



Paul Garstki Consulting

INDEPENDENT REVIEW
OF A PROPOSED
WORKFORCE DEVELOPMENT CRM
PROJECT

For the
STATE OF VERMONT
AGENCY OF DIGITAL SERVICES (ADS)
And
VERMONT DEPARTMENT OF LABOR (VDOL)

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 Vermont Department of Labor (VDOL) Workforce Development division (WD) proposes to implement a Contact Relationship Management (CRM) system to replace the increasingly unsatisfactory existing Vermont JobLink system. The proposed system would be implemented by Cloud SynApps, Inc. (CSA) of Wylie, Texas, employing an existing dedicated workforce development application called Launchpad. Launchpad is a native Salesforce application, developed using the Salesforce Lightning development environment. Salesforce is the State's existing and preferred CRM platform, highly secure and in use for other recent State CRM projects.

We found the project to be very well conceived and planned, with sound architecture and a capable and experienced vendor. Its design is consistent with the latest State preferences for Enterprise Architecture. It would be compliant with all State and federal requirements and would be extremely secure, protecting the State's information and its citizens' privacy. We saw no better alternatives to achieve the project's aims than the proposed system.

The cost for implementation is reasonable. The annual costs for Maintenance and Operation (M&O) would be lower than the current costs for the existing system. Although the total cost of the project over the 5-year lifecycle is more than the hypothetical cost of continuing the existing system, the impact to State funds would be much lower, as federal funding is available to cover approximately 90% of both implementation and operation of the proposed system.

We assess that the project has a very low level of anticipated risk. It would be very likely to increase efficiency and effectiveness of the WD division of VDOL and most importantly, it would enhance the quality and effectiveness of services to Vermont's citizens.

1.1 COST SUMMARY

Table 1 - Cost Summary

IT Activity Lifecycle (years):	7
Total Lifecycle Costs:	\$2,964,061.41
Total Implementation Costs:	\$1,367,073.01
New Average Annual Operating Costs:	\$321,677.68
Current Annual Operating Costs	\$500,000.00
Difference Between Current and New Operating Costs:	-\$178,322.32
Funding Source(s) and Percentage Breakdown if Multiple Sources:	Procurement: Federal 90.00%* State 10.00% Operational: Federal 90.00%** State 10.00%

*American Rescue Plan Act (ARPA)

**Workforce Innovation and Opportunity Act of 2014 (WIOA)

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>Total Acquisition Costs \$1,367,073.01</p> <p><i>Note: This is a pure Software-as-a-Service (SaaS) project, and as such, software costs take the form of annual licensing costs for software services, in this case for Salesforce, OKTA, Mulesoft, and Launchpad. The annual cost for the licensing would be \$306,077.68.</i></p> <p>About 1/3 of the acquisition cost is for ADS personnel for implementation.</p> <p>The costs are valid and reasonable.</p>				
Technology Architecture Review	<p>The architecture is highly consistent with the State’s Salesforce platform model. For business purposes, this application consolidates workflows into a single interface, without requiring external data repositories (from a State user’s point of view). For public service purposes, the application offers a modern and potentially easy-to-use interface, enhancing Workforce Development’s services to citizens. From an architectural point of view, the system is clear and logical.</p> <p>We have no concerns with the technology architecture.</p>				
Implementation Plan Assessment	<p>The vendor proposes a 39-week implementation process.</p> <p>The plan is well-paced and adequately detailed for this stage of the process. It is a hybrid Agile-Waterfall approach, consistent with State preference and practice. The Agile sprint design as proposed is the standard Agile process while the Proposed Project Phases align with Waterfall design by detailing Key Activities and Outcomes for each phase.</p> <p>With good communication and testing, we think this plan has a high likelihood of success</p>				
Cost Analysis and Model for Benefit Analysis	<table> <tr> <td>TANGIBLE BENEFIT – COST TO STATE ONLY:</td> <td>\$1,623,228.15</td> </tr> <tr> <td>TANGIBLE COST – INCLUDING FEDERAL FUNDING:</td> <td>\$814,061.41</td> </tr> </table> <p>Intangible benefits are significant. Aside from the tangible benefit to State funding, and even considering the total project costs including federal funding, the improved access to WD services for the Vermont workforce</p>	TANGIBLE BENEFIT – COST TO STATE ONLY:	\$1,623,228.15	TANGIBLE COST – INCLUDING FEDERAL FUNDING:	\$814,061.41
TANGIBLE BENEFIT – COST TO STATE ONLY:	\$1,623,228.15				
TANGIBLE COST – INCLUDING FEDERAL FUNDING:	\$814,061.41				

	and the increased efficiencies for VDOL make this a project that is well worthwhile.
Impact Analysis on Net Operating Costs	There is no break-even point for this project , even though the M&O costs are lower, because the implementation cost is significant. However, over time the cost lines trend together.
Analysis of Alternatives	<p>The State does not have a development staff large enough to create such a system in-house. Therefore, the choices were either to continue with the existing JobLink consortium system or to engage a different vendor through a proper procurement process.</p> <p>We conclude that continuing to employ the existing system would be unsatisfactory.</p>
Security Assessment	<p>The Launchpad application is 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).</p> <p>In this model, the highest risk is at the application level, where the system is accessed through the web-based user interface.</p> <p>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.</p>

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 12**, 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
	0 0/0		concur

1.4 OTHER KEY ISSUES

none

1.5 RECOMMENDATION

We recommend this project to proceed 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:
Alex Heay 1/31/2023
289191A4D6AB4C0...

ADS Oversight Project Manager **Date**

DocuSigned by:
Shawn Nadeau 1/31/2023
E4490DF18EAE444...

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):

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

2.1.1 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

Name	Title	Role	Topic
Bradshaw, Hugh	Workforce Development Deputy Director	Functional Lead	Oversight, Leadership
Buxton, Sarah	Workforce Development Director	Business Lead/Sponsor	Oversight, Leadership
Thompson, Hunter	ADS IT Director	IT Lead	IT
Hunt, John	ADS Enterprise Architect	Enterprise Architect	Enterprise Architecture
Findeisen, Tami	VDOL Data Analyst	Business SME	Subject Matter Expertise
Harrington, Michael	Department of Labor Commissioner	Executive Sponsor	Oversight
Hunt, Theresa	VDOL Outreach Coordinator	Functional SME	Subject Matter Expertise
Ibey, Alex	ADS IT Portfolio Supervisor (Project Oversight & Reporting)	EPMO Portfolio Manager	Portfolio Management
Meredith, Amanda	ADS EPMO IT Project Manager	Project Manager	Project Management

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
01.21.22 - VDOL Workforce CRM Stakeholders.xlsx	State
06.20.22 - Project Charter (Fully Executed).pdf	State
08.03.22 - VDOL WFD CRM Justification memo - fully executed.pdf	State
10.11.22 Updated ITABC VDOL WFD CRM draft.pdf	State
10.27.22 - Launchpad Licensing, PAT Memo (fully executed).pdf	State
11.22.21 - VDOL Workforce Development CRM RFP FINAL .pdf	State
VDOL WFD CRM Risk Register.xlsx	State
VDOL Workforce Development IT ABC Form FULLY EXECUTED 9.14.21.pdf	State
10.18 .22 - VDOL WFD Contract Draft for Vendor Review	State
VDOL CRM Bidders Response Form Cloud SynApps-pages/	Cloud SynApps
Attachment #1 Financials 2020-21.pdf	Cloud SynApps
Attachment #2-Company Roadmap.pdf	Cloud SynApps
Attachment #3-Proposal Summary.pdf	Cloud SynApps
Attachment #4-Phases, Milestones & Timelines.pdf	Cloud SynApps
Attachment #5-Project Manager Resume.pdf	Cloud SynApps
Attachment #6-Implementation Plan.pdf	Cloud SynApps
Attachment #7 - Proposed Resources & Resumes.pdf	Cloud SynApps
Attachment #8-Service Level Agreement.pdf	Cloud SynApps
Certificate of Compliance.pdf	Cloud SynApps

4 PROJECT INFORMATION

4.1 HISTORICAL BACKGROUND

The Vermont Department of Labor (VDOL) hopes to modernize its existing service delivery system (Vermont JobLink) by replacing it with a new application hosted in the State's Salesforce Contact Relationship Management (CRM) platform.

