BerryDunn

Independent Review

Child Development Division Information System
For the
State of Vermont
Department for Children and Families

Submitted to the
State of Vermont, Agency of Digital Services
March 31, 2021

FINAL DRAFT

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1 Executive Summary

For all Information Technology (IT) activities over $1,000,000, Vermont 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 of Vermont (State) retained BerryDunn to conduct an Independent Review to evaluate the procurement of a case and financial management solution for the Department for Children and Families (DCF) Child Development Division (CDD), and provide a recommendation to proceed or not to proceed with executing a contract with the State project team's preferred vendor.

CDD is currently using a legacy system called Bright Futures Information System (BFIS) for administering its Child Care program. BFIS is unstable, extremely difficult to make changes to meet evolving business needs, and vulnerable to security threats. As a result, CDD is not able to make federally mandated changes to child care subsidy payment calculations for its Child Care Financial Assistance Program (CCFAP) in BFIS, requiring CDD to replace some of BFIS functionality by October 2021 in order to comply with federal regulation.

In 2019, the Vermont Legislature appropriated $1,000,000 for the purpose of developing and implementing a modernization plan for BFIS. In October 2020, CDD issued a Request for Proposals (RFP) for the design, development, and implementation of a case and financial management system, on the State's integrated Salesforce platform, for its CCFAP. The selected vendor will also provide maintenance and support after implementation. The State received five responses to the RFP, and after evaluation, the State's project team has selected Brite Systems as its preferred vendor for the new CDD information system (CDDIS) case and financial management solution.

While conducting the Independent Review, BerryDunn identified 15 risks, with 14 risks being high impact and/or high likelihood of occurrence. These risks are 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 1.1: Cost Summary

IT Activity Life Cycle	Cost and Funding Source
Total Life Cycle Costs (Five Years)	$6,302,477
Total Implementation Costs	$2,269,476
New Annual Operating Costs (Five Years)	$4,033,001
Current Annual Operating Costs (Five Years)	$1,236,925
Difference Between Current and New Operating Costs	$2,796,076
Funding Source(s) and Percentage Breakdown of Multiple Sources	Implementation Costs – approximately 58% federal funds and 42% State funds Operating Costs – $660,000 of federal funds per year for CDDIS operating costs and State funds for the remaining operating costs per year

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 1.2: Independent Review Deliverables

Deliverable	Highlights From the Independent Review Include Explanations of Any Significant Concerns
Acquisition Cost Assessment	The total acquisition cost is $2,269,476. Based on BerryDunn's research and assessment of acquisition cost, the State appears to be paying comparable costs to other child care management systems and implementation services in the market.
Technology Architecture and Standards Review	The proposed solution is in alignment with the State's technology architecture standards and nonfunctional requirements. Brite Systems is proposing to use the Salesforce Lightning platform and Mulesoft for integrations with VISION, OnBase, and BFIS. In order to meet some of the CDD's requirements, Vlocity (a Salesforce AppExchange solution) will also be used. It is important to note that the reliance on BFIS to provide functionality for CDD's Child Care program is not sustainable and should only be used as a short-term solution.

Deliverable	Highlights From the Independent Review Include Explanations of Any Significant Concerns
	BerryDunn identified that the service-level agreements (SLAs) described in Brite Systems' proposal are not included in the State's draft contract. At this time, the State is at risk of not being able to hold Brite Systems accountable for providing sufficient post-implementation services.
Implementation Plan Assessment	BerryDunn believes the seven-month implementation timeline might not be sufficient given the size of the scope and complexity of the project. A number of risks could impact the project scope and/or schedule should they be realized.
Cost-Benefit Analysis	The new Child Development Division Information Systems (CDDIS) is expected to help CDD achieve compliance, increase operational efficiencies, improve employee morale, and reduce the risk of system failure and security attacks. BerryDunn and the State feel the intangible benefits outweigh the cost for implementing a new case and financial management system.
Analysis of Alternatives	Using the competitive bid and proposal evaluation process was a sound approach to understanding the State's options for implementing a case and financial management system for CDD.
Impact Analysis on Net Operating Costs	While the State will have an immediate and significant increase in annual operating costs, these costs will likely decrease as BFIS is replaced over time.
Security Assessment	The Agency of Digital Services (ADS) Security Office reports it does not have any concerns with compliance to State and federal security requirements for CDDIS.

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, detailing all 15 risks, is included in Attachment 2.

Table 1.3: Project Risk Summaries and Ratings

Risk ID	Risk Description	Risk Likelihood/ Probability	Risk Impact	Overall Risk Rating
1	The current project schedule might not allow sufficient time to complete all required activities for a successful implementation.	High	High	High

Risk ID	Risk Description	Risk Likelihood/ Probability	Risk Impact	Overall Risk Rating
2	BFIS is unstable and could create challenges during development and after implementation.	High	High	High
3	CDD will be out of compliance with federal regulations and could receive a financial penalty if the implementation of CDDIS extends beyond October 2021.	High	High	High
4	There is risk of delays in the project schedule and unfulfilled obligations by Brite Systems due to the lack of a qualified and experienced project manager.	High	High	High
5	There is risk to the project scope and schedule due to ambiguous requirements for integrating with BFIS.	High	High	High
6	There is risk to the project scope and schedule due to dependencies on the completion of the Data Model and Release Management projects.	High	High	High
7	CDD has not secured funding for the total cost of ongoing maintenance and operations (M&O) support.	High	High	High
8	The draft contract does not include sufficient information to hold Brite Systems accountable for supporting the delivery of training.	High	High	High
9	The lack of detailed data migration and conversion requirements presents risk to the project scope and schedule.	High	High	High
10	Brite Systems will need to align its design, development, and testing activities with the State's Salesforce deployment schedule, which could delay the October 2021 implementation date.	High	High	High
11	The State is at risk of not being able to hold Brite Systems accountable for providing sufficient post-implementation services.	High	High	High
12	The State could be at risk of incorrectly drawing down State and/or federal funds for child care subsidy payments.	Medium	High	High

Risk ID	Risk Description	Risk Likelihood/ Probability	Risk Impact	Overall Risk Rating
13	There is risk that document management requirements will not be satisfied by October 2021 due to a dependency on the readiness of the State's document management system (OnBase).	Medium	High	High
14	The State's key technical resource might not be available to the project, which could put the project's scope and schedule at risk.	Medium	High	High
15	The estimated level of effort to integrate CDDIS with the State's financial management system (VISION) is unknown, presenting risk to the project scope and schedule.	Low	High	Medium

1.4 Other Key Issues

BerryDunn did not identify other key issues during this Independent Review.

1.5 Recommendation

BerryDunn is not recommending a no-go decision; however, there are a number of high-impact/probability risks the State should mitigate before executing the contract.

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.

3/31/2021

Independent Reviewer Signature **Date**

1.6 Report Acceptance

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

E-SIGNED by Paul Pratt
on 2021-04-01 11:26:12 EDT

ADS Oversight Project Manager **Date**

E-SIGNED by John Quinn
on 2021-04-01 16:39:55 EDT

State of Vermont Chief Information Officer **Date**

2 Scope of This Independent Review Report

2.1 In Scope

The scope of this document is fulfilling the requirements of Vermont 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:

- February 26, 2021: Conduct project initiation
- Week of March 1, 2021, and March 8, 2021: Review documentation; schedule interviews; develop participation memos; conduct interviews with the State and vendor; document initial findings; draft the Independent Review Report and the Risk Register
- Week of March 15, 2021: Conduct additional research; provide the preliminary Independent Review Report to the State
- Week of March 22, 2021: Collect feedback; update the Independent Review Report; submit the proposed final draft Independent Review Report to the State
- Week of March 29, 2021: 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

BerryDunn did not evaluate the following areas:

- Technology architecture and standards review and security assessment for BFIS
- The project health of the State's Data Model project
- The project health of the State's Release Management project

3 Sources of Information

3.1 Independent Review Participants

Table 3.1 includes a list of stakeholders who participated in fact-finding meetings and/or communications.

Table 3.1: Independent Review Participants

Name	Organization and Role	Participation Topic(s)
Marie Schonholtz	ADS – IT Project Management	Project Kickoff; Business; IT; Finance; Vendor Interview; Project Management
Bryan O'Conner	DCF CDD – Director of Operations	Business; IT; Finance
Pam Dalley	DCF – Director of Operations	Business
Miranda Gray	DCF – Deputy Commissioner	Business
Darin Prail	ADS – Agency Director of ADS	IT
Richard Terricciano	ADS – Enterprise Architect	IT
Jennifer Pax	ADS – Enterprise Architect	IT
Emily Wivell	ADS – Security Analyst	IT
Sarah Truckle	DCF – Finance Director	Finance
Joseph Paquin	ADS – Business Analyst	Project Management
Leena Victoria	Brite Systems – Solution Architect	Vendor Interview
Praveen Raj	Brite Systems – Solution Architect	Vendor Interview
Jay Fernanado	Brite Systems – Chief Executive Officer	Vendor Interview
Joshua Marshall	Brite Systems – Business Development and Sales	Vendor Interview
Sean Ouimette	Brite Systems – Salesforce Architect	Vendor Interview

3.2 Independent Review Documentation

Table 3.2 below includes a list of the documentation utilized to compile this Independent Review.

