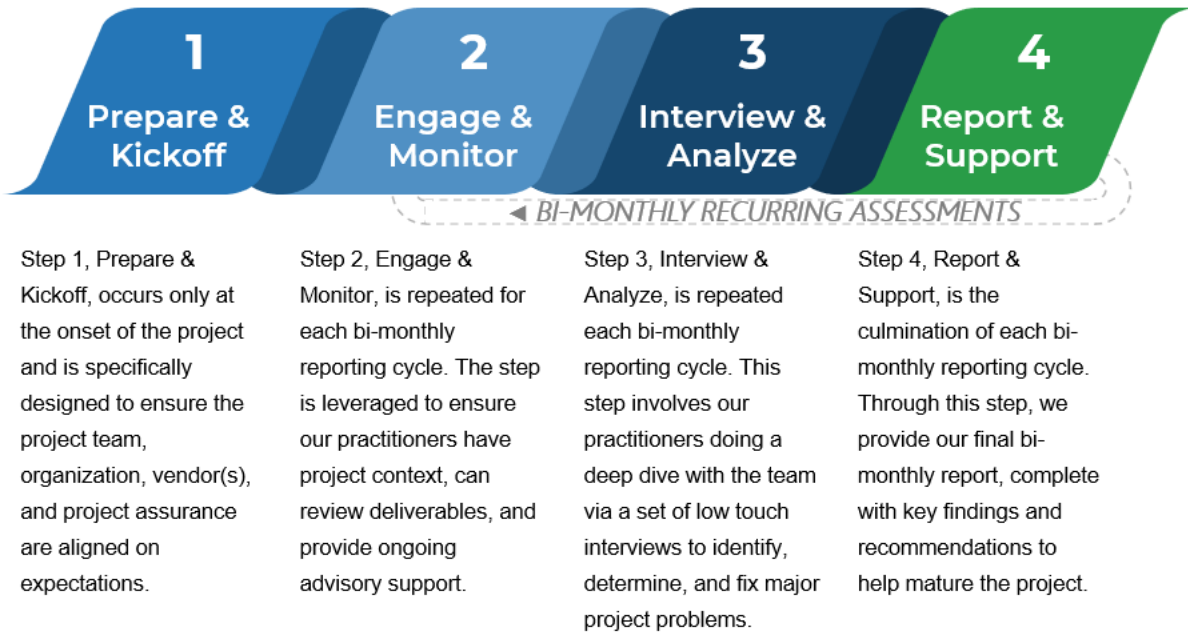


Figure 2 IV&V Methodology

The IV&V engagement for the CVNS Implementation Project contains 5 bi-monthly recurring assessments delivering the framework via the following repeated schedule:

		Initial Report – within 30 Days of Project Start								
Initial Report	Week	1	2	3	4					
Phase 1 – Prepare & Kickoff										
Phase 2 – Engage & Monitor										
Phase 3 – Interview & Analyze										
Phase 4 – Report & Support										
		2 nd , 3 rd , & 4 th Bi-Monthly Periods								
Reports 2, 3, & 4	Week	1	2	3	4	5	6	7	8	9
Phase 2 – Engage & Monitor										
Phase 3 – Interview & Analyze										
Phase 4 – Report & Support										
		5 th Report – 30 Days after Project Close								
Report 5	Week	1	2	3	4					
Phase 2 – Engage & Monitor										
Phase 3 – Interview & Analyze										
Phase 4 – Report & Support										

Figure 3 Schedule for All Reports Including the Bi-Monthly Schedule for Reports 2 - 4

1
Prepare & Kickoff

Phase 1 – Prepare and Kick-off - Develop IV&V Management Plan

Upon kick-off, our initial reporting cycle will begin with the drafting of an IV&V Management Plan, followed by a period of learning and monitoring in which we will deep dive into the planning documents that the project has produced to date.

An IV&V Management Plan is a key element that Info-Tech’s IV&V practitioners leverage to ensure the IV&V project is appropriately engaging with the project/program team and stakeholders (inclusive of vendors, business, sponsors, trainers, etc.) to drive complete project/program understanding and ensure recommendations are appropriate and adopted. The IV&V Management Plan is treated as a living document throughout the engagement, continuously updated as the project/program’s organization evolves.

To deliver our Prepare & Kick-Off phase we will:

Activities	
<ul style="list-style-type: none"> • Prepare and present IV&V Project Kick-off. • Determine the CVNS Implementation Project Team organizational structure. • Determine the CVNS Implementation Project Team stakeholders. • Determine the IV&V project stakeholders. • Define, review Core and Key components for reporting. • Identify existing documentation available for review. • Define subject matter expert planning. • Review available documentation including: <ul style="list-style-type: none"> ○ Vendor scope of work, ○ Vendor contracting, ○ Project communication planning, ○ Project Charter. 	<ul style="list-style-type: none"> • Prepare IV&V Management Plan – including: <ul style="list-style-type: none"> ○ IV&V Project Charter. ○ Detailed IV&V Project Schedule. ○ IV&V Roles and Responsibilities. ○ Component Definitions. ○ Component Scoring Criteria. ○ Communication Plan. ○ Risk Management Plan.
Deliverables	
<ul style="list-style-type: none"> • Kick-off Presentation. • IV&V Management Plan. 	

2
Engage & Monitor

Phase 2 – Engage & Monitor

Phase 2, Engage & Monitor, is designed to attach to project team activities, via meeting shadows and virtual documentation reviews, to ensure the IV&V practitioners understand the project’s strengths and weaknesses, maintain a deep understanding of the project, understand progress, and provide ongoing advisory support.

The project/program will extend invitations to the IV&V practitioners for key meetings (such as steering updates, status updates, project workshops, change management meetings, integration working sessions, migration working sessions, etc.). The IV&V practitioners will attend meetings where required (approximately 20 hours per reporting period) to ensure they have extensive project/program knowledge, are aware of how planning elements are being changed, and are knowledgeable on the delivery practices leveraged. Leveraging this technique (which requires minimal extra time from project stakeholders), the IV&V practitioners can ensure that interviews are focused on the specific project need and the current project issues.

To deliver our Engage & Monitor phase we will:

Activities

- Regularly attend Project Status and Steering Committee meetings.
- Have regular touchpoints with the CVNS Implementation Project Manager.
- Attend additional meetings (as per IV&V management planning) including, but not limited to:
 - Stand-ups / huddles.
 - Sprint planning / retrospectives.
 - Requirement gathering sessions/workshops.
 - Training sessions.
 - CVNS Implementation Planning sessions.
- Review documentation/ deliverables as they become available.
- Provide (ad-hoc) project advisory support.
- Confirm the Interview List.
- Confirm subject matter attendance requirements.
- Confirm IV&V logistics as they pertain to Phase 3.
- Confirm IV&V management planning for upcoming phases.

Deliverables

- Confirmed Interview List.



Phase 3 – Interview & Analyze

Phase 3, Interview & Analyze, is the Phase where the IV&V practitioners gain a holistic perspective, so they can create an unbiased, 3rd party project assurance report.

The phase begins with the IV&V practitioners leveraging the knowledge they acquired through Phase 2 (Engage & Monitor) as a baseline. Using this knowledge, the practitioners then meet with the project/program team stakeholders (as per the IV&V Management Plan and the IV&V Interview List) to confirm any related planning and project delivery practices. The practitioners also confirm the project members' knowledge of communication practices, document management, and change management expectations. The practitioners note project/program strengths to inform stakeholders of improvements made and highlight weaknesses to advise stakeholders of the need for risk and mitigation strategies to overcome current challenges.

Leveraging their uniquely holistic perspective on the project, the IV&V practitioners then create the draft report. Each draft report is specifically created to highlight the areas of need for the program at a given time. Reports focus key findings on pain points, progress on recommendations, and win themes which can be propagated to the remainder of the project. Project/Program risk is continuously noted, but the initial report will focus on full project/program risk. The final report will note lessons learned by leveraging the IV&V team's complete project knowledge.

To deliver our Interview & Analyze phase we will:

Activities

- Interview identified project stakeholders as per IV&V Interview List (anticipated to be 25 -35 stakeholder interviews).
- Synthesize observations and findings.
- Update metrics showing project health trends (against scope, budget, schedule) and progress on gaps and adoption of previous report recommendations.
- Develop recommendations.
- Develop project risks (Initial Report).
- Develop Lessons Learned (Final Report).
- Update Recommendation Tracker.

Deliverables

- Draft IV&V Report.

Phase 4 – Report & Support



The Report & Support phase is designed to ensure that the IV&V process is as impactful as possible by providing the final report, and post-report support.

