



### TAB 4E: APPROACH TO TURNOVER

Accenture strongly supports Iowa's interest in preserving and protecting the relationship that our clients have come to know. We plan and execute Turnover activities using our Accenture Delivery Methods, which are amended to address the Iowa Medicaid Enterprise (IME) organizational model. Our operational experience with effective turnover, coupled with our awareness of its importance, provides Iowa with a reliable, effective partner for Turnover planning and execution.

#### 4.3.4.6 Approach to Turnover (Label as Tab 4E in your submission)

Behind Tab 4E, the bidder is directed to describe how their proposed solution will meet the Turnover Phase responsibilities as provided in Section 2.9 of the RFP, in accordance with the requirements of Section 4.3.4.1.



### The Agency or Successor will Receive a Seamless Turnover Through Collaborative Planning and Execution

- Service disruptions minimized to the Iowa Medicaid Enterprise and the constituents you serve
- Governance structure facilitates open communication between Accenture, the Agency and successor contractor(s)
- Awareness of the criticality of this phase results in excellence in planning, transparent communications and flawless execution
- Tracking of each turnover task at a detailed level and status provided giving full transparency to the Agency

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Our focus during Turnover is the successful transition to the Agency or successor contractor. We understand that the goal of the Turnover Phase is to provide the Agency and successor contractor the necessary support, training, documentation, application and system information to support a seamless MMIS transition. We are committed to responsive flexibility as we prepare for the Turnover Phase at the end of this contract.

**We acknowledge and accept the RFP 2.9, Turnover Phase Scope of Work (SOW) elements and requirements. Our proposed approach summarized below meets each RFP and contractor requirement.**

For each Attachment L requirement narrative response we provide a cross reference of the **requirement number and the page** of the matrix provided in Tab 4G: Worksheets for Submission.

#### 2.9 Turnover Phase

*This phase will begin 12 months before the end of the Contractor operations phase and end six months after the end of the Contract period or as extended by the exercise of Contract provisions or amendments to the Contract. The Contractor shall prepare for turning over responsibilities and operations at the end of the Contract, and shall designate additional turnover resources to this phase.*

*The Contractor shall cooperate with the successor Contractor, other contractors, and the Agency in the planning and transfer of operations. The final Contract payment will be based on the Contractor meeting all turnover Deliverables and must receive approval from the Agency.*

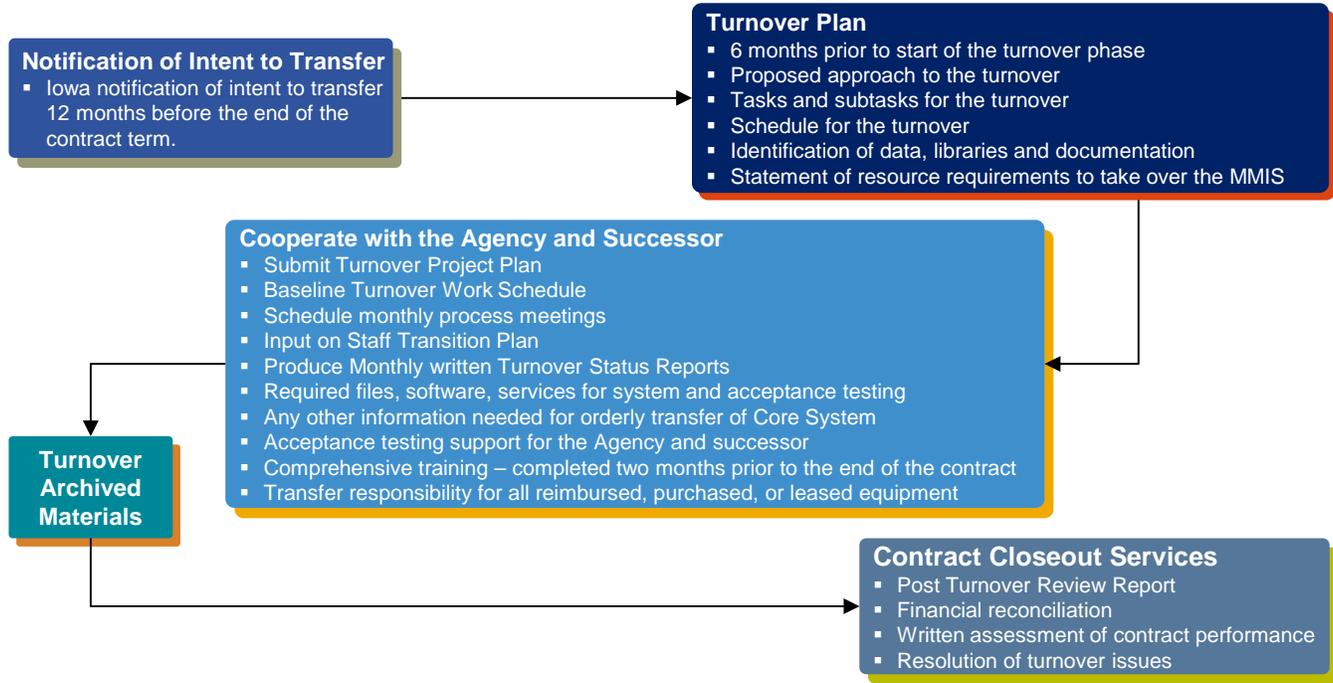
We meet the requirements for the Turnover Phase using Accenture Delivery Methods' Service Termination methodology. Designed as a reverse transition, we structured it to aid in the effectiveness of our planning, mobilizing, and ultimately turning over MMIS and our services. Upon notification of contract termination, and no later than six months before the end of the contract period, we submit our Turnover Plan. Prior to the beginning of the Turnover Phase, our team provides the Agency with current operational and systematic processing procedures, data, documentation, and other information on a schedule approved by the Agency. This phase will begin 12 months before the end of our operations phase and end six months after the end of the Contract period or as extended by exercise of contract provisions or amendments to the contract.