Table 3.2: Independent Review Documentation

Document Name	Description	Source
CDDIS Charter (02/26/2021)	Draft CDDIS Project Charter	Marie Schonholtz
Standard Contract for Technology Services	Draft preferred vendor contract	Marie Schonholtz
Architecture Vision	ADS CCDIS architecture vision (BFIS replacement)	Marie Schonholtz
Enterprise Architecture Assessment and Scope Analysis	CDDIS level of effort estimates developed by ADS	Marie Schonholtz
Vendor Proposal Rating	Proposal evaluation scores for all respondents	Marie Schonholtz
CDDIS Bidder Response Form (Final)	State's Bidder Response Form for CCDIS case and financial management for CDD on a Salesforce platform	Marie Schonholtz
CDDIS RFP (Final)	State's RFP for CCDIS case and financial management for CDD on a Salesforce platform	Marie Schonholtz
IT Activity Business Case and Cost Analysis Form (IT ABC Form) – 06/15/2020	State's business case and cost analysis for CCDIS	Marie Schonholtz
Vendor Cost Proposals	Cost proposals received from vendors in response to the State's RFP for CDDIS	Marie Schonholtz

4 Project Information

4.1 Historical Background

In 1988, DCF's CDD was created by Vermont law to support the development of a comprehensive child care services system to promote the growth and educational development of children in Vermont. CDD programs help ensure there are quality child care services affordable to low-income and at-risk families. The CCFAP helps eligible families pay for child care services for children age six weeks to age 13, or up to age 19 if the child has special needs.

One of CDD's main systems is BFIS, a work management tool for CDD, as well as a public access site for parents, child care providers, transportation providers, and others working in child care. The current BFIS serves four business units: Child Care Benefits, Provider Management, Child Care Quality, and Workforce Quality. However, it does not allow flexibility in making changes to the calculation of subsidy payments, requiring CDD to replace some of BFIS functionality by October 2021 in order to comply with federal regulation.

ADS, with guidance from the federal Administration of Children and Families (ACF), developed an architecture assessment and determined that a modular system framework would help ADS and CDD create an integrated system without over-reliance on a single technology vendor.

In 2019, the Vermont Legislature appropriated $1,000,000 for the purpose of developing and implementing a modernization plan for BFIS. CDD identified BFIS work streams (15 in total), and determined CDD required additional ADS Enterprise Project Management Office (EPMO) support to replace BFIS. ADS provided a project manager and business analyst to CDD, which then analyzed current-state business operations, established high-level functional and technical requirements, identified Salesforce as the recommended project solution, and requested a Level of Effort (LOE) from three Salesforce vendors (on the State's pre-qualified retainer contractor list) to understand potential costs.

The State developed and submitted the CDDIS RFP for integrated case and financial management implementation services to market in October 2020.

4.2 Project Goal

CDD seeks to achieve the following business values through the CDDIS project:

- Achieve compliance with CCDF financial regulations and avoid financial penalties
- Deliver higher-quality customer/provider service and payroll processing
- Solicit feedback from end-user stakeholders to enhance user interfaces and the overall user experience
- Reduce security vulnerabilities through creating an active System Security Plan for CDDIS, aligned with the State's Information Security Policy, and establish a long-term plan to remain in compliance

- Mitigate over-reliance on a single technology vendor by using a modular system framework on an integrated Salesforce platform

4.3 Project Scope

CDD is planning to implement a modular case and financial management solution within the State's Salesforce platform. The new solution will:

- Reduce manual, paper-based processes and process cycle time
- Integrate with the VISION for the issuance of payments
- Integrate and interface with related websites and other systems/applications
- Integrate with the remaining functionality in the current BFIS

A systems integrator with human services and Salesforce application development experience is required to assist CDD with the design, development, and implementation for its CDDIS.

The scope of work includes:

- A technology solution that addresses CDD's business need(s) and is extensible to add modules over time
- Professional services for project management to manage the implementation of the technology solution
- Professional services to perform technical work in support of the implementation
- Professional services to perform change management in support of the implementation
- Professional services for maintenance and support of the implemented technology solution

4.4 Major Deliverables

Table 4.1 provides a summary of the deliverables, descriptions, and frequency, as articulated in the draft contract with Brite Systems. The frequency for some deliverables was not finalized at the time of this Independent Review.

Table 4.1: Project Deliverables and Frequency Proposed by the Vendor

Deliverable	Description	Frequency
Project Charter	Provides basic information about the project, including: • Scope Statement • List of Project Deliverables • High-Level Project Timeline • Key Roles and Responsibilities	Once, unless there are changes

Deliverable	Description	Frequency
	• Risks, Assumptions, and/or Constraints	
Project Management Plan	Dictates specifics on how the Contractor Project Manager will administer the project and will include the following documentation: • Change Management Plan • Communications Management Plan • Requirements Management Plan • Human Resources Management Plan • Procurement Management Plan • Quality Management Plan • Risk and Issues Management Plan • Scope Management Plan	Once, unless there are changes
Formal Acceptance Criteria	Criteria that establishes the acceptance and rejection criteria of each document on this list.	
Formal Acceptance Sign Off	Obtain sign-off at the completion of each project deliverable as defined by the formal acceptance criteria.	Per deliverable
Change Requests	Formal document that outlines any changes to the contract scope, schedule, budget, and resources.	As needed
Change Requests Log	A log to track the specific change requests approved and their impact to the project scope, budget, and schedule.	
Budget Log	A log outlining original Contract costs by deliverable with billed and paid-to-date information.	
Risk Log	A log to track risks (opened or closed) that could impact the project. Risks will be outlined by their impact and their potential to occur.	
Issue/Action Items/Decision Log	The log of open and resolved/completed issues. Issues will be outlined by their impact, owner, date of occurrence, and remediation strategy.	
Decision Log	A log of all decisions made over the course of the project.	

Deliverable	Description	Frequency
Requirements Documents	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: • State Requirements Document • Business Requirements Document • Functional Requirements Document	
Test Plans	A description of the testing approach, participants, sequence of testing, and testing preparations.	Once
Test Cases and Results	The specific test cases to be tested and the testing results. Test Cases will tie back to the project requirements (to help ensure each one has been met).	One per sprint/test set then update with results
Implementation Master Schedule (IMS)	Outlines how the project will go live and will include a mini project plan for the exact events that need to occur assigned to the resources that need to do them and the time frame for when they need to get done.	Once per implementation
Project Status Reports	Provide an update on the project health, accomplishments, upcoming tasks, risks, and significant issues. The status report will be developed in consultation with the State business lead and State project manager.	Weekly
Project Phase Audit/Gate Check	At the end of each phase, the Contractor Project Manager will submit an audit of all deliverables and milestones achieved during the applicable phase to the State Project Manager for review.	Once per phase
Meeting Agenda/Minutes	All scheduled meetings will have an agenda and minutes. The minutes will contain risk issues, action items, and decision logs. Minutes will be transcribed over to the main logs.	Per occurrence
End of Project Metrics	The metrics reflect how well the project was performed. Metrics will be outlined in the Quality Management Plan.	Once
Lessons Learned	A compilation of the lessons learned having 20/20 hindsight. Lessons learned will be delivered in a Microsoft Excel template and	Once

Deliverable	Description	Frequency
	collected from each of the State and contractor project team members to get a 360-degree view of the project in retrospect.	
Closeout Report	The report includes 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 the project phases/milestones, dates, and tasks planned, as articulated in the draft contract with Brite Systems.

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

Project Phase/Milestone	Date(s)	Tasks
Initiation	Early April	Project kickoff
		Establishment of standard meetings and documents
Discovery	April	Discovery sessions
		Definitions of Ready and Done
		Fit-Gap analysis
		Create product backlog/initial user stories
		All user stories saved in Azure DevOps and approved by State Business Lead and State Enterprise Architect
Architecture and Design	April – May	Establish application architecture approach
		Establish data architecture
		Establish security architecture
		Draft data model and entity relationship diagram (ERD) approved by State Enterprise Architect
		Deliver design document
Implementation and Build Sprint 1	June	Configuration workbook – updated to include work completed in Sprint 1
		Data dictionary – updated to include work completed in Sprint 1

Project Phase/Milestone	Date(s)	Tasks
		Updated ERD approved by State Enterprise Architect
		Delivery of features to testing environment
		Feedback and test results provided to Brite Systems
		Plan for addressing any defects identified
		Completion of signed off Sprint 1 activities by State IT Manager
		Release to user acceptance testing (UAT) environment
Implementation and Build Sprint 2	June	Configuration workbook – updated to include work completed in Sprint 2
		Data dictionary – updated to include work completed in Sprint 2
		Updated ERD approved by State Enterprise Architect
		Completion of signed-off user stories
		Delivery of features to testing environment
		Feedback and test results provided to Brite Systems
		Plan for addressing any defects identified
		Completion of signed off Sprint 2 activities by State IT Manager
		Completion of data model refactoring
		Release to UAT environment
Implementation and Build Sprint 3	July	Configuration workbook – updated to include work completed in Sprint 3
		Data dictionary – updated to include work completed in Sprint 3
		Updated ERD approved by State Enterprise Architect
		Completion of signed-off user stories
		Delivery of features to testing environment
		Feedback and test results provided to Brite Systems