The Workforce Development division of VDOL promotes Vermont's economic strength by assisting employers with job creation, retention and recruitment; coordinating the education and training of the State workforce for Vermont's current and future job opportunities; ensuring that Vermont workers have well-paying jobs in safe work environments; administering economic support and reemployment assistance to workers who suffer job loss or workplace injury; and providing labor market information and analysis to enable effective planning and decision making relating to economic, education, labor, and employment policies.

The online portion of the existing system (Vermont JobLink) is administered and supported as part of a proprietary system created for a consortium of 9 states, known as America's Job Link Alliance (AJLA). While this system has been successful in many ways, over the years of its operation it has increasingly been a source of frustration disappointment for WD. Necessary changes to system software required as a result of changes to State and federal regulations or initiatives have repeatedly been delayed. The web interface to the system is outdated and difficult to navigate and reflects poorly on State government. The system interfaces poorly with VDOL operations and data sources, with the result that many WD departmental processes remain manual and paper-based.

As the AJLA contract was approaching expiration, VDOL began to investigate alternatives through a Request For Information (RFI). With the RFI results in hand, VDOL gained approval to conduct a competitive procurement process beginning with the formation of a project team and the issuance of a Request For Proposals (RFP). The process was conducted according to State requirements and received proposals from 6 vendors. It resulted in the selection of a vendor, Cloud Synapps, Inc., of Wylie, Texas, to implement a new system on the State's existing Salesforce platform according to extensive State specifications and requirements.

The new system would have a modern and more functional online portal; consolidate WD operations and eliminate inefficient manual processes; connect WD, State, and federal data sources; and once implemented would be largely configurable by non-technical WD staff members. It would be built on Launchpad, a dedicated workforce development platform, native to the Salesforce environment, thus inheriting the very strong security and privacy characteristics of the State-administered system.

The system would take approximately 39 weeks after contract to implement, and would operate continuously after that, with a project lifecycle of 5 years.

4.2 PROJECT GOAL

Successful implementation and operation of a Contact Relationship Management (CRM) system to replace the existing Vermont JobLink system.

4.3 PROJECT SCOPE

4.3.1 IN-SCOPE

- Procurement of a Vendor
- Development of a project plan and schedule
- Development of a test plan with traceability requirements
- Development of functional and non-functional requirements, including user stories
- Initiating, designing, building, testing, training, and project management
- Delivery of software/solution that meets core requirements
- Successful testing of the solution/application/software
- Training of internal and external users
- Future state workflow(s)
- Replacement of the current system

4.3.2 OUT-OF-SCOPE

- Further development of additional user stories not described in the current RFP
- Further development of API's not described in the current RFP

4.3.3 MAJOR DELIVERABLES

Table 6 - Major Deliverables

Phase	Service	Deliverable	Responsibility		Remarks
			Cloud SynApps	State of Vermont	
Plan & Project Management	Status Reporting	Status Reports – Kick-off, Weekly, Monthly, Closeout	X		
	Project Planning	Project Plan, High-level Sprint Plan, Project Control Documents	X	X	This is a joint activity.
Discover	Requirements Workshop	Requirements, Fit-gap Analysis	X	(support)	This requires the State's participation.
Design	Sprint Planning	Sprint Plan (Development Plan)	X	(support)	This requires the State's participation.
	Application Design	System Design Document	X	(sign-off)	This requires sign-off from the State.
	UX Design	Wireframes	X	(sign-off)	This requires sign-off from the State.
	Application Architecture	Architecture Document, Integration Design	X	(sign-off)	This requires sign-off from the State.
Develop	Build Application	Code Management Plan, Build Log/Application, Integration Plan & Mappings	X		
	Demo	Demo Sessions	X	(sign-off)	This requires sign-off from the State.
	Unit Tests	Unit Test Coverage	X		
	Systems & Integration Testing	Test Plan, Test Scripts, Test Documents (Test scenarios, Results)	X	(support)	Integration Testing requires the State's support.
	User Acceptance Testing	Test Plan, Test Scripts, Test Documents (Test scenarios, Results)	(support)	X	The State to do UAT, and provide sign-off.
	Training of Users	Training Plan, Training Sessions, Training Manual	X	(support)	This requires the State's participation.
Deploy	Deploy Application to Sandbox	Deployment Plan, Deployment notes	X	(support)	This is a joint activity.

4.4 PROJECT PHASES, MILESTONES, AND SCHEDULE

Table 7 - Project Milestones

Task Name	Duration	Start	Finish
PROJECT MANAGEMENT	Ongoing	Week 1	Week 39
KICK-OFF/DISCOVERY	15 Days	Week 1	Week 3
DESIGN & BUILD	130 Days	Week 4	Week 30
TESTING (SYSTEM INTEGRATION & USER ACCEPTANCE TESTING)	25 Days	Week 31	Week 35
TRAINING/KNOWLEDGE TRANSFER	5 Days	Week 36	Week 36
DEPLOY & GO-LIVE PHASE	10 Days	Week 37	Week 38

5 ACQUISITION COST ASSESSMENT

Table 8 - Acquisition Costs

Acquisition Costs	Cost	Comments
Hardware Costs	\$0.00	No hardware costs to State
Software Costs	\$0.00	See note below*
Implementation Services	\$852,892.01	To vendor, as per draft contract
State Personnel	\$496,412.00	See attach. 3, Cost Spreadsheet
Professional Services (e.g., Project Management, Technical, Training, etc.)	\$17,769.00	provided by IR consultant
Total Acquisition Costs	\$1,367,073.01	

**Note: This is a pure Software-as-a-Service (SaaS) project, and as such, software costs take the form of annual licensing costs for software services, in this case for Salesforce, OKTA, Mulesoft, and Launchpad. The annual cost for the licensing would be \$306,077.68. This is not an “acquisition cost” per-se, but more properly seen as an annual operating cost. See Attachment 1, Cost Spreadsheet, for details.*

5.1 COST VALIDATION:

Describe how you validated the Acquisition Costs.

- Costs for Implementation Services are as defined in the draft contract.
- State personnel hours for implementation were estimated by ADS and use standard rates for each category.
- The IR consultant cost is actual contracted cost.

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)?

Nine states use the system of America's Job Link Alliance (AVLA), of which Vermont is a member. (This is the existing system). The proposed Launchpad software is used government agencies in Washington State, Chester County PA, Kentucky, San Francisco, South Central Wisconsin, and Detroit (as well as a number of non-profit agencies).

As this is a Software-as-a-Service application, the bulk of the cost of the project over the lifecycle is not in implementation, but in licensing the software components (application licenses, platform licenses, etc.). These license costs for enterprise clients like state governments are generally consistent across customers and based on volume. Therefore, we would conclude that Vermont is paying about the same as other entities of the same size.

