



Paul Garstki Consulting

INDEPENDENT REVIEW
OF A PROPOSED
DIVISION OF LICENSING AND PROTECTION
(DLP) ADULT PROTECTIVE SERVICES (APS)
INVESTIGATION SYSTEM

For the
STATE OF VERMONT
AGENCY OF DIGITAL SERVICES (ADS)
And
AGENCY OF HUMAN SERVICES (AHS)
DEPARTMENT OF DISABILITIES, AGING AND INDEPENDENT LIVING (DAIL)

Submitted to the
State of Vermont, Office of the CIO
by:

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1 EXECUTIVE SUMMARY

Provide an introduction that includes a brief overview of the technology project and selected vendor(s) as well as any significant findings or conclusions. Ensure any significant findings or conclusions are supported by data in the report.

The Adult Protective Services (APS) Unit of the Division of Licensing and Protection (DLP) of the Department for Disabilities, Aging, and Independent Living (DAIL) proposes to modernize operations by replacing the existing Investigation System. The procurement process was very well supported by prior research and planning. Meeting all State requirements for the bidding and selection process, the State chose Brite Systems, Inc. of Indianapolis, Indiana. Contract negotiations ensued and a draft contract has been agreed.

The total project cost would be \$2,850,625.75. The total acquisition cost would be \$1,257,605.75. The technology architecture is state-of-the-art. It is completely consistent with State IT preferences, requirements, and strategy. The implementation plan is comprehensive and very likely to succeed. Implementation would take one year. Although there is a net tangible cost to the State, we assess the intangible costs as very beneficial to Vermont and its citizens. Aside from other high-scoring bidders, there were no reasonable alternatives to this project. The impact to State costs over the lifecycle of the project would be \$2,076,625.75 more than a hypothetical continuation of the existing, unsatisfactory system. Security of the proposed project would be very strong, protecting citizens' privacy and the State's information. We found no high impact or high likelihood risks.

1.1 COST SUMMARY

Table 1 - Cost Summary

IT Activity Lifecycle (years):	6
Total Lifecycle Costs:	\$2,850,625.75
Total Implementation Costs:	\$1,257,605.75
New Average Annual Operating Costs:	\$318,604.00
Current Annual Operating Costs	\$154,800.00
Difference Between Current and New Operating Costs:	\$163,804.00
Funding Source(s) and Percentage Breakdown if Multiple Sources:	Procurement State: 100% M&O State: 100%

1.2 DISPOSITION OF INDEPENDENT REVIEW DELIVERABLES

Table 2 - Disposition of Independent Review Deliverables

Deliverable	Highlights from the Review <i>include explanations of any significant concerns</i>
Acquisition Cost Assessment	<p>The acquisition cost is reasonable.</p> <p>About 51% of the cost applies to implementation services by the vendor. About 33% covers State-provided licensing and services. The remaining 16% is for subscription, management, and support of the Enlite application during implementation.</p> <p>Our very rough estimate of cost comparison indicates that the State would be paying about the same or slightly less than employers in this region would pay for similar services</p>
Technology Architecture Review	<p>The architecture is completely consistent with the State's developing shared platform model. The approach uses best practices to accomplish the State's business needs. The shared resources will very likely control the cost and increase the efficiency of the State's system administration. The system is designed to protect the information of citizens while at the same time facilitating appropriate sharing between divisions.</p>
Implementation Plan Assessment	<p>The implementation plan is very well defined, appropriate to the project, and realistic. Implementation would take 1 year.</p> <p>In our opinion this project does not carry a lot of risk, but all of the risks we did identify are in this area and on the State side of the project. No risks are high likelihood or high impact.</p>
Cost Analysis and Model for Benefit Analysis	<p>The project has a tangible cost of \$2,076,625.75.</p>
Analysis of Alternatives	<p>Continuing use of the existing system would imperil the business. The system is already unreliable, it does not meet business needs, keeping it in compliance is difficult, and relations with the vendor are poor. The work of APS must be continuous regardless of the availability of technical resources, in order to comply with State law.</p>
Impact Analysis on Net Operating Costs	<p>The total cost of the project is \$2,850,625.75. This is \$2,076,625.75 more than the hypothetical cost of the current system if continued for the lifecycle of the project.</p>

All of the cost would be covered by State funds. No federal funding is anticipated.

As the operational costs of the proposed project are higher than current operational costs, there is no “break-even” point for the proposed project.

Security Assessment

The application therefore inherits its security profile from Salesforce, which is administered by the State and in an extremely secure AWS environment (FedRamp High).

In this model, the highest risk is at the application level, where the system is accessed through the web-based user and citizen reporter interface. The vendor mitigates this risk by employing coding and security best-practices, minimizing avenues of intrusion and data breach, using well-understood Salesforce platform application building tools, and building an application that relies almost entirely on configuration and minimizes customization in implementation for a given deployment.

The State mitigates this risk by applying a carefully designed security testing and certifying process to every component (e.g., a Lightning deliverable) of the application before it is integrated into the whole application and is exposed to the public Internet.

We assess that the vendor is experienced in applying coding best practices to this implementation environment, and that the State similarly has proficiency and experience in employing its security testing model to assure that the implemented application is as secure as it can be.

1.3 IDENTIFIED HIGH IMPACT &/OR HIGH LIKELIHOOD OF OCCURRENCE RISKS

NOTE: Throughout the narrative text of this document, **Risks and Issues are identified by bold red text**, and an accompanying tag (**RISK_ID#_0_**) provides the Risk or Issue ID to reference the risk, response, and reference in the Risk Register.

The following table lists the risks identified as having high impact and/or high likelihood (probability) of occurrence.

Please see the **Risk & Issues Register, in Section 10**, for details.

Table 3 - Identified High Impact & High Likelihood of Occurrence Risks

Risk Description	RATING IMPACT/ PROB	State's Planned Risk Response	Reviewer's Assessment of Planned Response
<i>[No high impact or high likelihood risks]</i>			

1.4 OTHER KEY ISSUES

none

1.5 RECOMMENDATION

We recommend this project go forward as planned.

1.6 INDEPENDENT REVIEWER CERTIFICATION

I certify that this Independent Review Report is an independent and unbiased assessment of the proposed solution’s acquisition costs, technical architecture, implementation plan, cost-benefit analysis, and impact on net operating costs, based on the information made available to me by the State.

DocuSigned by: Paul Garstki 1/31/2023
493B2479DEA04AE...

Independent Reviewer Signature

Date

1.7 REPORT ACCEPTANCE

The electronic signature below represent the acceptance of this document as the final completed Independent Review Report.

DocuSigned by: Paul Pratt 1/31/2023
793629E7EE37476...

ADS Oversight Project Manager

Date

DocuSigned by: Shawn Nabe 2/1/2023
E4490DF1BEAE444...

State of Vermont Chief Information Officer

Date

2 SCOPE OF THIS INDEPENDENT REVIEW

2.1 IN-SCOPE

The scope of this document is fulfilling the requirements of Vermont Statute, Title 3, Chapter 056, §3303(d):

2.1.1 THE AGENCY SHALL OBTAIN INDEPENDENT EXPERT REVIEW OF ANY NEW INFORMATION TECHNOLOGY PROJECTS WITH A TOTAL COST OF \$1,000,000.00 OR GREATER OR WHEN REQUIRED BY THE CHIEF INFORMATION OFFICER

2.1.2 THE INDEPENDENT REVIEW REPORT INCLUDES:

- A. An acquisition cost assessment;
- B. A technology architecture and standards review;
- C. An implementation plan assessment;
- D. A cost analysis and model for benefit analysis;
- E. An analysis of alternatives;
- F. An impact analysis on net operating costs for the Agency carrying out the activity; and
- G. A security assessment.

2.2 OUT-OF-SCOPE

- A separate deliverable contracted as part of this Independent Review may be procurement negotiation advisory services, but documentation related to those services are not part of this report.

