

**SUBMITTAL TO THE BOARD OF SUPERVISORS  
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

866



**FROM:** Department of Public Social Services

**SUBMITTAL DATE:**  
September 13, 2011

**SUBJECT:** Agreement with First Data Government Solutions, L.P., Inc to provide Independent Verification and Validation Services as other than lowest bidder

**RECOMMENDED MOTION:** That the Board of Supervisors:

1. Approve and authorize the Chairman of the Board to sign the attached Agreement # AA-02187 with First Data Government Solutions, LP for the period of date of execution - September 30, 2012 for an amount not to exceed \$ 392,400.
2. Authorize the Director of the Department of Public Social Services (DPSS) to administer the contract.
3. Authorize the Purchasing Agent, in accordance with Ordinance No. 459, to exercise the renewal option, based on the availability of fiscal funding, and to sign amendments that do not change the substantive terms of the agreement, including amendment to the compensation provision that do not exceed the annual CPI rates.

*Susan Loew*

Susan Loew, Director

<b>FINANCIAL DATA</b>	Current F.Y. Total Cost:	\$ 392,400	In Current Year Budget:	Yes
	Current F.Y. Net County Cost:	\$ 0	Budget Adjustment:	No
	Annual Net County Cost:	\$ 0	For Fiscal Year:	11-12

<b>SOURCE OF FUNDS:</b> Federal Funding: 55.34% State Funding: 35.25%; County Funding: 9.41%	<b>Positions To Be Deleted Per A-30</b>	<input type="checkbox"/>
	<b>Requires 4/5 Vote</b>	<input type="checkbox"/>

**C.E.O. RECOMMENDATION:** APPROVE

BY: *Debra Cournoyer*  
Debra Cournoyer

**County Executive Office Signature**

**MINUTES OF THE BOARD OF SUPERVISORS**

On motion of Supervisor Buster, seconded by Supervisor Benoit and duly carried, IT WAS ORDERED that the above matter is approved as recommended.

Ayes: Buster, Tavaglione, Benoit and Ashley  
Nays: None  
Absent: Stone  
Date: September 13, 2011  
xc: DPSS, Purchasing

Kecia Harper-Ihem  
Clerk of the Board

By: *[Signature]*  
Deputy

Prev. Agn. Ref.: District: All Agenda Number:

3.71

**ATTACHMENTS FILED  
WITH THE CLERK OF THE BOARD**

FORM APPROVED BY COUNTY COUNSEL  
 BY: *[Signature]* DATE: \_\_\_\_\_  
 NEAL R. KIPNIS  
 Purchasing: *[Signature]* Mark Seiler, Assistant Director  
 Departmental Concurrence  
 Dep't Recomm.:  Consent  
 Per Exec. Ofc.:  Policy

**BACKGROUND:**

The DPSS Information Technology Department Integration and Conversion Project from Novell to Microsoft is a complex project currently in the early implementation phase that will save DPSS money and resources in the long-term by updating out-dated systems and software to current standards.

DPSS is a large department with a complex infrastructure which currently has multiple primary systems for end-user programs. In order to ensure that the project investment will yield the most cost-effective and efficient results, it was deemed necessary by DPSS Management to request Independent Verification and Validation (IV & V) services to assess the implementation products and services and their alignment with the business needs of the department. IV & V uses established best practice standards (PMBOK, IEEE) and independence to review metrics, schedule and resource allocation to assure quality and alignment with overall goals of DPSS. The nature of IV&V requires a level of expertise with both software and hardware products and processes that does not exist within DPSS or RCIT; it also requires the validation be performed by a disinterested third party. A Request for Proposal (RFP DPARC-222) was developed to solicit IV & V Services in May 2011.

**PRICE REASONABLENESS:**

Purchasing released a Request for Proposal DPARC-222, mailing and e-mailing solicitations to over 100 companies and advertising on the County's Internet. Four (4) responses were received, with proposals submitted by four (4) vendors. After careful review, one (1) proposal was determined to be non-responsive.

The proposals were reviewed by an evaluation team consisting of personnel from Purchasing, DPSS and Riverside County IT. The evaluation team thoroughly reviewed and scored each proposal based on the bidder's overall responsiveness to the requirements of the scope of service, description of services, credentials and licenses, references and the overall cost. A Best and Final Offer (BAFO #1) was issued to the two bidders with the highest scores and an in-person interview was conducted with representatives of their respective companies. First Data lowered their proposed cost by approximately 10% in response to BAFO #1. The evaluators were then given the opportunity to rescore the proposals. BAFO #2 was issued at the request of the evaluators with final clarifying questions. First Data was selected as the most responsive/responsible vendor, submitting a final deliverables-based, fixed rate cost of \$392,400.

IV & V is a highly technical process requiring project management and communication skills in addition to extensive knowledge of and experience with IT products and services. The technical scores of First Data were consistently 10-30% higher than the lowest bidder. The evaluators considered these factors in addition to lowest cost and determined that the other than lowest bidder, First Data, demonstrated more extensive experience with Government and social service entities, including familiarity with Riverside County DPSS' C-IV system and programs. The two other responsive bidder's fees were \$351,334 and \$890,013.

The evaluation committee recommends that the Board approve the award be given to First Data, as the most responsive/responsible vendor with the annual amount of \$392,400.

RE: Agreement with First Data Government Solutions, LP, as other than lowest bidder  
September 13, 2011  
Page 3

**FINANCIAL:**

The funds have been budgeted in the FY 2011/12 budget, no adjustment is necessary. The distribution of funding is the following: 9.41% General Fund, 35.25% State Funds, and 55.34% Federal Funds.

**ATTACHMENT(S):**

Technology Purchase Information Form, signed 7/27/11  
Agreement # AA-02187 (3 copies)

**CONCUR/EXECUTE – County Counsel/County Purchasing**

SL:rkp



TECHNOLOGY PURCHASE INFORMATION FORM

(To be completed for purchases of IT systems or services that exceed \$100,000 and purchases of new IT systems or services that will impact multiple departments)

PROJECT NAME: INDEPENDENT VERIFICATION & VALIDATION SERVICES (IV&V)		DEPARTMENT/AGENCY: DEPARTMENT OF PUBLIC SOCIAL SERVICES (DPSS)																													
BUSINESS SPONSOR: PAT REYNOLDS		EST COMPLETION DATE: 6/30/12																													
<b>EXECUTIVE OVERVIEW</b>																															
PROJECT OBJECTIVES	DPSS-IT is making major technology purchases and upgrades to its internal platform to bring it up to date with the County standard operating system. The IV&V services was requested by executive management to validate the project course and technology purchases, and verify independently whether the course we have mapped is a valid solution for the organization.																														
BUSINESS PROBLEM & OPPORTUNITY	With the amount of funds being spent, DPSS needs to make sure the solution is valid. This service will help DPSS streamline the migration project and make sure our course is on target and on budget. Migration to this platform will save DPSS cost compared to its present platform.																														
<b>BUSINESS CASE ANALYSIS</b>																															
PROPOSED SOLUTION	DPSS requests to have Independent Verification and Validation Services which will bring an independent view of the project charter and show any potential issues which can be solved while in process of the migration.																														
<b>BUSINESS CRITICALITY</b> <input checked="" type="checkbox"/> Run the business <input type="checkbox"/> Grow the business <input type="checkbox"/> Transform the business		<b>BUSINESS IMPACT (SELECT ALL THAT APPLY)</b> <input checked="" type="checkbox"/> Reduce Expenses <input checked="" type="checkbox"/> Improve Customer Service <input checked="" type="checkbox"/> Improve Operational Efficiencies <input type="checkbox"/> Improve Employee Satisfaction <input type="checkbox"/> Expand Market Share																													
BUSINESS RISKS	Financial: Delay of migration and/or lack of verification of plan will increase cost through lack of efficiency and duplication of systems and equipment  Operational: System downtime; possible loss of data or functionality  Customer: End-user training on new systems needed																														
ALTERNATIVE SOLUTIONS	1. use the current plan for migration to a new platform 2.																														
<b>PROJECT IMPLEMENTATION</b>		<b>COST BENEFIT ANALYSIS</b>																													
COST Hardware: Software: Labor: \$300,000-450,000 TOTAL COST: < \$450,000		<table border="1"> <thead> <tr> <th></th> <th>ALTERNATIVE STATUS QUO</th> <th>ALTERNATIVE</th> <th>ALTERNATIVE</th> </tr> </thead> <tbody> <tr> <td>Current Annual Cost</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Ongoing Annual Cost</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Annual Cost Savings</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Net Annual Savings</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Project Implementation Cost</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Project Payback Period? yrs</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>			ALTERNATIVE STATUS QUO	ALTERNATIVE	ALTERNATIVE	Current Annual Cost				Ongoing Annual Cost				Annual Cost Savings				Net Annual Savings				Project Implementation Cost				Project Payback Period? yrs			
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PREPARED BY: RENEE POSELSKI, DPSS CAU		TELEPHONE: 86844																													

County of Riverside | Confidential  
 Purchasing: *[Signature]*  
 Mark Seller, Assistant Director

Conan Nally 1/10  
 1/23/11

**Riverside County Department of Public Social Services**  
Contracts Administration Unit  
10281 Kidd Street  
Riverside, CA 92503


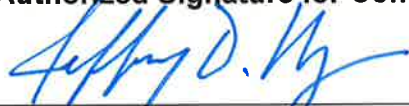
SERVICES CONTRACT: AA-02187  
CONTRACTOR: First Data Government Solutions, LP  
CONTRACT TERM: Upon execution through September 30, 2012  
MAXIMUM REIMBURSABLE AMOUNT: \$392,400

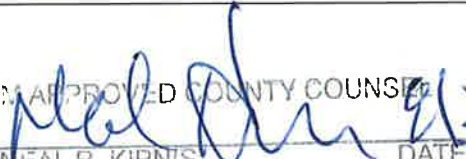

**WHEREAS**, the Department of Public Social Services hereinafter referred to as DPSS, desires to contract for Independent Verification and Validation Services;

**WHEREAS**, First Data Government Solutions, LP is qualified to provide Independent Verification and Validation services:

**WHEREAS**, DPSS desires First Data Government Solutions, LP, hereinafter referred to as the Contractor, to perform these services in accordance with the TERMS and CONDITIONS (T&C) attached hereto and incorporated herein by this reference. The T&C specify the responsibilities of DPSS and the Contractor;

**NOW THEREFORE**, DPSS and the Contractor do hereby covenant and agree that the Contractor shall provide said services in return for monetary compensation, all in accordance with the terms and conditions contained herein of this Contract.

<b>Authorized Signature for County:</b> 	<b>Authorized Signature for Contractor:</b> 
Printed Name of Person Signing: Bob Buster	Printed Name of Person Signing: Jeffery D. Myers
Title: Chairman, Board of Supervisors	Title: Senior Vice President & General Manager
Address: 4080 Lemon Street Riverside, CA 92501	Address: 5565 Glenridge Connector NE, Suite 1600 Atlanta, GA 30342
Date Signed:  SEP 13 2011	Date Signed:

FORM APPROVED COUNTY COUNSEL BY:  DATE: 9/30/11  
ATTEST:  KECIA HARPER-IHEM, Clerk  
DEPUTY

SEP 13 2011 3:71

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## CONTRACT TERMS AND CONDITIONS

### I. DEFINITIONS

- A. "DPSS" refers to the County of Riverside and its Department of Public Social Services, which has administrative responsibility for this Contract.
- B. "COUNTY" refers to the County of Riverside and its Department of Public Social Services. "DPSS" and "COUNTY" may be used interchangeably.
- C. "Contractor" is any employee, agent or representative of the contract company used in conjunction with the performance of the contract.
- D. "IT" refers to Information Technology.
- E. "IV&V" refers to Independent Verification and Validation Services.
- F. "IT Project" refers to the Information Technology Department Integration and Conversion Project from Novell to Microsoft (MS).

### II. PROJECT OBJECTIVES

Ensure that services provided result in positive outcomes for the following program objectives:

- A. To facilitate early detection and correction of process, cost and schedule variances;
- B. To provide management with insight into process and product risk;
- C. To support project life cycle processes to ensure compliance with regulatory, performance, schedule and budget requirements;
- D. To validate the IT project's product and processes to ensure compliance with defined requirements.

### III. PROJECT DELIVERABLES

All deliverables will be reviewed and accepted by the assigned County Project Manager. The deliverables are listed in the following table. Exhibit A, "Independent Verification and Validation (IV&V) Management Plan", provides the complete description for each deliverable and by this reference is hereby incorporated herein and referenced by section and page in the following table:

Independent Verification and Validation (IV&V) Management Plan, DPSS/IV&V	
DPSS Management	
Deliverable	Acceptance Criteria
1. Preliminary Assessment of DPSS Integration and Conversion Project.	This deliverable will be completed within 30 calendar days of IV&V Project initiation and will include all elements as identified in Exhibit A, section 6.2, page 36.
2. Finalized IV & V Management Plan	This deliverable will be considered complete upon review and approval of the Finalized IV&V Management Plan by DPSS' Executive Management and other stakeholders, as defined by DPSS. Upon approval, the Finalized IV & V Management Plan will supersede Exhibit A as the IV & V Project Plan. Reference: Exhibit A, section 6.2.3, page 40.

B. Milestone #2 - Monthly Progress Monitoring and Meetings with DPSS Management		
	Deliverable	Acceptance Criteria
1.	Assess progress and provide written Monthly Status Reports	This deliverable will be considered complete upon review and approval of the Monthly Summary as presented to DPSS Management by the 5 <sup>th</sup> business day of each month. Reference: Exhibit A, section 6.3.1, page 40.
2.	DPSS Management briefings	Meet with DPSS Management once per to review progress and discuss recommendations. Reference: Exhibit A, section 6.3.2, page 42.
C. Milestone #3 - Independent Verification & Validation Project Summary Report		
	Deliverable	Acceptance Criteria
1.	IV & V Summary Report and final meeting with DPSS Management to review and discuss recommendations	This deliverable will be considered complete upon review and approval by DPSS Management. Reference: Exhibit A, section 6.4.1, page 44, for elements to be included in the Summary Report.

#### IV. ACCEPTANCE OF DELIVERABLES

- A. The County shall have a period of ten (10) business days to determine the acceptability of a Deliverable provided by Contractor hereunder (the "Acceptance Period"). The Contractor will notify the County in writing of the completion of the Deliverable, using the Deliverable Sign-Off Document (Exhibit B). The Contractor agrees that the Acceptance Period for a Deliverable shall begin when Contractor receives from the assigned County Project Manager a written receipt for such Deliverable. At any time within the Acceptance Period, the County shall:
1. Provide to the Contractor a signed copy of the Deliverable Acceptance Sign-Off Document or;
  2. Provide written notice of Non Acceptance with reasonable written comments to Contractor regarding the deficiencies of the Deliverable(s). If changes or modifications are required by the County as evidenced by the Non Acceptance notification, Contractor shall have ten (10) business days to correct the deficiency noted therein and resubmit the Deliverable to the County beginning a new Acceptance Period. This process shall not exceed two cycles.
- B. All Deliverables will be delivered both electronically and in paper form to the County in English, unless otherwise specified in the Statement of Work. The County will deliver to Contractor all documents, studies, and materials in English, unless otherwise specified in the Statement of Work. All electronic documents will use the Microsoft suite of products, including, but not limited to Word, Excel, PowerPoint, Project, and Visio Pro. Signature pages may be delivered using Adobe PDF.
- C. The County will be deemed to have accepted the Deliverable(s) upon occurrence of either of the following ("Acceptance"):
1. The County submits to the Contractor the Deliverable Sign-Off Document, or;
  2. The County fails to notify Contractor within the Notice Period described above.