Project Phase/Milestone	Date(s)	Tasks
		Plan for addressing any defects identified
		Completion of signed-off Sprint 3 activities by State IT Manager
		Completion of data model refactoring
		Release to UAT environment
Release One, Sprints 1 – 3	August	UAT and deployment of Sprints 1 – 3 functionality that includes minimal viable payment function
Implementation and Build Sprint 4	August	Configuration workbook – updated to include work completed in Sprint 4
		Data dictionary – updated to include work completed in Sprint 4
		Updated ERD approved by State Enterprise Architect
		Completion of signed-off user stories
		Delivery of features to testing environment
		Feedback and test results provided to Brite Systems
		Plan for addressing any defects identified
		Completion of signed-off Sprint 4 activities by State IT Manager
		Completion of data model refactoring
		Release to UAT environment
Implementation and Build Sprint 5	August – September	Configuration workbook – updated to include work completed in Sprint 5
		Data dictionary – updated to include work completed in Sprint 5
		Updated ERD approved by State Enterprise Architect
		Completion of signed-off user stories
		Delivery of features to testing environment
		Feedback and test results provided to Brite Systems
		Plan for addressing any defects identified

Project Phase/Milestone	Date(s)	Tasks
		Completion of signed-off Sprint 5 activities by State IT Manager
		Completion of data model refactoring
		Release to UAT environment
Implementation and Build Sprint 6	September	Configuration workbook – updated to include work completed in Sprint 6
		Data dictionary – updated to include work completed in Sprint 6
		Updated ERD approved by State Enterprise Architect
		Completion of signed-off user stories
		Delivery of features to testing environment
		Feedback and test results provided to Brite Systems
		Plan for addressing any defects identified
		Completion of signed-off Sprint 6 activities by State IT Manager
		Completion of data model refactoring
		Release to UAT environment
Testing and Validation	October	Deploy solution and data to Test Environment
		UAT user training
		UAT sessions
		Final draft configuration workbook – 100% completed
		Final draft data dictionary – 100% completed
		Final draft ERD – 100% completed
		UAT – 100% completed
Deployment	October – November	Migrate code to Production Environment
		Performance testing completed
		System go-live
		System administration manual – 100% completed
		Go/No-Go decision – 100% completed

Project Phase/Milestone	Date(s)	Tasks
Post Implementation Support and Six-Month Warranty Period	Estimated: November 2021 – April 2022	The customizations/configuration work performed for CDD to implement requirements identified in the contract
Post-Production Support	2022 – 2023	The contractor will maintain a subset of the development team to help ensure that any post-production issues can be handled and resolved, as well as implement minor enhancements as needed.

5 Acquisition Cost Assessment

Table 5.1 includes a summary of acquisition costs reported to BerryDunn during this Independent Review.

Table 5.1: Acquisition Cost Assessment

Acquisition Costs	Cost	Comments
Hardware	$0	Not applicable
Software/Licensing	$0	ADS reported that licensing costs are not applicable until after implementation
Implementation Services	$1,852,309	Brite Systems' implementation cost, including training support
ADS EPMO Project Oversight	$14,643	Provided on the IT ABC Form
ADS EPMO Project Manager	$113,484	Provided on the IT ABC Form
ADS EPMO Business Analyst (BA)	$109,824	Provided on the IT ABC Form
ADS Enterprise Architect (EA)	$36,608	Provided on the IT ABC Form
ADS Security Staff	$16,800	Provided on the IT ABC Form
ADS IT Labor	$100,800	ADS application development staff
Other State Labor	$1,008	ADS DevOps support for implementation
Independent Review	$24,000	Actual cost of BerryDunn's services
Total One-Time Acquisition Costs	**$2,269,476**	

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

   BerryDunn validated acquisition costs during an interview with DCF's Financial Director, CDD's Director of Operations, and ADS' Project Manager.

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 child care management, payment, eligibility, and licensing systems in order to conduct a system acquisition cost comparison. However, due to the unique nature of the State's modular approach (case and financial management via Salesforce), market research did not generate projects with close financial costs and implementation methodologies.

   Ohio Child Care Time and Attendance Tracking System: The Ohio Department of Job and Family Services (ODJFS) Office of Family Assistance sought a vendor to provide a

hosted or cloud-based solution to track child care attendance for children in public-funded child care. ODJFS also sought a mobile, cloud-based solution that will interface with a hosted system to record data necessary to calculate payments for child care services.

Tennessee Enterprise System Modernization: The Tennessee Department of Human Services (TDHS) seeks to modernize enterprise system functionality by replacing the family assistance, claims tracking, and appeals systems with a web-based solution, with all eligibility and benefits processes moved to a TDHS Service-Oriented Architecture Enterprise Platform. This will replace the Child Support Enforcement (CSE) legacy system to improve CSE reporting; consolidate child care licensing business processes through the new enterprise platform; and update the content management, reporting, and calendaring process, along with the development of a client-facing portal.

Note: This contract has not yet been awarded.

North Dakota Statewide Child Care Licensing System: The North Dakota Department of Human Services Children and Family Services Division sought a licensing system that supported certification and licensing functions and created a centralized repository of provider license, certification, inspection, and sanction information.

Table 5.2 provides a comparison of what other states have paid to acquire the systems described above.

Table 5.2: Acquisition Cost Comparison With Other States

Vendor	State	Solution	Approx. Contract Value
Controltec, Inc.	Ohio	Child Care Time and Attendance System	$22,921,724
Award TBD	Tennessee	Eligibility and Benefits Management System	Estimate $2,000,000 – $5,000,000
Government Licensing Solutions	North Dakota	Statewide Child Care Licensing System	$602,478

Source: GovWin IQ

Due to the lack of available cost information regarding case and financial management systems for child care, BerryDunn also reviewed competitor cost proposals to contextualize the preferred vendor's (Brite Systems') one-time cost for implementation services.

CoreSphere: Proposed a modular, cloud-based Software-as-a-Service (SaaS) Salesforce Claims Management and Digital Interaction Platform.

MTX Group: Proposed a Salesforce Claims Management and Digital Interaction Platform with a client-facing portal. The solution covered case management (client and provider), financial management, referral capturing and tracking, child care quality programming and

tracking, licensing for form building and other applications, a client self-service portal, and custom report development.

GCOM Software: Proposed a six-component Salesforce solution, including Salesforce Community Cloud (public portal); Salesforce Industries Vlocity (form and applications intake for public portal); Salesforce Service Cloud (workflow management); Salesforce Industries Claims Management (provider claim and reimbursement functionality); Mulesoft (enterprise integration between Salesforce and CDD); and Cardinality Financial Management Module (financial data management module).

Tata Consultancy Services (TCS): TCS proposed a multi-tenant, cloud-based Claims Management and Digital Interaction Platform Salesforce solution.

Table 5.3 Implementation Cost Comparison with Competitors

Vendor	Total Implementation Costs
CoreSphere	$1,387,600
MTX Group	$1,361,360
GCOM Software	$2,369,472
TCS	$3,322,528

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 provided in **2. Cost Comparison** above, the State appears to be paying comparable costs to other child care management systems and implementation services in the market.

6 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:

    1) Leverage successes of others, learning best practices from outside Vermont
    2) Leverage shared services and cloud-based IT, taking advantage of IT economies of scale
    3) Adapt the Vermont workforce to the evolving needs of state government
    4) Apply enterprise architecture principles to drive digital transformation based on business needs
    5) Couple IT with business process optimization, to improve overall productivity and customer service
    6) Optimize IT investments via sound project management
    7) Manage data commensurate with risk
    8) Incorporate metrics to measure outcomes

    In accordance with the State's requirements, Brite Systems' proposed solution will be implemented using Vlocity, a modern solution for government organizations, on the Salesforce Lightning platform. The implementation of Salesforce aligns with the State's principles by leveraging shared cloud-based services as an opportunity to continue relying on economies of scale and reduce costs to the State.

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

    The proposed CDDIS is sustainable. However, the reliance on BFIS to provide functionality for administering CDD's Child Care program is not sustainable and should only be used as a short-term solution.

3. **Security:** Does the proposed solution have the appropriate level of security for the proposed activity it will perform (including any applicable State or federal standards)? Please describe.

    The Salesforce platform has all the appropriate levels of security and meets the applicable State and federal requirements.

4. **Compliance with the principles enumerated in the ADS Strategic Plan of January 2020** (https://digitalservices.vermont.gov/sites/digitalservices/files/documents/ADSStrategicPlan2020.pdf):

Based on BerryDunn's assessment, Brite Systems' proposed services and proposed solution align with the four guiding principles outlined in the ADS Strategic Plan.

5. **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.

