

APPENDIX Q

TURNOVER PLAN FROM INCUMBENT VENDOR



Pennsylvania Department of Transportation

Application Support

Contract: 4400005737
RFP Number: 6100010067

CAI Managed Maintenance Project Turnover Plan

August 12, 2016

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Executive Summary

This document formalizes the Turnover Plan for transitioning the work performed by Computer Aid, Inc. (CAI), under the PennDOT Application Support contract (Managed Maintenance or MM), to PennDOT and an incoming vendor. The current MM contract between PennDOT and CAI ends on Wednesday, August 16, 2017. This plan covers applications supported by CAI under the PennDOT Application Support contract at the time of Turnover, with the exception of MPMS.

Overview

CAI's primary responsibility during the overall transition will be to perform the Turnover tasks. For almost eight years, CAI and PennDOT will have shared the application maintenance responsibilities as well as improvements to many, if not all, of the associated processes. As a result, a significant amount of documented as well as undocumented knowledge will need to be turned over to the incoming vendor. One of CAI's goals during the Turnover of that knowledge will be to minimize the impact to PennDOT and, in particular, the business owners and end users. To achieve that success, a three phase Turnover method (Strategize – Plan – Execute) will be used.

Strategize

Before the Turnover commences, PennDOT will facilitate high-level planning and strategy sessions. CAI will participate in these sessions to provide input to PennDOT on the overall approach as well as CAI's Turnover tasks. PennDOT will develop and document the overall transition approach while developing a comprehensive list of transition tasks across all three phases. During this phase, CAI personnel will be strategizing and refining the Turnover approach while managing tasks in preparation for the execution of Turnover. During this Strategize phase, PennDOT will appoint a Transition Project Manager to create an overarching Transition Project Plan and to oversee the ongoing transition tasks, responsibilities, and schedules of all three parties (PennDOT, CAI, and the incoming vendor).

Create Plan

As Turnover nears, PennDOT's transition strategy will be understood by all parties. PennDOT will have finalized the overall transition schedule, including dependencies, orders, schedules, and assignments of transition tasks; and key transition documents will have been drafted, reviewed, finalized, and distributed. During this time, CAI will adapt the scheduled recurring meetings with PennDOT to include Turnover planning updates and to coordinate a set of defined tasks in preparation for the Turnover tasks. In preparation for the Execution phase, CAI will provide PennDOT with a list of hardware/software used for application support activities prior to the on-site arrival of the incoming vendor.

Execute

Turnover tasks will be executed during the final 90 days of the contract. Turnover tasks include technical review meetings, business review meetings, and hands-on/shadowing opportunities. The incoming vendor is expected to have its staff on-site no later than the start of the 90-day Execution phase. PennDOT is expected to provide on-site workspace and all hardware/software required for the incoming vendor.

Note: This Execution phase is based upon the 90-day timeframe stated in the original MM contract. Due to the significant increase in the number of applications under MM support between the time of initial contract and the time of Turnover, it is advisable to consider extending the length of the Execution phase to begin the effort earlier, to the extent reasonably possible.

Team Organization

There are three parties critical to the transition process:

PennDOT – Overall transition management and coordination

PennDOT will have primary responsibility for the overall transition; which includes overarching oversight, planning, scheduling, and management; as well as coordination between all participants. Additionally, CAI will provide input to PennDOT during the Strategizing and Planning phases.

CAI – Turnover-specific tasks

CAI will be responsible for the management and successful completion of CAI Turnover tasks. The CAI Turnover tasks are part of the overall transition process.

Incoming Vendor – Transition-in tasks

The incoming vendor will be responsible for the management and successful completion of their transition-in tasks, participating in all relevant CAI Turnover tasks during the Executing phase, and taking over all Application Support responsibilities on August 17, 2017.

A transition of this magnitude requires sufficient personnel from all three parties. In addition to the large number of individuals who will participate in scheduled activities, key personnel are required from each party to make the transition successful.

The chart below lists the key transition resources from PennDOT, CAI, and the incoming vendor; as well as some of their primary responsibilities.

