

ATTACHMENT 13: VENDOR ROLES AND RESPONSIBILITIES FOR TECHNICAL SERVICES

Vendor Roles and Responsibilities for Implementation and Support Services

Table 1. Workflow

Roles and Responsibilities	Vendor	IDR
1. Design workflows in collaboration with IDR	X	X
2. Validate and approve workflow design		X
3. Configure workflows	X	
4. Validate workflow configuration		X
5. Design and document all the workflows	X	
6. Train IDR/OCIO technical resources for maintaining workflows in the future	X	

Table 2. Business Rules

Roles and Responsibilities	Vendor	IDR
7. Define business rules in collaboration with IDR	X	X
8. Configure business rules	X	
9. Validate business rule definitions		X
10. Design and document all business rules	X	
11. Train IDR/OCIO technical resources for configuring and maintaining business rules in the future	X	

Table 3. Reporting and Analytics / Business Intelligence

Roles and Responsibilities	Vendor	IDR
12. Work closely with IDR to review the current standard and ad hoc reporting and analytics requirements and identify potential gaps	X	X
13. Create report designs	X	
14. Approve all reporting requirements and design		X
15. Implement the required reporting and analytical functionality	X	
16. User Acceptance Test (UAT) and approve reporting capability		X

Table 4. Hosting Services

Roles and Responsibilities	Vendor	IDR
17. Define and size environments for System set-up and configuration, customization, and testing	X	X

18. Create and maintain technical architecture diagrams for environments used during set-up, configuration, customization, and testing	X	
19. Validate technical architecture diagrams		X
20. Define and size environments for all production and pre-production environments	X	
21. Create and maintain technical architecture diagrams for production and pre-production environments	X	
22. Validate technical architecture diagrams		X
23. Purchase hardware and software licenses, as needed	X	
24. Manage Third Party relationships for all one-time and ongoing physical and site components and services (e.g. buildings, HVAC, security, inspections, disaster recovery tests, etc.)	X	

Table 5. Data Warehouse

Roles and Responsibilities	Vendor	IDR
25. Analyze and recommend a data warehouse implementation plan based on vendor assessment of IDR requirements	X	
26. Review and approve all assessments and data warehouse implementation plan		X
27. Create a design document for the data warehouse, including architecture, implementation approach, detailed plan, tools, and operational details	X	X
28. Review and approve specification for the data warehouse		X
29. Implement the data warehouse and perform knowledge transfer with IDR	X	

Table 6. Interfaces and Third Party Integrations

Roles and Responsibilities	Vendor	IDR
30. Design all interfaces and integrations	X	
31. Document all the interfaces and integrations	X	
32. Review and approve all interface designs and integration documentation		X
33. Build interfaces and integrations	X	
34. Test all the interfaces and integrations	X	
35. Approve and accept all the interfaces and integrations		X

Table 7. Program Management

Roles and Responsibilities	Vendor	IDR
36. Establish Program Management principles		X
37. Integrate with the existing IDR Program Governance structure and policies	X	
38. Work in collaboration with IDR to develop and maintain a project management plan and project control tools, including project schedule, risk and issue logs, and status reporting utilizing IDR templates, if available, or other standard templates approved by IDR	X	
39. Review and approve all the work products and deliverables		X
40. Determine Vendor resource allocation and assignment for the entire duration of the project	X	
41. Review and accept the resource allocation and assignment		X
42. Communicate with various IDR working groups about the Program status, risks, and issues by working collaboratively with the IDR Program Manager (PM)	X	
43. Provide budget, schedule, and resource updates to leadership	X	

Table 8. Organizational Change Management (OCM)

Roles and Responsibilities	Vendor	IDR
44. Align OCM methodology and tools between the Vendor the IDR Program Team	X	X
45. Proactively provide industry-, System-, and process-specific expertise to ensure OCM best practices are executed to minimize downstream re-work, sub-optimal business process performance, or sub-optimal System adoption	X	
46. Assist with preparing and aligning policy, process, organization, and any role changes to enable System adoption	X	X
47. Provide an independent assessment of go-live readiness along with risk mitigation recommendations	X	
48. Assist with establishing accountability for pre-go-live, cutover, and immediate post-go-live activities	X	X
49. As applicable, advise IDR as to remaining activities necessary to stand up information technology (IT) organizational capabilities	X	