3 SOURCES OF INFORMATION

3.1 INDEPENDENT REVIEW PARTICIPANTS

Table 4 - Independent Review Participants

First	Last	Title	Role
Paul	Pratt	IT Portfolio Manager	Portfolio Manager, Project Oversight
Tela	Torrey	IT Project Manager	Project Management
John	Gordon	Director, APS	Primary Business Lead
Kelly	Greaves	Assistant Director, APS	Subject Matter Expert
Joe	Nusbaum	Director, DLP	Primary Business Lead
John	Hunt	Manager, Enterprise Architecture Services	ADS Enterprise Architect Services
Troy	Morton	Enterprise Architect	ADS Enterprise Architect Services
Heather	Shaw	DAIL IT Manager	ADS IT Manager
Emily	Wivell	AHS Information Security Director	ADS Security Analyst

3.2 INDEPENDENT REVIEW DOCUMENTATION

The following documents were used in the process and preparation of this Independent Review

Table 5 - Independent Review Documents

Document	Source
2022-08-29_DAIL_Data_Sharing-ApplicationAccess.pdf	State
ADDENDUM 1 01102022.pdf	State
AHS-DAIL_APS_Investigation_System_IT_ABC-2021Rev1_(v1-6-Details)Updated-2022-12-02.docx	State
AHS-DAIL_APS_Investigation_System-IT_ABC-Approved.pdf	State
AHS-DAIL-DLP_APS_Investigation_System_RFP_2021.docx	State
PS_Investigation_Sys-ProjCharter_(v1-7).docx	State
Brite Systems Response to Vermont Adult Protective Services Investigation System.pdf	Brite Systems, Inc.
DAIL_Enterprise-5-Year_Roadmap_FINALv2.pdf	State
DAIL-DLP-APS_BusinessNarrative_V3-FINAL_w_Full_Appendices-2020-08-05.docx	State
FINAL_DRAFT-Brite_Systems_AHS-DAIL-DLP_APS_InvestigationSystem.docx	State
Project_Teams_Directory-v1-5.docx	State
Risk_Register-v1-0.xlsx	State
Salesforce Data Model Requirements v2.docx	State
Single_Org_Strategy-Enterprise_Data_Model-2022-08-04.pdf	State
Technical_Requirements-ForContract-Final.docx	State

4 PROJECT INFORMATION

4.1 HISTORICAL BACKGROUND

In about 2015, the Adult Protective Services (APS) Unit of the Division of Licensing and Protection (DLP) of the Department for Disabilities, Aging, and Independent Living (DAIL) were aware that the existing system supporting the Investigations and associated processes required by law was unreliable, time-consuming, and generally insufficient for the needs of the unit. Relations with the existing vendor, who had changed ownership several times, were not good. The system had no facility for receiving and storing artifacts – items such as photos, videos, and scanned paper documents – required for investigations. Due to these and other problems with the system, APS could not progress to the system it needed and determined that it needed a new system.

APS began to develop requirements for a new system, and about 4 years ago the State engaged a vendor that could potentially develop a new system. This first attempt did not succeed.

Meanwhile, the State via ADS was developing a comprehensive approach to a shared application platform using Salesforce Contact Relationship Management system (Salesforce) to facilitate modernization and consolidation of various State Agency Case Management applications. The need for a new APS system looked like a good candidate to use this approach.

Within the context of a 5-year technology roadmap that was developed for DAIL, APS began the process of systematically and deeply analyzing its business processes in order to clearly delineate the functional requirements of a new system. By August of 2019, an IT Activity Business Case & Cost Analysis form (IT ABC Form) was approved, and a formal procurement process commenced.

A Request For Proposals (RFP) was issued in December of 2021, setting out requirements including the requirement that a new system be hosted on the State's Salesforce Case Management Architecture. It was understood by the State a new, more capable Investigation System would likely cost more than the existing unsatisfactory system. Responses were received and scored by the project's procurement team, followed by demonstration sessions by the highest scoring bidders. There was a hands-on evaluation session using the 2 vendors' proposed solution prototypes. The process resulted ultimately in the selection of Brite Systems, Inc. as the potential vendor.

4.2 PROJECT GOAL

Implementation and operation of a new Investigation Case Management System to meet current business needs and process flows.

4.3 PROJECT SCOPE

4.3.1 IN-SCOPE

- Case Management System; Intake, Screening, Investigation, Closeout, Legal (Appeals, Expungement, Reviews), Restorative Justice, Reporting.
- Web-based Reporting Portal; Web-based application for the public to submit reports and information can be easily transition into the system for case work.
- Life-cycle Process: Business Analysis, Procurement, Design, Development, Implementation, Testing and Acceptance, Closure.
- Integration with Microsoft Outlook.
- Document Management of all Case Information in one electronic storage system (interconnected solution is OnBase, implemented in a separate project).
- Data migration to new system, with artifacts (e.g., documents, videos, pictures) being part of the document management project..

4.3.2 OUT-OF-SCOPE (AS STATED IN PROJECT CHARTER DRAFT)

- Changes to the statutes governing Adult Protective Services.
- Currently integration with other Department, Agency, or State Systems.
- Changes to users' machines (e.g., desktops, laptops).

4.3.3 MAJOR DELIVERABLES

Table 6 - Major Deliverables

Deliverable	Timeframe
Design, development, completion, deployment of the APS Investigation System and associated training	1 year
Enlite Subscription, Managed Services, Support and Maintenance	5 years

4.4 PROJECT PHASES, MILESTONES, AND SCHEDULE

Table 7 - Project Phases, Milestones, and Schedule

Milestones / Phases	Milestones / Deliverable Dates
Initiation Phase.	January 2023
Discovery Phase.	February / March 2023
Architecture & Design Phase.	March 2023
Implementation and Build Case Management	April 2023
Case Management Data Migration Work Items, and Integration with Okta	May 2023
Implementation and Build Legal Module Process.	June 2023
Legal Module, Data Migration, and Integration with OnBase.	July 2023
Implementation and Build System Administration Requirements.	August 2023
System Administration Requirements Related Data Migration	September 2023
Implementation and Build Accessibility Requirements	October 2023
Testing and Training	November 2023
Go Live	December 2023
Post Implementation Support and 6-Month Warranty.	January 2024 to June 2024
Post-Production Support	5 years total: January 2024 to December 2028

5 ACQUISITION COST ASSESSMENT

Table 8 - Acquisition Costs

Acquisition Costs	Cost	Comments
Hardware Costs	\$0.00	No hardware costs to State
Software Costs	\$333,824.00	See note below*
Implementation Services	\$615,828.75	
State Personnel	\$290,184.00	See attach. 3, Cost Spreadsheet
Professional Services (e.g., Project Management, Technical, Training, Independent Review etc.)	\$17,769.00	provided by IR consultant
Total Acquisition Costs	\$1,257,605.75	

*note: The software costs include implementation subscription and support for the Enlite application as well as costs incurred by the State directly for initial licensing costs of the following:

- *Salesforce Enterprise Licensing*
- *Salesforce Community Licensing*
- *Azure Dev Ops*
- *Mulesoft Licensing*

5.1 COST VALIDATION:

Describe how you validated the Acquisition Costs.

- Implementation Costs for Enlite subscription with support and maintenance are as defined in the draft contract. They are consistent with costs proposed by the vendor in their proposal
- Software Costs for State software licensing were provided by ADS EA division.
- Implementation Services costs are as defined in the draft contract. They are consistent with costs proposed by the vendor in their proposal.
- State Personnel costs used standard rates multiplied by ADS estimates of hours required.
- Independent Review cost is actual as specified in SOW.

5.2 COST COMPARISON:

How do the above Acquisition Costs compare with others who have purchased similar solutions (i.e., is the State paying more, less or about the same)?

The acquisition costs in the above table do not completely represent the costs of a SaaS subscription-based system, because much of the total project cost is in the operational years after implementation.

About 10% of the acquisition cost comes from State-licensed software based on contracts negotiated by the State. A further 16% accounts for the costs of subscription access, management, and support for the Enlite application, consistent with regular rates. 23% goes to State personnel for implementation. The remaining 51% accounts for the vendor's implementation services.

The draft contract costs are based on deliverables rather than hours of work. As a very rough estimate, we can take the average salary of a software developer in Vermont at the 75th percentile, \$81,390.¹ The implementation period is exactly one year. At the stated salary, the draft contract implementation price of \$615,828.75 would account for about 7.5 developers. The draft contract identifies 9 of the vendor's personnel on this project. Of course, not all of those are developers, but in our very rough estimate, we would say that **Vermont is paying about the same or slightly less than employers would pay for the same work in this region.**

5.3 COST ASSESSMENT:

Are the Acquisition Costs valid and appropriate in your professional opinion? List any concerns or issues with the costs.

The acquisition costs are valid and appropriate. The vendor costs are consistent with the costs proposed during the procurement selection process. They are well-defined in the contract, with breakout costs for clearly stated deliverables. We have no concerns with the cost.

