AMENDMENT OF SOLICITATION / MODIFICATION OF CONTRACT	1. Contract Number CFOPD-20-C-011	Page of Pages 1 / 25

2. Amendment/Modification Number Modification No. 5	3. Effective Date See 16 C below	4. Requisition/Purchase Request No.	5. Solicitation Caption IV&V Services (DIFS and TMS)

6. Issued by: Office of the Chief Financial Officer Office of Contracts 1100 4th Street, S.W. Suite E620 Washington, D.C. 20024 Code	7. Administered by (If other than line 6)

8. Name and Address of Contractor (No. street, city, county, state and zip code) **Gartner, Inc.** 56 Top Gallant Road Stamford, CT 06902 Attn: Meg Collins, Senior Managing Partner Email: meg.collins@gartner.com Code Facility	9A. Amendment of Solicitation No.
	9B. Dated (See Item 11)
	X 10A. Modification of Contract/Order No. CFOPD-20-C-011
	10B. Dated (See Item 13) December 2, 2019

11. THIS ITEM ONLY APPLIES TO AMENDMENTS OF SOLICITATIONS

☐ The above numbered solicitation is amended as set forth in item 14. The hour and date specified for receipt of Offers ☐ is extended. ☐ is not extended. Offers must acknowledge receipt of this amendment prior to the hour and date specified in the solicitation or as amended, by one of the following methods: (a) By completing Items 8 and 15, and returning _____ copies of the amendment: (b) By acknowledging receipt of this amendment on each copy of the offer submitted; or (c) BY separate letter or fax which includes a reference to the solicitation and amendment number. FAILURE OF YOUR ACKNOWLEDGMENT TO BE RECEIVED AT THE PLACE DESIGNATED FOR THE RECEIPT OF OFFERS PRIOR TO THE HOUR AND DATE SPECIFIED MAY RESULT IN REJECTION OF YOUR OFFER. If by virtue of this amendment you desire to change an offer already submitted, such may be made by letter or fax, provided each letter or telegram makes reference to the solicitation and this amendment, and is received prior to the opening hour and date specified.

12. Accounting and Appropriation Data (If Required)

13. THIS ITEM APPLIES ONLY TO MODIFICATIONS OF CONTRACTS/ORDERS, IT MODIFIES THE CONTRACT/ORDER NO. AS DESCRIBED IN ITEM 14

	A. This change order is issued pursuant to (Specify Authority): 27 DCMR 2008
	B. The above numbered contract/order is modified to reflect the administrative changes (such as changes in paying office, appropriation data etc.) set forth in item 14, pursuant to 27 DCMR Section 3601.3.
	C. This supplemental agreement is entered into pursuant to authority of:
X	D. Other (Specify type of modification and authority): Section I.8 and 27 DCMR 3601.2

E. IMPORTANT: Contractor ☐ is not ☒ is required to sign this document and return one copy to the issuing office.

14. Description of Amendment/Modification (Organized by UCF Section headings, including solicitation/contract subject matter where feasible.)

The purpose of Modification No. 5 is to update the pricing and requirements as set forth beginning on page 2.

All other terms and conditions shall remain unchanged.

Except as provided herein, all terms and conditions of the document is referenced in Item 9A or 10A remain unchanged and in full force and effect.

15A. Name and Title of Signer (Type or print) Scott Lyon, Director Legal Affairs	16A. Name of Contracting Officer Dorothy Whisler Fortune, Esq., CPPO, Drakus Wiggins, CPPB, CPPO or Anthony A. Stover, CPPO

15B. Name of Contractor Gartner, Inc. *Scott Lyon* (Signature of person authorized to sign)	15C. Date Signed Nov. 17,2021	16B. District of Columbia (Signature of Contracting Officer)	16C. Date Signed Nov 17, 2021

I. Modification No. 5 makes the following changes to the contract:

A. In Section B, B.1, *General Information,* the language is updated, and B.5.2, *Pricing Summary*, the table is updated to reflect the new not-to-exceed amount.

B. Section C, *Description/Specification/Work Statement*, is being replaced in its entirety. The changes to Section C include the following:

1. Removing the ARIBA Cloud requirement and clarifying the Procure to Pay (P2P) requirement (Section C.1.3).
2. Adding language to Section C.4.2, which was previously reserved, to set forth the current timeline and clarify the TMS requirement.
3. Clarifying the work product in Sections C.4.4 and C.6.1(e).
4. Correcting EFS references to DIFS.
5. Removing graphic chart from Section C.11.1 and replacing with language.

C. Add to Section H the special provision concerning the District's COVID Emergency.

II. The changes to the contract provisions are as follows:

1. **DELETE** Section B.1, *General Information*, in its entirety and **REPLACE** with the following:

B.1   GENERAL INFORMATION

The District of Columbia Office of the Chief Financial Officer, Office of the Chief Information Officer (OCIO) (the "District") requires the Contractor to provide Independent Verification and Validation (IV&V) services for the implementation of the new District Financial Management System (DIFS) and Treasury Management System (TMS). The Contractor shall assist the District and the strategic partners in minimizing risk associated with implementing Oracle Cloud Financials and a SaaS based Treasury Management System. IV&V's scope shall include review of the software configuration and change management processes, procedures and output for early detection of risks and issues and provide the District with recommendations for proactive strategies to mitigate such risks. The enhanced management insight will result in additional confidence by the District that the implemented solutions will satisfy the business needs and associated requirements for security, availability, change management, quality, and maintainability.

2. **DELETE** Section B.5.2 in its entirety and **REPLACE** with the following:

B.5.2   **Pricing Summary**

Contract Line Item (CLIN)	Description	Base	Option Year 1	Option Year 2	Option Year 3	Option Year 4	Option Year 5	Option Year 6	Total
001	DIFS IV&V Services	$1,921,338	$2,897,838	**$2,500,000**	$1,722,809	$0	$0	$0	$9,041,985.00
002	TMS IV&V Services	$853,713	$426,856.50	**$0**					$1,280,569.50
003	ARIBA Cloud IV&V Services	$567,090	$0	**$0**					$567,090.00
								Total	**$10,889,644.50**

The CLIN 001 services (DIFS) shall begin upon award of the contract. When required, the District will purchase CLINs 002 (TMS) and 003 (ARIBA Cloud) via modification to the contract. The price proposed for CLINSs 002 and 003 will be prorated in accordance with the terms of the contract at the time of modification issuance.