#### V. CHANGE ORDERS

Either party may propose a change order to this Agreement. Change orders affecting this agreement will not be effective until reviewed and approved in writing by Contractor and the County and made part of the



Agreement as an addendum. Change orders will be requested using the Change Order Document (Exhibit C). Contractor will submit to the County an analysis of how the County's proposed changes will affect the current work in terms of schedule and cost estimates. The County will be under no obligation to accept the cost estimates for the proposed changes. However, if the parties agree to any proposed changes, such changes shall become binding on the parties only through an Amendment to this Agreement signed by both parties. In no event shall Contractor be required to perform additional work under this Agreement, or the County is required to pay for additional work performed under this Agreement without prior written authorization in accordance with this paragraph.

## **VI. DPSS RESPONSIBILITIES**

- A. DPSS will assign DPSS staff to be responsible for the following roles and responsibilities:
  - 1. Project Manager responsible for:
    - a. Overall planning in coordination with the Contractor project manager.
    - b. Managing day-to-day project.
  - 2. Subject Matter Experts responsible for providing Riverside County business expertise as requested.
- B. DPSS may monitor the performance of the Contractor in meeting the terms, conditions and services in this Contract. DPSS, at its sole discretion, may monitor the performance of the Contractor through any combination of the following methods: periodic on-site visits, annual inspections, evaluations and Contractor self-monitoring.
- C. DPSS will be responsible for scheduling, availability, quality and timeliness of work its resources perform.
- D. DPSS will provide the environment, equipment, access to resources, and certain activities required to facilitate Contractor's ability to deliver these requirements. These responsibilities include the following:
  - 1. Access to the County information and resources;
  - 2. Security access badges and clearance for appropriate access to the County facilities where Contractor will be expected to work on this project.

## **VII. CONTRACTOR RESPONSIBILITIES**

- A. SCOPE OF SERVICE (Refer to Exhibit A for Scope of Service Detail)
  - 1. Contractor shall provide personnel to fulfill the following roles and responsibilities:
    - a. Project Manager responsible for:
      - (i) Overall planning in coordination with the DPSS project manager.
      - (ii) Managing day-to-day project.
    - b. Technical Lead responsible for providing expertise.
    - c. Technical Analyst responsible for day-to-day operations.
  - 2. The Contractor shall use its best efforts to ensure that personnel are not removed or reassigned during the term of the contract. Should the Contractor be required to change personnel identified in paragraph VII.A.1, the Contractor will notify the County at least two (2) weeks prior to the change.
  - 3. The contractor shall perform the tasks and deliverables listed in paragraph II "Project Objectives" and paragraph III "Project Deliverables."
- B. FISCAL
  - 1. MAXIMUM REIMBURSABLE AMOUNT  
Total payment under this Contract shall not exceed \$392,400.
  - 2. METHOD, TIME AND SCHEDULE CONDITIONS OF PAYMENT
    - a. The Contractor will be paid the actual amount of the invoice for payment as outlined in the Milestone Payment Schedule (Exhibit C) that is accompanied by a Deliverable Sign-Off Document signed by the County for each required deliverable. If the required supporting

documentation is not provided, DPSS may delay payment until documentation is received by DPSS.

- b. The Contractor shall submit DPSS Forms 2076A (Exhibit D) following the instructions set forth on the "Instructions for Form 2076A." Exhibit D is attached hereto and incorporated herein by this reference for request of all payments.
- c. All completed claims must be submitted on a monthly basis no later than 30 days after the end of each month in which the services were provided. All complete claims submitted in a timely manner shall be processed within forty-five (45) calendar days.

#### C. FINANCIAL RESOURCES

The Contractor warrants that during the term of this Contract, the Contractor shall retain sufficient financial resources necessary to perform all aspects of its obligations, as described under this Contract. Further, the Contractor warrants that there has been no adverse material change in the Contractor, Parent, or Subsidiary business entities, resulting in negative impact to the financial condition and circumstances of the Contractor since the date of the most recent financial statements.

#### D. RECORDS, INSPECTIONS AND AUDITS

CONTRACTOR shall make available, upon written request by any duly authorized Federal, State or COUNTY agency, a copy of this Agreement and such books, documents and records as are necessary to certify the nature and extent of the CONTRACTOR's costs related to this Agreement. All such books, documents and records shall be maintained by CONTRACTOR for at least five years following termination of this Agreement and be available for audit by the COUNTY. CONTRACTOR shall provide to the COUNTY reports and information related to this Agreement as requested by COUNTY.

#### E. SUPPLANTATION

The Contractor shall not supplant any federal, state, or county funds intended for the purpose of this Contract with any funds made available under any other Contract. The Contractor shall not claim reimbursement from DPSS for, or apply any sums received from DPSS, with respect to the portion of its obligations, which have been paid by another source of revenue. The Contractor agrees that it will not use funds received pursuant to this Contract, either directly or indirectly, as a contribution or compensation for purposes of obtaining state funds under any state program or county funds under any county programs without prior approval of DPSS.

#### F. DISALLOWANCE

In the event the Contractor receives payment for services under this Contract which is later disallowed for nonconformance with the terms and conditions herein by DPSS, the Contractor shall promptly refund the disallowed amount to DPSS on request, or at its option, DPSS may offset the amount disallowed from any payment due to the Contractor under any contract with DPSS.

#### G. CONFLICT OF INTEREST

The Contractor, Contractor's employees, and agents shall have no interest, and shall not acquire any interest, direct or indirect, which shall conflict in any manner or degree with the performance of services required under this Contract.

#### H. CONFIDENTIALITY

1. The CONTRACTOR shall not use for personal gain or make other unauthorized use of privileged or confidential information which is acquired in connection with this Agreement. The term "privileged or confidential information" includes but is not limited to: unpublished or sensitive technological or scientific information; medical, personnel, or security records; anticipated material requirements or pricing/purchasing actions; COUNTY information or data which is not subject to public disclosure; COUNTY operational procedures; and knowledge of selection of contractors, subcontractors or suppliers in advance of official announcement.

2. The CONTRACTOR shall protect from unauthorized disclosure names and other identifying information concerning persons receiving services pursuant to this Agreement, except for general statistical information not identifying any person. The CONTRACTOR shall not use such information for any purpose other than carrying out the CONTRACTOR's obligations under this Agreement. The CONTRACTOR shall not disclose, except as otherwise specifically permitted by this Agreement or authorized in advance in writing by the COUNTY, any such information to anyone other than the COUNTY; provided, however, that CONTRACTOR may disclose information to CONTRACTOR's employees, affiliates, agents, advisors or subcontractors who may access and use the confidential information in connection with providing the services under this Agreement. CONTRACTOR's employees, affiliates, agents, advisors or subcontractors with access to the COUNTY's confidential information will be informed of the proprietary nature thereof and of the obligations to comply with the confidentiality provisions of this Contract.
3. The CONTRACTOR is subject to and shall operate in compliance with all relevant requirements contained in the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-191, enacted August 21, 1996, and the related laws and regulations promulgated subsequent thereto.

#### I. EMPLOYMENT PRACTICES

1. The Contractor shall not discriminate in its recruiting, hiring, promoting, demoting, or terminating practices on the basis of race, religious creed, color, national origin, ancestry, physical handicap, medical condition, marital status, age, or sex in the performance of this Contract, and to the extent they shall apply, with the provisions of the Fair Employment and Housing Act (FEHA), and the Federal Civil Rights Act of 1964 (P. L. 88-352).
2. In the provision of benefits, the Contractor shall certify and comply with Public Contract Code 10295.3, to not discriminate between employees with spouses and employees with domestic partners, or discriminate between the domestic partners and spouses of those employees.
3. For the purpose of this section Domestic Partner means one of two persons who have filed a declaration of domestic partnership with the Secretary of State pursuant to Division 2.5 (commencing with Section 297) of the Family Code.

#### J. CLIENT CIVIL RIGHTS COMPLIANCE

The Contractor assures it will comply with applicable provisions of Title VI of the Civil Rights Act of 1964 as amended; Section 504 of the Rehabilitation Act of 1973, as amended; the Age Discrimination Act of 1975 as amended; the Food Stamp Act of 1977, as amended, and in particular Section 272.6; Title II of the Americans with Disabilities Act of 1990; Government Code (GC) Section 11135, as amended; California Code of Regulations (CCR) Title 22 Section 98000-98413; Title 24 of the California Code of Regulations, Section 3105A(e); the Dymally-Alatorre Bilingual Services Act; Section 1808 Removal of Barriers to Inter Ethnic Adoption Act of 1996 and other applicable federal and state laws, as well as their implementing regulations [including 45 Code of Federal Regulations (CFR) Parts 80, 84, and 91, 7 CFR Part 15, and 28 CFR Part 42], by ensuring that employment practices and the administration of public assistance and social services programs are nondiscriminatory, to the effect that no person shall because of race, color, national origin, political affiliation, religion, marital status, sex, age, or disability be excluded from participation in or be denied the benefits of, or be otherwise subject to discrimination under any program or activity receiving federal or state assistance; and give assurance it will immediately take any measures necessary to effectuate this agreement.

This assurance is given in consideration of and for the purpose of obtaining any and all federal and state assistance; and the Contractor gives assurance that administrative methods/procedures which have the effect of subjecting individuals to discrimination or defeating the objectives of the California Department of Social Services (CDSS) Manual of Policies and Procedures (MPP) Chapter 21, will be prohibited.

By accepting this assurance the contractor agrees to compile data, maintain records, and submit reports as required by applicable laws to permit effective enforcement of the aforementioned laws, rules and regulations and permit authorized CDSS and/or federal government personnel, during normal working hours, to review such records, books and accounts as needed to ascertain compliance. If there are any violations of this assurance, CDSS shall have the right to invoke fiscal sanctions or other legal remedies in accordance with Welfare and Institutions Code Section 10605, or Government Code Section 11135-39, or any other laws, or the issue may be referred to the appropriate federal agency for further compliance action and enforcement of this assurance.

This assurance is binding on the Contractor directly or through contract, license, or other provider services, as long as it receives federal or state assistance.

#### K. EQUAL EMPLOYMENT OPPORTUNITY

By signing this agreement or accepting funds under this agreement, the contractor shall comply with Executive Order 11246 of September 24, 1965, entitled " Equal Employment Opportunity", as amended by Department of Labor regulations (41 CFR Chapter 60).

#### L. HOLD HARMLESS/INDEMNIFICATION

Contractor shall indemnify and hold harmless the County of Riverside, its Agencies, Districts, Special Districts and Departments, their respective directors, officers, Board of Supervisors, elected and appointed officials, employees, agents and representatives (individually and collectively hereinafter referred to as Indemnitees) from any liability whatsoever, based or asserted upon any services of Contractor, its officers, employees, subcontractors, agents or representatives to the extent arising out of Contractor's negligent or intentional performance of this Contract, including but not limited to property damage, bodily injury, or death or any other element of any kind or nature whatsoever arising from the negligent or intentional performance of Contractor, its officers, employees, subcontractors, agents or representatives Indemnitors from this Contract. Contractor shall defend, at its sole expense, all costs and fees including, but not limited, to reasonable attorney fees, cost of investigation, defense and settlements or awards, the Indemnitees in any claim or action based upon such alleged acts or omissions.

With respect to any action or claim subject to indemnification herein by Contractor, Contractor shall, at their sole cost, have the right to use counsel of their own choice and shall have the right to adjust, settle, or compromise any such action or claim without the prior consent of COUNTY; provided, however, that any such adjustment, settlement or compromise in no manner whatsoever limits or circumscribes Contractor's indemnification to Indemnitees as set forth herein.

Contractor's obligation hereunder shall be satisfied when Contractor has provided to COUNTY the appropriate form of dismissal relieving COUNTY from any liability for the action or claim involved. The specified insurance limits required in this Contract shall in no way limit or circumscribe Contractor's obligations to indemnify and hold harmless the Indemnitees herein from third party claims.

#### M. INSURANCE

1. Without limiting or diminishing the Contractor's obligation to indemnify or hold the COUNTY harmless, Contractor shall procure and maintain or cause to be maintained, at its sole cost and expense, the following insurance coverages during the term of this Contract.

##### (a) Worker's Compensation:

If the Contractor has employees as defined by the State of California, the Contractor shall maintain statutory Worker's Compensation Insurance (Coverage A) as prescribed by the laws of the State of California. Policy shall include Employers' Liability (Coverage B) including Occupational Disease with limits not less than \$1,000,000 per person per accident. The policy shall be endorsed to waive subrogation in favor of The County of Riverside, and, if applicable, to provide a Borrowed Servant/Alternate Employer Endorsement.

(b) **Commercial General Liability:**

Commercial General Liability insurance coverage, including but not limited to, premises liability, contractual liability, products and completed operations liability, personal and advertising injury, and cross liability coverage, covering claims which may arise from or out of Contractor's performance of its obligations hereunder. Policy shall name the County of Riverside, its Agencies, Districts, Special Districts, and Departments, their respective directors, officers, Board of Supervisors, employees, elected or appointed officials, agents or representatives as Additional Insureds. Policy's limit of liability shall not be less than \$1,000,000 per occurrence combined single limit. If such insurance contains a general aggregate limit, it shall apply separately to this Contract or be no less than two (2) times the occurrence limit.

(c) **Vehicle Liability:**

If vehicles or mobile equipment are used in the performance of the obligations under this Contract, then Contractor shall maintain liability insurance for all owned, non-owned or hired vehicles so used in an amount not less than \$1,000,000 per occurrence combined single limit. If such insurance contains a general aggregate limit, it shall apply separately to this Contract or be no less than two (2) times the occurrence limit. Policy shall name the County of Riverside, its Agencies, Districts, Special Districts, and Departments, their respective directors, officers, Board of Supervisors, employees, elected or appointed officials, agents or representatives as Additional Insured(s).

(d) **Professional Liability**

If, at any time during the duration of this Agreement and any renewal or extension thereof, the Contractor, its employees, agents or subcontractors provide professional counseling for issues of medical diagnosis, medical treatment, mental health, dispute resolution or any other services for which it is the usual and customary practice to maintain Professional Liability Insurance, the Contractor shall procure and maintain Professional Liability Insurance (Errors & Omissions), providing coverage for performance of work included within this Agreement, with a limit of liability of not less than \$1,000,000 per occurrence and \$2,000,000 annual aggregate. If Contractor's Professional Liability Insurance is written on a claims made basis rather than an occurrence basis, such insurance shall continue through the term of this Agreement. Upon termination of this Agreement or the expiration or cancellation of the claims made insurance policy Contractor shall purchase at his sole expense either 1) an Extended Reporting Endorsement (also known as Tail Coverage); or, 2) Prior Dates Coverage from a new insurer with a retroactive date back to the date of, or prior to, the inception of this Agreement; or, 3) demonstrate through Certificates of Insurance that Contractor has maintained continuous coverage with the same or original insurer. Coverage provided under items 1), 2) or 3) will continue for a period of five (5) years beyond the termination of this Agreement.

