



Independent Review

State Revolving Fund System Replacement Project (Project)

For the

State of Vermont

Agency of Natural Resources



**Submitted to the
State of Vermont, Agency of Digital Services
April 18, 2023**

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1.0 Executive Summary

For all Information Technology (IT) activities over \$1 million, State of Vermont (State) statute (or at the discretion of the Chief Information Officer [CIO]) requires an Independent Review by the Office of the CIO before the project can begin. The State Agency of Digital Services (ADS) engaged BerryDunn to perform an Independent Review of the previously bid State Revolving Fund System Replacement Project (Project). This Independent Review began on February 27, 2023, and the presentation of findings is tentatively planned for the week of April 10, 2023.

The State Agency of Natural Resources (ANR) is working to replace the existing State Revolving Fund (SRF) and Clean Water State Revolving Funds and Drinking Water State Revolving Funds (CWSRF & DWSRF) database that is necessary to maintain documentation of the State's \$280M loan funds that support water infrastructure projects for Vermonters. The system will support access by multiple staff among different programs across the Department of Environmental Conservation (DEC). Specifically, ANR is seeking to:

- Reduce overall cost of solution ownership
- Improve customer service
- Better met State and Federal compliance requirements
- Improve staff efficiency
- Streamline reporting and data access

This project has been in the procurement process for five years. An RFP was previously issued and awarded in 2018-2019 but the selected vendor determined they were unable to complete the project and withdrew from the contract. The most recent RFP was issued on May 10, 2022, and a bidder's conference was held May 20, 2022. ANR selected Tech Mahindra to leverage the State's existing Salesforce platform to meet ANR's needs for an SRF solution. The State is highly motivated to complete the project on time and commit the necessary resources to help ensure its success.

This IR is point-in-time assessment based upon information provided to BerryDunn up to March 24, 2023. BerryDunn expects that the status of the findings might change between March 24, 2023, and when BerryDunn submits this report.

While conducting the Independent Review, BerryDunn identified four risks. This risk is listed in summary form in Section 1.3, and in detail in Attachment 2 – Risk Register.

1.1 Cost Summary

Table 1.1 includes a summary of the costs. More detail can be found in Section 5: Acquisition Cost Assessment and Section 10: Impact Analysis on Net Operating Costs.

Table 0.1: Cost Summary

IT Activity Life Cycle	Cost and Funding Source
Total Life Cycle Costs (Five Years)	\$3,108,587.20
Total Implementation Costs	\$1,886,102.20
New Annual Operating Costs (Five Years)	\$1,328,805
Current Annual Operating Costs (Five Years)	\$1,100,000
Difference Between Current and New Operating Costs	\$228,805
Funding Source(s) and Percentage Breakdown of Multiple Sources	100% State Funds

1.2 Disposition of Independent Review Deliverables

Table 1.2 includes a summary of the Independent Review findings as elaborated later in the report.

Table 0.2: Independent Review Deliverables

Deliverable	Highlights From the Independent Review Include Explanations of Any Significant Concerns
Acquisition Cost Assessment	The proposed solution includes a one-time acquisition cost of \$1,886,102.20. The vast majority acquisition costs on this project are for vendor implementation services, totaling \$1,637,462.00. The remaining costs are for ADS services (e.g., Enterprise Project Management Office [EPMO], Enterprise Architect [EA], and security) and BerryDunn's Independent Review services.
Technology Architecture and Standards Review	The State is procuring a Salesforce solution to fulfill part of ANR's grant management needs and plans to procure another solution to fulfill the remaining needs, which will result in less efficient processes, higher procurement costs, and more complex solution support and maintenance. Partially as a result of ADS' requirement that ANR use the Salesforce solution for grant management, ANR selected a Salesforce solution to meet a small and more complex portion of its grant management needs. ANR Leadership is now discussing with the Water Investment Division leadership regarding the pros and cons of proceeding with the Salesforce solution versus re-opening the procurement towards finding an Agency-wide solution.
Implementation Plan Assessment	Based on BerryDunn's assessment and interview discussions with State and Tech Mahindra resources regarding the planned duration and available resources to complete each phase of the Project, BerryDunn believes the overall planned implementation timeline is achievable. ADS and Tech Mahindra have discussed the duration of UAT, with Tech Mahindra providing assurances regarding the planned duration in their approach. If deciding to request an extension to the planned two-week UAT period, ADS would prefer to discuss this during project kickoff and prior to the start of UAT. Based on its interactions with the State Project Manager during this Independent Review, BerryDunn has confidence that the individual has the skills and experience necessary for the role.
Cost-Benefit Analysis	The negligible quantifiable benefits projected as a result of this effort do not outweigh the increase in annual operational costs. However, ANR has defined several intangible benefits that align with the those outlined in the approved IT Activity Business Case and Cost Analysis Form (IT ABC Form). Based on data

Deliverable	Highlights From the Independent Review Include Explanations of Any Significant Concerns
	available to BerryDunn, the firm is not able to determine if the additional operational costs are appropriate for the projected intangible benefits expected from this initiative.
Analysis of Alternatives	<p>A team of business representatives from the State evaluated and scored various aspects of the seven vendors' proposals they received. Based on the scores for program cost, the State's evaluation team deemed both Brite Systems and Tech Mahindra as viable options and send follow-up questions to these two bidders. After reviewing and discussing the Brite Systems and Tech Mahindra reference responses, demos, best and final offers, and RFP response scoring results, the selection team recommended the State pursue a contract with Tech Mahindra to implement a new SRF solution.</p> <p>BerryDunn believes the competitive bid process was a sound approach to understanding the State's options for procuring the required statewide assessment services.</p>
Impact Analysis on Net Operating Costs	The draft contract describes a cost model that increases the current annual operational costs by approximately \$1.7 million over five years, with no breakeven point.
Security Assessment	Based on BerryDunn's assessment of Tech Mahindra's proposal and information collected during an interview with the team, BerryDunn does not have any concerns with Tech Mahindra's ability to comply with State and federal security requirements.

1.3 Risks Identified as High Impact and/or Having High Likelihood of Occurrence

Table 1.3 provides a summary of each risk, including risk probability, impact, and overall rating. A complete Risk Register is included in Attachment 2.

Table 0.3: Project Risk Summaries and Ratings

Risk ID	Risk Description	Risk Likelihood/ Probability	Risk Impact	Overall Risk Rating
2	There is no formal plan for handoff of the solution from the vendor to the State post-go-live support.	Low	High	Medium
3	The two-week User Acceptance Testing (UAT) period might not be adequate to address potential changes that could be identified and cannot be resolved within the UAT period.	Low	High	Medium
4	The State is procuring a Salesforce solution to	High	High	High

Risk ID	Risk Description	Risk Likelihood/ Probability	Risk Impact	Overall Risk Rating
	fulfill part of ANR's grant management needs and plans to procure another solution to fulfill the remaining needs, which will result in less efficient processes, higher procurement costs, and more complex solution support and maintenance.			

No other key issues were identified by BerryDunn.

1.5 Recommendation


Based on the assessment as provided in this report, and assuming that ANR and ADS execute the mitigation strategies as defined in Attachment 2, BerryDunn recommends the State proceed with this project and vendor.

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 BerryDunn by the State.

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5/12/2023

5/12/2023

Independent Reviewer Signature

Date

1.7 Report Acceptance

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


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5/12/2023

ADS Oversight Project Manager

Date

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5/12/2023

State of Vermont Chief Information Officer

Date

2.0 Scope of This Independent Review

2.1 In Scope

The scope of this document fulfills the requirements of State Statute, Title 3, Chapter 56, §3303(d).

The Independent Review Report includes:

- An acquisition cost assessment
- A technology architecture review and standards review
- An implementation plan assessment
- A cost analysis and model for benefit analysis
- An analysis of alternatives
- An impact analysis on net operating costs for the agency carrying out the activity
- A security assessment

This Independent Review used the following schedule:

- Week of February 27, 2023: Conduct project initiation; develop participation memos; schedule interviews; review documentation
- Week of March 6, 2023: Review documentation; conduct interviews with the State
- Weeks of March 13 and March 20, 2023: Conduct vendor interview; conduct additional research; document findings
- Week of April 3, 2023: Provide the preliminary Independent Review Report to the State; collect feedback; update the Independent Review Report; submit the proposed final draft Independent Review Report to the State
- Week of April 10, 2023: Present the Independent Review Report to the CIO; complete any follow-up work and updates to the Independent Review Report; obtain CIO sign-off via the oversight project manager on the Independent Review Report; facilitate the closeout meeting.

2.2 Out of Scope

No items from State Statute, Title 3, Chapter 56, §3303(d) are out of scope for this Independent Review.

3.0 Sources of Information

3.1 Independent Review Participants

Table 3.1 lists the stakeholders who participated in fact-finding meetings and/or communications.

