

Independent Review

Vocational Rehabilitation Case Management System

For the

State of Vermont Agency of Human Services (AHS), Department of Disabilities, Aging, and Independent Living (DAIL), Division of Vocational Rehabilitation, Division for the Blind and Visually Impaired, and Department of Information and Innovation

Submitted to the
State of Vermont, Office of the CIO
By

Strategic Technology Services

9/8/2015

Attachments:

1. FINAL-REVIEW-SOV-DAIL-VocRehab-CaseManagement-STS_Risk_Register.pdf
2. FINAL-REVIEW- SOV-DAIL-VocRehab-CaseManagement-STS_Project_Cost_Detail.xlsx
3. How to Form Project Teams.pdf (Training material from vendor)
4. Alliance Hosted Services Schedule.doc
5. Alliance Maint and Support Agreement.doc
6. Alliance Managed Services Schedule.doc
7. AWARE Software License Agreement.doc
8. Managed Services - Data Sheet.pdf

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1. Executive Summary

Provide an introduction that includes a brief overview of the technology project and selected vendor(s).

Project Summary

1. This is a 7 year project totaling **\$23M** (including staff costs) and will involve:
 - a. Design, Adaptation, Development and Implementation Services of Alliance Enterprises, Inc.'s **VR (Vocational Rehabilitation)** Case/Records Management Software, **VIS (Visual Intelligent Solution)** for Data Analytics, and QA Tool (case review, vendor review) for DAIL Division of Vocational Rehabilitation (DVR) and Division for the Blind and Visually Impaired (DVBI)
 - b. Application hosting by Alliance Enterprises, Inc. of two instances of the applications, one each for DVR and DVBI.
 - c. Software update, maintenance, and support (UMS) of the applications by Alliance Enterprise, Inc.
2. Senior Business Leadership, Technical Leadership, and Subject Matter Leadership are aligned to complete solution implementation.

Vendor Profile

1. Alliance Enterprises, Inc.
 - a. Privately held organization founded in 1981, based in Lacey, WA. Have achieved 100% success in implementing 32 projects across 28 states, supporting 10,000+ Vocational Rehabilitation professionals.

Alliance employs more than 80 staff. Most of the original owners and employees still work at Alliance - many of them now have more than 20 years of VR and/or Alliance experience. Staff are led by a Leadership Team committed to corporate values of Excellence, Care and Trust. Alliance staff are organized into seven (7) Departments. These include Business Development and Marketing, Strategic Account Management, Engineering, Sales, Customer Support, Professional Services and Operations/HR. Each department is managed by a Department Director who reports to the CEO. In addition, resource managers provide domain expertise to staff that include analysts, engineers, quality assurance managers, data and interface specialists and project managers. Alliance employs a matrix management style to ensure that staff have the technical mentoring and oversight they desire and the team structure that best serves its customers. See <http://www.allianceenterprises.com/about/company> for more detail.

1.1 Cost Summary

IT Activity Lifecycle:	7 Years
Total Lifecycle Costs:	\$ 23M
<i>Total Software Costs (one time):</i>	<i>\$ 503K</i>
<i>Total Implementation Costs (one time):</i>	<i>\$ 853K</i>
<i>Total M&O Costs:</i>	<i>\$ 1.9M</i>
<i>Total Staffing Costs:</i>	<i>\$ 19.4M, includes \$613K in contingency funding</i>
New Annual Operating Costs:	Range from \$365K to \$1.3M increase over the project lifecycle for a total of \$4.1M increase.
Difference Between Current and New Operating Costs:	State Funding Source increase of \$5.3M and Federal Funding Source decrease of \$958K.
Funding Source(s) and Percentage Breakdown if Multiple Sources:	<ol style="list-style-type: none"> 1. State of VT General Fund, Program Code 43500: DAIL One Time Funds (\$600K) 2. State of VT General Fund portion of 110 Funds, Program Code 43770 (Part of Rehabilitation Act of 1973 for Voc Rehab reimbursement) (\$3.9M) 3. Federal Section 110 Funds, Program Code 43770 (Part of Rehabilitation Act of 1973 for Voc Rehab reimbursement) (\$13.8M) 4. Division for the Blind and Visually Impaired (DBVI) To Be Allocated, Program Code 43020 (\$5M)

1.2 Disposition of Independent Review Deliverables

Deliverable	Highlights from the Review <i>Include explanations of any significant concerns</i>
Acquisition Cost Assessment	Costs seem high when viewed in light of comparable projects, but DAIL knew this would be the case with this solution, and elected to pursue this solution due to effectiveness and regulatory compliance vs. low cost.
Technology Architecture Review	Application and Database Server runs under Windows Server Standard 2012 R2, Database is Microsoft SQL Server 2012 or 2014, Web Server is Microsoft IIS V8, and data center servers are running Microsoft Hyper-V with dedicated disk.
Implementation Plan Assessment	Consistent project management approach and methodology has yielded positive results on all 32 previous projects.
Cost Analysis and Model for Benefit Analysis	Cost analysis provides accurate 7 year costs. The Cost/Benefit Analysis does not show a tangible monetary benefit of pursuing this project, but does show an intangible monetary benefit.
Impact Analysis on Net Operating Costs	Significant increase in Operating Costs (\$4M of current \$19M operating cost, which is a 22% increase). See attached Cost Analysis spreadsheet.

1.3 Identified High Impact &/or High Likelihood of Occurrence Risks

Risk Description	State's Planned Risk Response	Reviewer's Assessment of Planned Response
See Risk Register		

1.4 Other Key Issues

Recap any key issues or concerns identified in the body of the report.

1. No other issues identified.

1.5 Recommendation

Provide your independent review recommendation on whether or not to proceed with this technology project and vendor(s).

It is recommended the project proceed as specified in this report, based on the following:

1. Satisfactorily reviewing and mitigating the Risk Register items.
 - a. *Risk items satisfactorily mitigated.*
2. Review and confirm DAIL Disaster Recovery/Business Continuity Requirements and determine if these are met by the proposed solution.
 - a. *These requirements have been reviewed and are met by proposed solution.*
3. Confirmation that solution meets stated Regulatory Requirements.
 - a. *These requirements have been reviewed and are met by proposed solution.*
4. Confirmation that funding sources are adequate.
 - a. *Funding sources have been verified and cover project costs.*

1.6 Certification

I hereby certify that this Independent Review Report represents a true, independent, unbiased and thorough assessment of this technology project/activity and proposed vendor(s).

Signature

Date

2. Scope of this Independent Review

Add or change this section as applicable.

2.1 In-Scope

The scope of this document is fulfilling the requirements of Vermont Statute, Title 3, Chapter 45, §2222(g):

The Secretary of Administration shall obtain independent expert review of any recommendation for any information technology initiated after July 1, 1996, as information technology activity is defined by subdivision (a)(10), when its total cost is \$1,000,000 or greater or when required by the State Chief Information Officer.

The independent review report includes:

- An acquisition cost assessment
- A technology architecture review
- An implementation plan assessment (which includes a Risk Analysis)
- A cost analysis and model for benefit analysis; and
- An impact analysis on net operating costs for the Agency carrying out the activity

2.2 Out-of-Scope

If applicable, describe any limits of this review and any area of the project or proposal that you did not review.

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 *at this time*.

3. Sources of Information

3.1 Independent Review Participants

List the individuals that participated in this Independent Review.

Name	Employer and Title	Participation Topic(s)
Tela Torrey	SOV; IT Project Manager	Primary Point of contact for IR, Discussed Project Management Approach, Coordinate meeting schedules with project participants, Deliverables
Lisa Young	SOV; DVR Quality Assurance Manager; Program Project Manager	Role in Agency, Role on project, Project Management Approach, Success criteria, Concerns/Risks, Project Schedule, Staffing, Deliverables
Philip Dessureau	SOV; DII Oversight Project Manager	Project Management Oversight
James Smith	SOV; DVR Budget and Policy Director; Project Business Lead	Role in Agency, Role on project, Success criteria, Concerns/Risks, Project Schedule, Deliverables
Fred Jones	SOV; DVBI Director; DVBI Project Sponsor	Role in Agency, Role on project, Success criteria, Concerns/Risks, Project Schedule, Staffing
Diane Dalmasse	SOV; DVR Director; DVR Project Sponsor	Role in Agency, Role on project, Success criteria, Concerns/Risks, Project Schedule, Staffing
Mike Goldberg	SOV; DBVI Senior Blind Services Rehab Counselor; Project Subject Matter Expert	Role in Agency, Role on project, Success criteria, Concerns/Risks, Project Schedule, Deliverables
Alice Porter	SOV; DVR Planning and Evaluation Unit Manager; Project Data Analyst, Data Conversion, Data Integration	Role in Agency, Role on project, Success criteria, Concerns/Risks, Data Conversion and Integration
Phil Seiler	SOV; DAIL IT Manager	Role in Agency, Role on project, Success criteria, Concerns/Risks
Camella McMillin	Alliance Enterprise, Inc.; Sales Support Manager	Roles, responsibilities, pricing model, comparable projects, how VT pricing compares to comparable projects, ability to meet functional requirements (out of box, 3 rd party, or through development), technical architecture, PM approach, Training approach, Implementation approach, Testing Approach, Conversion Approach, Deployment Approach, Risk Management Approach, Any 3 rd Party Products: descriptions, pricing, and where/how used
Lisa Gifford	Alliance Enterprise, Inc.; Aware Solutions Director	Ditto
Sven Akerman	Alliance Enterprise, Inc.; Cloud Services/CTO Director	Ditto
Cecile Bentley	Alliance Enterprise, Inc.; Director of Sales	Ditto

3.2 Independent Review Documentation

Complete the chart below to list the documentation utilized to compile this independent review.

