



Paul Garstki Consulting

INDEPENDENT REVIEW
OF A PROPOSED
CASE MANAGEMENT SYSTEM PROJECT

*For the
State of Vermont
Agency of Digital Services (ADS)
And
The Office of the Defender General (ODG)*

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

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1 EXECUTIVE SUMMARY

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

The existing case management system (CMS), JustWare, employed by the Office of the Defender General (ODG) has become unsustainable. It is no longer supported in any way by the original software vendor. The State is providing support through the efforts of the ODG technical staff and two small supporting contracts. When announced changes in Microsoft software required for its operation come into effect, the system will no longer operate.

The State has conducted a full and fair procurement process in two rounds: the first selected a vendor, but contract negotiations broke down.

The present Independent Review assesses the project resulting from the second procurement round, which selected Advologix, LLC. of Sugar Land, Texas to implement their Advologix CMS. We found the vendor to be well experienced and capable. The technical architecture is very closely aligned with State technology preferences for systems of this kind. The implementation plan is solid and likely to succeed. The cost is reasonable for a system of this size. Security is very strong.

We have no major concerns with this project as it stands.

1.1 COST SUMMARY

Table 1 - Cost Summary

IT Activity Lifecycle (years):	5
Total Lifecycle Costs:	\$1,632,043.31
Total Implementation Costs:	\$688,879.00
New Average Annual Operating Costs:	\$208,249.60
Current Annual Operating Costs	\$91,128.00
Difference Between Current and New Operating Costs:	\$117,121.60
Funding Source(s) and Percentage Breakdown if Multiple Sources:	Implementation: Federal = 20.3% State = 79.7% Operating: 100% State

1.2 DISPOSITION OF INDEPENDENT REVIEW DELIVERABLES

Table 2 - Disposition of Independent Review Deliverables

Deliverable	Highlights from the Review <i>include explanations of any significant concerns</i>
Acquisition Cost Assessment	The total acquisition cost (not including M&O) is \$688,879.00. We compared hourly rates for similar implementation services indicates, and by this measure we would estimate that the State is paying about the same as others for these services , or possibly slightly less.
Technology Architecture Review	<p>The Advologix application would run on the State’s Salesforce Customer Relationship Management (CRM) system instance, similar to other recent State data-based projects. This brings the project into close alignment with State IT requirements and preferences. It also leverages the State’s significant resources for Salesforce operations and management.</p> <p>We found this Salesforce environment aspect of the project increases state assurance of reliability, security, flexibility in future planning, and sustainability.</p>
Implementation Plan Assessment	<p>The implementation plan is thorough, detailed, and in our view likely to succeed. It demonstrates the vendor’s knowledge of and experience with both CRMs and Salesforce development.</p> <p>Because of the time constraint, we found that most of the project risk relates to the possibility of delay to the project timeline. The project team is very small. There is a key person dependency risk that the State is aware of and is mitigating; it is the biggest risk in the project.</p> <p>Project management is strong on both the vendor and State sides.</p>
Cost Analysis and Model for Benefit Analysis	<p>We identified tangible costs to the project, primarily in implementation, which of course has no offset here. M&O costs will increase, with the largest proportion going to internal State billing for Salesforce licensing.</p> <p>Intangible benefits provide the strong case for this project, the most important being the continuation of case management support and the elimination of technological peril from the existing system. Other benefits are in efficiency, customer service, and technological alignment.</p>
Analysis of Alternatives	Continuing to rely on the existing system is unsustainable, and its eventual demise is predictable.

	Although the existing system had been satisfactory, and its vendor chosen on the first procurement round, they proved to be uncooperative in contract negotiations on financial, technical, and compliance contract matters.
Impact Analysis on Net Operating Costs	We compared anticipated project costs with a purely theoretical continuation of the current unsustainable system. There is no breakeven point for this project.
Security Assessment	<p>The system would be highly secure, hosted in the Salesforce Government Cloud Plus, based in the AWS GovCloud. Compliance attestations are available for all relevant standards, and vulnerability testing is continuous.</p> <p>The State has the experience, tools, and processes for managing the release of the configured application through a rigorous security testing process.</p> <p>We have no concerns about the security of this system.</p>

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

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

The following table lists the risks identified as having high impact and/or high likelihood (probability) of occurrence. Please see the **Risk & Issues Register, in Section 10**, for details.

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

Risk Description	RATING IMPACT/ PROB	State’s Planned Risk Response	Reviewer’s Assessment of Planned Response
There is a key person dependency: the project team agrees that the Business Lead has knowledge which is crucial to timely success of the project. She also has other significant responsibilities in ODG as HR and Program Manager and is anticipating a planned retirement (~six months after project completion). Her unavailability for any reason could strongly impact the progress of the project.	21 7/3	Mitigate: ODG conducted a recruitment process and has hired an administrative attorney as the successor for the HR & Program Manager effective June 20, 2022. The new hire will come onboard and "shadow" the Business Lead over the next ~year and a half, facilitating knowledge transfer in a timely manner.	concur

1.4 OTHER KEY ISSUES

none

1.5 RECOMMENDATION

I recommend that this project proceed as currently planned

1.6 INDEPENDENT REVIEWER CERTIFICATION

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

DocuSigned by: <i>Paul Garstki</i> <small>493B2479DEA04AE...</small>	5/31/2022
Independent Reviewer Signature	Date

1.7 REPORT ACCEPTANCE

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

DocuSigned by: <i>Alex Ikey</i> <small>289191A4D6AB4C0...</small>	5/31/2022
ADS Oversight Project Manager	Date

DocuSigned by: <i>Donna Quinn</i> <small>4333BDE6B4E74AB...</small>	6/8/2022
State of Vermont Chief Information Officer	Date

2 SCOPE OF THIS INDEPENDENT REVIEW

2.1 IN-SCOPE

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

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

2.1.2 THE INDEPENDENT REVIEW REPORT INCLUDES:

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

2.2 OUT-OF-SCOPE

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

3 SOURCES OF INFORMATION

3.1 INDEPENDENT REVIEW PARTICIPANTS

Table 4 - Independent Review Participants

Name	Agency / Department	Job Title	Project Role
Matthew Valerio	Office of the Defender General	Defender General	Project Sponsor
Mary Deaett	Office of the Defender General	HR & Program Manager	Business Lead
Greg King	Office of the Defender General	IT Specialist IV	Technical Lead for ODG
Amanda Meredith	Agency of Digital Services	IT Project Manager	Project Manager
Alex Ibey	Agency of Digital Services	Program Manager (Project Oversight)	Program Manager
Darwin Thompson	Agency of Digital Services	ADS IT Director	ODG IT Director
John Hunt	Agency of Digital Services	ADS Enterprise Architect	Enterprise Architect
Mark Combs	Agency of Digital Services	Chief Technology Officer	Enterprise Architect Escalation
Scott Carbee	Agency of Digital Services	Chief Information Security Officer	Security Analyst