To help provide consistency throughout the turnover process, we select a dedicated Turnover Team led by an experienced Turnover Manager. The designated Turnover Manager will have a bachelor's Degree and at least three years of MMIS experience in turning over operations similar in size and scope to Iowa. Our Turnover Team consists of experienced management and technical personnel who remain assigned to turnover activities through the end of the Turnover Phase. Our team's primary focus is development and oversight of the Project Management and Quality Assurance tasks associated with the turnover. The Turnover Team provides planning, specific execution and decision making. Our Turnover Team reports to the Agency's Project Manager and provides an assessment of MMIS documentation, our draft Turnover Plan and the final transfer of the contract operations. The Plan defines our Turnover Team's roles and responsibilities. Our operational experience with effective turnover on such projects as the Maryland MMIS, where we successfully turned over the MMIS and system maintenance operations to the State, gives us experienced insight to develop and manage a detailed Turnover Plan that demonstrates an understanding of the responsibilities and needs of the parties involved.

To achieve an efficient turnover, we recommend that Iowa Medicaid Enterprise (IME) contractors, Agency, the successor Contractor, and other contractors develop a Master Turnover Plan together to assign ownership of all aspects of this phase. Our Turnover Manager has the management authority to make decisions and



obligate our resources to fulfill obligations of the Turnover Phase. Our Turnover Plan demonstrates our full understanding of the responsibilities and needs of all involved stakeholders. Figure 4E-1 shows our overall turnover process. We make available the plan and updates in our SharePoint repository for easy access by authorized staff at any time. We understand that the final contract payment is based on the Agency’s approval of all turnover deliverables.



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Figure 4E-1. Our Turnover process supports transitioning the MMIS in a manner that reduces impact to the Iowa Medicaid members.

## 4E.1 Agency Responsibilities (response not required per 4.3.4.1)

## 4E.2 Contractor Responsibilities

### 2.9.2 Contractor Responsibilities

During this task, the Contractor shall provide technical support and assistance with turnover, as described in this Section. The Contractor shall perform the following tasks:

- a. Create a schedule for turnover activities and submit the schedule for Agency approval.
- b. Track both Agency and Contractor responsibilities associated with the Turnover Phase.
- c. Work closely with the successor contractor during the planning for the Turnover Phase.
- d. Provide a Turnover Plan to the Agency within six months before the start of the Turnover Phase. This Plan must include:
  - i. Proposed approach to the turnover.
  - ii. Tasks and sub-tasks for the turnover
  - iii. Schedule for the turnover.
  - iv. All enterprise production data, program libraries, and documentation, including documentation update procedures for the turnover.
  - v. A statement of resource requirements that would be required by the Agency or a successor contractor to take over the MMIS.
- e. Provide the required turnover services. The Contractor shall cooperate with the successor contractor, while providing all required turnover services. This will include meeting with the successor and devising work schedules that are agreeable for both the Agency and the successor contractor.
- f. Transfer all non-proprietary source program code onto media approved by the Agency.
- g. Submit a letter stating all proprietary source code is held by an escrow agent approved by the Agency and is current as of the date of system turnover.



- h. Ensure that the systems and operations will be error free and complete when turned over to the Agency or the successor contractor.*
- i. Correct, at no cost to the Agency, any malfunctions that existed in the system prior to turnover or that were caused by the lack of support by the Contractor as may be determined by the Agency.*
- j. Supply a detailed organizational chart and an estimate of the number, type of personnel to operate the equipment and other functions of the Agency in a staffing plan. The estimate shall be separated by type of activity of the personnel, including, but not limited to, the following categories:*
- 1. Data processing staff.*
  - 2. Computer operators.*
  - 3. Systems analysts.*
  - 4. Systems programmers.*
  - 5. Business analysts.*
  - 6. Project management staff.*
  - 7. Data entry and imaging operators.*
  - 8. Provider services staff.*
  - 9. Administrative staff.*
  - 10. Provider field representatives.*
  - 11. Clerks.*
  - 12. Managers.*
- k. Provide a facility and resource statement that includes all resources required to operate the MMIS including but not limited to:*
- 1. Data processing and imaging equipment.*
  - 2. System and special software.*
  - 3. Other equipment.*
  - 4. Telecommunications circuits.*
  - 5. Telephones.*
  - 6. Office space.*
- l. Deliver Agency data, files and user and operations documentation. All turnover data shall be delivered in an organized and structured format as it applies to 1, 2, and 3 below and must be approved by the Agency.*
- 1. At the turnover date, transfer to the Agency or the successor contractor all turnover data in an organized and structured format approved by the Agency. A copy of MMIS data shall include but not be limited to:*
    - i. All necessary data and reference files.*
    - ii. Imaged documents stored on optical and magnetic disk.*
    - iii. All production computer programs.*
    - iv. All production scripts, routines, control language and schemas.*
  - 2. Provide all production documentation including but not limited to user and operations manuals, system documentation in hard and soft copy, needed to operate and maintain the MMIS and the procedures of updating computer programs and other documentation.*
  - 3. Provide knowledge transfer to the successor staff in the operation of the MMIS. Such knowledge transfer shall be completed at least two months prior to the end of the Contract. Such knowledge transfer shall include:*
    - i. Data entry, imaging, and claims processing.*
    - ii. Computer operations.*
    - iii. Controls and balancing procedures.*
    - iv. Exception claims processing.*
    - v. Other manual procedures.*
  - 4. Package, insure, and deliver all hardware used in the MMIS to a location designated by the Agency on a schedule approved by the Agency.*
  - 5. At a turnover date to be determined by the Agency, the Contractor shall provide to the Agency or the successor contractor all updated computer programs, data and reference files and all other documentation and records, as will be required by the Agency or its agent to operate the MMIS.*
  - 6. Turnover all reports associated with the Contract created during the Operations portion of the Contract and the turnover results report. This includes but may not be limited to:*
    - i. Paper claims and paper claim adjustments.*
    - ii. Paper provider files.*
    - iii. Paper file maintenance forms.*
    - iv. Paper financial records.*
    - v. All reports associated with the contract throughout the Operations Phase.*
    - vi. A turnover results report.*

Planning for turnover of the MMIS begins upon receiving formal written notification from the Agency. At this point in the program, the Agency has prepared and submitted the Advanced Planning Document to CMS, which determines whether the new procurement is written for a contract turnover or replacement. We develop our Turnover Plan to respond to the unique requirements of the newly procured contract.