5.3 COST ASSESSMENT:

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

Yes, these costs are valid and appropriate. The vendor's pricing for implementation is reasonable, and the breakdown of cost by category in the Bidder Response Form is sensible, with the largest cost devoted to development and the next largest to program management. About a third of the acquisition cost consists of internal State billing for hours required of existing staff.

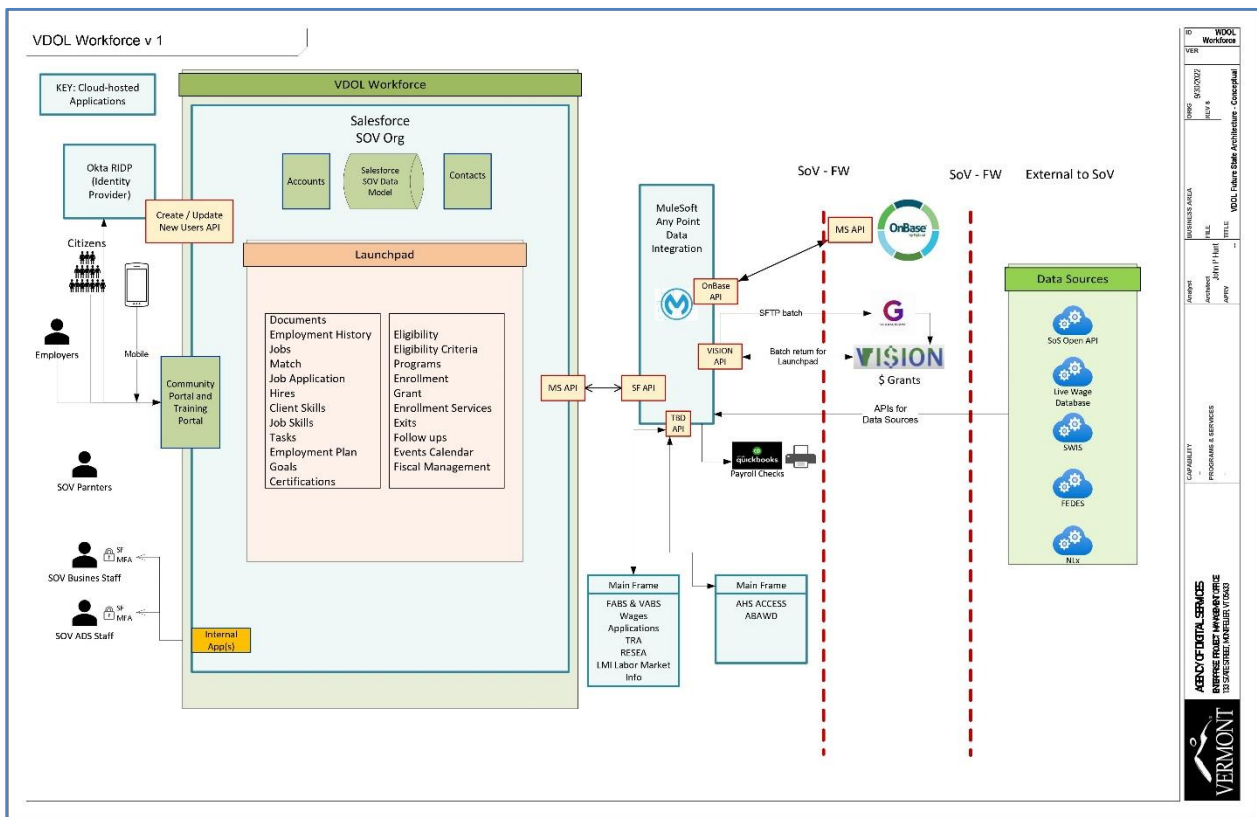
Additional Comments on Acquisition Costs:

None

6 TECHNOLOGY ARCHITECTURE REVIEW

The proposed project engages the vendor, Cloud SynApps (CSA), to configure and deploy the application called Launchpad, which will be licensed directly by the State, rather than through the vendor. Launchpad (from Launchpad Careers, Inc.) is a true Software-as-a-Service application that runs on the Salesforce Customer (or Contact) Relationship Management (CRM) Platform-as-a-Service (PaaS). The State maintains an existing Salesforce Organization (Org) upon which all the State’s Salesforce applications run. The State also maintains a Salesforce development Org, which is a “sandbox” environment, upon which applications can be configured, tested, and prepared for production deployment.

The diagram below (provided by ADS) shows the logical architecture anticipated for this project.



The Launchpad application is shown as the salmon-colored box labeled “Launchpad,” residing on the SOV Salesforce production Org. Launchpad exchanges data with other applications by means of Application Programming Interfaces (APIs). One API is used to communicate with the State’s comprehensive Okta remote identity proofing (RIDP) solution, which provides authentication and authorization services for the Launchpad application and other State applications.

The State has a number of other existing solutions which must exchange data with Launchpad. Additionally, Launchpad must also exchange data with sources external to the State, e.g., Federal databases or Federal report destinations. Rather than configuring numerous APIs between Launchpad and each data source — which would be cumbersome for both logical and security concerns — the State has acquired and deployed a data integration solution, Mulesoft. Mulesoft securely manages data interconnections between any number of data providers and consumers. [In this way, the Launchpad application only needs an API to the Mulesoft solution.]

In the diagram above, the cloud-based applications (Salesforce, Mulesoft, Okta, and the mainframe applications) are already operational and administered by the State [is Okta up and running?]. The present Independent Review does not evaluate those applications, aside from their suitability for the proposed project.

On the left-hand side of the above diagram shows the users of the application:

- Via the public-facing interface:
 - Vermont citizens, who may be looking for job opportunities, training resources, or other Workforce Development offerings
 - Employers, who may be posting job opportunities
- Via an internal (non-public) interface
 - VDOL business staff
 - ADS staff
 - SOV Partners

These interfaces are discussed more fully discussed in Section 11, Security, below.

ASSESSMENT

The architecture is highly consistent with the State’s Salesforce platform model. For business purposes, this application consolidates workflows into a single interface, without requiring external data repositories (from a State user’s point of view). For public service purposes, the application offers a modern and potentially easy-to-use interface, enhancing Workforce Development’s services to citizens. From an architectural point of view, the system is clear and logical.

We have no concerns with the technology architecture.

6.1 STATE’S ENTERPRISE ARCHITECTURE GUIDING PRINCIPLES

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

VDOL Workforce Development (the business) needs to modernize its public-facing operations, which currently are unsatisfactory. The technology business direction was defined through the user stories

listed in the Bidder Response Form. VDOL developed these through business analysis, supported by ADS. The proposed project has the capability to align with all of the user stories.

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

The proposed project would modernize, simplify, and greatly improve access to WD services for Vermont citizens and employers, to better connect job seekers with employment opportunities and training resources, and employers with a better and easier method to post employment opportunities that reach Vermont citizens.

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

One important aspect of the proposed project, as of CRM systems in general, is that it would join together several sources of information that now are logically and physically separate – such as the JobLink system, mainframe databases, and WD paper documentation – and relate them so that they not only become more useable but also more valuable as sources for understanding, reporting, and planning.

6.1.4 D. ASSESS IF THE TECHNOLOGY SOLUTION WILL OPTIMIZE PROCESS

The proposed project would automate existing and largely manual departmental processes and federal reporting tasks, freeing up staff time to focus on more productive tasks.

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

Please see Section 11, Security, below

6.2 SUSTAINABILITY

The proposed solution is a pure, Software-as-a-Service (SaaS) and Salesforce is Platform-as-a-Service (PaaS). Aside from web browser-equipped workstations and mobile devices, and adequate network access, no additional hardware is required to operate the system for either State or other users. These characteristics ensure long-term sustainability, as the State has minimal capital investment and maximum flexibility should its needs change in the future.