2. **General Insurance Provisions – All lines:**

(a) Any insurance carrier providing insurance coverage hereunder shall be admitted to the State of California and have an A M BEST rating of not less than A: VIII (A:8) unless such requirements are waived, in writing, by the County Risk Manager. If the County's Risk Manager waives a requirement for a particular insurer such waiver is only valid for that specific insurer and only for one policy term.

(b) The Contractor's insurance carrier(s) must declare its insurance self-insured retentions. If such self-insured retentions exceed \$500,000 per occurrence such retentions shall have the prior written consent of the County Risk Manager before the commencement of operations under this Contract. Upon notification of self insured retention unacceptable to the COUNTY, and at the election of the Country's Risk Manager, Contractor's carriers shall either; 1) reduce or eliminate such self-insured retention as respects this Contract with the

COUNTY, or 2) procure a bond which guarantees payment of losses and related investigations, claims administration, and defense costs and expenses.

- (c) Contractor shall cause Contractor's insurance carrier(s) to furnish the County of Riverside with either 1) a properly executed original Certificate(s) of Insurance and certified original copies of Endorsements effecting coverage as required herein, and 2) if requested to do so orally or in writing by the County Risk Manager, provide original Certified copies of policies including all Endorsements and all attachments thereto, showing such insurance is in full force and effect. Further, said Certificate(s) and policies of insurance shall contain the covenant of the insurance carrier(s) that thirty (30) days written notice shall be given to the County of Riverside prior to any material modification, cancellation, expiration or reduction in coverage of such insurance. In the event of a material modification, cancellation, expiration, or reduction in coverage, this Contract shall terminate forthwith, unless the County of Riverside receives, prior to such effective date, another properly executed original Certificate of Insurance and original copies of endorsements or certified original policies, including all endorsements and attachments thereto evidencing coverages set forth herein and the insurance required herein is in full force and effect. Contractor shall not commence operations until the COUNTY has been furnished original Certificate(s) of Insurance and certified original copies of endorsements and if requested, certified original policies of insurance including all endorsements and any and all other attachments as required in this Section. An individual authorized by the insurance carrier to do so on it's behalf shall sign the original endorsements for each policy and the Certificate of Insurance.
- (d) It is understood and agreed to by the parties hereto that the Contractor's insurance shall be construed as primary insurance, and the COUNTY'S insurance and/or deductibles and/or self-insured retentions or self-insured programs shall not be construed as contributory.
- (e) If, during the term of this Contract or any extension thereof, there is a material change in the scope of services; or, there is a material change in the equipment to be used in the performance of the scope of work which will add additional exposures (such as the use of aircraft, watercraft, cranes, etc.); or, the term of this Contract, including any extensions thereof, exceeds five (5) years the COUNTY reserves the right to adjust the types of insurance required under this Contract and the monetary limits of liability for the insurance coverages currently required herein, if, in the County Risk Manager's reasonable judgment, the amount or type of insurance carried by the Contractor has become inadequate.
- (f) Contractor shall pass down the insurance obligations contained herein to all tiers of subcontractors working under this Contract.
- (g) The insurance requirements contained in this Contract may be met with a program(s) of self-insurance acceptable to the COUNTY.
- (h) Contractor agrees to notify COUNTY of any claim by a third party or any incident or event that may give rise to a claim arising from the performance of this Contract.

#### O. LICENSES AND PERMITS

In accordance with the provisions of the Business and Professions Code concerning the licensing of Contractors, all Contractors shall be licensed, if required, in accordance with the laws of this State and any Contractor not so licensed is subject to the penalties imposed by such laws.

The Contractor warrants that it has all necessary permits, approvals, certificates, waivers, and exemptions necessary for the provision of services hereunder and required by the laws and regulations of the United States, State of California, the County of Riverside and all other appropriate governmental agencies, and shall maintain these throughout the term of this Contract.

**P. INDEPENDENT CONTRACTOR**

It is understood and agreed that the Contractor is an independent contractor and that no relationship of employer-employee exists between the parties hereto. Contractor and/or Contractor's employees shall not be entitled to any benefits payable to employees of the County including, but not limited to, County Worker's Compensation benefits. County shall not be required to make any deductions for employees of Contractor from the compensation payable to Contractor under the provision of this Contract.

As an independent contractor, Contractor hereby holds County harmless from any and all claims that may be made against County based upon any contention by any third party that an employer-employee relationship exists by reason of this Contract. As part of the foregoing indemnity, the Contractor agrees to protect and defend at its own expense, including attorney's fees, the County, its officers, agents and employees in any legal action based upon any such alleged existence of an employer-employee relationship by reason of this Contract.

**Q. ASSIGNMENT**

The Contractor shall not assign any interest in this Contract, and shall not transfer any interest in the same, whether by assignment or novation, without the prior written consent of DPSS. Any attempt to assign or delegate any interest without written consent of DPSS shall be deemed void and of no force or effect.

**R. PERSONNEL**

As a material condition of this Agreement, the Contractor agrees that the Contractor and its employees, while performing services for DPSS:

1. Shall not be in any way impaired because of being under the influence of alcohol or drugs.
2. Shall not possess an open container of alcohol or consume alcohol or possess or be under the influence of an illegal drug.
3. Shall not sell, offer, or provide alcohol or an illegal drug to another person. This provision shall not be applicable to the Contractor or its employee who, as part of the performance of normal job duties and responsibilities, prescribes or administers medically prescribed drugs.
4. DPSS may terminate for default or breach of this Agreement, if the Contractor or its employees are determined by DPSS not to be in compliance with the conditions in this section.

**S. SUBCONTRACT FOR SERVICES**

No contract shall be made by the CONTRACTOR with any other party for furnishing any of the work or services under this Agreement without the prior written approval of the COUNTY; but this provision shall not require the approval of contracts of employment between the CONTRACTOR and personnel assigned under this Agreement, or for parties named in the proposal and agreed to under this Agreement.

**T. DEBARMENT AND SUSPENSION**

As a sub-grantee of federal funds under this Contract, the Contractor certifies that it, and its principals:

1. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from covered transactions by a federal department or agency.
2. Have not within a 3-year period preceding this Contract been convicted of or had a civil judgment rendered against them for the commission of fraud, or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction; violation of Federal or State anti-trust status or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

3. Are not presently indicated or otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in the paragraph above; and
4. Have not within a 3-year period preceding this Contract had one or more public transactions (Federal, State or local) terminated for cause or default.

**U. COMPLIANCE WITH RULES, REGULATIONS, REQUIREMENTS AND DIRECTIVES**

The Contractor shall comply with all rules, regulations, requirements, and directives of the California Department of Social Services, other applicable state agencies, and funding sources which impose duties and regulations upon DPSS, which are equally applicable and made binding upon the Contractor as though made with the Contractor directly.

**V. HEALTH INSURANCE PORTABILITY ACCOUNTABILITY ACT (HIPAA)**

The Contractor in this Agreement is subject to all relevant requirements contained in the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-191, enacted August 21, 1996, and the laws and regulations promulgated subsequent thereto. The Contractor hereto agrees to cooperate in accordance with the terms and intent of this Agreement for implementation of relevant law(s) and/or regulation(s) promulgated under this Law. The Contractor further agrees that it shall be in compliance, and shall remain in compliance with the requirements of HIPAA, and the laws and regulations promulgated subsequent hereto, as may be amended from time to time.

All social service privacy complaints should be referred to:

Department of Public Social Services  
HR/Administrative Compliance Services Unit  
10281 Kidd Street  
Riverside, CA 92503  
(951) 358-3030

**W. CERTIFICATION REGARDING LOBBYING**

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

1. No Federal appropriate funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, continuation, renewal, amendment, or modification of any Federal contract, grant loan or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Contractor shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The Contractor shall require that the language of this certification be included in the award document for sub-awards at all tiers (including subcontracts, sub-grants, and contract under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

**X. ENERGY CONSERVATION**

The Contractor shall comply with mandatory standards and policies relating to energy efficiency which are contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (P.L. 94-163, 89 Stat. 871).



**Y. ENVIRONMENTAL STANDARDS**

By signing this agreement or accepting funds under this agreement, the contractor assures that he/she will:

1. Comply with applicable provisions of the Clean Air Act (42 U.S.C. 7414) and Clean Water Act (33 U.S.C. 251, et seq.), as implemented by Executive Order 11738 (3 CFR, 1971-1975 Comp. P. 799) and Environmental Protection Agency (EPA) rules at 40 CFR Part 15. These requirements relate generally to inspection, monitoring, entry reports, and information, and with all regulations and guidelines issued thereunder. In accordance with the EPA rules, the contractor further agrees that it will:

- (a) Not use any facility on the EPA's List of Violating Facilities in performing any award that is nonexempt under 40 CFR 15.5, as long as the facility remains on the list.
- (b) The above paragraph of this section shall not apply to any armory, base, training site, or other facility or portion thereof, the operation and maintenance of which is funded under this agreement, that is currently listed as a violating facility, on the effective date of the agreement, pursuant to 40 CFR Part 15; nor, shall such listing be the basis for state's termination for cause of this agreement or for State's disallowance of any cost otherwise allowable under this agreement. The contractor agrees to cooperate to remediate, as expeditiously as possible, for any facility the operation and maintenance of which is within the scope of this contract, the condition giving rise to the listing of any such facility as violating facility according to applicable statutes, regulations, or other agreements subject to the availability of funds.

**Z. STATE ENERGY CONSERVATION PLAN**

The Contractor agrees to recognize the mandatory standards and policies relating to regulations, as required by the US Energy Policy and Conservation Act. (P.L. 94-165).

**VII. GENERAL**

**A. EFFECTIVE PERIOD**

This Contract is effective upon execution through September 30, 2012 with no options to renew.

**B. NOTICES**

All notices, claims, correspondence, and/or statements authorized or required by this Contract shall be addressed as follows:

**DPSS:**

Deliverables, Deliverable Sign-Offs, Change Orders, and other project related material:

Department of Public Social Services  
Attn: Keith Jones, ITO  
4060 County Circle Drive  
Riverside, CA 92503

Invoices and other financial documents:

Department of Public Social Services  
Fiscal/Management Reporting Unit  
4060 County Circle Drive  
Riverside, CA 92503

Contracts, insurance and other administrative documents:

Department of Public Social Services  
Contracts Administration Unit

10281 Kidd Street  
Riverside, CA 92503

**CONTRACTOR:**

First Data Government Solutions, LP  
Senior Vice President & General Manager  
5565 Glenridge Connector NE, Suite 1600  
Atlanta, GA 30342

All notices shall be deemed effective when they are made in writing, addressed as indicated above, and deposited in the United States mail. Any notices, correspondence, reports and/or statements authorized or required by this Contract, addressed in any other fashion will not be acceptable.

**C. AVAILABILITY OF FUNDING**

DPSS' obligation for payment of any Contract is contingent upon the availability of funds from which payment can be made.

**D. DISPUTES**

Except as otherwise provided in this Contract, any dispute concerning a question of fact arising under this Contract, which is not disposed by Contract, shall be disposed by DPSS which shall furnish the decision in writing. The decision of DPSS shall be final and conclusive until determined by a court of competent jurisdiction to have been fraudulent or capricious, arbitrary, or so grossly erroneous as necessarily to imply bad faith. The Contractor shall proceed diligently with the performance of the Contract pending DPSS' decision.

**E. SANCTIONS**

Failure by the Contractor to comply with any of the material provisions, covenants, requirements, or conditions of this Contract including, but not limited to, reporting and evaluation requirements, shall be a material breach of this Contract. In such event, COUNTY may immediately terminate this Contract with thirty (30) days notice to Contractor and a right to cure, and may take other remedies available by law, or otherwise specified in this Contract. COUNTY may also:

1. Terminate this Agreement without cause upon 30 days written notice served upon the CONTRACTOR stating the extent and effective date of termination; and/or
2. Upon five (5) days written notice, terminate this Agreement for CONTRACTOR's default, if CONTRACTOR refuses or fails to comply with the terms of this Agreement or fails to make progress so as to endanger performance and does not immediately cure such failure. In the event of such termination, the COUNTY may proceed with the work in any manner deemed proper by COUNTY; and/or
3. Withhold funds pending a cure of the breach; and/or
4. Offset against any monies billed by the Contractor but yet unpaid by DPSS. DPSS shall give the Contractor notice of any action pursuant to this paragraph, the notice of which shall be effective when given.

**F. GOVERNING LAW**

This Contract shall be construed and interpreted according to the laws of the State of California. Any legal action related to the interpretation or performance of this Contract shall be filed only in the appropriate courts located in the County of Riverside, State of California. Should action be brought to enforce or interpret the provisions of the Contract, the prevailing party shall be entitled to attorney's fees in addition to whatever other relief are granted.

**G. MODIFICATION OF TERMS**

No addition to or alteration of the terms of this Contract, whether by written or verbal understanding of the parties, their officers, agents, or employees shall be valid unless made in writing and formally approved and executed by both parties.

**H. TERMINATION**

This Contract may be terminated without cause by either party by giving thirty (30) days written notification to the other party. In the event COUNTY elects to abandon, indefinitely postpone, or terminate the Contract, COUNTY shall make payments for all services performed up to the date that written notice was given in a prorated amount.

**I. ENTIRE CONTRACT**

This Contract constitutes the entire Contract between the parties hereto with respect to the subject matter hereof, and all prior or contemporaneous Contracts of any kind or nature relating to the same shall be deemed to be merged herein.

**First Data  
Preliminary Independent Verification and Validation (IV&V)  
Management Plan**

**For**

**Riverside County DPSS  
IT Integration and Conversion Project**



**First Data™**  
beyond the transaction

**Independent  
Verification and  
Validation (IV&V)  
Management Plan  
Riverside County DPSS  
IT Conversion & Integration  
Project  
(Draft Version)**

**June 27, 2011**

5565 Glenridge Connector NE,  
Suite 1600  
Atlanta, GA 30342  
[www.firstdata.com](http://www.firstdata.com)

<b>Date</b>	<b>Version</b>	<b>Responsible</b>	<b>Reason for Revision</b>
06/27/11	1.0	Nathan Merrill	Proposal Response

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## **1. Purpose**

First Data is engaged to provide Independent Validation and Verification (IV&V) services to the Riverside County Department of Public Social Services (DPSS) in support of the Information Technology (IT) Integration and Conversion Project.

This IV&V Management Plan describes the methodology and the tasks the First Data team will accomplish as defined in the Scope of Service section of the Riverside County RFP DPARC-222. First Data will provide the services as described in Section 4 - Scope of Services.