Document	Description	Document Name	Source
Addendum #1	First Addendum to RFQ; Prepared after Vendor's Conference	Addendum_1-RFQ-VRCMS_(Requirements)-v1-1.docx Addendum_1-RFQ-VRCMS_(Requirements)-v1-1.pdf	Project SharePoint Site
Addendum #2	Second Addendum to RFQ; Prepared after On-Site Evaluation Week and Requirements review with Alliance	Addendum_2-RFQ-VRCMS_(Requirements)-v1-1.docx Addendum_2-RFQ-VRCMS_(Requirements)-v1-1.pdf	Project SharePoint Site
Addendum #2 - Vendors Questions; State Responses	Additional questions from Alliance; resulting in minor changes to Requirements list for final proposal	VT-VRCMS-VendorsQuests-Adden2-StateResp(v1-0).docx VT-VRCMS-VendorsQuests-Adden2-StateResp(v1-0).pdf	Project SharePoint Site
Cost Benefit Analysis with Final Proposal Costs	Revised to reflect Alliance's final proposal costs and hosting changes	Cost_Benefit_Analysis-V1-3_(IncorpVendorFinalCosts-VendorHstd)-IR.pdf Cost_Benefit_Analysis-V1-3_(IncorpVendorFinalCosts-VendorHstd)-IR.xlsx	Project SharePoint Site
Evaluation (Test) Plan with Findings	Plan for Onsite evaluation week with evaluation findings	Eval(Test)_Plan-Tracking_Form(v1-3)_w_Eval_Notes.doc Eval(Test)_Plan-Tracking_Form(v1-3)_w_Eval_Notes.pdf	Project SharePoint Site
Final Summary – Evaluation/Demo Week	Summary of evaluators feedback; prepared by Lisa Young, Program Lead	Final_Summary_Eval-Demo_Wk-(PreparedbyLY).docx	Project SharePoint Site
Information and Contacts List	Preliminary list of information for IR Vendor	Contacts_List-Interviewees(Preliminary).docx	Project SharePoint Site
IT ABC Form	Signed IT ABC Form	IT_ABC_Form-VRVI-CMS-V1-3-3rd-Submission Esigned.pdf	Project SharePoint Site
Project Charter	Abbreviated Charter; Original Issue	VRVI-CMS-Abbrev_ProjCharter-V6-AllSignatures-FINAL.doc VRVI-CMS-Abbrev_ProjCharter-V6-AllSignatures-FINAL.pdf	Project SharePoint Site
Alliance's Proposal to SOV VR RFQ Final	Alliance's final proposal based on RFQ, Addendums 1 and 2, minor requirement changes.	State_of_Vermont_Response_to_VT_RFQ_FINAL.pdf	Project SharePoint Site

Document	Description	Document Name	Source
State VR CMS RFQ	Final RFQ issued in conjunction with Addendums	VT_RFQ-VRCMS-(v1-9_2015-01-14_FINAL).docx VT_RFQ-VRCMS-(v1-9_2015-01-14_FINAL).pdf	Project SharePoint Site
Alliance's Proposal – Section 5; Narrative Responses	Section 5 from Alliance's Proposal in MS Word format	AllianceProposal-Section5_Narrative_Responses.docx	Project SharePoint Site
Full Requirements Needed – Final List	DVR / DBVI Requirements finalized after multiple reviews; internal and with Alliance.	Full_Requirements-Needed-2015-04-06-FinalRequirementsList.docx	Project SharePoint Site
Full Requirements Review by Large Review Team	Requirements with review notes; Small Review Team and Large (Project Leadership) Team	Full_Requirements-Review-LrgTm-2015-03-19.docx	Project SharePoint Site
System Requirements from Alliance's Proposal	List of System Requirements as extracted from Alliance's proposal in MS Word format.	Sys_Requirements_(Functional)-From_Proposal-NoEdits.docx	Project SharePoint Site
Full Requirements List - State's Questions/Discussion with Alliance while on site.	Requirements list with review notes from meeting with Alliance prior to finalizing the requirements list.	VT-VRCMS-StateQuestOnRequireFor2015-04-03Mtg(v1-3)-Full.docx	Project SharePoint Site

4. Project Information

4.1 Historical Background

Provide any relevant background that has resulted in this project.

SUMMARY

The State of Vermont's Department of Disabilities, Aging, and Independent Living (DAIL) seeks to implement a comprehensive and integrated Vocational Rehabilitation Case Management System (VRCMS) for the Division of Vocational Rehabilitation (DVR) and the Division for the Blind and Visually Impaired (DBVI). DVR and DBVI's public vocational rehabilitation programs and independent living program require an information system that meets all federal Rehabilitation Services Administration (RSA) reporting requirements, tracks cases throughout their life-cycle, provides robust case management and management reporting functionality, is fully accessible to employees with severe disabilities, and can be made securely accessible via the internet web or web portal.

The DVR and DBVI programs have been operating under a legacy data management system that was implemented in the 1980's. The current DVR/DBVI case management (911) tool is on an Informix system. It is clearly an inadequate system for the two Divisions. The outdated and hard to use interface has an ongoing impact on staff efficiency and productivity. In addition, there are a number of major issues with the current 911 Informix system that need to be addressed. These include:

- The current DBVI electronic Individual Plan for Employment system requires Windows XP and stores its data on the users C: drive. As a result, DBVI will experience a major disruption in their operations if the system cannot be replaced in the near future. One instance of failure and data loss has already occurred.
- The current 911 Informix system cannot support existing federal reporting requirements without significant architectural restructuring.
- The current system is not HIPAA compliant because it does not allow DVR/DBVI to implement appropriate security hierarchies to limit access to cases based on staff roles and geographic location.
- In an audit Federal DVR/DBVI received a strong recommendation from their Federal agency that they need to implement a modern case management system.

As a result DAIL has been seeking a modern case management solution for VR and DBVI for over a decade, and have had two aborted previous projects, the first (a COTS solution) due to not being able to reach favorable contract terms, the second (a custom-developed solution) due to vendor non-performance.

There are two viable vendors in the Vocational Rehab space. Initial project selected Vendor A (resulted in not being to agree on contract terms). This 3rd project has selected Alliance, who is the other vendor in this space. DAIL came to the conclusion that Alliance's *Aware* was the best and lowest risk solution based on the following historical background narrative provided by DAIL staff:

- *The State has issued two separate RFPs for a case management system for DVR and DBVI to replace the legacy systems.*
 - *The first Vermont RFP was initiated in 2006. As a result of the RFP process, the vendor Libera was selected as the winning bidder. Alliance did also submit a proposal for the Aware product in response to the RFP and scored the second highest among the reviewers. The only reason the Alliance bid did not receive the highest number of points was price. At the time, DVR and DBVI determined we could not afford the Aware product. Libera was selected because they presented a developed solution that appeared to meet the State's needs and was affordable. However, during*

the contract negotiation, we discovered that there was very little scope to configure the solution to meet the state specific needs of the VR and DBVI programs. Because the Libera system lacked flexibility, they would have been in effect making programmatic decisions for Vermont based on their product structure and not our needs. As a result and after extensive consultation with IT managers, it was determined that Libera would not be an acceptable vendor for the State and negotiations were terminated before a contract was developed.

This decision has been vindicated by the recent high profile failure of Libera to implement their solution in the State of Connecticut. The scale of the Connecticut failure has resulted in the State VR agency completely dropping the Libera system and starting over with a new bid process. As already noted Colorado had a similar experience of “poor results” with Libera and also dropped the product in favor of the Alliance Aware system.

- *The second Vermont RFP was issued in 2010 for a vendor to develop an in-house solution specifically for Vermont. Six bidders responded to the RFP including Libera. The State interviewed three finalists and selected a Rhode Island based company, S3 Technologies, Inc., to develop a custom solution for Vermont. A contract was put in place with S3 Technologies Inc. in May 2011 and work started shortly afterwards. AHS IT, VR and DBVI worked in good faith with S3 Technologies, Inc. to develop a solution. AHS IT, VR and DBVI staffs put in thousands of hours with the vendor to assist them to develop the system. However, despite our best efforts S3 Technologies, Inc. was unable to deliver a workable project after two and a half years. In March 2014, the State cancelled the contract with S3 Technologies, Inc.*

The results of these two RFPs have convinced us that DAIL must purchase a proven commercial solution designed specifically for the VR and DBVI programs used by multiple states. We believe seeking another vendor for an in-house development solution is too high a risk for another failure. In addition, an in-house development solution would require significant DAIL and AHS IT staff resources and perhaps years to develop. As a result we have determined that a solution developed specifically for Vermont is no longer a viable option.

Therefore the only alternative is an established commercial solution with a proven track record. The VR and DBVI programs are simply too complex for a vendor to develop a workable and reliable solution from scratch. In addition the further benefits of an established commercial solution are as follows:

- A. *An established commercial product has a track record that can be documented and evaluated.*
 - B. *Established products improve as new versions are developed in response to user demands.*
 - C. *Established products do not require new programming, except for any configuration required by the State. This requires much less staff resources and time to implement than a new developed solution.*
 - D. *Established products used by multiple states are updated to keep up with improvements in technology and programmatic changes such as new federal reporting requirements.*
 - E. *Ability to interface (be interoperable) with AHS/State information systems.*
- *There are currently only two established COTS available, one of which DAIL has determined is an unacceptable solution.*
 - *Currently, there are only two commercial solutions available, the Alliance Aware product and the Libera VR case management system. DAIL, with the support of AHS IT, has already determined that Libera is not an acceptable option for the reasons previously stated. If Vermont were to release*

another RFP for an established commercial solution (defined as used by more than three (3) DVR/DBVI programs), we know we would only get two qualified bids, from Libera and Alliance. This was confirmed as recently as 2013, when the State of New Hampshire released an RFP for a VR case management COTS solution and only received two qualified bids from Alliance and Libera. Since we already know Libera is an unacceptable option, another Vermont RFP process would serve no constructive purpose.