Additionally, the application is configurable to a large extent by departmental staff, keeping the system current and compliant with State initiatives and federal rules and reporting requirements.

6.3 HOW DOES THE SOLUTION COMPLY WITH THE ADS STRATEGIC GOALS ENUMERATED IN THE ADS STRATEGIC PLAN OF JANUARY 2020?

6.3.1 INCREASE AUTOMATION AND RELIABILITY OF THE SERVICES WE DELIVER TO VERMONTERS

See 6.1.2 above.

6.3.2 IMPROVED EXPERIENCE OF THEIR GOVERNMENT FOR VERMONTERS BY 2020

The existing system is clunky, hard to navigate, and has a dated look. This reflects on the WD department and VDOL as a whole. The user interface of Launchpad would be a huge leap forward in function and usability and would be visually modern. Most importantly, it would accelerate Vermonters' connection services that the State offers.

6.3.3 CONTINUOUS, EFFECTIVE DEFENSE OF THE STATE'S INFORMATION NETWORK

An ADS Security Analyst was engaged through the procurement process of this project, [and relevant Non-functional Requirements (NFRs) supporting security were included in the RFP]. Please see **Section 11 Security Assessment**, *below*, for further information about security and privacy in this project.

6.3.4 SUPPORT CREATION OF A COMPREHENSIVE EXECUTIVE BRANCH IT BUDGET WITH GREATER ACCURACY OF REPORTING BY 2021

N/A

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

The vendor's response to requirement USE2 (Bidder Response Form) regarding 508c compliance is incomplete: Salesforce employs 802c-compliant technology, but this does not guarantee that a vendor's application as configured is 508c-compliant. We recommend that the State require bidder to more completely define the 508c compliance of the application, including testing (and certification if required).

6.5 DISASTER RECOVERY

Disaster recovery capability would be inherited from the State's Salesforce org, and not directly the responsibility of the vendor for the present project.

6.6 DATA RETENTION

All data from this project would be resident in the State's Salesforce org and subject to the data retention policies defined by the State. Data retention enforcement would not be the responsibility of the vendor for the present project.

6.7 SERVICE LEVEL AGREEMENT

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

Attachment F of the draft contract contains the State's proposed Service Level Agreement (SLA)

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

At the time of this writing, the vendor has not yet responded in writing to the State's proposed SLA. The State's project manager has told me informally that they do not anticipate significant changes to be proposed by the vendor. However, that of course remains to be seen.

6.8 SYSTEM INTEGRATION

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

Yes. Using the MuleSoft integration platform, along with the configurable report generation capabilities of the Launchpad application, any conceivable report can be exported in a form consumable by State or federal data destinations.

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

The diagram in the introduction to this section above indicates the data sources and destinations currently envisioned for this project.

Additional Comments on Architecture:

There may be confusion concerning warranty services after the system goes live. The draft contract [Attachment A, Section 7.2 Project Major Phases, Warranty and Options] states:

"All Defects found within the Warranty Period, shall be corrected by Contractor at no additional cost to the State."

In possible contradiction, the note to the Payment Milestones table [Attachment B] states:

"Note: Annual Support & Warranty services of which exceed those of which are outlined in the payment milestones above, additional hours of support services may be procured at a locked in rate of \$100.00 per hour."

Additionally, we did not find the initial warranty period to be defined anywhere in the contract.

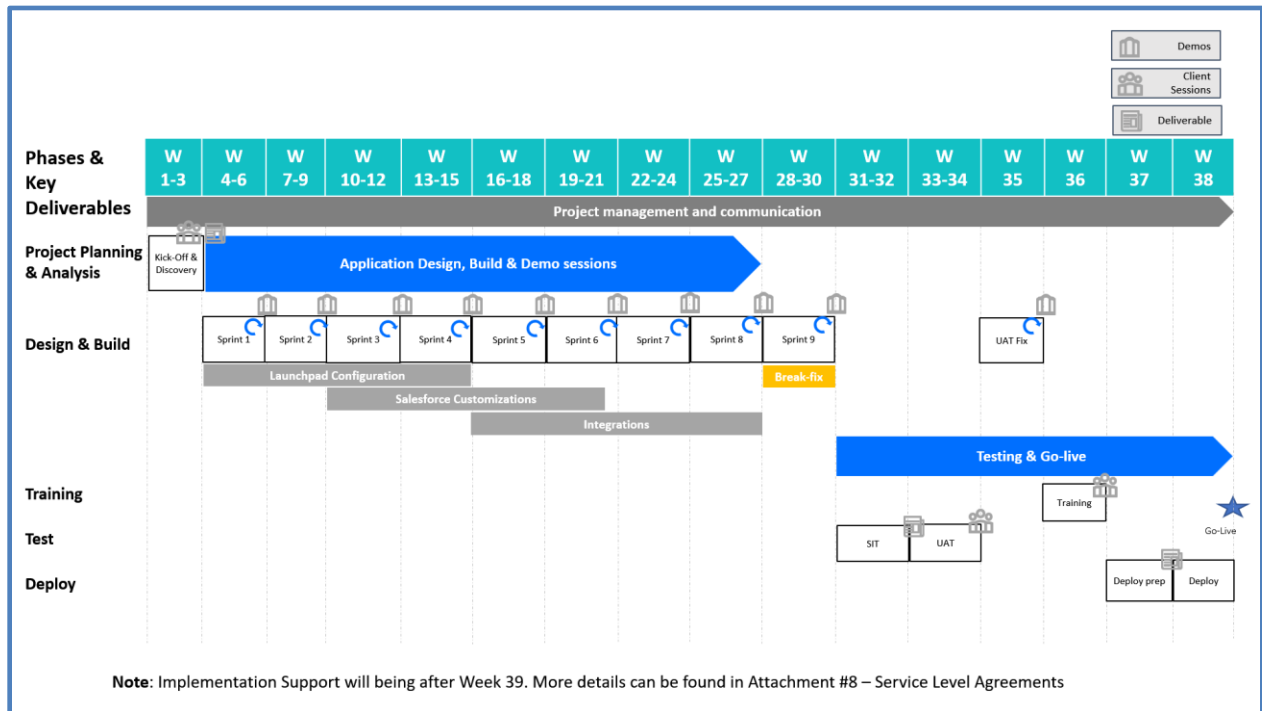
We identify this as a risk **RISK_ID#_R4**, with a recommendation that the initial warranty period be clearly defined in the contract and that the contradiction be rectified. The State concurs with this recommendation.

Aside from this point, however, the IT Lead for the project pointed to a problem that affects this project and others like it that must make periodic federal reports. At issue is the fact that the initial (no extra cost) warranty period is often a period of weeks or months, for example 90 days. A given report, *which is defined as a functional requirement in the contract*, may be due sometime after that, let's say 10 months after go-live. Since it is after the initial warranty period, if there is a problem with the report, the State may be billed for post-implementation warranty hours, which may be from an allocation in the annual support & warranty agreement or billed at the contractual warranty rate (\$100/hour in this case).

This seems unfair to the State, which was promised a system that provides all contractually listed functional requirements at no additional cost.

7 ASSESSMENT OF IMPLEMENTATION PLAN

The vendor proposes a 38-week implementation schedule from kickoff to go-live, with the bulk of design and build work taking place in a series of 9 agile sprints comprising 26 weeks. The diagram below, provided by the vendor, illustrates the plan's main components.



