# Induction guide for RegEd - Accion EDC Teams

A technical deep-dive guide for the new joiners in the RegEd team.

| Version | Version 1.0 |
|---|---|
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| Reviewers | Sagar, Dhruva & Rakesh |
| Approver | **Raghavendra TS Sunil Das G** |

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*"We're delighted to welcome you aboard as we embark on an exciting journey together, aiming to cultivate an excellent team and a productive work environment"*

Here's an overview of your Onboarding Process:

Hopefully, you've completed the HR induction and joining formalities. Below is a list of items you'll encounter during your Project Induction:

1. Formal Team Introduction.
2. Assignment of a buddy to guide you through the induction process.
3. Account set-up request to be submitted to the RegEd Team (via Scrum Master).
4. Introduction to RegEd and the Organization Chart.
5. Overview of Project Architecture & Technical Stack.
6. Introduction to Development, Testing, and Production Environments.
7. Familiarization with communication protocols, timesheet tools, collaboration platforms, and configuration and management tools.
8. Your credentials will be shared with the Delivery Manager or BA/Scrum Master. (Might take up to 1- weeks after raising the request)

High Level Flow diagram of onboarding process: [Click Here](#)

📄 Onboarding Workflow.drawio.png

# Purpose of the document

Greetings!
Hello Accionite!

We're thrilled to welcome you to the RegEd Team and embark on this journey together at the EDC. This document serves as your guide to RegEd and the onboarding process, outlining the procedures, guidelines, and standards for the RegEd EDC team. It's a dynamic resource that will evolve alongside technological advancements and industry best practices. Not only does it provide insights into the onboarding process, but it also offers technical details about our product to bring you up to speed. We trust that you'll demonstrate maturity in adhering to the guidelines outlined herein, requiring minimal supervision. Your input is invaluable, and we encourage you to contribute to the ongoing refinement of this document. While it's more of a compilation than an exhaustive manual, we've included links in each section for deeper exploration. We eagerly await your suggestions and contributions for continuous improvement.

# RegEd in a Nutshell

RegEd is the market-leading provider of RegTech enterprise solutions. Established in 2000 by former regulators, the company is recognized for continuous regulatory technology innovation with solutions hallmarked by workflow-directed processes, data integration, regulatory intelligence, automated validations, business process automation and compliance dashboards. The aggregate drives the highest levels of operational efficiency and enables our clients to cost-effectively comply with regulations and continuously mitigate risk.

Trusted by the nation's top financial services firms, RegEd's proven, holistic approach to RegTech meets firms where they are on the compliance and risk management continuum, scaling as their needs evolve and amplifying the value proposition delivered to clients.

**Website:** https://www.reged.com/

**Headquarters:** Raleigh, NC

**Specialties:** Compliance management, Compliance Dashboards, Education and Training, Producer management, Regulatory Change Management, Complaint Management.

RegEd primarily serves the Insurance, Banking, Broker-Dealer, Investment Advisors and other such heavily regulated industries and has software solutions around Regulatory Compliance, Producer Management and Learning & Education.

RegEd majorly has three software products named - Xchange, Trax and Code.

The flagship product of RegEd - Xchange has Producer Management & Compliance Tracking capabilities amongst other capabilities like CE Compliance, State requirements, Finra compliance and Alerts. Xchange interfaces with data providers like NIPR, FINRA and other

sources for compliance information. It also has integrations into SFDC which is RegEd's primary CRM. Reged also has other products like Trax and Code.

Accion Labs is a global technology services company headquartered in Pittsburgh with a specialized focus on emerging technologies such as Web 2.0, Mobility, SaaS Cloud, Big Data, Automation (Quality Engineering), traditional BI/DW, and product re-engineering. Accion offers software services like technical solution consulting, development, deployment, and maintenance & support. Additionally, Accion also offers professional services to its clients.