We use our Accenture Delivery Methods (ADM) program management components to plan and execute transition just as we used them to configure and install the MMIS. We prepare a detailed Turnover Plan based on plans we prepared for the Maryland MMIS and Texas Medicaid Healthcare Partnership. ADM incorporates our experience from past projects. It includes industry standards from the Project Management Institute’s Body of Knowledge (PMBOK), Institute of Electrical and Electronics Engineers (IEEE), and the Software Engineering Institute’s (SEI) Capability Maturity Model Integrated (CMMI). We focus on a management approach that emphasizes open, timely communication with both the Agency and the successor contractor.

**Create a Schedule for Turnover Activities and submit Schedule for Agency Approval**

Att. L Req. Tab 4G -  
TOVR-1 Att L - 29

Our Turnover Project Work Plan provides the schedule of Turnover tasks, milestones and deliverables. We submit our Turnover Project Work Plan to the Agency for review and acceptance. Upon Agency approval, we baseline the Plan. The baseline provides a mechanism to measure any variances in the Turnover work schedule. We make available the plan and all updates in our SharePoint repository for access by authorized staff at any time.

Our Turnover Manager schedules and participates in standard Project Management meetings based on what worked well on other turnover efforts, such as the Maryland MMIS. A monthly Turnover MIDAS Project meeting serves to status the Turnover process to the Agency. An agenda for each meeting responds to the Agency’s needs. It may include specific topics for other IME contractors or the successor contractor.

Topics for other contractors depend on the nature of the IME procurements going forward. For example, if the Agency elects to issue the same procurements the next time, the IME contractors need to be prepared to switch or cutover to the new MMIS. We use the project Governance Model to identify and include all appropriate stakeholders in the transition planning process

In our experience, a smooth and successful Turnover requires true collaboration and effective communication with the Agency, other stakeholders, and the successor contractor. Accordingly, to facilitate communication, we recommend that current IME contractors and new contractor teams attend the turnover planning meetings. We create a written progress report summarizing the progress of the monthly meetings and deliver it to the Agency after each monthly turnover progress meeting and include, at a minimum, the following items:

- Identities and job functions of the attendees at monthly Turnover progress meetings
- Status of current Turnover tasks, milestones and deliverables, including any variance from the baseline, if applicable for that period of time
- Topics of general discussion at the monthly progress meetings
- Planned tasks, deliverables, and milestones for the following two months
- Status of contractually defined tasks, deliverables, and milestones scheduled in the Turnover Plan and any baseline variances

**Tracking Agency and Contractor Responsibilities**

TOVR-2 Att L - 29

The Agency’s involvement during the MMIS turnover is critical to its success. From our experience, involving Agency staff throughout the project helps us to avoid any surprises once we complete Turnover. We provide users with walkthroughs and demonstration of the MMIS throughout the Turnover Phase. As the APHP system is a user-friendly, intuitive application, the Agency can expect successor contract users to learn the system faster than with legacy MMIS systems that were designed decades ago. We have developed job aids, and instructor-led and computer-based training courses.

The ever-changing world of Medicaid means Agency staff is constantly in high demand. We work to develop our draft Turnover Work Plan to make efficient use of the Agency’s time. We socialize our Turnover Plan as soon as the Agency has accepted the Plan and we have baselined it. In that way, the Agency, current IME contractors and the successor contractor are aware of their necessary participation.

Our Turnover Manager maintains and tracks the turnover project plan. We provide progress reports covering all tasks and assignment as turnover activities occur.

**Working With the Successor Contractor During the Planning for the Turnover Phase**

TOVR-3 Att L - 29

Throughout the term of the MMIS contract, we strive to build an open and transparent relationship with the Agency and IME teammate contractors. We view the successor contractor as a new teammate and work toward establishing the same type of open relationship. We work closely with the successor contractor during the planning of the Turnover Phase to devise a schedule for our turnover and their Start-up/Takeover or ACD Phase.



Our support includes the following tasks:

- Train the successor contractor staff
- Provide the Agency System software, files, test data files, tables, MMIS document copies, and all other documentation and information requested by the Agency to support parallel tests and other testing, as determined by the Agency
- Provide assistance to the Agency with interpretation and analysis of test results
- Provide statistics requested by the Agency regarding the levels of accuracy of the System and its components
- Provide to the successor contractor any Agency-owned and leased equipment in our possession that is necessary to conduct acceptance testing, as long as this does not, in the judgment of the Agency, jeopardize meeting our contract requirements
- Provide update/transaction files for all files required for delivery prior to the cessation of claims processing activities (Contract Term), so that the successor contractor’s version contains the same data as our version. We deliver updated files to the Agency weekly on the following Monday after each update.