Specifically, the IV&V practitioners will deliver the final report, provide readout sessions to executive leadership and CVNS Implementation PMO (or equivalent), and provide recommendation Q&A sessions with the CVNS Implementation PMO (or equivalent). These sessions (the process for which is detailed below in *Recommendation Tracking and*

Follow-Up) ensure that the CVNS Implementation Project Team has a complete understanding of the problem statement of each recommendation and that the recommendations are graded against impact, likelihood, and effort. The IV&V practitioners will then partake in sessions to assign responsibility for action on recommendations to the CVNS Implementation Project Team.

This continued IV&V support ensures that recommendations are appropriately assigned and actioned by the CVNS Implementation Project Team. The IV&V team then monitors recommendation progress in the following reporting cycle. This hands-on assignment and monitoring approach ensures the impactful recommendations the IV&V team makes are adopted by the project/program as efficiently as possible.

To deliver our Report & Support phase we will:

Activities

- Validate the draft report with project sponsors and ADOA-ASET representatives.
- Update and issue the report as final.
- Review and update the IV&V Management Plan for the upcoming report:
 - Interview List.
 - Interview Period.
 - Documentation to be reviewed.
 - Interim meetings to be shadowed.
- Confirm the Project/Program’s understanding of recommendations:
 - Conduct recommendation walk-through.
 - Review recommendation rating (impact / likelihood / effort) of recommendations.
 - Confirm recommendation assignment.
 - Monitor recommendation progress.
- Provide reviews on, or advice for, recommendations from previous reporting cycles.
- Maintain open lines of communication with:
 - Sponsor.
 - Project/Program Manager.
 - Oversight Bodies (where required).
 - Vendors (where required).

Deliverables

- Final IV&V Report.
- Draft Report Recommendation Tracker.
- Final Report Recommendation Tracker.

b. Plan for Interviews Leading to Bi-Monthly Reports

The primary stakeholder list for the IV&V interviews will be determined during Phase 1 – Prepare and Kickoff. The Info-Tech practitioners will work with the ACJC project team to determine and document the

known IV&V stakeholders (interviewees). The Stakeholder/Interviewee List will be shared with oversight bodies (ASET, etc.) for review and approval.

During Phase 1, the interviewees, their expected interview cadence, their job role, project role, and contact information are documented for the first interview cycle (Phase 2 Interview and Analyze). Info-Tech assumes the State will provide a single point of contact to aid in the scheduling of interviews. After each full reporting cycle (Phase 2 through 4), the IV&V plan is revisited, and elements, including the Stakeholder/Interviewee List, are updated to reflect any project/program changes or additional identified needs.

Typically, we would expect an interview cycle to include the following participants from the project/program:

Potential IV&V Interview Lists		
Project Group / Role	Interviews Allotted*	Interview Time
Steering	1	45 minutes
Project Governance Group**	2	60 minutes
Policy / Compliance	2	30 minutes
Finance	1	30 minutes
PMO **	3	45 minutes
Solutions/Network Architect	1	45 minutes
Security Architect	1	45 minutes
IT Leadership	1	30 minutes
Oversight	1	45 minutes
Testing/UAT	1	45 minutes
Appriss Insights Team Members:		
	Engagement Manager	1 30 minutes
	Project/Program Manager	1 60 minutes
	Solution Architect	1 45 minutes
	Testing / Quality Lead	1 45 minutes
	Technical Lead	1 45 minutes

To complete our IV&V Management Plan, a one-time event, we will require the following additional time from your team:

Project Sponsor	1 hour
Project/Program Manager	2-4 hours
PMO Director	1 hour

** Internal PMO and Project governance groups are met at the interview set’s outset and upon the interview set’s closure (to review findings).

c. Documentation to Review for Bi-Monthly Reports

The bulk of program/project documentation reviews occur during Phase 2, Engage & Monitor. Our IV&V practitioners monitor the project/program plan against the delivery of project documentation and review documentation as it becomes available. The planning documentation to be reviewed, the level of review, and expectations of the review would vary depending on project goals, status, and progress. Typically, the IV&V practitioners would consider the following documents table stakes in a project of this size:

Project Management Plan	Project Schedule
Requirements Documentation	Run Book
Architecture Diagrams	Template Device Configurations
Business Continuity Plan	Disaster Recovery Plan

User Acceptance Testing Plan	Test & Quality Assurance Plan
Automated testing planning	Operational Readiness Plan
Security Plan	User Access Management Plan
Maintenance and Operations Plan	Organizational Change Management Plan
Training Plan	Communications Plan
Data Architecture Plan	Data Governance Model
User Training Manuals	Agile Roadmap

d. Engaging with the Project Team to Advance Adoption of Report Recommendations

Info-Tech will engage with the project team after the report is issued to advance the adoption of the report recommendations. Upon completion of each periodic report, we will track a list of recommendations via an Excel based *Recommendation Tracker*. Our tracker will be used iteratively to quantify the Client’s project teams progress related to IV&V requirements as recommendations are actioned or otherwise resolved.

RID	IV&V Recommendations	Report 1	Report 2	Report 3	Report 4	Report 5	Report 6	Report 7	Report 8
1.1	XXXX	New	Complete						
1.2	XXXX	New	Ongoing	Complete					
1.3	XXXX	New	Ongoing	Ongoing	Ongoing	Closed			
1.4	XXXX	New	Ongoing	Closed					
1.5	XXXX		New	Ongoing	Closed				
1.6	XXXX		New	Ongoing	Ongoing	Ongoing	Partial	Closed	
1.7	XXXX		New	Ongoing	Ongoing	Ongoing	Closed		

Figure 4 Sample Report Level Recommendations Tracker to Advance Adoption and Track IV&V Recommendations

A master list of recommendations will be provided to the client to be rated against three categories: Impact, Effort, and Likelihood. These ratings are then aggregated to provide a recommendation score to help the project prioritize the IV&V recommendations provided.

RID	Status	IV&V Recommendations	Impact	Effort	Likelihood	Accept / Reject
1.1	Closed	XXXX	High	High	High	
1.2	Closed	XXXX	High	High	High	
1.3	Closed	XXXX	High	Medium	Low	
1.4	Closed	XXXX	High	Medium	Low	
1.5	Closed	XXXX	High	Medium	Low	
1.6	Closed	XXXX	High	Medium	Low	
1.7	Closed	XXXX	High	Medium	Low	
1.8	Open	XXXX	High	Medium	Low	
1.9	Closed	XXXX	High	Medium	Low	
1.(10)	Closed	XXXX	High	Medium	Low	

Figure 5 Detailed Sample Recommendations Tracker to Advance Adoption and Track IV&V Recommendations

After our recommendations have been provided to the CVNS Implementation Project Team via the report and the above tracker, the IV&V team will work with the CVNS Implementation Project Team to ensure a complete understanding of noted recommendations and that they are assigned out to appropriate owners. The recommendations are then monitored through the following reports Phase 2 (Engage & Monitor) to track progress against the identified problem statement.

All previous reporting cycle recommendations will be reviewed with the project/program team during Phase 3 (Interview & Analyze), and progress will be noted on the report issued during Phase 4 (Report & Support).

3. Bi-Monthly Report Format Template

a. Validation that Core Areas will be evaluated

Info-Tech Research Group’s experience on past projects provides the basis for the recommended set of components, Core and Key areas, that should be reviewed and monitored throughout the IV&V engagement.

The identified components in the IV&V Management Plan form the basis of the components to be reviewed on subsequent monthly reports. Each component will be a critical indicator of project/program success/risk, an integral part of programmatic success, supportable by best practices, and, where applicable, be measured against industry standards (PMBOK, IEEE, CMMI etc.).

Additionally, each component set will have clear definitions which can form the basis of component rating and component trending for initial, periodic, and go-live reports.

Info-Tech’s methodology for IV&V is to routinely review project plan documentation and how the project is being managed, for the presence of best practices, tools, processes, and methods that, when present, create an environment conducive to project success.

All the requested Core Areas to be reviewed are covered by our standard component review set (see Figure 6):

Core Areas	Info-Tech Equivalent Component
Schedule Management	Schedule Management Delivery Practices
Resource Management	Resource Management Delivery Practices
Scope & Requirements Management	Scope Management Delivery Practices Implementation Methodology Planning
Technical Solution Management	Technical Platforms and Interfaces Planning Implementation Methodology Planning
Quality Assurance, Testing, Defect Resolution, Re-Testing	Testing and Quality Assurance Planning
Data Management / Migration / Conversion	Data Management and Migration Planning
Project Governance & Communication	Project Governance Delivery Practices Communication Management Delivery Practices
Financial Management	Financial Management Delivery Practices
Change, Issues & Risk Management	Risk Management Delivery Practices
Documentation and Deliverable Management	Documentation & Deliverable Management Delivery Practices
Security Management	Design and Security Planning
Training, Go-Live & Post-Implementation Support	Organizational Change Planning Post-Implementation Readiness Planning

Figure 6 IV&V Components - Core Areas

b. Other Key Areas IV&V Contractor Proposes to Evaluate

The Automated CVNS Implementation Project is complex and will likely be both technically and non-technically challenging. To ensure the project/program is successful we recommend the following additional components to report on (see Figure 7):

Completeness of Plan: assessment of this component examines if a Project Management Plan is created and being followed. The IV&V team will also evaluate and make recommendations of project management plans and procedures to verify that they are appropriately developed, communicated, implemented, monitored and reasonably complete given the program’s stage.