3.2 INDEPENDENT REVIEW DOCUMENTATION

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

Table 5 - Independent Review Documents

Document	Source
Fully Executed Updated IT ABC Form (12/7/21)	State of Vermont
ODG Case Management System Charter	State of Vermont
Vendor Bid Review and Scoring Sheet	State of Vermont
Notes on Reference Checks	State of Vermont
ODG CMS Risks and Issues Register	State of Vermont
ODG CMS RFP with bidder response form	State of Vermont
Updated ODG Draft Contract 5/12/22	State of Vermont
Advologix LLC Response to ODG CMS RFP	Advologix
Advologix ODG CMS – Best and Final Offer	Advologix

4 PROJECT INFORMATION

4.1 HISTORICAL BACKGROUND

13 V.S.A. § 5251 creates the Office of the Defender General (ODG) which discharges the constitutional right of needy persons charged with serious crimes to representation. The ODG is also statutorily required to provide counsel in the following matters: to children who are the subject of juvenile proceedings as alleged delinquents; to parties in juvenile proceedings including children in need of care and supervision (CHINS) as required by the interests of justice; to children in the custody of the Commissioner of the Department of Children and Families; to persons in the custody of the Commissioner of Corrections; and, to needy persons in extradition, or probation or parole revocation proceedings.

There are fourteen public defense field offices located throughout the state. Seven of these offices are staff offices and seven are public defense contract offices (private law firms that contract with the State to provide field office services). There are also two offices that handle matters post adjudication, Assigned Counsel Contractors, Ad Hoc Counsel, and seven Serious Felony Units.

All these offices, comprising about 110 attorneys, have been using a single shared Case Management System (CMS) for case management and some document management. The presently proposed project would replace the existing system, JustWare, from Journal Technologies, Inc. (JTI). In February of 2020, JTI informed ODG that the JustWare software had reached End of Life (EOL) and would no longer be supported and maintained after the expiration of JTI's contract with the State on June 30, 2021. (Currently, ODG IT staff and the hosting vendor for that system are providing Maintenance and Operational (M&O) support to keep the system functioning well.) Consequently, the State began consideration of a replacement system, and released a Request for Information (RFI). The response from CMS vendors was strong, and the State decided to issue a Request for Proposals (RFP).

Following a scoring and decision process, the State determined that the product of choice was the platform from JTI called eDefender, a part of their "eSuite", versions of which are used by the Public Service Department and the Public Utility Commission. ODG had been pleased with the function of the existing JustWare system, and also had a good experience with JTI's technical staff supporting the State. Following the selection, the State embarked on contract negotiations with JTI but soon encountered difficulties in reaching agreement. The State Business Lead for the project put it this way:

"Every meeting brought up new issues that [the vendor's negotiator] would have to bring back to his vice presidents and it would continue to drag out the process. There were concerns around money and up-front payments. And last but not least JTI refused any integration with SharePoint. At that point we decided to end negotiations because there were simply too many issues."

Finding no other satisfactory vendor from that RFP, the State terminated that selection process in May of 2021 and drafted and issued a new RFP. One of the vendors that submitted proposals in response to this RFP but not the previous one was Advologix, Inc. (Advologix) of Sugar Land, Texas, of which very

positive reports had been received from public defenders in other states, which were facing a similar predicament due to the retirement of JustWare. Using an appropriate evaluation and scoring process, a select number of vendors were invited to present demonstration sessions, and the State ultimately selected Advologix and began contract negotiations.

4.2 PROJECT GOAL

The ODG envisions a solution that would be a Software as a Service web-based system hosted in a cloud. It will be used by all staff, public defense contractors, and perhaps assigned counsel and serious felony unit contractors, resulting in improved user experiences, increased productivity, and improved information sharing, tracking, and reporting.

4.3 PROJECT SCOPE

4.3.1 IN-SCOPE

- Design, configuration and testing of new CMS.
- Training of ODG system administrators, and possibly of end users.
- Mapping and migration of all records from current JustWare CMS into new CMS.
- Document management as agreed upon.
- Full reporting functionality as operation in current CMS.
- System availability and usage by all staff and primary public defense contractors, as well as availability for future usage by assigned counsel contractors.

4.3.2 OUT-OF-SCOPE

- Financial, business and human resource processes outside of legal case management.
- Desktops, laptops and cell phones, except that they must be able to be used to access the new system.
- ODG servers unless they are used for document management in conjunction with the new CMS.

4.3.3 MAJOR DELIVERABLES

Table 6 - Major Deliverables

All relating to design, development, and implementation (DDI) of an Advologix Case Management System
<ul style="list-style-type: none"> • development of project management planning documentation • requirements collection and validation

• Solution design
• data migration
• configuration
• integration
• testing
• deployment
• training
• operations, support, and maintenance services

4.4 PROJECT PHASES, MILESTONES, AND SCHEDULE

Table 7 - Project Milestones

Milestone	Start Date	Completion Date
Mobilization	6/1/2022	7/1/2022
Requirements Workshops - Discussions	7/1/2022	8/15/2022
High Level Design	7/1/2022	8/15/2022
Build (4 Sprints)	8/15/2022	4/15/2023
Data Migration / System Integration	6/15/2022	7/15/2022
Deployment and Data Migration Preparation	8/15/2022	12/15/2022
System Testing	3/30/2023	4/30/2023
User Acceptance Testing (UAT)	4/15/2023	4/30/2023
Training	4/30/2023	5/30/2023
Production Deployment	6/1/2023	6/15/2023
Go Live	6/15/2023	6/15/2023
Post Go-Live Support	6/15/2023	7/1/2023
Project Closure	7/1/2023	7/1/2023

5 ACQUISITION COST ASSESSMENT

Table 8 - Acquisition Costs

Acquisition Costs	Cost	Comments
Hardware Costs	\$0.00	No hardware costs to State
Software Costs	\$20,000.00	Formstack implementation only
Implementation Services	\$493,480.00	See attach. 3, Cost Spreadsheet
State Personnel	\$157,630.00	See attach. 3, Cost Spreadsheet
Professional Services (e.g., Project Management, Technical, Training, etc.)	\$17,769.00	provided by IR consultant
Total Acquisition Costs	\$688,879.00	

5.1 COST VALIDATION:

Describe how you validated the Acquisition Costs.

- Vendor costs were obtained from the draft contract and compared with figures in the vendor's Best and Final Offer (BAFO).
- Salesforce Licensing was determined by the number of users and admins and the internal State license charge for each.
- Professional Services is from selected IR proposal
- State personnel costs were derived from recent estimates in the IT ABC form, based on actual charges thus far and estimates going forward. (Note that a small amount of hours are also estimated for potential need during the lifecycle, so some cost is not strictly acquisition.)