- Summary

- *Based on the previous project actions and research the Alliance Aware product is the only available solution that meets the State's needs.*

For this project, DAIL used what is termed a “Transitive Procurement Process”. That process uses another RFP that has been issued elsewhere and which most accurately represents DAIL’s requirements. In this case, the State of NH had issued an RFP which closely represented DAIL’s requirements. DAIL then used that RFP to seek a proposal from Alliance Enterprises, Inc. Previously, Alliance had bid on the initial COTS solution being sought, from which DAIL gathered that Alliance had the most comprehensive product, but also, the highest priced product.

4.2 Project Goal

Explain why the project is being undertaken.

- Maintain compliance with all Federal (e.g.; Rehabilitation Services Administration (RSA), US Department of Health and Human Services; Administration for Community Living (ACL)) reporting requirements for DVR and DBVI.
- Support essential state-specific business practices, work flow, and management reporting for DVR and DBVI.
- Replicate and/or improve current business processes as they relate to the usage of the legacy RSA-911 system.
- Implement an electronic case file system with the capability of replacing paper case files.
- Capacity to interface (have interoperability) with new solutions meeting the AHS IT goal for a “One Case Management System”. This solution has proven this capability through implementation and interfacing within 30+ State existing operational systems.

4.3 Project Scope

Describe the project scope and list the major deliverables. Add or delete lines as needed.

The State of Vermont seeks to purchase and implement a web-based, Commercial Off-the-Shelf Vocational Rehabilitation Case Management System that will replace the existing data management and reporting systems used by Vermont's Division of Vocational Rehabilitation (DVR) and Division for the Blind and Visually Impaired (DBVI) to meet both state and federal RSA reporting requirements.

This following details the scope of work:

1. PROJECT PLANNING
2. TECHNICAL ARCHITECTURE DESIGN AND IMPLEMENTATION
 - i. Architectural Design; General
 - ii. State-Hosted Solution
 - iii. Contractor-Hosted Solution
3. PACKAGE VALIDATION
4. BUSINESS PROCESSES AND PROCEDURES
5. CUSTOMIZATION
6. ACCEPTANCE TESTING
7. TRAINING
 - i. Training Planning and Delivery
 - ii. Training Materials
8. DATA MIGRATION
9. IMPLEMENTATION
10. SUPPORT AND MAINTENANCE
11. PROJECT MANAGEMENT

4.3.1 Major Deliverables

Phase	Deliverables	Fees
1 Project Planning	1.1 Project Kick Off 1.2 Integrated Project Management Plan 1.3 System Implementation Strategies	\$20,156
2 Adaptation and Design	2.1 Infrastructure Assessment/Procurement 2.2 Aware VR Installation 2.3 Package Validation Planning 2.4 Aware VR Package Validation/Adaptation 2.5 Aware VR Interface and Interface Customization Designs 2.6 Business Analysis and Planning 2.7 Aware Customization Analysis and Design 2.8 Gap Resolution Plan 2.9 Application Acceptance Criteria	\$264,589
3 Data Conversion Planning	3.1 Aware VR Data Conversion Mapping 3.2 Aware Data Conversion Plan	\$52,728
4 Aware Implementation	4.1 Aware Organizational DC Development 4.2 Aware Case DC Development 4.3 Aware Financial DC Development 4.4 Aware DC End-User Validation 4.5 Aware DC Finalization 4.6 Aware Interface Development and Release 4.6.1 VISION Interfaces Development and Release 4.6.2 Case Data Export to Ticket Tracker Development and Release 4.7 Aware Interface Customization Development and Release 4.8 Aware Customization Dev & Release 4.9 Aware Detailed Test Management Plan 4.10 Aware System and Functionality Test 4.11 Aware Interface Testing 4.12 Aware Detailed Deployment Plan 4.13 Set up Aware Database Reporting Snapshot 4.14 Aware Pilot Test 4.15 Aware End User Training 4.16 Aware Statewide Implementation	\$275,364
5 Project Closeout	5.1 VT DAIL Project Closeout	\$0
Training	Deliver Training	\$80,904
Hosting	Hosting during Implementation	\$159,375
TOTAL IMPLEMENTATION SERVICE FEES		\$853,116

4.4 Project Phases, Milestones and Schedule

Provide a list of the major project phases, milestones and high level schedule. You may elect to include it as an attachment to the report instead of within the body.

The Project Schedule table outlined below details the **Project Tasks** and **Associated Timeline**.

SUMMARY:

1. Phase 1: Project Planning (**7/30/2015**)
2. Phase 2: Installation, Adaptation and Design (**12/31/2015**)
3. Phase 3: Data Conversion Planning (**10/15/2015**)
4. Phase 4: Aware Implementation (**2/22/2017**)
5. Phase 5: Project Closeout (**3/9/2017**)
6. Training (**1/6/2017**)

DETAIL:

Task Name	Duration	Start	Finish
Phase 1: Project Planning	22 days	Wed 7/1/15	Thu 7/30/15
1.1 Project Kick Off	9 days	Wed 7/1/15	Mon 7/13/15
1.2 Develop Integrated Project Management Plan	22 days	Wed 7/1/15	Thu 7/30/15
1.3 Develop System Implementation Strategies	22 days	Wed 7/1/15	Thu 7/30/15
Phase 2: Installation, Adaptation and Design	132 days	Wed 7/1/15	Thu 12/31/15
2.1 Infrastructure Assessment and Procurement	30 days	Fri 7/3/15	Thu 8/13/15
2.2 <i>Aware</i> VR Installation (Alliance Hosted)	12 days	Wed 7/1/15	Thu 7/16/15
2.3 Package Validation Planning	13 days	Tue 7/14/15	Thu 7/30/15
2.4 <i>Aware</i> VR Package Validation/Adaptation	83 days	Fri 7/17/15	Tue 11/10/15
2.5 <i>Aware</i> VR Interface and Interface Customization Designs	88 days	Fri 7/31/15	Tue 12/1/15
2.6 Business Analysis and Planning	TBD	TBD	TBD
2.7 <i>Aware</i> Customization Analysis and Design	TBD	TBD	TBD
2.8 Gap Resolution Plan	113 days	Wed 7/1/15	Fri 12/4/15
2.9 Application Acceptance Criteria	19 days	Mon 12/7/15	Thu 12/31/15
Phase 3: Data Conversion Planning	68 days	Fri 7/31/15	Tue 11/3/15
3.1 Create <i>Aware</i> VR Data Conversion Mapping	55 days	Fri 7/31/15	Thu 10/15/15
3.2 Create <i>Aware</i> VR Data Conversion Plan	13 days	Thu 10/15/15	Tue 11/3/15
Phase 4: <i>Aware</i> Implementation	364 days	Fri 10/16/15	Wed 3/8/17
4.1 <i>Aware</i> VR Organizational Data Conversion Program	50 days	Fri 10/16/15	Thu 12/24/15
4.2 <i>Aware</i> VR Case Data Conversion Program	45 days	Fri 12/25/15	Thu 2/25/16
4.3 <i>Aware</i> VR Financial Data Conversion Program	45 days	Fri 2/26/16	Thu 4/28/16
4.4 <i>Aware</i> VR DC End User Validation	45 days	Fri 4/29/16	Thu 6/30/16
4.5 <i>Aware</i> VR DC Finalization	40 days	Fri 7/1/16	Thu 8/25/16
4.6 <i>Aware</i> VR Interface Development and Release	125 days	Wed 12/2/15	Tue 5/24/16
4.7 <i>Aware</i> VR Interface Customization Dev and Release	145 days	Wed 12/2/15	Tue 6/21/16
4.8 <i>Aware</i> Customization Dev & Release	TBD	TBD	TBD
4.9 Develop Detailed Test Management Plan	26 days	Wed 6/22/16	Wed 7/27/16
4.10 <i>Aware</i> VR System and Functionality Testing	20 days	Thu 7/28/16	Wed 8/24/16
4.11 Interface Testing	88 days	Thu 7/28/16	Mon 11/28/16
4.12 <i>Aware</i> VR Detailed Deployment Plan	30 days	Thu 7/28/16	Wed 9/7/16

Task Name	Duration	Start	Finish
4.13 Set up <i>Aware</i> Database Reporting Snapshot	TBD	TBD	TBD
4.14 <i>Aware</i> VR Pilot Test	36 days	Tue 11/15/16	Tue 1/3/17
4.15 <i>Aware</i> VR End User Training	119 days	Fri 9/23/16	Wed 3/8/17
4.16 <i>Aware</i> VR Statewide Implementation	11 days	Wed 2/8/17	Wed 2/22/17
Phase 5: VT DAIL <i>Aware</i> Project Closeout	1 day	Wed 3/8/17	Thu 3/9/17
5.1 Project Closeout	1 day	Wed 3/8/17	Thu 3/9/17
Warranty Periods	511 days	Wed 7/1/15	Wed 6/14/17
<i>Aware</i> VR Warranty (3 month)	63 days	Thu 2/23/17	Mon 5/22/17
Training Deliverables	376 days	Fri 7/31/15	Fri 1/6/17
TR01 Introduction to <i>Aware</i> for the Project Team	2 days	Fri 7/31/15	Mon 8/3/15
TR02 Using <i>Aware</i> with Assistive Technology	1 day	Fri 7/31/15	Fri 7/31/15
TR03 Basic <i>Aware</i> Adaptation	1 day	Fri 7/31/15	Fri 7/31/15
TR04 <i>Aware</i> Financial Process Overview	1 day	Fri 7/31/15	Fri 7/31/15
TR05 <i>Aware</i> VR Reports	1 day	Fri 7/31/15	Fri 7/31/15
TR06 <i>Aware</i> Test Team Training	2 days	Thu 6/30/16	Fri 7/1/16
TR07 Staff Management, Funds and Budgets and Help Desk Trainings	2 days	Thu 6/30/16	Fri 7/1/16
TR08 <i>Aware</i> Federal Reports and Federal Reports Validation	2 days	Thu 6/30/16	Fri 7/1/16
TR09 Train the Trainer (<i>Aware</i> VR)	2 days	Mon 11/14/16	Tue 11/15/16
TR10 Introduction to <i>Aware</i> VIS for <i>Aware</i> VR	3 days	Wed 1/4/17	Fri 1/6/17

5. Acquisition Cost Assessment

List all acquisition costs in the table below (i.e. the comprehensive list of the one-time costs to acquire the proposed system/service). Do not include any costs that reoccur during the system/service lifecycle. Add or delete lines as appropriate. Based on your assessment of Acquisition Costs, please answer the questions listed below in this section.