Towards the goal of simplifying partnership structures, driving efficiencies and transparency with a product engineering partner, RegEd is engaging Accion Labs to assist in development and delivery of their software application(s) by leveraging Accion's Extended Delivery Center (EDC) team. EDC is a white box team dedicated to a client for the purposes of building one or more software.
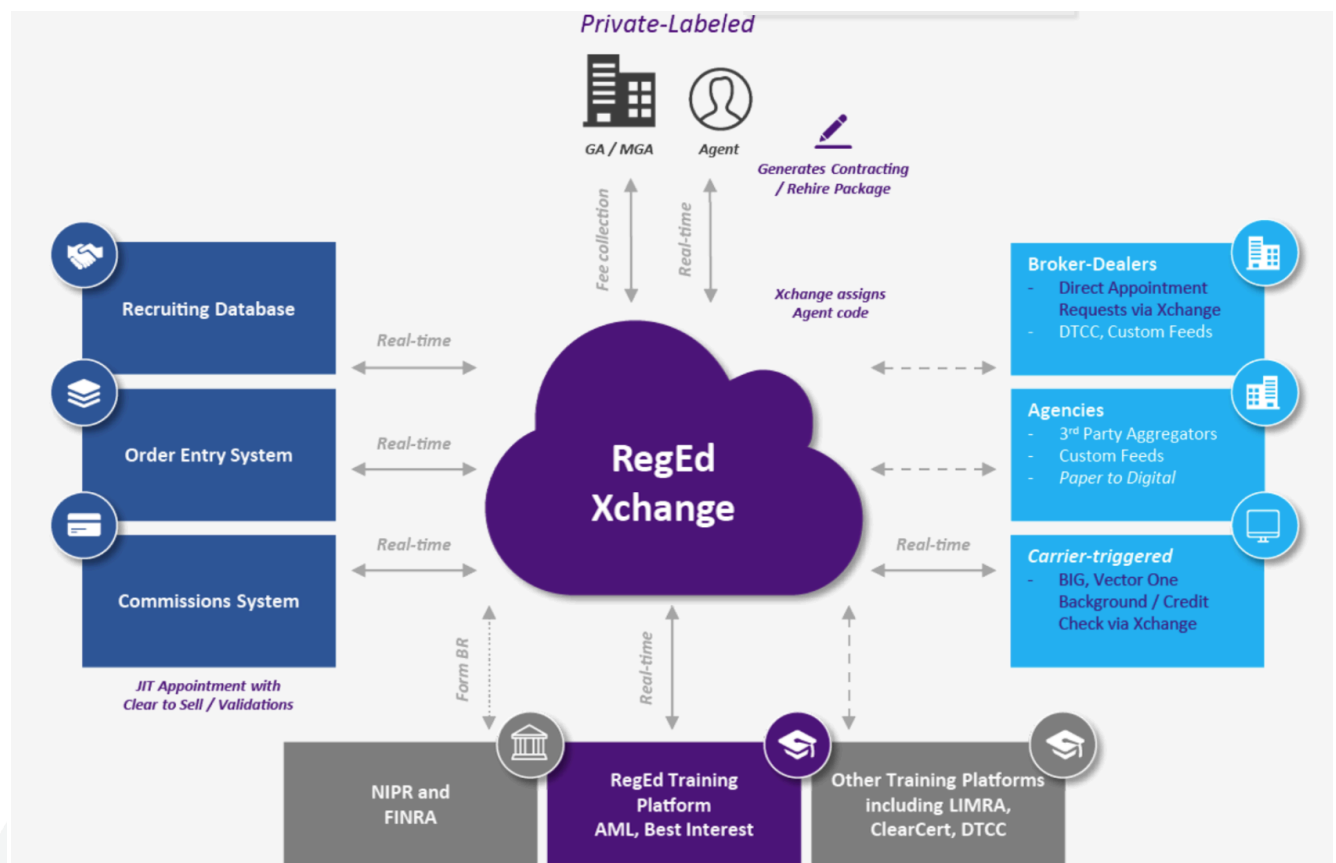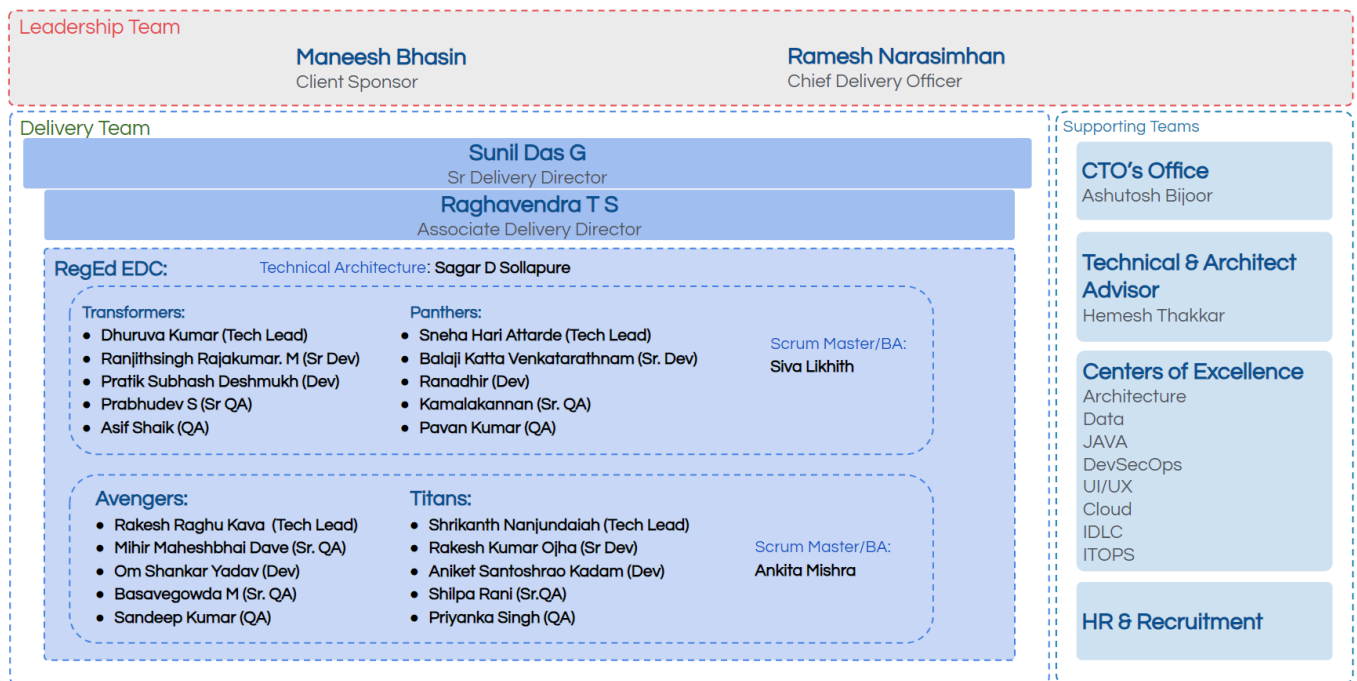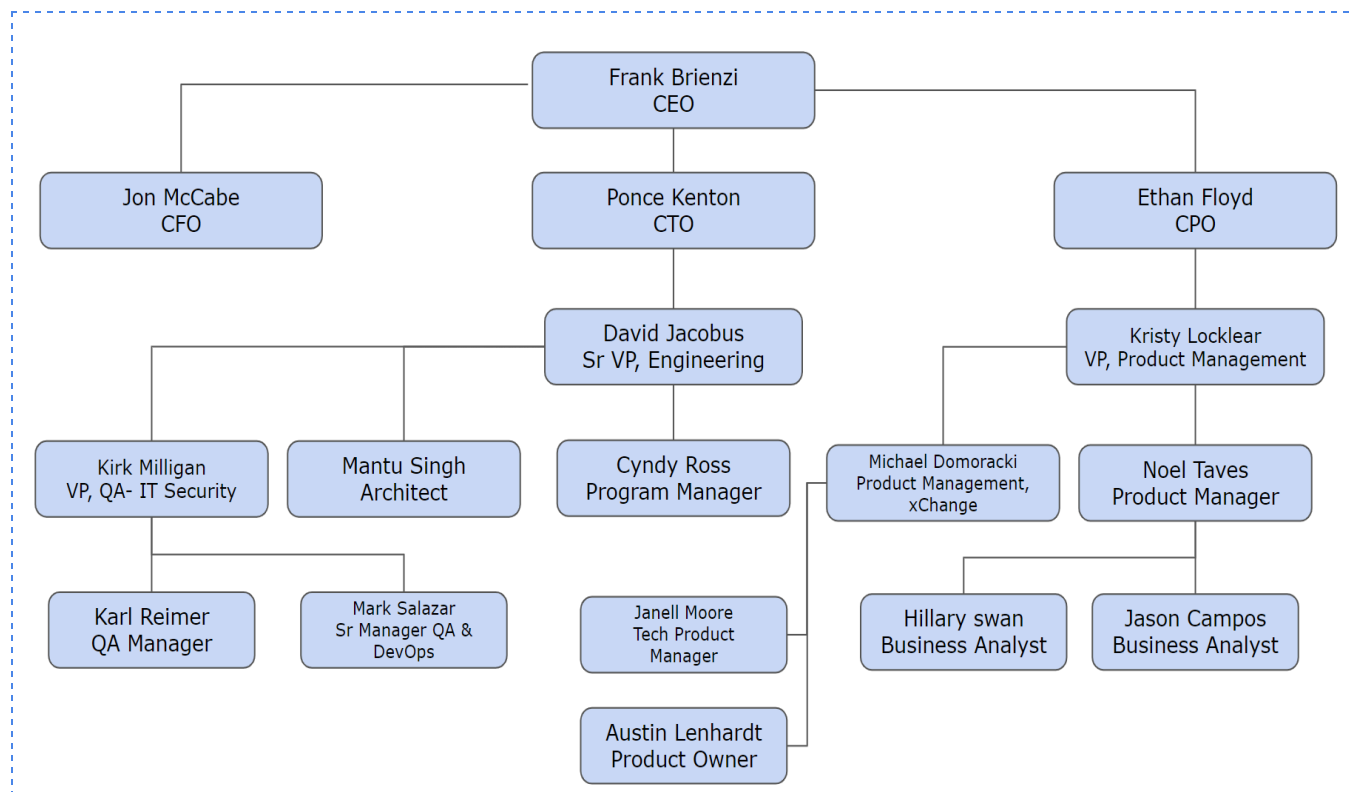
# About RegEd EDC with Accion Labs