3. **DELETE** Section C in its entirety and **REPLACE** with the following:

<div align="center">

SECTION C

DESCRIPTION/SPECIFICATIONS/WORK STATEMENT

</div>

C.1   SCOPE

C.1.1   The Office of the Chief Financial Officer (OCFO) for the District of Columbia (District), Office of the Chief Information Officer (OCIO) requires the Contractor to provide Independent Verification & Validation (IV&V) for implementation of a DIFS and TMS. DIFS will be an Oracle Cloud solution including ERP and EPM components. The District seeks to deploy functionality to support business processes for Financial Management, Grants and Project Accounting, Purchasing and Planning and Budgeting. The Treasury Management System will be Kyriba.

C.1.2   DIFS shall replace the District's mainframe-based financial System of Accounting and Reporting (SOAR, but better known commercially as R*STARS) as well as replacing other legacy District systems.

C.1.3   DIFS shall deliver an improved Procure to Pay (P2P) process. The planned changes will require significant coordinated changes to and integration between DIFS and the Procurement Automated Support System (PASS), an on-premise Ariba system. It is anticipated that some functionality and master data

currently residing with one system (SOAR or PASS) will require modification to shift to another system (DIFS or PASS). The District requires IV&V services to confirm the proper governance, communication, planning, design, and timely execution of these changes and integrations takes place with the participating entities external to the OCFO, including, but not limited to, the Mayor's Office, Office of Contracting and Procurement (OCP) and the Office of the Chief Technology Officer (OCTO).

C.1.4   The District has awarded a contract for a Treasury Management System (TMS) that would automate the standard, day-to-day treasury transactions. Automation reduces the risk of errors due to human involvement in the payments and reconciliation processes. The objective is to move away from manual, labor intensive processes, to improve operating efficiency and provide personnel with the opportunity to have a more strategic role within the Office of Finance and Treasury. Additionally, the TMS will automate the standard, day-to-day treasury transactions, drive improved workflow and reporting capabilities across the following functional areas:

- Cash Management (cash position, bank polling, and managing bank accounts);
- Cash Forecasting;
- Investment Management;
- Electronic Funds Transfer;
- G/L Accounting; and
- Compliance and Risk Management, including the ability to monitor real-time Treasury Management compliance with new regulations and accounting standards.

C.2   DEFINITIONS

See **Attachment J.21** for the glossary of relevant terms contained herein.

C.3   BACKGROUND

C.3.1   In 1999 the District implemented the R*STARS system as the District's official accounting and reporting system of record, SOAR. Interface files from agency systems are uploaded to SOAR each night allowing the SOAR system to record financial transactions, make payments to vendors for services and goods provided, record and depreciate assets, manage fund transfers for payments and refunds, record journal adjustments, and at the end of the fiscal year create the Comprehensive Annual Financial Report (CAFR) and the accompanying Popular Annual Financial Report (PAFR).

C.3.2   The Office of Finance and Treasury (OFT) performs specific treasury tasks related to cash and liquidity management, payments (electronic funds transfer), investment management and cash forecasting. Cash flows come in from a variety of sources (such as: property and income taxes, federal grant drawdowns, the DC Lottery, agency fees, delinquent collections and other sources). Currently, OFT staff retrieve on-line banking information and manually reconcile cash flows on Excel spreadsheets to determine cash balances and/or liquidity requirements. Payment requests are received from various DC Government Agencies via email and are entered into the cash positioning worksheet (CPW) and loaded into the appropriate bank portal for processing. The average quarterly wire transfer volume and dollar amount is 1,150 transactions and $5.4 billion, respectively. Cash is transferred through multiple proprietary bank portals and manually recorded in Excel spreadsheets for subsequent entry into the legacy general ledger system, R*STARS, also known as the System of Accounting and Reporting (SOAR). Short-term

investments are increased or decreased to reflect the day's liquidity needs. Longer term investments are determined by analysis of the cash forecast, which is updated daily.

C.3.3   There are various interfaces to SOAR from other systems, such as Ariba for procurement, PeopleSoft for Payroll, the Budget Formulation Application (BFA) for budgetary controls on spending and obligations, and GenTax for tax data.

C.4   <u>REQUIREMENTS</u>

C.4.1   The Contractor shall serve as an independent entity that will primarily evaluate the performance and work products generated by the DIFS and TMS implementation and change management contractors. The Contractor shall confirm that the DIFS and TMS development, change management and implementation efforts conform to industry standards as well as to identity and mitigate any risks and issues as early in these three programs as possible to minimize their impact across these programs. While the implementation and/or change management contracts will be responsible for executing each phase of the program, the Contractor shall have a comprehensive understanding of Financial, Contracting and Treasury systems development and change management processes that enables them to anticipate vendors' behavior and provide the District with an independent assessment as to the quality of work produced by the implementation and change management contractors.   There will be significant integration between the DIFS and the existing PASS solution to support Procure to Pay processes, which will create significant risk to the success of both programs.

C.4.2   The DIFS implementation blueprinting phase completed in May 2020 and the Pre-Construction Phase completed in June 2021. DIFS implementation is scheduled for a Phase 1 go-live date of October 2022, and a Phase 2 go-live date of October 2023. The TMS program is anticipated to start Phase 2 in October 2021 with anticipated completion in January 2022, with residual DIFS-TMS integration work continuing through DIFS Phase 1 go-live. However, the District does not require IV&V services for the TMS Phase 2. In IV&V Option Year 3, DIFS Phase 2 will focus primarily on Budget Formulation (BF) and is expected to include (in Option Year 3) three Sprints, system integration and user acceptance testing of BF features, configuration, deployment, transition, knowledge transfer, and related organizational change management activities. The District does not anticipate a need for IV&V services after IV&V Option Year 3.