5.2 COST COMPARISON:

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

The implementation team identified in the proposal and in the draft contract are professionals with significant experience and extensive certifications. The vendor has determined a number of hours for each phase of implementation, totaling 3,164. Dividing the total cost for Implementation Services (above) by number of hours gives us an **average hourly pay of \$155.98 for Implementation Services.**

We are not told how many hours each professional would devote to each phase. There are a range of titles (e.g., Project Manager, Salesforce Technical Developer, etc.) which implies a range of salaries. For this comparison, we assumed a title of Salesforce Technical Developer, whom we might expect would devote many hours to the implementation phase. We took the average salary for this position in the U.S. (\$134,346) to derive an average hourly base pay for an on-staff person in this position (\$64.59). A common practice for estimating contracted services cost is to multiply the hourly base salary by 3. This gives us an **average hourly pay of \$193.77 for comparison purposes.**

By this measure, the State would be paying somewhat less (20%) than the average for these services. Given the uncertainties in the calculations, we would estimate that **the State is paying about the same as others for these services.**

5.3 COST ASSESSMENT:

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

We assess the cost to be a fair price for these services. The vendor would be obligated by the draft contract to detail hours, rates, and work performed on each invoice. This would give the State additional assurance of fair price.

Additional Comments on Acquisition Costs:

none

6 TECHNOLOGY ARCHITECTURE REVIEW

After performing an independent technology architecture review of the proposed solution, please respond to the following.

The Advologix Matter Management (Advologix) application is a configurable and extendable cloud-based Case Management System (CMS), built in and running on the Salesforce Customer Relationship Management (CRM) platform (Salesforce). The deployment for the State would run on the State's Salesforce instance, as preferred and required by the State. This Salesforce instance is operating in the Salesforce Government Cloud, assuring the State of an extensive array of compliance certifications both general and specific to government needs. In the State's context, leveraging Salesforce for this type of application has significant advantages for security, privacy, reliability, and sustainability. (See **11. Security Assessment**, below.) Salesforce has a number of built-in integration API's. Initially, the CMS will use the *ISVMatter Management and SharePoint Connector* for document management and repository (connecting to the State's existing SharePoint instance), *RevGrid* email connector, and *Formstack* form builder. Another integration to a service which facilitates SMS messaging (such as Twilio) is currently under consideration.

The project team is also aware of other advantages to the Salesforce environment. Because using Salesforce for applications is so widespread, credentialed developers and system managers are readily available, and the State has significant internal expertise, since Salesforce is used for several State applications. This situation increases confidence and diminishes the likelihood of over-reliance on a particular vendor, as might happen with more proprietary system.

Advologix is highly configurable, and according to the vendor, little or no customization will be needed for the implementation. This is consistent with State architectural preferences. It is 100% cloud-based, accessed via web browser, and supports the use of most desktop and mobile browsers. On mobile devices, the screen is adapted to the smaller size, but all functions of the desktop browser version are available.

The application will be configured and implemented by well-experienced professional staff (from Hike2 as Advologix sub-contractor) with appropriate credentials for their roles, for example in Agile/Sprint project management, or Lightning/Apex development. These staff members have been vetted by the State and are identified by name in the draft contract. Changes to staff would require notification by the vendor and agreement by the State.

Advologix includes provision for authentication solutions such as Okta. This will allow the users to employ a single-sign-on (SSO) to avoid having to sign in to Advologix and SharePoint separately. The SSO functionality could apply to the other integrated services. The SSO credentials source will be the ODG's already existing Active Directory.

6.1 STATE'S ENTERPRISE ARCHITECTURE GUIDING PRINCIPLES

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

A CMS is essential to, and integral with, the effective operation of ODG in all its various functions. The proposed system has sufficient capacity to grow to meet the needs of ODG.

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

The solution provides opportunities for additional integrations, now and in the future. These integrations (such as SMS texting) increase the useability of the solution and potentially enhance efficiency of staff and attorneys.

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

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

6.1.4 D. ASSESS IF THE TECHNOLOGY SOLUTION WILL OPTIMIZE PROCESS

The existing JustWare system in use by ODG has been a satisfactory solution, although it has become technologically unsustainable. The proposed system would optimize process in a comparable way. The flexibility of the new platform and integration of services such as email and SMS have the potential to increase efficiency to benefit the users of the system.

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

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

6.2 SUSTAINABILITY

Advologix runs in the State's Salesforce instance, and so at baseline is as sustainable as that instance. The popularity of Salesforce as a technology and its widespread use in governments, including the federal government, are an indication that it will continue to be available and remain state-of-the-art technology for the foreseeable future. It is consistent with other State applications and compatible with integration platforms (e.g., Mulesoft) that the State may choose to employ.

The use of the Salesforce application platform (Lightning for the user interface and Apex for flow and transaction control) provides the State with further assurance of technical sustainability.

The Salesforce Object Query Language (SOQL) is similar to Structured Query Language (SQL), for which the State has internal expertise.

The application is configurable (by the vendor) and is highly expandable if needed to accommodate growing needs. Initial capacity at implementation is far more than the State will likely need and if more capacity will be needed, it is available at a reasonable and known cost.

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

6.3.1 A. Leverage successes of others, learning best practices from outside Vermont

Key ODG staff communicate with colleagues in other states through the National Public Defender Association. Members frequently discuss the IT systems they use for case management, and it was through this conversation that the project Business Lead heard positive reports about Advologix, particularly from the Montana ODG, which engaged Advologix for a conversion from JustWare to Advologix, similar to the present project.

6.3.2 B. Leverage shared services and cloud-based it, taking advantage of it economies of scale

This application uses shared services (Salesforce and other tools described in the Security Assessment) as well as being purely SaaS cloud-based.

6.3.3 C. Adapt the Vermont workforce to the evolving needs of state government

As ODG is already using a CMS, they will continue operating in much the same way. The implementation of the system on the State's Salesforce instance, contributes to the continuing process of building ADS internal technical expertise consolidated around a shared application platform.

6.3.4 D. Apply enterprise architecture principles to drive digital transformation based on business needs

The State's shared application platform and associated activities – Salesforce, Mulesoft, Copado security testing, the Azure DevOps development approach, etc. – respond to existing and emerging State business needs. The evolving integration of these processes and systems is strongly informed by EA principles. The impact of EA is very evident in the definitions and inclusion of Non-functional Requirements (NFRs) in the RFP and consequently memorialized in the draft contract.

6.3.5 E. Couple it with business process optimization, to improve overall productivity and customer service

See **6.3.3**, *above*.

6.3.6 F. Optimize it investments via sound project management

Project Management processes and deliverables are clearly and comprehensively defined in the draft contract. Project Managers on the vendor and State side are experienced and capable.