Table 0.1: Independent Review Participants

Name	Employer and Title	Participation Topic(s)
Neil Kamman	ANR, Director of Water Investment Division	<ul style="list-style-type: none"> • General Project Information • Implementation Plan Review • Acquisition Cost • Risk Assessment
Bob Fitch	ANR, Financial Manager	<ul style="list-style-type: none"> • General Project Information • Implementation Plan Review • Cost-Benefit Analysis • Risk Assessment
Padraic Monks	ANR, Program Manager	<ul style="list-style-type: none"> • General Project Information • Implementation Plan Review • Cost-Benefit Analysis • Risk Assessment
Chris Adams	EPMO, Project Manager	<ul style="list-style-type: none"> • General Project Information • Implementation Plan Review • Cost-Benefit Analysis • Risk Assessment
Jacob Durell	ADS, Enterprise Architect	<ul style="list-style-type: none"> • General Project Information • Implementation Plan Review • Technology Architecture and Standards Review • Risk Assessment
Peter Telep	ADS, IT Director	<ul style="list-style-type: none"> • General Project Information • Implementation Plan Review • Technology Architecture and Standards Review • Risk Assessment
David Kaiser	ADS, IT Security	<ul style="list-style-type: none"> • General Project Information • Implementation Plan Review

Name	Employer and Title	Participation Topic(s)
		<ul style="list-style-type: none"> Technology Architecture and Standards Review Risk Assessment
Arpit Shastri	Tech Mahindra Americas Inc. (Tech Mahindra), Account Manager	<ul style="list-style-type: none"> General Project Information Implementation Plan Review Risk Assessment
Sujeet Nuthulapaty	Tech Mahindra, Project Manager	<ul style="list-style-type: none"> General Project Information Implementation Plan Review Risk Assessment
Chandan Chandwani	Tech Mahindra, Senior Business Analyst	<ul style="list-style-type: none"> General Project Information Implementation Plan Review Risk Assessment
Rajesh Mollati	Tech Mahindra, Business Analyst	<ul style="list-style-type: none"> General Project Information Implementation Plan Review Risk Assessment
Soniya Mirza	Tech Mahindra, Business Analyst	<ul style="list-style-type: none"> General Project Information Implementation Plan Review Risk Assessment

3.2 Independent Review Documentation

Table 3.2 below lists the documentation utilized to compile this Independent Review.

Table 0.2: Independent Review Documentation

Document Name	Description	Source
ANR State Revolving Fund System Replacement IT ABC Form 3.18.23	IT ABC Form	ANR Revolving Fund System Replacement Project SharePoint site: here
ANR State Revolving Fund System Replacement final (5.10 posted date)	RFP	ANR Revolving Fund System Replacement Project SharePoint site: here
Tech Mahindra Bidder Response	Bidder responses	ANR Revolving Fund System Replacement Project SharePoint site: here
Tech Mahindra's Response to Best And Final Offer (BAFO) Request for State Revolving	Vendor response/BAFO	ANR Revolving Fund System Replacement Project SharePoint site: here

Document Name	Description	Source
Loan and Grants Management System RFP		
Brite Systems Response	Bidder responses	ANR Revolving Fund System Replacement Project SharePoint site: here
Dullestech Bidder Response	Bidder responses	ANR Revolving Fund System Replacement Project SharePoint site: here
ANR_State_Revolving_Fund_System_Replacement_CIO_Vendor_Recommendation_Memo SIGNED	Intent to Award Memorandum	ANR Revolving Fund System Replacement Project SharePoint site: here
ANR State Revolving Fund System Replacement Tech Mahindra Contract 3.14.23	Draft contract	ANR Revolving Fund System Replacement Project SharePoint site: here
GovWin Opportunity #8603173	Publicly available documentation of winning proposal for the Massachusetts Executive Office for Administration and Finance's Grant Management System.	GovWin.com
GovWin Opportunity #154560	Publicly available documentation of winning proposal the Kansas Department of Administration's Grant Management System	GovWin.com
GovWin Opportunity #150863	Publicly available documentation of winning proposal for the State's Department of Buildings and General Services' Grant Management System.	GovWin.com
GovWin Opportunity #161003	Publicly available documentation of winning proposal for the South Carolina' Department of Education's Grant Management System.	GovWin.com
GovWin Opportunity	Publicly available documentation of winning proposal for the Washington Office of the Superintendent of Public Instruction's Grant Management System.	GovWin.com

4.0 Project Information

4.1 Historical Background

ANR requires the implementation of a State Revolving Loan and Grants Management System (solution). The contract will be for a period of five years, which includes support and maintenance, with an option to renew for up to two additional 12-month periods.

The goal is to replace the existing SRF and (CWSRF and DWSRF) database that is necessary to maintain documentation of the State's \$280 million loan funds that support water infrastructure projects for Vermonters. The solution will support access by multiple staff among different programs across the DEC. The existing system is not equipped to support access by multiple staff across DEC programs and has reached the end of its usable life. There are also growing challenges created by increasing remote work needs and lacking public-facing interfaces to allow data access. Furthermore, a third party is providing report functionality. The solution is capable of addressing all these existing challenges and provide an efficient, complete solution for both internal and external users.

During 2018 – 2019, there was a 10-month procurement process in coordination with ADS to secure a vendor for this solution rebuild. The contracted vendor ultimately determined they were unable to deliver a solution that met the basic needs of SRF financial accounting, and the vendor withdrew from the contract. The most recent RFP was issued on May 10, 2022, and a bidder's conference was held May 20, 2022. ANR received seven responses to the RFP and had an evaluation team score the proposals based on the following criteria:

- Ability to meet requirements
- Strength of proposed solution
- Project management methodology
- Contract costs, including licensing, maintenance, warranty, and support
- References from clients for similar projects, qualifications, experience of proposed staff/team
- Financial strength
- Proposed work schedule
- Experience/knowledge with solution/demonstration of understanding of the business needs as described in this RFP

ANR selected Tech Mahindra to leverage the State's existing Salesforce platform to meet ANR's needs for an SRF solution.

4.2 Project Goals

The Project goal is the development of a Salesforce-based software solution to replace the current business processes used for managing the solution. The successful completion of this Project will provide:

- Enterprise Alignment and Readiness – the new solution will streamline business with the State by allowing grant applicants to track their application status.
- Customer Service Improvement – the new solution will provide a new or improved customer service(s). Improved tracking and reporting functions from the solution will help decrease staff time spent tracking Project status and reviewing Project data. In turn, this will help reduce loan processing turnaround time and time spent by State staff.
- Risk Reduction – the new solution will reduce risk to the State by providing access to State resources working off-site, as well as allow for external customers to access data in the solution.

4.3 Project Scope

The State's Project scope seeks to upgrade the existing SRF (CWSRF and DWSRF) database that is necessary to maintain documentation of its \$280 million loan funds. The Project intends to replace the existing functionality in ANR's legacy system and improve functionality. The State's Project scope comprises the following processes:

- Federal grant administration and reporting
- Financial accounting
- Loan development and processing
- Payment request processing and cash draw requests
- Ad hoc reporting
- Funding authorizations with limits to Project cost eligibilities and dollar/percentages with sub-authorizations
- Differentiation of user roles and access
- Data compliance (the solutions must adhere to applicable State and federal standards, policies, and laws)

The State's Project scope comprises the following non-functional requirements:

- Hosting
- Application solution
- Security

- Miscellaneous
- Data compliance
- State Cybersecurity Standard 23-01

4.4 Major Deliverables

Table 4.1 provides a summary of the deliverables, descriptions, and frequency as articulated in the draft contract with Tech Mahindra.