**Turnover Plan**

TOVR-4 (a-e) Att L - 29

Six months prior to the start of the Turnover, we deliver a Turnover Plan. This plan defines the activities required through the end of the contract plus six months after the end of the contract. We keep a record of “knowledge learned” during our IME ACD Phase to assist in avoiding pitfalls during Turnover. This helps us transition to the successor contractor. Our Plan includes the following:

- Turnover approach for the MMIS
- Defined tasks and subtasks for the turnover
- Turnover schedule
- List of all enterprise production data, program libraries and documentation, including documentation update procedures for the turnover
- Statement of resource requirements that must be met by the Agency or a successor contractor(s) to take over the MMIS. Our plan includes organization charts of the defined production departments and provides the resource requirements necessary to perform the operations of the MMIS.

**Providing Required Turnover Services**

TOVR-5 Att L - 30

As mentioned earlier, we recommend that all IME contractors, including the successor contractor meet to develop a Master Turnover Plan and attend regular Turnover Project meetings. We work with the Agency and successor contractor to plan and execute for a smooth Turnover of the IME.

For a successful Turnover, it is critical that the successor contractor work collaboratively with us as well as with the other IME contractors. We leverage our Governance Model to promote a collaborative working relationship across several contractors. As a large systems integrator, we are accustomed to working in a business model like the IME environment, with nine complementary contracts. We work collaboratively with the successor contractor, other IME contractors and the Agency to perform the turnover. As detailed in our project references in Tab 5, Section 5.1, we have a successful track record for this type of collaborative, multi-stakeholder environment.

**Transfer of Non-Proprietary Source Program Code and Proprietary Source Code**

TOVR-6 Att L - 30

Our solution is based on commercial off-the-shelf (COTS) products within the enterprise application, which itself is a COTS product. Our core application components are supported by well-defined vendor roadmaps, with upgrades that are part of the products’ software license, lowering total cost of ownership. To transfer non-proprietary source code onto media approved by the Agency, we provide the successor contractor with certified production copies (certifying in writing that each is complete, current, accurate, and is what we use for production) for each of the following via electronic media and/or secure transmissions:

- Names of commercial off-the-shelf (COTS) products or modules
- Listing identifying which, if any, COTS or modules are online and which, if any, are batch processed
- Directory listing of all programs on the requested file
- Data Element Dictionary



- Other System software needed to execute the test
- Configuration parameters of tools used to support the operation of the System
- Operational parameters to operate and support the operation of the System
- Source-related components necessary to perform the contract’s SOW requirements, which we included in this requirement regardless of nomenclature

APHP is a commercially available software product. Through our license agreement, we provide the Agency with all necessary rights to use the product to administer your Medicaid Program in perpetuity, regardless of the vendor selected to administer the program. Further, we will continue to provide product support and updates as long as the Agency remains current on the support agreement. We can provide access to APHP source code in escrow should that be required.

**Error-Free and Complete Systems and Operations Turned Over to the Agency or Successor Contractor**

TOVR-7 Att L - 30 While we perform defect resolution for material deficiencies in the configuration, customizations and Iowa-specific interfaces and reports during the warranty period, we do not warrant that third party software is error free. Any error or deficiency in any of the COTS component products would be covered under the applicable maintenance agreement with the product vendor. We work with the Agency to smoothly transition the operations to the Agency or the successor contractor(s).

**Correction of Malfunctions in the System**

TOVR-8 Att L - 30 At no cost to the Agency, we correct any material deficiencies in the configuration, customizations and Iowa specific interfaces and reports prior to turnover. Any error or deficiency in any of the COTS component products would be covered under the applicable maintenance agreement with the product vendor

**Staffing Plan**

TOVR-9 (a-l) Att L - 30 We provide a statement of MMIS resource requirements based on our experience and include our actual staff resources devoted to MMIS operation. This statement also includes the actual resources devoted to the operations by type of activity. We provide a detailed organizational chart depicting our total staff supporting the MMIS operation. Our statement is separated by type of activity of the personnel by RFP-specified category.