Additional Comments on Acquisition Costs:

None

¹ <https://www.salary.com/tools/salary-calculator/software-developer-i/williston-vt>

6 TECHNOLOGY ARCHITECTURE REVIEW

SYSTEM DESCRIPTION

The proposed application is a Salesforce application utilizing an existing configurable Lightning-based application called Enlite (www.enliteapps.com). Brite Systems claims that Enlite provides 80% of the State's functional requirements "out of the box." This seems reasonable; Enlite was originally designed as a case management platform for home visitation which gives it most of the functionality needed. The system when implemented will have a website interface which will have a publicly available form for reports and allegations of abuse situations and a highly secure interface for State field staff and administrative staff.

Field staff will be able to access the application via mobile devices and laptop computers. The application will function as a single interface for field staff to report information as well as artifacts such as photos, videos, scanned paper documents. This capability is sorely lacking in the existing system. Concurrent with the present project, the State is conducting a project to implement a document storage platform (OnBase), which would be accessed by the Enlite application. Artifacts would be stored and cataloged in OnBase, since the Salesforce platform has size limitations for unstructured data.

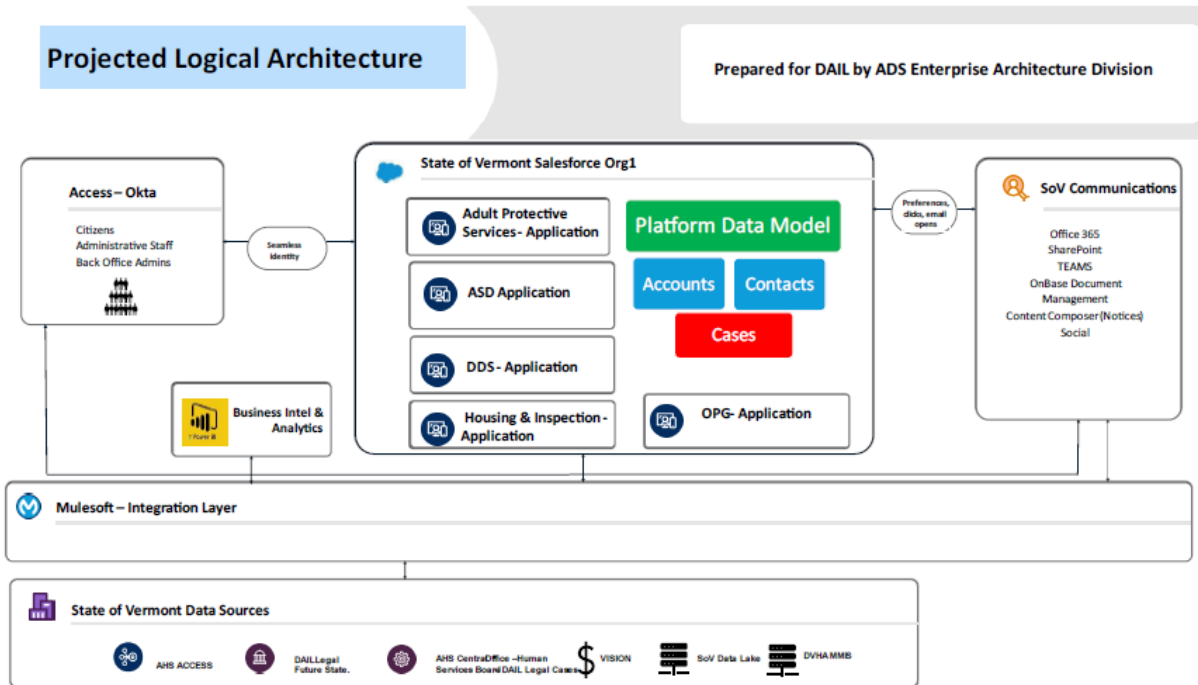
The field staff's mobile devices will, of course, need Internet access to send information of any kind to the system. Vermont's Internet provision at the current time is spotty. Some areas have no practical access at all. To accommodate this situation, the proposed application allows offline entry of information and artifacts, which can then be uploaded when access is reliable.

The State currently has a strong preference for hosting CRM-type applications in Salesforce. There are many reasons for this preference: Salesforce is a modern Platform as a Service (PaaS) which is extensible through standardized and well-defined software tools such as Lightning. The State can increasingly consolidate its IT administration resources to focus on Salesforce implementations. Salesforce is highly popular for enterprise CRM applications in government, industry, and healthcare industries. It potentially reduces the States reliance on proprietary vendors when open-source software is employed (although of course the State is increasingly reliant on Salesforce itself).

The diagram below, provided by the State, is part of a 5-year roadmap to consolidate information and workflow applications in several AHS divisions so that, *when appropriate and allowed by State and federal law*, these applications can share the relevant data from the records of individuals served, potentially improving the efficiency and efficacy of the services provided by the State.

In this diagram, the box labeled "State of Vermont Salesforce Org1" represents the various related applications that would be hosted in the State's existing Salesforce organization. (Not all of these applications are currently implemented or underway.) The box labeled "Adult Protective Services – Application" represents the configured Enlite application as it would be implemented by Brite. The green rectangle labeled "Platform Data Model," along with the colored rectangles below it, represent the State's data model which stores the information from all these related applications in a data structure which can relate that data where appropriate and allowed by law.

The remainder of the diagram illustrates the way that housing these applications in the Salesforce org increases the efficiency of the State’s enterprise system by sharing common resources to accomplish the aims of the application. The Mulesoft integration system, for example, allows data integration between any number of disparate sources and applications. The Enlite application would only need an Application Programming Interface (API) between the application and Mulesoft, with Mulesoft having connections to all the appropriate applications. This greatly reduces the number of APIs needed by the enterprise and makes maintenance and implementation of interfaces more orderly. Authentication and authorization to access Salesforce applications is controlled by Okta.



ASSESSMENT

The architecture is completely consistent with the State’s developing shared platform model. The approach uses best practices to accomplish the State’s business needs. The shared resources will very likely control the cost and increase the efficiency of the State’s system administration. The system is designed to protect the information of citizens while at the same time facilitating appropriate sharing between divisions.

6.1 STATE’S ENTERPRISE ARCHITECTURE GUIDING PRINCIPLES

6.1.1 A. ASSESS HOW WELL THE TECHNOLOGY SOLUTION ALIGNS WITH THE BUSINESS DIRECTION

The solution would implement the business requirements of APS. These requirements were well defined in a 2020 report entitled “Adult Protective Services Investigation System Business Narrative.” They were further augmented during development of the RFP and memorialized in the draft contract. In our opinion, the vendor has the resources and experience to implement each one of the requirements.

6.1.2 B. ASSESS HOW WELL THE TECHNOLOGY SOLUTION MAXIMIZES BENEFITS FOR THE STATE

As described in the descriptions above, the solution has a strong likelihood of increasing the quality and efficiency of services provided to Vermont citizens. It would also optimize the efficiency of State system administration as relates to this division.

6.1.3 C. ASSESS HOW WELL THE INFORMATION ARCHITECTURE OF THE TECHNOLOGY SOLUTION ADHERES TO THE PRINCIPLE OF INFORMATION IS AN ASSET

The use of Salesforce with the State’s Platform Data Model facilitates connections between the information used by several divisions, multiplying the quality of services supporting existing information sources.

6.1.4 D. ASSESS IF THE TECHNOLOGY SOLUTION WILL OPTIMIZE PROCESS

The solution would modernize and streamline APS investigation processes, allowing APS staff and investigators to use their time to accomplish business aims rather than shuffling documents and information between disparate systems.

6.1.5 E. ASSESS HOW WELL THE TECHNOLOGY SOLUTION SUPPORTS RESILIENCE-DRIVEN SECURITY.

Please see Section 11, Security Assessment, *below*.

6.2 SUSTAINABILITY

The proposed solution is a pure SaaS/PaaS implementation. No additional hardware is required to use the system for investigators, citizens, and APS staff. The use of open architecture and the Salesforce environment reduces the State’s reliance on a single vendor and reliance on proprietary systems. Taken together, these characteristics ensure long-term sustainability, as the State has minimal capital investment and maximum flexibility should its needs change in the future.

6.3 HOW DOES THE SOLUTION COMPLY WITH THE ADS STRATEGIC GOALS ENUMERATED IN THE ADS STRATEGIC PLAN 2022-2026?

6.3.1 IT MODERNIZATION

The proposed system would allow investigators to enter information as well as documentation – videos, photos, scanned or photographed paper documents – through a single interface, increasing efficiency and reliability of their process.