   The State did not explicitly require CDDIS to be compliant with Section 508 Amendment to the Rehabilitation Act, but based on BerryDunn's research, Salesforce follows internationally recognized best practices in Section 208 and the Web Content Accessibility Guidelines (WCAG) 2.0 Level AA.

6. **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?

   Brite Systems will rely on the disaster recovery plan provided through the State's agreement with Salesforce.

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

   Salesforce provides the ability to configure and manage the life cycle of records from creation to disposition. Brite Systems will configure the system in accordance with federal and State record retention schedules.

8. **SLA:** 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 judgement?

   Brite Systems will provide CDD with technical support on application-related issues and will categorize issues reported according to the following severity levels:

   - Level 1 – Critical: Issues affecting all users, including system unavailability and data integrity issues with no workaround available (response time: 1 hour; resolution time: 1 to 2 business hours)
   - Level 2 – Urgent: Major functionality is impacted or significant performance degradation is experienced with no reasonable workaround available (response time: 2 hours; resolution time: 1 business day)
   - Level 3 – High: System performance issue or bug affecting some, but not all users and a short-term workaround is available (response time: 4 hours; resolution time: 2 business days)
   - Level 4 – Medium: Inquiries regarding routine technical assistance or information requests on application capabilities; bug affecting a small number of users (response time: 8 hours)

At the time of this Independent Review, the service levels in Brite Systems' proposal are not included in the State's draft contract. In Attachment 2 – Risk Register, BerryDunn has identified and enumerated, in detail, a risk related to SLAs for post-implementation services.

9. **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?

   Brite Systems will use Mulesoft and Salesforce's open application programming interfaces (APIs) for data integration with external systems. CDD's system requirements include the following interfaces:

   - OnBase – To retrieve and display documents
   - VISION – To issue payments and reconcile payments after they are issued
   - BFIS – To maintain full functionality for CDD's Child Care program

   BerryDunn has identified and enumerated risks related to integration requirements, in detail, in Attachment 2 – Risk Register.

7 Assessment of Implementation Plan

1. **The reality of the implementation timetable.**

   Brite Systems proposed a seven-month implementation timeline using an iterative software development approach, with a hybrid of both waterfall and Scaled Agile Framework (SAFe) methodologies. The implementation strategy accounts for all key project phases. Each iterative cycle (sprint) consists of five stages: requirements definition, system design, system development, system testing, and system deployment, to be completed within a 14-day sprint.

   The current project schedule is driven by the need for CDD to change the way it calculates child care subsidy payments by October 2021 to remain in compliance with CCDF requirements. A seven-month implementation schedule likely does not afford the State and Brite Systems enough time to develop, configure, and test the system, and train staff on the new CDDIS, all while satisfying in-scope requirements.

   Brite Systems will need to develop, configure, test, and deploy each 14-day sprint without moderate to substantial project delays while simultaneously aligning these activities to the State's Salesforce deployment schedule in order to meet the October 2021 go-live. This could prove challenging due to the unstable nature of the legacy system (BFIS); the current timeline might not allow the State and BFIS project teams enough time to discuss and finalize integration design prior to scheduled development and testing activities. This might result in changes to the project scope in order to meet the October 2021 go-live date.

   Additional State dependencies on the completion of a Data Model project, Release Management project, and document management system (OnBase) further underscore the infeasibility of the current project scope and schedule.

   Risks related to the infeasibility of the current project timeline have been identified and enumerated, in detail, in Attachment 2 – Risk Register.

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

   CDD leadership reported it is motivated to implement a new case and financial management system to eliminate CCFAP payroll failures caused by BFIS, increase affordability and transparency of child care rates across the State using a new web portal, and comply with the federal child care block grant to avoid financial penalties. There are several challenges associated with financial interfacing, document management services, etc., but CDD reported that staff are motivated and appear bought-in to the project.

   Unfortunately, the CDDIS project leadership team reported that ADS has few knowledgeable staff for BFIS, and those with experience have retired or are planning to retire. However, ADS reported that it has begun training replacements for these resources.

Risks related to BFIS technical resources have been identified and enumerated, in detail, in Attachment 2 – Risk Register.

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

Brite Systems has proposed the appropriate project management deliverables; however, the project manager that Brite Systems originally proposed is no longer available to act as project manager for the CDDIS project. Brite Systems has not yet established a replacement project manager. Given the complexity of the CDDIS project and the aggressive project timeline, Brite Systems will need to establish a project manager with extensive experience in agile methodology implementations to help ensure Brite Systems meets the State's expectations and contractual obligations.

A risk related to the absence of a named project manager can be found in Attachment 2 – Risk Register.

B. Training

Brite Systems did not propose detailed training activities or deliverables, which could make it difficult for the State to hold the vendor accountable for supporting the delivery of training to CDD.

During an interview with Brite Systems, BerryDunn identified several training items that, if formalized, would reduce risks related to training and cost.

Specifically, Brite Systems can:

- Identify and document personas for different stakeholder groups to guide the development of training plans
- Develop training documentation for stakeholder groups
- Record training sessions that will be available to State staff after training sessions are complete
- Implement in-application guidance in support of training on workflows

Without formalizing the items mentioned above in the contract, the State runs the risk of Brite Systems charging additional implementation costs due to the unclear nature of its training services.

C. Testing

Brite Systems proposed testing procedures and documentation, including test plans and test procedures (to be provided for each sprint). Brite Systems will complete delivery

testing, performance testing, UAT, unit and integration testing, security testing, and vulnerability testing.

All Salesforce-related testing will use automated testing tools for performance testing (e.g., unit testing, code coverage, user interface functional testing, and web application security), and functional testers to verify user requirements for CDDIS. Through the iterative software development approach, Brite Systems will complete testing following the development of any requirement to make sure it is satisfied. If necessary, changes will be made and the requirement will be re-tested the following day, as long re-testing does not affect other requirements. Once the solution backlog has been depleted, Brite Systems completes testing to verify CDDIS acts as expected.

D. Design

Brite Systems will use a Joint Application Development process as part of the waterfall approach to project management. This approach involves users heavily in the design and development of the system.

Each sprint will lead with a system design phase, consisting of discovery and design sessions to develop and approve user stories by CDD prior to development. These stories will be used during daily sprint meetings to review accomplishments from the previous day and establish goals for the next day.

During interviews with the State, CDD confirmed it will provide the necessary subject matter experts and training staff for participation in all discovery and design sessions to help prevent any delays in the project schedule.

E. Conversion (If Applicable)

Brite Systems suggests converting BFIS data from the past five years. Brite Systems also suggested CDD will need to develop conversion teams and APIs to extract legacy data from BFIS to adhere to federal and State record retention schedules.

Brite Systems' data migration and conversion process is as follows:

1. Analyze existing data for the format, location, and sensitivity of data
2. Review the data dictionary and/or ERD for dependencies
3. Estimate the size and scope of data to be migrated
4. Define the process of data extraction
5. Back up all data
6. Assess which migration tools to use based on existing data
7. Develop data conversion scripts

8. Execute the data migration plan and build the migration solution in the stage layer
9. Develop mapping rules
10. Finalize data loading strategy
11. Create recovery plans for each stage of the migration
12. Plan schedule of the actions required to go live
13. Test the final system
14. Perform follow-up and maintenance of a data migration plan

Figure 7.1 depicts the proposed data conversion process, as described above.

Figure 7.1: Proposed Data Conversion Process

While Brite Systems has proposed a sound approach, CDD has not clearly defined the scope for data migration and conversion, resulting in a risk to the project scope and schedule.

Risks related to the scope of data migration and conversion activities have been identified and enumerated, in detail, in Attachment 2 – Risk Register.

F. Implementation Planning

Brite Systems will develop an independent verification and validation process for testing releases prior to deployment. The Brite Systems team will complete pre-production testing prior to placing any code or configurations into production, as required by Salesforce, and will provide the State with a detailed release impact analysis prior to deployment.

G. Implementation

As articulated in Brite Systems technical proposal, after successful deployment to production, Brite Systems developers will carry out post-deployment validation and

communicate the results to the State. A rollback plan will be available, as part of contingency planning, in case there are any problems encountered during post-deployment validation. BerryDunn assumes Brite Systems will follow the service levels articulated in Section 6: Technology Architecture and Standards Review as CDDIS is rolled out to users.

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.**

   The ADS EPMO has assigned a project manager who has been with the project since 2019. The project manager's involvement from project planning through project implementation will provide beneficial continuity to the State's project approach. For these reasons, BerryDunn believes the State's project manager has the appropriate skills and experience to successfully meet the CDD's project management needs.

8 Cost-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.

   BerryDunn evaluated the costs provided by the State. Costs were included in the draft contract, the project IT ABC Form, and email communications with the ADS project manager. BerryDunn verified the costs provided by the State in its own life cycle cost sheet, provided in Attachment 1 – Life Cycle Cost-Benefit Analysis.

   BerryDunn and the State discussed the benefits of the new system during interviews and are incorporated in this report.