RegEd has engaged with Accion Labs to set up an EDC and expand its Development and Engineering capacity to implement solutions for its customers worldwide. This EDC comprises a dedicated team of Developers, automation engineers and Scrum masters whom RegEd has handpicked to complement their skill set. This customized team focuses on delivering work as prioritized by RegEd's Product Management team.

The ultimate goal of the Extended Development Center (EDC) is to be a seamless extension of RegEd Product and Engineering teams.

# RegEd EDC Org chart:

**Leadership Team**

| Maneesh Bhasin | Ramesh Narasimhan |
|---|---|
| Client Sponsor | Chief Delivery Officer |

**Delivery Team**

**Sunil Das G**
Sr Delivery Director

**Raghavendra T S**
Associate Delivery Director

**RegEd EDC:**     Technical Architecture: **Sagar D Sollapure**

**Transformers:**
- Dhuruva Kumar (Tech Lead)
- Ranjithsingh Rajakumar. M (Sr Dev)
- Pratik Subhash Deshmukh (Dev)
- Prabhudev S (Sr QA)
- Asif Shaik (QA)

**Panthers:**
- Sneha Hari Attarde (Tech Lead)
- Balaji Katta Venkatarathnam (Sr. Dev)
- Ranadhir (Dev)
- Kamalakannan (Sr. QA)
- Pavan Kumar (QA)