Table 4.1: Project Deliverables and Frequency Proposed by the Vendor

Deliverable	Description	Frequency
Project Charter	<p>The Project Charter will serve as a central document that defines the fundamental information of the Project and clearly outlines its goals and objectives. It includes the following information:</p> <p>Scope statement (in and out of scope).</p> <ul style="list-style-type: none"> • List of Project deliverables • High-level Project timeline • Key roles and responsibilities • Known risks • Assumptions and/or constraints 	Once unless there are changes
Project Management Plan	<p>The Project Management Plan will specify how the contractor project manager administers the Project and will include the following documentation:</p> <ol style="list-style-type: none"> 1. Change Management Plan (will dictate how changes will be handled, including any service-level terms on over/underestimates) 2. Communication Management Plan (will dictate what will be communicated, to whom, and how often) 3. Requirements Management Plan (will dictate the approach for requirements gathering, approval, and maintenance) 4. Quality Management Plan (will dictate quality controls on Project work as well as determine key performance indicators (KPIs); this 	Once unless there are changes

Deliverable	Description	Frequency
	document is not limited to deliverables).	
Technical and Business Architecture	The Technical and Business Architecture formalize the proposed solution's technical and business architecture during the design phase and provide a technical and business architecture detail document as part of the design phase.	As needed
Design Documentation and User Stories	The Design Documentation and User Stories will provide low-level design documentation and user stories from the design phase as an output. This will be in line with the inputs from business users.	As needed
Product Backlog and Sprint Planning	The Product Backlog and Sprint Planning will be derived from signed-off user stories. This will be in line with the inputs from business users.	After each sprint is completed
Risk Log	The Risk Log will log all information about identified risks that could impact the Project, such as the nature of the risk, levels of risk, who owns the risk, and the mitigation to respond.	As needed
Change Requests (CRs) and CR Log	The change management process will include a standard CR that outlines the detailed change to any scope or Project change. These changes will also be logged to keep historic data on all approved changes.	When a change has been requested
Issue/Action Items Log	The Issue/Action Items Log will include a log of open and resolved/completed issues. Issues will be outlined by their impact, owner, date of occurrence, and remediation strategy.	Weekly
Requirements Documents	<p>The Requirements Documents will include a finalized list of the Project requirements to be approved by the State. The approach is dictated by the Requirements Management Plan (see Project Management Plan) and can include:</p> <ul style="list-style-type: none"> • Stated requirements document (SRD): The SRD contains current state process flows, user stories, and 	Once unless there are changes

Deliverable	Description	Frequency
	<p>business rules and articulates the business need at a high level.</p> <ul style="list-style-type: none"> • Business requirements document (BRD): The BRD contains a medium level of requirements as well as required metrics of Project success. • Functional requirements document (FRD): The FRD contains detailed requirements that can be handed off to the contractor for execution. 	
Decision Log	The Decision Log will include all decisions over the course of the Project at various stages. This captures decisions made to avoid roadblocks that will impact overall delivery timelines. Decisions will have a date and named decider.	As needed
Test Plans	The Test Plans will include a description of the testing approach, participants, sequence of testing, and testing preparations.	As needed
Test Cases and Results	The Test Cases and Results will include specific test cases to be tested and the testing results. Test cases tie back to the Project requirements (to help ensure each has been met).	As needed
Implementation Master Schedule (IMS)	The IMS outlines how the Project will go live and will include a mini Project plan for the exact events that need to occur, the assigned resources to do them, and the time frame for when they need to be complete.	As needed
Project Status Reports	The Project Status Reports provide updates on Project health, accomplishments, upcoming tasks, risks, and significant issues. These reports shall be developed in consultation with the State business lead and State project manager.	Weekly
Meeting Agenda/Minutes	The Meeting Agenda/Minutes of all scheduled meetings will have an agenda and minutes. The minutes shall contain risk issues, action items, and decision logs. Minutes shall be transcribed over to the main logs.	Per occurrence
Phase Audit/Gate Checks	The Phase Audit/Gate Checks will summarize overall progress, Project health,	Weekly

Deliverable	Description	Frequency
	accomplishments, upcoming tasks, risks, and significant issues. Provides transparency into the progress toward milestones and helps prevent scope creep.	
End of Project Metrics	The End of Project Metrics are metrics that reflect how well the Project was performed. Metrics will be outlined in the Quality Management Plan.	Once
Lessons Learned	The Lessons Learned refer to knowledge gained from the execution of the Project; these help address key issues in the future work and help identify areas needing additional effort.	Once
Closeout Report	The Closeout Report will include all the lessons learned, Project metrics, and a summary of the Project's implementation and outcome in operation.	Once

4.5 Project Phases and Schedule

Table 4.2 is a summary of Project phases/milestones, dates, and tasks planned as articulated in the draft contract with Tech Mahindra.

Table 4.2: Project Phases/Milestones, Dates, and Tasks

Project Phase/Milestone	Date(s)	Phase Description
Project Kickoff	4/3/2023	The primary objectives of this phase are to provide initial planning and preparation for the enhancement activities and to issue a scope and estimation with Project plan.
Requirements Gathering	4/3/2023 – 5/26/2023	The primary objective of this phase is for Tech Mahindra to conduct the following four phases of the requirements gathering process: <ol style="list-style-type: none"> 1. Requirements Origination 2. Requirements Enrichment 3. Requirement Traceability and Completeness 4. Requirement Prioritization and Classification.

Project Phase/Milestone	Date(s)	Phase Description
Application Development	5/29/2023 – 9/15/2023 (First Release) 10/11/2023 – 10/27/2023 (Second Release)	The primary objectives of this phase are to translate functional specifications into technical specifications, configure and build the solution (including creating custom code), conduct unit tests for development objects, and build and test user profiles.
System Testing	9/25/2023 – 10/6/2023 (First Release) 1/8/2024 – 1/26/2024 (Second Release)	The primary objectives of this phase are to perform system integration testing (SIT), including regression testing. Adhering to the Hybrid model, Tech Mahindra suggests following the V-Testing Model.
Training and UAT	9/25/2023 – 10/6/2023 (First Release) 1/15/2024 – 1/26/2024 (Second Release)	The primary objective of this phase is for Tech Mahindra to conduct training of State personnel (train-the-trainer or train the user).
Deploy and Go-Live	10/9/2023 – 10/13/2023 (First Release) 1/29/2024 – 2/2/2024 (Second Release)	The primary objective of this phase is for Tech Mahindra to implement the tested and State-approved solution in the production environment for additional State testing and go-live.

5.0 Acquisition Cost Assessment

Table 5.1 summarizes acquisition costs reported to BerryDunn during this Independent Review.

Table 0.1: Acquisition Cost Assessment

Acquisition Costs	Cost	Comments
Vendor Implementation/Installation/Configuration	\$1,637,462.00	
Licenses	\$82,000.00	Salesforce
Other Contracted Professional Services for Implementation	\$23,941.00	IT Business Analyst professional services from Anantics Inc.
ADS EPMO Project Oversight and Reporting	\$8,500.20	
ADS EPMO Project Manager for Implementation	\$56,608.00	The State added an additional \$20,000 to the original planned cost due to additional procurement time required to select the winning bidder.
ADS EPMO Business Analyst for Implementation	\$36,059.00	
ADS Enterprise Architect Staff for Implementation	\$5,192.00	
ADS Security Staff for Implementation	\$1,760.00	
Other ADS IT Labor for Implementation	\$10,080.00	120 hours at \$84 per hour.
Independent Review	\$24,500.00	BerryDunn gathered this information for its Independent Review contract.
Total One-Time Acquisition Costs	\$1,886,102.20	

1. Cost Validation: Describe how you validated the acquisition costs.

BerryDunn validated acquisition costs during documentation review, an interview with the ANR project manager, and follow-up email communications with ANR for updated costing information.

2. Cost Comparison: How do the acquisition costs of the proposed solution compare to what others have paid for similar solutions? Will the State be paying more, less, or about the same?

BerryDunn researched GovWin—a government contracting intelligence platform from Deltek—to research what other state government agencies have paid for similar solutions and services. In Table 5.2 below, BerryDunn compared the anticipated cost for statewide assessments to peer states agencies.

Table 5.2: Cost Comparison for Peer-State Agencies

State Agency	Cost	Vendor
Massachusetts Office for Administration and Finance	\$2,668,443	CBTS Technology Solution, LLC
State (Vermont) Department of Buildings and General Services	\$1,219,920	MTW Solutions, LLC
South Carolina Department of Education	\$2,553,213	REI Systems, Inc.
Washington Office of the Superintendent of Public Instruction	\$1,346,703	REI Systems, Inc.

Given potential differences in solutions and services procured by other states, this analysis intends to be directional in nature and should not serve as a basis for what the State should pay.

- 3. Cost Assessment:** Are the acquisition costs valid and appropriate in your professional opinion? List any concerns or issues with the costs.

Based on BerryDunn's analysis, we believe the State is paying comparable costs to similar solutions and services in the market.

6.0 Technology Architecture and Standards Review

1. **State's IT Strategic Plan:** Describe how the proposed solution aligns with each of the State's IT Strategic Principles:

a. Assess how well the technology solution aligns with the business direction

This solution is expected to streamline doing business with the State government. This activity is anticipated to help control the cost of agency activities while helping ensure agency goals are met serving Vermont residents.

b. Assess how well the technology solution maximizes benefits for the State

Primary benefits to the State provided by the solution will be:

- **Customer Service:** External applicants to the SRF program are expected to be able to enter applications online through a database portal. This is planned to increase external customer access to information and decrease internal customer staff time in the application approval process through process automation.
- **Reporting:** Internal database users are expected to have increased reporting and project tracking functionality through several proposed additions, which is anticipated to include the following:
 - Ability to create ad hoc reports for any desired field in the database
 - Ability to co-fund multiple sources for a single project
 - Creation of autogenerated letters and emails directly from database
- **Risk Reduction:** The existing Structured Query Language (SQL) database uses Microsoft Access as its interface, which does not lend itself to off-site usage on the ANR servers, and reaction time in the current database is markedly slower than desired. Additionally, having a web-based platform is planned to make data available to external customers if so desired.
- **Financial:** Current database functionality are planned to be maintained during the transition phases. The current database includes significant loan and grant information, their eligibility determinations, prorations, interfacing for payment requests with engineer determinations, engineering service agreement approvals with sub-bid details and sum to the whole contract amount, and the tracking complex federal crosscutters and their deliverables. The existing system includes a complex GAAP-compliant accounting function.

c. Assess how well the information architecture of the technology solution adheres to the principle of information is an Asset

Salesforce uses the shared responsibility model for data privacy and security. With respect to regulated data, Salesforce acts as the data processor and is responsible for providing sufficient physical and technical security measures, while Salesforce customers are accountable for the integrity, quality, and usage of the data as well as the types of data being stored.