The State has a very high confidence in the reliability of the Salesforce platform, along with increasingly experienced administrators for the same.

6.3.2 VERMONT EXPERIENCE

Over 50% of the citizen reports are made online. The system would have a modern and easy-to-use citizen reporter interface, improving and simplifying this process.

6.3.3 CYBERSECURITY AND DATA PRIVACY

Please see Section 11, Security Assessment, *below*.

6.3.4 FINANCIAL TRANSPARENCY

This project meets most of the top-level aims of this strategy:

- It reduces the number of applications by replacing desktop application uses (e.g., Excel, Word) and integrating data from those APS uses in the new solution.
- It consolidates systems through use of the shared Salesforce platform.
- In preparation for this project and related DAIL projects, a 5-year technology roadmap was developed.
- Salesforce is considered to be a highly secure system.

6.4 COMPLIANCE WITH THE SECTION 508 AMENDMENT TO THE REHABILITATION ACT OF 1973, AS AMENDED IN 1998

Vermont.gov has adopted Section 508 and W3C Web Accessibility Initiative standards and guidelines as the benchmark to meet the objectives of the Universal Accessibility for State Web sites policy. The Access Board (the federal board assigned to create Section 508 standards) used the W3C Web Accessibility Initiative guidelines as the benchmark for developing their standards.²

² <https://www.vermont.gov/policies/accessibility>, accessed December 20, 2022

Salesforce, Inc. maintains a strong and continuing accessibility program³ and produces Accessibility Conformance Reports (ACRs) for all its products.⁴ As a result, the Salesforce platform, including Lightning development, has extensive accessibility capabilities. Although in their proposal the vendor did not specify how they uses these capabilities, an entire phase of the implementation is devoted to accessibility, and we have no concerns in this regard.

6.5 DISASTER RECOVERY

The Enlite application would inherit the disaster recovery features inherent to Salesforce and the AWS Government Cloud. The State is highly satisfied with these features and we see no reason to disagree.

The State would ensure through Salesforce that those features are implemented for the APS Investigation System. The project vendor would be responsible for working with the State to ensure that the system is completely operable when restored. However, the vendor would first provide a Level Of Effort (LOE) to the State for review prior to any work.

6.6 DATA RETENTION

The vendor will ensure that all data retention schedules meet federal and State requirements. Salesforce is capable of any realistic amount of retained data. (OnBase retention is assessed in a separate project.)

6.7 SERVICE LEVEL AGREEMENT

6.7.1 WHAT ARE THE POST IMPLEMENTATION SERVICES AND SERVICE LEVELS REQUIRED BY THE STATE?

The draft contract establishes a 6-month warranty period. All Defects found within the Warranty Period, would be corrected by Contractor at no additional cost to the State.

After the initial warranty period, the State would purchase continued support from the vendor for each of the 5 years of operation.

6.7.2 IS THE VENDOR PROPOSED SERVICE LEVEL AGREEMENT ADEQUATE TO MEET THOSE NEEDS IN YOUR JUDGMENT?

Yes, the service levels are defined in Attachment H of the draft contract, and the targets and response times for the various levels are appropriate and clear. We note that, during the 5 years of operation

³ <https://www.salesforce.com/company/accessibility/overview/>

⁴ <https://www.salesforce.com/blog/accessibility-compliance-equality/>

after the warranty period, the draft contract does not define remedies or compensation to the State for failure to meet service level targets. We recommend that the State consider whether that is satisfactory, since Part 7.3 of the Bidder Response Form requires the vendor to describe “...what remedies [*vendor*] would provide the State when performance does not meet the standard”

6.8 SYSTEM INTEGRATION

6.8.1 IS THE DATA EXPORT REPORTING CAPABILITY OF THE PROPOSED SOLUTION CONSUMABLE BY THE STATE?

The application has extensive capabilities to produce dashboards/reports. The vendor will configure the initially required dashboards/reports and provide training to State personnel for ad-hoc production of dashboards/reports. We have no concerns in this area.

6.8.2 WHAT DATA IS EXCHANGED AND WHAT SYSTEMS (STATE AND NON-STATE) WILL THE SOLUTION INTEGRATE/INTERFACE WITH?

Please see the System Description, *above*.

.

Additional Comments on Architecture:

none

7 ASSESSMENT OF IMPLEMENTATION PLAN

The implementation plan comprises 12 major milestones/phases including post implementation warranty support (as shown in table 7 – Project Phases, Milestones, and Schedule, Section 4.4, *above*). For each of these phases, the draft contract lists sequential tasks and deliverables, which are sufficiently detailed to allow both State and vendor to assess progress throughout. The implementation is designed to take 12 months from contract execution to go-live.

The development process employs Agile and is consistent with the State’s requirement for vendors to use an Agile/Waterfall hybrid approach.

Brite Systems, Inc. is a relatively young and small company. However, we find their expertise and experience, along with the qualifications of their personnel and understanding of the State’s needs and requirements suggests a high likelihood of a successful implementation.

As in many projects of this size and scope, most of the risk is on the State side. This is not at all to suggest poor planning by the State – to the contrary, this project is meticulously specified and careful in its progress. Indeed, the first item we will mention is mostly external to the project plan and reflects the whole purpose of the project: The existing Investigation System is viewed by senior leadership and by users as insufficient and potentially unreliable. If the current system fails for any reason, there is no immediately available technological alternative prior to completion of the present project. Such a failure would strongly impact APS business functions and draw resources away from the project. We identify this as a risk **RISK_ID#_R5**. This is a risk the business has chosen to Accept and will prioritize risk management for timeline-related risks. We agree, because the rewards of the present project are significant and because there is little alternative.

As the solution is adapted to fit the Business needs, users may identify other features that could improve business functionality. As these are not a part of the original set of requirements, implementing them could result in an increase in cost and/or timeline length. We identify this as a **RISK_ID#_R2**. The State chooses to mitigate this risk, understanding that the limit of the budget and timeframe will be paramount to avoiding scope creep. The State will implement a "parking lot" of items to be sought later, acknowledging and saving good ideas, but keeping on track for the initial implementation. We think this is an appropriate approach.

As in any modernization project of this size, the State will need to speak with one voice and communicate clearly about the details of requirements, especially in the Requirements Discovery phase, but also throughout the project. We emphasize that we have not seen any sign of disunity or disagreement, but since adherence to the timeline is so important in this project, we think that even a remote risk of ambiguous or delayed communication slowing down the vendor should be proactively addressed. We identify this as a Risk **RISK_ID#_R3**. The State responds with a Risk Contingency: The State will establish a review process for “block” items; Project Team orientation will include a review of the process for Teams working on project tasks when they encounter a block that stops progress on the task. There will be an escalation process for the Team Lead to objectively bring items to the Governance

Team for their review and determination. If the Governance Team cannot come to an agreement, then they will present the item(s) to the Sponsor for final determination. All decisions will be documented. This is a fine approach if carried out; we think it will be.

The work of APS has to continue to protect Vermont's vulnerable citizens, whatever challenges or demands there may be. Consequently, there is the potential for key Subject Matter Experts (SMEs) and/or Key Stakeholders to be consistently unavailable for project related meetings, reviews and testing, because of the because of the continuing daily demands. This could delay implementation if the vendor has to wait for State feedback, testing, acceptance, etc. We identify this as a Risk **RISK_ID# R4**. The State understands this risk and responds with a risk contingency: As the daily business of Adult Protective Services must continue, and staff may become unavailable at times, to mitigate any impact on the project timeline the Business will allocate additional staff to cover (long-term / short-term), assist, or replace any staff that may become unavailable for the project. We concur.

Project management reports that there is a known potential challenge to the availability of ADS Enterprise Architecture expertise. ADS EA division has been providing resources for the procurement phase; EA expertise with a focus on Salesforce will be needed throughout the implementation. The State responds that they would implement a contingency and are monitoring the situation. **RISK_ID# R1**

And finally, we must acknowledge that the project resources may be prevented from completing tasks due to travel or access restrictions due to the coronavirus (COVID 19) health crisis. We identify this as a Risk **RISK_ID# R6**. However, we are rating the impact of this risk very low, because ADS now has several years of experience in conducting its work remotely, the vendor has experience in remote working, and there is no hardware installation needed. The State responds that it will Mitigate: monitor and adjust project tasks impacted by restrictions due to the coronavirus (COVID 19) health crisis. We concur.