The IV&V Management Plan will be updated on an as-needed basis. The tasks accomplished each month will be described via the Monthly Status Report and in the IV&V Summary Report.

The IV&V Management Plan also contains the Deliverables and Deliverable Completion Schedule associated with the tasks in Section 4.

### **1.1 Scope**

DPSS IT has undertaken development and execution of its Strategic Migration Plan to make major technology purchases and upgrades to increase integration and stability by migrating to more current, stable platforms. The overall project scope includes transitioning DPSS to a current, unified, standard operating environment.

The primary technology in use today by DPSS is built on the Microsoft infrastructure including: network operating system (NOS), security, desktop OS, CRM/XRM and office products. The DPSS IT Strategic Migration Plan was developed with the assistance of Microsoft Consulting as part of the Enterprise and Premier Agreement with Riverside County IT (RCIT). It provides the procedural and technical requirements for migration and a roadmap for the use of products for which DPSS currently owns licenses. Recommendations for other Microsoft-based solutions to fulfill business needs and service requirements were included to provide additional cost savings to the department.

The project began in April 2010 and will continue through June 2012.

### **1.2 DPSS Strategic Goals and Objectives**

DPSS has defined its strategic goals and objectives as follows:

- Full collaboration and integration capability for all users across all applications
- Systems that compile, process, and distribute information in an automated and organized fashion for DPSS clients and IT customers



- ✓ Solution development and deployment process, capability, and agility to meet shifting demands
- ✓ Systems that meet this need in a product agnostic fashion
- Systems that are fully utilized, but reduced in number
- Systems that do not require “tweaking” to make applications and servers integrate and function cohesively
- A functioning Network Operations Center with proactive system and service management capability
- Management processes that follow IT standards (ITIL/MOF) and allow for proactive problem prevention and repeatable resolution processes
- Implementation of improved systems and processes will make the users successful by improving their efficiency by reducing process and resource location-related downtime

### **1.3 IV&V Goals and Objectives**

Riverside County DPSS outlined its IV&V goals as part of RFP DPARC 222 as follows:

- Facilitate early detection and correction of process, cost and schedule variances
- Provide management with insight into process and product risk
- Support project life cycle processes to ensure compliance with regulatory, performance, schedule, and budget requirements
- Validate the project’s product and processes to ensure compliance with defined requirements

## **2. Referenced Documents**

First Data will complete this section as part of the Finalized IV&V Management Plan.

## **3. Definitions**

First Data will complete this section as part of the Finalized IV&V Management Plan.

## 4. Project Management Approach

The purpose of First Data's Project Management Approach is to describe the management activities which will be performed throughout the life of the DPSS IT Integration and Conversion IV&V Project. It includes a set of project management tools, processes, and procedures that the First Data team will use to help ensure the efficient operation of the project and sets the standard for high levels of quality work products and deliverables. This approach provides the fundamental management framework for the project and will be updated, refined and enhanced as the project progresses.

First Data will use the identified techniques and methodologies to manage the IV&V efforts that build upon industry standards and best practices. First Data understands that the application of standard methodologies must intersect with, complement, or directly correlate to DPSS methods and processes which may already be defined. Upon project initiation, First Data will work collaboratively with Riverside DPSS to refine and finalize methodologies to allow for integration with existing County processes.

### 4.1 Risk Management

The First Data Team understands the complexity of implementing a variety of new technologies and tools across a large organization. Based on this knowledge and lessons learned from similar projects, the First Data Team will analyze existing risks and identify new risks applicable to the DPSS IT Integration and Conversion Project.

The Project Management Book of Knowledge (PMBOK) defines risk as follows:

Risk: "An uncertain event or condition that, if it occurs, has a positive or negative effect on a project's objectives from its impact."

Our team will select the common risks that are applicable to all DPSS modernization efforts and use them to initiate the risk assessment tool. The following is a high level description of the steps in our Risk Management process:

1. **Assess Risk** - The standard First Data project management methodology used on most of our projects includes extensive efforts to identify risks, analyze them using numerical scoring to assess impact and probability, response planning, and mitigation monitoring. Our staff members have extensive experience in this area and are highly qualified to understand the potential risks involved at every step of the project lifecycle.
2. **Qualify, Quantify, and Prioritize Risks** - Not all risks are created equal. Some will have a significantly more negative impact to the project if they occur. Some are more likely to occur. The number of potential risks for a project of this size and complexity can be overwhelming. DPSS will need a valid method of "measuring and weighing"

these risks in order to focus the limited resources appropriately, which is monitoring and mitigating high priority risks.

The First Data standard risk management approach provides a set of procedures to organize, qualify, quantify, and prioritize risks. Each risk is evaluated for the probability of occurrence and the impact consequences that result if the threat actually occurs. Also included in this consideration is whether the threat is long-term or short-term and whether it will affect cost.

3. **Define Mitigation Options** - The First Data Project Managers will work with DPSS to determine and evaluate potential options for risk mitigation. Every risk that is determined to be within the level for mitigation will be included in this process. Our recommended approach is to apply the standard PMI mitigation definitions with multiple mitigation options defined for certain risks as necessary. In general, the First Data Risk Management methodology focuses on the following four types of mitigation actions:

- Reducing or eliminating the probable impact of the risk by developing a contingency plan that specifies the actions to be taken in the event that the risk is realized
- Avoiding the risk altogether by fundamentally changing the cause of the risk, such as modifying the design of the system or operational procedures
- Taking no further action to reduce or eliminate the probable impact of the risk and accepting the consequences in the event that the risk is realized
- Continuing to study and monitor the risk in order to acquire additional information relating to the probable impact of the risk
- Please note: this risk management approach is our standard approach we bring to projects. First Data will work with DPSS to determine whether we will use an existing DPSS risk management process or tailor this approach for the DPSS Integration and Conversion Project.

First Data has compiled a set of potential risks based on experience with other large scale, complex government projects. These risks will be reviewed and analyzed with DPSS as within the first month of the contract period. The initial list of risks have been categorized as follows:

#### 4.1.1 Initial Risks

Initial Risks	
Source of Risk	Mitigation Strategies

Source of Risk	Mitigation Strategies
Meeting DPSS Stakeholder expectations	<ul style="list-style-type: none"> <li>• Obtain samples of previous work that was considered satisfactory and use these as a benchmark to gauge expectations</li> <li>• Prepare and present expanded tables of contents as early as possible</li> <li>• Present samples of similar work products produced in accordance with the project standards</li> <li>• Meet regularly with the DPSS Stakeholders</li> <li>• Use change request procedures to maintain a record and control changes relative to the project schedule and cost</li> <li>• Hold regular Executive Leadership Meetings</li> </ul>
Managing executive leadership perceptions and expectations	<p>Ensure active involvement of Executive Leadership, so that:</p> <ul style="list-style-type: none"> <li>• Executive management rather than the project team sets the direction for the project</li> <li>• The continuous, regular involvement of executive management generates commitment</li> <li>• Issues discussed and resolved increase user comfort</li> </ul>
Political risk	<p>Assess organizational readiness:</p> <ul style="list-style-type: none"> <li>• Is senior management committed to the project to ensure that it gets appropriate priority and support?</li> <li>• Do the management and staff perceive that this project will improve the organization in which people work?</li> <li>• Is there a champion with adequate clout who strongly supports the project to the extent that she is willing to fight to have the project succeed?</li> <li>• Are people, computer capacity, money and other resources available to implement the project effectively or are there other competing demands for resources that will receive higher priority?</li> <li>• Does the staff involved in the project have the necessary skills to implement the project?</li> <li>• Use change influence analysis and resistance management techniques to analyze and address opposing forces</li> <li>• Prepare specific commitment strategies and plans to obtain political support</li> <li>• Establish overwhelming commitment to success at the executive level so that thoughts of failure are not permitted</li> <li>• Ensure key opinion leaders are directly involved in the project team</li> </ul>
Conflicting priorities / requirements from federal partners (OSS, OCSE, FNS)	<ul style="list-style-type: none"> <li>• Joint conference calls so all federal stakeholders are aware of issues</li> <li>• Rely on primary federal analyst to champion solution with other federal stakeholders</li> <li>• Frequent conversations with federal analysts</li> </ul>

Source of Risk	Mitigation Strategies
Changing requirements	<ul style="list-style-type: none"> <li>• Define scope up front in measurable terms:               <ul style="list-style-type: none"> <li>✓ the limits to be applied to tasks</li> <li>✓ the acceptance criteria</li> </ul> </li> <li>• Plan incremental development, deferring changes to later increments</li> </ul>
Inaccurate or insufficient detail in requirements statement	<ul style="list-style-type: none"> <li>• Build in realistic time for confirmation of requirements</li> </ul>
Un-testable requirements	<ul style="list-style-type: none"> <li>• Set expectation for requirements (objective, discrete, unique, unambiguous, understandable, testable)</li> <li>• Review requirements using criteria checklist</li> <li>• Develop testing criteria during requirements definition activities</li> </ul>
Required timeline will result in concurrent activities for project phases	<ul style="list-style-type: none"> <li>• Standardize the products to be utilized</li> <li>• Maintain timelines</li> </ul>
Process does not perform at a level to support timely business functions	<ul style="list-style-type: none"> <li>• Require performance modeling at various stages starting with the proof of concept</li> <li>• Require capacity planning tools which utilize actual transactions and simulations based on those results</li> </ul>
Inability of user to define requirements or ever-expanding scope	<ul style="list-style-type: none"> <li>• Build prototype</li> <li>• Limit number of reviews of work products</li> </ul>
Desire to over automate	<ul style="list-style-type: none"> <li>• Establish a budget constraint to focus the effort on where there will be most payback and to force decisions that otherwise would be avoided, including early clarification of major scope issues</li> <li>• Conduct scope review at start of project</li> <li>• Conduct a cost/benefit analysis</li> <li>• Assign each function a value</li> <li>• Scrub requirements and remove unessential</li> <li>• Design and develop to cost</li> </ul>
Technical difficulties with exposing web services from legacy systems	<ul style="list-style-type: none"> <li>• Develop proof of concept at beginning of project</li> </ul>
Desire to enhance legacy systems while	<ul style="list-style-type: none"> <li>• Clearly defining and communicating scope of project phase</li> <li>• Setting expectations for when legacy systems will be enhanced or</li> </ul>

Source of Risk	Mitigation Strategies
developing SOA encapsulation	replaced <ul style="list-style-type: none"> <li>• Obtaining and communicating executive buy-in for strategy</li> <li>• Organizational Discipline</li> </ul>
Cost is too high	<ul style="list-style-type: none"> <li>• Design and develop to cost</li> <li>• Employ incremental development</li> <li>• Scrub requirements and remove unessential ones</li> <li>• Consider productivity tools</li> </ul>
Pressure for an early completion date	<ul style="list-style-type: none"> <li>• Plan rigorously up-front. Look for work-ahead items that can be started early. Develop incrementally</li> <li>• Design and develop to schedule</li> <li>• Scrub requirements and remove unessential</li> <li>• Consider productivity tools</li> <li>• Use a more experienced team</li> <li>• Build a sound infrastructure well in advance</li> <li>• Add schedule management to the formal risk management plan to ensure visibility and pro-actively address schedule variances</li> <li>• Minimize any changes during the project time frame, which may impact the project</li> <li>• Co-locate team for maximum productivity</li> </ul>
Lack of user commitment	<ul style="list-style-type: none"> <li>• Obtain executive leadership commitment to provide adequate end-user participation</li> <li>• Clearly define specific areas of user responsibility; Appoint a user coordinator</li> <li>• Set up an implementation advisory group to get a broad range of users involved in acceptance testing, training, user documentation, and implementation roll-out</li> <li>• Ensure user awareness of issues through regular status reports</li> <li>• Arrange for user involvement in design workshops and prototyping</li> <li>• Highlight user responsibility for acceptance testing involving the thorough re-testing of all system functions.</li> </ul>
Lack of follow-through on process change commitments (Standardize process and procedure among program areas or modify to match system),	<ul style="list-style-type: none"> <li>• Clearly defining and communicating need for consistent standard procedure</li> <li>• Setting expectations with users and program management</li> <li>• Obtaining and communicating executive buy-in for strategy</li> <li>• High visibility organizational change management component to project team</li> </ul>

Source of Risk	Mitigation Strategies
Lack of continuity of key contract players	<ul style="list-style-type: none"> <li>• Implement key personnel agreements</li> </ul>
Achievement of projected return on investment	<ul style="list-style-type: none"> <li>• Reduce exposure by breaking large projects into several smaller ones</li> <li>• Sequence projects so that ones with tangible benefits are completed first</li> </ul>

Table 4.1 - Initial List of DPSS Risks

### 4.1.2 Technical Risks

Source of Risks	Mitigation Strategies
Developing the wrong system	<ul style="list-style-type: none"> <li>• Perform a mission analysis to study how the organization performs its mission to enable informed judgment on information requirements</li> <li>• Survey users</li> <li>• High level of end-user participation</li> <li>• Benchmark the best practices in equivalent systems elsewhere</li> <li>• Build prototype</li> <li>• Write user aids early</li> </ul>
Compatibility of technical components	Build technical prototype
Version changes in third-party software over the life of the project	Implement change control tracking procedures
Shortfalls in externally supplied components	<ul style="list-style-type: none"> <li>• Benchmark</li> <li>• Inspect</li> <li>• Checking references</li> </ul>
Lack of availability of components	Develop contingency plans
Overall system performance	<ul style="list-style-type: none"> <li>• Implement formal performance tracking procedures</li> <li>• Invest in additional data gathering</li> <li>• Apply capacity planning/analysis techniques</li> </ul>
Conversion Issues	<ul style="list-style-type: none"> <li>• Involve team in developing implementation/conversion plan</li> <li>• Provide early requirements for system migration, whether it be dual system, incremental conversions, or "big bang" conversion</li> </ul>
Quality of the delivered	<ul style="list-style-type: none"> <li>• Involve the team in defining standards in advance</li> </ul>

Source of Risks	Mitigation Strategies
product	<ul style="list-style-type: none"> <li>• Ensure that standards are formally documented, easily accessible, and easily understandable</li> <li>• Provide early feedback on adherence to standards</li> <li>• Include adherence to standards as an item in walk-throughs</li> </ul>

Table 4.2 - Initial List of Technical Risks

### 4.1.3 Delivery Risks

Source of Risks	Mitigation Strategies
Personnel shortfalls	<ul style="list-style-type: none"> <li>• Staff with top talent</li> <li>• Use overqualified staff in critical situations</li> <li>• Replace junior team members with more experienced and more productive staff</li> <li>• Consider external sources</li> <li>• Share resources or provide assistants to minimize the time demand on key resources that are also in demand for other work</li> <li>• Provide comprehensive orientation</li> <li>• Provide additional technical training under the direction of the technical architect</li> <li>• Bring in special project start-up teams to get the team up and running</li> </ul>
Unrealistic project plan	<ul style="list-style-type: none"> <li>• Have independent estimators prepare detailed task-based estimates and apply sanity checks</li> <li>• Use experience with sample programs to validate proposed productivity rates</li> <li>• Ensure that the estimates are owned by the people who will be responsible to deliver to them</li> <li>• Design and develop to cost</li> <li>• Develop incrementally</li> <li>• Scrub requirements</li> </ul>
Committed team	<ul style="list-style-type: none"> <li>• Ensure personal and project objectives have been reconciled</li> <li>• Ensure that project management fundamentals have been applied</li> <li>• Review weekly with each team member their individual days ahead/behind schedule</li> <li>• Hold weekly team meetings to facilitate team communication, develop team spirit, and allow issues to be discussed at the team level on a scheduled basis rather than in interrupt mode</li> <li>• Provide productivity tools</li> </ul>



Source of Risks	Mitigation Strategies
	<ul style="list-style-type: none"> <li>• Focus on team member chemistry</li> <li>• Motivate for performance</li> <li>• Rotate through project roles to increase team member responsibilities and provide career development opportunities</li> <li>• Coach poor performers</li> </ul>
Uncontrolled meeting time	<ul style="list-style-type: none"> <li>• Establish a meeting protocol ahead of time:               <ul style="list-style-type: none"> <li>✓ Limit the number of meetings and minimize the number of attendees at all meetings</li> <li>✓ Prepare a specific agenda of matters for discussion to be prepared and distributed in advance</li> <li>✓ Set the meeting duration in advance and respect it</li> <li>✓ Summarize of matters resolved and decisions and action plans resulting</li> </ul> </li> </ul>

Table 4.3 – Initial List of Delivery Risks

## 4.2 Issue Management

The purpose of issue management is to help ensure the proper oversight and management of issues that arise throughout the project. When routine problems become overdue, or it is determined that they cannot be resolved at the current level, they require escalation and are entered as issues into the Issue Management process. The Project Management Book of Knowledge (PMBOK) defines an issue as follows:

Issue: “A point or matter in question or in dispute, or a point or matter that is not settled and is under discussion or over which there are opposing views or disagreements.”