C.4.3   RESERVED

C.4.4   The Contractor shall provide all services and deliverables as required, described, and detailed by this Scope of Work ("SOW") to the extent they align with the focus area(s) of the Ongoing IV&V Reviews as described in Section C.6.1(e), and shall meet all service and delivery timelines. A project schedule with delivery timelines shall be established within thirty (30) days of the date of the award

C.4.5   The Contractor shall provide an objective assessment of the quality, completeness, and effectiveness of implementation processes and deliverables during the DIFS and TMS and deployments; facilitate early detection and correction of cost and schedule variances; and assist Project Management and Executive Leadership in identifying risks and in developing mitigation plans for these risks. The Contractor shall provide independent oversight and improve the outcome of these critical projects by providing regular and periodic assessment of the projects as they progress through the system development lifecycle. Since the cost and complexity of correcting system problems increases as the timetable progresses, it is important to identify and eliminate or minimize risks before they become unmanageable and costly.

C.4.6   The Contractor shall provide the District with an independent assessment of the quality and appropriateness of the work performed by the DIFS and TMS Implementation Contractors, and the DIFS and TMS Organizational Change Management (OCM) Contractors -- including their work products/deliverables in accordance with the provisions of this statement of work.

C.4.7   The Contractor shall aid in the early detection and recommend solutions/mitigations of problems, risks and issues associated with the project lifecycle activities. The focus is on assessing and managing risks and providing quality assurance throughout the entire lifecycles of the DIFS and TMS projects.

C.4.8   The Contractor shall provide independent weekly written reports as directed/necessary assessing the progress towards attainment of project objectives. The reports shall include: the risk areas, priorities, description, proposed mitigation, status update, risk types, and stakeholder impacts.

C.4.9   The Contractor shall function independently from the Implementation Contractors and Organization Change Management (OCM) Contractors; however, the Contractor will have timely access to the Implementation teams' interim and final products, outputs and deliverables. The Contractor shall attend and monitor meetings and presentations regarding project status, planning, risk and issue management, system design/configuration, and deliverable walk-throughs.

C.4.10   The Project Manager (PM) shall report to the Contracting Officer Technical Representative (COTR) and notify the COTR of any contractual, billing, or staffing issues regarding the contract. The Contractor shall report any issues or conflicts that occur with the Implementation Contractors, the OCM Contractors and/or District staff to the COTR and/or the Contracting Officer for resolution. The COTR and the Contracting Officer shall make any final determination on any conflicts between the Contractor, the Implementation Contractors, the OCM teams and/or District staff.

C.4.11   The Contractor shall provide independent weekly written reviews and assessments of all project artifacts and deliverables created by the Implementation Contractors, Hosting/SaaS Providers, OCM Contractors and by District staff. These written reviews and assessments can include but are not limited to:

   a. Proposals
   b. Program/project plans
   c. Program/project schedules
   d. Project Estimation and Scheduling
   e. Project Staffing
   f. Functional and Technical Requirements specifications
   g. Requirements traceability matrices
   h. Conversion test plans
   i. System integration test plans
   j. User acceptance test plans
   k. Performance test plans
   l. Load test plans
   m. Cutover plans
   n. Backup and Recovery plans
   o. Test results
   p. Test scripts and results

q. Change management plan
r. Risk and issue registers
s. Risk analyses and mitigation plans
t. Cost analyses and mitigation plans
u. Schedule analyses and mitigation plans
v. System design/configuration documentation
w. Business Gap Analyses and mitigation plans
x. System Security Plan
y. System Test and Evaluation Results
z. POA&M reports
aa. Interface development, testing and implementation plans
bb. Workflow
cc. Configuration Control plans
dd. Quality Assurance Plan
ee. Communication plans
ff. Data conversion/creation plan
gg. Training Plan
hh. User training and documentation
ii. Third Party Agreements
jj. Organizational Change Management plan and associated deliverables
kk. Business Process Re-Engineering plan and associated deliverables
ll. Any other processes, programs or issues as directed by the OCFO Director, Office of Contracts

C.4.12 Tasks shall include, but are not limited to, the following detailed activities and tasks typical of standard IV&V projects:

a. *Project Management*

Task #	Task Description	Program Requiring Service
PM1	Evaluate the project management plans and procedures to verify that they are developed, communicated, implemented, monitored, and completed.	DIFS and TMS
PM2	Initial evaluation of project reporting plan and actual project reports to verify project status is accurately traced using project metrics.	DIFS and TMS
PM3	Verify milestones and completion dates are planned, monitored, and met.	DIFS and TMS
PM4	Verify the existence and communication of an appropriate project issue tracking mechanism that documents issues as they arise, enables communication of issues to proper stakeholders, documents a mitigation strategy as appropriate, and tracks the issue to closure. This should include but is not limited to technical and development efforts.	DIFS and TMS

b. Risk Management

Task #	Task Description	Program Requiring Service
RM1	Evaluate the project's risk management plans and procedures to verify that risks are identified and quantified and that mitigation plans are developed, communicated, implemented, monitored, and completed.	DIFS and TMS
RM2	Interview stakeholders to identify additional risks and work with project team to identify risk mitigation strategy.	DIFS and TMS
RM3	Develop and maintain an independent risk management log for each project of risks identified by IV&V not identified by the Implementation and/or OCM teams. Present the IV&V risk log at each Executive Steering Committee meeting, tracking progress made in mitigating the risks identified by IV&V, closing risks as they are remediated, and identifying residual risks that cannot be remediated.	DIFS and TMS

c. Project Estimating and Scheduling

Task #	Task Description	Program Requiring Service
PE1	Evaluate and make recommendations on the estimating and scheduling process of the project to ensure that the project budget and resources are adequate for the work breakdown structure and schedule.	DIFS and TMS
PE2	Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework.	DIFS and TMS

d. Project Staffing

Task #	Task Description	Program Requiring Service
PS1	Verify that the project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, Change Management and any other functions critical for the project success.	DIFS and TMS
PS2	Verify that the obligations of sub-contractors and external staff (terms, conditions, statement of work,	DIFS