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

   The cost-benefit analysis was performed using the following assumptions:

   - All project deliverables will be submitted and approved in 2021.
   - The State will incur costs to maintain the current system during the five-year life cycle.
   - There is a five-year life cycle, with implementation activities beginning in April 2021.

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 system/service life cycle.

   CDD will use approximately 58% federal funds and 42% State funds for acquisition costs and 100% State funds for ongoing operational costs.

4. **Tangible Costs and Benefits:** Provide a list and description of the tangible costs and benefits of this 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

   - **Implementation Services** – The largest single cost of $1,852,309 is for implementation services, which includes configuration/development/deployment and training.
   - **Software/Licensing** – Licensing for Salesforce, Mulesoft, Okta, and OnBase total $572,243 annually, and will be incurred after implementation.
   - **ADS Project Oversight, Project Management, Business Analyst, Security, and EA** – These one-time costs total $291,359.

- **Other State Labor** – The State has projected a cost of $101,808 for ADS IT staff to support the implementation.

Tangible Benefits

In October 2020, CDD resorted to manual processes when BFIS failed to issue payments to over 600 providers. Several staff worked over the weekend in order to manually issue payments to 514 providers and follow-up reconciliation payments to 216 providers. CDD staff worked 60 hours total, resulting in approximately $3,500 in unplanned overtime.

In December 2020, a system issue with BFIS caused all child care providers to lose one week off their invoice for most of the children they serve. Four CDD staff had to manually regenerate certificates for over 1,000 children so the child care providers would receive the appropriate payment. CDD staff worked 582 hours, resulting in approximately $33,000 in unplanned operational costs.

With the implementation of CDDIS, staff who will be relieved of manual or work-around processes will be allowed to focus on other responsibilities for administering the State's Child Care program. As a result, there will be not be significant operational staff-cost savings to CDD.

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).

   The new CDDIS might result in several intangible costs and benefits, including:

   - **Compliance** – A new case and financial management system will allow CDD to apply federally mandated changes to CCFAP calculations by October 2021 and avoid potential financial penalties. The proposed CDDIS provides a more configurable and scalable system that allows evolving compliance needs to be implemented in a more timely manner.
   - **Increased Operational Efficiencies** – A new case and financial management system will increase operational efficiencies and reduce the amount of time it takes to generate reports and perform payroll reconciliation.
   - **Improved Employee Morale** – One contributing factor to negative or low employee morale is the lack of reliable systems for employees to do their job well. Implementing a new and improved system could increase employee morale, which might lead to a higher level of employee retention, increased productivity, improved team cohesiveness, and decreased absenteeism.
   - **Reduced Risk** – The current system used by CDD presents a risk of system failure and security attacks. A new case and financial management system is the first step

to helping ensure CDD has a stable and sustainable system to support its day-to-day operations.

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.

   While the tangible benefits appear negligible, BerryDunn's opinion is that the intangible benefits outweigh the costs.

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 life cycle that was used appropriate for the technology being proposed? If not, please explain.

   The State used cost information collected through the LOE process to complete the proposed implementation and annual costs in the IT ABC Form approved in August 2020. At the time of the Independent Review, the State identified more accurate costs. BerryDunn assumes that CDD and ADS will update the IT ABC Form and reroute for approval prior to project commencement.

9 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.**

In October 2020, the State issued the RFP to procure a new case and financial management solution for the CCFAP via an integrated Salesforce platform. The State received and evaluated responses from five vendors: Brite Systems (the preferred vendor); CoreSphere; GCOM Software; MTX Group; and TCS.

A team of business, technology, and financial representatives from the State evaluated and scored various aspects of the vendors' proposals, with the total score comprising Vendor Profile (10%), Vendor Proposal/Solution (30%), Professional Implementation Services (15%), Maintenance and Support Services (15%), Pricing (25%), and Vendor Demonstration (5%). Table 9.1 below shows the evaluated vendors' weighted scores with totals.

Table 9.1: Summary of Proposal Scores

Proposal Section	Brite Systems	CoreSphere	GCOM	MTX	TCS
Vendor Profile	28.33	**31.67**	26.67	**31.67**	28.33
Vendor Proposal/Solution	**105.00**	90.00	100.00	95.00	85.00
Professional Implementation Services	**50.00**	42.50	47.50	45.00	42.50
Maintenance and Support Services	**57.50**	40.00	50.00	45.00	45.00
Pricing	**95.83**	62.50	58.33	91.67	58.33
Vendor Demonstration	-	-	-	-	-
Total	**336.67**	**266.67**	**282.50**	**308.33**	**259.17**

The State's proposal evaluation and scoring process factors all pricing information together (e.g., solution acquisition, implementation, and operations and maintenance) rather than separately. Through the proposal scoring process, the State identified Brite Systems as the preferred vendor because of its feasible pricing and its sustainable technical solution

(including both functional and nonfunctional requirements). The State's evaluation team did not determine the other four vendors had infeasible pricing or unsustainable technical solutions.

BerryDunn believes the competitive bid and proposal evaluation process was a sound approach to understanding the State's options for implementing a new case and financial management Salesforce solution for CDD.

10 Impact Analysis on 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 (which includes BFIS ongoing operating costs) over five years.

Table 10.1: Life Cycle Costs by Year

Impact on Operating Costs	2021	2022	2023	2024	2025	Five-Year Totals
Professional Services (Non-Software Costs)						
Current Costs	$50,000	$50,000	$50,000	$50,000	$50,000	$250,000
Projected Costs	$1,926,309	$225,000	$225,000	$200,000	$175,000	$2,751,309
Maintenance, Support, and Licenses Costs						
Current Costs	$58,759	$58,759	$58,759	$58,759	$58,759	$293,795
Projected Costs	$58,759	$631,002	$631,002	$631,002	$631,002	$2,582,767
Other Costs (State Labor)						
Current Costs	$138,626	$138,626	$138,626	$138,626	$138,626	$693,130
Projected Costs	$531,793	$109,152	$109,152	$109,152	$109,152	$968,401
Baseline Annual Current Costs	$247,385	$247,385	$247,385	$247,385	$247,385	$1,236,925
Baseline Annual Projected Costs	$2,516,861	$965,154	$965,154	$940,154	$915,154	$6,302,477
Cumulative Current Costs	$247,385	$494,770	$742,155	$989,540	$1,236,925	$1,236,925
Cumulative Projected Costs	$2,516,861	$3,482,015	$4,447,169	$5,387,323	$6,302,477	$6,302,477
Net Impact on Professional Services	($1,876,309)	($175,000)	($175,000)	($150,000)	($125,000)	($2,501,309)
Net Impact on Maintenance, Support, and Licenses Costs	($393,167)	($542,769)	($542,769)	($542,769)	($542,769)	($2,564,243)
Net Impact on Operating Costs	($2,269,476)	($717,769)	($717,769)	($692,769)	($667,769)	($5,065,552)

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

BerryDunn used the following costs and calculations in performing the impact analysis on net operating costs:

- The current Professional Services (Non-Software Costs) includes $50,000 for BFIS security breech remediation services.
- The projected Professional Services (Non-Software Costs) for 2021 include:
  - Vendor implementation services: $1,852,309
  - Independent Review services: $24,000
  - BFIS security breech remediation services: $50,000
- The current and projected Maintenance, Support, and Licenses Costs for 2021 include $58,759 for BFIS hosting and equipment.
- The current Other Costs (State Labor) include $138,626 for ADS IT to support BFIS.
- The projected Other Costs (State Labor) for 2021 include:
  - ADS EPMO project oversight: $14,643
  - ADS EPMO project manager: $113,484
  - ADS Business Analyst: $109,824
  - ADS EA: $36,608
  - ADS Security: $16,800
  - ADS IT: $101,808
  - ADS IT for BFIS M&O: $138,626
- The projected Professional Services (Non-Software Costs) for 2022 through 2025 include:
  - Brite Systems' maintenance and support services for CDDIS: varies by year
  - BFIS security breech remediation services: $50,000
- The projected Maintenance, Support, and Licenses Costs for 2022 through 2025 include:
  - Salesforce license fees: $311,005
  - Mulesoft license fees: $96,600
  - Okta: $131,638
  - OnBase: $33,000

- BFIS hosting and equipment: $58,759

- The projected costs for Other Costs (State Labor) 2022 through 2025 include:
  - ADS EA: $9,152
  - ADS IT: $100,000

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.