6.3.7 G. Manage data commensurate with risk

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

6.3.8 H. Incorporate metrics to measure outcomes

The proposed project is necessary to continue the current required and allowed operations of ODG. The business need measures identified in the IT-ABC Form therefore refer to continuity-related outcomes:

- For public defender clients, continued effective legal representation will be provided with reasonable diligence, promptness, and a commitment to their interests.
- The ODG will be able to submit an annual report under a new CMS, compliant with Vermont statute 13 V.S.A. § 5256.
- The new system will provide aggregate case data to Administration, the Legislature, other members of the criminal justice system, and the media as requested and allowed.

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

We do not find any references to accessibility or specifically Section 508 compliance in the vendor’s proposal or in the draft contract. We recommend that the State confirm with the vendor that the application is compliant in both desktop and mobile versions.

The Formstack service that the State will use to create new forms within the application does not *enforce* Section 508 compliance, but it is *capable* of compliance and *encourages* it by prompts during form creation. We recommend that this feature be included in Formstack user training.

6.5 DISASTER RECOVERY

Advologix inherits all the disaster recovery protocols established by Salesforce. Salesforce has an active Business Continuity and Disaster Recovery Program, with which the State is familiar.

Using Salesforce capabilities, the Advologix application runs with a “warm site,” meaning it is replicated in near real-time to a completely redundant and geographically diverse secondary location. Each location can be considered a complete backup (files and data) of the other. In the case of an interruption of the Production system, the secondary “mirror” system immediately becomes the active production system. (This also facilitates maintenance and compliance operations.)

Backups take place daily at each data center facility and copies are retained for 90 days (30 days for development environment instances). Standard processes are designed so deleted or modified data cannot be recovered after 90 days (30 days for development instances). Backup media does not leave the site.

The State also separately backs up its data and files using its own backup system, storing the backup in a separate location, as recommended by the vendor and consistent with State practice.

6.6 DATA RETENTION

The proposed system allows file retention management, as required by the State. Advologix can be configured to retain data for any period required by the State (e.g., by disposition order or schedule). It can also archive closed files after a period defined by the State, and similarly can delete files after a defined period. These capabilities are consistent with ODG file retention needs as they are and as they may evolve.

6.7 SERVICE LEVEL AGREEMENT (SLA)

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

System Availability: 99%

We noticed some minor issues of clarity with the Help Desk Response Time (draft contract NFR # AS3):

- Emergency and Critical Issues: 1 hour
 - **(This section includes a statement which does not seem to make sense, highlighted below:**
 “This will be designated by the State with appropriate documentation of the issue.
Advologix will not unreasonably accept this level of priority with appropriate documentation and validation.”

 Presumably “accept” should be replaced with “reject”.)
- Standard Help Issues: 2 hours
 - (A statement in this section reads: “General questions and requests can take up to 24 hours for a response.” It is not clear how this relates to the 2-hour response time.)

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

The System Availability SLA (Attachment E) is clear in its definitions, metrics, calculation, and exclusions. The remedies are clearly defined and generally appropriate. There is a limit on the total refund per quarter of 33% of the subscription fee paid by the State. However, confirmed availability less than 99% (calculation and documentation details in the SLA) in two consecutive calendar quarters allow the State to terminate the Agreement (i.e., the contract).

More clarity would be helpful in the Help Desk Response Time details. Aside from the statements above, there is also a reference to “an escalation process” which does not detail escalation levels.

6.8 SYSTEM INTEGRATION

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

Aside from M&O functionality (for backups, etc.), the system will not electronically export data to other State data systems.

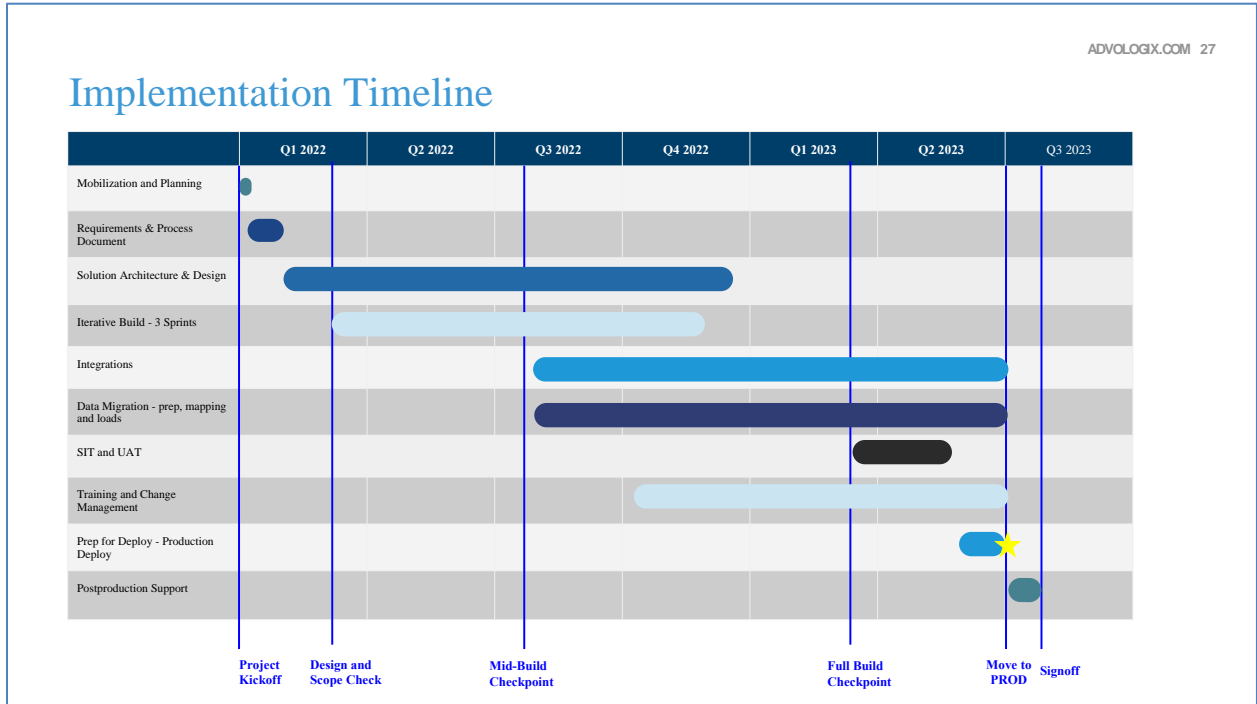
6.8.2 WHAT DATA IS EXCHANGED AND WHAT SYSTEMS (STATE AND NON-STATE) WILL THE SOLUTION INTEGRATE/INTERFACE WITH?

The system will not be integrated with any other data systems at this time.

Additional Comments on Architecture:

none

7 ASSESSMENT OF IMPLEMENTATION PLAN



The image above is a graphic representation of the project implementation timeline as provided by the vendor in their Best and Final Offer (BAFO). Note that several phases overlap or run parallel in time. The table below, extracted from information in the draft contract, shows essentially the same timeline but with more recently updated information. The table in the draft contract is considerably more detailed and well-ordered. We think it reflects the vendor’s experience and knowledge specific to public defender offices.