Task #	Task Description	Program Requiring Service
	requirements, standards, development milestones, acceptance criteria, delivery dates, etc.) are clearly defined.	
PS3	Verify that the subcontractor has and maintains the required skills, personnel, plans, resources, procedures and standards to meet their commitment.	DIFS
PS4	Verify that District oversight is provided in the form of periodic status reviews and technical interchanges by the appropriate stakeholders.	DIFS and TMS
PS5	Verify that the District has defined the technical and managerial inputs the contractor(s) need (reviews, approvals, requirements and clarifications, etc.) and has the resources to supply them on schedule.	DIFS and TMS
PS6	Verify that the appropriate staff has the ultimate responsibility for monitoring project cost and schedule across the whole program.	DIFS and TMS

e. *Configuration Management*

Task #	Task Description	Program Requiring Service
CM1	Review and evaluate the configuration management (CM) plans and procedures associated with the development process.	DIFS and TMS
CM2	Verify that all critical development documents, including but not limited to requirements, design, and code are maintained under an appropriate level of control.	DIFS and TMS
CM3	If code development is required, verify that the processes and tools are in place to identify code versions and to rebuild system configurations from source code.	DIFS and TMS
CM4	If code development is required, verify that appropriate source code is maintained for training, testing, and production and that formal sign-off procedures are in place for approving work products.	DIFS and TMS
CM5	Verify that appropriate processes and tools are in place to manage system changes, including formal logging of change requests and the review, prioritization and timely scheduling of maintenance actions.	DIFS and TMS
CM6	Verify that mechanisms are in place to prevent unauthorized changes being made to the system and to prevent authorized changes from being made to the wrong version.	DIFS and TMS

Task #	Task Description	Program Requiring Service
CM7	Review the use of CM information (such as the number and type of corrective maintenance actions over time) in project management.	DIFS and TMS

f. Quality Assurance

Task #	Task Description	Program Requiring Service
QA1	Evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.	DIFS and TMS
QA2	Verify that the QA function has an appropriate level of independence from project management.	DIFS and TMS
QA3	Verify that the QA function monitors the fidelity of all defined processes in all phases of the project.	DIFS and TMS
QA4	Verify that the quality of all products produced by the project is monitored by formal reviews and sign-offs.	DIFS and TMS
QA5	Verify that project self-evaluations are performed and that measures are continually taken to improve the process.	DIFS and TMS
QA6	Monitor the performance of the QA function by reviewing its processes and reports and performing spot checks of system documentation; assess findings and performance of the processes and reports.	DIFS and TMS
QA7	Verify that QA has an appropriate level of independence; evaluate and make recommendations on the project's Quality Assurance plans, procedures and organization.	DIFS and TMS
QA8	Evaluate if appropriate mechanisms are in place for project self-evaluation, stakeholder feedback and process improvement.	DIFS and TMS

g. Project Quality Management: Process Definition and Technology Standards

Task #	Task Description	Program Requiring Service
PD1	Review and make recommendations on all defined processes and product standards associated with the system development.	DIFS and TMS
PD2	Verify that all major development processes are defined and that the defined and approved processes and standards are followed in development.	DIFS and TMS

Task #	Task Description	Program Requiring Service
PD3	Verify that the processes and standards are compatible with each other and with the system development methodology.	DIFS and TMS
PD4	Verify that all process definitions and standards are complete, clear, up-to-date, consistent in format, and easily available to project personnel.	DIFS and TMS

h. Organization Change Management

Task #	Task Description	Program Requiring Service
OC1	Review and make recommendations on the change management project plan provided by contractors.	DIFS and TMS
OC2	Evaluate and provide recommendation about the effectiveness of change management effort.	DIFS and TMS
OC3	Review and provide feedback on Change Management Strategy and management Plan, stakeholder analysis report, change management assessment, communication strategy and plan and other documents created by contractors.	DIFS and TMS
OC3	Review and provide feedback on Change Management Strategy and management Plan, stakeholder analysis report, change management assessment, communication strategy and plan and other documents created by contractors.	DIFS and TMS
OC4	Review and provide feedback on lessons learned report developed during each wave of the project.	DIFS and TMS
OC5	Review and provide feedback on Competency Framework, Job Impact Analysis report, effectiveness of Leadership action plan, and new Organization Structure to support new system.	DIFS and TMS

i. Training

Task #	Task Description	Program Requiring Service
TR1	Review and make recommendations on the training provided to system users. Verify sufficient knowledge transfer for maintenance and operation of the new system.	DIFS and TMS
TR2	Verify that training for users is instructor-led and hands-on and is directly related to the business process and required job skills.	DIFS and TMS

Task #	Task Description	Program Requiring Service
TR3	Verify that user-friendly training materials and help desk services are easily available to all users.	DIFS and TMS
TR4	Verify that all necessary policy and process and documentation are easily available to users.	DIFS and TMS
TR5	Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided, as needed.	DIFS and TMS

j. Requirements Management

Task #	Task Description	Program Requiring Service
RQ1	Evaluate and make recommendations on the project's process and procedures for managing requirements.	DIFS and TMS
RQ2	Verify that system requirements are well-defined, understood, and documented.	DIFS and TMS
RQ3	Evaluate the allocation of system requirements to hardware, security and software requirements.	DIFS and TMS
RQ4	Verify that software requirements can be traced through design, code and test phases to verify that the system performs as intended and contains no unnecessary software elements.	DIFS and TMS
RQ5	Verify that requirements are under formal configuration control.	DIFS and TMS

k. Security Requirements

Task #	Task Description	Program Requiring Service
SR1	Evaluate and make recommendations on project policies and procedures for ensuring that the system is secure, and that the privacy of client data is maintained.	DIFS and TMS
SR2	Evaluate the project's restrictions on system and data access.	DIFS and TMS
SR3	Evaluate the project's security and risk analysis.	DIFS and TMS
SR4	Verify that processes and equipment are in place to back up client and project data and files and archive them safely at appropriate intervals.	DIFS and TMS