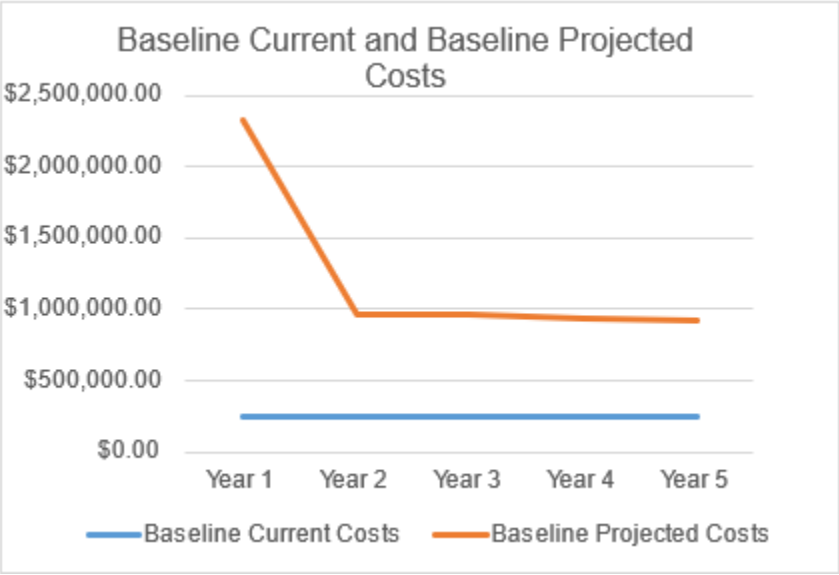
The State will be paying all operating costs with State funds.

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

As depicted in Figure 10.1, there is not a break-even point due to new ongoing operating costs associated with the new CDDIS. The State will expend most one-time fees on vendor professional services, which will result in a cost decrease at Year 2. However, the costs do not break even with the annual rise in professional services for CDDIS support, in addition to the annual operating costs for BFIS.

(Note: The additional costs in professional services will result in improved functionality for the CDD. Additional information can be found in Section 8. Cost-Benefit Analysis above.)

Figure 10.1: Baseline Current and Baseline Projected Costs



11 Security Assessment

BerryDunn used Brite Systems' technical proposal as the primary input to the security assessment. ADS confirmed it does not have any concerns with adherence to the security requirements for CDDIS.

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

   CDDIS will use the Salesforce security controls and will be configured and maintained by Brite Systems.

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

   The State's RFP requires the following data types be securely stored, accessed, and transmitted:

   - Publicly Available Information
   - Personally Identifiable Information (PII)
   - Payment Card Information
   - Federal Tax Information
   - Medicaid Information
   - Student Education Data
   - Criminal Records

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

   Brite Systems will use the Salesforce Incident Management Process for the identification and notification process for security breaches. The process includes investigation, communication, and resolution activities.

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

   Brite Systems will use the risk management program in place for the State's Salesforce platform.

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

   Data at rest will use 128-bit encryption and the Advanced Encryption Standard (AES) algorithm.

   All transmissions between the Salesforce services are TLS 1.2 encrypted with a 2048-bit Public Key, using AES 256-bit encryption.

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?**

   Brite Systems will use the current vulnerability management processes in place for the State's Salesforce platform.

   In compliance with FedRAMP requirements from NIST SP800-53, Salesforce performs vulnerability scans monthly (at a minimum) that check all operating systems, databases, and applications for known vulnerabilities. Scans take place on internal- and external-facing production systems; Salesforce partners with third-party vendors to conduct vulnerability assessments for external-facing systems. Salesforce also uses external service providers to perform an application vulnerability assessment following a major release, and completes network vulnerability assessments quarterly. Vulnerability assessments are available to customers upon request, though the customer in question requires an NDA.

   Salesforce integrates the vulnerability remediation process for production infrastructure and its Salesforce service offering with its configuration management processes. Any resultant changes follow Salesforce's change management processes, requiring client approval and testing prior to rollout.

   Each hosting service provider will receive vulnerability notifications regarding security incidents, advisories, and other information. Salesforce also uses a third-party vendor to compete an independent assessment of security controls annually.

12 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 would you 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 for Brite Systems' solution, which includes ongoing operational costs for BFIS.

Table A.1: Life Cycle Analysis

Description	Initial Implementation	Maintenance	Maintenance	Maintenance	Maintenance	Maintenance	
	2021	2021	2022	2023	2024	2025	Total
Implementation	$1,852,309						**$1,852,309**
Licenses	$0	$0	$572,243	$572,243	$572,243	$572,243	**$2,288,972**
BFIS Hosting and Equipment	$0	$58,759	$58,759	$58,759	$58,759	$58,759	**$293,795**
Other Professional Services							
Post-Production Support	$0	$0	$175,000	$175,000	$150,000	$125,000	**$625,000**
BFIS Security Breech Services	$0	$50,000	$50,000	$50,000	$50,000	$50,000	**$250,000**
State Labor Costs							
Other State Labor	$1,008						**$1,008**
ADS EPMO Project Oversight	$14,643						**$14,643**
ADS EPMO Project Manager	$113,484						**$113,484**
ADS EPMO BA	$109,824						**$109,824**
ADS EA	$36,608.00	$0	$9,152	$9,152	$9,152	$9,152	**$73,216**
ADS Security Staff	$16,800						**$16,800**
ADS IT	$100,800	$138,626	$100,000	$100,000	$100,000	$100,000	**$639,426**

Description	Initial Implementation	Maintenance	Maintenance	Maintenance	Maintenance	Maintenance	
	2021	2021	2022	2023	2024	2025	Total
Totals	**$2,245,476**	**$247,385**	**$965,154**	**$965,154**	**$940,154**	**$915,154**	**$6,278,477**
Initial Implementation Cost	$2,245,476						**$2,245,476**
BerryDunn Independent Review	$24,000						**$24,000**
Total Implementation	$2,269,476						**$2,269,476**
Total Life Cycle Operating Costs		$247,385	$965,154	$965,154	$940,154	$915,154	**$4,033,001**
Total Life Cycle Costs to be Paid With State Funds	$949,476	$247,385	$305,154	$305,154	$280,154	$255,154	**$2,342,477**
Total Life Cycle Costs to be Paid With Federal Funds	$1,320,000	$0	$660,000	$660,000	$660,000	$660,000	**$3,960,000**

Attachment 2 – Risk Register

Data Element	Description
Risk #	Sequential number assigned to a risk to be used when referring to the risk.
Risk 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 #: 1	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, vendor interview			
Risk Description: The current project schedule might not allow sufficient time to complete all required activities for a successful implementation. CDD receives federal Child Care and Development Funds (CCDF) to provide access to affordable, high-quality Child Care services for low-income families. The current project schedule is driven by the need for CDD to change the way it calculates Child Care subsidy payments effective October 2021 to be in compliance with CCDF requirements. Due to the scope of the project, a seven-month implementation schedule likely does not afford the State and Brite Systems sufficient time to effectively develop, configure, test, and train staff on the new CDDIS.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The Department for Children and Families will work with Brite Systems to develop a timeline for deploying and training for the CCFAP payment functionality and deliver a successful payroll by October 1, 2021. CDD will make every reasonable effort to achieve the full functionality of the first module of the modernized information system. Internal discovery sessions that will take place prior to contract completion and discovery sessions with the vendor will be focused on meeting the payment function portion of this project by October 1, 2021.			
Timing of Risk Response: Through contract negotiations; after the Independent Review			

Risk #: 1	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Reviewer's Assessment of State's Planned Response: The State's response is appropriate. BerryDunn recommends that the State project manager develop a resource-loaded project plan outlining all the internal activities, with start and end dates, that need to occur before the vendor is ready to begin the discovery phase of the project. Additionally, the State should share the user stories and/or requirements planned for each sprint to help ensure the IMS reflects a mutually agreed upon scope and schedule before contract execution, if possible. Through the discovery phase, if there are requirements/business needs that the State and Brite Systems determines are not achievable for the October 2021 go-live, the State should have a process in place for addressing these needs in the future.			

Risk #: 2	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State			
Risk Description: BFIS is unstable and could create challenges during development and after implementation. BFIS is a legacy system that resides on an outdated platform. As a result, the system is unstable, and issues—such as unexpected failures—can occur at any time. These issues could be exasperated as changes are made to integrate with Salesforce or decommission functionality that is no longer needed. If BFIS is not operational at any time, CDD will need to implement manual processes for administering its Child Care program.			
State's Planned Risk Strategy: Accept and mitigate			
State's Planned Risk Response: The State accepts this risk and recognizes that to completely mitigate the risk the state must ultimately decommission the existing BFIS system and move over to a fully functional, modern case management system. The state has proposed funding for the remaining components required to move off of BFIS in the State Fiscal Year 2022 budget and plans to mitigate this risk by moving off of the legacy system in its entity as quickly as feasible. ADS will continue upgrading the backend virtual infrastructure to improve uptime and resilience by moving hosting to Azure. CDD has created a Continuity of Operations Plan (COOP) that will be implemented if BFIS is not operational. Implementation of COOP plan depends on loss of functionality and level of severity.			
Timing of Risk Response: Ongoing			
Reviewer's Assessment of State's Planned Response: The State's response is adequate and acceptable.			