After assessing the Implementation Plan, please comment on each of the following.

7.1 THE REALITY OF THE IMPLEMENTATION TIMETABLE

The implementation timetable is well-defined. We think it is realistic. With the phase model and definition of deliverables, it should be easy enough to monitor progress and adjust if necessary. (Note that lengthening the timeline would not help for the risks listed above; it would only increase the impact and perhaps the likelihood.)

7.2 READINESS OF IMPACTED DIVISIONS/ DEPARTMENTS TO PARTICIPATE IN THIS SOLUTION/PROJECT

(consider current culture, staff buy-in, organizational changes needed, and leadership readiness).

The key stakeholders are *very* enthusiastic about this project, and anxious to have it replace the current system. All our interviews suggested a high level of agreement among project team members about every topic discussed.

7.3 DO THE MILESTONES AND DELIVERABLES PROPOSED BY THE VENDOR PROVIDE ENOUGH DETAIL TO HOLD THEM ACCOUNTABLE FOR MEETING THE BUSINESS NEEDS IN THESE AREAS:

7.3.1 A. PROJECT MANAGEMENT

The vendor is committed to at least the following deliverables for project management. They are consistent with project management best practices and will help everyone stay on the same page concerning progress of the implementation.

- Project Charter
- Project Management Plan
- Formal Acceptance Criteria
- Formal Acceptance Sign Off
- Change Requests
- Change Requests Log
- Budget Log
- Risk Log
- Issue/Action Items/Decision Log
- Decision Log
- Requirements Documents
- Test Plans
- Test Cases & Results
- Implementation Master Schedule
- Project Status Reports
- Project Phase Audit/Gate Check
- Meeting Agenda/ Minutes
- End of Project Metrics
- Lessons Learned
- Closeout Report

7.3.2 B. TRAINING

The vendor will conduct Role-Based Trainings of State personnel for Train-the-Trainer and Train the User. The draft contract comprehensively defines the deliverables expected for this phase.

7.3.3 C. TESTING

The vendor will conduct testing of modules within each Agile scrum. The project requirements are mostly in the form of user stories, which as mentioned above have been developed in depth leading up to this project. The State's participation will be in the form of User Acceptance Testing (UAT) that is based on the user stories.

7.3.4 D. DESIGN

The vendor is a Salesforce Certified Gold Consulting Partner. This indicates that the vendor's design will be consistent with Salesforce best practices.

7.3.5 E. CONVERSION (IF APPLICABLE)

Data from the existing system will be migrated to the new system. The vendor will perform all necessary legacy data migrations using State-approved migration plan and data mapping templates. The contract defines the approach for conversion. Our assessment is that both the State and the vendor have experience in migrations of this kind and we expect that it will generally go well.

7.3.6 F. IMPLEMENTATION PLANNING

The project includes significant time for requirements discovery in collaboration with the State project team. The draft contract timetable demonstrates that the broad outlines of the implementation plan are already in place.

7.3.7 G. IMPLEMENTATION

Implementation deliverables are well-defined in the draft contract and are derived from the vendor's proposal and contract negotiation. Combined with the project management deliverables listed above, they should lead to a very transparent implementation process, keeping vendor and State coordinated and well-informed about implementation progress.

7.4 DOES THE STATE HAVE A RESOURCE LINED UP TO BE THE PROJECT MANAGER ON THE PROJECT? IF SO, DOES THIS PERSON POSSESS THE SKILLS AND EXPERIENCE TO BE SUCCESSFUL IN THIS ROLE IN YOUR JUDGMENT?

Yes, the current project manager is certified, experienced, and a member of ADS Project Management staff. We have no concerns in this area.

Additional Comments on Implementation Plan:

none

8 COST ANALYSIS AND MODEL FOR BENEFIT ANALYSIS

8.1 ANALYSIS DESCRIPTION:

Provide a narrative summary of the cost benefit analysis conducted.

For derivation of tangible cost, please see **Section 10, Impact Analysis on Net Operating Costs, below**.

For intangible benefits, we began with the desired business values as listed in the RFP and as elaborated in other project documentation. We reviewed these and included those that we assessed would be accomplished by the proposed project. We included one other benefit we assessed as inherent in the overall aims and capabilities of the project.

8.2 ASSUMPTIONS:

List any assumptions made in your analysis.

- That the system's capabilities as represented by deliverables listed in the draft contract will be accomplished in the final system as implemented.
- That costs as represented in the draft contract are accurate and final.
- That annual cost for the current system is as reported by the State.
- That State estimates of personnel time and costs will be accurate.
- That costs for State-acquired software licenses will be as projected.

8.3 FUNDING:

Provide the funding source(s). If multiple sources, indicate the percentage of each source for both Acquisition Costs and on-going Operational costs over the duration of the system/service lifecycle.

Funding for this project will be provided entirely by the State. No federal funding is anticipated.

8.4 TANGIBLE COSTS & BENEFITS:

Provide a list and description of the tangible costs and benefits of this project. Its "tangible" if it has a direct impact on implementation or operating costs (an increase = a tangible cost and a decrease = a tangible benefit). The cost of software licenses is an example of a tangible cost. Projected annual operating cost savings is an example of a tangible benefit.

Tangible Cost: \$2,076,625.75. The tangible cost is in the implementation period and the operational period.

8.5 INTANGIBLE COSTS & BENEFITS:

Provide a list and descriptions of the intangible costs and benefits. Its “intangible” if it has a positive or negative impact but is not cost related. Examples: Customer Service is expected to improve (intangible benefit) or Employee Morale is expected to decline (intangible cost)

THE STATE EXPECTS THE FOLLOWING INTANGIBLE BENEFITS:

- Replacement of an unreliable system with a reliable and adaptable system, providing improved service to Vermont citizens.
- A solution that allows inhouse staff to adapt for items such as users accounts, table values, screen layouts, reports, will minimize the need for continuous involvement by the vendor, and will allow the business to continue business processes unhindered by not having to wait on a Vendor to perform the adaptation.
- DLP believes that using a State approved case management system platform that can be adapted and modified to meet existing and new business needs (non-static solution) will be financially beneficial to the State overall.
- A simplified web intake would improve external customer satisfaction by making it easier to report potential incidents of exploitation, neglect, or abuse of vulnerable adults. Simpler electronic submissions should also improve conditions for the potential victim as their case would be triaged and investigated more quickly.
- Internal users will have a system that better aligns with DLP business processes by enabling process flows that will result in fewer process steps, and siloed processes.
- Investigation data housed in one electronic location, minimizing external storage of case data and paper files.

8.6 COSTS VS. BENEFITS:

Do the benefits of this project (consider both tangible and intangible) outweigh the costs in your opinion? Please elaborate on your response.

Yes, the benefits significantly outweigh the costs in our opinion, because APS is required to conduct investigations into potential cases of abuse, neglect, or exploitation of vulnerable adults including a method for the public to report potential cases online, and the existing system imperils the efficiency and potentially the effectiveness of that mission. The State anticipated that this project would cost more than continuing the existing system and therefore would have a tangible overall cost.

8.7 IT ABC FORM REVIEW:

Review the IT ABC form (Business Case/Cost Analysis) created by the Business for this project. Is the information consistent with your independent review and analysis? If not, please describe. Is the lifecycle that was used appropriate for the technology being proposed? If not, please explain.

We reviewed the original IT ABC Form and the draft document for an updated version. The aims and scope of the project as currently proposed remain the same, except that document storage (OnBase) implementation is now proceeding as a separate project (the proposed project will provide artifact storage by connecting to OnBase). With that change accounted for, the costs as represented in the IT ABC Form are effectively the same as those proposed.

The lifecycle is appropriate for the proposed technology and consistent State-mandated contract limitations.

Additional Comments on the Cost Benefit Analysis:

none

9 ANALYSIS OF ALTERNATIVES

The procurement scoring and selection process was careful, fair, and compliant with State procurement regulations. Although other bidders were potential choices, the selection of the proposed vendor was produced as a result of this process.

IN HOUSE SOLUTIONS

The In-house development approach is generally deprecated in Vermont State Government for data-based projects for several reasons: Vermont does not have a large, dedicated in-house development staff, as would be needed for a large and complicated project such as the present one; there is not generally a large development skill pool in the State; Vermont explicitly prefers cloud-based solutions as more resilient and cost-effective.