l. *Requirements Analysis*

Task #	Task Description	Program Requiring Service
RA1	Verify that an analysis of District's needs and objectives has been performed to verify that requirements of the system are well understood, well defined, and satisfy federal and state-local regulations.	DIFS and TMS
RA2	Verify that stakeholders have been consulted to the desired functionality of the system, and that users have been involved in prototyping of the system.	DIFS and TMS
RA3	Verify that stakeholders have bought-in to all changes which impact project objectives, cost, or schedule.	DIFS and TMS
RA4	Verify that performance requirements (e.g. timing, response time and throughput) satisfy user needs.	DIFS and TMS

m. *Interface Requirements*

Task #	Task Description	Program Requiring Service
IR1	Verify that system interfaces are exactly described, by function, including input/output data format and frequency.	DIFS and TMS
IR2	Verify those approved interface documents are available and that appropriate relationships (such as interface working groups) are in place with all agencies and organizations supporting the interfaces.	DIFS and TMS
IR3	Verify the critical interfaces between DIFS and PASS are meeting the requirements of District	DIFS and TMS

n. *Requirements Allocation and Specification*

Task #	Task Description	Program Requiring Service
RS1	Verify that all system requirements have been allocated to either a software or hardware subsystem.	DIFS and TMS
RS2	Verify that requirements specifications have been developed for all hardware and software subsystems in a sufficient level of detail to ensure successful implementation.	DIFS and TMS

o. *Operating Environment System Capacity*

Task #	Task Description	Program Requiring Service
OE1	Evaluate the existing processing capacity of the system and verify that new system will meet the needs for both batch, real time and on-line processing.	DIFS and TMS
OE2	Evaluate the results of any volume testing or stress testing.	DIFS and TMS

p. *Design Documentation*

Task #	Task Description	Program Requiring Service
DD1	Evaluate the design products for adherence to the project design methodology and standards.	DIFS and TMS
DD2	Evaluate the design and analysis process used to develop the design and make recommendations for improvements. Evaluate design standards, methodology and tools used and make recommendations.	DIFS and TMS
DD3	Verify that requirements listed in the design documents can be traced back to system requirements.	DIFS and TMS
DD4	Evaluate the design and analysis process used to develop the design and make recommendations for improvements made.	DIFS and TMS
DD5	Verify that all design products are under configuration control and formally approved.	DIFS and TMS
DD6	Evaluate batch jobs for appropriate scheduling, timing and internal and external dependencies.	DIFS and TMS

q. *Code Documentation*

Task #	Task Description	Program Requiring Service
CD1	Evaluate Code documentation quality, completeness and accessibility and make recommendation.	DIFS and TMS
CD2	Evaluate the coding standards and guidelines and the projects compliance with these standards and guidelines and make recommendation.	DIFS and TMS
CD3	Verify that developed code is kept under appropriate configuration control and is easily accessible by developers.	DIFS and TMS
CD4	Evaluate the project's use of software metrics in management and quality assurance.	DIFS and TMS

r. *Unit Testing*

Task #	Task Description	Program Requiring Service
UT1	Evaluate the plans, requirements, environment, tools, and procedures used for unit testing system modules.	DIFS and TMS
UT2	Evaluate the level of test automation and provide recommendations.	DIFS and TMS
UT3	Verify that the test process achieves an appropriate level of test coverage, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented.	DIFS and TMS

s. *System Integration Testing*

Task #	Task Description	Program Requiring Service
SI1	Evaluate the plans, requirements, environment, tools, and procedures used for integration testing of system modules.	DIFS and TMS
SI2	Evaluate the level of automation and the availability of the system test environment.	DIFS and TMS
SI3	Verify that the test process achieves an appropriate level of test coverage, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented, including formal logging of errors found in testing.	DIFS and TMS
SI4	Verify that the test organization has an appropriate level of independence from the development organization.	DIFS and TMS
SI5	Evaluate project plans for each implementation to ensure that deliverables and critical paths are aligned to meet each project major deadlines and milestones.	DIFS and TMS

t. *Interface Testing*

Task #	Task Description	Program Requiring Service
IT1	Evaluate interface testing plans and procedures for compliance with industry standards.	DIFS and TMS

u. *Acceptance and Turnover*

Task #	Task Description	Program Requiring Service
AT1	Acceptance procedures and acceptance criteria for each product must be defined, reviewed, and approved prior to test and the results of the test must be documented. Acceptance procedures must also address the process by which any software product that does not pass acceptance testing will be corrected.	DIFS and TMS
AT2	Verify that appropriate acceptance testing based on the defined acceptance criteria is performed satisfactorily before acceptance of software products.	DIFS and TMS
AT3	Verify that the acceptance test organization has an appropriate level of independence from the contractor.	DIFS and TMS
AT4	Verify that training in using the contractor-supplied software is on-going throughout the development process, especially If the software is to be turned over to the District's staff for operation.	DIFS and TMS
AT5	Review and evaluate testing implementation plan.	DIFS and TMS

v. *Data Conversion*

Task #	Task Description	Program Requiring Service
DC1	Evaluate the proposed plans, procedures and software for data conversion.	DIFS and TMS
DC2	Verify that procedures are in place and are being followed to review the completed data for completeness and accuracy and to perform data cleanup as required.	DIFS and TMS
DC3	Determine conversion error rates and if the error rates are manageable.	DIFS and TMS
DC4	Provide recommendations on making the conversion process more efficient and on maintaining the integrity of data during the conversion.	DIFS and TMS

C.4.13   The Contractor shall review these work products for quality, accuracy, completeness, and adherence to contractual and functional/technical requirements. The written review shall identify schedule, cost and technical inconsistencies, errors, or other issues that may present a risk to the programs/projects and shall recommend acceptance or rejection of deliverables based upon the above criteria (*e.g.,* quality, accuracy, completeness, and adherence to requirements).

C.4.14   The Contractor shall conduct IV&V on all aspects of the District's progress and the District's oversight and management of the Implementation and OCM Contractors.