Table 9 - High-Level Timeline

Outline #	Name	Start	Finish	Estimated Hours
1	Mobilization	6/1/2022	7/1/2022	160
2	Requirements Workshops - Discussions	7/1/2022	8/15/2022	340
3	High Level Design	7/1/2022	8/15/2022	
4	Build (4 Sprints)	8/15/2022	4/15/2023	1200
5	Data Migration / System Integration	6/15/2022	7/15/2022	700

6	Deployment and Data Migration Preparation	8/15/2022	12/15/2022	100
7	System Testing	3/30/2023	4/30/2023	120
8	User Acceptance Testing (UAT)	4/15/2023	4/30/2023	200
9	Training	4/30/2023	5/30/2023	160
10	Production Deployment	6/1/2023	6/15/2023	64
11	Go Live	6/15/2023	6/15/2023	40
12	Post Go-Live Support	6/15/2023	7/1/2023	80
13	Project Closure	7/1/2023	7/1/2023	

A subcontractor implementation vendor, Hike2, will perform the implementation. Very positive reports have been received from public defender offices who have worked with Hike2 in the same role.

We have no concerns about the implementation plan aside from those identified in the sections below.

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

7.1 THE REALITY OF THE IMPLEMENTATION TIMETABLE

The need to implement this project by July 2023 imposes a constraint on the project's timeline. As presented, we think the timeline is realistic, given the experience and focus of the vendor, and the reports, particularly from the State of Montana, regarding the performance of the implementation subcontractor, Hike2. Advologix has stated that the July 2023 deployment target is realistic if the contract is executed by April or May 2022. April has already passed. We identified this as a **RISK_ID# R1**. The State is mitigating this risk by focusing resources on the contract negotiations and notes that the present Independent Review is nearly complete. We agree. Although we rated the impact of this risk occurring as major, we assess the likelihood as rare. The overall rating for this risk is low.

There is a key person dependency: the project team agrees that the Business Lead has knowledge which is crucial to timely success of the project. She also has other significant responsibilities in ODG as HR and Program Manager and is anticipating a planned retirement (~six months after project completion). Her unavailability for any reason could strongly impact the progress of the project. We identified this as a **RISK_ID# R3**. The State response is to mitigate the risk: ODG conducted a recruitment process and has hired an administrative attorney as the successor for the HR & Program Manager effective June 20, 2022. The new hire will come onboard and "shadow" the Business Lead over the next ~year and a half, facilitating knowledge transfer in a timely manner. We find this to be a reasonable mitigation, especially since postponing the project is unrealistic in light of the unsustainable current system. We rated the impact as major, but the probability of occurrence as unlikely. Nevertheless, we assess this risk as moderate, the highest in the project.

The State's contract with the original software vendor of the existing CMS expired last year and that vendor is no longer provided any support for that application. The State has contracted with a hosting vendor to continue hosting the application, and with another vendor to supply support, until July of 2023. The application is currently performing well, and no problems are expected. However, an unanticipated serious issue with this application without the original software vendor's support could divert attention from the present project. We identified this as a **RISK_ID#_R4**. The State is mitigating this risk: The support vendor had a significant development role with the existing application and is poised to provide support in the event of a serious problem. The ODG Technical Lead is familiar with the application's operation, maintenance, and system management. We think this is an appropriate mitigation, given that there are few ready alternatives.

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

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

The enthusiasm for this project is high in the admittedly very small project team. Initially this enthusiasm was primarily born of relief that the existing system was unsustainable and unsupported, even though it had performed satisfactorily. Once this vendor was selected, however, it seems some appreciation for new capabilities of the system emerged.

Day-to-day ODG tasks currently required of staff will continue during development and implementation and could potentially conflict with project needs. This is especially true of the project's Technical Lead, who will need to devote significant time to the project while still holding responsibility for his usual tasks. We identified this as a **RISK_ID#_R2**. The State is mitigating this risk: The ODG Technical Lead's day-to-day tasks will be largely assumed by another staff member during periods when his attention is required for the project. As described above, the Business Lead will also be supported.

Do the milestones and deliverables proposed by the vendor provide enough detail to hold them accountable for meeting the Business needs in these areas:

7.2.1 A. PROJECT MANAGEMENT

Project management requirements and deliverables are defined in detail in the draft contract. 14 deliverables are defined, and each has a description and a delivery frequency. They are well chosen and sufficiently defined to ensure good communication between vendor and State.

7.2.2 B. TRAINING

Training would be conducted using a train-the-trainer strategy. At the time of this writing, key trainers-to-be-trained on the State side have been identified, and Superusers are being determined. The Hike2 trainer is named in the contract. The implementation plan includes a training strategy deliverable, User Acceptance Testing (UAT) training, and the following deliverables for the main training phase:

- Training Documentation and Materials
- Preparing ODG Trainer(s)

- Team Communication and Readiness
- Train the Trainer Sessions

7.2.3 C. TESTING

Testing on the vendor side comprises two distinct phases: system integration testing (SIT) and user acceptance testing (UAT). Deliverables for both are adequately defined in the draft contract. User acceptance testing confirms that the implemented system (while still in the development environment) meets the business needs defined by the State via User Test Cases. This phase obviously requires participation and adequate time on the State side. We found that both vendor and State are prepared.

7.2.4 D. DESIGN

The design phase includes requirements gathering and planning. It is designed to be highly interactive, with ODG defining needs and processes throughout. Appropriately, a business analyst is part of the vendor's implementation team and identified in the contract.

7.2.5 E. CONVERSION (IF APPLICABLE)

Data from the JustWare system will have to be imported to the new Advologix system. This is a part of the implementation that the vendor identified as needing significant State participation to understand the structure and format of the data. This is also known as Migration. The vendor has interestingly defined the migration deliverables in terms of data *functions* in the use of the CMS, such as Pleas/Offer, Charges/Statutes, and Subpoenas. This again speaks well of the vendor's experience with Case Management specifically.

The State is fortunate in having good resources for this phase: The project's Business Lead is quite familiar with the data structure, and in the case that additional resources are needed for conversion activity, the current support vendor, who conducted the previous conversion (to JustWare), could be engaged.

7.2.6 F. IMPLEMENTATION PLANNING

The vendor has dedicated sufficient time and deliverables for requirements gathering and implementation planning. It is significant that the process begins with business processes, and a business analyst is part of the implementation team.

- Current Matter Management Process
- JustWare Walkthrough
- Deep Dive on Functional Capabilities
- Deep Dive on Technical Capabilities

7.2.7 G. IMPLEMENTATION

The implementation will follow the EPMO development process cycle (Agile hybrid). The main development phase is divided into 4 Agile Sprints. The technical implementation staff have appropriate experience and certifications.