Assessment Component
Plan Viability – Completeness of Plan
Plan Viability – Timeline
Plan Viability – Staff Levels and Skills
Plan Viability – Business Implementation Approach
Project Delivery Practices – Vendor Management

Figure 7 IV&V Components - Other Key Areas

Timeline: assessment of this component assists the Program in reviewing and evaluating the project/program’s work breakdown structure to verify that all key functions have been addressed to increase the likelihood of a successfully completed project within the time frames identified. Additionally, the component verifies milestones and completion dates are planned, monitored, and met.

Staff Levels and Skills: assessment of this component examines the job assignments, skills, training, and experience of the personnel involved in program development to verify that they are adequate for their program role and required duties. The IV&V team will also verify that adequate resources will be available throughout the new solution’s implementation and maintenance. Additionally, the component evaluates the Project/Program’s personnel policies to verify that staff turnover will be minimized, and knowledge transfer planning is in place.

Business Implementation Approach: assessment of this component evaluates the Project/Program’s ability and plans to redesign systems to achieve improvements in critical measures of performance, such as cost, quality, service, and speed. The IV&V team will also verify that the reengineering plan has the strategy, management backing, resources, skills, and incentives necessary for effective change.

Vendor Management: assessment of this component ensures that the Project/Program’s management of their chosen vendor(s) provides the agreed-upon services according to the delivery schedule and with the appropriate level of quality. The IV&V Team will additionally examine vendor contracts to confirm delivery milestones are tied back to an agreed-upon payment schedule.

c. Priority or Recommendations Methodology

Info-Tech’s IV&V recommendations are generated by analyzing the project/program against industry standard IV&V best practices, coupled with the experience and soft skills of our IV&V team, to identify, review, and track areas of the project that lack tools or processes.

Recommendations may be based on:

- Activities to address a lack of adherence to best practices for a given assessment component.
- Activities to achieve outcomes the project/program has not yet demonstrated completion of.
- Activities to improve gaps in documentation.
- Activities to improve the absence of or gaps in project/program plans.
- Activities to improve the absence of or gaps in project/program processes.
- Activities to improve the absence of or gaps in project/program structure and resourcing.
- Activities to remove project/program blockers.
- Activities to satisfy the requests of project/program oversight entities.

For the *Data Management and Migration* assessment component, we would leverage, at minimum, the noted best practices to ask questions such as:

- *“Is there adequate business and technical SME representation in data-related decisions?”*
- *“Are data flow diagrams used to inform requirements development?”*
- *“Does the future state data model comply with business requirements?”*
- *“Show us your data migration and conversion plan with baselined milestones?”*
- *“Does this project present an opportunity to establish new data governance capabilities?”*

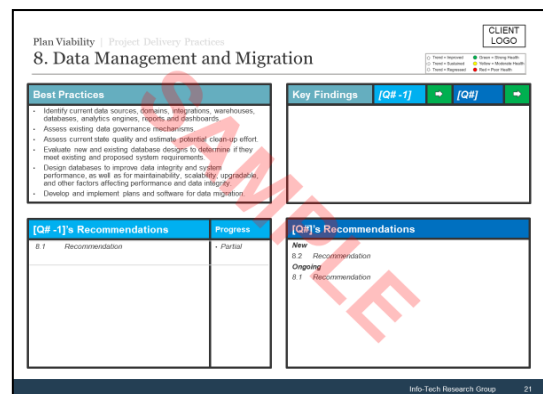


Figure 8 IV&V Sample Report Component Slide

We generate our **Key Findings** (Figure 8: top right) based on our document review activities, interviews, and feedback from the project/program team. All findings are summarized and anonymous.

For example:

- Business roles and responsibilities for ownership of data need clarification.

- Reporting requirements are being generated without business involvement.
- Perspectives for data retention rules are inconsistent between IT and the business. An informal goal is three years. Business rules should drive this decision and costs must be analyzed.
- The team is assessing how quickly existing data can be moved to support the first release. A related risk has been raised and is being socialized, but mitigation plans are not yet finalized.
- The existing data decommissioning plan has not been started and the rules for archiving of legacy data are not clear.

We will holistically make **Recommendations** (Figure 8: bottom right) in each report, and then track recommendations across reporting periods until they are either satisfied or no longer required, such as:

Ongoing Recommendations	New Recommendations
8.1 Document data retention rules. 8.3 Define a signoff process for data migration.	8.4 Identify “Day 2” business Data Owners and Data Stewards. <i>*Note: In this example, recommendation 8.2 would have been previously Completed</i>

Upon completion of each periodic report, we will also track a list of recommendations. Our tracker will be used iteratively to quantify the Client’s project/program teams’ progress related to IV&V requirements as recommendations are actioned or otherwise resolved. In the **Recommendation Tracker**, the IV&V practitioners will provide their opinion of **Impact / Effort / Likelihood** scoring for each of our recommendations which will be leveraged by the project/program to prioritize the recommendations. Our recommendation tracking tool will help the project/program assign responsibility, **Accept / Reject**, and provide the **Current Status** and **Comments** on the “Plan” if accepted, “Justification” if rejected, along with whom the recommendation is **Assigned To**.

IV&V Recommendations	Impact	Effort	Likelihood	Accept / Reject	Current Status	Comment (“Plan” if accepted, “Justification” if rejected)	Assigned To
Add granularity and outline accountability to Go-Live planning	High	Medium	Medium	Accept	Completed	Project team created a Full Deployment plan and shared with project team on granular steps needed for go live	Project Manger
Review remaining Phase 3 planning against business goals	Medium	Medium	Medium	Accept	In Progress	Review of Phase III Timeline and outstanding enhancements is currently in progress	PMO Team

Figure 9 Sample Detailed Recommendations Tracker

We will continue to refine our process through periodic assessments, based on our increased knowledge of both the Client and the project/program. We will continue to leverage the same general framework for each periodic report.

d. Scoring Methodology

The scoring criteria for each component will be dependent on the best practices identified for each component. The scoring criteria will be detailed in our IV&V Management Plan but include, at a minimum:

The project/program component planning is:

- Reasonably (dependent on project schedule) complete.
- Internal and external planning dependencies are understood.
- Documentation supports planning needs.
- Toolsets are leveraged to manage planning.
- Planning metrics are detailed at all project levels.
- The team is on or ahead of a schedule against expectations laid out in planning,
- There is reasonable assurance that the budget will allow for the remaining activities laid out in planning.

The project component delivery practices are:

- Aligned with project/program needs.
- Reasonably best practice.
- Adhere to organizational policy.
- Ran by competent individuals.
- Managed by appropriate toolsets.
- Are well understood by stakeholders.
- Work appropriately in sequence.

e. Overall Bi-Monthly Status (Green, Yellow, Red) on three factors: Scope, Budget (milestones), and Schedule (based on multiple core and key factors)

Each component in each report is provided a score and a trending arrow. Info-Tech leverages a Red/Yellow/Green scoring system. The IV&V Management Plan created in Phase 1 dictates the detailed definitions of how each component is scored, but general scoring follows this philosophy:

	<p>The project/program meets or exceeds all planning requirements for the component, or the project/program meets or exceeds best-practice/project needs for the component.</p> <p>The key findings listed are not likely to impact the schedule, scope, or budget of the project/program if not acted upon by the project/program team by the following report period.</p>
	<p>The project/program has planning gaps for the component that are correctable, or the project/program's delivery practices are not best-practice for the component, and small corrections are required.</p> <p>The key findings listed have not impacted the schedule, scope, or budget of the project/program but could if not acted upon by the project/program team by the following report period.</p>
	<p>The project/program's planning for the component is missing or gapped to the point that it cannot be corrected before it impacts schedule, scope, or budget; or, the project/program's delivery practices are absent, or not best-practice, or not supportable for the component.</p> <p>The key findings listed are currently impacting the schedule, scope, or budget of the project/program and need to be prioritized by the project/program team to correct the issue immediately.</p>

Each component is also trended based upon:

- Its progress relative to our last report,
- Its progress on the identified recommendations from the previous report,
- Whether any identified key findings / recommendations have degraded the health of the component,
- How the team is comparing to best-practice for the identified component,
- Where best-practice deviation is required, how the planning/process is working relative to project/program need.

f. Validation that actionable recommendations will be provided in each Core and Key Area evaluated.

Where a key finding is an item that is of note, i.e.