Organization	Title	Roles/Responsibilities
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Organization	Title	Roles/Responsibilities
PennDOT	<p>Transition Governance Committee</p> <p>Proposed Participants: <i>BBSS Bureau Director, Designated BBSS Division Chiefs, Designated BIO Leadership staff</i></p>	Sets the vision; provides input to communication plan; schedules, plans, and facilitates town hall discussions with business owners and end users; coordinates financial Turnover tasks with appropriate PennDOT contracting personnel; appoints Transition Project Manager; addresses conflicts between the incoming vendor and CAI
PennDOT	Transition Project Manager	Coordinates activities between CAI and the incoming vendor throughout transition; maintains overarching project plan; schedules and facilitates transition meetings as required; develops and maintains communication plan; develops and maintains RACI chart; develops and presents weekly status reports; works with CAI and incoming vendor to ensure all tasks are completed
PennDOT	Facilities Manager	Works with the incoming vendor, PennDOT, and CAI to arrange seating to facilitate efficient technical transitions; works with Bio and BPR to build and install PCs and peripheral equipment; acquires User ID credentials for incoming team; ensures all departing MM team badges are surrendered
CAI	CAI Turnover Manager	Works with PennDOT and the incoming vendor to coordinate and schedule all Turnover tasks for CAI; assures CAI tasks are completed as planned and scheduled; provides PennDOT with weekly reporting on Turnover progress; ensures all applicable property and tools are included as part of Turnover; schedules and facilitates Turnover meetings as required; delivers final reports; oversees final invoicing; creates and maintains the CAI Turnover Checklist
CAI	<p>CAI Turnover Leads</p> <p>Proposed Participants: <i>IT Service Manager MM Team Managers</i></p>	Ensures Turnover tasks for their team are completed as planned; makes sure application documentation, processes, and tasks are turned over to the incoming vendor; creates and maintains a CAI Turnover Checklist for each application

Organization	Title	Roles/Responsibilities
Incoming Vendor	Transition-in Manager (TBD)	Works with PennDOT and CAI; executes their transition plan

Schedule

The CAI Turnover tasks and schedule comprise one section of the overall transition process. The cornerstone of the transition effort is PennDOT. Listed below are suggested PennDOT tasks and timeframes.

Key PennDOT Tasks and Timeframes

Note: All schedules in this document are included with generalized timeframes. The PennDOT Transition Project Manager will be responsible for development of a Gantt chart with definitive start and finish dates closer to the actual Transition timeframe.

WBS	Task Name	Start	Finish
1	PENNDOT Tasks	1/3/2017	9/29/2017
1.1	Determine Overall Transition Strategy	1/3/2017	3/3/2017
1.2	Identify & Onboard Transition PM/Ombudsman	1/3/2017	3/3/2017
1.3	Identify Transition Resources & Stakeholders	1/3/2017	3/3/2017
1.4	Determine Transition Resource Responsibilities (RACI)	1/3/2017	3/3/2017
1.5	Establish Transition Governance Committee	1/3/2017	3/3/2017
1.6	Establish & Publish a Common Escalation Process	1/3/2017	3/3/2017
1.7	Change Management Communication Plan	1/3/2017	8/16/2017
1.7.a	Schedule Informational Q & A Sessions with Key Business Contacts	1/3/2017	3/3/2017
1.7.b	Develop & Distribute Plan	1/3/2017	3/3/2017
1.7.c	Execute Organizational Change Management Communication Plan	3/1/2017	8/16/2017
1.7.d	Facilitate Informational Q & A Sessions with Key Business Contacts	3/6/2017	8/16/2017
1.8	Facilitate Regularly Occurring Transition Meetings (Tripartite)	3/1/2017	8/16/2017
1.9	Manage Transition RAID LOG	3/1/2017	8/16/2017
1.10	Manage Overall Transition Tasks	3/1/2017	8/16/2017
1.11	Perform Final Walkthrough with CAI	8/16/2017	8/16/2017
1.12	Process Final Invoices/Documentation/Contract Tasks	8/17/2017	9/29/2017

CAI Tasks & Schedule

The CAI-led Turnover tasks will be part of the overall schedule PennDOT will develop for the overarching transition effort. In contract years 7 and 8, CAI will perform the tasks necessary to prepare for the actual Turnover during the last 90 days of the contract. Prior to the Turnover, CAI will continue to be a strong partner as PennDOT personnel develop their transition strategy and plan their approach. CAI will provide Turnover task input to the overall project and will work with PennDOT to help them achieve a successful transition. This Schedule section includes a high-level, generalized list of suggested tasks for the Strategy and Planning phases. The last part of the Schedule section includes CAI's detailed Turnover approach. This includes a list of tasks to be performed and the timeframes in which they will be done. CAI can tailor this plan should PennDOT request a different schedule and task order.

Strategy Phase

During this phase, CAI will partner with PennDOT as PennDOT takes the lead on developing the overall transition strategy. During this early phase of the transition effort, CAI will provide input as PennDOT performs tasks such as determining critical success factors; defining key performance indicators; determining, documenting, and communicating an overall service transition strategy; establishing a Transition Governance Committee; appointing a Transition PM or process owner; establishing a communication plan; establishing a Common Escalation Process; and establishing a high-level transition schedule which includes CAI Turnover tasks. In addition, CAI will refine the Turnover tasks based upon input from PennDOT as well as from the incoming vendor, if known at that time.