Each Sprint has the following deliverables:

- Sprint Planning Meeting
- Standup Meetings
- Functional Build - Accounts, Contacts, Matters, Participants, Charges, Statutes, Dispositions, Tasks, Events
- Sprint Demo
- QA - Unit Testing - Copado Deployment
- Sprint Retrospective

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

Yes, the State-assigned Project Manager is experienced and organized. She is doing significant work on the project, including some of the financials and managing changes in the draft contract during negotiations. We have no concerns.

Additional Comments on Implementation Plan:

none

8 COST ANALYSIS AND MODEL FOR BENEFIT ANALYSIS

8.1 ANALYSIS DESCRIPTION:

Provide a narrative summary of the cost benefit analysis conducted.

From a financial cost perspective, the project is straightforward: It replaces a system which has become unsustainable and must be retired. A bit more than a quarter of the lifecycle total cost is implementation. Federal ARPA funding would supply \$140,000 to cover implementation costs.

The M&O costs are licensing (subscription) costs split between the CMS vendor Advologix and Salesforce via internal State billing. The increased cost in M&O is derived by subtracting the theoretical lifecycle cost at current level from the total project M&O lifecycle cost.

8.2 ASSUMPTIONS:

List any assumptions made in your analysis.

- That realized costs will be identical to those in the draft contract.
- That costs in the draft contract are complete.
- That the figure for current costs is accurate
- That current costs could be maintained over the lifecycle

8.3 FUNDING:

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

Table 10 - Funding Sources

Implementation Federal	\$140,000.00	20.3%
Implementation State	\$548,879.00	79.7%
Implementation Total	\$688,879.00	
M&O State	\$943,164.31	100%

8.4 TANGIBLE COSTS & BENEFITS:

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

TANGIBLE COSTS:

- **\$688,879.00** Implementation Cost
- **\$455,640.00** increase in M&O costs over the project lifecycle. About 46% of these are subscription costs to Advologix. The remainder are Salesforce licenses invoiced internally by the State.

8.5 INTANGIBLE COSTS & BENEFITS:

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

INTANGIBLE BENEFITS:

- **A modern, sustainable CMS, so that the Office of the Defender General can efficiently continue to provide required and allowed services with the threat of technological failure removed.**
- **Improved service for the citizens of Vermont**
- **Very close alignment with State technology preferences**
- **Improved security and privacy for State data**
- **More integrated services for State and contracted attorneys (SMS, improved document management, email)**
- **Release of ODG staff time currently devoted to supporting the existing system**

8.6 COSTS VS. BENEFITS:

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

Yes, the benefits outweigh the costs. Most importantly, the existing system would be replaced before it fails, which is now a projected certainty. Significantly, the State would acquire a technologically more capable and sustainable system for no annual cost increase after implementation.

8.7 IT ABC FORM REVIEW:

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

The IT ABC form was revised after the second procurement round and fairly accurately reflects the state of the project at the present time.

The form estimated a lifecycle project cost of \$1,831,338.00 while current estimate for the lifecycle project cost is \$1,632,043.31, a decrease of 10.9%.

Additional Comments on the Cost Benefit Analysis:

none

9 ANALYSIS OF ALTERNATIVES

The RFP processes did present several alternative vendors who were carefully considered. Some features offered by these vendors were attractive, but the scoring for Advologix was highest, and they were the clear choice for all on the procurement team. Advologix was the only vendor in that RFP round which had implemented a statewide CMS.

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

As described in 4.1 Historical Background, above, the initial selection from the first procurement round was the newest product from the current vendor, JTI. However, contract negotiations soon broke down, with the vendor unwilling to agree to several of the State's financial requirements (e.g., payment schedules), functional requirements (e.g., connection to SharePoint), and contractual requirements (e.g., unacceptable changes to the Standard State Contract Provisions. This solution was therefore deemed unfeasible on financial, technical, and compliance grounds.

We point out that Advologix did not offer a proposal in the first RFP round.

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

The State is currently using JustWare CMS, a JTI product which has reached End-of-Support and End-of-Life. The State's support contract with JTI expired almost a year ago, and since that time, through two sole-source contracts, one for hosting and one for support, the system is functioning well (and ODG staff are doing the majority of day-to-day support work).

However, this state of affairs is not sustainable: The current system is not the most current version of JustWare, but the State does not have access to code or updates. Microsoft has announced changes to some of their products which will result in them not being compatible with JustWare any longer.

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

N/A

10 IMPACT ANALYSIS ON NET OPERATING COSTS

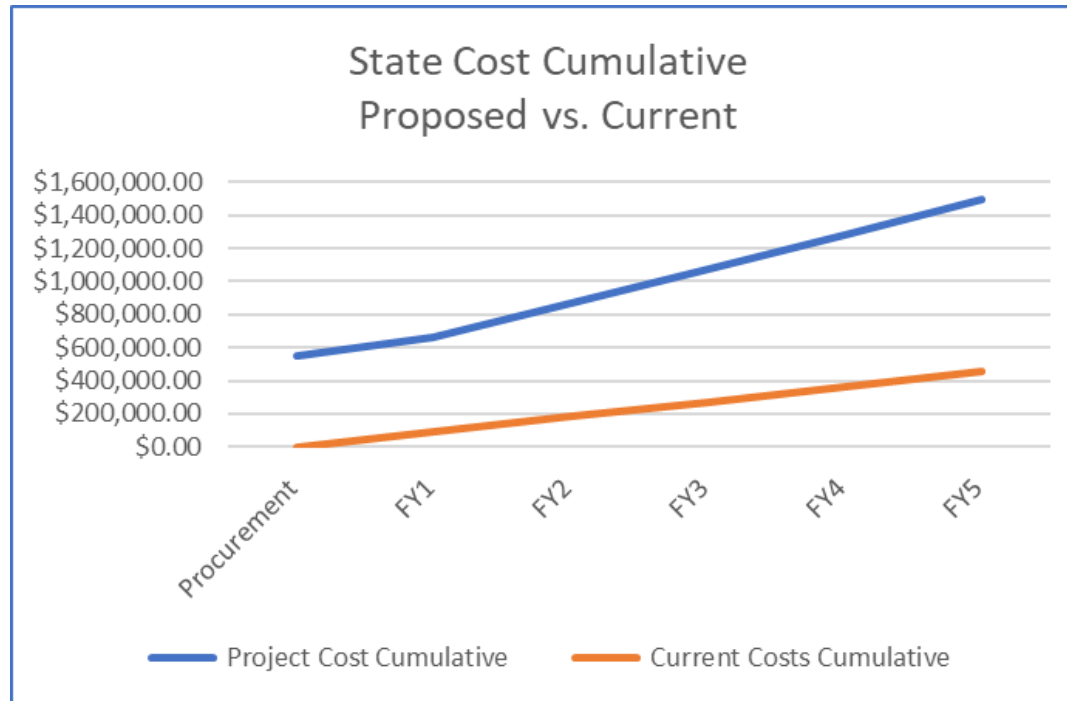
10.1 INSERT A TABLE TO ILLUSTRATE THE NET OPERATING COST IMPACT.