An issue is a statement of concern or need that:

- Is known ahead of time or contained in the project work plan, but whose resolution is in question or lacking agreement among stakeholders;
- Is highly visible or involves external stakeholders;
- Relates to a critical deadline or timeframe;
- Results in an important decision or resolution whose rationale and activities must be captured for historical purposes; or
- If not resolved, may impede project progress.

- Please note: this issue management approach is our standard approach we bring to projects. First Data will work with DPSS to determine whether we will use an existing DPSS issue management process or tailor this approach for the DPSS Integration and Conversion Project.

### 4.2.1 Issue Management Process

The Issue Management Process to be used by the First Data Team is depicted in the following flowchart.

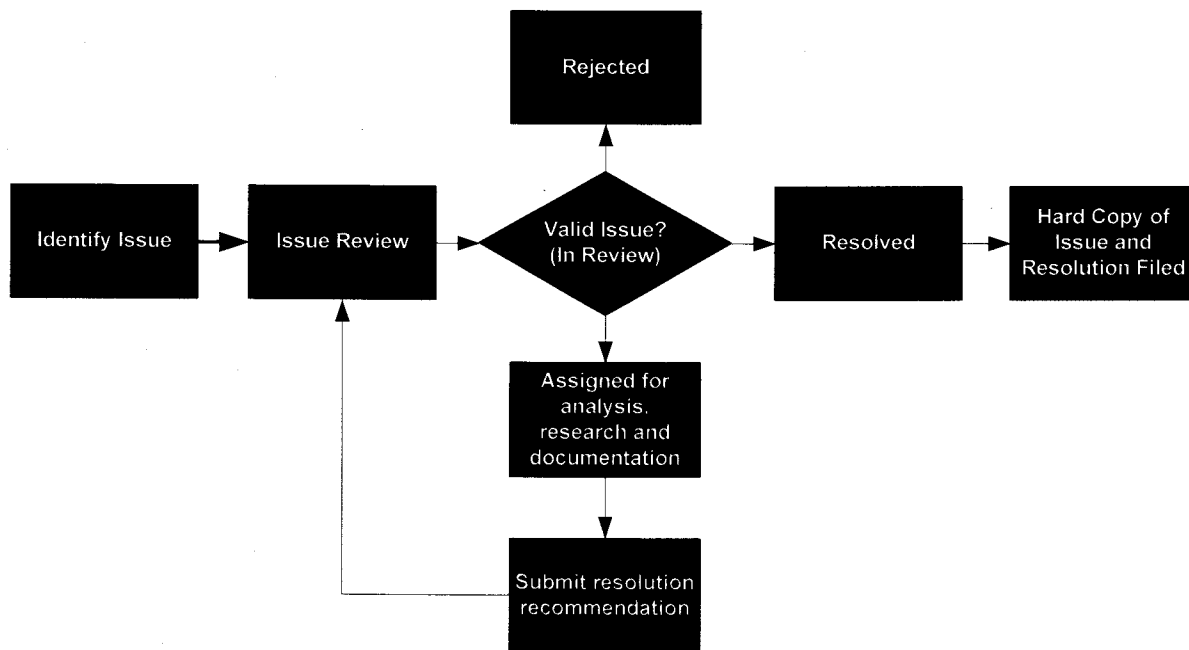


Figure 4.1 - Issue Management Process Flowchart.

Issue management procedures to be followed by the First Data Team can be broadly classified as:

- Issue Identification and Documentation;
- Issue Validation, Assignment and Prioritization;
- Issue Analysis;
- Issue Tracking and Reporting;
- Issue Escalation (if needed); and

- Issue Resolution and Closure.

## 4.2.2 Issue Identification and Documentation

Issue identification will occur throughout the project lifecycle. Issues may arise from meetings, analysis, document reviews, workgroups, and other project activities. The issue will be submitted by filling out an electronic Issue Submission Form (format to be agreed upon) and sending it by e-mail to the First Data Team. Any documents related to the issue may be included as additional attachments to the e-mail. First Data Team will validate the applicability of the issue, check for duplication in the Issues Log, and enter the issue into the Issues Log. The First Data Team will also generate a Monthly issues report as part of the Monthly Status Report.

For each issue identified, the First Data Team will enter the following information into the Issues Tracking Log.

<b>Issue #</b>	A unique system-generated issue identifier.
<b>Category</b>	The high level operational area impacted by the issue to include: <ul style="list-style-type: none"> <li>• <b>Process</b> – Issues related to inefficiencies or needed changes to business processes or operational procedure.</li> <li>• <b>Policy</b> – Issues associated with needed changes to policy and regulations.</li> <li>• <b>Organizational</b> – changes or reorganization problems and associated with the organizational change.</li> </ul>
<b>Type</b>	A subcategory that further identifies the issue to an operational area (e.g., HR, Medicaid, Information Technology).
<b>Title</b>	A short title for the issue.
<b>Issue Description</b>	A more detailed description of the issue.
<b>Status</b>	Documents the current status of the issue. Valid values are: <ul style="list-style-type: none"> <li>• <b>New</b> – a newly identified issue that has not yet been reviewed.</li> <li>• <b>Open</b> – an issue that has been accepted as valid.</li> <li>• <b>Rejected</b> – an issue that was determined to be invalid.</li> <li>• <b>Closed (Risk)</b> – an issue that has been escalated to and will be tracked as a risk. A risk record has been created and the issue record is closed.</li> <li>• <b>Closed (Resolved)</b> – an issue that has been resolved.</li> </ul>
<b>Priority</b>	Priority based on the severity of the issue. Valid values are: <ul style="list-style-type: none"> <li>• <b>High</b> – Requires immediate attention to avoid significant impact to the strategic goals and objectives of the project.</li> <li>• <b>Medium</b> – Requires attention to avoid impact to the operational efficiency of project</li> </ul>

	execution.
	<ul style="list-style-type: none"> <li>• <b>Low</b> - Needs to be addressed, but there is no significant impact to the project.</li> </ul>
<b>Priority Reason</b>	Detail information describing factors used in assigning priority (e.g., critical dates, severity of impact to project success).
<b>Target Date</b>	Due date for issue resolution.
<b>Target Date Reason</b>	The reason why the issue has to be resolved by the target date.
<b>Submit By</b>	Name of the person submitting the issue.
<b>Submit Date</b>	Date the issue was submitted.
<b>DPSS Owner</b>	Name of the person responsible for analyzing and resolving the issue.
<b>Date and Comment</b>	A record of planned and past actions or other information relevant to the issue.
<b>Date Closed</b>	Date the issue was resolved.
<b>Progress Notes</b>	Free form notes used to document update, analysis or resolution comments.
<b>Attachments</b>	Any attachments pertaining to the issue (e.g., issue resolution).

Table 4.4 - Information to be entered into Issue Tracking Log

### 4.2.3 Issue Validation, Assignment and Prioritization

The First Data Team will validate the issue by checking for duplicates. Valid issues will continue through the issue management process. Invalid issues will be rejected and the initiator notified. Once an issue has been identified and validated, the First Data Team will assign an owner and then notify the assignee (Issue Owner) of the new assignment and the due date via email. The First Data Team will conduct an initial assessment of the submitted priority and adjust if necessary via consultation with the DPSS IV&V Project Manager.

### 4.2.4 Issue Analysis

The team member assigned the issue becomes the "Issue Owner" and performs the required task or analysis to complete the full description and documentation associated with the issue, as well as taking the required steps to resolve the issue. The Issue Owner communicates the issue resolution recommendation to the First Data Team. The First Data Team updates the Issues Tracking Log with the analysis and status on a weekly basis. For issues requiring further analysis, the Issue Owner determines the following:

- Impacts to Cost and/or Schedule;

- Impacts to Project Staffing;
- Impacts to User and/or Stakeholder Relationships;
- Impacts to Existing Risks;
- Resolution Alternatives, including Pros and Cons; and
- Suggested Resolution.

The First Data Team records the issue resolution recommendation in the Action Plan field of the Issues Tracking Log.

#### **4.2.5 Issue Tracking and Reporting**

The First Data Team monitors the Issues Tracking Log on a weekly basis to ensure that new issues and any resolved issues are clearly documented. The First Data Team will produce the Issues Tracking Log Summary on a Monthly basis and distribute as part of the Monthly Status Report provided to DPSS. The First Data Team will also send email reminders to the Issue Owners when they are nearing the end of their analysis time period and scheduled due date. Issue Owners are required to communicate the status of the issue to the First Data Team for updates to the "Progress Notes" section of the Issues Tracking Log on a weekly basis. The First Data Team will review the new, open, overdue, and closed issues listing during regularly scheduled meetings. These meetings will be used to discuss issue status and metrics to monitor the overall effectiveness of the process, as well as the project's adherence to the process. Open and timely communication is critical when addressing project issues before they escalate into major project risks. Open issues will be discussed in the weekly meetings with DPSS.

#### **4.2.6 Issue Escalation**

The First Data Team sends email notifications when routine issues become overdue or it is determined that the issue cannot be resolved at the current level and requires escalation. Issues may also be escalated if the Issue Owner and his/her manager feel the normal process will not resolve the issue within required timeframes. In this case, the Issue Owner will meet with the designated Project Manager and/or will discuss the issue and their concerns during the next First Data Team meeting. The First Data Project Manager will then either assist with the resolution or raise the issue to the DPSS IV&V Project Manager and other project stakeholders as applicable.

#### **4.2.7 Issue Resolution and Closure**

The First Data Team is responsible for monitoring the completion status of all issues. When an issue is deemed to be resolved, the issue owner will submit the resolution to the

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Suite 1600  
Atlanta, GA 30342  
[www.firstdata.com](http://www.firstdata.com)

First Data Team. The resolution will either be accepted or rejected, and if rejected the issue owner will review the documented alternatives and resubmit the resolution. If the resolution is accepted, the issue is closed in the Issues Tracking Log.

## 4.3 Quality Management

The purpose of the quality management function is to ensure that the DPSS IV&V Project objectives are met and expected results achieved via quality driven processes. These objectives will be achieved by defining quality assurance (QA) standards, core processes, and work products that will be used to manage quality throughout the lifecycle of the project.

### 4.3.1 Quality Approach

The Quality management approach incorporates QA and quality control (QC) processes into all aspects of the project. Quality activities are used to verify that the IV&V Project will deliver on:

- **Business Goals** - Meeting DPSS expectations and ensuring client satisfaction by understanding how DPSS defines success.
- **Quality Goals** - Minimizing errors and re-work by verifying and validating the work at each stage.
- **Financial Goals** - Containing costs by implementing efficient, effective and repeatable processes, procedures and standards.
- **Delivery Goals** - Improving speed, quality, and cost of delivery by assessing and improving the project processes.
- **Team Goals** - Providing the teams with a clear sense of direction by effectively communicating requirements, standards and quality practices.

### 4.3.2 Definition and Usage

There are multiple variations on the definitions of quality assurance, quality control, and quality management. The following definitions will be applied to work products and deliverables.

Quality assurance is defined as:

*The function through which overall project performance is evaluated on a regular basis to ensure that the project will satisfy the defined quality standards and meet requirements.*

Quality control is defined as:

*The process of reviewing and monitoring specific project results, such as deliverables and work products, to determine whether they adhere to specific quality standards, and identifying ways to eliminate causes of unsatisfactory performance.*

Quality management combines the practices of quality planning, QA and QC to effectively manage a set of processes to ensure that the end product or service meets or exceeds a set of pre-established standards and end-user requirements.

### **4.3.3 Quality Management Objectives**

One of First Data's primary objectives is to ensure that the project objectives and expectations are met and that results are produced via quality-driven processes and meet quality standards. The accomplishment of the project objectives is dependent on total team commitment to the quality process. Quality goals include the following:

- Establish standards, practices and knowledge that can be readily shared and applied to the DPSS projects and priorities
- Make quality the responsibility of each member of the teams
- Ensure that quality practices are conducted and applied in a consistent manner across the project
- Verify that processes and work products comply with DPSS standards and procedures
- Identify and remove defects in work products early and efficiently
- Verify that the project is progressing as planned within the expected timeframes and budget

### **4.3.4 Roles and Responsibilities**

It is the responsibility of everyone on the project to incorporate and integrate quality into their work. Our PMO Lead will establish the quality management standards and practices as part of project initiation. Quality management tasks include:

- Monitor and report on performance relative to the project schedule and budget
- Monitor the quality of the work performed
- Manage quality-related project risks

- Proactively review the project processes and implement improvements
- Reviewing draft and final project management deliverables and work products to ensure they conform to standards and requirements
- Ensure alignment with the DPSS strategic objectives for the IT Integration and Conversion Project

## 4.4 Communication Management

The purpose of the Communication Plan is to identify the methods of exchanging information between the IV&V Project Team and other project stakeholders. Good communication policies encompass information exchange and dissemination both internally to all project participants and externally to all parties with a vested interest in project progress. The Communication Plan identifies the formal communication approach and protocols that will be employed to keep all stakeholders informed throughout the duration of the project.

Effective communication processes and methods are essential to any project. However, given the complexity associated with the current vision of the IV&V Project, it is of utmost importance that standardized processes and tools are used to communicate across projects and across DPSS organizations.