- A problem statement
- A risk statement
- A project success which could be propagated
- A note on progress of previous recommendations

A recommendation is a direct tie back to a specific key finding. The recommendation is specifically designed to be a single, actionable step which the program can leverage to improve its maturity by addressing its problems, risks, or opportunities.

Within every IV&V report, each Core/Key Area component being evaluated will have recommendations specific to it made by the IV&V Team; **New** recommendations will be represented in the report in the bottom right quadrant (shown in Figure Our recommendations are derived from our key findings.

Q1 Recommendations		Progress	Q2 Recommendations	
12.4	Initiate weekly function change control meeting.	• Partial	Ongoing	12.4 Initiate weekly function change control meeting.
12.7	Refine "Release Progress by Epic" slide for larger XXX.	• Complete	New	12.8 Review RACI against project changes.

Figure 10 Sample IV&V Report - Recommendations

g. Validation that progress on actional recommendations from prior Bi-Monthly Reports will be discussed in subsequent Reports.

Each recommendation from previous reports (**Ongoing, Partial, Complete, or Closed**) are additionally tracked in and reported upon in the same Core/Key Area component for its progress via the bottom left quadrant (shown above in Figure 10) and via the supporting **Recommendation Tracker** deliverable (shown in Figure 11 below) which is provided to the Project along with every Bi-Monthly IV&V Report.

RID	IV&V Recommendations	Report 1	Report 2	Report 3	Report 4	Report 5	Report 6	Report 7	Report 8
1.1	XXXX	New	Complete						
1.2	XXXX	New	Ongoing	Complete					
1.3	XXXX	New	Ongoing	Ongoing	Ongoing	Closed			
1.4	XXXX	New	Ongoing	Closed					
1.5	XXXX		New	Ongoing	Closed				
1.6	XXXX		New	Ongoing	Ongoing	Ongoing	Partial	Closed	
1.7	XXXX		New	Ongoing	Ongoing	Ongoing	Closed		

Figure 11 Sample Report Level Recommendations Tracker

This document typically lives on the project’s repository allowing project stakeholders to review and track the status of all recommendations noted in the bottom right and left quadrants of the IV&V reports throughout all reporting periods.

Per our IV&V Management Plan, the Info-Tech team schedules working sessions post-report issuance with the State to review and discuss all recommendations and ensure full understanding. If the Project/Program team agrees with the nature of a recommendation, they may choose to accept ownership of the recommendation. Subsequently, the team will document the associated mitigation plan(s) and stakeholder assignment of the specific recommendation in the document. If the team decides not to accept, mitigate, and manage a risk, the team will provide appropriate information to support this conclusion. The Project/Program Team is encouraged to actively manage, track, and note the progress of these activities within the Recommendation Tracker until recommendations are complete/closed.

The IV&V Team will continuously monitor the progress of these activities until the recommendations are complete/closed. This monitoring will be performed independently (through documentation review, and shadowing) or directly via the Project/Program providing status data to the IV&V Team throughout the project or during the subsequent interview sets.

4.Planned IV&V Team Members

Our recent engagements have an accomplished record of delivery and exceeding expectations because our experienced team understands IV&V, the Arizona State government, and its oversight environment, along with the complexities of comparable Enterprise-wide implementations with similar scopes of work. This assignment requires a seasoned team to deliver the insights and results required for a project of this nature. We have selected a blend of IV&V and project management expertise to satisfy the needs of the ACJC Project.

Info-Tech is proposing the following IV&V Team Members:

Name	Role
Raymond Hamlyn	IV&V Engagement Manager
Sarah Clappison	IV&V Delivery Manager
Sarita Chiu	IV&V Delivery Consultant
Scott Porter	Subject Matter Expert
Jerry Driessen	Subject Matter Expert

a. IV&V Team Member Subject Area Experience

Info-Tech has a proven track record of completed IV&V engagements within the State over the past eight years. The identified IV&V delivery team has immense experience delivering IV&V and program assurance across a wide variety of business needs and technical platforms. Our practitioners bring thousands of hours of IV&V specific experience:

		Raymond Hamlyn IV&V Engagement Manager	Sarah Clappison IV&V Delivery Manager	Sarita Chiu IV&V Delivery Consultant
Total	Reports	70+	20+	5+
	Hours	7,000+	2,000+	500+

In addition to our IV&V providers, Info-Tech has several individuals with deep subject matter expertise in the implementation and transformation of criminal justice systems. These subject matter experts are part of our delivery team and will have input into our IV&V interview questions along with IV&V reports and recommendations.

About Scott Porter:



Scott B. Porter is the Division President for Consulting at Info-Tech Research Group, where he oversees the consulting group and ensures high-value client engagements. With over 35 years of experience in technology systems operations and consulting, Scott has a proven track record in driving successful teams and projects.

Previously, he was the Chief Information Officer for the City of Los Angeles Fire Department, overseeing all aspects of IT, and he spent more than two decades working with public sector clients in IT planning, selection, and implementation. Scott's expertise lies in public safety and justice systems, with extensive

experience in managing and consulting on CAD, RMS, and JMS systems. He has worked with many of the top major city police departments in the US and Canada, including the Los Angeles Police Department and the New York City Police Department, as well as state and regional Criminal Justice Information Systems (CJIS).

About Jerry Driessen:



Jerome A. Driessen is a future-oriented technology executive, drawing on strong business acumen to deliver solutions that have organization-wide impact. Jerry brings to the table 25 years of public sector experience, where he has built a reputation for achieving measurable business results through innovation and technology implementations. During his career, Jerry has honed expertise in pioneering new policies, practices, and programs to optimize operations. He is known for championing large-scale business transformation by building and leveraging internal and external relationships at all organizational levels.

Throughout Jerry's career in Public Safety he established and managed program / strategic initiatives to improve the efficiency of operations including:

- Led key strategic technology initiatives such as Hennepin Justice Integration program.
- Directed inter-jurisdictional collaborative efforts to facilitate information sharing and IT service coordination.

b. IV&V Team Member Experience with Projects of a Similar Size & Complexity

Included in the noted experience are multiple projects of similar size and complexity to ACJC project including:

- The Arizona Department of Health Services needed to implement a Salesforce-based license digitization for its medical marijuana card holders. The Agency partnered with Slalom consulting to quickly define and develop a solution that digitized the licensing for over 300,000 users. Info-Tech partnered with the Department of Health Services to provide monthly reports for the initial, high-risk, project phase and quarterly reports for subsequent phases. Over the course of the project, Info-Tech delivered over 20 reports helping the project meet its difficult scope on time and on budget.
- Arizona Department of Child Services CHILDS replacement: GUARDIAN. A greenfield case management solution that completely redesigned the agency's processes from intake to payment. The program required a concerted effort of multiple vendors across 5 years of development effort. At its peak, the program required over 200 active participants. Info-Tech performed 24 reports over 6 years from the start to finish of the implementation.

- The Arizona Department of Education was required to replace its school finance payment system (SFPS) calculator and budget AFR system. The Agency leverages SFPS to complete the distribution of 6.5 billion dollars of tax payments to Arizona schools a year. This highly customized in-house solution impacts 1.2 million external stakeholders day-to-day. To date, Phase 1 and Phase 2 are complete and successful. Phase 3 is ongoing. Info-Tech has performed 16 IV&V reports to date on this mission-critical project.

c. IV&V Team Member Proposed Project Roles

Info-Tech has had the privilege of serving Arizona State for the past seven years. Our **Core Team** consists of an **IV&V Engagement Manager**, an experienced **IV&V Delivery Manager**, and an **IV&V Delivery Consultant** to successfully support the CVNS Implementation. We know that maintaining strong relationships and communicating transparently are keys to a healthy project culture that leads to project success. This is why we selected and assembled a team that is both familiar with Arizona State and with projects of similar size / complexity as the CVNS Implementation. On a project/program of this size and nature, we would typically organize our project structure like this:

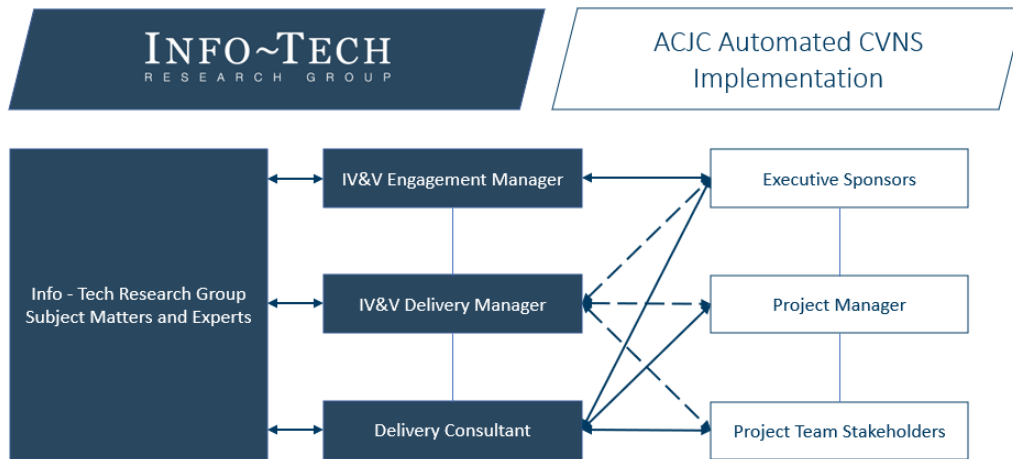


Figure 12 IV&V Engagement Project Structure

Project roles and responsibilities are stated in the IV&V Management Plan, but on a project/program of this nature we would expect the following responsibilities for each role:

Name	Responsibilities
Ray Hamlyn IV&V Engagement Manager	<ul style="list-style-type: none"> • Finalizing this IV&V contract upon award. • Owning the relationship(s) with the Project Sponsor(s) and team. • Accountable for the successful delivery of the IV&V project. • Responsible for Managing all aspects of the IV&V project. • Quality Assure the IV&V product. • Managing and resolving IV&V project issues and escalating when necessary. • Co-Leading all IV&V review and interview facilitation activities. • Co-Leading all IV&V report generation and revision activities. • Leading project / client debriefs.