The plan is well-paced and adequately detailed for this stage of the process. It is a hybrid Agile-Waterfall approach, consistent with State preference and practice. The Agile sprint design as proposed is the standard Agile process while the Proposed Project Phases align with Waterfall design by detailing Key Activities and Outcomes for each phase.

We find that the proposed plan demonstrates the vendor's experience and understanding of the task as a whole. When read in conjunction with the Bidder's Response Form, it shows that the vendor has carefully read and understood the State's Requirements in the RFP. The State employs Azure DevOps and the Copado release management process; the vendor is familiar with, and will use, these processes in conjunction with the State.

The Azure DevOps process is a use-case (user-story) oriented tool. The State's RFP presented a comprehensive set of use cases reflecting the State's business needs. The proposed implementation plan is constructed with these use cases in mind. With good communication and testing, we think this plan has a high likelihood of success

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

7.1 THE REALITY OF THE IMPLEMENTATION TIMETABLE

The demo session as well as the screen shots in the proposal, support the vendor's claim of experience and expertise with the Launchpad application. The implementation plan gives adequate time for both agile development and testing in preparation for release.

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 project leadership and subject matter experts (SMEs) are all enthusiastic about replacing the existing system, which has been causing frequent frustration and creating departmental inefficiencies.

Leaving the JobLink consortium model will mean that certain avenues of access to information will be closed or at least changed. This particularly applies to changes in federal policies and regulations. We were told that currently such changes are understood by the consortium and conveyed to members, and frequently result in changes to the consortium software. The SMEs are confident of their ability to perform these configuration changes in Launchpad, once trained. However, they anticipate needing additional support in the form of policy expertise, to understand and implement the resulting changes in departmental process. We identify this as a risk **RISK_ID# _R2**, because these additional resources are not accounted for in project costs.

The State responds to this risk as follows:

While some policy expertise will be lost in leaving a consortia of other states implementing the same federal regulations, we will not lose our own policy expertise in implementing Vermont's federal programs. We will still maintain long-time policy subject matter experts as Director and Assistant Directors of the Division, Title I Program Administrator, our State Monitor Advocate & Foreign Labor Certification Program Administrator, and our Process and Performance Analyst. Additionally, the Division has received permission to hire a new position – Senior Policy & Implementation Analyst which we plan to begin recruiting for in January 2023. This position will serve as Policy Director for the Division and maintain expert-level knowledge of federal regulations.

We agree that this is a strong mitigation.

The State's IT Lead and the Enterprise Architect for this project both said they were impressed by the vendor's organization, communication, and background, as expressed in the proposal and in the demo.

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 project management deliverables are appropriate and well-defined. We particularly liked the description of project management activities as being ongoing yet shifting focus throughout the implementation process.

7.3.2 B. TRAINING

The proposed training deliverables are quite general but adequate at this early stage of the project. State staff will need to participate in defining training preferences, but the vendor demonstrates a flexibility in approaches and potential media (in-person, we-based, hands-on, formal knowledge transfer sessions). The vendor's training plan approach is shown in the table below.

Training Planning	Analyze Training and Support Requirements	Stakeholder analysis, training need analysis, review role designs, confirm on go-live support
	Establish Strategy & Approaches	Prioritize on training and post-training needs, establish individual training, confirm tools, validate with business
Training Design & Development	Create Training Plan and Role-Based curriculum	Determine course and modules, determine delivery methods, identify sustainment processes, confirm design and development processes
	Design & Develop Training material	Create training and performance support material, create training evaluations, establish environment, build online help
	Validate, Test, and Pilot Training	Validate training material with SMEs, Test training exercises, performance training pilots, incorporate lessons learned into training
Training Delivery	Prepare for Training Deployment	Load courses into delivery platform, prepare trainers, finalize training schedule, distribute material, begin user education
	Deliver and Measure Effectiveness	Deliver Training, trace participant attendance and completion, include improvements, implement maintenance processes, transition to sustainment organization

The vendor additionally recommends the following:

- A user guides for each Workforce Development persona created for this initiative
- Two, 90 minutes train the trainer session that are recorded for future new hires
- 3 to 4 micro videos for External Community Users Example Admin User Guide

7.3.3 C. TESTING

Developer software testing and User Acceptance Testing take place repeatedly and frequently throughout the process, as is usual with Agile development in a DevOps environment. Required sign-offs by the State are frequent and appropriately place. Final and formal State User Acceptance of the

application before go-live is situated appropriately in the implementation plan and is preceded by Systems & Integrations Testing – (SIT).

The vendor identifies the following types of test.

- **Unit Test:** Tests each individual unit of the application. The test execution is performed in the later part of the build stage after the application components are coded.
- **System Integration Testing:** An end-to-end test of the business requirements across all applications and platforms.
- **User Acceptance Testing:** Testing of the business requirements by business users.
- **Migration Test:** A mock deployment to verify that all components of the system are collated and can be correctly deployed to the production environment in the time required, and that the system is correctly installed and configured.
- **Regression Testing:** Regression testing ensures that when changes are introduced to a system (because of bug fixes or enhancements) they do not adversely affect the functionality of the system

The vendor’s testing approach is comprehensive and appropriate to the project.

7.3.4 D. DESIGN

The vendor presents a good and concise description of Design & Build phase processes. They also present the following sequential list of 9 major activities:

- Build the required Portals.
- Incorporate UI/UX changes based on State’s standards.
- Setup the backend Application Processing System.
- Build Email & Text correspondence.
- Setup Security, Automation, Encryption, Audit Trail, and other required features.
- Build necessary reports and dashboards, emails, forms, and letters.
- Build integrations with State’s systems.
- Load sample users and test the application
- Confirm and validate the loaded data

The vendor’s description of the Design & Build phase provides ample assurance that the vendor will be able to deliver the business functions defined in the use cases and memorialized in the draft contract.

7.3.5 E. CONVERSION (IF APPLICABLE)

The data relevant to Workforce Development resides in a number of places. Some – probably most – of the data is in the JobLink consortium system. Some of it resides in State mainframe programs. Some of it is in the form of manual processes, for example: paper documents that might be walked over for a signature, scanned and uploaded as an image, etc.

It isn't yet known whether the consortium data can be easily exported, or in what form (SQL data, etc.). It is anticipated that the mainframe programs will be retired with the implementation of the new system, and the State will know the structure of this data and be able to communicate it to the vendor, who will adapt it to the new Salesforce-based application. Regarding manual processes, this may depend on the extent to which the new system will have retrospective data from those sources.

Data conversion of this type will require work on both the State and vendor sides. The vendor has experience in data conversion and has allocated adequate time for it in the implementation proposal. The State has deep experience in these conversion processes, and the business will of course need to be involved at times.

7.3.6 F. IMPLEMENTATION PLANNING

Sufficient time is allowed for requirements gathering and implementation planning in the proposed plan. The deliverables as defined in the vendor's proposal Attachment #6 are comprehensive and appropriate to the discovery/planning phase.

7.3.7 G. IMPLEMENTATION

(In a hybrid Agile-Waterfall project, design and implementation (build) are largely concurrent activities. Please see 7.3.4 D. Design, above.)

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. She has comprehensive knowledge about the project and is skilled at coordinating and facilitating project progress.

Additional Comments on Implementation Plan:

At the time of this writing, the country remains in a state of national emergency due to the Covid-19 pandemic. Although the threat seems diminished, it is still possible that project resources may be prevented from completing tasks due to travel or access restrictions due to the pandemic. We identify this as a risk **RISK_ID#_R3**. The State responds that it monitor and adjust project tasks impacted by restrictions due to the coronavirus (COVID 19) health crisis. Covid restrictions have been lifted and the current contract has been extended through June 30, 2023, to assist in mitigating this risk. We concur with this response.