Salesforce has met the requirements of compliance certifications, including:

- International Organization for Standardization (ISO) 27001/27018
- Systems and Organization Controls (SOC) 2
- SOC 3
- Payment Card Industry Data Security Standard (PCI-DSS)
- Safe Harbor

d. Assess if the technology solution will optimize process

The State plans to optimize its mission activities by managing all interactions and data through a customer success platform of engagement. Salesforce built and maintains a multitenant application architecture designed to enable the Salesforce service to scale securely, reliably, and cost-effectively.

e. Assess how well the technology solution supports resilience-driven security

The Salesforce platform provides a data security model that secures data at multiple levels from the organization to individual attributes and records. This tiered level of security allows the State to restrict data access widely across the organization and then open access for selected roles and users on the levels below. The Salesforce platform provides security controls at four levels (organization-level security, object-level security, field-level security, and record-level security).

2. Sustainability: Comment on the sustainability of the solution’s technical architecture (i.e., is it sustainable?).

Tech Mahindra follows the Salesforce Methodology, which fits into the best practices of the Salesforce enterprise architecture. The Salesforce Methodology offers a high degree of fit, configurability, scalability for vendor and contract management functionality, flexibility, and long-term viability; it also provides the features and benefits of iterative configuration and long-term sustainability.

3. How does the solution comply with the ADS Strategic Goals enumerated in the ADS Strategic Plan of January 2020?

The Tech Mahindra solution complies with the following ADS strategic goals, as enumerated in the ADS Strategic Plan of 2022 – 2026:

- **Vermont experience:** Increase the number of simple, low-cost, online interactions that Vermonters have with their government. This will be achieved through a more modern grants management solution that improves visibility into the status of submitted applications.

4. Compliance with the Section 508 Amendment to the Rehabilitation Act of 1973, as amended in 1998: Comment on the solution's compliance with accessibility standards as outlined in this amendment. Reference: <http://www.section508.gov/content/learn>.

Salesforce provides on-demand enterprise applications accessible to all individuals. This includes users working with assistive technology, such as speech recognition software and screen readers. Salesforce follows the internationally recognized best practices in Section 508 of the Rehabilitation Act and the Web Content Accessibility Guidelines (WCAG) 2.1 Level AA.

5. Disaster Recovery: What is your assessment of the proposed solution's disaster recovery plan? Do you think it is adequate? How might it be improved? Are there specific actions that you would recommend to improve the plan?

Salesforce offers multiple layers of redundancy so that many failures can be recovered promptly. Not all disruptions are declared. Salesforce's recovery point objective number is for when a data center is unavailable. Because data is replicated between data centers, backups are only used should the primary recovery mechanism fail.

Salesforce's disaster recovery services are delivered using multiple data centers supporting primary and replicated disaster recovery instances. The infrastructure utilizes carrier-class components designed to support millions of users. Salesforce's carrier-class components, use of high-availability servers and network technologies, and a carrier-neutral network strategy help to provide environment resilience. Salesforce solution will be configured to be at least "N+1" redundant so that there is redundancy in the number of components of a given type needed for services to the State to operate.

It is BerryDunn's belief that the proposed solution platform provider's disaster recovery plan meets industry best practices and technical standards.

6. Data Retention: Describe the relevant data retention needs and how they will be satisfied for or by the proposed solution.

Active customer data on Salesforce will remain available to the State until it has been deleted or changed, at which point it will be temporarily available for 15 days via the Recycle Bin. Salesforce will retain backup media for 30 days for sandbox environments and 90 days for all other media, after which data will no longer be recoverable. Responses from State IT resources during interviews indicated these data retention capabilities will satisfy the State's needs.

7. Service Level Agreement: What are the post-implementation services and service levels required by the State? Is the vendor-proposed SLA adequate to meet these needs in your judgment?

The following are support activities that are in scope for the SLA between the State and Tech Mahindra:

- Provide Level 2 and 3 support to resolve customer request/issues
- Provide Level 1 on call support for tickets submitted by the State
- Provide business hours application support and additional support availability during emergency situations
- Help ensure data integrity
- Provide regular updates to maintenance documentation

Tech Mahindra will undertake minor customizations/enhancements worth 20 hours without any additional cost to the State. The following fall under minor customizations and/or enhancements:

- Modification of field attributes
- Creation or modification of workflows
- Creation or modification of reports or dashboards

Major enhancements/planned projects related tools are out of scope. In case of any requirement, a separate CR will be raised and will undergo the CR process. Any customization requirements that take more than 20 person hours will be done through a CR and involve separate budgeting.

It is BerryDunn's belief that the vendor's proposed services will be adequate to meet the State's needs. In further support of BerryDunn's assessment, the State's draft SLA requires and aligns the vendor's proposed three-tiered system of support, where Tech Mahindra resolves incidents at each level and provides one point of contact for customers. Table 6.4 identifies the State's SLA levels of service as pulled directly from the vendor's proposal.

Table 6.4: SLA Levels of Service

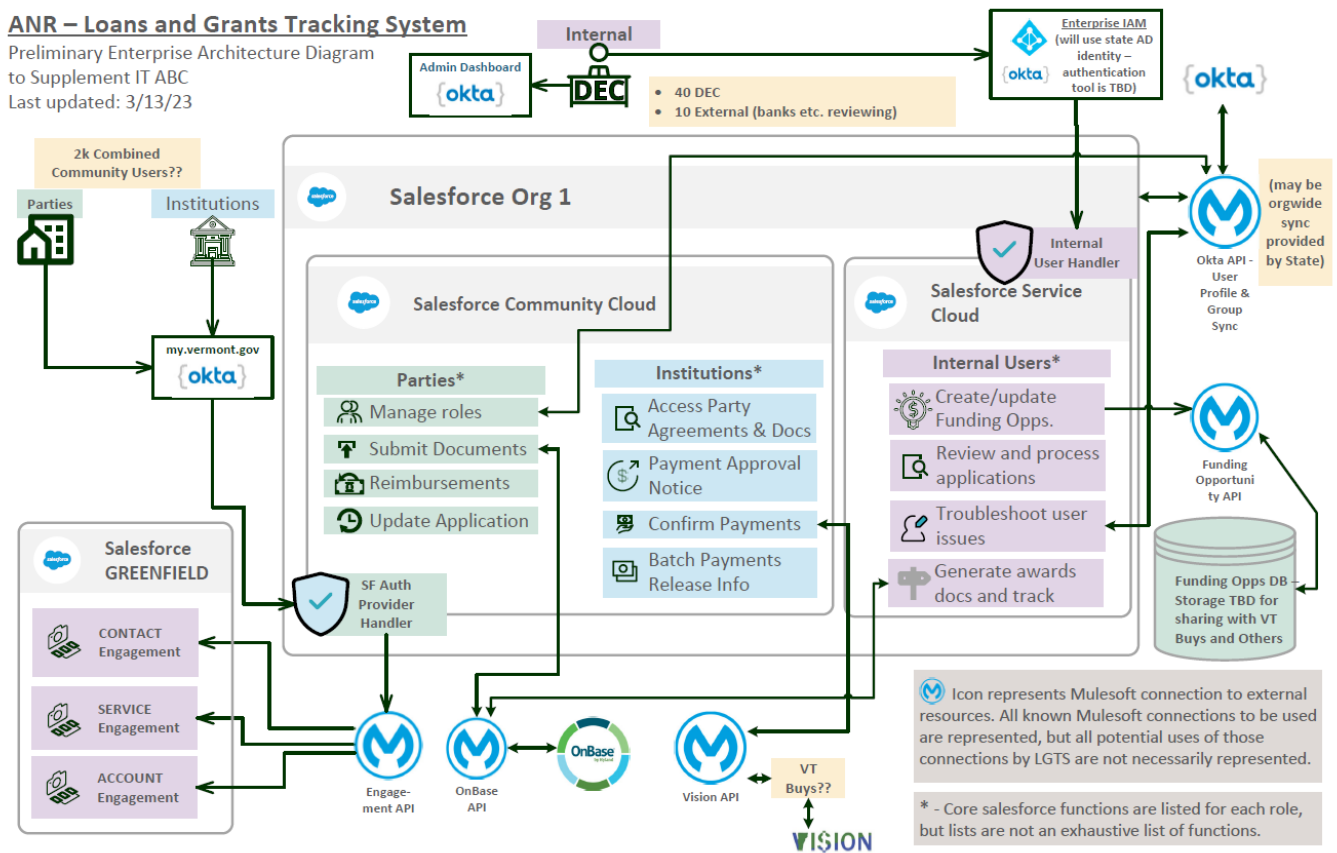
Support Tier	Description
Priority 1	High Impact – Significant outage to more than one service for most of the users, which causes major disruption of business operations. Several lower priority incidents that occur simultaneously will also be assigned this priority.
Priority 2	Moderate impact – An incident causing partial interruption or degradation of service delivery to the affected users, or business operations. There may be an automated or manual contingency that allows those affected to achieve a level approaching normal service delivery during the event.
Priority 3	Minor impact – An incident causing a minimal interruption or degradation of service delivery to the affected users, or business operation (includes single user issues). An automated or manual contingency plan will be available.