The following chart represents the **Acquisition Costs** over a 7 year period, with Years 1 and 2 considered Implementation and Years 3-7 Maintenance and Operations.

Acquisition Costs	Cost	Comments
Hardware Costs	\$0	
Software Costs	\$503K: \$224K \$204K \$75K	Aware Named Users (220) Software License Fee for VR, VIS, and QA Interfaces
Implementation Services	\$853K: \$613K \$81K \$160K	Planning, Design, Conversion, Implementation Training Hosting during implementation
Maintenance and Operations	\$1.9M	Includes Hosting, DR, Contingency, Software Maintenance and Support
Internal Costs	\$19.4M	Staffing plus \$613K in contingency funding
Other	\$400K	EPMO Services
Total Acquisition Costs	~\$23M	

5.1 Cost Validation

Describe how you validated the Acquisition Costs.

The Acquisition Costs were validated through the following methods:

- The Acquisition Costs were first validated through discussions with Vendor regarding how the Vermont project scope compared with other projects Vendor has undertaken which are similar in scope to the Vermont project. Their response, in short, is that they do not publicly publish rates for software or services, but that the Vermont project is comparably priced when compared to other similarly scoped projects.
- In terms of comparing costs among bidders, it is known that Alliance pricing is higher than the other product in the Vocational Rehab space. This fact was discovered during the previously issued RFP (see the description of previous projects in Section 4.1 (Project History). However, DAIL indicates the functionality gained with the Alliance solution offsets that price differential (see FUNCTIONAL REQUIREMENTS section).
- Other costs were validated through readily available market data, including analysis of:
 - Professional Services Rates: Range from \$225/hour for Senior 1 to \$250/hour for Senior 2, which fall in line with industry averages. These rates are further discounted based on volume of hours (41-160: 10%, 161-480: 25%, over 480: 30%).
 - Hosting Rates: \$12K-13K month for Production and Test/Training environments is high when compared to other hosting solutions reviewed for other IR projects.

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)?

1. Vermont costs are comparable to similar projects in terms of professional service rates and effort necessary to implement.
2. Vermont costs are higher in the following areas when compared to other vendor bids and other readily available market data in the following areas:
 - Software license fees: Per Section 4.1, known to be higher compared to other previous bids.
 - Software maintenance and support fees: Range between 50% of list price for named user license and Aware Application license to 35% for all other software licenses. This is higher than industry standard of 15-25% of software list price for comparable services (two new software releases/year, help desk support, 3rd party technology updates, industry compliance (in this case, RSA reporting compliance)).
 - Software hosting fees: Per Section 4.1 and 5.1, higher hosting fees compared to comparable services available in the marketplace.

5.3 Cost Assessment

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

The Acquisition Costs are higher in the areas noted above in the COST COMPARISON section.

The only comparable pricing are hourly rates for profession services and hours required for implementation.

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.

See **ATTACHMENT 4** for a summary of the proposed solution's underlying technology/toolset.

1. **State's IT Strategic Plan:** Describe how the proposed solution aligns with the [State's IT Strategic Plan](http://dii.vermont.gov/sites/dii/files/pdfs/DII-Strategic-Plan-FY2014-2019.pdf) (<http://dii.vermont.gov/sites/dii/files/pdfs/DII-Strategic-Plan-FY2014-2019.pdf>).
 - a. The State's 2015-2019 IT Strategic Plan contains 4 major goals and uses 8 key principles in designing and prioritizing work.
 - i. 4 Major Goals:
 1. To operate IT effectively and efficiently.
 2. To enable Successful Projects.
 3. To enhance information security.
 4. To partner with State Agencies and Departments for Solutions.
 - ii. 8 Key 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.
 - b. The following describes how this project exploits these principles:
 - i. Leverage successes of others, learning best practices from outside Vermont.
 1. *Beginning with the first implementation project in Washington State (1993-1996), all Aware implementation projects have been successful. Aware is now in production use by more than 10,000 vocational rehabilitation (VR) professionals at 32 State agencies and 17 Tribal Nations.*
 - ii. Leverage shared services and cloud-based IT, taking advantage of IT economies of scale.
 1. *This solution is vendor hosted.*
 - iii. Adapt the Vermont workforce to the evolving needs of state government.
 1. *The proposed solution facilitates and supports the business needs articulated in the RFP.*
 - iv. Apply enterprise architecture principles to drive digital transformation based on business needs.
 1. *The platform upon which the proposed solution is based is modern IT framework and enterprise-class architecture.*
 - v. Couple IT with business process optimization, to improve overall productivity and customer service.
 1. *The Vermont project team is comprised of a blend of business and technical staff. The solution transforms how Cases are managed in a very revolutionary way compared to current business processes.*

- vi. Optimize IT investments via sound Project Management.
 - 1. Both DAIL and Alliance are proposing a Project Manager to manage the project. Both teams have had success with similar projects.
- vii. Manage data commensurate with risk.
 - 1. The proposed Aware VR possesses granular information security settings and controls, ensuring only the right people have access to appropriate data.
- viii. Incorporate metrics to measure outcomes.
 - 1. The proposed Aware VIS tool provides the reporting visibility desired by DAIL to provide key metrics.

2. Service Level(s): What is the desired service level for the proposed solution and is the technical architecture appropriate to meet it?

Yes, the technical architecture in the proposed solution will meet the desired Hosting Service Level Requirements (SLRs). Vendor answered in the AFFIRMATIVE that they will meet all **Hosting Service Level Requirements** and **Maintenance Service Level Requirements** outlined in the RFQ, and which are provided below.

HOSTING SERVICE LEVEL REQUIREMENTS

H-40	Vendor's System support and maintenance will commence upon the effective Start Date and extend through the end of the Contract term, and any extensions thereof.
H-41	Maintain the hardware and software in accordance with the specifications, terms, and requirements of the Contract, including providing upgrades and fixes as required.
H-42	Repair or replace the hardware or software, or any portion thereof, so that the System operates in accordance with the specifications, terms, and requirements of the Contract.
H-43	The State will have unlimited access, via phone or Email, to the Vendor technical support staff between the hours of 7:45 am to 4:30 pm - Monday through Friday EST, see Appendix A; section 10. Support & Maintenance.
H-44	The Vendor response time for support will conform to the specific deficiency classes as submitted in the Support and Maintenance Agreement; see section Appendix A, 10. Support & Maintenance.
H-45	The hosting server for the State will be available twenty-four (24) hours a day, 7 days a week except for during scheduled maintenance.
H-46	Vendor will guide the State with possible solutions to resolve issues to maintain a fully functioning, hosted System.
H-47	A regularly scheduled maintenance window will be identified (such as weekly, monthly, or quarterly and within a set time of day) at which time all relevant server patches and application upgrades will be applied. <ul style="list-style-type: none"> • As emergency patches become available, these will be applied to the system at irregularly scheduled times, but outside normal business hours.
H-48	At every change/upgrade release, Vendor will provide detailed release instruction so State can design and provide appropriate user training to respond to changes/upgrades.
H-49	Vendor will guarantee 99.9% uptime, exclusive of the regularly scheduled maintenance window.
H-50	If the Vendor is unable to meet the 99.9% uptime requirement, the Vendor will credit State's account in an amount based upon the following formula: (Total Contract Item Price/365) x Number of Days Contract Item Not Provided. The State must request this credit in writing.
H-51	Vendor will use a change management policy for notification and tracking of change requests as well as critical outages.
H-52	A critical outage will be designated when a business function cannot be met by a nonperforming application and there is no work around to the problem. Vendor will provide the State with critical outage classifications and definitions; see section Appendix A, 10. Support & Maintenance.

H-53	<p>Vendor will maintain a record of the activities related to repair or maintenance activities performed for the State and will report quarterly on the following: Server up-time.</p> <p>All change requests implemented, including operating system patches. All critical outages reported including actual issue and resolution. Number of Deficiencies reported by class with initial response time as well as time to close.</p>
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MAINTENANCE SERVICE LEVEL REQUIREMENTS

P-9	The system must have maintenance and support performance expectations and minimum level of performance measures defined in a Service Level Agreement.
P-10	Service Level Metrics/Indexes required: Response Times Calls resolved within specified periods of time or number of calls, depending on severity/nature of the call. Availability Escalation/Notification Customer Satisfaction.