### 4.4.1 Approach

Upon project initiation, First Data will work with DPSS to determine the outline for the Communication Management Plan.

There are several key factors that significantly contribute to the effectiveness of communication:

- **Awareness** - Communication about the project's scope, roles and responsibilities, and status must occur. Stakeholder communication efforts should focus on information that contributes to the success of the project, or addresses the lack of communication that can lead to failure. If stakeholders are not properly informed of the project's objectives, issues, outcomes, and progress, they will not be prepared for the changes transition will bring, nor will they adequately understand or support those changes.
- **Timeliness** - Information must be shared in a timely manner to allow stakeholders the opportunity to understand the information and have the opportunity to respond.



- **Content** - Communication content must be relevant, meaningful, timely, and at an appropriate level of detail for the intended audience. Expectations should be clearly communicated to ensure the proper feedback is received. Communication strategies should also be based on stakeholder needs and feedback.
- **Format** - All communications must be developed and delivered in a format that is efficient, understandable and easily accessible.
- **Consistency** - Project communications should be developed and delivered in such a way that promotes continuity to stakeholders and external agencies.

#### **4.4.2 Communication Protocol**

Communication protocols are necessary to properly manage the amount and type of information that will be communicated to both internal and external project stakeholders. Communication protocols facilitate better management and control of the flow of project-related information, minimize misinformation, maximize the sharing of accurate information across the appropriate communication channels, and provide structure to the information shared with external stakeholders.

E-mail will be considered an accepted means of project communications. Documents and deliverables will be attached to E-mails for dissemination to the project’s stakeholders and team members. Additionally, if a situation dictates a more formal approach, then correspondence will be in the form of a letter, memorandum, or document. Appropriate use of E-mail includes scheduling meetings, forwarding documents, and general questions and answers. If the E-mail contains pertinent or historical information, the E-mail will be given a document tracking number and archived in the document management system.

#### **4.4.3 Communication Matrices**

The communication matrix represented in the following table describes the formal internal and external documents that will be produced by the IV&V team for communication purposes. The matrix identifies the intended audience and the staff responsible for originating the item, as well as the frequency, format and method of delivery. Standard formats will be applied to all documents to ensure a consistency. It is recognized that the First Data Team will also utilize other communication items not identified in the communication matrix, which are more informal in nature, such as E-mail and memoranda.

Monthly Status Report	These status reports will detail accomplishments for the reporting period, planned activities for the	Primary – DPSS Secondary – Other Project	Monthly	Word document

	next reporting period, any progress and/or anomalies versus the approved Work Plan, new issues and/or risks identified, and an updated status on existing issues and risks.	Stakeholders		
Risk Assessment	Assessment and mitigation strategies for current risks. Included as part of the Monthly Status Report.	Primary – DPSS Secondary – Other Project Stakeholders	Monthly	Excel
Issue Assessment	Assessment and proposed solutions for current issues. Included as part of the Monthly Status Report.	Primary – DPSS Secondary – Other Project Stakeholders	Monthly	Excel

Table 4.5 – Communication Matrix

In addition to the communication items described above, the Team will attend and participate in various meetings with other project stakeholders. The First Data Team will utilize standing meetings when face-to-face communication is required, whenever possible.

#### 4.4.4 Communication Tracking and Storage

Written communications received by the First Data Team or generated by the First Data Team for the project will be retained and stored in the First Data document management system.

#### 4.4.5 Communication Format

Specific project document templates will be established and utilized to ensure a consistent look and feel for all project documentation. The templates allow stakeholders to easily recognize communications as being project related. The project templates include standards such as the project name, original document date or date of revision, standard headers and footers, as well as the project logo as appropriate. Additionally, contact information including phone and E-mail addresses are provided with all communication distributions.

#### 4.4.6 Measuring Communication Effectiveness

Periodically the project will confirm the effectiveness of the communications with DPSS stakeholders. Surveys or meetings will be conducted to ensure the communication

methods present the project's message and requirements clearly, timely and in a method that is easily received and understood. As a regular quality management practice, the First Data Team is focused on continuous improvement in this critically important area. The following questions are examples of those that may be used to help measure the effectiveness of project communication:

- Is the information that is communicated useful, timely, and relevant?
- Is the information provided at the right level of detail?
- Are the communications understandable to all?
- Does the information cover all topics that team members and stakeholders require?
- Should different/additional media be incorporated?
- Should new or different forums be added?
- Should the communication strategy target different or additional groups to involve stakeholders more effectively?

#### **4.4.7 Communication Changes**

Any project stakeholder may propose changes to the communication plan or process. DPSS Management is responsible for approving changes to the plan. If appropriate, the change will be incorporated into the Communication Plan.

### **4.5 Resource Management**

The Resource Management Plan serves as a foundation for understanding the roles and responsibilities of project participants, their availability and planned participation on project tasks. One of the keys to success for any project is the team selected and assembled to work on the project. This plan addresses the approach that helps enable staff to be successful in their project assignments. This plan encompasses both First Data and DPSS resources associated with the Integration and Conversion Project.

Upon project initiation, First Data will work with DPSS to identify and describe all required DPSS positions as well as First Data positions associated with the IV&V Project.

#### **4.5.1 Approach**

First Data carefully considers the experience, abilities and commitment of each person before selecting them for a project. First Data recognizes that the commitment of all staff

functioning as a unified team is a key factor in project success. For the IV&V Project, the integrated team approach is essential in promoting the following advantages:

- The administrative infrastructure facilitates well-organized, quick project initiation and allows staff to “hit the ground running” in their respective roles
- Leverages consistent, but scalable project management approaches, including communications, issue management, risk management, status reporting, change management, quality management, resource management, budget management and contract management
- Promotes comprehensive understanding of DPSS and other stakeholder priorities and alignment with strategic direction for the IV&V Project
- Enables effective knowledge transfer

The rest of this section describes the following key staff management functions:

- Roll-on Process
- Roll-off Process
- Staff Management and Transitions
- Project Organization

#### **4.5.2 Roll-on Process**

For any large scale project, First Data uses a structured process to bring staff into the project. This systematic approach will prove especially beneficial for the IV&V Project given the need to launch projects and orient staff in short order. The benefits of this roll-on process are to:

- Transition First Data and DPSS employees and contractors to the project using an efficient, uniform method
- Comply with all DPSS and First Data contractual and/or legal requirements, such as signed confidentiality policies/agreements and background checks
- Provide consistent orientation to the project and the specific project team as well as project processes and procedures

- Update all pertinent documents and access, including but not limited to the Project Work Plan, timecard systems, network access, organization charts, email and contact lists and facility access lists to reflect new staff

### **4.5.3 Roll-off Process**

First Data also uses a standard process when staff leave the project. The roll-off process includes:

- Updating all appropriate documents and access to reflect staff departures

### **4.5.4 Staff Management and Transitions**

#### **4.5.4.1 Key Personnel**

First Data recognizes the importance of and reliance on Key Personnel in the context of any large, complex project. In accordance with contract requirements, First Data commits to the following conditions:

- Provide the names of all Key Personnel, and to maintain that list for any changes in Key Personnel
- First Data acknowledges and agrees that DPSS will have the right to recommend and approve the initial assignment, as well as any proposed reassignment or replacement, of any Key Personnel
- First Data will not remove any Key Personnel from their assigned roles without the prior written consent of the State

#### **4.5.4.2 Personnel/Performance Issues**

Personnel and/or performance issues are a reality. First Data will address any such internal issues promptly and in accordance with company policies and any subcontract agreements. For DPSS or other personnel, First Data will notify the appropriate DPSS Manager to address the issue. First Data will work cooperatively with DPSS to minimize any negative impact to project progress.

First Data acknowledges that the DPSS reserves the right to require the removal of any First Data personnel found, in their judgment, to be unacceptable. Further, First Data commits that replacement personnel for any removed person will be fully qualified for the position.

#### **4.5.4.3 Transitions**

First Data will minimize staff turnover to the extent possible, particularly for Key Personnel. If an unplanned departure from the project is unavoidable, First Data will notify the appropriate DPSS Manager in accordance with the Contract conditions. Again, First Data commits that replacement personnel for the removed person will be fully qualified for the position. For any transitions of key DPSS personnel, First Data assumes that DPSS will provide appropriate notice to First Data.

#### **4.5.5 First Data Roles and Responsibilities**

This section describes the roles and responsibilities of the First Data resources to be provided for the IV&V Project. First Data brings an experienced team with a comprehensive understanding of government programs, leadership and hands-on, practical experience implementing numerous automated systems and overseeing projects. This depth of knowledge and skill enables our team to bring proven methodologies, best practices, and templates and tools to the DPSS Integration and Conversion Project. As a result, First Data understands what it takes to be successful in this complex, multi-faceted project and believe our accomplishments in the industry demonstrates our ability to achieve success.

First Data will confirm specific roles and responsibilities upon project initiation.

#### **4.5.6 DPSS Roles and Responsibilities**

This section will be completed upon project initiation.

### **4.6 Deliverable Preparation and Quality**

First Data is experienced developing detailed, comprehensive, high-quality deliverables. This section describes the processes and procedures that will be employed by First Data to successfully complete each deliverable, including protocols for coordinating interaction with DPSS IT staff and ensuring that deliverables are of high quality. The stages of deliverable development include:

- Deliverable Expectation Documents (DED) development
- Draft Deliverable development and reviews
- Final Deliverable submission and reviews
- Final Deliverable approval

### ***Deliverable Expectation Documents (DEDs)***

The First Data Team will develop Deliverable Expectation Documents (DED) in a format to be approved by DPSS. Each DED will be developed to ensure that expectations regarding the deliverable are clearly defined and agreed to by all stakeholders. First Data will ensure that the DED, which details the outline, format, and description for each of the project deliverables, will provide the standards for achieving quality performance and meeting DPSS requirements.

### ***Draft Deliverable Development and Reviews***

Our experience in this process on other projects demonstrates that early involvement increases our understanding regarding the intent of the deliverable and allows for input during the development process, which, in turn, increases deliverable quality and facilitates the deliverable review processes. If appropriate, as key portions of deliverables are completed, First Data will provide initial drafts to DPSS. Through the draft deliverable review process, DPSS can assess adherence to requirements and standards. Draft reviews will enable DPSS to identify potential defects in the deliverable early in the process. The draft review process helps ensure that a more accurate, complete version of the deliverable can be prepared for formal, final submission. This approach will also expedite the DPSS final review and approval process.

### ***Final Deliverable Submission and Review***

Once First Data submits a Final Deliverable, DPSS will analyze the deliverable content to verify that it meets the requirements and provide documentation on any deficiencies or issues. The deliverable standards as defined in the DED will serve as the evaluation criteria to ensure that each deliverable is evaluated appropriately. Once the deficiencies and issues associated with each deliverable have been satisfactorily addressed, the deliverable will be resubmitted for re-review and approval. The re-review of the deliverables will validate that all identified deficiencies have been corrected.

### ***Deliverable Approval***

After DPSS has reviewed and submitted all comments to First Data and those comments have been incorporated and the deliverable meets readiness for use and compliance with content requirements, the deliverable will be submitted to DPSS for formal acceptance and written approval. An acceptance letter will then be signed by DPSS.

### ***Document Standards***

First Data will establish version control procedures for all deliverables. These versioning methods will help to facilitate deliverable reviews. Each deliverable, once it reaches review stage, will carry a revision history with a brief synopsis of changes. The following items will be included in the version control procedures:

- Deliverables must be clearly identified
- Deliverable titles must match the project plan so there is no ambiguity about its content
- Version numbers and dates must be used to identify the specific instance of the deliverable that is commensurate with naming conventions defined by the project

Documentation standards will also extend to the formatting of deliverables. First Data has established document templates that ensure consistency and adherence to standards. We will confer with the DPSS to refine the document templates to a mutually agreeable set of criteria for each type of deliverable. Additionally, First Data will work with the DPSS to ensure standards for document storage are developed in the repository. These standards will elaborate on document indexing and cross-referencing for easy search and retrieval of project documents.

## **5. Independent Verification and Validation Overview**

As defined in the IEEE 1012 standard, IV&V processes determine whether the development products of a given activity conform to the requirements of that activity and whether the software satisfies its intended use and user needs. This determination may include analysis, evaluation, review, inspection, assessment, and testing of software products and processes. First Data has tailored its IV&V approach, methodology and process to conform and support DPSS requirements. The following subsections expand upon the foundation of First Data's IV&V Approach and Methodology.

### **5.1 IV&V Tenets**

The FDGS Project Assessment methodology is based on the following tenets: The First Data IV&V approach is based on four tenets. These are:

- Active Communication – First Data team members will actively seek out project formation and initiate communication.
- Participation in each project team – FDGS will work with Riverside County and any vendor staff throughout the entire project process. First Data staff will parallel the projects organization structure to ensure that a complete perspective is achieved.
- Multiple Periodic Reviews – First Data team members will frequently review the current status of the project using the consistent application of project metrics.



- Provide input and feedback on a flow basis – This will allow recommendations to be incorporated into subsequent tasks and activities, which minimizes schedule delays from withheld input.

## **5.2 Standards**

First Data has demonstrated successful incorporation of IV&V approaches on multiple large system development and ongoing software maintenance efforts within California, as well as in other states, which adhere to appropriate standards. The standards that will be used as part of the IV&V project are described in the following subsections.

### **5.2.1 IEEE 1012-2004**

The First Data grounds its approach within the framework of internationally accepted standards organizations such as the Institute of Electrical and Electronics Engineers (IEEE) and specifically the IEEE 1012-2004 which is the standard for Software Verification and Validation (V&V). This is a process standard that addresses all software life cycle processes including acquisition, supply, development, operation, and maintenance.

#### **5.2.1.1 Software Integrity Level Scheme**

The Software Integrity Levels represent software complexity, criticality, risk, safety level, security level, desired performance, reliability, or other project-unique characteristics that define the importance of the software to the user and acquirer. These are:

- **Level 1** – Software element must execute correctly or intended function will not be realized, causing negligible consequences. Mitigation not required.
- **Level 2** – Software element must execute correctly or an intended function will not be realized, causing minor consequences. Complete mitigation possible.
- **Level 3** – Software element must execute correctly or the intended use (mission) of the system/software will not be realized, causing serious consequences (permanent injury, major system degradation, economic or social impact). Partial to complete mitigation is possible.
- **Level 4** – Software element must execute correctly or grave consequences (loss of life, loss of system, economic or social loss) will occur. No mitigation is possible.

As described in the IEEE 1012 standard, integrity levels are assigned to software requirements, functions, groups of functions, or software components or subsystems. Some software elements and components may not require the assignment of an integrity level (i.e., not applicable) because their failure would impart no consequences on the intended

system operations. First Data will work with DPSS staff to determine the appropriate Integrity Level for each item.