Roles and Responsibilities	Vendor	IDR
(e.g. people, skills, processes, tools, etc.) to ensure IDR is appropriately ready for post-production support sustainment		
50. Consider IDR’s business context and the System’s impacts by working collaboratively with business process owners, functional leads, and other subject matter experts (SMEs) in all OCM activities	X	
51. Review and approve or reject OCM deliverables		X
52. Provide IDR OCM Team with input for IDR Program Communications as necessary, including but not limited to System knowledge, technology subject matter expertise, or operational / business domain SME, to develop and deliver necessary communications	X	
53. Deliver IDR communications to IDR stakeholders		X
54. Assist the IDR Program Team with executive communications to ensure ongoing alignment and support as well as to facilitate consensus on “go/no-go” decisions for each phase / release to-live	X	
55. Assist the IDR Program Team with project team communications to ensure alignment with priorities, decisions, risks, etc.	X	
56. Work collaboratively with the IDR OCM Lead to maintain the stakeholder analysis, stakeholder engagement, OCM, and communications plan	X	X
57. Provide recommendations regarding any IT role and/or organizational changes required to support IDR’s adoption and ongoing support and sustainment of the System	X	
58. Provide Business, User, and Functional stakeholders to support OCM activities		X
59. Work collaboratively with the IDR OCM Team to conduct an Organizational Change Impact Assessment (OCIA) for each release	X	
60. Work collaboratively with the IDR OCM Team to develop a Change Management Plan (CMP) for each release, including all tasks required by IDR to complete prior to go-live, to ensure readiness (e.g. process, tool, training, etc.)	X	
61. Work collaboratively with the IDR OCM Team to monitor benefits associated with the Program’s benefit strategy	X	

Roles and Responsibilities	Vendor	IDR
62. Work collaboratively with the IDR OCM Team to conduct Change Readiness Assessments (CRAs) with impacted stakeholder groups, for each release. The CRAs will be a direct input to ongoing change readiness reporting and go/no-go decisions for live System deployment milestones	X	

Table 9. Training and Knowledge Transfer

Roles and Responsibilities	Vendor	IDR
63. Develop training and knowledge transfer strategy	X	
64. Develop training needs analysis that documents all skills gaps, by role, in collaboration with IDR	X	
65. Develop training plan with courses and curriculum by role, and how training will be delivered	X	
66. Develop knowledge transfer plan that specifies the required courses and curriculum by role, knowledge achievement milestones, and a description of how the knowledge transfer will be conducted	X	
67. Review and approve training and knowledge transfer plans		X
68. Develop a plan for development and delivery of training and knowledge transfer modules	X	
69. Develop materials required for training delivery and knowledge transfer, including PowerPoint presentations, graphics, classroom exercises, computer-based training (CBT) modules, job utilities, user guides, etc.	X	
70. Ensure training content meets the requirements and IDR quality standards		X
71. Work closely with the IDR PM and business leads to develop a schedule for training.	X	
72. Administer end user training , including scheduling resources, classrooms, recordings, etc.		X
73. Deliver end user training	X	
74. Conduct knowledge transfer	X	
75. Develop and manage an evaluation mechanism that allows training and knowledge transfer participants to provide feedback on curriculum and materials	X	
76. Improve curriculum and materials based on evaluations and feedback	X	

Table 10. Business Process Analysis

Roles and Responsibilities	Vendor	IDR
77. Review business process flow and requirements documents	X	
78. Validate and identify changes to the business processes to fit future requirements and functionality and impact on the organization in collaboration with IDR	X	
79. Identify gaps between required functionality and available vendor functionality and validate the gaps with IDR	X	
80. Provide recommendations for business processes to fit standard configuration and/or software recommendations required to eliminate any functional gaps	X	
81. Review and approve recommendations and changes to business processes		X

Table 11. Configuration, Customization, and Testing

Roles and Responsibilities	Vendor	IDR
82. Identify and catalog configuration and impacts	X	
83. Setup necessary environments (e.g. development, testing, production, etc.)	X	
84. Validate environments	X	
85. Develop application configuration design, configuration, and documentation of all software functionality, including process flow diagram(s) and business rules	X	
86. Review and approve all configurations and documentation		X
87. Create unit, integration (end-to-end), performance, stress, security, and regression test plans that are fully documented and repeatable	X	
88. Approve all test plans		X
89. Create test cases, test data, and perform all testing (unit, integration, performance, stress, security, and regression, where applicable)	X	
90. Utilizing a requirements traceability matrix and demonstrations, verify the requirements as specified in the requirements document have been satisfied	X	
91. Review and approve testing results		X
92. Create UAT cases and test scripts	X	
93. Coordinate UAT (e.g. gain user involvement, establish and define acceptance criteria, set high-level test objectives, establish high-level test scenarios, etc.)		X
94. Support IDR in conducting UAT	X	