Additionally, the vendor agrees to “Service Credits”. See the SERVICE LEVEL AGREEMENT section below for more detail. In summary:

If the Vendor is unable to meet the 99.9% uptime requirement, the Vendor will credit State's account in an amount based upon the following formula: $(\text{Total Contract Item Price}/365) \times \text{Number of Days Contract Item Not Provided}$. The State must request this credit in writing.

- 3. Sustainability:** Comment on the sustainability of the solution’s technical architecture (i.e., is it sustainable?).
- a. It appears that the technical architecture is sustainable, given the following considerations:
 - i. The solution is built on industry standard technology (Application Server runs under Windows Server Standard 2012, running IIS V8 web server, Database Server Microsoft SQL Server V2012 (or 2014 if appropriate).
 - ii. The data center is running Microsoft Hyper-V in single tenant environment using dedicated disk.
 - iii. Development Environment:
 - 1. Application is written with C# and VB.NET components and ASP.NET pages
 - 2. Microsoft .NET Framework (general ASP.NET programming environment)
 - 3. Peter Blum (provides data validation)
 - 4. ComponentOne Active Reports (reporting capabilities)
 - 5. Web SuperGoo ABCpdf (PDF generation)
 - 6. Aspose (document processing)
 - 7. Telerik ASP.NET Ajax & Controls
 - 8. Software development is done using Microsoft Visual Studio Professional Edition latest versions.
 - 9. Microsoft Team Foundation Server (TFS) is used for development and testing with work item management, source code control and build production. Load, stress and performance testing are developed and executed using Microsoft Visual Studio Ultimate Edition.
 - iv. The Aware system operates as an N-tiered browser-based application
 - v. Web Standards: Solution conforms to the industry-standard specifications in final development status (in this case, the World Wide Web Consortium [W3C] specifications), the highest maturity level. Web standards are not fixed sets of rules, but an evolving set of technical specifications for web technologies. Browser makers

support the standards set forth by the W3C and Alliance has chosen to monitor and meet those standards.

- vi. Development Standards: Alliance applies Microsoft's ASP.NET standards-based Web application framework designed for Web development to produce dynamic Web pages. ASP.NET is built on the Common Language Runtime (CLR), allowing programmers to write ASP.NET code using any supported .NET language. Alliance uses Microsoft Visual Studio and Team Foundation Server (TFS) for development and tracking.
- vii. Electronic Data Interface: Alliance uses national standards for Web Services including Excel Microsoft Office Open XML (XLSX), Extensible Markup Language (XML), Simple Object Access Protocol (SOAP) and Web Services Description Language (WSDL).
- viii. Accessibility Standards: Alliance uses the Microsoft Active Accessibility (MSAA) and its successor, User Interface Automation (UIA) to make Aware VR more accessible to many people with vision, hearing or motion disabilities. Aware is compatible with popular accessibility products, including JAWS, Window-Eyes, ZoomText Magnifier and Magnifier/Reader, and Dragon Naturally Speaking. Alliance has working relationships with leading accessibility software developers Freedom Scientific (JAWS), GW Micro (Window-Eyes), ai squared (ZoomText), and Nuance Communications (Dragon Naturally Speaking). Additionally, Aware satisfies all Priority 1, Priority 2 and Priority 3 checkpoints of the Web Content Accessibility Guidelines (WCAG).
- ix. Section 508 regulations: Alliance indicates they will work closely with VT DAIL and the VT DAIL of Human Services Information Technology (AHS IT) to comply with Section 508 regulations. (Section 508 define the types of technology covered and set forth provisions that establish a minimum level of accessibility.)
 - x. Vendor utilizes VOIP-based phone system.
 - xi. Vendor utilizes Microsoft Exchange email.
 - xii. Vendor utilizes technology that is supported by State of Vermont EA staff, although in this case, the solution is hosted by the vendor.
 - xiii. Vendor utilizes technology that many users are already trained in/familiar with.

Hosting:

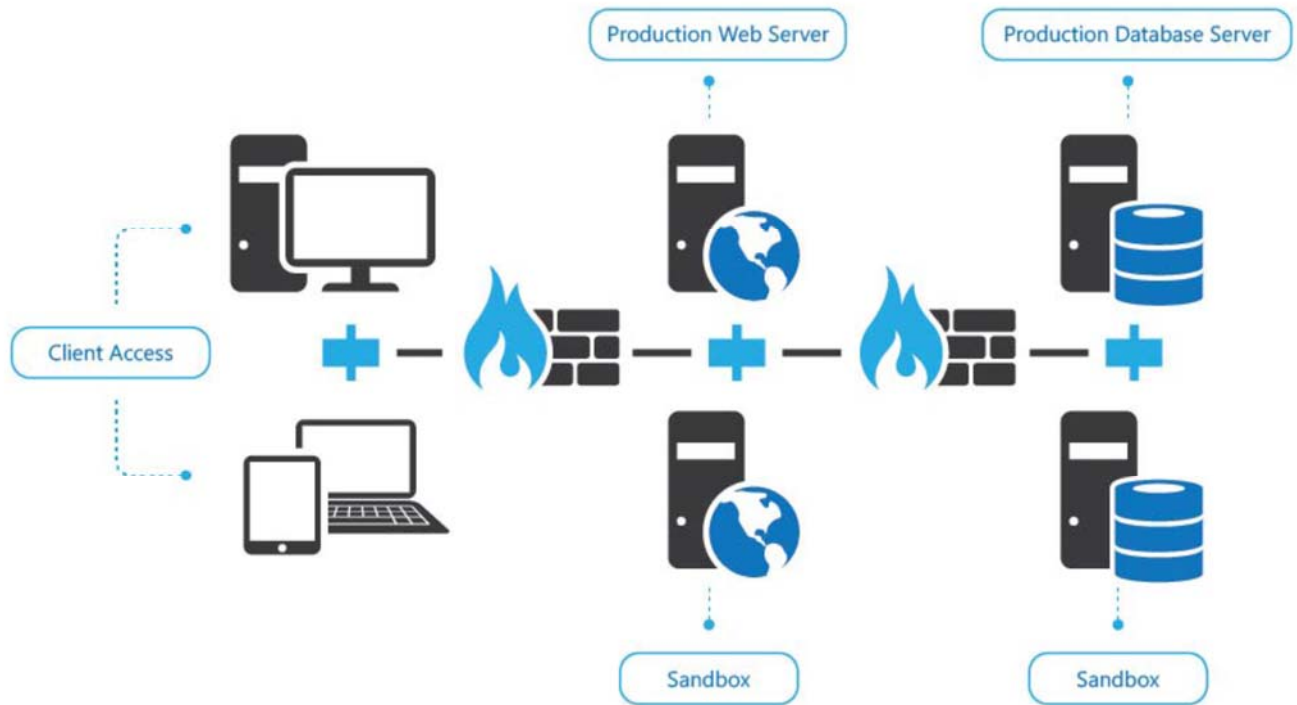
The proposed Aware hosting plan uses standard compliant data center facilities that meet, at a minimum, the following standards:

- ISO 27001/27002
- SOC 1/SSAE 16/ISAE 3402 and SOC 2
- FedRAMP
- FISMA

Alliance guarantees a 99.9% system uptime. See SERVICE LEVEL details below.

Alliance offers two options for vendor hosting (***Managed Service selected by DAIL***):

- **Alliance Managed Service**
 - Licenses required
 - Aware releases are installed and advanced to Production only after VT DAIL approval
 - Upgrade, Maintenance and Support (UMS) agreement required
- **Subscription Service**
 - No Aware licenses purchased
 - Latest Aware upgrades are managed and installed by Alliance on the Production environment
 - Unlimited phone and email technical Support



The following are the recommended minimum server specs:

Server Type	Platform	Processor	Memory	Hard Drive Subsystem
Web Servers	64-bit Hardware	4 Cores	6 GB or better	Hardware RAID
Database Servers	64-bit Hardware	8 Cores	32 GB or better, dependent on database size	Hardware RAID Separate spindles for system, database log, and database data

4. License Model: What is the license model (e.g., perpetual license, etc.)?

- a. Software is licensed as a NAMED USER license (currently 220 named users) and priced as combination of the count of named users and a base license fee per software product
- b. The following products are being licensed (see the table below which shows the modules within the Aware VR product):
 - i. Aware VR (manage cases, process case service financial transactions, analyze information and generate federal and agency reports for Vermont’s Division of Vocational Rehabilitation (DVR) and Division for the Blind and Visually Impaired (DBVI))
 - ii. Aware VIS (generates reports, charts, and graphs in real time providing tools for forecasting, analysis and reporting)
 - iii. Aware QA Tool
- c. The License Agreement and General Support Agreement (called UMS, or Upgrade, Maintenance and Support) were requested of the vendor and reviewed for Service Level Agreements purposes, but not from a contractual lens, as Procurement Advisory Services are not part of this Scope of Work of the IR.