## **5.2.2 ITIL**

DPSS has identified the IT Infrastructure Library as a priority and a set of standards that will be applied to the DPSS organization. As such, ITIL will dictate many of the requirements that each component of the DPSS infrastructure and organization must meet. First Data will analyze DPSS efforts in specific regard to the standards documented as part of the ITIL Service Lifecycle including:

- Service Strategy
- Service Design
- Service Transition
- Service Operation
- Continual Service Improvement

The primary purpose of Service Management is to ensure that IT services are fully aligned to organizational goals and objectives. It is critical that IT services support all applicable organizational processes, but it is also increasingly important that IT acts as a catalyst for change to facilitate organizational improvement.

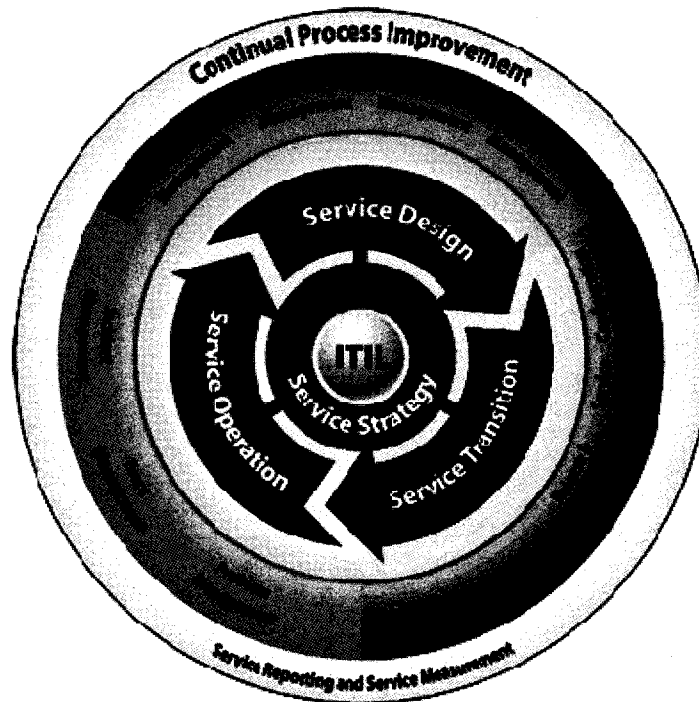
The Information Technology Infrastructure Library (ITIL) is a public framework that fully defines best practices in IT service management. ITIL helps companies and government agencies improve quality and reduce costs associated with the IT services that support their organizational objectives. It provides a framework for the governance of IT and focuses on the continuous measurement and improvement of the quality of IT services delivered from the perspective of all stakeholders. The practices presented in the ITIL publications can be applied generically and benefit all IT organizations regardless of size or the technology in use.

First Data is very familiar with ITIL principals and will use this framework as a primary means to establishing governance during the performance of our IV&V services. Transforming the DPSS base network architecture from Novell to Microsoft absolutely warrants the rigorous structure of ITIL and First Data is committed to leveraging the strong change control and auditing mechanisms that ITIL offers.

First Data will be utilizing the ITIL v3.0 framework as the baseline reference to guide our efforts. It should be noted that up until June 30, 2011, both the ITIL v2.0 framework (made public in 2000) and ITIL v3.0 framework (made public in 2007) worked in conjunction to

provide the complete toolset. After June 30, 2011, ITIL v2.0 will be officially retired and v3.0 will be the sole remaining reference point. ITIL v3.0 provides a more holistic perspective on the full life cycle of services, covering the entire IT organization and all supporting components needed to deliver services to Riverside County stakeholders.

The following ITIL v3.0 Service Framework diagram along with the five subsequent ITIL volume descriptions, briefly define the ITIL v3.0 Framework and how First Data expects to use it during this project:



**Figure 5.1 - ITIL v3.0 Framework**

### **5.2.2.1 ITIL Service Strategy**

The ITIL Service Strategy Volume is the central planning component of the ITIL v3.0 framework and will focus on associating IT service strategies to stakeholder value. The identification of opportunities for which services can be developed to meet project objectives on behalf of internal or external stakeholder ensures that all stages of the service lifecycle remain focused on the projects goals and objectives. The typical result of this phase is a strategy for the design, implementation, maintenance, and continual improvement of services as an organizational capability and a strategic asset.

The ITIL Service Strategy will provide guidance on clarification and prioritization of service-provider investments in services. Service Strategy will also provide focus on

helping the Riverside IT organization improve and develop over the long term. Key topics covered by this volume include:

- Service Portfolio Management
- Demand Management
- IT Financial Management

#### **5.2.2.2 ITIL Service Design**

The ITIL Service Design Volume involves the development of specifications that address all aspects of the proposed solution, as well as the processes intended to support it. The ITIL Service Design volume provides best-practice guidance on the design of IT services, processes, and other aspects of the project.

Service Design within the ITIL framework will encompass all elements relevant to technology service delivery. Service Design will address how the overall solution interacts with the larger organization and technical environments, service management systems required to support the services, processes which interact with the services, technology, and architecture required to support the services, and the supply chain required to support the planned service modifications. Key areas covered by this volume include:

- Availability Management
- Service Level Management
- Risk Management
- Capacity Management
- IT Service Continuity Management
- Information Security Management
- Compliance Management
- Service Catalogue Management
- IT Architecture Management

#### **5.2.2.3 ITIL Service Transition**

The ITIL Service Transition Volume focuses on the implementation of the Service Design and the processes associated with transitioning that service from the current Novell

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network platform to the future Microsoft network platform. New and enhanced services are subjected to structured testing, change management, and release management for controlled release into the production environment. Key areas of this volume include:

- Release Management
- Change Management
- Knowledge Management
- Service Asset and Configuration Management
- Service Validation and Testing

#### **5.2.2.4 ITIL Service Operation**

The ITIL Service Operation Volume focuses on the delivery and control process activities required to operate the new network platform and maintain its functionality, as defined in service level agreements, and achieve an optimized steady state of service management on a predictable basis. Service Operation is the part of the lifecycle where the services and value are directly delivered. The monitoring of problems and balance between service reliability and cost etc. are also measured. Key areas of this volume include:

- Event Management
- Incident Management
- Problem Management.
- Request Fulfillment
- Access Management

#### **5.2.2.5 ITIL Continuous Service Improvement**

The Continual Service Improvement Volume employs proven practices for continuous improvement in the quality of the services that the IT organization delivers to the department over time. Continual Service Improvement (CSI) aims to continuously align IT services to evolving department needs by identifying and implementing improvements to the IT services that support the business processes. To manage improvement, CSI clearly defines what should be controlled and measured. This phase of the framework must be treated just like any other service practice. There needs to be upfront planning, training, ongoing scheduling, roles created, ownership assigned, and activities identified to be successful. Key areas of this volume include:

- Service Level Management
- Service Measurement and Reporting
- Continual Service Improvement

First Data is very clear on the purpose and importance of utilizing the ITIL v3.0 framework as a key part of our IV&V service offering to Riverside County DPSS. Our team is adept at using ITIL principals and we look forward to applying our knowledge and experience on this project.

### **5.3 Alignment with DPSS Goals and Priorities**

DPSS has identified a number of goals that the Department must meet in RFP DPARC222. DPSS has further identified a number of priorities that will enable the Department to meet these goals. First Data will identify clear metrics for each priority that will be used in the preliminary project assessment, each subsequent Project Status Report and the IV&V Summary Report. These metrics will enable DPSS to measure progress toward meeting the identified Goals for the duration of the IV&V effort. This is more fully described in Section 6.2.2, Conduct Project Assessment.

### **5.4 IV&V Methodology and Techniques**

The IV&V Methodology is based on the outputs that are defined in the IEEE 1012-2004 standards and incorporated into the specific set of deliverables that have been defined as part of RFP DPARC 222. The techniques that First Data will use to complete these deliverables include:

- **Objective Project Measurement** – First Data will help the project define clear measures that provide evidence of progress toward achieving the DPSS goals.
- **Use approved standards and templates to document findings** – First Data staff will document our results and recommendations in accordance with the approved DEDs and deliverables.
- **Produce complete and accurate IV&V Deliverables that meet DPSS expectations** – First Data will review and assess the project's progress and document our findings and recommendations in accordance with the approved Finalized IV&V Management Plan.

## 6. IV&V Work Plan and Milestones

First Data's Detailed Work Plan consists of a schedule that identifies IV&V tasks and their resultant deliverables as well as specific information about each Milestone identified in RFP DPARC 222. Each of these is discussed in the following subsections.

### 6.1 IV&V Work Plan

Each high-level IV&V task is identified in the following table. There is a relationship between the output from tasks that must be completed and the required Milestones and deliverables. The Milestone and the specific deliverable that will contain task findings and results are also identified.

Please note: a detailed IV&V Work Plan will be prepared upon project initiation. Also note that the Start Date and End Date for these high-level tasks will be extracted from the detailed Work Plan and incorporated into the Finalized IV&V Management Plan.

1	Project Initiation			1	IV&V Management Plan and Monthly IV&V Status Reports
2	Project Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
2.1	Project Management Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
2.2	Product Development Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
2.3	Project and Product Policies and Standards Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports

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IT Integration & Conversion Project  
IV&V Management Plan**

**Response**

2.4	Project and Product Quality Assurance Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
2.5	Project and Product Risk Management Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
2.6	Project and Product Configuration Management Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
2.7	Project and Product Requirements Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
2.8	Project and Product Security and Capacity Assessment			1	IV&V Management Plan and Monthly IV&V Status Reports
3.0	Deliverable and Work Product Review			2	Monthly IV&V Status Reports
3.1	System engineering assessment of requirements analysis, specification and interface control			2	Monthly IV&V Status Reports
3.2	Operating environment assessment of system hardware and software			2	Monthly IV&V Status Reports
3.3	Data management assessment of data conversion, software and database design			2	Monthly IV&V Status Reports
3.4	Development environment assessment of hardware and software used for development			2	Monthly IV&V Status Reports



3.5	Software architecture assessment of design specifications			2	Monthly IV&V Status Reports
3.5	Code and testing assessment of product code, unit test, integration test, system test, Acceptance test, pilot test			2	Monthly IV&V Status Reports
4.0	Analyze past project performance as an input into identifying and making recommendations as well as providing input into lessons learned from the project.			2 and 3	Monthly IV&V Status Reports and IV&V Summary Report
5.0	Provide assessment reports related to both the management and technical aspects of the project as they relate to the items above.			2 and 3	Monthly IV&V Status Reports and IV&V Summary Report
6.0	Evaluate operations and maintenance procedures and any ongoing changes.			2 and 3	Monthly IV&V Status Reports and IV&V Summary Report

**Table 6.1 – High Level IV&V Tasks**

## **6.2 Milestone #1 - Project Assessment and Finalized IV&V Management Plan**

First Data will initiate the IV&V project, complete the preliminary project assessment and prepare the Finalized IV&V Management Plan as part of the completion of Milestone #1.

### **6.2.1 Project Initiation and Approach**

As part of the startup of the IV&V assessment, First Data will conduct a kickoff meeting with DPSS Management, IT and any other key stakeholders to:

- Initiate the IV&V review of the DPSS IT Integration and Conversion Project.
- Establish communication channels with DPSS Management, IT and other stakeholders.

First Data understands that DPSS management is eager to independently determine the overall health of the IT Integration and Conversion Project. DPSS is requesting a broad and deep review in a very short timeframe. First Data will complete the preliminary assessment within 30 calendar days of the IV&V Project start date; however, based on our experience, we believe that at least one additional week is required to compile the assessment information and prepare the Finalized IV&V Management Plan. First Data will then distribute the draft IV&V Management Plan to the DPSS management and IT teams for review and comment, prior to final submittal and approval. To mitigate this slightly elongated timeframe, First Data will prepare an Executive Summary Dashboard Report and conduct an interim review meeting with DPSS stakeholders approximately three weeks after IV&V Project initiation. This approach will provide DPSS with key information and assessment results, including issues and risks, in very short order, but without sacrificing the overall comprehensiveness and quality of the required Finalized IV&V Management Plan.

## **6.2.2 Conduct Project Assessment**

First Data will review and analyze each identified area as part of the Project Assessment. As part of this assessment, First Data will also provide suggestions and recommendations in each area as appropriate. These areas include:

- Project Management
- Product Development
- Project and Product Policies and Standards
- Project and Product Quality Assurance
- Project and product risk management
- Project and product configuration management
- Project and product requirements
- Project and product security and capacity

For each of the identified areas the Project Assessment will document the current status as well as establish the methods that will be used for ongoing evaluation of the Project. The Assessment will:

- Verify project information
- Review and Assess the Work Plan

- Document the methodology for project analysis and reporting
- Document the baseline for the project performance

Each of these assessment steps is discussed in the following subsections.

#### **6.2.2.1 Verify Project Information**

First Data will review the work plan and available project and product documentation, including standards, policies, processes and procedures and determine whether the documentation is accurate, consistent, and complete. As part of this step First Data will also schedule meetings with appropriate DPSS management, IT and other staff to confirm our interpretation and understanding of the information, ask clarifying questions and resolve any inconsistencies. Additionally, First Data will review the DPSS Strategic Plan and identify relevant components that are applicable to the Project and document associated requirements that the Project must meet. This step in the process assures that key components and factors are not overlooked.

#### **6.2.2.2 Review and Assess the Work Plan**

##### ***Identify and/or Validate Work Plan Tasks***

First Data will evaluate the work plan and each task to determine whether:

- The plan fits within the overall scope of the project
- The task titles are descriptive in nature and accurately depict the work to be performed
- The tasks flow in a logical sequence
- The level of detail associated with the tasks is consistent within the Work Plan
- Each task has a start and end date
- The reasonableness of completing each task at the appropriate start and end date
- The tasks on the critical path are clearly defined and identifiable
- Determine if the project is currently ahead, behind, or on schedule and which tasks on the critical path are at risk

First Data will also recommend additional tasks if the tasks presented do not provide enough detail. Based upon First Data's experience, recommendations will be made to mitigate risk or add additional contingencies.

### ***Identify and/or Validate Work Products and Milestones***

The work plan should logically identify associated work products, deliverables, and/or milestones. First Data will validate that these are documented and linked appropriately within the project work plan. If the work products or milestones identified do not provide enough detail, First Data will recommend additional information, as applicable.

### ***Estimate and/or Validate the Level of Effort and Resources Required***

The assessment of the level of effort and resources currently in process and required for the project will include a review of a variety of factors. To accomplish this step First Data will determine:

- Whether a structured process has been used to determine the level of effort or size of each task.
- Whether the estimate has been built using the lowest level of detail as the basis (bottom-up estimate).
- The appropriateness of the resource or position category (Manager, Analyst, Programmer, etc.) assigned to the tasks/subtasks.
- The reasonableness of the level of effort associated with each task and subtask and the resources assigned to the task. In determining reasonableness, First Data will assess whether the estimate can be verified using factors and criteria such as whether resources are over or under allocated in terms of utilization and timeframes, degree of difficulty, and dependencies with other tasks. First Data will also evaluate the activities to determine whether they adhere to defined DPSS standards and policies.
- The comprehensiveness of the level of effort associated with each task. First Data will validate that the estimate encompasses all appropriate primary tasks or phases, such as project management, design, coding, testing, User Acceptance Test (if appropriate), training and conversion/implementation.
- Whether the overall proportion of each major phase or task (project management, design, testing, etc.) is reasonable, appropriate and consistent with previous similar projects. In a network conversion example, does the project management portion typically represent 10-15% of the overall level of effort, with design and coding at 30-35%, testing at 15-20%, and conversion at 25-35%?