As a predecessor to the Strategy Phase, CAI will provide PennDOT with documentation listing the CAI Technical Primary/Secondary/Tertiary, Business Process Owner(s), and BBSS POC(s) for each application. CAI will also provide documentation listing the roles, and associated skillsets, required to support each application. Work on this documentation will begin in mid to late 2016.

This is also the phase when the implementation dates and content of the final planned releases for each application will be decided. It is recommended that all major releases be scheduled to implement no later than July 14, 2017 and all minor releases be scheduled to implement no later than August 2, 2017. Any release at risk for complications will be scheduled to provide adequate time for addressing potential schedule impacts without exceeding the release implementation cut-off timeframes. Accommodations will be made for any business-critical or technically urgent releases, regardless of timeframes.

Planning Phase

During the planning phase, the CAI Turnover Leads will work within their teams and with PennDOT SMEs to perform application reviews to facilitate planning and risk mitigation for Turnover. During these reviews, CAI will confirm that all documentation is up to date and conduct remediation as needed. CAI will also provide PennDOT with an application list of all major application components and the associated technology used to support it. This includes any common components or services.

CAI will work with PennDOT to update the overall transition schedule if necessary. CAI will also work with PennDOT to create Turnover checklists for each application, provide status updates, and address issues and concerns which arise. The CAI Turnover Leads will use the

information obtained during the application reviews to develop a team-specific Turnover plan. All CAI tasks requiring completion prior to the execution of Turnover will be tracked and reported upon during this phase.

Each Application Turnover checklist will be signed by the MM Team Lead and the PennDOT Division Chief when the checklist is thorough and the application is ready for Turnover. Items to be reviewed include: AIMS data, AKT folders, AKT documentation, EA diagrams, Service Desk documentation, network diagrams, source control, production source code, environments, migration process, access guidelines, configuration procedures, manual activities, and scheduled activities (automated processing). If PennDOT expects the incoming vendor to follow any processes or standards that deviate from those being followed by CAI, PennDOT will be responsible for communicating them.

The project schedule (below) suggests the CAI tasks and timeframes for tasks for the Strategy and Planning phase. The first section of the schedule includes the tasks where the responsibility and accountability fall primarily to the CAI Turnover Manager. The second section of the schedule includes the tasks where the responsibility and accountability fall primarily to the CAI Turnover Leads as well as the various teams.

Note: All schedules in this document are included with generalized timeframes. The PennDOT Transition Project Manager will be responsible for development of a Gantt chart with definitive start and finish dates closer to the actual Transition timeframe.

WBS	Task Name	Start	Finish
1	CAI Management Team	1/2/2017	5/18/2017
1.1	Preparation Tasks	1/2/2017	5/18/2017
1.1.a	Planning Meetings with PennDOT	1/2/2017	5/18/2017
1.1.b	Update Transition Plan as Necessary	1/2/2017	5/18/2017
1.1.c	Update Transition Schedule as Necessary	1/2/2017	5/18/2017
1.1.d	Provide Status & Readiness Updates	1/2/2017	5/18/2017
1.1.e	Oversee MM Team Tasks and Progress	1/2/2017	5/18/2017

WBS	Task Name	Start	Finish
1	Team Manager Tasks	1/2/2017	5/18/2017
1.1	Preparation Tasks	1/2/2017	5/18/2017
1.1.a	Planning Meetings with PennDOT	1/2/2017	5/18/2017
1.1.b	Oversee Development of Unique Checklist for Each Application	3/1/2017	5/18/2017
1.1.c	Identify any Potential Risks	3/1/2017	5/18/2017
1.1.c.1	Create Risk Mitigation Plans	3/1/2017	5/18/2017
1.1.c.2	Track Risk Mitigation Tasks (If Any)	3/1/2017	5/18/2017
1.1.d	Weekly Team Status Meetings	3/1/2017	5/18/2017
1.1.e	Weekly Status Reporting	3/1/2017	5/18/2017
1.1.f	Provide Support to Division Chiefs	3/1/2017	5/18/2017
1.1.g	Assist Division Chiefs with Organizational Change Management	3/1/2017	5/18/2017
1.2	PER APPLICATION (As Appropriate)	3/1/2017	5/18/2017
1.2.a	Schedule Final Planned Releases	3/1/2017	5/18/2017