Support Tier	Description
Priority 4	Low Impact – A low impact on a production that involves no loss in functionality or a general usage question including questions that reference product documentation.

8. System Integration: Is the data export reporting capability of the proposed solution consumable by the State? What data is exchanged and what systems (State and non-State) will the solution integrate/interface with?

Salesforce allows users to generate reports in a variety of formats, with the ability to apply different visualization types to each report. Dashboards can be built and shared with other users based on standard and/or customized reports. The data from these reports and dashboards can be exported in a variety of formats, including PDF, Word, Excel, and CSV file. Figure 6.1 below outlines ADS’s proposed solution platform architecture to support the Salesforce solution, including points of integration and dataflows.

Figure 6.1 Proposed Solution Platform Architecture Diagram



7.0 Assessment of Implementation Plan

1. The reality of the implementation timetable.

The implementation timeline is grouped into the following phases:

Project Phase/Milestone	Date(s)	Phase Description
Project Kickoff	4/3/2023	The primary objectives of this phase are to provide initial planning and preparation for the enhancement activities and to issue a scope and estimation with Project plan.
Requirements Gathering	4/3/2023 – 5/26/2023	The primary objective of this phase is for Tech Mahindra to conduct the following four phases of the requirements gathering process: <ol style="list-style-type: none"> 1. Requirements Origination 2. Requirements Enrichment 3. Requirement Traceability and Completeness 4. Requirement Prioritization and Classification.
Application Development	5/29/2023 – 9/15/2023 (First Release) 10/11/2023 – 10/27/2023 (Second Release)	The primary objectives of this phase are to translate functional specifications into technical specifications, configure and build the solution (including creating custom code), conduct unit tests for development objects, and build and test user profiles.
System Testing	9/25/2023 – 10/6/2023 (First Release) 1/8/2024 – 1/26/2024 (Second Release)	The primary objectives of this phase are to perform system integration testing (SIT), including regression testing. Adhering to the Hybrid model, Tech Mahindra suggests following the V-Testing Model.
Training and UAT	9/25/2023 – 10/6/2023 (First Release) 1/15/2024 – 1/26/2024 (Second Release)	The primary objective of this phase is for Tech Mahindra to conduct training of State personnel (train-the-trainer or train the user).
Deploy and Go-Live	10/9/2023 – 10/13/2023 (First Release) 1/29/2024 – 2/2/2024	The primary objective of this phase is for Tech Mahindra to implement the tested and State-approved solution in the

Project Phase/Milestone	Date(s)	Phase Description
	(Second Release)	production environment for additional State testing and go-live.

Based on BerryDunn's assessment and interview discussions with State and Tech Mahindra resources regarding the planned duration and available resources to complete each phase of the Project, BerryDunn believes the overall planned implementation timeline is achievable (see Risk #3 in Attachment 2 regarding the potentially inadequate duration of the UAT Phase).

2. Readiness of impacted divisions/departments to participate in this solution/project (consider current culture, staff buy-in, organizational changes needed, and leadership readiness).

Interview responses from project leadership and project management indicated State staff are ready to embrace the new platform, as it will provide new and improved functionality (e.g., external user visibility and reporting/dashboarding). Tech Mahindra plans to provide demos and walkthroughs of functionality during each sprint, along with a full walkthrough of feature functionality, prior to formal testing to build end-user readiness to adopt the solution.

3. Do the milestones and deliverables proposed by the vendor provide enough detail to hold the vendor accountable for meeting the business needs in these areas?

a. Project Management

In its proposal, Tech Mahindra describes developing/following/maintaining/monitoring a project management plan, communication management plan, change management plan, quality management plan, CR log, risk log, and process for creating meeting agendas and logging meeting minutes and action items. Tech Mahindra also describes enough of the methods/strategies/formats that will be used for these items to provide enough detail to hold them accountable for meeting the business needs in the area of project management. Based on BerryDunn's review of its interview with Tech Mahindra and review of its proposal, BerryDunn believes Tech Mahindra has an effective approach it plans to apply to track and monitor risks and issues over the course of the Project.

b. Training

In its proposal, Tech Mahindra describes its planned use of the train-the-trainer model to help ensure all roles and users are provided sufficient preparation to use the solution. Tech Mahindra also describes its planned use of a Standard Success Plan to support training efforts and provide additional resources to end users. Tech Mahindra provides multiple training options for ANR to consider, including the following:

- Free self-paced online courses

- Self-paced online courses as part of a Premier Success Plan subscription
- Instructor-led classes delivered by Salesforce-certified instructors at Salesforce's facilities
- Private training classes provided by Tech Mahindra at ANR facilities

c. Testing

In its proposal and confirmed during the vendor interview, Tech Mahindra provided a full life system of testing. Given the use of sprints on the Project, Tech Mahindra emphasizes the importance of quality assurance, maintaining a low number of user stories, and conducting sprint retrospectives. Tech Mahindra proposes the use of Unit and System Integration Testing, including regression testing, as part of the V-Testing Model. Tech Mahindra will also conduct User Acceptance Testing with business stakeholders. Tech Mahindra also describes its process for developing test plans, test cases and results, manual security testing, and performing each type of testing—which is enough detail to hold Tech Mahindra accountable for meeting the business needs in the area of testing.

d. Design

In its proposal, Tech Mahindra describes its approach to applying guiding security principles and security training, as established by Salesforce, to help ensure the best decisions are made during the design phase via use of static code analysis tools, scanners, and code testing. Tech Mahindra also outlines its approach to applying Agile during the design phase via use of Epics, user stories, personas, customer and user journeys, and features. During the design phase, Tech Mahindra will conduct a workshop to gather business and design requirements to identify gaps, develop process flows, detail the future-state process, and to define KPIs—which is enough detail to hold Tech Mahindra accountable for meeting the business needs in the area of design. This is largely an out-of-the-box solution.

e. Conversion (If Applicable)

In its proposal, Tech Mahindra describes its guiding principles for data conversion, including due diligence studies, data migration management and monitoring, data cleanliness, data migration approach, logical data models, data extraction and loading, and performance acceptance testing of loaded data. Tech Mahindra also details how it will scope and implement its data migration approach (including best practices it will follow), which is enough detail to hold Tech Mahindra accountable for meeting the business needs in the area of conversion.

f. Implementation Planning

In its proposal, Tech Mahindra provided a draft implementation plan and a proposed Project schedule with delineation of task ownership that has enough detail to hold Tech Mahindra accountable for meeting the business needs in the area of implementation planning.

g. Implementation

In its proposal, Tech Mahindra provides a breakdown of its understanding of the Project scope, including the internal and external interfaces for the solution, high-level functional requirements, and additional requirements provided in the State's RFP. Tech Mahindra explains how it will apply its Salesforce-Prime framework to execute a hybrid agile implementation process via the use of sprints during the develop and test phase. Tech Mahindra also outlines key features of its implementation approach, which is enough detail to hold Tech Mahindra accountable for meeting the business needs in the area of implementation.

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? Please explain.

Based on our interactions with the State project manager during this Independent Review, BerryDunn has confidence that the individual has the skills, experience, and supporting resources necessary for the role.

8.0 Cost Analysis and Model for Benefit Analysis

- 1. Analysis Description:** Provide a narrative summary of the cost-benefit analysis conducted. Be sure to indicate how the costs were independently validated.

To conduct the cost-benefit analysis, BerryDunn used the draft contract and the most recent version of the IT ABC Form, both of which the State provided.

BerryDunn validated each cost through the following methods:

- Annual costs for Tech Mahindra's services were verified in the draft contract.
- The cost for ADS project oversight, project management, enterprise architect, and security staff were verified in the most recent version of the IT ABC Form.

A detailed breakdown of these costs can be found in Attachment 1 – Life Cycle Cost-Benefit Analysis.