If there is not enough information regarding the level of effort and associated resources, First Data will identify and request additional detail as appropriate.

### ***Estimate and/or Validate the Schedule***

This step involves determining whether the tasks and the associated completion dates are reasonable and consistent, and whether the overall completion date can be achieved. First Data will evaluate the start and end dates for each task and ensure that each is realistic and achievable based on the actual work effort and the allocated resources. Additionally, First Data will use our experience on prior projects as an additional validation factor to determine the probability that DPSS IT can complete the work within the defined timeframes. If the schedule appears unrealistic, First Data will recommend alternate timeframes.

### ***Identify and/or Validate Assumptions or Constraints***

This step ensures that the factors that affect the overall estimate have been identified and explained. Based on past experience, First Data recognizes the importance of documenting assumptions and constraints. It is important that factors and dependencies are clearly delineated to clarify responsibilities and to avoid misunderstandings. Common assumptions include:

- Dependencies on specific numbers and types of DPSS IT resources to accomplish certain tasks within required timeframes.
- Dependencies on other DPSS or Vendor resources to accomplish certain tasks within required timeframes.
- Changes related to hardware, software, and/or network requirements, assumptions delineating the number of users and the percentage increase/decrease of users must be indicated since these are primary drivers for such changes.

First Data will review all documented assumptions and constraints and make recommendations for more detailed assumptions and/or additional assumptions as appropriate.

#### **6.2.2.3 Document the Methodology for Assessment and Reporting**

First Data will document the methodology for review, the findings discovered, analysis performed and recommendations within the IV&V Management Plan and within the Monthly Status Reports. First Data will document all assessment findings in a non-technical manner (to the extent feasible). This will ensure that all audiences will be able to review and assimilate our analysis, results and recommendations.

The First Data assessments will also contain the technical details to reinforce our assessments, analysis and recommendations. It is our experience that the backup details contain the necessary technical information to support the recommendations we provide.

This level of detail helps ensure that stakeholders understand the reason for the recommendation, and ultimately support implementing the recommended changes.

#### **6.2.2.4 Establish the Baseline for Project Performance**

The preliminary assessment completed as part of Milestone #1 will be used as the baseline for measurement in subsequent analysis and reporting that will be completed as part of Milestone #2, Monthly Progress Reporting.

#### **6.2.3 Prepare Finalized IV&V Management Plan**

First Data will meet with DPSS staff, solicit input and update the Finalized IV&V Management Plan. The completed Finalized IV&V Management Plan will be prepared, submitted and reviewed as described in Section 4.6, Deliverable Preparation and Quality.

### **6.3 Milestone #2 Monthly Progress Monitoring**

#### **6.3.1 IV&V Monthly Status Report**

As part of monitoring and measuring progress of the DPSS IT Integration and Conversion Project, First Data will produce a Monthly Status Report, which will include a summary of IV&V activities, assessment results, issues and risks associated with the reporting period.

First Data will work with DPSS IT and Management to develop the expectations, format, and communication channels for the status report. The status report will include an ongoing project scorecard or dashboard with key metrics to be jointly determined with DPSS. This indicator will reflect "at a glance" whether there are potential problems with scope, resources, budget or schedule or in the feasibility of achieving a project milestone or deliverable. It will also provide key decision points, recommendations and required follow-up actions items.

The Monthly Status Report will encompass a broad view of the Department's Integration and Conversion Project and will also include specific data relative to the tasks performed. The Monthly Status Report will include the following information:

- Executive Summary Dashboard
- Schedule (which reflects critical path tasks)
- Budgeted and Actual Cost Summary (if appropriate)
- Key Decision Points
- Milestones

- Activities Completed or in Process
- Activities Scheduled for the Upcoming Period
- Activities Scheduled for Completion this Period that were not Completed
- Risks/Issues/Concerns
- New or Escalated (triggered) Risks
- Open Action Items
- Assessments of Products and Processes
- Work Product/Artifact/Deliverable Review Status and Findings
- Recommendations

**6.3.1.1 Assessments of the Products and Processes**

As part of each Monthly Status Report, First Data will document the results of the ongoing Assessments of the Products and Processes. It is important to note that not every type of analysis applies to the diversity of priorities that DPSS has identified. The following table identifies the initial set of priorities that will be evaluated as part of our analysis. Upon project start First Data will work collaboratively with DPSS to map the analysis that will be completed to each DPSS identified priority.

System Engineering Assessment of Requirements Analysis, Specification and Interface Control	
Operating Environment Assessment of System Hardware and Software	
Data Management Assessment of Data Conversion, Software and Database Design	
Development Environment Assessment of Hardware and Software Used for Development	

Software Architecture	Assessment of Design Specifications
Code and Testing Assessment of Product Code, Unit Test, Integration Test, System Test, Acceptance Test, Pilot Test	Development of Microsoft SharePoint and Microsoft Dynamic CRM/XRM

Table 6.2 - Initial Set of Priorities

### 6.3.2 Management Briefings

First Data will hold monthly status meetings with DPSS to report on the current project status and review the Monthly Status Report. First Data is focused on delivering effective communication with our customers to ensure that all aspect of the project risks, issues and successes are acknowledged.

There are several key factors that we believe significantly contribute to the effectiveness of communication:

- **Awareness** - Communication about the project’s scope, roles and responsibilities, and status must occur. Stakeholder communication efforts should focus on information that contributes to the success of the project, or addresses the lack of communication that can lead to failure. If stakeholders are not properly informed of the project’s objectives, issues, outcomes, and progress, they will not be prepared for the changes transition will bring, nor will they adequately understand or support those changes.
- **Timeliness** - Information must be shared in a timely manner to allow stakeholders the opportunity to understand the information and have the opportunity to respond.
- **Content** - Communication content must be relevant, meaningful, timely, and at an appropriate level of detail for the intended audience. Expectations should be clearly communicated to ensure the proper feedback is received. Communication strategies should also be based on stakeholder needs and feedback.
- **Format** - All communications must be developed and delivered in a format that is efficient, understandable and easily accessible.



- **Consistency** – Project communications should be developed and delivered in such a way that promotes continuity to stakeholders and external agencies.

First Data understands that executive buy-in and participation on large projects are essential for successful outcomes. Without executive and stakeholder support, project tasks become secondary to other tasks, and resources, decision timeliness, and deliverable reviews become problematic. Strong executive and stakeholder investment is also essential to ensure that, at the conclusion of the project, the results and recommendations are supported by the key decision makers. First Data has experience with projects of all sizes and complexity and we understand what is needed to successfully engage stakeholders. First Data will review project charters, governance plans and communications plans to ensure that appropriate mechanisms are employed to facilitate executive and stakeholder communication including:

- Executive briefings and summaries that ensure executives are aware of the project and that their goals are reflected in its outcomes
- Steering Committees that include key divisional representatives
- Executive sponsors who support and participate in the project and track its progress
- A Communication Plan that outlines the responsibilities, schedule and audiences for project communications

First Data will verify that all stakeholders have been identified and an appropriate communication plan is in place as part of the preliminary assessment. As part of our ongoing assessment, we will evaluate the effectiveness of the communications by reviewing issues and risks for root cause associated with lack of stakeholder involvement and management communications. Periodically we will survey stakeholders to solicit input regarding enhancements that could be made to improve the effectiveness of communication.

## **6.4 Milestone #3 IV&V Summary Report**

Milestone #3 consists of a single deliverable; the IV&V Summary Report. It is described in the following subsection. As part of Milestone #3, First Data will conduct a meeting with DPSS stakeholders to review the IV&V Summary Report.

### **6.4.1 IV&V Summary Report**

Based upon the IV&V assessment services performed over the course of the IT Integration and Conversion Project, First Data will prepare the IV&V Summary Report to incorporate the current project status, assessment results, and recommendations made throughout the

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project. The final IV&V Summary Report will incorporate the following sections at a minimum:

- Executive Summary
  - ✓ Project Overview
  - ✓ Project Goals and Objectives
  - ✓ Completion of Project Goals and Objectives
  - ✓ Project Status Summary
  - ✓ Project Dashboard
- Project Management Summary
  - ✓ IV&V Team Summary
  - ✓ IV&V Work Plan and Task Summary
  - ✓ Summary of Key Meetings
  - ✓ Deliverable Summary
  - ✓ Issue Assessment Results (including alternative solutions)
  - ✓ Risk Assessment Results (including mitigation strategies)
  - ✓ Policies and Standards Assessment Results
  - ✓ Requirements Management Assessment Results
  - ✓ Quality Assurance Assessment Results
  - ✓ Summary of Project Management Recommendations
- Technical Summary
  - ✓ Technical Assessment Results Summary
  - ✓ Product Configuration Management Assessment Results
  - ✓ Product Security and Capacity Assessment Results
  - ✓ System Engineering Assessment Results

- ✓ Operating Environment Assessment Results
- ✓ Data Management Assessment Results
- ✓ Development Environment Assessment Results
- ✓ Software Architecture Assessment Results
- ✓ Summary of Technical Recommendations

## **7. Reporting Requirements**

First Data will provide DPSS with the required deliverables as well as briefings and reports as requested. The following table identifies the Deliverables, Briefings and Reports and the associated frequency with which they will be produced.

Finalized IV&V Management Plan	Within the first 30 days of project start
Preliminary Assessment	Within the first 30 days of project start
Monthly IV&V Reports	At the beginning of each month
Management Briefings	As requested
Assessment Reports	As requested
IV&V Summary Report	June 30, 2012

**Table 7.1 - Deliverables, Briefings and Reports**

## **8. Administrative Requirements**

This section will describe the anomaly resolution and reporting, task iteration policy, deviation policy, control procedures, and standards, practices, and conventions. This section will be completed after project initiation.

## **9. Documentation Requirements**

This section will document how produced documentation will be distributed and archived. This section will be completed after project initiation.

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## **Appendix A - Project Schedule**

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First Data will insert the current project schedule for the DPSS IT Integration and Conversion Project upon project initiation.

# Deliverable Sign-off Document

**Exhibit B**

Project Information		
Dept.	Project:	
Project Manager: County Project Manager		Ext:
SOW: SOW Reference		
Project Deliverable Description		
Due Date:	Deliverable#:	
Deliver to:		
Resource(s) Responsible:		
Deliverable Description:		
Deliverable Approval		
Approval Signatures:	Date:	Comments:
Contractor		
Project Manager		
CAU		
Project Sponsor		
Non Acceptance of Deliverable		
Signatures:	Date:	
Project Manager		
CAU		
Project Sponsor		
Reason for Non Acceptance		

Please return to:  
 Department of Public Social Services  
 Attn: C. Keith Jones, ITO  
 4060 County Circle Dr  
 Riverside CA, 92503









**Steps to Implement Change**


**Approvals**

<b>Project Manager</b>	<b>Signature</b>	<b>Date</b>
	<b>Signature</b>	<b>Date</b>
<b>CAU</b>		
<b>Project Sponsor</b>	<b>Signature</b>	<b>Date</b>



## MILESTONE PAYMENT SCHEDULE

<b>Milestone Description</b>	<b>Payment</b>
<b>Milestone #1</b>  Assessment and Finalized IV & V Management Plan presented to DPSS Management	\$80,000
<b>Milestone #2</b>  Monthly IV & V Reports and Management Briefings (9 months)	\$28,666.67 per month  up to a maximum of: \$258,000
<b>Milestone #3</b>  IV & V Summary Report and Final Management Briefing	\$54,400
<b>Maximum Reimbursable Amount</b>	<b>\$392,400</b>



COUNTY OF RIVERSIDE  
DEPARTMENT OF PUBLIC SOCIAL SERVICES

**CONTRACTOR PAYMENT REQUEST**

Exhibit E

To: Riverside County  
Department of Public Social Services  
Attn: Management Reporting Unit  
4060 County Circle Drive  
Riverside, CA 92503

Remit to Name \_\_\_\_\_  
Address \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_  
Contractor Name \_\_\_\_\_  
Contract Number \_\_\_\_\_

Total amount requested \_\_\_\_\_ for the period of \_\_\_\_\_ 20\_\_\_\_

Select Payment Type(s) Below:

<input type="checkbox"/> Advance Payment \$ _____ (if allowed by Contract/MOU)	<input type="checkbox"/> Actual Payment \$ _____ (Same amount as 2076B if needed)
<input type="checkbox"/> Unit of Service Payment \$ _____ # of Units) X (\$) _____	_____ # of Units) X (\$) _____
_____ # of Units) X (\$) _____	_____ # of Units) X (\$) _____
_____ # of Units) X (\$) _____	_____ # of Units) X (\$) _____

Any questions regarding this request should be directed to: \_\_\_\_\_  
Name Phone Number

I hereby certify under penalty of perjury that to the best of my knowledge the above is true and correct

\_\_\_\_\_  
Authorized Signature Title Date



Business Unit (5) _____	Purchase Order # (10) _____	Invoice # _____
Account (6) _____	Amount Authorized _____	
Fund (5) _____	If amount authorized is different from amount request, please explain:	
Dept ID (10) _____	_____	_____
Program (5) _____	Program (if applicable) _____	Date _____
Class (10) _____	Management Reporting Unit _____	Date _____
Project/Grant (15) _____	Contracts Administration Unit _____	Date _____
Vendor Code (10) _____	General Accounting Section _____	Date _____



## DEPARTMENT OF PUBLIC SOCIAL SERVICES FORMS

**Mailing Instructions:** When completed, these forms will summarize all of your claims for payment. Your Claims Packet will include **DPSS 2076A, 2076B** (if required). invoices, payroll verification, and copies of canceled checks attached, receipts, bank statements, sign-in sheets, daily logs, mileage logs, and other back-up documentation needed to comply with Contract/MOU.

**Mail Claims Packet to address shown on upper left corner of DPSS 2076A.**  
*[see method, time, and schedule/condition of payments].*  
*(Please type or print information on all DPSS Forms.)*

### **DPSS 2076A** **CONTRACTOR PAYMENT REQUEST**

#### **"Remit to Name"**

The legal name of your agency.

#### **"Address"**

The remit to address used when this contract was established for your agency. **All address changes must be submitted for processing prior to use.**

#### **"Contractor Name"**

Business name, if different than legal name *(if not leave blank)*.

#### **"Contract Number"**

Can be found on the first page of your contract.

#### **"Amount Requested"**

Fill in the total amount and billing period you are requesting payment for.

#### **"Payment Type"**

Check the box and enter the dollar amount for the type(s) of payment(s) you are requesting payment for.

#### **"Any questions regarding..."**

Fill in the name and phone number of the person to be contacted should any questions arise regarding your request for payment.

#### **"Authorized Signature, Title, and Date (Contractor's)"**

Self-explanatory (required). **Original Signature needed for payment.**

**EVERYTHING BELOW THE THICK SOLID LINE IS FOR DPSS USE ONLY AND SHOULD BE LEFT BLANK.**