8 COST ANALYSIS AND MODEL FOR BENEFIT ANALYSIS

8.1 ANALYSIS DESCRIPTION:

Provide a narrative summary of the cost benefit analysis conducted.

Costs for the proposed project and for a hypothetical continuation of the existing system are detailed in Attachment #1 – Cost Spreadsheet.

We calculated two different tangible cost/benefit figures:

- One represents the total lifecycle cost of the project compared to the hypothetical cost of continuing the existing system for the same period.
- Another represents the *state only* lifecycle cost of the project compared to the hypothetical cost of continuing the existing system for the same period. (i.e., federal funding excluded)

8.2 ASSUMPTIONS:

List any assumptions made in your analysis.

- That federal funding will be available as described
- That costs as shown in Attachment #1 – Cost Spreadsheet are accurate and continue to hold
- That annual costs for the current system would remain constant for the lifecycle

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.

For both implementation and M&O, federal funding will cover 90% of the costs. This is true throughout the project lifecycle. Sources include ARPA for implementation, and WIOA for M&O.

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 BENEFIT – COST TO STATE ONLY

Existing System Lifecycle State Cost	\$ 2,500,000.00
Proposed Project Lifecycle State Cost	\$ 526,771.85
BENEFIT	\$ 1,973,228.15

TANGIBLE COST – INCLUDING FEDERAL FUNDING

Existing System Lifecycle Cost	\$ 2,500,000.00
Proposed Project Lifecycle Cost	\$ 2,964,061.41
COST	\$ 464,061.41

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)

- Consolidated WD workflows, resulting in improved departmental efficiency
- Consolidation of disparate data sources into secure, Salesforce based State data model
- Greatly improved interface and more clarity for job seekers
- Better interface for employers posting employment opportunities
- More effective interface for Training services
- A more modern presentation of WD services, enhancing public perception of State government

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 outweigh the costs. Aside from the tangible benefit to State funding, and even considering the total project costs including federal funding, the improved access to WD services for the Vermont workforce, and the increased efficiencies for VDOL make this a project that is well worthwhile.

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.

The original IT ABC form fairly represented the aims and approach of the project, but estimated costs in advance of the procurement process. The form has since been updated to represent actual costs.

Additional Comments on the Cost Benefit Analysis:

none

9 ANALYSIS OF ALTERNATIVES

The State does not have a development staff large enough to create such a system in-house. Therefore, the choices were either to continue with the existing JobLink consortium system or to engage a different vendor through a proper procurement process. Reasons why the existing system was not a good choice are given below.

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

N/A

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

Our assessment of the existing system reveals that it is a drag on Workforce Development operations, because: improvements requested of the current vendor are frequently delayed, sometimes so much so that the functions needed have to be entered manually; current WD workflows are dispersed (Joblink, mainframe, manual paper processes) dampening departmental efficiency; API integration with some employers does not work properly, leading to manual entry; job and employer listing differentiation is poor, requiring support time from WD staff.

The proposed system would integrate all these workflows. This should enhance staff efficiency by eliminating time spent on unproductive tasks. It will very likely improve morale as well.

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

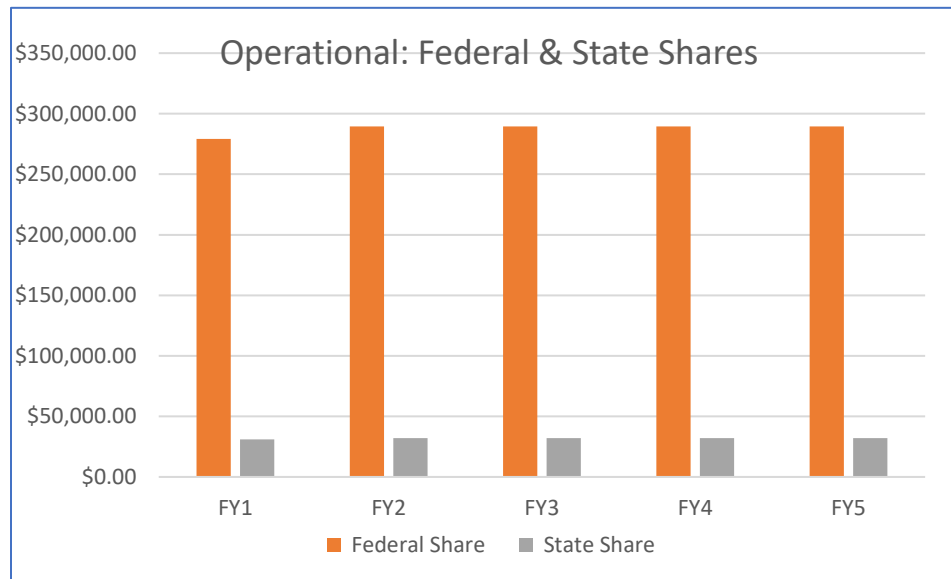
The cost of continuing operations and maintenance with the existing system, assuming no change over the lifecycle of the project, would be somewhat higher than the O&M cost of the project as proposed (\$430,000.00 vs. \$321,677.68) for an increase of \$108,322.32. This does not rise to the level of unfeasibility, but it would seem unwise to pay more for a system that is so unsatisfactory.

10 IMPACT ANALYSIS ON NET OPERATING COSTS

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

Table 9 - Project Lifecycle Costs

Federal Source	ARPA	WIOA	WIOA	WIOA	WIOA	WIOA	
	Procurement	FY1	FY2	FY3	FY4	FY5	Total
Federal Share	\$1,000,000.00	\$279,249.91	\$289,509.91	\$289,509.91	\$289,509.91	\$289,509.91	\$2,667,655.27
State Share	\$367,073.01	\$31,027.77	\$32,167.77	\$32,167.77	\$32,167.77	\$32,167.77	\$296,406.14
Total Project Cost	\$1,367,073.01	\$310,277.68	\$321,677.68	\$321,677.68	\$321,677.68	\$321,677.68	\$2,964,061.41
Current Cost		\$430,000.00	\$430,000.00	\$430,000.00	\$430,000.00	\$430,000.00	\$2,150,000.00