- 2. Assumptions:** List any assumptions made in your analysis.

This is a five-year life cycle project, beginning in April 2023.

- 3. Funding:** Provide the funding source(s). If multiple sources, indicate the percentage of each source for both acquisition costs and ongoing operational costs over the duration of the solution/service life cycle.

The Project will be paid with State funding.

- 4. Tangible Costs and Benefits:** Provide a list and description of the tangible costs and benefits of the Project. It is “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 Costs

Licenses – These combined fees total \$82,000 for FY 2023; \$292,401 for FY 2024; \$292,401 for FY 2025; \$292,401 for FY 2026, and \$292,401 for FY 2027—a total of \$1,251,604.40 over the first five years of the five-year life cycle.

Support and Maintenance – These combined fees total \$223,360 for FY 2023; \$73,360 for FY 2024; \$3,360 for FY 2025, \$3,360 for FY 2026, and \$3,360 for FY 2027—a total of \$271,3440 over the first five years of the five-year life cycle.

Implementation Services – Implementation services include implementation/installation/configuration of the solution. These costs total \$818,821 for both FY 2023 and FY 2024.

Other Professional Services –Other contracted professional services includes IT Business Analyst professional services from Anantics Inc. These costs total \$23,941.

ADS Services – ADS services include project oversight, project management, project business analyst, enterprise architecture, security analysis, and IT labor. These costs total \$131,639.20.

Tangible Benefits

ANR reported that this investment will significantly decrease the workload for ANR staff by automating reporting and application processing. With these enhanced capabilities, staff will be relieved of manual or work-around processes and can focus on other responsibilities for supporting operations.

- 5. Intangible Costs and 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).

Based on documentation review and interviews with the State, BerryDunn identified the following intangible benefits:

- **Risk Reduction** – The existing SQL database uses Microsoft Access as its interface, which does not lend itself to off-site usage on the ANR servers, and reaction time in the current database is markedly slower than desired. Additionally, having a web-based platform will make data available to external customers if so desired.
 - **Customer Service** – Internal database users will have increased reporting and project tracking functionality through several proposed additions. These improved tracking and reporting functions will decrease staff time spent on tracking project status and reviewing project data, which will reduce loan processing turnaround time and staff labor.
 - **Customer Service** – External applicants to the SRF program will be able to enter applications online through a database portal. This will increase external customer access to information and decrease internal customer staff time in the application approval process through process automation.
- 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.

Based on data available to BerryDunn, the firm is unable to determine if the additional operational costs are appropriate for the projected intangible benefits expected from this initiative.

- 7. IT ABC Form Review:** Review the IT ABC Form (Business Case/Cost Analysis) created by the Business for the Project. Is the information consistent with your Independent Review and analysis? If not, please describe. Is the life cycle that was used appropriate for the technology being proposed? If not, please explain.

The State used cost estimates for annual costs in the IT ABC Form approved in March 2021. Through contract negotiations with Tech Mahindra, the State identified more accurate costs and updated the IT ABC Form in October 2021 and again in February 2023. The

information is consistent with our analysis and uses an appropriate life cycle for the proposed technology.

9.0 Analysis of Alternatives

1. Provide a brief analysis of alternative solutions that were deemed financially unfeasible.
2. Provide a brief analysis of alternative technical solutions that were deemed unsustainable.
3. Provide a brief analysis of alternative technical solutions where the costs for operations and maintenance were unfeasible.

A team of business representatives from the State evaluated and scored various aspects of the vendors' proposals, with the total score comprising ability to meet requirements (35%); strength of proposed solution (15%); project management methodology (15%); contract costs, including licensing, maintenance, warranty, and support (10%); references from clients for similar projects, qualifications, experience of proposed staff/team (10%); financial strength (5%); proposed work schedule (5%); and experience/knowledge with solution/demonstration of understanding of the business needs as described in the RFP (5%). Table 9.1 below shows the evaluated vendors' weighted scores with totals.

Table 9.1: Summary of Proposal Scores

Proposal Section	Brite Systems	Cybergrants LLC	Dulles Technology Partners Inc.	Northbridge	Slalom LLC	Tech Mahindra Americas Inc.	Technology Partnership Group, Inc.
Ability to meet requirements	150.00	110.83	87.50	81.67	122.50	150.00	99.17
Strength of proposed solution	62.14	45.00	40.00	30.00	52.50	64.29	42.50
Project management methodology	60.00	45.00	45.00	40.00	52.50	57.86	42.50
Contract costs, including licensing, maintenance, warranty, and support	35.71	15.00	30.00	40.00	21.67	34.29	31.67
References from clients for similar projects	40.00	35.00	30.00	35.00	31.67	41.43	36.67
Financial strength	18.57	16.67	13.33	17.50	16.67	19.29	14.17

Proposal Section	Brite Systems	Cybergrants LLC	Dulles Technology Partners Inc.	Northbridge	Slalom LLC	Tech Mahindra Americas Inc.	Technology Partnership Group, Inc.
Proposed work schedule	19.29	15.00	18.33	14.17	16.67	20.71	17.50
Experience/knowledge with solution/demonstration of understanding of the business needs	20.71	13.33	10.83	20.00	15.83	21.43	20.00
Total*	406.43	295.83	275.00	278.33	330.00	409.29	304.17

Please note: Totals do not exactly match sum of numbers above due to percentage rounding.

Seven bids were received from the following vendors: Brite Systems, CyberGrants LLC, Northbridge, Slalom LLC, Technology Partnership Group Inc, Dulles Technology Partners Inc, and Tech Mahindra Americas Inc. The evaluation team scored and reviewed each bid provided to the State. After initial scoring, the team sent follow-up questions to Brite Systems and Tech Mahindra (the vendors with the highest rankings), and, in parallel, sent questions to each reference that Brite Systems and Tech Mahindra provided. Of the references Brite Systems and Tech Mahindra supplied, all responded. The team was given demonstrations by Brite Systems and Tech Mahindra.

After reviewing and discussing the Brite Systems and Tech Mahindra reference responses, demos, best and final offers, and RFP response scoring results, the selection team recommended the State pursue a contract with Tech Mahindra to implement a new SRF solution.

The evaluation team noted that Tech Mahindra has extensive public-sector experience with other State agencies. The evaluation team believes Tech Mahindra's application demonstration clearly showed understanding of the stated problem ANR is attempting to solve, and the Tech Mahindra solution comprehensively addresses current workflow and platform limitations.

BerryDunn believes the competitive bid process (e.g., proposal evaluations, vendor demonstrations, and BAFOs) was a sound approach to understanding the State's options for procuring the required statewide assessment services.

10.0 Impact on Analysis of Net Operating Costs

1. Insert a table to illustrate the Net Operating Cost Impact.

Table 10.1, on the following page, illustrates the impact on net operating costs over five years.

Table 10.1: Life Cycle Costs by Year

Impact on Operating Costs	FY23	FY24	FY25	FY26	FY27	5-Year Totals
Professional Services (Non-Software Costs)						
Current Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Projected Costs	\$830,791.50	\$830,791.50	\$0.00	\$0.00	\$0.00	\$1,661,583.00
Maintenance, Support, Hardware, Hosting, and License Costs						
Current Costs	\$220,000.00	\$220,000.00	\$220,000.00	\$220,000.00	\$220,000.00	\$1,100,000.00
Projected Costs	\$82,000.00	\$0.00	\$512,401.00	\$342,401.00	\$292,401.00	\$1,229,203.00
Other Costs (State Labor)						
Current Costs	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Projected Costs	\$3,360.00	\$3,360.00	\$3,360.00	\$3,360.00	\$3,360.00	\$16,800.00
Baseline Current Cost	\$220,000.00	\$220,000.00	\$220,000.00	\$220,000.00	\$220,000.00	\$1,100,000.00
Baseline Projected Costs	\$916,151.50	\$834,151.50	\$515,761.00	\$345,761.00	\$295,761.00	\$2,907,586.00
Cumulative Current Costs	\$220,000.00	\$440,000.00	\$660,000.00	\$880,000.00	\$1,100,000.00	\$1,100,000.00
Cumulative Projected Costs	\$916,151.50	\$1,688,303.00	\$2,204,064.00	\$2,549,825.00	\$2,845,586.00	\$2,907,586.00
Net Impact on Professional Services	(\$830,791.50)	(\$830,791.50)	\$0.00	\$0.00	\$0.00	(\$1,661,583.00)

Impact on Operating Costs	FY23	FY24	FY25	FY26	FY27	5-Year Totals
Net Impact on Software Acquisition, Maintenance, Support, Licenses Costs, and Other	\$134,640.00	\$216,640.00	(\$295,761.00)	(\$125,761.00)	(\$75,761.00)	(\$146,003.00)
Net Impact on Operating Costs:	(\$696,151.50)	(\$614,151.50)	(\$295,761.00)	(\$125,761.00)	(\$75,761.00)	(\$1,807,586.00)

2. Provide a narrative summary of the analysis conducted and include a list of any assumptions.

BerryDunn conducted an impact analysis on net operating costs using the costs validated and verified in acquisition cost assessment and cost-benefit analysis.