C.4.15   The Contractor shall conduct IV&V of deliverables provided by the Implementation and OCM
          Contractors and report findings per the requirements of the Scope of Work and established project
          schedule.

C.4.16   The Contractor shall conduct IV&V in parallel with program activities and shall include independent
          evaluation to validate that the systems are likely to perform required business functions at the correct
          time in each project's life cycle.

C.4.17   The Contractor shall establish and document in writing a set of IV&V guidelines that will be utilized to
          validate Implementation and OCM contractor(s) compliance with user, contract, program, and functional
          requirements. Additionally, deliverables shall be reviewed to ensure that they satisfy the standards,
          practices, and convention of the program "stage" and that they establish the proper basis for initiating
          next "stage" activities.

C.4.18   The Contractor's reviews, assessments, recommendations, and actions shall be based on professional
          evaluations of lifecycle cost, best business practices, and applicable standards such as Control
          Objectives for Information and related Technology (COBIT) and PMI's Project Management Body of
          Knowledge (PMBOK).

C.4.19   The Contractor shall review the program risk register and the risk management plan and provide an
          assessment to the COTR on at least a monthly basis; or as directed by the COTR. Additionally, the
          Contractor shall review the risk management strategies developed by the District and Implementation
          and OCM Contractor(s) for risks with a medium to high probability of occurrence, or for risks with a
          high impact if realized and provide recommendations for mitigation.

C.4.20   <u>Pre-Construction Phase</u>

C.4.20.1 The Contractor shall provide IV&V Services described herein for the Pre-Construction phase, which
          includes up to 30 concurrent workstreams, listed below:

ID	Workstream Name
2	Create Governance Document
3	Execute Memoranda of Understanding/Agreement (MOUs/MOAs) with partner agencies
4	Identify Compliance and Audit Requirements and Explore Solutions
5	Plan Technical Approach to Regulatory Compliance of DIFS including End-to-End Security
6	Organizational Design of Support Resources (Center of Excellence, service desk)
9	Explore Options and Prototype Alternatives for PPM (P&G) Functionality
10	Report Rationalization
11	Establish OCFO Enterprise Reporting Strategy
12	Integration Strategy and Design
13	Decide System of Record for Each Function and Data Type and Create Transition Plan

14	Finalize Chart of Accounts (COA) Values
15	Agency COA Re-design
16	PeopleSoft Integration with Oracle for Phase 1, EPM
17	Budget Book Requirements Validation
18	CAFR Requirements Validation
19	Identify impacts to Ariba, and impacts of Ariba upgrade to DIFS (Monitor, Collaborate)
20	Prototype ARIBA and Oracle Cloud Integration
21	Data Cleansing
22	Execute Mock Conversions
23	Plan Mock Conversions for Implementation Phase
25	Establish analysis foundation/framework
26	Engagement, Outreach & Communications
27	DIFS Training
28	Business Transformation (Benefits Realization)
29	Enhanced Stakeholder Analysis
30	Inter-Agency BPR (policy decision)
31	School Advances BPR (policy decision)
33	Build the Integrated Program Plan
34	Plan for TMS-DIFS Integration
35	Evaluate Oracle Product Roadmap

C.4.20.2   The Contractor shall attend and monitor meetings and presentations, review workstream documentation and work products, including those produced by the Systems Integrator and the District, and assess the quality, completeness and appropriateness of the work performed. The Contractor shall assess the workstreams' performance against their stated goals and acceptance criteria.

C.4.20.3   The Contractor shall assess the comprehensive Implementation Plan and Integrated Master Schedule developed as part of the Pre-Construction phase and as they are maintained throughout the project.

C.4.21   Program Management and OCM Leading Practices

C.4.21.1   The Contractor shall provide independent Leading Practices guidance on Program Management and OCM capabilities and functions, where appropriate, to support the District with the implementation of recommendations and risk mitigations identified by the Contractor. This support is intended to educate District personnel on leading practices, definitions, options, examples and success factors for program management capabilities, and it is not intended to be a work plan or set of tailored instructions. This support is also intended to provide monitoring, risk management and advice to help the District establish, improve, mature and properly resource Program Management or OCM capabilities or processes.

C.4.21.2   The Contractor shall participate in progressive strategy sessions, review District documents and contractor deliverables and provide recommendations to program leadership. This includes reviews of Program Management and OCM documents and deliverables in draft states, participation in iterative review cycles and providing expert advice to inform plans.

C.5   PERSONNEL QUALIFICATIONS REQUIREMENTS

C.5.1   Project Manager (PM)

C.5.1.1   The Contractor shall provide the project manager and all team members. Any change in the Contractor's staff shall be approved by the COTR.

C.5.1.2   The Contractor shall provide a highly skilled experienced team of IV&V professionals to ensure effective IV&V processes and monitoring activities and appropriate staffing for administrative support of Contractor requirements including reporting, correspondence, record keeping, and personnel support. The key positions include the IV&V PM and Subject Matter Expert(s).

C.5.1.3   The Contractor shall clearly specify who is the PM and who are the IV&V Subject Matter Experts.

C.5.1.4   In addition, the following qualification is required of the PM:

a. Knowledge of project management (including PMBOK and the SDLC PM methodology) and the creation and evaluation of complex, integrated project plans.

C.5.1.5   The PM shall provide all formal reports to the DIFS Steering Committee. This position is considered key personnel and, as such, shall be identified by name in the proposal. The PM shall be available during the District's normal working hours and shall respond within one hour of notification by the COTR regarding any areas affecting performance of the contract.

C.5.1.6   In addition to the qualification cited in C.5.1.4 above, the PM shall meet the qualifications as required by the District listed below:

Mandatory Minimum Qualifications:

1. At least five (5) years of demonstrated experience in providing leadership and oversight of quality assurance services for large scale, mission critical system development and deployment efforts. It is preferred that some (or all) of this experience pertain to a project with similar scope to the DIFS Project or to providing IV&V services for an ERP financial and/or contracting system-- such as Oracle or SAP -- implementation in the Public Sector**.**

2. Project Management Professional (PMP) Certification from the Project Management Institute (PMI) or equivalent Industry Certification.