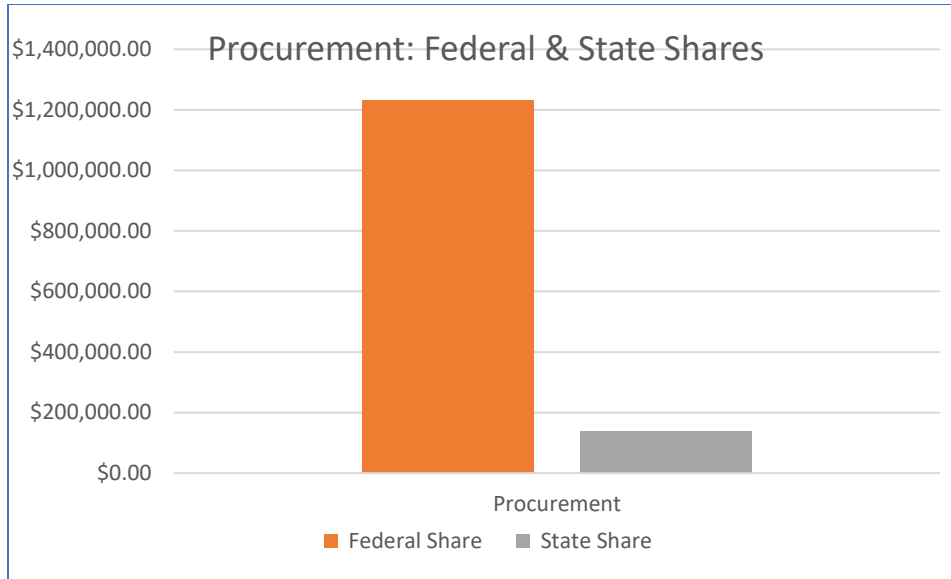


Table 10 - Project Lifecycle Cumulative Costs

	Procurement	FY1	FY2	FY3	FY4	FY5
Project Cost Cumulative	\$1,367,073.01	\$1,677,350.69	\$1,999,028.37	\$2,320,706.05	\$2,642,383.73	\$2,964,061.41
Current Costs Cumulative	\$0.00	\$500,000.00	\$1,000,000.00	\$1,500,000.00	\$2,000,000.00	\$2,500,000.00
Cumulative Cost Savings	-\$1,367,073.01	-\$1,177,350.69	-\$999,028.37	-\$820,706.05	-\$642,383.73	-\$464,061.41

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

The tables above show the cost by year and the cost cumulatively, through the life of the project, as derived from Attachment 1 – Cost Spreadsheet. Current costs are hypothetical and assume a flat cost throughout the project lifecycle.

Assumptions:

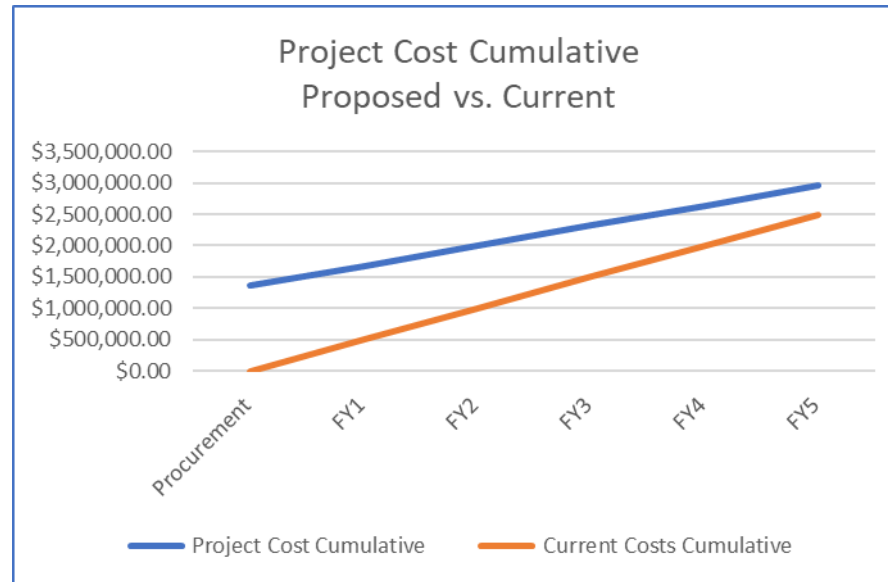
- That the Payment Provisions in the draft contract represent the actual costs of the project
- That federal funding as reported by the project Finance Lead is accurate

10.3 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.

Federal funding will cover costs at a 90% rate throughout the operational life of the project. Table 11 above shows the breakouts by year.

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

As shown in the chart below, there is no break-even point for this project, even though the M&O costs are lower, because the implementation cost is significant. However, over time the cost lines trend together.



11 SECURITY ASSESSMENT

The Launchpad application is 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 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.

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.

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

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, VDOL WD 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 at least the following data classifications:

Type of Data	Applicable State & Federal Standards, Policies, and Laws
<input checked="" type="checkbox"/> Publicly available information	NIST 800-171
<input checked="" type="checkbox"/> Confidential Personally Identifiable Information (PII)	State law on Notification of Security Breaches State Law on Social Security Number Protection State law on the Protection of Personal Information National Institute of Standards & Technology: NIST SP 800-53 Revision 4 “Moderate” risk controls Privacy Act of 1974, 5 U.S.C. 552a.
<input type="checkbox"/> Payment Card Information	Payment Card Industry Data Security Standard (PCI DSS) v 3.2
<input checked="" type="checkbox"/> Federal Tax Information	Internal Revenue Service Tax Information Security Guidelines for Federal, State and Local Agencies: IRS Pub 1075
<input checked="" type="checkbox"/> Student Education Data	Family Educational Rights and Privacy Act: FERPA
<input checked="" type="checkbox"/> Other: Worker Adjustment and Retraining Notification Act (WARN)	21 V.S.A. § 413 20 CFR 629

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

Launchpad inherits 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 instance is currently 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?

Applications are continually monitored for security violation attempts. All networks are certified through third-party vulnerability assessment programs. System activities and events are logged, and audit logs can be reviewed or exported as needed.

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

The application inherits all Salesforce platform compliance certifications. Third-party certification is continually obtained, including ISO 27001, PCI-DSS, FedRAMP, and SOC 1 (SSAE 18) and SOC 2 Type II audits. Reports on these audits and certifications for the Salesforce Government Cloud are available to the State at <https://compliance.salesforce.com/en/services/government-cloud>. This report list is frequently updated.

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: R2	Rating:	5	
	Likelihood:	5	
	Impact:	1	
Finding:	<p>Leaving the JobLink consortium model will mean that certain avenues of access to information will be closed or at least changed. This particularly applies to changes in federal policies and regulations. We were told that currently such changes are understood by the consortium and conveyed to members, and frequently result in changes to the consortium software. The SMEs are confident of their ability to perform these configuration changes in Launchpad, once trained. However, they anticipate needing additional support in the form of policy expertise, to understand and implement the resulting changes in departmental process.</p>		
Risk Of:	Resource Availability/Cost		
Risk domains:	Cost		
State's Planned Risk Response:	<p>While some policy expertise will be lost in leaving a consortia of other states implementing the same federal regulations, we will not lose our own policy expertise in implementing Vermont's federal programs. We will still maintain long-time policy subject matter experts as Director and Assistant Directors of the Division, Title I Program Administrator, our State Monitor Advocate & Foreign Labor Certification Program Administrator, and our Process and Performance Analyst. Additionally, the Division has received permission to hire a new position – Senior Policy & Implementation Analyst which we plan to begin recruiting for in January 2023. This position will serve as Policy Director for the Division and maintain expert-level knowledge of federal regulations. “</p>		
Reviewer's Assessment of State's Planned Response	This is a very strong mitigation.		