	Aware Core Modules	Required or Proposed Modules	Description
MODULES			
Participant	√	√	This module is home for the case manager and field staff. Case management activity is conducted using this module, from managing participant information and case documentation to creating financial authorizations and payments. Hyperlinks provide easy access to the case and pages such as Personal Information, Application, Eligibility, Plan, Employment, Authorizations, Payments and Closure. This module also includes participant and case reports, along with tools like Letters, Activity Due and ToDo reminders.
Referral	√	√	Enter and track consumer referral information.
Case Transfer	√	√	Transfer cases from one caseload to another.
Employer	√	√	Manage employer company information, locations, can contacts. Create and edit records, maintain multiple employer locations and contacts, and record employer activities. The Employer module could be used to track low vision centers, town meetings and organization contacts for glaucoma screening. The system also supports those agencies that have teams of staff working with a specific set of employers.
Vendor	√	√	Inquiry tool for viewing approved providers. Also includes screens for special registration for providers such as community rehabilitation programs, contract vendors and training agencies.
Financial	√	√	Search, review and report authorizations, payments and warrants. It also includes specialized financial functions such as releasing payments and entering warrant cancellations.
Budget	√	√	Manage case service budgets at the statewide, unit, and caseload level.
Refund	√	√	Enter and review refunds of previous payments.
Group	√	√	Authorize a single vendor to provide services to multiple

Authorization			participants and make bulk purchases.
Invoice	√	√	Generate, submit and approve invoices for contract payments. Note: Although this functionality is included in the core Aware system, it is highly customized for those agencies that use it.
Report	√	√	Print statistical and financial summary reports and structured ad-hoc reports at the unit, area and statewide level.
Staff	√	√	Manage staff records stored in the system, including unit assignments, location assignments, and security access. Also stores each staff member's personal system preferences and password in an encrypted format. Field staff can use this module like a statewide electronic phone book.
Objective	√	√	Manage and review annual performance goals at the statewide, unit, and caseload level.
Help Desk	√	√	A set of tools used to manage the system's lookup and parameter tables, batch processing, caseload groups, and dictionary maintenance.
Interface Management	√	√	Manage data interfaces with systems external to Aware .
Options and Applications			
Aware VIS		√	Enables users to directly access the Aware database and generate simple to complex reports, charts and graphs in real time.
Aware QA Tool		√	Allows agencies to perform case reviews and vendor reviews via questionnaires that are adapted by VT DAIL. Allows for multiple types of reviews. Available by separate license.

5. 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.

Yes, the solution meets the Security Standards set forth in the RFQ.

The specific Security Requirements spelled out in the NON-FUNCTIONAL Matrix is outlined below. The vendor answered in the affirmative that all requirements are met:

A-21	System must conform to State Security Standards. An example of this is described in Vermont's Information Technology Security Policy, found at Appendix C - Vermont Information Technical Management and Infrastructure; Section 2.2 Application Security Standards, and 3. Required Project Policies, Guidelines and Methodologies.
A-22	System must be in compliance with the Rehabilitation Act of 1973, as amended, as it pertains to confidentiality of client information.
A-23	System must be in compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA), specifically the Privacy and Security Rules at 45 C.F.R Part 160 and 164, subparts A, C, and E.
A-24	Remote access will conform to Vermont State standards of a minimum of; Secure web connection (HTTPS) and two (2) points of authentication (username and password).
A-25	All external (Internet) and internal (State WAN/Intranet) communications between users and the application outside the data center must be encrypted with SSL/TLS employing AES or other appropriate FIPS 140-2 standard.
A-26	Ensure application has been tested and hardened to prevent critical application security flaws. At a minimum, the application will be tested against all flaws outlined in the Open Web Application Security Project (OWASP) Top Ten (http://www.owasp.org/index/ph p/OWASP Top Ten Project)
A-27	The application must not contain "backdoor" cryptosystems or algorithms or methods bypassing normal authentication.
A-28	Subsequent application enhancements or upgrades must not remove or degrade security requirements.
A-29	System should have session time out feature and an idle session automated logoff feature which can be defined by system administrator.
A-30	For web based applications, closing all application windows in browser must log off user. System prevents restarting of session from browser history or cache.
A-31	Allow a user to explicitly terminate a session. No remnants of the prior session should then remain.
A-32	Application data will be protected from unauthorized use when at rest.
A-33	The application will not store authentication credentials or sensitive data in its code.
A-34	System must present notification message before granting access informing user that they are accessing a State of Vermont system that is monitored and that unauthorized use of the system is subject to civil and criminal penalties
A-35	Each user should have a single login which will remain valid through the entire session.
A-36	System should support the addition of user accounts that do not have SOV network domain accounts, with fully configurable permissions
A-37	System must support login ID and password encryption
A-38	Where Active Directory is not used, system must require strong passwords (example: 8 or more characters, including a mix of uppercase/ lowercase letters, numbers, and special characters).
A-39	Where Active Directory is not used, system must support password aging with prior notice to user with a "days until" value. Both the expiration and prior warning timeframes must be under control by system administrator
A-40	Where Active Directory is not used, system must lock out user after three unsuccessful login attempts with a notice to contact system administrator to have account unlocked
A-41	Where Active Directory is not used, system must allow password reset and recovery to be accomplished by the user without intervention by system administrator
A-42	The system must use role-based security that allows/restricts user access to information, screens, and the ability to perform specific tasks within the system.
A-43	Role-based permissions and business rules must be customizable. They must be defined, named, and implemented by the system administrator, see Appendix B.1 - Functional Security Matrix.

A-44	Users must be assigned a role that most closely matches their actual job responsibilities (note: this may not necessarily be the same as their job title). These roles will control access to screens, functions, and data fields, and they will enable certain process permissions, depending upon the task being performed. An example (this is not an exhaustive list) of sample roles and allowable tasks is shown in Appendix B.1 - Functional Security Matrix.
A-45	System must support restricting access to cases from other areas and offices statewide and case types based on role, see Appendix B.2 - Case Security Hierarchy.
A-46	The system must allow restricted access to be set for sensitive cases by individuals.
A-47	System should allow ability to grant individual users access to a case by invitation of the Counselor or Manager
A-48	System must allow a statewide client/case lookup subject to the case security hierarchy; see Appendix B.2 - Case Security Hierarchy.
A-49	System must provide easy way to create new roles based on characteristics of an existing role
A-50	It should be relatively easy to "enhance" a user's role, in the event they require additional permissions that are outside those that are given to other users in their position. For example, there may be a very small number of users who have been designated as budget or password administrators, in addition to their normal duties as a Counselor or Manager. Ideally, this assignment could be done without creating a whole new role.
A-51	System accounts must be able to be disabled by system administrator
A-52	System must detect and record all attempted accesses, authentications, and authorizations.
A-53	System should have an audit trail that records changes in the system
A-54	The audit trail should record date and time of change, staff id, data record before and after change, and nature of the change.
A-55	System should allow selected individuals/roles to determine who made the change, when the change was made, and the nature of the change.

Additionally, there is standard language in all AHS Contracts which calls for any Medicaid-funded related project to undertake the following. The vendor did not comment on this requirement.

However, *THIS DOES NOT APPLY TO THIS PROJECT, AS THERE IS NO MEDICAID-RELATED FUNDING.*

Federal Medicaid System Security Requirements Compliance: All contractors and subcontractors must provide a security plan, risk assessment, and security controls review document within three months of the start date of this agreement (and update it annually thereafter) to support audit compliance with 45CFR95.621 subpart F, ADP (Automated Data Processing) System Security Requirements and Review Process.

Security Architecture and Design: Describe the Vendor’s proposed approach to support technical controls and technology solutions that must be secured to ensure the overall security of the System:

Multiple security layers are used to ensure both physical and logical protection of data integrity and privacy, including:

- Security Administration
- Change Management
- Physical Security
- Logical Security
- Environmental Controls
- Data Center Incident Response

Security Administration

The data center has internal Compliance and Legal Departments that stay abreast of local, state, federal, and international laws and regulations applicable to the data center. Corporate Security works directly with Alliance Compliance and Legal departments to consider policy effectiveness and statutory, regulatory and contractual security requirements.

Change Management

The data center implements change management controls to appropriately, test, approve, communicate and document changes to shared infrastructure software and hardware for the hosting environment before implementing changes in the production environment.

Physical Security

The data center has deployed a multi-layered physical security approach consistent with the requirements defined with Industry Standards. Access is controlled by photo badges proximity access cards, biometric devices, closed-circuit television (CCTV)/digital video recorders (DVRs), and alarms. Visitor access is strictly controlled. Global Security Services performs a monthly audit of Security and Visitor access logs. Consistent with International Organization for Standardization (ISO) 27002 and SOC2 controls, the data center follows the principle of least privileged access. No one is allowed on the data center production floor except authorized data center employees. Surveillance cameras are deployed internal and external to all data center facilities, monitoring zones 24x7 with CCTV/DVRs supporting data retention for 90 days. Access to telephone and cable closets is restricted via a separate level in the access control system. Only authorized personnel at each location have access to these rooms.

Logical Security

All system components are secured behind a tiered network using multiple firewalls. Internet firewalls present only secure ports required for access to Aware web application functionality. Web servers are isolated in a demilitarized zone (DMZ) network segment. For additional security, internal firewalls separate the database servers from the web servers. Access to the database servers is highly restricted. The DMZ segment can be monitored by an IDS. The IDS is monitored 24x7x365 for events and alert generation.

Environmental Controls

Numerous environmental controls protect the hosting platform and Aware data. These protections include (but are not limited to):

- Heating, Ventilation, and Air Conditioning (HVAC) N+1 systems provide monitored cooling with redundant cooling towers.
- Backup generators are equipped with enough fuel for 4-5 days with a 4-hour Service Level Agreement (SLA) with a fuel supplier. Uninterruptible Power Supply (UPS) system manages the lag time between power outage and the generators kicking in.
- The data center is third on the fuel distribution list with an alternative.

Incident Response

The data center has a 24x7x365 operation to provide constant awareness and coverage. A defined calling tree and order of contact agreement exists with Alliance to ensure proper flow of communication.

Business Continuity

Business continuity at the data center reflects efforts to sustain the viability of the data center infrastructure. Typically, it involves supporting internal applications, services, utilities, network infrastructure, etc. Business continuity efforts are consistent with and reflect industry best practices. Specific highlights of the program include:

- Redundant utility (data, voice, electric) providers and supporting SLAs
- Adequate inventories for hardware failure replacement
- Backup generators and electrical controls at each data center capable of 4-5 days operation
- Remote support sites for customer contact support
- Backups of corporate support applications
- Periodic restoration and contingency testing

The remainder of this section describes the methods for achieving the stated security position.