Scrum Master/BA:
**Siva Likhith**

**Avengers:**
- Rakesh Raghu Kava  (Tech Lead)
- Mihir Maheshbhai Dave (Sr. QA)
- Om Shankar Yadav (Dev)
- Basavegowda M (Sr. QA)
- Sandeep Kumar (QA)

**Titans:**
- Shrikanth Nanjundaiah (Tech Lead)
- Rakesh Kumar Ojha (Sr Dev)
- Aniket Santoshrao Kadam (Dev)
- Shilpa Rani (Sr.QA)
- Priyanka Singh (QA)

Scrum Master/BA:
**Ankita Mishra**

**Supporting Teams**

**CTO's Office**
Ashutosh Bijoor

**Technical & Architect Advisor**
Hemesh Thakkar

**Centers of Excellence**
Architecture
Data
JAVA
DevSecOps
UI/UX
Cloud
IDLC
ITOPS

**HR & Recruitment**

# RegEd Org Chart:



# RegEd Tech Stack & Tools:

| Component | Technology / Tool |
|---|---|
| Application | C#, .Net, MVC, Web Forms, ASMX, WSDL SOAP APIs, Java (for Trax) |
| Database | MS SQL (Azure Managed Instance) |
| Cloud Infrastructure | Microsoft Azure |
| Managed File Transfer (MTP) | Progress MoveIT |
| CRM | Salesforce |
| API Gateway | Azure APIM |
| Containerized Infrastructure | Azure AKS |
| Source Control, Project Management & CI/CD | Git, TFS / Azure DevOps (For CI/CD) |
| Performance Testing | JMeter (Recommended) |
| Security Testing | Veracode (SAST / DAST), SonarQube (Planned) |
| Automation Testing | Selenium with C# (Specflow) Nexial (Recommended) |

# RegED Important Links:

| Title | URL |
|---|---|
| Functional overview of RegEd | Link 1: (Click Here)<br>Link 2: (Click Here) |
| KT on xChange Product | Click Here |
| Product Documents | Click Here |
| RegEd Time Management tool | Click Here |
| RegEd Project Guidelines | Click Here |
| Scrum refresher training | Click Here |
| Azure DevOps walkthrough | Click Here |
| RACI Matrix | Click Here |
| xChange Basic Terminology and Training | Click Here |
| Developer Configuration | |

## Contributor Permissions:

Contributor Permissions Check to respective Project Repo - Check to make sure the new team is able to create a branch and push the branch to Azure devops server.

**NOTE:** Ownership must lie with Leads

## Project Scope:

The high-level activities of the EDC team will be as follows:

## Transition

Below are a sample of the activities that Accion EDC team will perform during the transition process:

- Work with RegEd Engineering leadership to create transition plans that includes:
  - Finalized resource plan
  - Infrastructure Setup Plan & Implementation
  - Knowledge induction and ramp up plan
  - Software Development Life Cycle ("SDLC") Process
- Create induction documents for rapid ramp up of EDC teams.
- Facilitate smooth transition of knowledge from existing resources.
- Understand the functional and technical aspects of the different RegEd products.
- Track the transition progress and report it to the RegEd leadership.

- Mitigate and remediate any impediments that may occur during the transition process along with the RegEd leadership.

## Hypercare Governance

During the course of the transition process, a Hypercare Governance model will be activated. Below are some of the aspects of the Hypercare Governance Model. Accion shall work with RegEd leadership to finalize this model and implement it.

- Particular focus on controlling the downtime and ensuring high productivity
  - Ensure System Uptime
  - Focus on critical impact areas for business
- Daily scrum for EDC Teams at the start and by end of the day with a particular focus on:
  - Key issues & Resolution
  - Team Ramp-up
  - Delivery Metrics
  - Work Intake Process Progress
  - Risk Management & Mitigation
- A report sent out to RegEd & Accion Leadership with an agreed upon frequency that consists:
  - Team level breakdown with status on transition, team ramp up and ongoing delivery
  - Highlight of blockers/issues, risks & mitigation plans
- A Bi-Weekly meeting with RegEd & Accion Leadership will be setup to cover:
  - Engagement Review
  - Key Updates of the week - Accomplishments, Challenges and Plan of Action
  - Transition Schedule and Financials Review
  - Key Concern Areas & Discussion on Mitigation Plans