Name	Responsibilities
	<ul style="list-style-type: none"> • Leading monthly contract status reporting.
<p>Sarah Clappison Delivery Manager</p>	<ul style="list-style-type: none"> • Supporting the finalization of this IV&V contract upon award. • Leading and co-developing the IV&V Management Plan and best-practice development activities. • Co-Leading in all IV&V review and interview facilitation activities. • Co-Leading in all IV&V report generation and revision activities. • Supporting the resolution of IV&V project issues. • Supporting potential monthly contract status reporting or debriefs.
<p>Sarita Chiu Delivery Consultant</p>	<ul style="list-style-type: none"> • Support all IV&V Management Plan and checklist development activities. • Support all IV&V report generation and revision activities. • Support select IV&V review and interview facilitation activities. • Support the resolution of IV&V project issues. • Support potential monthly contract status reporting.

d. IV&V Team Member Resumes:

Ray Hamlyn - Proposed IV&V Engagement Manager

Mr. Hamlyn is a Director and the Program Assurance Practice Lead at Info-Tech Research Group. Mr. Hamlyn specializes in project assurance (IV&V, Health Checks, EV&V, Readiness Checks, etc.) and has helped hundreds of millions of dollars of projects successfully deliver. A former CFO and a CPA candidate, Ray approaches IV&V with a unique, business-first perspective.

Background:

Mr. Hamlyn brings a wealth of experience in project management, SDLC (Software Development Life Cycle) best practices, corporate accounting and operations, IT infrastructure, software engineering best practices and ERP/CRM management. Ray has recently delivered project assurance on end-to-end ERP (Enterprise Resource Planning) replacements, State-sized level green field case management replacement systems, finance payment calculators (1.2 million stakeholders, \$6 billion in annual payments), and license digitization initiatives.

Resume (Current)

Info-Tech Research Group - Director, Consulting (August 2019 – Present)

Ray is the practice lead for Info-Tech’s IV&V and Assurance consulting practice. Ray has helped, in the State of Arizona alone, deliver over 100 million dollars’ worth of projects successfully. Ray has been the delivery lead on multiple similar-sized projects within Arizona State and was part of the team that delivered the IV&V on the ADOA Shared Hosted Data Center (SDHC) which included the delivery of redundant fiber cabling for 15 capital mall buildings.



**KAY
HAMLYN**
*Director,
Consulting Division*

Email:
rhamlyn@infotech.com

Areas of Expertise

- Project IV&V
- Project Management
- SDLC / IT Modernization
- Vendor Management
- IT Strategy
- ERP/CRM
- PMO
- Financial Control
- Audit

Roles and Representative Clients in Arizona:

Role	Client	Project
IV&V Engagement Manager	Arizona Department of Administration	Parks Broadband IV&V Assessments
IV&V Engagement Manager	Arizona Department of Health Services	MEDSIS IV&V Assessments
IV&V Lead	State of Arizona ADOA	Business One-Stop IV&V Assessments
IV&V Lead	State of Arizona ADCS (Arizona Department of Child Safety)	GUARDIAN IV&V Assessments
IV&V Lead	State of Arizona ADE (Arizona Dept of Education)	SFPS IV&V Assessments
IV&V Lead	State of Arizona DHS (Department of Human Services)	Medical Marijuana Licensing Management Implementation IV&V
IV&V Delivery Consultant	Arizona Department of Administration	Shared Hosted Data Center (SHDC)

Additional experience (previous 5 years)

Sevenproof Industries - Chief Financial Officer (CFO) (March 2009 – June 2019)

- Evaluate the potential of new product developments and intellectual property, according to factors such as business plans, technologies, or market potential.
- Directed accounting / financial operations.
- Sponsor for implementation of systems of record for financial and budgetary data.
- Prepare and present financial statements to monthly board of director meetings.
- Chair, direct, and present to shareholders through biannual meetings and monthly reporting
- Measure and evaluate I.T. operational effectiveness.

Board Trustee – Multiple Discretionary Trusts (2014 – 2019)

- Evaluate and maintain financial planning to ensure successful returns for beneficiaries.
- Evaluate and maintain tax planning to ensure successful returns for beneficiaries.
- Maintain governance structures.
- Ensure Trust filings and operations were adhering to legal and tax statutes.

Sarah Clappison - Proposed IV&V Delivery Manager

Ms. Clappison is a Consulting Manager at Info-Tech Research Group, with experience in Independent Verification & Validation (IV&V) and Program Assurance at Info-Tech. Sarah has supported and led program assurance (IV&V, Readiness Checks) and assessment initiatives on millions of dollars of successfully delivered projects.

Background:

Prior to Info-Tech, Sarah acquired multi-industry experience in IT Project Management and Financial Analysis where she has a proven track record of streamlining processes to achieve maximum optimization, strong analytical and problem-solving skills that identify creative solutions to complex and challenging situations and ensures solution adoption with thorough change management tools and practices.

Since joining Info-Tech, Sarah has developed a strong understanding of the SDLC lifecycle and agile methodology along with best-practice IT project management and processes that she leverages against her existing business acumen and communication skills to deliver comprehensive, results-oriented solutions to any client.

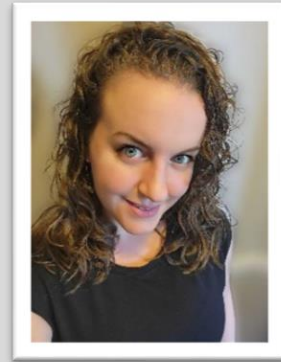
Resume (Current)

Info-Tech Research Group - Manager, Consulting (January 2022 – Present)

As a Manager in Info-Tech’s Project/Portfolio Management & Assurance practice, Sarah leverages her diverse experience and project management abilities to improve clients’ project maturity, reduce project risk, and assure successful outcomes. Sarah currently acts as one of the IV&V Delivery Consultants on several Arizona State initiatives including the ADOA AZ360 HRIS Modernization (\$65 million, 3-year implementation).

Roles and Representative Clients in Arizona:

Role	Client	Project
IV&V Delivery Manager	Arizona Department of Administration	Parks Broadband IV&V Assessments
IV&V Delivery Manager	Arizona Department of Health Services	MEDSIS IV&V Assessments
IV&V Delivery Consultant	State of Arizona ADOA	AZ360 HRIS Modernization IV&V Assessments
IV&V Delivery Consultant	State of Arizona ADE (Arizona Dept of Education)	SFPS IV&V Assessments
IV&V Delivery Consultant	State of Arizona ADOA	Business One-Stop IV&V Assessments



SARAH CLAPPISON

*Manager,
PPM & Assurance*

Email :
sclappison@infotech.com

Areas of Expertise

- Project IV&V
- Business Process Improvement
- Project Management
- PMO & Portfolio Management
- Project Assurance
- Financial Analysis & Reporting

Licenses and Certifications

- U of Waterloo - Project Management Applied Tools & Techniques
- FOIP: Focus on Privacy – Gov. of Alberta
- TCPS 2: CORE Research Ethics – Gov. of Canada
- Good Clinical Practice (GCP) – Gov. of Canada

Additional experience (previous 5 years)**Home Hardware – EPMO Project & Finance Coordinator (Jan. 2021 – May 2022)**

- Contributed to development of the department's project financial reporting system. The system delivered all key project and financial operating reports, and included KPI metrics, profitability, and performance against plans.
- Tracked and reported project financials and evaluated business performance KPIs against targets; collaborated and followed-up on corrective action plans.
- Assisted in the evaluation of project quality outputs to ensure critical requirements were met.