Risk #: 3	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, project documentation review			

Risk #: 3	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Risk Description: CDD will be out of compliance with federal regulations, and could receive a financial penalty, if the implementation of CDDIS extends beyond October 2021. The Office of Child Care within the Administration for Children and Families could penalize the DCF up to $282,260—4% of DCF's block grant discretionary fund award—if changes to the calculation of Child Care subsidy payments are not implemented by October 2021. Due to constraints with making changes to BFIS, the correct rules need to be implemented in the CDDIS in order to avoid a financial penalty.			
State's Planned Risk Strategy: Accept			
State's Planned Risk Response: The State is subject to one (1) penalty per 3-year plan cycle, which begins on October 1, 2021. During the current state plan cycle, COVID related waivers have allowed VT to avoid penalty. Should the State not be able to meet the imposed deadline, we anticipate we will meet the COVID-related waivers as the pandemic is on-going. If this is the case, the State will apply to extend our equal access waiver.			
Timing of Risk Response: Federal Fiscal Year 2022-2024			
Reviewer's Assessment of State's Planned Response: The State's response is adequate and acceptable.			

Risk #: 4	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State			
Risk Description: There is risk of delays in the project schedule and unfulfilled obligations by Brite Systems due to the lack of a qualified and experienced project manager. The proposed project manager is no longer available to work on the State's CDDIS project, and Brite Systems has not found a replacement. Given the complexity of the CDDIS project and the aggressive timeline, a strong project manager with agile development experience is critical to help ensure the Brite Systems project team completes the required tasks on time and within contractual terms and conditions.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: Brite Systems has secured a Project Manager, David Ryan, whose resume can be found in the RFP response. Section 4.1.4 of the contract will be updated with the Brite Systems Project Manager, David Ryan.			
Timing of Risk Response: Prior to contract signature			
Reviewer's Assessment of State's Planned Response: BerryDunn assumes that the State trusts the proposed project manager has the necessary skills and experience to fill the key role of Contractor Project Manager.			

Risk #: 5	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, project documentation review, vendor interview			
Risk Description: There is risk to the project scope and schedule due to ambiguous requirements for integrating with BFIS. In order to maintain a functioning Child Care information technology solution, Salesforce must integrate with BFIS. However, the State's functional and non-functional requirements do not articulate details such as required data types, inbound or outbound transmission, and frequency for data exchange. The current timeline might not allow enough time for the State and Brite Systems to discuss and finalize integration design before developing and testing activities need to occur within a sprint.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The State will create an ERD for BFIS and hold additional discovery sessions with DCF business and IT staff to identify/document the data required to process CCFAP applications in the new solution. We will identify where fields/data is pulled from and if any data needs to go back to BFIS. A current Data Dictionary will be completed to help ensure that data mapped in the ERD can be merged with the data coming from Salesforce. Additional discovery sessions will need to be completed with Brite systems during development to identify solution schema diagram and crosswalk this to the existing BFIS system. The amount of discovery during this phase will be significantly reduced through documentation gathered before contract execution.			
Timing of Risk Response: Prior to contract execution and during the discovery phase with the vendor			
Reviewer's Assessment of State's Planned Response: The State's response is appropriate. BerryDunn recommends that the State project manager develop a resource-loaded project plan outlining all the internal activities, with start and end dates, that need to occur before the vendor is ready to begin the discovery phase of the project. Additionally, the State should share the user stories and/or requirements planned for each sprint to help ensure the IMS reflects a mutually agreed upon scope and schedule before contract execution, if possible.			

Risk #: 6	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State			
Risk Description: There is risk to the project scope and schedule due to dependencies on the completion of the Data Model and Release Management projects. Competing priorities at the State level, such as addressing system needs for COVID-19 testing and vaccinations, has hindered the State's progress in maturing its: • Customer relationship management (CRM) governance model and adherence to a single organizational architectural strategy for Salesforce • Release management process through the implementation of a DevOps solution			

Risk #: 6	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
The Data Model project is responsible for developing standards for shared account and contact objects within the Salesforce platform. Brite Systems will need to factor the use of these standards into its solution design and implementation. At the time of this independent review, the Data Model project is scheduled for completion at the end of May 2020. The Release Management project is responsible for implementing Copado in order to streamline the deployment process within the Salesforce platform. Given the aggressive timeline, Brite Systems will need Copado in place to reduce the amount of time spent on development and testing activities within each sprint. At the time of this independent review, the implementation of Copado is schedule for some time in April. However, the implementation of Copado requires all Salesforce development and deployment activities to stop for one week, and given the unknown changes needed to accommodate the State's response to COVID-19, there is a chance the implementation date for Copado could be delayed. Any delays in completing the Data Model and Release Management projects could negatively impact the CDDIS project scope and schedule.			
State's Planned Risk Strategy: Monitor			
State's Planned Risk Response: The Data Model project is expected to be completed at the end of May. Technical documentation will be provided to Brite Systems by the ADS Salesforce Platform team as part of onboarding, with updates periodically until go-live. Brite Systems can use the provided documentation and updates to evaluate and identify if there are any potential impacts to their design with input and support from the ADS Salesforce Platform team. The Release Management cutover is currently planned to occur when the data model project is deployed to production. It will require any in-flight development for the CDDIS project to be migrated by Brite Systems to a new development sandbox. This migration is expected to take a day. Development can continue immediately after the sandbox migration is complete. If the Copado cutover is delayed due to changing priorities for COVID emergency work, and the CDDIS project has code deployed to higher level sandbox environments (e.g. UAT) the migration could require more time and effort.			
Timing of Risk Response: The State will monitor the status of both projects starting with Brite Systems' onboarding until deployment for each project.			
Reviewer's Assessment of State's Planned Response: BerryDunn believes the State's risk response can be strengthened by holding weekly project status meetings with the Data Model and Release Management project managers to help ensure the CDDIS project team can effectively monitor the status of each project and communicate any impacts to the Brite Systems development team.			

Risk #: 7	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, project documentation review			
Risk Description: CDD has not secured funding for the total cost of ongoing maintenance and operations (M&O) support.			

Risk #: 7	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
CDD has only secured $250,000 of the total $856,395 M&O cost (which includes vendor support, State labor, and licensing costs) for State Fiscal Year 2022. CDD is at risk of implementing a solution that might not be supported by Brite Systems after implementation.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The state has confirmed that the $660,000 of federal funds available for development of the system will be available to support M&O costs long-term. The State anticipates this funding will continue as it is a base increase to the State's block grant allocation. This funding, combined with the existing $250,000, will fully support the M&O needs of the system as currently estimated in the IT ABC form.			
Timing of Risk Response: Complete			
Reviewer's Assessment of State's Planned Response: As long as CDD will secure the total costs for ongoing M&O (for both BFIS and CDDIS), BerryDunn does not have any concerns.			

Risk #: 8	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, project documentation review, vendor interview			
Risk Description: The draft contract does not include sufficient information to hold Brite Systems accountable for supporting the delivery of training. Brite Systems' technical response did not clearly articulate its proposed approach to training staff on the CDDIS. During an interview with Brite Systems, BerryDunn asked the team to further clarify the approach to training in order to better assess alignment with CDD's needs. The Brite Systems team stated that it plans to: • Identify and document personas for different stakeholder groups to guide the development of training plans • Develop training documentation for stakeholder groups • Record training sessions that will be available to State staff after training sessions are complete • Implement in-application guidance in support of training on workflows The absence of training requirements and/or deliverables in the contract could result in unplanned change requests and an increase in the implementation cost.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The State will update section 5.2 of the contract to include the training outlined in the vendor interview prior to contract signature. • Identify and document personas for different stakeholder groups to guide the development of training plans • Develop written training documentation for stakeholder groups			

Risk #: 8	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
• Record training sessions that will be available to State staff after training sessions are complete • Implement in-application guidance in support of training on workflows			
Timing of Risk Response: Prior to contract signature			
Reviewer's Assessment of State's Planned Response: The State's response is acceptable and adequate.			

Risk #: 9	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, vendor interview			
Risk Description: The lack of detailed data migration and conversion requirements presents risk to the project scope and schedule. CDD has not clearly defined the scope for data migration and conversion. While Brite Systems proposed a sound approach for data migration and conversion, the current timeline might not allow enough time for the State and Brite Systems to discuss and finalize requirements before data migration and conversion activities need to occur within a sprint.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The state will review Brite Systems schema and then match minimal viable data required via a cross-walk. The State expects to migrate between 1 and 3 years of data from BFIS to the new system. The activities required to clean the data, prior to migration, and measure success have been loaded into our DevOps tool as part of Sprint 1 to assure we meet the project scope and schedule.			
Timing of Risk Response: The State included the work described above in Sprint 1.			
Reviewer's Assessment of State's Planned Response: The State's response is acceptable.			

Risk #: 10	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State			
Risk Description: Brite Systems will need to align its design, development, and testing activities with the State's Salesforce deployment schedule, which could delay the October 2021 implementation date. It is likely that the current project schedule will need to be adjusted to align with the State's Salesforce deployment schedule. If the State's Salesforce deployment schedule does not allow for Brite Systems to complete those activities as planned, there is risk in implementing CDDIS by October 2021.			
State's Planned Risk Strategy: Monitor			

Risk #: 10	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
State's Planned Risk Response: For past projects on the Salesforce platform with financially dependent go-live dates, the ADS Salesforce Platform team has brought in extra resources to meet these commitments. For the CDDIS project, the ADS Salesforce Platform team will assign a technical liaison to work closely with Brite Systems to align their work with the State's Salesforce deployment schedule. This will enable them to deploy quickly when all the impacting elements are in place.			
Timing of Risk Response: The State will monitor this risk throughout the project.			
Reviewer's Assessment of State's Planned Response: The State's response is acceptable.			