95. Conduct UAT, as required		X
96. Manage IDR's functional, integration, and regression test environments and associated test data, including creation and maintenance during the testing period	X	
97. Provide a comprehensive and complete set of documentation for testing results	X	
98. Review testing results for compliance with policies, procedures, plans, and test criteria and metrics (e.g. defect rates, progress against schedule, etc.)		X
99. Provide defect tracking system for all tests	X	
100. Approve the defect tracking system		X
101. Use the defect tracking system for all development and test activities, and provide access to IDR to view all test activities, as well as input defects, as needed	X	
102. Provide shared access to the mutually agreed defect tracking system for purposes of allowing IDR to initiate, track, and report found defects (i.e. UAT)	X	
103. Correct defects found as a result of testing efforts	X	
104. Conduct User Acceptance re-testing of corrected defects found		X
105. Develop specifications for various testing environments	X	
106. Develop a comprehensive testing schedule	X	
107. Develop tools and templates to document and discuss various test results	X	
108. Develop Acceptance criteria for various test cycles and scenarios		X
109. Conduct final System integration test which, in combination with UATs, will provide integrated System Acceptance	X	
110. Review and approve the System integration test results by IDR's Acceptance procedures		X

Table 12. Data Conversion and Migration

Roles and Responsibilities	Vendor	IDR
111. Identify and document data to be migrated or converted to the designed system	X	X
112. Provide the data model for the designed System	X	
113. Review and accept data model for the designed System		X
114. Develop approach for data conversion	X	X
115. Review and approve data conversion plans		X
116. Develop a data migration plan	X	X
117. Review and approve the data migration plan		X

118. Conduct mock conversions	X	
119. Verify results of mock conversions		X
120. Execute data migration	X	
121. Validate data migration		X

Table 13. Database Administration

Roles and Responsibilities	Vendor	IDR
122. Maintain and support all System database(s)	X	
123. Maintain a configuration log of distributed and implemented releases	X	
124. Determine the impact of the new release to the installed configuration	X	
125. Perform database tuning	X	
126. Implement, test, and deploy new releases	X	

Table 14. Support and Warranty Service Level Agreement (SLA)

Roles and Responsibilities	Vendor	IDR
127. Define standard service hours	X	
128. Define non-standard and holiday service hours	X	
129. Define defect classification levels	X	
130. Propose resolution timing for each defect classification	X	
131. Approve defect resolution timing definitions		X
132. Define warranty extension criteria	X	

Table 15. System Administration

Roles and Responsibilities	Vendor	IDR
133. Maintain system identity, authentication, and access security configuration and processes	X	
134. Configure the initial setup for System identity, authentication and security access	X	
135. Maintain a configuration log of distributed and implemented releases	X	
136. Receive, log, and review functional releases		X
137. Determine the impact of release on the installed configuration	X	
138. Implement, test, and deploy a release, patch, or service pack	X	
139. Maintain system configuration (e.g. application, process flows, workflow, reports, interface, customizations, etc.) documentation (e.g. Specifications, test scripts, training documentation, help desk material, etc.)	X	

Roles and Responsibilities	Vendor	IDR
140.Document any customizations	X	
141.Identify, document, and justify changes to System configuration	X	
142.Design and build configuration changes in development environment	X	
143.Promote change to test environment and perform testing	X	
144.Promote to production and execute deployment tasks	X	
145.Schedule and perform System backup	X	

Table 16. Help Desk Support

Roles and Responsibilities	Vendor	IDR
146.Work with IDR to develop an integrated process to manage a three-tier help desk	X	
147.Provide Level 1 Help Desk support		X
148.Provide training for identified Help Desk resources for Level 1 Help Desk support	X	
149.Provide Level 2 Help Desk Support integrated with the State’s ticketing system	X	
150.Coordinate with the application vendor to provide Level 3 support integrated with the State’s ticketing system	X	