C.5.1.7   The PM shall manage and oversee all work efforts associated with the IV&V services requirements. This function includes a full range of management and administrative duties including but not limited to planning; scheduling; preparing reports; establishing and maintaining records; performing liaison role with OCM and Implementation Contractors; resolving complaints; and ensuring quality control. The PM shall establish management processes that effectively support the completion of assigned work within established timelines. The Contractor shall provide appropriate staffing for administrative support of contractor requirements including reporting, correspondence, record keeping, personnel support.

C.5.2   Subject Matter Experts (SMEs)

C.5.2.1   The IV&V SMEs shall possess the requisite skills, experiences, and certifications for the roles they are filling. The District requires the following qualifications of the SMEs:

   a. Be technologically qualified and knowledgeable in system requirements definition and analysis, system design, project management, change control, requirements management, test plan definition and execution, and performance measurement.

   b. Experience with best practices regarding quality, quality assurance, and quality control principles and techniques such as Six Sigma, CMM, CoBIT and/or ITIL.

   c. Possess exceptional interpersonal and communication skills and the ability to work effectively in a fast-paced, team-oriented environment.

   d. DIFS Specific Requirements:

       o Prior experience as a functional or technical implementation team member working with Oracle EBS Financial or Oracle Financials Cloud.

       o Prior experience as a functional implementation team member working with Hyperion or Oracle Planning and Budgeting.

   e. TMS Specific Requirements:

       o Prior experience as a functional implementation team member working with Treasury Management Systems such as Kyriba, FIS/Sungard, Reval, etc.,

C.6   DELIVERABLES

C.6.1   The Contractor shall not later than thirty (30) days from the date of award meet with the COTR to establish a timeline for all deliverables.

   a. The Contractor shall submit a Comprehensive Work Plan listing the steps necessary to conform to the requirements stipulated in this Statement of Work.

   b. The Contractor shall submit an IV&V Management Plan, which includes the following:

   • Narrative of work products, expected formats, project lifecycle tools (*i.e.,* checklists) and content to be developed and delivered during the first two IV&V review cycles.
   • Communications plan, including required communications, meeting, and reporting requirements as well as additional communication, meetings, or reporting mechanisms the Contractor recommends to ensure effective collaboration among and/or between the Contractor, District, other contractors, and other relevant organizations.
   • Project Schedule and Timeline that is derived from the approved Integrated Project Management Plan. The Contractor shall provide a preliminary work plan and timeline that addresses the scope areas and all associated components
   • IV&V Checklists and Tools: These are IV&V tools/checklists for elements to be reviewed, observed, monitored and commented on, regarding all aspects of industry standards for Project

Management, Change Management, Software and Systems Development as per industry standards. These tools/checklists shall be developed and delivered on an ongoing basis, with the first being delivered and reviewed as part of the Initial Review of the management plan. All checklists shall be made available prior to any review being performed. As the Initial IV&V review is performed and results delivered, it is required that subsequent areas for review shall be adjusted based upon the priorities and output results. As such, checklists and such tools shall be delivered for review prior to the commencement of each IV&V Review period.

c. Conduct Initial IV&V Review: The Initial IV&V review shall be conducted within twenty (20) calendar days from contract award. This review shall require the following items from the Contractor to be provided to District:
   • Schedule of Review activities;
   • Interviews to be performed;
   • List of Project Documentation required to review;
   • List of Project Meetings, events to be attended and observed by the Contractor

Based upon these project artifacts, meetings and events, the Contractor shall analyze materials, observations and draft an initial report.

d. Develop Initial IV&V Review Report (Draft and Final): To be delivered, thirty (30) days from the commencement of the Initial IV&V review period. The District will review the Draft and provide comments to the Contractor for inclusion in the Final Report. Report format and content requirements shall include, but not be limited to, the following for each area reviewed:
   • Current status of the process
   • Measurable progress in the process area
   • Standards being followed and/or recommended for use.
   • Quantifiable results/metrics whenever possible
   • Recommendations in each area specifying opportunities for improvement (short and long term) that take into consideration the unique constraints of the program.
   • A critical component of this Initial Review shall be the identification of prioritized project tasks/activities for IV&V Reviews moving forward that will have the greatest impact on the overall success of the Program.

e. Conduct Ongoing IV&V Reviews: Ongoing IV&V Reviews will be conducted monthly.   It is expected that this Review will require the following items from the Contractor to be provided to District:

   • Schedule of Review activities;
   • Interviews to be performed;
   • List of Project Documentation required to review;
   • List of Project Meetings, events to be attended and observed by the Contractor;
   • Based upon these project artifacts, meetings and events, the Contractor shall analyze materials, observations and draft monthly IV&V Reports;
   • Note that monthly reviews may focus on a specific artifact, work process or product identified in the Initial Review Report and updated with each Monthly IV&V Review Report. This may include specific observations to be made on the testing process (*i.e.,* inconsistencies or

deficiencies identified during testing) and the provision of recommendations/prioritization for moving forward based upon industry best practices.

f. Each Thursday, no later than close of business, the Contractor shall submit a Weekly Status Report to the COTR. Weekly status report that identifies Contractor personnel, work products, as well as availability of project team members, documentation and other such artifacts required for IV&V reviews.

g. Prepare and Deliver Briefings of IV&V Results: Prepare and deliver project debriefing related to the latest IV&V Review Report's results (i.e., Initial or monthly) to stakeholders as requested. Debriefing audiences are expected to be District Leads and the Executive Steering Committee.

h. Not later than the last working day of each month, the Contractor shall submit a Status Report to each of the Executive Steering Committees covering any integration issues that impact any other project. Each report shall contain, at a minimum, the following:

    i.   Project Schedule. The Contractor shall provide a monthly written assessment of the progress of the Project against planned tasks, duration, resources, completion dates, and milestones, and issues impacting the schedule as stated within the DIFS Implementation contract. The Contractor may include recommendations specifying what can be done immediately versus long-term to remediate variations and deviations from schedule.