Risk #: 11	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, vendor interview			
Risk Description: The State is at risk of not being able to hold Brite Systems accountable for providing sufficient post-implementation services. At this time, the draft contract between the State and Brite Systems, scheduled to be executed at the beginning of April, does not include the post-implementation service levels outlined in Brite Systems' technical proposal. Without setting clear expectations for post-implementation services, the State is at risk of not being able to hold Brite Systems accountable for providing sufficient levels of service.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The State will update the Technical Requirements section 1, Application Solution of the contract with the following words found in the RFP response. Salesforce and Brite Systems will provide State Vermont - CDD technical support on product-related and application related issues when needed. Issues will be categorized and handled according to an assigned severity level, as follows: • Level 1 - Critical - Critical production issue affecting all users, including system unavailability and data integrity issues with no workaround available. Response time: 1 Hour* • Level 2 - Urgent - Major functionality is impacted or significant performance degradation is experienced. The issue is persistent and affects many users and/or major functionality. No reasonable workaround was available. Also includes time-sensitive requests such as requests for feature activation or data export. Response time: 2 Hours* • Level 3 - High - System performance issue or bug affecting some but not all users. A short-term workaround is available, but not scalable. Response time: 4 Hours** • Level 4 - Medium - Inquiry regarding a routine technical issue; information requested on application capabilities, navigation, installation, or configuration; bug affecting a small number of users. A reasonable workaround is available. The resolution required as soon as reasonably practicable.			

Risk #: 11	Risk Likelihood/Probability: High	Risk Impact: High	Overall Risk Rating: High

Response time: 8 Hours**

* 24/7 Severity 1 and 2 coverage includes weekends and holidays
** Severity 3 and 4 target response times include local business hours (EST) only and exclude weekends and holidays

All Severity 1 and 2 issues must be followed by an After Action Report where Brite provides the State a written root cause analysis and remediation steps required to stop the incident from occurring a second time if it is determined to be under Brite responsibility. In the event the root cause is out of Brite control, Brite will work with the entity causing the point of failure collaboratively and continuously until the problem is remedied.

Timing of Risk Response: Prior to contract signature

Reviewer's Assessment of State's Planned Response: The State's response is acceptable, but the State should also consider adding in the resolution times for issues and defects. The language on page 224 within Brite Systems' proposal includes the following:

"Brite Systems will fix defects according to severity level. We guarantee defect fixes according to these timelines:

- Severity 1 – 1 to 2 business hours
- Severity 2 – 1 business day
- Severity 3 – 2 business days

If the issue is identified as a change request, it will be documented and submitted to leadership for approval."

Risk #: 12	Risk Likelihood/Probability: Medium	Risk Impact: High	Overall Risk Rating: High

Source of Risk: Interviews with the State

Risk Description: The State could be at risk of incorrectly drawing down State and/or federal funds for Child Care subsidy payments.

The methodology for assigning Child Care subsidy State and federal funding codes is complex and must be implemented in CDDIS. Brite Systems' proposed solution is not configured for Vermont's rules and will require CDD to work closely with Brite Systems to help ensure the system is configured and tested appropriately before implementation. As noted in Risk #1 above, the current project schedule might not allow enough time to fully test the functionality needed for assigning Child Care subsidy funding codes.

If CDDIS is implemented in October 2021 with inaccurate rules, the State is at risk of drawing down incorrect amounts from State and/or federal funding funds.

State's Planned Risk Strategy: Mitigate

State's Planned Risk Response: The DCF Business Office, in coordination with CDD, will dedicate up to 2 FTEs to ensure proper implementation of the rules engine, in addition to testing. DCF already

Risk #: 12	Risk Likelihood/Probability: Medium	Risk Impact: High	Overall Risk Rating: High
leverages these fund sources in the current BFIS system and is well positioned to work with the vendor on the individual fund source needs.			
Timing of Risk Response: The State will focus on this throughout the project timeline.			
Reviewer's Assessment of State's Planned Response: The State's response is acceptable and adequate.			

Risk #: 13	Risk Likelihood/Probability: Medium	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, project documentation review			
Risk Description: There is risk that document management requirements will not be satisfied by October 2021 due to a dependency on the readiness of the State's document management system (OnBase). CDD requires income verification documents to be uploaded by State staff and parents applying for financial assistance online. CDD is planning to use OnBase as part of the document management solution, which requires the State to add a new file structure to support the indexing and storage of verification documents for the CCFAP. There is risk to the project scope and schedule if the State is not able to make the necessary changes to the OnBase system.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The State will carefully review the timelines of projected OnBase projects and determine if document upload and display functionality can be integrated in concert with the project timeline to meet the deadline or if the native Salesforce document management functions need to be employed until such time the schedules can be aligned. **Updated Risk Response:** Per our OnBase Platform Manager Kevin Pecor, the OnBase upgrade will be completed over the weekend of Memorial Day versus earlier estimates of mid-June. That better ensures that the OnBase platform maintenance will not prove to be a blocker to fulfilling the integration needs of the CDDIS effort, nor force ADS OnBase resources to focus on both efforts simultaneously. Furthermore, the needs of the CDDIS project pertain to incorporation of CDD's needed document types and licensing into OnBase. These are activities that the OnBase Platform Team and the ADS ECM Team assigned to AHS are very familiar with. That lessens the risk to successful integration and burden of effort on the ADS OnBase resources. Lastly, because we will be leveraging an existing OnBase/Salesforce connector that was built for VDOL's needs, the risk of extensive work on the part of AHS OnBase resources is further reduced.			
Timing of Risk Response: Prior to contract signature			
Reviewer's Assessment of State's Planned Response: The State's response is adequate. BerryDunn recommends that the State communicate any changes to document management requirements to Brite Systems and make updates to the contract accordingly. The State will need to			

Risk #: 13	Risk Likelihood/Probability: Medium	Risk Impact: High	Overall Risk Rating: High
make sure that the CDDIS project schedule is updated to align with the OnBase project schedule when it is available.			

Risk #: 14	Risk Likelihood/Probability: Medium	Risk Impact: High	Overall Risk Rating: High
Source of Risk: Interviews with the State, project documentation review			
Risk Description: The State's key technical resource might not be available to the project, which could put the project's scope and schedule at risk. The State's systems developer supporting BFIS informed ADS that they are considering retirement from State government; however, an exact date has not been provided. A systems developer knowledgeable of BFIS is critical to supporting activities such as migrating and converting BFIS data; decommissioning BFIS functionality that will be supported by Salesforce; integration testing; and providing ongoing support for BFIS after implementation. Inadequate technical support for BFIS could result in delays for completing key project activities or integration requirements not being fully addressed.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The State has already identified a backup technical resource; however, that resource needs training and experience to take on this role fully. Oracle database responsibility will move to the ADS Data Services Team, which should lighten the load on this person. Other ADS resources have been identified that are also able to help on demand.			
Timing of Risk Response: Training has started and will continue throughout the project.			
Reviewer's Assessment of State's Planned Response: The State's response is adequate and acceptable. The State might also want to consider bringing in external resources, such as previous State employees or contractors, with BFIS experience on a temporary basis to assist with any technical support.			

Risk #: 15	Risk Likelihood/Probability: Low	Risk Impact: High	Overall Risk Rating: Medium
Source of Risk: Project documentation review, vendor interview			
Risk Description: The estimated level of effort to integrate CDDIS with the State's financial management system (VISION) is unknown, presenting risk to the project scope and schedule. Integration with VISION is critical for CDD to issue payments to providers on behalf of eligible families and to reconcile child-level benefit amounts with payments disbursed from VISION. Brite Systems' technical response noted that customization will be required to support provider payment adjustments and reconciliation functionality.			

Risk #: 15	Risk Likelihood/Probability: Low	Risk Impact: High	Overall Risk Rating: Medium
During the vendor interview, Brite Systems confirmed that the development time required for making customizations for integration with VISION is unknown, and could result in delays in the project schedule or a delay in delivering CDD's integration requirements for October 2021.			
State's Planned Risk Strategy: Mitigate			
State's Planned Risk Response: The state plans additional discovery sessions with CDD staff to define/document funding sources, ERD, decision trees, and user stories. Additional discovery sessions with State AOA ERP staff to define/document required fields that must be transmitted to VISION with ERD, decision trees, and user stories. Documentation will be loaded into DevOps for consideration and review during Sprint 3 (payment functionality). Exploration of current Oracle/Salesforce Connector will be completed and mapped to required fields for Salesforce and Oracle (VISION) based on business use case.			
Timing of Risk Response: Complete discovery during Sprint 1 so we are ready for Sprint 3			
Reviewer's Assessment of State's Planned Response: The State's response is appropriate. BerryDunn recommends that the State project manager develop a resource-loaded project plan outlining all the internal activities, with start and end dates, that need to occur before the vendor is ready to begin activities in the applicable sprint(s).			