Alberta Health Services/ University of Calgary – Research Project Coordinator (September 2020 – February 2021)

- Established service level agreements among critical health units along the research patient journey.
- Collaborated with internal departments to create research project/program alignment and greater data visibility and reporting.
- Research process management and optimization:
 - Designed new and optimized existing processes to increase research project progress reporting.
 - Optimized Research Financial Forecasting/ Management/ Reporting processes to reduce payment and fund reimbursement processing times by 35%.
 - Enhanced Research Patient Care processes to achieve above 80% patient satisfaction scores.
- Responsible for the Department of Surgery research project budgets to ensure financial deliverables.
- Ensure the success of research projects and programs according to outlined criteria and plans.
- Maintained and optimized the research project lifecycle methodology and assisted with the post-study close-out processes (Including documentation review, archive, approvals, PPM tools/system wrap-up).

James E. Wagner Cultivation – Project Coordinator (2018-2020)

- Assist in the management and progress reporting of the large capital Construction Expansion Project (CEP) deliverables.
- Reduced risk exposure through proactive risk identification and mitigation.
- Assisted in the development of the centralized PMO department and enterprise project management practices.
- Developed and implemented departmental business plans, project charters, and streamlined project processes.

Sarita Chiu - Proposed IV&V Delivery Consultant

Ms. Chiu is a Senior Consultant at Info-Tech Research Group, with the Infrastructure & Operations practice at Info-Tech. Sarita has helped the PPM & Assurance group successfully deliver projects by supporting with program assurance (IV&V, Readiness Checks) and assessment initiatives.



SARITA CHIU
Sr. Consultant, Infrastructure & Operations
 Email: schiu@infotech.com

Areas of Expertise

- Project Management
- Stakeholder Communication and Management
- Scope Definition and Management
- Documentation & Reporting

Background:

Sarita has a diverse background in a variety of industries, including manufacturing, building infrastructure engineering, and helping to grow a start-up. Experienced in cross-collaboration, Sarita has a proven track record of bringing together stakeholders and building strong relationships between team members, clients, and vendors. Her ability to strategically navigate change has been critical to the success of numerous projects, allowing her to deliver meaningful outcomes that drive business value.

Sarita is an alumna of the University of Toronto, where she earned her bachelor’s degree in chemical engineering in 2015. She has since earned a Master of Business Administration from the University of Western Ontario in 2022.

Info-Tech Research Group - Senior Consultant, Consulting (March 2023 – Present)

As a Senior Consultant in Info-Tech’s Infrastructure & Operations practice Sarita has worked on a variety of projects across practices including business continuity planning, project assurance and ERP selection. With a blend of strategic thinking, technical acumen and a keen eye for detail, Sarita has helped clients successfully deliver on their IT initiatives.

Roles and Representative Clients in Arizona:

Role	Client	Project
IV&V Delivery Consultant	State of Arizona ADOA	Business One-Stop IV&V Assessments
IV&V Delivery Consultant	State of Arizona ASPT (Arizona State Parks & Trails)	Broadband IV&V Assessments

Sarita has helped deliver multiple out of State IV&V engagements with clients including the Pacific Rehab Hospitals EHR Replacement initiative and multiple County ERP/Tax replacement initiatives.

Additional experience (previous 5 years)

Atria Architects & Engineers – Project Manager (2017 – 2021)

- Identified client needs, gathered requirements and translated complexities to stakeholders
- Developed technical drawing sets and documentation for tender packages.
- Performed site reviews of contractor progress
- Managed client relationships well by aligning client expectations to realistic project outcomes; resulting in favorable reviews from project managers
- Engaged internal stakeholders and sub-consultants to influence final joint bid prices

5.IV&V Experience

Project Reference #1:

Reference 1 – Arizona Department of Education – School Finance Payment System (SFPS)

Client:	Arizona Department of Education (ADE)	Project:	SFPS / Budget AFR (Phase 1 – 3)
Industry:	Government	Timeframe:	3 years (2020 – current)
Contact 1:	Beth Neeley, CIO	Email:	Beth.Neeley@azed.gov
		Phone Number:	(602) 550-4822
Relevance / Similarities to this project	The SFPS / Budget AFR is a similar nature project (ex: tax disbursement system) that receives school district and county information which then disperses approximately \$6.5 billion dollars annually across Arizona State. Three of the proposed team members (Raymond Hamlyn, Omran Sheikh, & Sarah Clappison) have/are working as IV&V practitioners on the engagement.		
Challenge:	The Arizona Department of Education (ADE) manages and administrates a School Finance Payment System (SFPS) which annually processes over six billion dollars in payments in State aid to support over one million students across Arizona. The previous Payment System, in use since 1999, was running on an unsupported Microsoft Windows 2000 platform, and daily challenges with data integrity and correctness of logic were impacting effective business operations. Large portions of the system were unmaintainable, resulting in the system being used piecemeal, which impacted its auditability. Due to system inadequacies a substantial amount of manual testing was occurring to ensure proper function.		
Solution:	ADE initially issued an RFP to procure a commercial-off-the-shelf product; vendor responses were judged to have insufficient experience, capability, or qualifications to fulfill the requirements. As a result, ADE chose to modernize the School Finance Payment System through custom in-house development on an Azure-based cloud platform. The proposed system leveraged existing School Finance payment streams to substantially reduce payment processing time and improve reporting capabilities.		
Results:	<p>IV&V's participation helped ADE with their successful launch of Charter and District payments in Phase 1 on July 1st, 2021. The system also continues to successfully complete functional payments since August 2021 adding additional payment streams (corrections, classroom site fund, etc.).</p> <p>While the agency continues to run the payment system, the project team currently aims to complete the next substantial development effort that will bring the Budget / AFR (Annual Financial Reporting) functionality to the overall system.</p> <p>Once Phase 2 is satisfactorily complete, it is expected that secondary or tertiary components of the payment system development, along with any pending enhancements/fixes will be completed in Phase 3.</p>		

Project Reference #2:

Reference 2 – Arizona Department of Health Services – Medical Marijuana Licensing System

Client:	Arizona Department of Health Services	Project:	Medical Marijuana Licensing System
Industry:	Government	Timeframe:	3 Years (2019 - 2021: 12 monthly reports and 8 Quarterly reports).
Contact 1:	Luke Evans	Email: Phone Number:	luke.evans@azdhs.gov 602-980-4530
Relevance / Similarities to this project	The MMLMS was a large salesforce implementation which digitized the licenses for existing State medical marijuana card holders. The licensing project was expanded to support recreational use and dispensary licenses. Once complete, the platform was leveraged to support additional special licenses areas (childcare, etc.). This project was considered highly successful, delivering on time, on scope, and on budget. The IV&V engagement manager was assigned to this project as an IV&V lead from start to finish.		
Challenge:	<p>The Arizona Department of Health Services (ADHS) was required to modernize their Medical Marijuana Licensing Management System (MMLMS) through update/new Arizona State legislation and laws. The State selected a System Integrator (Slalom) and technology platform (Salesforce) for the implementation project to enhance or replace 20 key program functions in order to improve stakeholder satisfaction and comply with these new laws.</p> <p>The program was a 30-million-dollar investment, highly visible with a large, organized stakeholder base, a direct constituent impact creating a high-risk implementation project that required project assurance to ensure sufficient controls were in place for Program success. The State ITAC recommended that ADHS select a third-party firm to provide Independent Verification & Validation services.</p>		
Solution:	<p>The Info-Tech IV&V team leveraged its proven, platform-agnostic, IV&V framework to assure project focus and success through the delivery of monthly project reviews. The Info-Tech IV&V team focused on ensuring the project’s planning was un-gapped providing assurance on elements such as: plan completeness, timeline, architecture, quality assurance, process improvement, etc. The IV&V team partnered with the project to ensure its project delivery practices were, where possible, aligned with best practices. The team leveraged Info-Tech’s research and blueprints to evaluate project processes such as: governance, scope management, financial management, risk management, deliverable management, etc..</p> <p>The IV&V team provided ongoing assurance of the project's success by providing recommendations based on actionable items for change.</p>		
Results:	<p>Through the IV&V partnership, Info-Tech’s IV&V team was able to help the project successfully deliver all phases on-time, on-scope, and under-budget. The IV&V team, leveraging their experience and Info-Tech’s research, was able to make recommendations to, at minimum:</p> <ul style="list-style-type: none"> • Achieve high level of business satisfaction by engaging business team early in designs • Improve product quality by overhauling QA planning/Story design • Drastically improve business readiness and system adoption through change management. 		