Risk ID: R3	Rating:	15	
	Likelihood:	5	
	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:	The State will monitor and adjust project tasks impacted by restrictions due to the coronavirus (COVID 19) health crisis. Covid restrictions have been lifted and the current contract has been extended through June 30, 2023, to assist in mitigating this risk.		
Reviewer's Assessment of State's Planned Response	concur		

Risk ID: R4	Rating:	25	
	Likelihood:	5	
	Impact:	5	
Finding:	<p>There may be confusion concerning warranty services after the system goes live. The draft contract [Attachment A, Section 7.2 Project Major Phases, Warranty and Options] states:</p> <p><i>"All Defects found within the Warranty Period, shall be corrected by Contractor at no additional cost to the State."</i></p> <p>In possible contradiction, the note to the Payment Milestones table [Attachment B] states:</p> <p><i>"Note: Annual Support & Warranty services of which exceed those of which are outlined in the payment milestones above, additional hours of support services may be procured at a locked in rate of \$100.00 per hour."</i></p> <p>Note: The Payment Milestones table indicates 156 hours of support and warranty services for each year after deployment. (A trivial typo identifies 4 of the years as "year 2.")</p> <p>Additionally, we did not find the initial warranty period to be defined anywhere in the contract.</p>		
Risk Of:	Additional cost		
Risk domains:	Cost		
State's Planned Risk Response:	State will update contract to reflect the appropriate terms		
Reviewer's Assessment of State's Planned Response	concur		

13 ATTACHMENTS

Attachment 1 – Cost Spreadsheet

Attachment 2 – Risk Register

Attachment 1: VDOL WD CRM Cost Spreadsheet ver. 2.0.a - Paul Garstki Consulting - 2022/Dec/23

Project Name:		VDOL Workforce Development System								Lifecycle Total @		
Description		Qty	Unit Price	Procurement	Maintenance FY1	Maintenance FY2	Maintenance FY3	Maintenance FY4	Maintenance FY5	Total	Current Annual Cost	Benefit
Fiscal Year												
Vendor Implementation Services												
Implementation, Milestones 1-7				\$ 852,892.01								
Vendor Implementation Services Total				\$ 852,892.01	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 852,892.01	\$ -	\$ (852,892.01)
Vendor Annual Costs												
Support and Warranty					\$ 4,200.00	\$ 15,600.00	\$ 15,600.00	\$ 15,600.00	\$ 15,600.00	\$ 66,600.00		
Vendor Licensing Total				\$ -	\$ 4,200.00	\$ 15,600.00	\$ 15,600.00	\$ 15,600.00	\$ 15,600.00	\$ 66,600.00	\$ 2,500,000.00	\$ 2,433,400.00
State-Provided Services												
Salesforce Enterprise Licensing	14	\$	2,050.00		\$ 28,700.00	\$ 28,700.00	\$ 28,700.00	\$ 28,700.00	\$ 28,700.00	\$ 143,500.00		
Salesforce Platform Licensing	123	\$	1,100.00		\$ 135,300.00	\$ 135,300.00	\$ 135,300.00	\$ 135,300.00	\$ 135,300.00	\$ 676,500.00		
Salesforce Community Licensing	7000	\$	7.75		\$ 54,250.00	\$ 54,250.00	\$ 54,250.00	\$ 54,250.00	\$ 54,250.00	\$ 271,250.00		
OKTA WFD SOV Licensing	57	\$	23.52		\$ 1,340.64	\$ 1,340.64	\$ 1,340.64	\$ 1,340.64	\$ 1,340.64	\$ 6,703.20		
OKTA non-WFD SOV Licensing	39	\$	23.52		\$ 917.28	\$ 917.28	\$ 917.28	\$ 917.28	\$ 917.28	\$ 4,586.40		
OKTA non-SOV Partner Licensing	38	\$	23.52		\$ 893.76	\$ 893.76	\$ 893.76	\$ 893.76	\$ 893.76	\$ 4,468.80		
Mulesoft Licensing					\$ 37,000.00	\$ 37,000.00	\$ 37,000.00	\$ 37,000.00	\$ 37,000.00	\$ 185,000.00		
Launchpad Licensing	137	\$	348.00		\$ 47,676.00	\$ 47,676.00	\$ 47,676.00	\$ 47,676.00	\$ 47,676.00	\$ 238,380.00		
State-Provided Licensing Total				\$ -	\$ 306,077.68	\$ 306,077.68	\$ 306,077.68	\$ 306,077.68	\$ 306,077.68	\$ 1,530,388.40	\$ -	\$ (1,530,388.40)
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 - ADS												
ADS EPMO Project Oversight & Reporting	178	\$	88.00	\$ 15,664.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,664.00		
ADS EPMO Project Manager for implementation	1522	\$	88.00	\$ 133,936.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 133,936.00		
ADS EPMO Business Analyst for Implementation	1699	\$	88.00	\$ 149,512.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 149,512.00		
ADS EPMO Enterprise Architect for Implementation	680	\$	88.00	\$ 59,840.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 59,840.00		
ADS EPMO Security Staff for Implementation	60	\$	88.00	\$ 5,280.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 5,280.00		
ADS IT Staff for Implementation	945	\$	84.00	\$ 79,380.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 79,380.00		
ADS API Development	5	\$	10,560.00	\$ 52,800.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 52,800.00		
State Personnel Total				\$ 496,412.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 496,412.00	\$ -	\$ (496,412.00)
Grand Total				\$ 1,367,073.01	\$ 310,277.68	\$ 321,677.68	\$ 321,677.68	\$ 321,677.68	\$ 321,677.68	\$ 2,964,061.41	\$ 2,500,000.00	\$ (464,061.41)

ATTACHMENT 2 - VDOL WD CRM INDEPENDENT REVIEW -- Risk and Issues Register -- version 2.0.a 2022/December/15 -- Paul E. 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	[DELETED]						0	0	0
R2	Leaving the JobLink consortium model will mean that certain avenues of access to information will be closed or at least changed. This particularly applies to changes in federal policies and regulations. We were told that currently such changes are understood by the consortium and conveyed to members, and frequently result in changes to the consortium software. The SMEs are confident of their ability to perform these configuration changes in Launchpad, once trained. However, they anticipate needing additional support in the form of policy expertise, to understand and implement the resulting changes in departmental process. We identify this as a risk	Resource Availability/Cost	Cost	While some policy expertise will be lost in leaving a consortia of other states implementing the same federal regulations, we will not lose our own policy expertise in implementing Vermont's federal programs. We will still maintain long-time policy subject matter experts as Director and Assistant Directors of the Division, Title I Program Administrator, our State Monitor Advocate & Foreign Labor Certification Program Administrator, and our Process and Performance Analyst. Additionally, the Division has received permission to hire a new position – Senior Policy & Implementation Analyst which we plan to begin recruiting for in January 2023. This position will serve as Policy Director for the Division and maintain expert-level knowledge of federal regulations. "	Evaluate this need and identify potential resources.	concur	1	5	5
R3	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	The State will monitor and adjust project tasks impacted by restrictions due to the coronavirus (COVID 19) health crisis. Covid restrictions have been lifted and the current contract has been extended through June 30, 2023, to assist in mitigating this risk.		concur	5	3	15
R4	There may be confusion concerning warranty services after the system goes live. The draft contract [Attachment A, Section 7.2 Project Major Phases, Warranty and Options] states: "All Defects found within the Warranty Period, shall be corrected by Contractor at no additional cost to the State." In possible contradiction, the note to the Payment Milestones table [Attachment B] states: "Note: Annual Support & Warranty services of which exceed those of which are outlined in the payment milestones above, additional hours of support services may be procured at a locked in rate of \$100.00 per hour." Note: The Payment Milestones table indicates 156 hours of support and warranty services for each year after deployment. (A trivial typo identifies 4 of the years as "year 2.") Additionally, we did not find the initial warranty period to be defined anywhere in the contract.	Additional cost	Cost	State will update contract to reflect the appropriate terms	Clarify contractual warranty period.		5	5	25
R5	The new system must be completely ready to go live by the time the current system agreement expires on July 1, 2023. Extension of that agreement requires formal permission from the Secretary of the Agency of Administration (AOA).	Gap in WD services	compliance	Permission was secured. This risk is CLOSED		concur	0	0	0
							0	0	0
							0	0	0
ISSUES	Issue Description			State Response					
[None]	At the time of this writing, the vendor has not yet responded to the State's standard Service Level Agreement (Contract, Attachment F.).				Vendor's response will be reviewed after it is received.				