1.2.i	Update AIMS	3/1/2017	5/18/2017
1.2.j	Update AKTs	3/1/2017	5/18/2017
1.2.b	Confirm AKT File Location	3/1/2017	5/18/2017
1.2.c	Basic Application Information Documented	3/1/2017	5/18/2017
1.2.d	Environment Information Documented	3/1/2017	5/18/2017
1.2.d.1	Migration Process Documented	3/1/2017	5/18/2017
1.2.d.2	Manual Activities Documented	3/1/2017	5/18/2017
1.2.d.3	Automated/Scheduled Activities Documented	3/1/2017	5/18/2017
1.2.d.4	Third Party Tools & Licenses Documented	3/1/2017	5/18/2017
1.2.k	Update Service Desk Documentation	3/1/2017	5/18/2017
1.2.k.1	Update Instructions	3/1/2017	5/18/2017
1.2.k.2	Update Contacts	3/1/2017	5/18/2017
1.2.g	Update Clear Quest and Team Foundation Server	3/1/2017	5/18/2017
1.2.h	Paper Documentation/Manuals Marked & Accessible	3/1/2017	5/18/2017

Execution Phase: Turnover

Starting on May 19, 2017, 90 days before the contract end date, PennDOT will manage the overall transition process including oversight of CAI Turnover execution. CAI will lead Turnover tasks such as knowledge transfer meetings and application overviews. Throughout this phase, CAI and PennDOT will jointly manage “next assignment” staff planning to mitigate attrition risk. At the end of this phase, PennDOT and CAI will perform a Final Walkthrough.

Hands-on knowledge transfer tasks occur during this phase. If PennDOT chooses to require the incoming vendor to be available earlier and the necessary predecessor tasks have been successfully completed, these tasks can begin earlier. The CAI Turnover Leads will be responsible for managing and tracking the completion of the Turnover tasks for their teams. Each team execute the requisite number of meetings and other sessions required to perform adequate Turnover for each application for which they are responsible.

Turnover will take place via various methods. The CAI Turnover Lead will confirm that knowledge transfer meetings are scheduled for each application and cover both technical and business area knowledge. Sessions may be dedicated to technical and/or business topics with appropriate CAI and PennDOT technical and business resources.

As necessary, additional Turnover meetings may be scheduled to continue Turnover tasks. Additionally, all incoming vendor staff will have the opportunity to work alongside their CAI counterparts throughout the Execution phase in order to gain familiarity with the applications and support processes.

PennDOT may choose to assign “test assignments” to the incoming vendor staff to validate effective turnover. CAI can assist PennDOT in crafting those assignments. At any point in the process, if PennDOT determines that the incoming vendor is not progressing through their transition-in plan as expected, or should PennDOT desire to extend CAI beyond the

contractual end date for any reason as a means of risk mitigation, CAI will work with PennDOT to determine if there is a mutually-acceptable approach to extending support.

When the Turnover tasks are complete, the MM Turnover Manger will deliver the Final Turnover Report documenting and signing off on the completion of all Turnover tasks and providing a status on each high-level task and activity performed.

Final on-site tasks include returning equipment and badges and conducting a final walkthrough before departure. Tasks to be performed after departure include final reporting (including metrics) and final invoicing.

The detailed project schedule (below) sets forth the tasks and timeframes for Turnover tasks. The first section of the schedule includes the tasks where the responsibility and accountability fall primarily to the CAI Turnover Manager. The second section of the schedule includes the tasks where the responsibility and accountability fall primarily to the CAI Turnover Leads as well as the various teams.

Note: All schedules in this document are included with generalized timeframes. The PennDOT Transition Project Manager will be responsible for development of a Gantt chart with definitive start and finish dates closer to the actual Transition timeframe.