The following calculations were used in performing the analysis:

- The projected costs for FY 2023 Professional Services (Non-Software Costs) include:
 - Tech Mahindra’s services, including:
 - Vendor Implementation/Installation/Configuration: \$1,637,642
 - Other contracted professional services for implementation: \$23,941
 - Independent Review Services: \$24,500
- The projected costs for FY 2023 Maintenance, Support, and Licenses Costs include:
 - Licenses: \$270,000
- The projected FY 2023 cost for Other Costs (State Labor) includes:
 - ADS EPMO Project Oversight: \$8,500
 - ADS EPMO Project Management: \$56,608
 - ADS EPMO Business Analyst: \$36,059
 - ADS EA: \$5,192
 - ADS Security Staff: \$1,760
 - ADS IT Labor: \$10,080
- The projected costs for FY 2024 Maintenance, Support, and Licenses Costs include:
 - Licenses: \$292,401
- The projected costs for FY 2025 Maintenance, Support, and Licenses Costs include:
 - Licenses: \$292,401
 - Support and maintenance: \$220,000.00
- The projected costs for FY 2026 Maintenance, Support, and Licenses Costs include:
 - Licenses: \$292,401
 - Support and maintenance: \$50,000
- The projected costs for FY 2027 Maintenance, Support, and Licenses Costs include:
 - Licenses: \$292,401

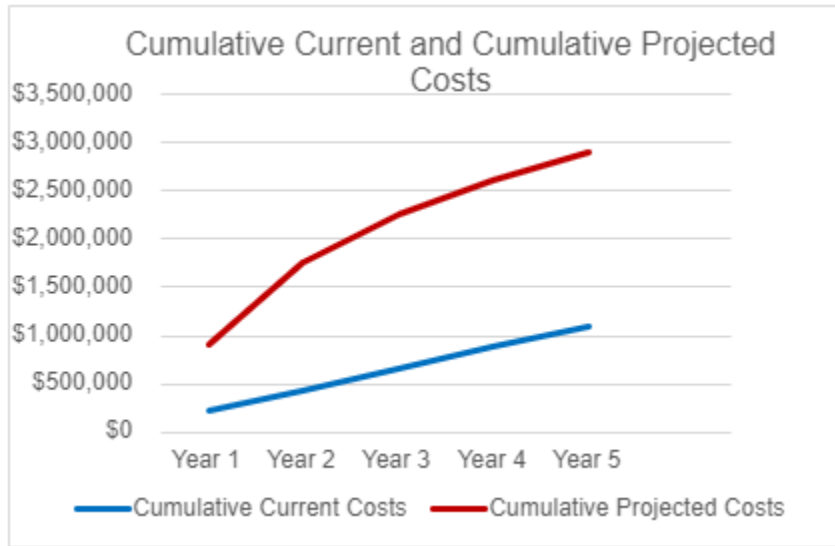
- 3. Explain any net operating increases that will be covered by federal funding. Will this funding cover the entire life cycle? If not, please provide the breakouts by year.

There will be no costs covered by federal funding.

- 4. What is the break-even point for this IT activity (considering implementation and ongoing operating costs)?

Based on the costs in the draft contract, there is a net annual increase in operational costs with no break-even point.

Figure 10.1: Cumulative Current and Cumulative Projected Costs



11.0 Security Assessment

1. Will the new system have its own information security controls, rely on the State's controls, or incorporate both?

The solution platform provider has its own information security controls, which will include the following:

- Organization-Level Security
- Object-Level Security
- Field-Level Security
- Record-Level Security.

2. What method does the system use for data classification?

Salesforce includes security mechanisms for data classification and privacy. Salesforce's Platform Encryption will allow the State to natively encrypt data classified as sensitive, confidential, or proprietary. Tech Mahindra stated in its proposal and interview session that the solution meets both external and internal data compliance. The proposed solution provides the capability to set encrypted data permissions to protect sensitive data from unauthorized users.

What is the vendor's breach notification and incident response process?

Tech Mahindra's proposal states it will adhere to both its own security breach policy as well as the State's. Tech Mahindra's cybersecurity team will report on any malicious activity, which will be tracked by the Tech Mahindra firewall. These reports will go to Tech Mahindra's security team to share with the Project Business Unit delivery head to discuss with the State and develop remediation actions.

3. Does the vendor have a risk management program that specifically addresses information security risks?

Salesforce has a risk management monitoring responsibility incorporated as a key component of its charter. Salesforce's program supplements other processes such as a comprehensive risk assessment, IT controls and compliance programs, business continuity planning, physical security programs, crisis management teams, internal audits, legal review, and Sarbanes-Oxley compliance.

Salesforce's risk management activities that relate to security include:

- Annual risk assessments
- Testing activities related to finance and IT risk
- Vulnerability scans in alignment with NIST SP 800-64 requirements

Salesforce also performs tasks relating to the development life cycle, including:

- Architecture reviews
- Development
- Quality assurance
- Security review
- Definition of done
- Coding based on Open Web Application Security Project (OWASP) practices
- Third-party vulnerability assessments

4. What encryption controls/technologies does the system use to protect data at rest and in transit?

Salesforce uses transport layer security (TLS) encryption to allow native encryption of sensitive data, protect personally identifiable information, and meet internal and external data compliance policies. Salesforce's solution also enables users to fully control encryption keys and for organizations to set encrypted data permissions, which allows for the protection of sensitive data from unauthorized users.

5. What format does the vendor use for continuous vulnerability management, what process is used for remediation, and how do they report vulnerabilities to customers?

Salesforce conducts ongoing technical vulnerability detection, remediation of open compliance-related findings, and receives annual independent assessments of security controls by a 3PAO as part of its efforts to continuously scan and monitor vulnerabilities. Salesforce is aligned with NIST SP 800-53 Revision 4, as determined during the most recent annual assessment.

12.0 Risk Assessment and Risk Register

This section describes the process for development of a Risk Register, including the following activities:

- A. *Ask the Independent Review participants to provide a list of the risks that they have identified and their strategies for addressing those risks.*
- B. *Independently validate the risk information provided by the State and/or vendor and assess their risk strategies.*
- C. *Identify any additional risks.*
- D. *Ask the Business to respond to your identified risks, as well as provide strategies to address them.*
- E. *Assess the risks strategies provided by the Business for the additional risks you identified.*
- F. *Document all this information in a Risk Register and label it Attachment 2. The Risk Register should include the following:*
 - **Source of Risk:** *Project, Proposed Solution, Vendor, or Other*
 - **Risk Description:** *Provide a description of what the risk entails*
 - **Risk Ratings to Indicate:** *Likelihood and probability of risk occurrence; impact should risk occur; and overall risk rating (high, medium, or low priority)*
 - **State's Planned Risk Strategy:** *Avoid, Mitigate, Transfer, or Accept*
 - **State's Planned Risk Response:** *Describe what the State plans to do (if anything) to address the risk*
 - **Timing of Risk Response:** *Describe the planned timing for carrying out the risk response (e.g., prior to the start of the project, during the Planning Phase, prior to implementation, etc.)*
 - **Reviewer's Assessment of State's Planned Response:** *Indicate if the planned response is adequate/appropriate in your judgment, and if not, what you would recommend*

Additional Comments on Risks:

The risks identified during this Independent Review can be found in Attachment 2 – Risk Register.

Attachment 1 – Life Cycle Cost-Benefit Analysis

Table A.1, on the following page, reflects a five-year life cycle cost analysis.