Table 11 - Project Cost and Current Cost by Year

	Procurement	FY1	FY2	FY3	FY4	FY5	Total
Federal Share	\$140,000.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$140,000.00
State Share	\$548,879.00	\$110,165.91	\$208,249.60	\$208,249.60	\$208,249.60	\$208,249.60	\$1,492,043.31
Total Project Cost	\$688,879.00	\$110,165.91	\$208,249.60	\$208,249.60	\$208,249.60	\$208,249.60	\$1,632,043.31
Current Cost		\$91,128.00	\$91,128.00	\$91,128.00	\$91,128.00	\$91,128.00	\$455,640.00

Table 12 - Cumulative Project and Current Costs

	Procurement	FY1	FY2	FY3	FY4	FY5
Project Cost Cumulative	\$548,879.00	\$659,044.91	\$867,294.51	\$1,075,544.11	\$1,283,793.71	\$1,492,043.31
Current Costs Cumulative	\$0.00	\$91,128.00	\$182,256.00	\$273,384.00	\$364,512.00	\$455,640.00
Cumulative Cost Savings	-\$548,879.00	-\$567,916.91	-\$685,038.51	-\$802,160.11	-\$919,281.71	-\$1,036,403.31



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

The first table above shows the expected project cost from the draft contract over the project lifecycle. Also shown is the current cost as shown in the IT ABC form extended over the lifecycle. *The latter is purely theoretical as the current system will become unsustainable after FY1. It would have to be replaced and cannot be maintained in operation.*

The second table shows the same costs cumulatively over the lifecycle.

The chart shows the cumulative costs graphically.

Assumptions:

- That realized costs will be identical to those in the draft contract.
- That costs in the draft contract are complete.
- That the figure for current costs is accurate
- That current costs could be maintained over the lifecycle (see above)

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

No operating increases will be covered by federal funding.

(\$140,000 ARPA funding would be used for implementation.)

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

There is no break-even point for this project.

11 SECURITY ASSESSMENT

The CMS contains a great amount of personal information which must be kept private and protected by security controls, to protect the rights of individuals and to facilitate the professional work of attorneys.

The Advologix application will run in the State's instance in the Salesforce Government Cloud (soon migrated to Government Cloud Plus, an enhanced version). The Salesforce cloud service is hosted in the Amazon Web Services (AWS) GovCloud(US). The application will thus run in a highly secure environment, with the application of security controls under the direction of the State (as Salesforce customer). Several SaaS applications from various State agencies are managed in the same way. The State has and continues to build internal resources and experience with this application model. We assess the State's approach as applying a very high level of security and protection of privacy, and it could be considered a best-practice for applications of this type.

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

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

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

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

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

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

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

11.2 WHAT METHOD DOES THE SYSTEM USE FOR DATA CLASSIFICATION?

Attachment A, Exhibit 1, Section 4.5 of the draft contract defines the type of data that the system will encounter, along with the applicable compliance standards and a vendor statement of compliance. The listed data types are:

- Publicly available information
- Confidential Personally Identifiable Information (PII)
- Protected [contract reads “Personal”] Health Information (PHI)
- Criminal Records
- Juvenile Records

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

Advologix inherits all data breach protocols from the Salesforce platform, including review of potential data breaches, notifying clients regarding potential data breaches, etc. Section 6.2 of Attachment D in the draft contract specifically spells out vendor responsibilities regarding Security Breach Notice and Reporting. While a small portion of the language in that section is under discussion/negotiation at the time of this writing, the section otherwise confirms standard State requirements.

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

Yes. See **11.6, below**.

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

The State’s Salesforce instance is currently in Salesforce Government Cloud but will be migrated to Government Cloud Plus in July, 2022. Government Cloud Plus is built on AWS GovCloud (US) and includes enhanced encryption capabilities with full data at rest encryption and end to end encryption as well as authentication of both users and Salesforce personnel.

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

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

See **11.7, below**.

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

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

12 RISK ASSESSMENT & RISK REGISTER

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

12.1.1.1 ADDITIONAL COMMENTS ON RISK

none

12.1.2 RISK REGISTER

The following table explains the Risk Register components:

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

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

Risk ID: R1	Rating:	7	
	Likelihood:	1	
	Impact:	7	
Finding:	If the contract is not executed by April/May 2022, there is potential for inadequate time for the development and implementation that will be required for Launch in July 2023.		
Risk Of:	Project delay		
Risk domains:	timeline		
State's Planned Risk Response:	<p>Mitigate:</p> <p>Both the contract and the Independent Review are nearing completion. The contract could be executed in a timely fashion if the required approvals are obtained.</p>		
Reviewer's Assessment of State's Planned Response	concur		

Risk ID: R2	Rating:	5	
	Likelihood:	1	
	Impact:	5	
Finding:	The ODG project team is very small. Day-to-day ODG tasks currently required of staff will continue during development and implementation and could potentially conflict with project needs.		
Risk Of:	Project delay		
Risk domains:	timeline		
State's Planned Risk Response:	<p>Mitigate:</p> <p>The ODG Technical Lead's day-to-day tasks will be largely assumed by another staff member during periods when his attention is required for the project. The Business Lead will also be supported (see Risk R4 below). If needed for assistance in data conversion, the vendor who conducted the previous conversion to JustWare could be engaged.</p>		
Reviewer's Assessment of State's Planned Response	concur		

Risk ID: R3	Rating:	21	
	Likelihood:	3	
	Impact:	7	
Finding:	<p>There is a key person dependency: the project team agrees that the Business Lead has knowledge which is crucial to timely success of the project. She also has other significant responsibilities in ODG as HR and Program Manager and is anticipating a planned retirement (~six months after project completion). Her unavailability for any reason could strongly impact the progress of the project.</p>		
Risk Of:	Project delay		
Risk domains:	timeline		
State's Planned Risk Response:	<p>Mitigate: ODG conducted a recruitment process and has hired an administrative attorney as the successor for the HR & Program Manager effective June 20, 2022. The new hire will come onboard and "shadow" the Business Lead over the next ~year and a half, facilitating knowledge transfer in a timely manner.</p>		
Reviewer's Assessment of State's Planned Response	concur		

Risk ID: R4	Rating:	5	
	Likelihood:	1	
	Impact:	5	
Finding:	<p>The State's contract with the vendor of the existing CMS expired last year and the vendor is no longer provided any support for that application. The State has contracted with separate hosting and support vendors to continue operation of the application until July of 2023. The application is currently performing well, and no problems are expected. However, an unanticipated serious issue with this application without vendor support could divert attention from the present project.</p>		
Risk Of:	Project delay		
Risk domains:	timeline		
State's Planned Risk Response:	<p>Mitigate:</p> <p>The support vendor had a significant development role with the existing application and is poised to provide support in the event of a serious problem. The ODG Technical Lead is familiar with the application's operation, maintenance, and system management</p>		
Reviewer's Assessment of State's Planned Response	concur		