# Steady State Execution

## Development

- Work with the Product Management team to create a Product backlog, create high level estimates, and prioritize features
- Development, unit testing and bug fixing
- Write unit and integration tests
- Follow Agile Development Process and Release Management
- Develop reusable components
- Create knowledge repositories and Product documentation

## Quality Engineering

- Create test plans and test suites

- Write automated test cases in tool / technology that is mutually agreed upon between Accion and RegEd leadership.
- Integrate the test suites into the CI/CD platform
- Execute test cases and test plans and report the associated metrics

## Support

- Monitor and triage incoming support requests
- Perform a root cause analysis
- Implement fixes and test the implementation
- Release the fixes based on the release process.

## Governance

- Set Up a governance and status reporting process (schedule daily standups, schedule weekly status meetings, identify communication templates, scrum ceremonies, etc.)
- Track and report productivity metrics that pertain to specific work streams.
- Below is the governance framework that Accion intends to follow, however it is subject to modifications that may be suggested by RegEd:

|  | RegEd | Accion | Mode | Information / Agenda | KPIs |
|---|---|---|---|---|---|
| Quarterly | Executive Leadership Product Managers | Client Partner Engagement Director Delivery Director Delivery Managers | In-person or Video Conference | Accomplishments/ Challenges Strategic Focus Areas Product - Quarterly Update Business Update Projects Roadmap Value Adds | Planned Vs Actual Budget Resources/Effort Planned vs Actual Resource Forecast Resource Performance Report Support Metrics Summary Innovation Projects Report |
| Monthly | Product Manager (For each Product) Product Owner (For each Product) | Engagement Director Delivery Director Delivery Managers | Via Video Conference | Monthly Business Update Dev Updates RAG Updates | Resource Allocations Monthly Budget Variance Dev Metrics (Velocity, Burndown, story points carried forward, etc) by workstreams |
| Bi-Weekly | Product Manager (For Each Product) Engineering Leader (For Each Product) | Engagement Director Delivery Director Delivery Managers Tech Leads | Via Video Conference | Dev & QE Updates | Weekly Dev & QA Metrics (Velocity, Burndown, story points carried forward, defects, etc) by workstreams / products All-izz-well Report (Accion Internal) |

| Daily | Product Owner / Lead | Delivery Manager Project Tech Lead Project Team | Via Video Conference | Daily Progress Updates | Team and Individual progress update Blockers, Risks and Issues update PM/Task Tracking Tool Update |
|---|---|---|---|---|---|

# Deliverables

The EDC Teams will produce a series of deliverables and artifacts, and below is a list of select deliverables that will be provided to RegEd by Accion. Additional deliverables and artifacts may be mutually agreed upon by the parties.

- Detailed Product backlog with detailed user stories and acceptance criteria
- Transition Plan & Budgets
- Project Schedule & Plan
- Source Code
- Test plans, Test suites and Test cases
- Release Management Plan
- Knowledge repositories (wiki) articles and Product documentation
- Induction Documents
- Architecture Diagrams and associated technical documentation (if applicable)
- Governance and Communication Plan
- Bi-weekly, Monthly and Quarterly Reporting of Productivity Metrics
- Demo's at the end of each iteration

  For each Deliverable, the parties shall use a  mutually agreed upon acceptance process utilizing Agile methodology.