Table A.1: Life Cycle Analysis

Description	Implementation		Maintenance	Maintenance	Maintenance	Maintenance	
Fiscal Year	FY23	FY24	FY24	FY25	FY26	FY27	Total
Implementation Services	\$818,821.00	\$818,821.00	\$0.00	\$0.00	\$0.00	\$0.00	\$1,637,642.00
Licenses	\$82,000.00	\$0.00	\$292,401.00	\$292,401.00	\$292,401.00	\$292,401.00	\$1,251,604.00
Other Professional Services							
Maintenance and Support	\$0.00	\$0.00	\$220,000.00	\$50,000.00	\$0.00	\$0.00	\$270,000.00
Other Contracted Professional Services for Implementation	\$11,970.50	\$11,970.50	\$0.00	\$0.00	\$0.00	\$0.00	\$23,941.00
State Labor Costs							
ADS EPMO Project Oversight	\$4,250.10	\$4,250.10	\$0.00	\$0.00	\$0.00	\$0.00	\$8,500.20
ADS EPMO Project Manager	\$28,304.00	\$28,304.00	\$0.00	\$0.00	\$0.00	\$0.00	\$56,608.00
ADS EPMO BA	\$18,029.50	\$18,029.50	\$0.00	\$0.00	\$0.00	\$0.00	\$36,059.00
ADS EA	\$2,596.00	\$2,596.00	\$0.00	\$0.00	\$0.00	\$0.00	\$5,192.00
ADS Security Staff	\$880.00	\$880.00	\$0.00	\$0.00	\$0.00	\$0.00	\$1,760.00
Other ADS Labor	\$5,040.00	\$5,040.00	\$0.00	\$0.00	\$0.00	\$0.00	\$10,080.00
State IT Labor to Operate and Maintain the Solution	\$0.00	\$0.00	\$3,360.00	\$3,360.00	\$3,360.00	\$3,360.00	\$13,440.00
Totals							
Implementation Costs + State Labor Costs	\$971,891.10	\$889,891.10					\$1,861,782.20

Description	Implementation		Maintenance	Maintenance	Maintenance	Maintenance	
Fiscal Year	FY23	FY24	FY24	FY25	FY26	FY27	Total
BerryDunn IR	\$0.00	\$24,500.00					\$24,500.00
Total Implementation	\$971,891.10	\$914,391.10					\$1,886,282.20
Total Lifecycle Operating Costs**			\$515,761.00	\$345,761.00	\$295,761.00	\$295,761.00	\$1,453,044.00
Total Lifecycle Costs to be paid with State funds	\$971,891.10	\$914,391.10	\$515,761.00	\$345,761.00	\$295,761.00	\$295,761.00	\$3,339,326.20

Attachment 2 – Risk Register

Data Element	Description
Risk #	Sequential number assigned to a risk to be used when referring to the risk.
Risk Likelihood/Probability, Impact, Overall Rating	Two-value indicator of the potential impact of the risk if it were to occur, along with an indicator of the probability of the risk occurring. Assigned values are High, Medium, or Low.
Source of Risk	Source of the risk, which might be interviews with the State, project documentation review, or vendor interview.
Risk Description	Brief narrative description of the identified risk.
State's Planned Risk Strategy	Strategy the State plans to take to address the risk. Assigned values are Avoid, Mitigate, Transfer, or Accept.
State's Planned Risk Response	Risk response the State plans to adopt based on discussions between State staff and BerryDunn reviewers.
Timing of Risk Response	Planned timing for carrying out the risk response, which might be prior to contract execution or subsequent to contract execution.
Reviewer's Assessment of State's Planned Response	Indication of whether BerryDunn reviewers feel the planned response is adequate and appropriate, and recommendations if not.

Risk Rating Criteria			
Scale	Low	Medium	High
Impact	Condition does not impact quality and is unlikely to impact achievement of project objectives. -OR- Condition might be mitigated through adjustment in effort to avoid impacts to project objectives.	Condition might be mitigated through reduction or deferral of baseline scope in order to avoid impact to quality and/or moving date of key milestone. -OR- Condition might be mitigated by focused corrective actions in order to help ensure achievement of project objectives.	Condition might require acceptance of agreed-upon modifications in order to avoid impact(s) to key project objectives. -OR- Conditions might introduce risk to project scope, quality of work products, solution and/or user experience.
Likelihood	1 – 39%	40 – 89%	90 – 100%

Risk #:	Risk Likelihood/Probability:	Risk Impact:	Overall Risk Rating:
1	Medium	Medium	Medium
Source of Risk: Project Leadership, IT			
Risk Description: Without a contract extension, the State is at risk of not having database support and maintenance with its current vendor after September 30.			
<p>The State's current contract with Northbridge for database support and maintenance for the legacy revolving fund system is set to expire on September 30—near the planned completion date of the second go-live of the Salesforce solution. If the State's Salesforce solution implementation were to be delayed, this could result in the need to request a contract extension with Northbridge. However, Northbridge is not required to extend the contract nor continue providing services to the State. If Northbridge were unwilling to extend its service, the State could lose database support and maintenance services. While the State indicated it could continue accessing and exporting data and addressing minor issues, it said it could not address larger issues and/or make major changes related to the database without third-party support.</p>			
State's Planned Risk Strategy: Mitigation			
State's Planned Risk Response: ANR has submitted a waiver request to draft a sole source to engage Northbridge for an additional two years of database support services. ANR and ADS do not anticipate challenges with gaining approval for this sole source given the support services will be aiding the replacement of the legacy system.			
Timing of Risk Response: ANR and ADS anticipate that making amendments are made to the contract will take one month, an additional month for State Procurement Advisory Team to review contract amendment, then Building and General Services (BGS) submits to Northbridge for signature.			
Reviewer's Assessment of State's Planned Response: The State's response is acceptable.			

Risk #:	Risk Likelihood/Probability:	Risk Impact:	Overall Risk Rating:
2	Low	High	Medium
Source of Risk: Project Leadership, IT			
Risk Description: There is no formal plan for handoff of the solution from the vendor to the State post-go-live support.			
<p>Tech Mahindra is planning on a 44-week implementation timeline, which is followed by three months of post-go-live support. After this three-month period, State IT resources will assume responsibility for the support and maintenance of the solution. The lack of a formal handoff plan for such a short implementation period poses a risk that State IT resources will not be adequately staffed for the ongoing support. Resource demands should be clearly communicated to help ensure appropriate staffing and knowledge transfer.</p>			
State's Planned Risk Strategy: Mitigation			
State's Planned Risk Response: ADS has communicated it will not be able to provide extensive support to the Salesforce solution and plans to discuss the planned duration period of post go-live during Project kickoff. After this post go-live support period, contractors on ADS's master contract will provide support to the State, including enhancement requests. ADS will provide delegate admin support, including data export, reporting, password reset, etc.			

Timing of Risk Response: ADS plans to discuss the planned duration period of post go-live during Project kickoff.

Reviewer's Assessment of State's Planned Response: The State's response is acceptable.

Risk #:	Risk Likelihood/Probability:	Risk Impact:	Overall Risk Rating:
3	Low	High	Medium
Source of Risk: Tech Mahindra, Document Review			
Risk Description: The two-week User Acceptance Testing (UAT) period might not be adequate to address potential changes that could be identified and cannot be resolved within the UAT period.			
This project has a 44-week implementation timeline, including two weeks for UAT to help reveal defects in code and processes. The two-week period might not be adequate to address necessary changes (e.g., code fixes and process changes) that could be identified and cannot be resolved within the UAT period.			
State's Planned Risk Strategy: Accept			
State's Planned Risk Response: ADS and Tech Mahinda have discussed the duration of UAT, with Tech Mahindra providing assurances regarding the planned duration in their approach. Tech Mahindra has expressed willingness to modify the planned approach, but ADS is hesitant to request modifications that could negatively impact Tech Mahindra's process.			
Timing of Risk Response: If deciding to request an extension to the planned two-week UAT period, ADS would prefer to discuss this during project kickoff and prior to the start of UAT.			
Reviewer's Assessment of State's Planned Response: The State's response is acceptable.			

Risk #:	Risk Likelihood/Probability:	Risk Impact:	Overall Risk Rating:
4	High	High	High
Source of Risk: IT			
Risk Description: The State is procuring a Salesforce solution to fulfill part of ANR's grant management needs and plans to procure another solution to fulfill the remaining needs, which will result in less efficient processes, higher procurement costs, and more complex solution support and maintenance.			
During the procurement process, ADS informed ANR that it must use the Salesforce platform for grant management needs. After ANR's procurement process was complete, ADS informed ANR that they were no longer required to use Salesforce for their grant management needs and that other State agencies have procured and/or upgraded non-Salesforce grant management solutions. As a result, ANR selected a Salesforce solution to meet a small and more complex portion of its grant management needs. BerryDunn learned in interviews with State IT resources that ANR is planning to procure another system to fulfill most of its grant management needs due to cost concerns with the Salesforce solution. State IT resources also indicated that the procurement of the Salesforce solution continued as planned after ADS no longer required the use of Salesforce due to the amount of time spent on the procurement process. If the State implements, uses, and supports two grant management solutions,			

this will result in less efficient processes, higher procurement costs, and more complex solution support and maintenance.

State's Planned Risk Strategy: Escalate

State's Planned Risk Response: ADS has met with ANR Leadership to discuss this project in relation to the broader need for an Agency-wide grants management solution. ANR Leadership will use this risk identified in the final Independent Review to have a discussion with the Water Investment Division leadership (which this project falls under) regarding the pros and cons of proceeding with the Salesforce solution versus re-opening the procurement towards finding an Agency-wide solution.

Timing of Risk Response: Prior to potential contract execution with Tech Mahindra.

Reviewer's Assessment of State's Planned Response: The State's response is acceptable.

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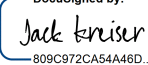
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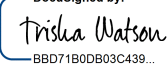
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