13 ATTACHMENTS

Attachment 1 – Lifecycle Cost Benefit Analysis

Attachment 2 – Risk Register

Attachment 1: ODG CMS Cost Spreadsheet ver. 2.0a - Paul Garstki Consulting - 2022/May/16

Project Name:			ODG Case Management System							Lifecycle Total @ Current Annual Cost	Benefit
Description	Qty	Unit Price	Procurement	Maintenance	Maintenance	Maintenance	Maintenance	Maintenance	Total		
Fiscal Year				FY1	FY2	FY3	FY4	FY5			
Vendor Implementation Services											
Implementation			\$ 493,480.00							\$ 493,480.00	
Vendor Implementation Services Total			\$ 493,480.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 493,480.00	\$ -
Vendor Licensing											
ISVForce Matter Mgt & SharePoint Connector	110	\$ 540.00		\$ 59,400.00	\$ 59,400.00	\$ 59,400.00	\$ 59,400.00	\$ 59,400.00	\$ 59,400.00	\$ 59,400.00	\$ 455,640.00
RevGrid Email Connector	110	\$ 136.36		\$ 14,999.60	\$ 14,999.60	\$ 14,999.60	\$ 14,999.60	\$ 14,999.60	\$ 14,999.60	\$ 14,999.60	
Formstack			\$ 20,000.00	\$ 10,000.00	\$ 10,000.00	\$ 10,000.00	\$ 10,000.00	\$ 10,000.00	\$ 10,000.00	\$ 70,000.00	
Vendor Licensing Total			\$ 20,000.00	\$ 84,399.60	\$ 84,399.60	\$ 84,399.60	\$ 84,399.60	\$ 84,399.60	\$ 84,399.60	\$ 441,998.00	\$ 455,640.00
State-Provided Licensing											
Salesforce Enterprise Licenses	3	\$ 2,050.00		\$ 6,150.00	\$ 6,150.00	\$ 6,150.00	\$ 6,150.00	\$ 6,150.00	\$ 6,150.00	\$ 30,750.00	
Salesforce Platform Licenses (Implementation) ¹	107	\$ 183.33		\$ 19,616.31						\$ 19,616.31	
Salesforce Platform Licenses (Ongoing)	107	\$ 1,100.00			\$ 117,700.00	\$ 117,700.00	\$ 117,700.00	\$ 117,700.00	\$ 117,700.00	\$ 470,800.00	
State-Provided Licensing Total			\$ -	\$ 25,766.31	\$ 123,850.00	\$ 123,850.00	\$ 123,850.00	\$ 123,850.00	\$ 123,850.00	\$ 521,166.31	\$ -
Consulting											
Independent Review			\$ 17,769.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 17,769.00	
Consulting Total			\$ 17,769.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 17,769.00	\$ -
Training											
[included in Vendor Services Implementation]	0	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Training Total			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Implementation Services Additional											
[none]			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Implementation Services Total			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
State Personnel											
State Personnel - ADS²											
ADS EPMO Project Oversight & Reporting			\$ 13,156.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 13,156.00	
ADS EPMO Project Manager for implementation			\$ 121,594.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 121,594.00	
ADS EPMO Enterprise Architect			\$ 15,752.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 15,752.00	
ADS EPMO Security Staff			\$ 7,128.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 7,128.00	
				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -		
State Personnel - ODG											
State Personnel Total			\$ 157,630.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 157,630.00	\$ -
Grand Total			\$ 688,879.00	\$ 110,165.91	\$ 208,249.60	\$ 208,249.60	\$ 208,249.60	\$ 208,249.60	\$ 208,249.60	\$ 1,632,043.31	\$ 455,640.00
											\$ (1,176,403.31)

ATTACHMENT 2 - ODG CMS INDEPENDENT REVIEW -- Risk and Issues Register -- version 1.1.a 2022/May/19 -- Paul E. Garstki, JD -- Paul Garstki Consulting

RISKS	What is the finding that leads to identifying a risk? (This is a highly condensed version that is explained more fully in the report narrative)	What are the risks implied by the finding?	What aspects of the project are at risk if the risk(s) are realized?	What is the State's response to the risk?	Is the State's response to this risk adequate?	Reviewer's assessment of likelihood risk is realized 1,3,5,7, or 10	Reviewer's assessment of impact if risk is realized 1,3,5,7, or 10	1-9 low
								10-48 medium
Note: Risk ID # list may have gaps, in order to maintain consistency with earlier drafts								
Risk #	Finding	risk of	risk domains	SOV response	Reviewer Assessment of SOV Response	likelihood 1-10	impact 1-10	total rating
R1	If the contract is not executed by April/May 2022, there is potential for inadequate time for the development and implementation that will be required for Launch in July 2023.	Project delay	timeline	Mitigate: Both the contract and the Independent Review are nearing completion. The contract could be executed in a timely fashion if the required approvals are obtained.	concur	1	7	7
R2	The ODG project team is very small. Day-to-day ODG tasks currently required of staff will continue during development and implementation, and could potentially conflict with project needs.	Project delay	timeline	Mitigate: The ODG Technical Lead's day-to-day tasks will be largely assumed by another staff member during periods when his attention is required for the project. The Business Lead will also be supported (see Risk R4 below). If needed for assistance in data conversion, the vendor who conducted the previous conversion to JustWare could be engaged.	concur	1	5	5
R3	There is a key person dependency: the project team agrees that the Business Lead has knowledge which is crucial to timely success of the project. She also has other significant responsibilities in ODG as HR and Project Manager, and is anticipating a planned retirement (~six months after project completion). Her unavailability for any reason could strongly impact the progress of the project.	Project delay	timeline	Mitigate: ODG is conducting a recruitment process to hire an eventual successor for the HR & Project Manager / Business Lead. The new hire would come onboard soon and "shadow" the Business Lead over the next ~year and a half, facilitating knowledge transfer in a timely manner.	concur	3	7	21
R4	The State's contract with the vendor of the existing CMS expired last year and the vendor is no longer provided any support for that application. The State has contracted with separate hosting and support vendors to continue operation of the application until July of 2023. The application is currently performing well, and no problems are expected. However, an unanticipated serious issue with this application without vendor support could divert attention from the present project.	Project delay	timeline	Mitigate: The support vendor had a significant development role with the existing application and is poised to provide support in the event of a serious problem. The ODG Technical Lead is familiar with the application's operation, maintenance, and system management	concur	1	5	5
R5						0	0	0
ISSUES	Issue Description			State Response				
[None]								