# Delivery Execution Model

- Accion Extended Delivery Center (EDC) team shall act as an extension to RegEd Engineering Group.
- RegEd Product Owners will continue to provide background on the enhancements, features and bug fixes to the applications and create a backlog for the EDC team.
- The extended development team will work closely with the product teams in removing blockers for the team.
- Adhere  to transparent communication channel with all the stakeholders on Alternatives and/or recommended solution(s) for identified/projected problems or issues
- Regular end of Iteration progress review on Azure DevOps board metrics (Velocity, Cycle time, Defect density, Code coverage/quality, release burndown and retrospectives etc.).
- Conduct monthly steering meetings on Progress, Plan, Problems, Learnings, Areas of improvements and overall release/milestone health

- Development Methodology -
  - The methodology of Application Development will be aligned to RegEd's LeSS Agile methodology
  - The extended delivery team will work with the Product Owner from RegEd and the onsite Delivery contact.
  - RegEd/Accion Labs will  populate user stories as a product backlog in Jira or Azure DevOps or any other project management / reporting tools used by RegEd to manage user stories
  - Activities in Planning sprint also called as Sprint 0 (Project Setup) - The duration of Sprint 0 is typically 2 weeks, during this period the team will -
    - Familiarize with the application/s, analyze requirements in detail & review existing product backlog.
    - Obtain access to existing code base, documentation, database, test cases, servers etc & set up a development environment on Virtual Machines (provided by RegEd).
    - Obtain access from RegEd to a version control system and a project management tool
    - Set coding guidelines & sprint process to be followed by the team in consultation with RegEd.
    - Familiarize themselves with the project release plan developed jointly by RegEd and EDC team.
    - Get access to any special third party tools/ services (if any) provided by RegEd
  - Activities in Development Sprints - Sprint (1 to n)-
    - Attend Sprint planning meetings.
    - For each user story, perform design & development tasks and write unit tests
    - Manually test the application.
    - Daily stand up call between Product owner from RegEd and RegEd's Extended Development Team.
    - Conduct a demo at the end of each sprint.
  - Wrap-up Sprint before every release -
    - User Acceptance Tests and Bug fixes.
    - Ensure code is tested against RegEd-defined vulnerabilities and that no code is checked in to the RegEd production environments that includes any prohibited vulnerabilities

## Delivery Practices

# 1. Product Management Collaboration:

- Collaborate closely with the Product Management team to:
  - Develop a comprehensive Product backlog.
  - Provide high-level estimates for features.
  - Prioritize features based on business value and requirements.

# 2. Solution Design and Best Practices:

- Engage with Accion Technical Architects and Leads to:
  - Design solutions.
  - Propose best practices and approaches for implementation.

Technical Design and Analysis on xChange (Click Here: Link-1 & Link-2)

# 3. Agile Development Process:

- Break down specified Epics/Features into deliverable user stories in alignment with the Product Management teams from RegED.
- Develop/code, conduct unit tests, and initiate pull requests for code review under the guidance of Tech Leads.

# 4. Testing and Automation:

Automation engineers will: Develop test plans, scripts, and automation work while developers are working on deliverables.

# 5. Deployment and Release Management:

- Deployment Process and Release Management to ensure efficient development cycles and timely releases.

# 6. Documentation and Knowledge Management:

- Establish knowledge repositories and create comprehensive product-related documentation to ensure continuity and transferability of knowledge.

**xChange Basic Terminology and Training (Click Here)**

**Xchange LSS User Guide (Click Here)**

**Common User Guide (Click Here)**

**RegEd- xChange OverView (Click Here)**

**xChange Training Video (Click Here)**

## 8. Governance and Reporting:

 - Implement a governance framework and set up a structured reporting process.
 - Conduct periodic steering and review meetings at Weekly, Bi-weekly, Monthly, Quarterly, and Yearly intervals to evaluate progress and ensure alignment with project goals