Identification and Authentication Methods

Consistent with National Institute of Standards and Technology (NIST) guidelines, Aware provides robust end-to-end identification and authentication to protect against:

- Unidentified users and client applications
- Unauthorized access to data and services
- Transmission of unencrypted authentication information
- Weak authentication methods
- Bypass of authentication mechanisms
- Compromise of confidentiality and integrity of stored authentication information

All authentication transmissions for the Aware system (first three bullets, above) are protected by secure mechanisms including Secure Sockets Layer (SSL) encryption.

The Aware system can protect against the other listed vulnerabilities through implementation of an Alliance-designed security solution based on Single Sign-On (SSO). This approach provides tightly controlled identification, and authentication. This process removes Aware identification and authentication data and management from the Aware servers.

Authorization Methods

The Aware system leverages a variety of authorization methods. For example, the Aware system can leverage the existing infrastructure of Microsoft Active Directory to provide user authentication. User accounts are logically associated within an Active Directory Group that has been granted access only to Aware. This minimal access ensures that users can only access the data and services granted within the Aware system. Strong infrastructure controls, such as restricted port access and SSL encryption of traffic, ensure that users and other systems have access only to ports and services required for their authorized use of Aware. Powerful user-rights management built into Aware provides Roles Based Access Control (RBAC) over access to functions, features and areas of the system. This preferred-access approach gives administrators granular, yet easily managed control, over user rights and privileges.

Malware Immunity Methods

All servers providing Aware functionality run modern, up-to-date, Anti-Malware Management software that prevents malicious programs from destroying data and applications while prohibiting unauthorized users and programs from accessing restricted data and services. Automatic updating is used to ensure the most current malware definitions are being used to protect the System. Active malware scanning is used to protect all facets of the system servers.

Communications and Data Integrity Protection

Access to physical and logical system components and services is tightly controlled and tracked via multiple-level approval processing and ticketing management systems. This protects against unauthorized changes to infrastructure that may otherwise expose vulnerabilities. Communications between system interfaces are cryptographically secured by mandating use of a minimum industry standard of 128-bit SSL encryption. This provides proof of server identity for clients and prevents interception or corruption of sensitive information in flight. Although not included as a part of this proposal, VT DAIL may choose to use client personal computer (PC) certificates to validate client PCs to the Aware system prior to granting access. The use of PC certificates may add costs for additional setup and maintenance, depending on the certificate model VT DAIL uses. Internal Aware authorization controls tightly restrict access to functions and data. Data integrity is protected via an Alliance-designed security solution based on Single-Sign-On (SSO). Aware provides tightly controlled identification, and authentication.

Intrusion Detection

The Aware System uses network-level Intrusion Detection Systems (IDS) with active 365x24x7 monitoring and alerting for unauthorized access attempts to the System resources. Additionally, Aware ensures that when any web page is accessed the user has an active, fully authenticated session. This prevents a user from bypassing the login page and attempting to access the application directly by accessing an internal webpage. Aware has also passed comprehensive vulnerability scans by two separate commercially available software products, Acunetix Web Vulnerability Scanner and IBM Rational AppScan, which include tests that make various intrusion attempts. Alliance runs a comprehensive vulnerability scan with every update and upgrade release.

Data & Communications Privacy

Aware uses multiple data protection methods to ensure that confidential data and sensitive communications stay private.

- Minimum Industry standard 128-bit SSL encryption is used for all system solution communications.
 - Client-to-server communication.
 - Server-to-server communication.
- At-rest data encryption protects data on the database servers.
- Encryption of database backups protects data not stored on the servers.
- Locked offsite storage transfer bins protect data from tampering during transit to, storage at, and return from the secure storage center.

Together, these methods provide protection of data and communications in both passive and active states.

Protection against Unauthorized System Maintenance

Alliance uses multiple methods of maintenance controls to ensure that unauthorized system maintenance does not disrupt system or hardware security mechanisms. System maintenance controls include, but are not limited to:

- Infrastructure changes must follow a structured change methodology.
- Changes to infrastructure must have an objective, solution, internal resource requirements and impact statements.

- Planned infrastructure changes must be submitted and acknowledged prior to the scheduled maintenance.
- Infrastructure changes undergo testing to ensure existing security mechanisms are not accidentally defeated.

Withstanding Denial of Service (DoS) Attacks

Active network access pattern and IDS monitoring may be conducted 24x7x365 using modern systems and monitoring to protect against anomalies including denial of service (DoS) attacks and worms. Routers are configured to prevent DoS attacks with anti-spoofing Access Control Listings (ACLs). These active approaches minimize the potential for DoS attacks before they start.

Software Patch Schedule

Critical patches are deployed immediately, with limited testing. Other patches are tested and delayed for at least seven (7) business days to allow for assessment of impact. Notifications of standard patches are done on a monthly basis with Critical patch notification performed within seven (7) business days. Update implementation is as follows: As security fixes are released, updates are tested internally to make sure that these will not cause complications on systems. Once the patches have been tested and approved, they are applied to the system. Patched servers are restarted on random schedules inside a maintenance window to ensure the entire system is never off-line for routine maintenance.

Aware System Lock-Down Capability

Aware is deployed on hardened and locked down servers designed to minimize attack surfaces.

System Assurance Process or Methodology

In accordance with the guidelines of the Systems Assurance Institute and National Defense Industrial Association, Aware uses several approaches to ensure system assurance targets are met:

- Access to the system components and architecture is tightly controlled.
- The system is routinely scanned for vulnerabilities using well regarded, up-to date commercial scanning software.
- User access to the system is tightly restricted to a minimum set of secure ports.
- The application is engineered such that users must properly authenticate and be authorized before using any part of the system.
- RBAC is used to tightly restrict users as to features and functionality available to them based on job requirements.

In accordance with industry identified System Assurance objectives, these approaches are designed to minimize the chance and risk of exploitable vulnerabilities. Additionally, Aware includes rich internal auditing features for tracking changes to data. Minimum logged information includes date and time of change, Internet Protocol (IP) address of initiator, authenticated name of initiator, state of data pre-change and state of data post-change. Alliance will immediately report any breach in privacy or security to both the AHS IT Security Director and AHS Privacy Director and supply the steps (plan) that are being taken to identify data at risk, procedures to mitigate risk to data and future breaches.

Reliance on RDBMS Assurance Capabilities

Aware leverages some capabilities of MS SQL Server, but is not wholly dependent on it for core auditing capabilities. Administrators of the MS SQL Server database can report on security and availability natively through the built-in tools of MS SQL Server. Please see previous section on System Assurance for detailed information on non-relational database management system (RDBMS) system assurance approaches used by Alliance.

Synchronization among Multiple Databases

Multiple databases are not typically employed for a given instance of Aware. Where high availability and redundancy are required, the MS SQL Server database servers are installed in a Windows Cluster configuration with common storage. This allows multiple database servers to access highly redundant data for immediate failover. Synchronization is built into the cluster design.

Out-of-the-Box System Assurance Reports

During the system development and maintenance activities, the software is peer reviewed, Quality Assurance tested, and tested for end-to-end functionally. This series of mandatory redundancy ensures that standards and procedures are meticulously followed. Reports are reviewed outside of the Engineering department for internal auditing purposes. The Aware system is periodically stressed and load tested to ensure changes have not compromised the reliability or availability of the system. Reports of these tests are compared to benchmark reports.

- 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?
- a. DAIL's Business Continuity requirements are defined as follows: System must be available 24x7x365. Business continuity must not be interrupted during business hours more than once per month or for longer than 4 hours per month.
 - a. Recovery Time Objective (RTO): DAIL RTO requirements will be defined in the Contract with Alliance to assure compliance and accountability by Alliance, however, Alliance meets a 48 hour objective. Alliance indicates they will work with VT to define and support this.
 - b. Recovery Point Objective (RPO): DAIL RPO requirements will be defined in the Contract with Alliance to assure compliance and accountability by Alliance, however, Alliance meets a 24 hour objective. Alliance indicates they will work with VT to define and support this.
 - b. Alliance provides the following options to meet these requirements:
 - a. Using a geographically remote, secondary site for disaster recovery, which is available at additional cost. The core DR/BC plan meets DAIL requirements. The secondary site is not needed, as the DAIL DR/BC plan is to utilize paper as per the Irene DR event. This has been justified by Cost Comparison assuming 1 event/year:
 - i. Work Around Pricing: \$17,946
 - ii. Alliance Hot Site Pricing: \$153,000
 - b. Alliance also includes an overview of the planning necessary to determine VT DAIL Disaster Recovery needs and for transition to the Disaster Recovery site, should it become necessary.
 - c. Alliance maintains telecommunications and email with data center staff and VT DAIL staff via a modern Voice Over Internet Protocol (VoIP)-based communications system and Microsoft Exchange email system. These systems are connected to the Internet via a Tier 1 ISP service link with a redundant path for emergency use. The phone system is VoIP-based and utilizes diversified paths from multiple providers; dual-entry points to facilities; communication management systems that are clustered and load balanced to provide high availability and fail over; and furthermore, are themselves supported by geographically distributed survivable processors.

In summary, Alliance meets the BC/DR requirements defined by DAIL.