9.1 PROVIDE A BRIEF ANALYSIS OF ALTERNATE TECHNICAL SOLUTIONS THAT WERE DEEMED FINANCIALLY UNFEASIBLE.

N/A

9.2 PROVIDE A BRIEF ANALYSIS OF ALTERNATE TECHNICAL SOLUTIONS THAT WERE DEEMED UNSUSTAINABLE.

Continuing use of the existing system would imperil the business. The system is already unreliable, it does not meet business needs, keeping it in compliance is difficult, and relations with the vendor are poor. The work of APS must be continuous regardless of the availability of technical resources, in order to comply with State law.

9.3 PROVIDE A BRIEF ANALYSIS OF ALTERNATE TECHNICAL SOLUTIONS WHERE THE COSTS FOR OPERATIONS AND MAINTENANCE WERE UNFEASIBLE.

N/A

10 IMPACT ANALYSIS ON NET OPERATING COSTS

10.1 INSERT A TABLE TO ILLUSTRATE THE NET OPERATING COST IMPACT.

Table 9 - Project Lifecycle Costs

	Procurement	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Total Project Cost	\$1,257,605.75	\$318,604.00	\$318,604.00	\$318,604.00	\$318,604.00	\$318,604.00	\$2,850,625.75
Current Cost	\$129,000.00	\$129,000.00	\$129,000.00	\$129,000.00	\$129,000.00	\$129,000.00	\$774,000.00
Total Cost	\$1,128,605.75	\$189,604.00	\$189,604.00	\$189,604.00	\$189,604.00	\$189,604.00	\$2,076,625.75

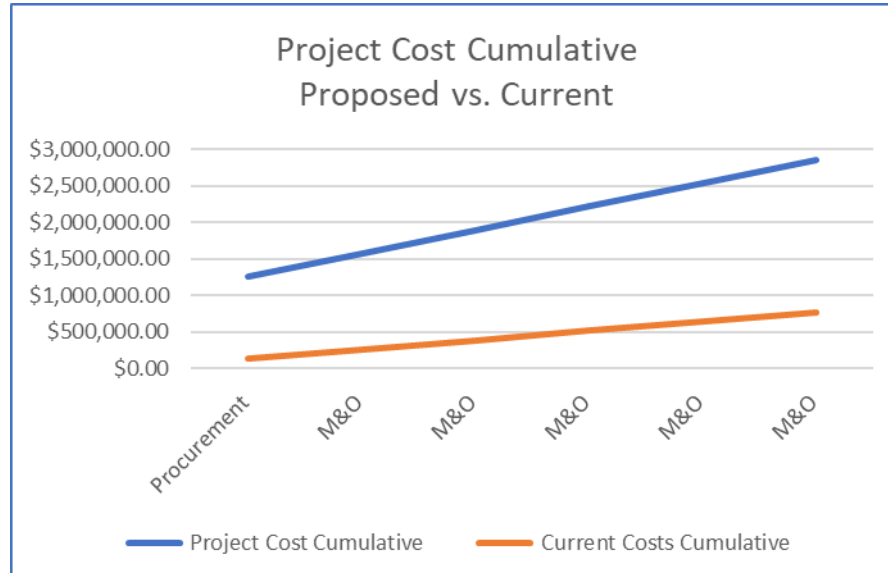
Table 10 - Project Lifecycle Cumulative Costs

	Procurement	Year 1	Year 2	Year 3	Year 4	Year 5
Project Cost Cumulative	\$1,257,605.75	\$1,576,209.75	\$1,894,813.75	\$2,213,417.75	\$2,532,021.75	\$2,850,625.75
Current Costs Cumulative	\$129,000.00	\$258,000.00	\$387,000.00	\$516,000.00	\$645,000.00	\$774,000.00
Cumulative Cost Savings	-\$1,128,605.75	-\$1,318,209.75	-\$1,507,813.75	-\$1,697,417.75	-\$1,887,021.75	-\$2,076,625.75

10.2 PROVIDE A NARRATIVE SUMMARY OF THE ANALYSIS CONDUCTED AND INCLUDE A LIST OF ANY ASSUMPTIONS.

The first table above shows the proposed project costs year by year compared to a hypothetical projection of continuing the existing system. The second table compares those two by cumulative cost.

The illustration below shows figures of the second table in graphic form. The new system would cost considerably more than the hypothetical cost of the existing system, in part because the new system would have implementation costs, and in part because the new system would have higher annual costs. However, this result was expected in development of this project because the new system would have much more extensive requirements than the existing system.



10.3 ASSUMPTIONS

- That project costs in the draft contract and as reported are accurate and final.
- That current costs would stay the same over 6 years (hypothetically).
- That annual cost for the current system is as reported by the State.
- That State estimates of personnel time and costs will be accurate.
- That costs for State-acquired software licenses will be as projected.
- That all costs are paid by the State (i.e., no federal funding)

10.4 EXPLAIN ANY NET OPERATING INCREASES THAT WILL BE COVERED BY FEDERAL FUNDING. WILL THIS FUNDING COVER THE ENTIRE LIFECYCLE? IF NOT, PLEASE PROVIDE THE BREAKOUTS BY YEAR.

No federal funding is anticipated for the project.

10.5 WHAT IS THE BREAK-EVEN POINT FOR THIS IT ACTIVITY (CONSIDERING IMPLEMENTATION AND ON-GOING OPERATING COSTS)?

As the operational costs of the proposed project are higher than current operational costs, there is no “break-even” point for the proposed project.

11 SECURITY ASSESSMENT

Assess Information Security alignment with State expectations. ADS-Security Division will support reviewer and provide guidance on assessment.

The Enlite application would be hosted entirely within Salesforce. The data interfaces (APIs) connect to existing State applications (Mulesoft and OKTA). The application therefore inherits its security profile from Salesforce, which is administered by the State and in an extremely secure AWS environment (FedRamp High).

In this model, the highest risk is at the application level, where the system is accessed through the web-based user and citizen reporter interface.

The vendor mitigates this risk by employing coding and security best-practices, minimizing avenues of intrusion and data breach, using well-understood Salesforce platform application building tools, and building an application that relies almost entirely on configuration and minimizes customization in implementation for a given deployment.

The State mitigates this risk by applying a carefully designed security testing and certifying process to every component (e.g., a Lightning deliverable) of the application before it is integrated into the whole application and is exposed to the public Internet. The State uses a release management tool called Capado. As an item is coded, it goes into a release plan then is subjected to security package. All code is scanned using CodeScan as it goes through the environment, for example from Development to UAT Testing to production, both in Salesforce and in the Azure DevOps environment. Capado has code quality metrics built into it, so at every stage the package must “pass” security scanning or go back to be corrected. The vendor will implement the system using the Capado release management process.

We assess that the vendor is experienced in applying coding best practices to this implementation environment, and that the State similarly has proficiency and experience in employing its security testing model to assure that the implemented application is as secure as it can be.

11.1 WILL THE NEW SYSTEM HAVE ITS OWN INFORMATION SECURITY CONTROLS, RELY ON THE STATE’S CONTROLS, OR INCORPORATE BOTH?

Both. The State manages security aspects of its Salesforce orgs, APS assigns user access for the application following State and federal compliance controls, and the vendor is responsible for the controls within the application including the web user interface. This is standard practice for SaaS applications.

11.2 WHAT METHOD DOES THE SYSTEM USE FOR DATA CLASSIFICATION?

For this project, the State required the vendor to certify compliance with all federal and State Standards, Policies, and Laws for at least the following data classifications:

- Publicly Available Information
- Confidential Personally Identifiable Information (PII)
- Personal Health Information (PHI)
- Medicaid Information
- Prescription Information
- Personal Information from Motor Vehicle Records
- Other Information gathered in Reports and Investigations

11.3 WHAT IS THE VENDOR'S BREACH NOTIFICATION AND INCIDENT RESPONSE PROCESS?

The application would inherit all data breach protocols from the Salesforce platform, including review of potential data breaches, notifying clients regarding potential data breaches, etc. Section 6.2 of Attachment D in the draft contract specifically spells out vendor responsibilities regarding Security Breach Notice and Reporting.

11.4 DOES THE VENDOR HAVE A RISK MANAGEMENT PROGRAM THAT SPECIFICALLY ADDRESSES INFORMATION SECURITY RISKS?

Yes. Risk Management activities conducted during the entire project implementation are stated below:

- Risk Planning: Development of the risk management approach, tools, activities, roles, and responsibilities.
- Risk Identification: Identification and documentation of risks in a risk register containing a list of identified risks, list of potential responses, and root causes of risks.
- Risk Analysis: Analysis of individual risks to determine probability, impact, category and impacts to cost and schedule should a risk occur.
- Risk Response Planning: Developing and documenting risk response plans.
- Risk Monitoring and Control: An iterative process of identifying, analyzing, and tracking risks and reviewing risk response plans.