We work with the Agency and the successor contractor to develop a Staff Transition Plan. We work hand in hand with the successor contractor and our MMIS employees to transfer the appropriate people.

We meet with the successor contractor to assess their needs for the new contract. We work closely with the Agency and successor contractor to transition our employees hired by the successor contractor on a timetable and schedule that confirms our continued, uninterrupted MMIS performance.

**Facility and Resource Statement**

TOVR-10 (a-f) Att L - 30 Working with the Agency and successor contractor, we prepare a statement providing the transfer responsibility for any cost-reimbursed, purchased, or leased equipment to the successor contractor. The actual date is determined by the Agency, but should be on or about the last day of the contract term. We cooperate with the successor contractor as needed to reassign the cost-reimbursement equipment/software lease/maintenance and software license contracts.

In addition to the equipment, we transfer the associated software, supplies, operating manuals, maintenance contracts, and documentation used in MMIS, as directed by the Agency. We provide a statement that includes all resources required to operate the System.

**Delivery of Agency Data, Files and User and Operations Documentation**

TOVR-11; TOVR-12 (a-d); TOVR-13 Att L - 30 We work with key stakeholders to transfer a copy of the MMIS data to the Agency or successor contractor in a manner determined by the Agency including but not limited to:

- All necessary data and reference files
- Imaged documents stored on optical and magnetic disk
- All production computer programs
- All production scripts, routines, control language and schemas



Our Turnover Team audits the MMIS System documentation to help confirm documentation is current, and accurate, and it reflects the current platform and COTS products. Our approach to use COTS products and their upgrades as part of the COTS software license gives the Agency the advantage of current software and documentation up to contract turnover. We submit the report to the Agency for review and acceptance. We identify work-in-progress documentation and determine a date for completion. The Agency determines when and in what medium (hardcopy, softcopy or both) for documentation to be provide. If desired, we can provide electronic transfer of files from our document repository to the Agency or successor contractor’s repository

**Knowledge Transfer to Successor Staff**

TOVR-14 (a-e) Att L - 30 Our training focuses on the MMIS system requirements. We prepare and deliver training, using current and complete system documentation, instructional materials and handbooks. We base our training materials on the MMIS. Our documentation facilitates the successor contractor's understanding of overall standards, network bandwidth needs, hardware capacity, software needs, and network topology to transfer, operate, and maintain the MMIS. We schedule and complete formal training sessions at least two months prior to contract end. We recommend training delivery methods but the Agency determines delivery method.

Prior to the training start date, we deliver:

- Schedule of planned training sessions and length of each session
- Locations of training sessions
- Number of staff to be trained per MMIS area
- Training subjects
- Training methodology (including description of training material handouts and media format)
- Sample copies of materials to be used in training sessions

**Inventory, Packing Insurance and Delivery of Hardware**

TOVR-15 Att L - 30 Based on a schedule determined and approved by the Agency and as specified in the final contract, we (or one of our affiliate entities) if necessary will arrange for inventory, packing insurance and delivery of State-owned hardware used in the MMIS to a location designated by the Agency in the final contract. Given that our solution proposes hosting in the State Data Center, delivery of the State-owned hardware may be simplified.

We have proven methodologies based on numerous previous executions for these responsibilities and bring these skills and practices to the Agency.

**Updated Computer Programs, Data and Reference Files and All Other Documentation and Records**

TOVR-16 Att L - 30 We provide the Agency or successor contractor all updated computer programs, data and reference documentation and records, as required by the Agency or its agent to operate the MMIS. Additional information has been provided in previous responses within this section.

**Turnover of Reports Created During Operations Phase**

TOVR-17 Att L - 30 We work with the Agency and successor contractor to turn over reports and work-in-progress items by our operations departments with current status in process to allow the successor contractor to assimilate these items into their new work schedule.

**4E.3 Performance Standards**

*2.9.3 Performance Standards*

*The Contractor shall complete one-hundred percent of all turnover activities and obtain Agency approval prior to final payment to the Contractor.*

TOVP-1 Att L - 42 We acknowledge and accept the final contract payment is based on the Agency’s acceptance and approval of all turnover deliverables.