    ii. Risk Assessment. The Contractor shall report on the identified risks to a successful implementation and the potential level of severity of these risks. The Contractor shall recommend mitigation and/or resolution strategies to manage and/or eliminate the identified risks. If a risk is identified or if a risk probability or risk impact changes in mid-month, the Contractor shall communicate this fact to the Executive Steering Committee representative immediately after it is known.

    iii. Project Phase Assessments. The Contractor shall provide an assessment of the activities and progress of the Project every quarter, and also at the completion of every major Milestone of the Project Life-Cycle (e.g., completion of Requirements Definition, System Integration testing, or User Acceptance Testing). The Contractor shall provide recommendations as necessary, for addressing any issues relative to the successful completion of the Project phases; including detailed recommendations in each area of the Project phases specifying what can be done immediately and in the long-term for improvement in the identified area. These recommendations shall address the readiness of the Project to move to the next phase in the lifecycle.

i. The Contractor shall establish and maintain "Project Binder(s)" which shall contain copies of project materials, minutes of meetings, and deliverables generated in this project both in hard copy and electronic format. The Project Binder shall be available for review by the Executive Steering Committee representative at any time and shall be delivered to the Executive Steering Committee(s) at the completion of the project. The Project Binder may be in electronic form with access as determined by the Executive Steering Committee(s).

C.7   RESERVED

C.8   NON-DISCLOSURE AND NON-COMPETE REQUIREMENTS

Prior to the start of work, the Contractor's Staff and Subcontractors shall sign the OCFO Non-Disclosure Agreement covering all information obtained during the IV&V project. Disclosure of information relating to the services in this RFP to any person not entitled to receive it is not authorized. Neither the Contractor nor any of its employees shall disclose or cause to be disseminated any information covered under the Privacy Act (*e.g.,* home addresses, social security numbers, or personal telephone numbers of personnel) to which the Contractor may have access.

C.9   LOCATION OF PERFORMANCE

The Contractor shall provide the services identified in this RFP at any District location as appropriate.

C.10   DISTRICT PROVIDED RESOURCES

The District will provide the following resources:

a. Adequate workspace
b. Telephone service with voice mail
c. Internet access
d. Workstations for on-site Contractor personnel
e. Day-to-day operating supplies

C.11   ANTICIPATED PROJECT TEAM ORGANIZATION

C.11.1   The high-level governance structure is anticipated to consist of an Executive Steering Committee (ESC) for DIFS and TMS. The IV&V Contractor shall report directly to the ESC. A Program Manager, PMO Office (with finance, budget, technical, and OCM resources), Implementation Contractor, and OCM Contractor shall participate in the governance at their appropriate levels. Additional governance bodies, processes, and decision rights are expected to be developed and adapted to the needs of the program.

C.11.2   The District will follow standard project management principles to secure executive sponsorship, system setup and configuration decisions, to-be business process approval, and to ensure effective planning of project activities and utilization of resources.

C.11.3   The Program Sponsor will be responsible for executive communications on project- related matters, providing executive input to the Steering Committee, and setting the high-level strategy for the project. The Program Sponsor will negotiate and determine the availability of District project resources as required.

C.11.4   The Steering Committee members will be responsible for communications on project- related matters, providing input to the Project Management Office, disseminating project information within their organizations, and advocating for the implementation of approved standardized business processes and data across all agencies and departments. The Steering Committee will forward to the Contracting

Officer any requests to approve all significant modifications to designed business processes and other significant changes to the system as delivered.

C.12 KEY PROJECT ASSUMPTIONS

The following are key project assumptions:

a. The DIFS and TMS projects are a high priority of the District with corresponding commitment and support by all levels of management to include allocation of available resources and timely consensus and deadline-based decisions.
b. The District is committed to updating its business processes and expects to use Oracle's delivered Business Processes as the starting point for business process workshop activities for the DIFS Project; and the SaaS delivered Business Processes for TMS.
c. Strong project governance standards will be applied equitably and fairly in a manner that ensures the opportunity for input by all District stakeholders.
d. The District will establish a project management team with appropriate levels of experience and authority.
e. The District will establish senior project leadership with the authority to make timely policy-level decisions to meet project needs and deadlines.
f. There will be District FTEs and Contractor leads for each major functional/process areas and technical area identified within the project team organization.
g. The District will assign fully (100%) dedicated staff to critical roles on these projects.
h. The District will commit sufficiently skilled District staff resources to the Projects as reflected in the agreed upon work plans and staffing plans.
i. The District can reach agreement on critical decisions such as business process configuration and whether gaps in functionality can be addressed through means other than software extensions.
j. The existing legacy systems at the District-wide level will continue to operate as required throughout the deployment period.

4. **ADD** Section H.11 as follows, and these requirements apply only to those District contractors who provide goods or perform services in person in District government facilities or worksites, or who have in-person contact with other persons in order to complete their work under their contract:

H.11 SPECIAL PROVISIONS RELATED TO THE COVID-19 EMERGENCY

1. The Contractor is required to comply with Mayor's Order 2021-099, COVID-19 Vaccination Certification Requirement for District Government Employees, Contractors, Interns, and Grantees, dated August 10, 2021, and all substantially similar vaccine requirements including any modifications to this Order, unless and until they are rescinded or superseded. At the request of the District government, Contractors may be asked to provide certification of compliance with this requirement and/or documents and records in support of this certification. Find and view the complete Mayor's Order here: https://coronavirus.dc.gov/healthguidance.

2. The Contractor is required to comply with City Administrator's Order 2021-4, Resumption of Requirement for All Persons to Wear a Mask Inside District Government Buildings and While on Duty as a District Government Employee or Contractor, dated July 30, 2021, and all substantially similar mask requirements including any modifications to this Order, unless and until they are rescinded or superseded. Find and view the complete City Administrator's Order here: https://oca.dc.gov/page/documents-and-orders.

3. The Contractor can contact vendor.relations@dc.gov for additional information regarding these provisions."

[End of Modification No. 5]