WBS	Task Name	Start	Finish
1	CAI Management Team	5/19/2017	9/29/2017
1.1	Documentation	5/19/2017	8/16/2017
1.1.a	Update Turnover Plan as Necessary	5/19/2017	8/16/2017
1.1.b	Onboarding Process Updated	5/19/2017	8/16/2017
1.1.c	Offboarding Process Updated	5/19/2017	8/16/2017
1.1.d	Provide On/Off boarding Process to PennDOT	5/19/2017	8/16/2017
1.2	Assist PennDOT IT with Organizational Change Management	5/19/2017	8/16/2017
1.3	Meetings	5/19/2017	8/16/2017
1.4	Transition Personnel As Required (Recurring Tasks)	5/19/2017	8/16/2017
1.5	Off board Personnel As Required (Recurring Tasks)	5/19/2017	8/16/2017
1.5.a	Provide CWOPA/Access Removal List to PennDOT	5/19/2017	8/16/2017
1.5.b	Recover All Badges (Keystone & ROC)	2/27/2017	8/16/2017
1.5.c	Return All Badges	5/19/2017	8/16/2017
1.5.d	Inventory All Hardware	5/19/2017	8/16/2017
1.5.e	Escort Personnel from Building	5/19/2017	8/16/2017
1.6	Final Area Walkthrough & Punch list	8/16/2017	8/16/2017
1.7	Confirm All On-site Tasks Complete	8/16/2017	8/16/2017
1.8	END ONSITE SUPPORT	8/16/2017	8/16/2017
1.9	Post Turnover Tasks	8/21/2017	9/29/2017
1.9.a	Gather & Deliver Final Metrics	8/21/2017	9/29/2017
1.9.b	Final Invoicing	8/21/2017	9/29/2017
1.9.b.1	Final Turnover Payment	8/21/2017	9/29/2017
1.9.b.2	Last Monthly Bill	8/21/2017	9/29/2017

WBS	Task Name	Start	Finish
1	Highway Core/DVS/GIS/HES/.Net Teams	5/17/2017	8/16/2017
1.1	Team Manager Tasks	5/17/2017	8/16/2017
1.1.a	Planning Meetings with PennDOT	5/17/2017	8/16/2017
1.1.b	Weekly Team Status Meetings	5/17/2017	8/16/2017
1.1.c	Weekly Status Reporting	5/17/2017	8/16/2017
1.1.d	Provide Support to Division Chiefs	5/17/2017	8/16/2017
1.1.e	Assist Division Chiefs with Organizational Change Management	5/17/2017	8/16/2017
1.1.f	Participate in Final Walkthrough Tasks	8/16/2017	8/16/2017
1.2	PER APPLICATION (As Appropriate)	5/17/2017	8/16/2017
1.2.a	Hands-on Knowledge Transfer/Demos	5/17/2017	8/16/2017
1.2.a.1	Provide Documentation for Review	5/17/2017	8/16/2017
1.2.a.2	Facilitate Technical Overview Meeting	5/17/2017	8/16/2017
1.2.a.3	Facilitate Business/Release Management Overview Meeting	5/17/2017	8/16/2017
1.2.a.4	Include Incoming Resources in Implementations (If Available)	5/17/2017	8/16/2017
1.2.a.5	Assist Shadowing Tasks (As Required)	5/17/2017	8/16/2017
1.2.b	Deliver Final Releases & Update Materials as Required	5/17/2017	8/2/2017
1.2.c	Confirm Source Control in Place	5/17/2017	8/15/2017
1.2.d	Confirm Source Control Reflects Production (As Appropriate)	5/17/2017	8/15/2017
1.2.e	Final Updates In Clear Quest and Team Foundation Server	5/17/2017	8/15/2017

Work Execution

CAI will retain responsibility for incidents, call supports, release activities, and other MM tasks until the contract end date. This includes working to the current SLAs. At the end of the 90 day Turnover period, on August 17, 2017, the incoming vendor will assume responsibility for all tasks and deliverables. The incoming vendor will be granted read-only access to source control for any system pending an upcoming release within the 90 day Turnover period. The incoming vendor will be granted full access to the appropriate source control once the release's Final Acceptance is approved.

Property Transition

PennDOT Furnished Equipment

All PennDOT equipment provided to CAI will be returned upon contract end date. This includes laptop computers, peripherals, power cords, and employee ID badges. PennDOT will perform a final walkthrough with the CAI Turnover Manager to confirm all equipment was returned.

Intellectual Property

All intellectual property which was a direct result of work on contract deliverables will remain with PennDOT.

User Accounts and Passwords

CAI will provide PennDOT with a list of all departing CAI personnel and their associated user accounts. Once transition is complete, PennDOT will be responsible for disabling all CAI user accounts.

Access Badges

CAI will provide PennDOT with a list of departing CAI personnel who have Commonwealth access badges. The CAI Turnover Manager will be responsible for collecting and returning all CAI personnel access badges as part of the final walk-through tasks on the final contract date. PennDOT will be responsible for disabling all CAI access badges.

Handover and Acceptance

The CAI Turnover Manager will use a CAI Turnover Checklist in order to confirm that all CAI Turnover tasks have been completed. This checklist will be signed by the CAI Turnover Manager and delivered to PennDOT. Once PennDOT has formally accepted the completion of Turnover, the checklist and supporting documentation will be signed by the BBSS Applications Bureau Director (on behalf of PennDOT). The Turnover will be considered complete when these signatures are in place.