## EDC Time Zone - Overlap Hours

| Time Zones | EST | 12:30 AM | 1:30 AM | 2:30 AM | 3:30 AM | 4:30 AM | 5:30 AM | 6:30 AM | 7:30 AM | 8:30 AM | 9:30 AM | 10:30 AM | 11:30 AM |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | IST | 10:00 AM | 11:00 AM | 12:00 PM | 1:00 PM | 2:00 PM | 3:00 PM | 4:00 PM | 5:00 PM | 6:00 PM | 7:00 PM | 8:00 PM | 9:00 PM |
| Teams | | RegED EDC Team (Accion) | | | | | | | | RegEd & EDC Team | | | |
| **In Sprint Activities** | | . Design, Develop and Review the code.<br><br>. Write Test Plan, Scripts and Automate the Qulity Assurance process.<br><br>. Internally collabrate and work on the Sprint goals.<br><br>. Conduct a demo at the end of each sprint. | | | | | | | | **Meetings:**<br>. Daily Standup meeting wth RegED<br>. Sprint Pre-planning, Backlog Grooming<br>. Sprint Reviews and Demos.<br>. Sprint Retrospectives.<br>. Ad-hoc discussions as required with PO team.<br><br>**Governance Calls:**<br>. Bi-weekly<br>. Steering meetings | | | |
| | | **Usual Work timings** | | | | | | | | **Overlapping Time with RegED team** | | | |

**Note:** The time slots mentioned above are currently set with Daylight Saving Time in effect. They will advance by one hour once Daylight Saving Time is adjusted, which will occur on November 3rd, 2024

# Leave Management

**Purpose**
This section describes the leave planning for RegEd India Team members

**Scope**
RegEd India Team members can avail leave for various occasions, but with proper planning and intimation exceptions being emergency leave and sick leave.

**Approval Process and Authority**
The client representative will be informed about the RegEd India Team member's leave planning.

# Escalation Matrix

| Sl.No | Accion Labs | Name | Email ID | Escalation Matrix |
|---|---|---|---|---|
| 1 | Executive Sponsor | Tony Kernan | akernan@accionlabs.com | Final |
| 2 | Client Sponsor | Maneesh Bhasin | maneesh.bhasin@accionlabs.com | Final |
| 3 | Engagement Manager & Chief Architect | Hemesh Thakkar | hemesh.thakkar@accionlabs.com | 5th |
| 4 | Sr Delivery Director | Sunil Das G | sunil.das@accionlabs.com | 4th |
| 5 | Associate Delivery Director | Raghavendra TS | raghavendra.ts@accionlabs.com | 4th |
| 6 | Technical Architect | Sagar D Sollapure | sagar.sollapure@accionlabs.com | 3rd |
| 7 | Tech Lead | Respective Team Leads | As Applicable | 2nd |
| 8 | Scrum Master | Respective Team's Scrum Master | As Applicable | 1st |

| Sl.No | Accion Labs | Name | Email ID | Escalation Matrix |
|---|---|---|---|---|
| 1 | CTO | Ponce Kenton | ponce.kenton@reged.com | Final |
| 2 | Sr. Vice President | David Jacobus | david.jacobus@reged.com | 4th |
| 3 | Product Management, xChange | Michael Domoracki | michael.domoracki@reged.com | 3rd |
| 3 | Program Manager | Cyndy Ross | cyndy.ross@reged.com | 3rd |
| 3 | VP, QA- IT Security | Kirk Milligan | kirk.milligan@reged.com | 3rd |
| 4 | Product Owner/Business Analyst | Respective Team's PO/BA | As Applicable | 2nd |
| 5 | Scrum Master | Respective Team's Scrum Master | As Applicable | 1st |

# RegEd India Team Communication Framework

**Collaboration and Communication**
The following modes of communication will be used to collaborate with Clients:
- Emails for all official communications, work order initiation, work order clarifications and work order delivery.
- Online Microsoft Teams Meeting.
- Hangouts/What's App group for daily internal communications.
- Microsoft Teams for daily communication with customers.

This will be used for all communications such as technical and requirements-related discussions and daily Scrum meetings.

**Status report**
Team would send the Bi-weekly status report to RegEd, which provides the following details:
- The activities that were accomplished on the previous week
- The activities that are planned to be taken care of the next week
- The issues and challenges with the current set of deliverables

- The highlights and lowlights of the current week such as special comments, leave plan, etc

**Daily Standup Meetings**

Team would have a daily standup meeting every day at a suitable time for 15 minutes.

The updates expected from each person are

- The list of activities with status (planned for the current business day)
- The list of activities (planned for the next business day)
- Blocks if any