11.5 WHAT ENCRYPTION CONTROLS/TECHNOLOGIES DOES THE SYSTEM USE TO PROTECT DATA AT REST AND IN TRANSIT?

The State's Salesforce org is in Salesforce Government Cloud which is certified FedRAMP High and includes enhanced encryption capabilities with full data at rest encryption and end to end encryption as well as authentication of both users and Salesforce personnel. The web interfaces accept only secure encrypted connections from secure, but commonly available, browsers.

11.6 WHAT FORMAT DOES THE VENDOR USE FOR CONTINUOUS VULNERABILITY MANAGEMENT, WHAT PROCESS IS USED FOR REMEDIATION, AND HOW DO THEY REPORT VULNERABILITIES TO CUSTOMERS?

Attachment D of the draft contract specifies:

6.6 Vulnerability Testing. The Contractor shall run quarterly vulnerability assessments and promptly report results to the State. Contractor shall remediate all critical issues within 90 days, all medium issues within 120 days and low issues within 180 days. Contractor shall obtain written State approval for any exceptions. Once remediation is complete, Contractor shall re-perform the test.

However, we have been informed by ADS EA division that the State now conducts its own vulnerability tests and assessments on Salesforce applications.

11.7 HOW DOES THE VENDOR DETERMINE THEIR COMPLIANCE MODEL AND HOW IS THEIR COMPLIANCE ASSESSED?

This is addressed in **Section 11.2**, *above*.

11.8 FURTHER COMMENTS ON SECURITY

none

12 RISK ASSESSMENT & RISK REGISTER

The risks identified throughout this review are collected below, along with an assessment of their significance, a description of the State response and timing, and our evaluation of the State response.

12.1.1 ADDITIONAL COMMENTS ON RISK

12.1.2 RISK REGISTER

The following table explains the Risk Register components:

Risk ID:	Identification number assigned to risk or issue.	
Risk Rating:	An assessment of risk significance, based on multiplication of (probability X impact ratings) (<i>see below</i>).	
	1-9 = low	See table below
	10-48 = moderate	
49-90 high		
Probability:	Assessment of likelihood of risk occurring, scale of 1,3,5,7, or 9 , from least to most likely	
Impact:	Assessment of severity of negative effect, scale of 1,3,5,7, or 10 , from least to most severe	
Finding:	Review finding which led to identifying a risk	
Risk Of:	Nature of the risk	
Source:	Project, Proposed Solution, Vendor or Other	
Risk domains:	What may be impacted, should the risk occur	
State's Planned Risk Strategy	Decision to <i>avoid, mitigate, or accept</i> risk	
State's Planned Risk response	Detailed description of response to risk, in order to accomplish decision	
Reviewer's Assessment:	Reviewer's evaluation of the State's planned response	

Risk Rating Matrix			IMPACT				
			Trivial	Minor	Moderate	Major	Extreme
			1	3	5	7	10
LIKELIHOOD	Rare	1	1	3	5	7	10
	Unlikely	3	3	9	15	21	30
	Moderate	5	5	15	25	35	50
	Likely	7	7	21	35	49	70
	Very Likely	9	9	27	45	63	90

Risk ID: R1	Rating:	35	
	Likelihood:	5	
	Impact:	7	
Finding:	Project management reports that there is a potential challenge to the availability of ADS Enterprise Architecture expertise.		
Risk Of:	implementation delay		
Risk domains:	project resources		
State's Planned Risk Response:	<p>Risk Contingent:</p> <p>This will be a monitored Risk throughout the project for EAS required involvement. Currently EAS is providing resources for the procurement phase of the project.</p>		
Reviewer's Assessment of State's Planned Response	concur		

Risk ID: R2	Rating:	21	
	Likelihood:	3	
	Impact:	7	
Finding:	As the solution is adapted to fit the Business needs, users may identify other features that could improve business functionality. As these are not a part of the original set of requirements, implementing them could result in an increase in cost and/or timeline length		
Risk Of:	cost increase; implementation delay		
Risk domains:	cost; timeline; change management		
State's Planned Risk Response:	Mitigate: Understanding the limit of the budget and timeframe will be paramount to avoiding scope creep. Implementing a "parking lot" of items to be sought later should assist with managing this risk.		
Reviewer's Assessment of State's Planned Response	concur		

Risk ID: R3	Rating:	9	
	Likelihood:	3	
	Impact:	3	
Finding:	As in any modernization project of this size, the State will need to speak with one voice and communicate clearly about the details of requirements, especially in the Requirements Discovery phase, but also throughout the project. We emphasize that we have not seen any sign of disunity or disagreement, but since adherence to the timeline is so important in this project, we think that even a remote risk of ambiguous or delayed communication slowing down the vendor should be proactively addressed.		
Risk Of:	implementation delay		
Risk domains:	Timeline		
State's Planned Risk Response:	<p>Risk Contingent:</p> <p>Establish review process for "block" items; Project Team orientation will include a review of the process for Teams working on project tasks when they encounter a block that stops progress on the task. There will be an escalation process for the Team Lead to objectively bring items to the Governance Team for their review and determination. If the Governance Team cannot come to an agreement, then they will present the item(s) to the Sponsor for final determination. All decisions will be documented.</p>		
Reviewer's Assessment of State's Planned Response	concur		

Risk ID: R4	Rating:	25	
	Likelihood:	5	
	Impact:	5	
Finding:	There is a potential for key Subject Matter Experts (SME) and/or Key Stakeholders to be consistently unavailable for project related meetings, reviews and testing, because of the continuing daily demands of Adult Protective Services tasks. This could delay implementation if the vendor has to wait for State feedback, testing, acceptance, etc.		
Risk Of:	implementation delay		
Risk domains:	project resources		
State's Planned Risk Response:	<p>Risk Contingent:</p> <p>As the daily business of Adult Protective Services must continue, and staff may become unavailable at times, to mitigate any impact on the project timeline the Business will allocate additional staff to cover (long-term / short-term), assist, or replace any staff that may become unavailable for the project.</p>		
Reviewer's Assessment of State's Planned Response	Concur		

Risk ID: R5	Rating:	21	
	Likelihood:	3	
	Impact:	7	
Finding:	The existing Investigation System is viewed by senior leadership and by users as insufficient and potentially unreliable. If the current system fails for any reason, there is no immediately available technological alternative prior to completion of the present project. Such a failure would strongly impact APS business functions and draw resources away from the project.		
Risk Of:	Business impact; timeline delay		
Risk domains:	project environment		
State's Planned Risk Response:	Accept: Prioritize risk mgt for timeline-related risks.		
Reviewer's Assessment of State's Planned Response	Concur		

Risk ID: R6	Rating:	9	
	Likelihood:	3	
	Impact:	3	
Finding:	The project resources may be prevented from completing tasks due to travel or access restrictions due to the coronavirus (COVID 19) health crisis.		
Risk Of:	Delay in implementation due to coronavirus (COVID 19) restrictions		
Risk domains:	Timeline		
State's Planned Risk Response:	<p>Mitigate:</p> <p>The State will monitor and adjust project tasks impacted by restrictions due to the coronavirus (COVID 19) health crisis. Covid restrictions have been lifted.</p>		
Reviewer's Assessment of State's Planned Response	Concur		

13 ATTACHMENTS

Attachment 1 – Lifecycle Cost Benefit Analysis

Attachment 2 – Risk Register

Attachment 1: DAIL DPS ALP Investigation System IR Cost Spreadsheet ver. 2.0.a - Paul Garstki Consulting - December/22/2022