7.Pricing Attachment A

PRICING ATTACHMENT A

STATEMENT OF WORK FOR TASK ORDER

Contract: IT Advisory, Assessment, Verification and Validation (IV&V)

Project: ACJC Automated CVNS Implementation

All Deliverables defined in the SOW are expected each reporting period unless otherwise specified in the Task Order. Please plan to meet the following schedule regarding your services and propose costs for each accordingly:

Report #	Month (Draft & Final) Report is due	Price for Bi-Monthly Report and Related Activities
1 and Initial	1 st month	\$37,000
2	3 rd month	\$33,000
3	5 th month	\$33,000
4	7 th month	\$33,000
5 and final	30 days after the project closeout	\$33,000
	5 Reports Total	\$169,000

8. Appendix A - Blank Sample Report

Table of Contents

Introduction

- Background
- Executive Summary

Assessment Findings & Recommendations

- Assessment Components Health Trend
- FY 2021 Quarter 3 "Plan Viability" Observations
- FY 2021 Quarter 3 "Project Delivery Practices" Observations
- Key Recommendations

Appendices

- A: Independent Assessment Process
- B: Quarterly Details Assessment
- C: List of Interviewed Stakeholders

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Background

DRAFT Info-Tech Research Group 3

Executive Summary

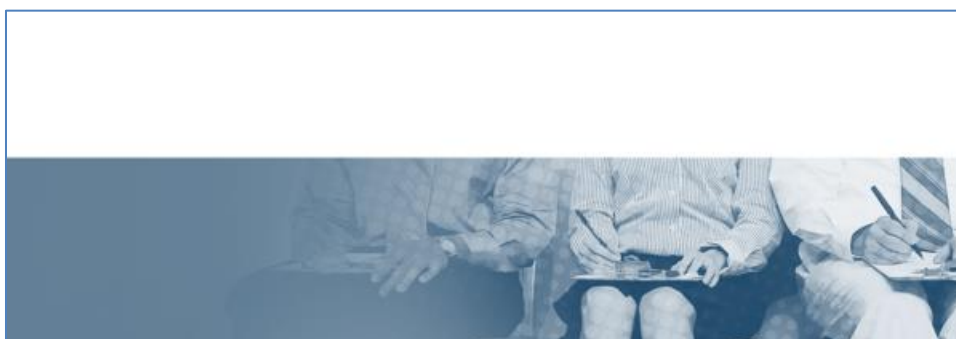
Key Findings: Plan Viability	Key Findings: Project Delivery Practices

Through to the end of , the project team should focus on the following items:

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Assessment Findings & Recommendations

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FY 2020 Quarter 3 Assessment Summary

Assessment Components Health Trend:

● Green = Strong Health → Trend = Sustained
● Yellow = Moderate Health ↗ Trend = Improved
● Red = Poor Health ↘ Trend = Regressed

Assessment Component		Q3	Q4	Q1	Q2	Q3	Q4
Plan Viability	1. Completeness of Plan	→					
	2. Timeline	→					
	3. Staff Levels and Skills	→					
	4. Solution Architecture	→					
	5. Technical Platform and Interfaces	→					
	6. Implementation Methodology	→					
	7. Business Process Improvement	→					
	8. Data Management and Migration	→					
	9. Testing and Quality Assurance	→					
	10. Organizational Change	→					
	11. Post-Implementation	→					
Project Delivery Practices	12. Project Governance	↔					
	13. Financial Management	↔					
	14. Vendor Management	↔					
	15. Schedule Management	↔					
	16. Scope Management	↔					
	17. Risk Management	↔					
	18. Resource Management	↔					
	19. Communication Management	↔					
	20. Documentation and Deliverable Management	↔					

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FY2020 Quarter 3 Assessment Summary

Quarter 3	Plan Viability	Key Observations
→	1. Completeness of Plan	
→	2. Timeline	
→	3. Staff Levels and Skills	
→	4. Solution Architecture	
→	5. Technical Platform and Interfaces	
→	6. Implementation Methodology	
→	7. Business Process Improvement	
→	8. Data Management and Migration	
→	9. Testing and Quality Assurance	
→	10. Organizational Change	
→	11. Post-Implementation	

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FY2020 Quarter 3 Assessment Summary

Quarter 3	Project Delivery Practices	Key Observations
→	12. Project Governance	
→	13. Financial Management	
→	14. Vendor Management	
→	15. Schedule Management	
→	16. Scope Management	
→	17. Risk Management	
→	18. Resource Management	
→	19. Communication Management	
→	20. Documentation and Deliverable Management	

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FY2020 Q3 Assessment Summary

Key Recommendations:

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Appendix A: Independent Assessment Process


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Independent Assessment Process



- Gather Baseline Information**
 - Review Project Documentation, including:
 - CIO Briefing Reports
 - Weekly Status Reports
 - Program Finance Slides
 - Work Stream Work Plans
 - Contractor Organization Chart
 - Risk Register
 - Roadblock Register
 - Decision Log
 - IV&V Tracking List
 - Conduct Stakeholder Interviews
- Perform Analysis**
 - Analyze Findings
 - Determine Any Gaps
 - Score Each Plan Viability & Project Delivery Practices Component:
 - Green = Strong Health
 - Yellow = Moderate Health
 - Red = Poor Health
 - Trend = Sustained (↔)
 - Trend = Improved (↑)
 - Trend = Regressed (↓)
 - Assess Progress of the Previous Quarter's Recommendations
- Develop Report**
 - Share Best Practices
 - Report Key Findings
 - Report Progress on Quarter's Recommendations
 - Report This Quarter's Recommendations

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Appendix B: Detailed Assessment

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Plan Viability | Project Delivery Practices

1. Completeness of Plan

Best Practices	Key Findings	
<ul style="list-style-type: none">Track against a baselined plan that includes all in-scope phases.Identify and monitor the critical path of the project.Document project interdependencies / dependencies.Track against identified milestones.Each component of the project plan or work breakdown structure is assigned to a single point of responsibility.Perform regular risk assessment / review of plan.Refactor plan as appropriate when tolerances are exceeded.	N/A	FY2020 Q3
Previous Recommendations	Progress	FY2020 Q3's Recommendations

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Plan Viability | Project Delivery Practices

2. Timeline

Best Practices <ul style="list-style-type: none"> Develop a complete project schedule with all tasks, activities, resources, effort and duration. Break the project down into major phases and sub-phases. Break sub phases down into tasks and sequenced in the most logical manner. Share timeline with sponsor, stakeholders and project team. Keep the project on schedule within 10%. Ensure sufficient time exists to complete the project if managed well. 		Key Findings <table border="1"> <tr> <td>N/A</td> <td>→</td> <td>FY2020 Q3</td> <td>→</td> </tr> </table>	N/A	→	FY2020 Q3	→			
N/A	→	FY2020 Q3	→						
<table border="1"> <thead> <tr> <th>Previous Recommendations</th> <th>Progress</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	Previous Recommendations	Progress							FY2020 Q3's Recommendations
Previous Recommendations	Progress								

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Plan Viability | Project Delivery Practices

3. Staff Levels and Skills

Best Practices		Key Findings <table border="1"> <tr> <td>N/A</td> <td>→</td> <td>FY2020 Q3</td> <td>→</td> </tr> </table>	N/A	→	FY2020 Q3	→			
N/A	→	FY2020 Q3	→						
<table border="1"> <thead> <tr> <th>Previous Recommendations</th> <th>Progress</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	Previous Recommendations	Progress							FY2020 Q3's Recommendations
Previous Recommendations	Progress								

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Plan Viability | Project Delivery Practices

4. Solution Architecture

Best Practices

- Consult internal architecture perspectives during project planning.
- Identify architectural objectives related to this project.
- Document current architecture, including integrations with external entities, to map dependencies and assess change impacts.
- Prioritize solutions that help to build automation, adaptability, and flexibility into architecture.
- Identify the following project Architect roles: Enterprise, Solution, Data, Security, Infrastructure, Interface, Operations (as needed)
- Establish project team whose focus is to analyze architectural challenges and make decisions on architectural impacts.

Key Findings

N/A



FY2020 Q3



Previous Recommendations

Progress

Previous Recommendations	Progress

FY2020 Q3's Recommendations

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Plan Viability | Project Delivery Practices

5. Technical Platform and Interfaces

Best Practices

- Develop technology implementation plan.
- Ensure the technology delivery process is planned to align with the internal customer's timeline needs and constraints (e.g. adjust releases to periods of down time in customer business cycle).
- Document technology and support requirements.
- Develop and monitor key technical and support metrics.
- Review documented architectural information and determine necessary integrations and interfaces.
- Engage external entities for interface development (as needed).
- Mitigate technical constraints – hardware, software, resources.

Key Findings

N/A



FY2020 Q3



Previous Recommendations

Progress

Previous Recommendations	Progress

FY2020 Q3's Recommendations

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Plan Viability | Project Delivery Practices

6. Implementation Methodology

Best Practices <ul style="list-style-type: none"> Document business implementation approach. Confirm alignment with sponsor and stakeholders on approach. Schedule resources for in planning, demo, and approvals. Evaluate the design products for adherence to the project design methodology and standards. Establish staged process for business to signoff on user stories, solution modelling, design, and build. Verify that design can be traced back to system requirements. Track against identified implementation tasks and document risks. 		Key Findings <table border="1"> <tr> <td>N/A</td> <td>→</td> <td>FY2020 Q3</td> <td>→</td> </tr> </table>	N/A	→	FY2020 Q3	→				
N/A	→	FY2020 Q3	→							
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Previous Recommendations	Progress									

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Plan Viability | Project Delivery Practices

7. Business Process Improvement

Best Practices <ul style="list-style-type: none"> Determine the in-scope business processes for improvement. Document the strategic need (e.g. make the business case) for process improvement in a given functional area. Confirm management backing, resources, skills and incentives necessary for effective change. Redesign business systems to achieve improvements in critical measures of performance, such as cost, quality, service, and speed. Identify potential barriers to change as a result of improvements. Document and convey potential areas of resistance and risks to the project Organizational Change and Post-Implementation teams. 		Key Findings <table border="1"> <tr> <td>N/A</td> <td>→</td> <td>FY2020 Q3</td> <td>→</td> </tr> </table>	N/A	→	FY2020 Q3	→				
N/A	→	FY2020 Q3	→							
<table border="1"> <thead> <tr> <th>Previous Recommendations</th> <th>Progress</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table>	Previous Recommendations	Progress							FY2020 Q3's Recommendations	
Previous Recommendations	Progress									

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Plan Viability | Project Delivery Practices

8. Data Management and Migration

Best Practices
<ul style="list-style-type: none"> Identify current data sources, domains, integrations, warehouses, databases, analytics engines, reports and dashboards. Assess existing data governance mechanisms. Assess current state quality and estimate potential clean-up effort. Evaluate new and existing database designs to determine if they meet existing and proposed system requirements. Design databases to improve data integrity and system performance, as well as for maintainability, scalability, upgradable, and other factors affecting performance and data integrity. Develop and implement plans and software for data migration.

Key Findings	N/A	→	FY2020 Q3	→

Previous Recommendations	Progress

FY2020 Q3's Recommendations

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Plan Viability | Project Delivery Practices

9. Testing and Quality Assurance

Best Practices
<ul style="list-style-type: none"> Develop a Quality Management Plan at the beginning of the project: <ul style="list-style-type: none"> Actively manage quality throughout project delivery. Address quality as it pertains to project resources, deliverables, and solution functionality, usability, and maintainability. Dedicate ownership and resources to a software QA function. QA has an appropriate level of independence from the solution. Build and maintain a Test Plan with dependencies and milestones. Build acceptance criteria for each feature. Establish a review, feedback, and signoff process for requirements and deliverables. Ensure that change requests are made with appropriate timing.

Key Findings	N/A	→	FY2020 Q3	→

Previous Recommendations	Progress

FY2020 Q3's Recommendations

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Plan Viability | Project Delivery Practices
10. Organizational Change

Best Practices

- Build and maintain the following plans with detailed activities and high-level dependencies and milestones:
 - Organizational Change Management Plan
 - Communication Plan
 - Training Plan
- Address key points such as: Stakeholder analysis, change network, change champions, engagement, quick wins, bright spots, risk factors, emotional appeals, and cultural and environmental factors.
- Dedicate time to internal project change management.

Key Findings N/A → FY2020 Q3 →

Previous Recommendations	Progress

FY2020 Q3's Recommendations

Plan Viability | Project Delivery Practices
11. Post-Implementation

Best Practices

- Plans for post-implementation to commence in advance of go-live.
- For iterative deployment to production, post-implementation plans are also incremental.
- Ensure adequate business and technology training for end users.
- Establish and schedule Post Implementation Review process.
- Assessing the quality of deliverables, benefits realization, and organizational impact.

Key Findings N/A → FY2020 Q3 →

Previous Recommendations	Progress

FY2020 Q3's Recommendations

Plan Viability | Project Delivery Practices

12. Project Governance

Best Practices
<ul style="list-style-type: none"> Obtain buy-in and input early in project planning. Establish governance entities as needed: A right-sized PMO as support and oversight for all PM activities, a Steering Committee, a Change Control Board, and a Solution Architecture Group. Schedule and hold value-added meetings with above stakeholders. Develop and implement standard templates and processes. Create and distribute regular program and project status updates. Capture and distribute meeting minutes for formal meetings. Communicate variance analysis for schedule, budget, and effort. Document project successes for recognition and announcement.

Key Findings	N/A	→	FY2020 Q3	→

Previous Recommendations	Progress

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13. Financial Management

Best Practices
<ul style="list-style-type: none"> The project management environment adequately supports data gathering for financial reports. Financial standards and procedures have been established for the project and are being followed. Project expenditures can be tracked and compared with specific line items of the project budget. Plan out the invoicing schedule when dealing with multiple vendors, for example by staggering or aligning their deliverables and payments, depending on project funding and cash flow.

Key Findings	N/A	→	FY2020 Q3	→

Previous Recommendations	Progress

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14. Vendor Management

Best Practices

- Clearly define obligations of vendors and external contractors (terms, conditions, statement of work, requirements, standards, development milestones, acceptance criteria, delivery dates, etc.).
- Monitor adherence to all agreements.
- Determine if sub-contractors or other external sources of project staff in project development are needed.
- Ensure subcontractor have the required skills, personnel, plans, resources, procedures and standards to meet their commitment.
- Ensure that proprietary tools used by subcontractors do not restrict the future maintainability, portability, and reusability of the system.
- Track and review prime and subcontractor performance and results.

Key Findings

N/A



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15. Schedule Management

Best Practices

- Create a high-level schedule that clearly identified the major milestones and the dependencies between work components.
- Create a detailed work breakdown structure that includes all the work required to complete the project requirements.
- Regularly review the schedule to track actual versus baselined.
- A critical path analysis has been performed on the project schedule to identify activities on the critical path.
- Update schedule to reflect any changes with project interdependencies / dependencies.

Key Findings

N/A



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16. Scope Management

Best Practices <ul style="list-style-type: none"> Document the project scope, including both in-scope and out-of-scope items. All in-scope deliverables are identified and reflected in the project plan. Project requirements have been clearly documented and are reviewed with the project team and the customer on a regular basis. Change control procedures have been defined and documented for managing changes to the project plan. Approved changes to the baselined project plan are communicated to the project team and the customer. 		Key Findings <table border="1"> <tr> <td>N/A</td> <td>→</td> <td>FY2020 Q3</td> <td>→</td> </tr> </table>	N/A	→	FY2020 Q3	→										
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17. Risk Management

Best Practices <ul style="list-style-type: none"> Clear responsibility for risk management is assigned. Clear process for raising risks is established. Risks are documented and evaluated for probability and impact. Distinguish between risks and issues. Assign issues for resolution with realistic dates. Track relevant risk mitigation plans and issue resolution plans. Establish regular risk and issue reviews. Track specific team risks as well as overall project level risks. 		Key Findings <table border="1"> <tr> <td>N/A</td> <td>→</td> <td>FY2020 Q3</td> <td>→</td> </tr> </table>	N/A	→	FY2020 Q3	→										
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Previous Recommendations	Progress															

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18. Resource Management

Best Practices
<ul style="list-style-type: none"> • Delegate responsibility for project objectives and success factors based on work expertise and workload. • Establish clear tasks and activities for each project team member so they know what needs to be accomplished. • An organizational breakdown structure has been created to show lines of responsibility. • Estimates for business resources are planned and documented. • Review and maintain a stakeholder register to identify which stakeholders to communicate with.

Key Findings	N/A	→	FY2020 Q3	→

Previous Recommendations	Progress

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19. Communication Management

Best Practices
<ul style="list-style-type: none"> • Actively follow through with an established communications plan. • Project status review meetings are held regularly with IT leadership and relevant business stakeholders. • Variance analysis for schedule, budget, and effort is communicated on a regular basis. • Follow through with communication protocol on how information is transmitted. The protocol should include who is responsible for maintaining and monitoring stakeholder communication, and the frequency and format of the communication plan.

Key Findings	N/A	→	FY2020 Q3	→

Previous Recommendations	Progress

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20. Document and Deliverable Management

Best Practices
<ul style="list-style-type: none">• Agreed upon document templates, naming conventions, and document sharing procedures used by all stakeholders.• A secure single repository is used to store and organize project documentation, ensuring that documents are findable. This source is accessible to all relevant project stakeholders.• Draft deliverables are provided with adequate time for review prior to being issued as final.• Quality control and acceptance processes apply to deliverables as needed. Finance must be involved in these processes where deliverables are tied to payment milestones.

Key Findings	N/A	FY2020 Q3	➔

Previous Recommendations	Progress

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Appendix C: List of Interviewed Stakeholders

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