Project Name:			VDOL Workforce Development System							Lifecycle Total @	Benefit
Description	Qty	Unit Price	Implementation (2 years)	Maintenance FY1	Maintenance FY2	Maintenance FY3	Maintenance FY4	Maintenance FY5	Total	Current Annual Cost	Benefit
Fiscal Year											
Vendor Implementation Services											
Implementation, Milestones 1-7			\$615,828.75						\$ 615,828.75		
Vendor Implementation Services Total			\$615,828.75	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 615,828.75	\$ -	\$ (615,828.75)
Vendor Annual Costs											
Elite Subscription			\$ 60,000.00	\$ 30,000.00	\$ 30,000.00	\$ 30,000.00	\$ 30,000.00	\$ 30,000.00	\$ 150,000.00		
Managed Services				\$ 70,000.00	\$ 70,000.00	\$ 70,000.00	\$ 70,000.00	\$ 70,000.00	\$ 350,000.00		
Updates, Maintenance and Support			\$ 150,000.00	\$ 100,000.00	\$ 100,000.00	\$ 100,000.00	\$ 100,000.00	\$ 100,000.00	\$ 500,000.00		
Contingency				\$ 40,000.00	\$ 40,000.00	\$ 40,000.00	\$ 40,000.00	\$ 40,000.00			
Vendor Licensing Total			\$ 210,000.00	\$ 240,000.00	\$ 240,000.00	\$ 240,000.00	\$ 240,000.00	\$ 240,000.00	\$ 1,410,000.00	\$ 474,000.00	\$ (936,000.00)
State-Provided Licensing											
Salesforce Enterprise Licensing	20	\$ 2,062.00	\$ 41,240.00	\$ 41,240.00	\$ 41,240.00	\$ 41,240.00	\$ 41,240.00	\$ 41,240.00	\$ 247,440.00		
Salesforce Community Licensing	2000	\$ 7.72	\$ 15,440.00	\$ 15,440.00	\$ 15,440.00	\$ 15,440.00	\$ 15,440.00	\$ 15,440.00	\$ 92,640.00		
Azure Dev Ops	4	\$ 536.00	\$ 2,144.00						\$ 2,144.00		
OKTA Licensing	2000	\$ 2.17		\$ 4,340.00	\$ 4,340.00	\$ 4,340.00	\$ 4,340.00	\$ 4,340.00	\$ 21,700.00		
Mulesoft Licensing			\$ 65,000.00	\$ 16,000.00	\$ 16,000.00	\$ 16,000.00	\$ 16,000.00	\$ 16,000.00	\$ 145,000.00		
State-Provided Licensing Total			\$ 123,824.00	\$ 77,020.00	\$ 77,020.00	\$ 77,020.00	\$ 77,020.00	\$ 77,020.00	\$ 508,924.00	\$ -	\$ (508,924.00)
Consulting											
Independent Review			\$ 17,769.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 17,769.00		
Consulting Total			\$ 17,769.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 17,769.00	\$ -	\$ (17,769.00)
Training											
[included in Vendor Services Implementation]	0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		
Training Total			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Implementation Services Additional											
[none]			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		
Implementation Services Total			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State Personnel											
State Personnel											
State-provided M&O				\$ 5,166.00	\$ 5,166.00	\$ 5,166.00	\$ 5,166.00	\$ 5,166.00	\$ 25,830.00	\$ 300,000.00	\$ 274,170.00
ADS EPMO Project Oversight & Reporting	630	\$ 88.00	\$ 55,440.00	\$ 176.00	\$ 176.00	\$ 176.00	\$ 176.00	\$ 176.00	\$ 56,320.00		
ADS EPMO Project Manager	945	\$ 88.00	\$ 83,160.00	\$ 528.00	\$ 528.00	\$ 528.00	\$ 528.00	\$ 528.00	\$ 85,800.00		
ADS EPMO Business Analyst for Implementation	112	\$ 88.00	\$ 9,856.00						\$ 9,856.00		
ADS EPMO Enterprise Architect for Implementation			\$ 92,048.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 92,048.00		
ADS EPMO Security Staff	30	\$ 88.00	\$ 2,640.00	\$ 880.00	\$ 880.00	\$ 880.00	\$ 880.00	\$ 880.00	\$ 7,040.00		
ADS IT Staff for Implementation	560	\$ 84.00	\$ 47,040.00						\$ 47,040.00		
State Personnel Total			\$ 290,184.00	\$ 1,584.00	\$ 1,584.00	\$ 1,584.00	\$ 1,584.00	\$ 1,584.00	\$ 298,104.00	\$ -	\$ (298,104.00)
Grand Total			\$1,257,605.75	\$ 318,604.00	\$ 318,604.00	\$ 318,604.00	\$ 318,604.00	\$ 318,604.00	\$ 2,850,625.75	\$ 774,000.00	\$ (1,486,627.00)

ATTACHMENT 2 - DAIL DLP APS Investigation System INDEPENDENT REVIEW -- Risk and Issues Register -- version 1.0.a 2022/December/20 -- Paul E. Garstki, JD -- Paul Garstki Consulting

Garstki, JD -- Paul Garstki Consulting

RISKS	What is the finding that leads to identifying a risk? (This is a highly condensed version that is explained more fully in the report narrative)	What are the risks implied by the finding?	What aspects of the project are at risk if the risk(s) are realized?	What is the State's response to the risk?	Does the review have a suggestion for mitigating the risk?	Is the State's response to this risk adequate?	Reviewer's assessment of likelihood risk is realized 1,3,5,7, or 10	Reviewer's assessment of impact if risk is realized 1,3,5,7, or 10	1-9 low
									10-48 medium
Note: Risk ID # list may have gaps, in order to maintain consistency with earlier drafts									
Risk #	Finding	risk of	risk domains	SOV response	Reviewer's Recommendation, if any	Reviewer Assessment of SOV Response	likelihood 1-10	impact 1-10	total rating
R1	Project management reports that there is a potential challenge to the availability of ADS Enterprise Architecture expertise.	implementation delay	project resources	Risk Contingent: This will be a monitored Risk throughout the project for EAS required involvement. Currently EAS is providing resources for the procurement phase of the project.		Concur	5	7	35
R2	As the solution is adapted to fit the Business needs, users may identify other features that could improve business functionality. As these are not a part of the original set of requirements, implementing them could result in an increase in cost and/or timeline length	cost increase; implementation delay	cost; timeline; change management	Mitigate: Understanding the limit of the budget and timeframe will be paramount to avoiding scope creep. Implementing a "parking lot" of items to be sought later should assist with managing this risk.		Concur	3	7	21
R3	As in any modernization project of this size, the State will need to speak with one voice and communicate clearly about the details of requirements, especially in the Requirements Discovery phase, but also throughout the project. We emphasize that we have not seen any sign of disunity or disagreement, but since adherence to the timeline is so important in this project, we think that even a remote risk of ambiguous or delayed communication slowing down the vendor should be proactively addressed.	implementation delay	Timeline	Risk Contingent: Establish review process for "block" items; Project Team orientation will include a review of the process for Teams working on project tasks when they encounter a block that stops progress on the task. There will be an escalation process for the Team Lead to objectively bring items to the Governance Team for their review and determination. If the Governance Team cannot come to an agreement, then they will present the item(s) to the Sponsor for final determination. All decisions will be documented.	Perhaps a proactive contingency in the form of a RACI and education/agreement about how it could be used.	Concur	3	3	9
R4	There is a potential for key Subject Matter Experts (SME) and/or Key Stakeholders to be consistently unavailable for project related meetings, reviews and testing, because of the continuing daily demands of Adult Protective Services tasks. This could delay implementation if the vendor has to wait for State feedback, testing, acceptance, etc.	implementation delay	project resources	Risk Contingent: As the daily business of Adult Protective Services must continue, and staff may become unavailable at times, to mitigate any impact on the project timeline the Business will allocate additional staff to cover (long-term / short-term), assist, or replace any staff that may become unavailable for the project.	Since a key term here is "consistently unavailable," perhaps monitoring for developing situations could trigger a response involving proactively identified resources.	Concur	5	5	25
R5	The existing Investigation System is viewed by senior leadership and by users as insufficient and potentially unreliable. If the current system fails for any reason, there is no immediately available technological alternative prior to completion of the present project. Such a failure would strongly impact APS business functions and draw resources away from the project.	Business impact; timeline delay	project environment		Accept: Prioritize risk mgt for timeline-related risks.	Concur	3	7	21
R6	The project resources may be prevented from completing tasks due to travel or access restrictions due to the coronavirus (COVID 19) health crisis.	Delay in implementation due to coronavirus (COVID 19) restrictions	Timeline		Mitigate: The State will monitor and adjust project tasks impacted by restrictions due to the coronavirus (COVID 19) health crisis. Covid restrictions have been lifted.	Concur	3	3	9
							0	0	0
ISSUES	Issue Description			State Response					
I1	The Service Level Agreement (SLA) terms of the contract do not identify remedies due the State in the event the vendor does not meet SLA targets.								