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

a. **The data retention requirements are described below:**

Live Operational Data	Live Archived Data	Media Archived Data
<p>How long do data need to be kept in the operational database?</p> <p>Data are kept live in operational SQL Server databases according to true business needs. It is imperative that accurate retention requirements be discovered during the requirements gathering phase of a project. Statutes and statistical needs concerning applicable data will govern when operational data will be deleted from operational databases and archived to separate, non-operational databases (if necessary).</p> <p>E.g.: Data age < 5 years</p>	<p>How long do data need to be kept in the archive database, if at all?</p> <p>Data are kept live in archive SQL Server databases according to the true statistical needs of data owners. Data will be burned to removable media and then deleted from archive databases when it ages beyond statistical needs (if necessary).</p> <p>E.g.: Data age between 5 and 10 years</p>	<p>How long do data need to be kept on removable media, if at all?</p> <p>Data are kept on removable media solely for archival / research purposes. Copies of the media may be distributed to the data owner, statisticians and the State Archive (if necessary).</p> <p>E.g.: Data age > 10 years</p>

- i. All data is stored by Aware under the category above of “Live Operational Data”. As such, no “Archived Data” is stored, in either the LIVE or MEDIA categories. Therefore, the Data Retention objectives are met.

b. **AHS data backup requirements are described here:** With the exception of test and production, data warehouses, all databases are to be **backed up at least once per weekday**. If differential backups are employed, at least one full backup per week must be captured. The recovery model is to be “Simple” for all system databases, data warehouses and static (read-only) databases on AHS production servers and the recovery model is to be “Full” for all transactional-based (ODS) user databases. Transaction logs are to be backed up no more than hourly for all databases with the “Full” recovery model (for at least eight consecutive hours) between the hours of 6:00 AM and 6:00 PM. The log files for all Simple recovery model user databases must be truncated at least once per day. The production **backup file retention period** within the designated backup shares must **not exceed five weeks (with a minimum of eight days)**.

- i. Alliance’s default backup configuration is to perform **weekly full** and **daily differentials**. The **onsite backup retention** rate is **two weeks**. The **offsite backup retention** rate is **12 weeks**. **Both of these meet VT requirements.**
- ii. The method used to backup data is as follows:
 1. Databases are backed up via agent software separately from Windows file system backups. Tools are used to create backups of Aware web application components for rapid recovery without having to reinstall web components from scratch. The resultant distribution packages are included into the normal managed backup process to ensure they remain available.
 2. All backups are performed off-hours to minimize impact on operations. All Aware application capabilities remain online during the backup process.
 3. The weekly full backup and daily differential backup pattern does not use database journalizing and logging for database-level recovery. If an incident results in a server crash, the Microsoft SQL Server write-forward transaction logging features recover the database consistency through replay of internal

transaction logs. **This approach meets the VT requirement equivalent of hourly transaction log backups.**

- c. **Of note:** Alliance acknowledges a potential single point of failure risk potential as follows: *The database state between backups represents the most likely single point of failure. Loss of the database server will require restore to the last differential backup, which may be the prior business day. See associated RISK REGISTER for how DAIL is mitigating this risk.*
- i. **The risk mitigation strategy suggested by Alliance is as follows:** Per Alliance: Most Aware agencies have affirmatively decided that recovery to the last differential backup is an acceptable level of risk. Some agencies choose a more conservative level of acceptable risk. For these agencies, Alliance uses a custom backup solution that provides more granular restore points and increased monitoring for backup and retention jobs. A custom backup approach is optional and is offered with additional cost.

8. Service Level Agreement: What is your assessment of the service level agreement provisions that the proposed vendor will provide? Are they appropriate and adequate in your judgment?

In short, the Service Level Agreements described below are sound.

DAIL did not define specifically required Service Level Objectives in the RFP. However, DAIL will define the necessary and required SLA specifications for the State (DAIL) in the Contract with Alliance. Some of these specifications will align with Alliance Enterprises' published SLAs, however others are AHS and State specifications; DAIL and Alliance may need to negotiate to an agreement (State/AHS Information Technology SMEs, and VT Attorney General will be involved in all SLA negotiations). Alliance indicates they have a published Service Level Agreement(s). The following documents, also included as attachments to this report, spell out these SLAs:

- *Maintenance and Support Agreement*
- *Managed Services Schedule*
- *Hosted Services Schedule*

The relevant content from each of these documents is included below.

SYSTEM RESPONSE SERVICE LEVEL

- a. Performance Problem. In the event that Alliance discovers or is notified by Licensee that Licensee is experiencing a Performance Problem, Alliance will take all commercially reasonable actions necessary to determine the source of the Performance Problem.
- b. Service Credits for Performance Problems. In the event that Alliance (i) is unable to determine the source of the Performance Problem within the time periods described in Section 5.1(iii); or (ii) is the sole source of the Performance Problem and is unable to remedy such Performance Problem within the time period described in Section 5.1(iii), Alliance will deliver a Service Credit to Licensee for each four (4) hour period incurred in excess of the time periods for identification and resolution described above; provided, however, that in no event shall Licensee be entitled to more than two (2) Service Credits for a given calendar day.

SYSTEM AVAILABILITY (HOSTING) – SERVICE LEVEL AGREEMENT

- a. Implement reasonable security procedures consistent with industry standards designed to protect Licensee Data from unauthorized access
- b. Shall use industry standard efforts to create back-up copies and otherwise safeguard the Licensee Data

- c. Upon receipt by Alliance of Licensee’s final payment for Hosting Service, Licensee may request Alliance to provide the Licensee Data in a database document format by paying Alliance a hosting termination and transfer fee, as determined by Alliance, not to exceed \$500 USD
- d. Service Credit” shall mean an amount equal to five percent (5%) of the monthly fee, up to one hundred percent (100%) of the monthly fee
- e. Downtime Periods. In the event Licensee experiences more than four (4) hours of consecutive Downtime, Licensee shall be eligible to receive a one-time Service Credit for each Downtime period

SUPPORT – SERVICE LEVEL AGREEMENT:

- a. Support Hours and Days shall mean Monday through Friday, 8:00 a.m. to 8:00 p.m., Eastern Time, except for holidays observed by government agencies and/or Alliance.
- b. 2 new releases/year
- c. Warranty Period means the 90 calendar day period commencing on the date of Acceptance or as defined in the Agency Contract.
- d. Error Classification:

CLASSIFICATION	RESPONSE	VERIFICATION	RESOLUTION
Severity 1 - Critical	4 hours	ASAP	Immediate workaround and best available resource until resolved
Severity 1 – High	1 business day	5 business days	< 15 days for items used daily, otherwise next release but not more than 45 days
Severity 2 - Medium	1 business day	7 business days	< 30 days for items used daily, otherwise next release but not more than 90 days
Severity 3 - Low	Sole discretion and if so, only in a future release		
Agency-introduced	Hourly services or part of block services		

SUPPORT – MANAGED SERVICES SERVICE LEVEL AGREEMENT:

- a. Pursuant to the Hosting Schedule, Alliance is hosting the AWARE Software on Agency’s behalf. Pursuant to this Managed Services Schedule, Alliance will implement and manage Licensee’s instance of the AWARE Software, including, without limitation, the New Releases to which Licensee is entitled pursuant to the Agency Contract and provide the services set forth in Section 3 below (“Services”). For the sake of clarity, Licensee’s Support Services, Maintenance Services and other services set forth in the Alliance Maintenance and Support Agreement are governed and subject to that Alliance Maintenance and Support Agreement.
- b. Scope of Services:
 - a. Maintenance of AWARE Software on hosted services
 - b. External systems interface management
 - c. System and application security configuration
 - d. Installation of hardware into the server environment
 - e. Upgrade of hardware in the server environment
 - f. Installation of OS and server application software
 - g. Administration of server operations and security
 - h. Monitoring of file-system and disk usage
 - i. Monitoring of system performance, reliability, and availability
 - j. System backup and recovery
 - k. Monitoring for suspicious system activity
 - l. Monthly reporting
 - m. Security Incident reporting
 - n. Reporting of datacenter SSAE\SOC II certification verifications

- c. Service Availability Hours. Alliance shall use commercially reasonable efforts to make the Services available 24x7x365, excluding Maintenance Windows.
- d. Maintenance Windows. Scheduled maintenance activities shall occur between 10:01 PM and 3:00 AM Pacific time. Additional maintenance windows for the Services as deemed reasonably necessary by Alliance to meet operational goals of the Software, or as requested by Licensee will be agreed upon between the parties and may be subject to additional fees.
- e. General Service Targets: Alliance shall use commercially reasonable efforts to ensure that the Services meet the following operational performance, reliability, and functionality targets (subject to use by the number of Users as permitted by the Agency Contract):
 - a. 95.0% of non-report application-page responses will occur in less than 5 seconds
 - b. 99.0% of non-report application-page responses will occur in less than 8 seconds
 - c. All system pages will be functionally available 99.9% of defined service hours for a given calendar month
- f. Service Availability Targets: Alliance shall use commercially reasonable efforts to ensure that the Services are available 99.9% of the time excluding Maintenance Windows
- g. Backup and Recovery: Alliance agrees to capture weekly full backups and daily differential backups of all AWARE Software and associated data required to deliver the Services
- h. Monthly Reports. Within 10 business days following the end of each calendar month, Alliance shall provide monthly reports to Licensee detailing the following minimum information for the month prior to the report

9. **System Integration:** Is the data export/reporting capability of the proposed solution consumable by the State? What data is exchanged and what systems will the solution integrate/interface with? **Please create a visual depiction** and include as **Attachment 1** of this report. Will the solution be able to integrate with the State’s Vision and financial systems (if applicable)?

Yes, the solution is expected to interface with VISION, per the Scope or Work for this project.

Alliance created the Interface Manager to enable secure XML-based data exchanges between Aware and other systems. Aware also supports real-time web service exchanges. Alliance has used these standards in the development of more than 50 VR required interfaces.

Alliance uses national standards for Web Services including Excel Microsoft Office Open XML (XLSX), Extensible Markup Language (XML), Simple Object Access Protocol (SOAP) and Web Services Description Language (WSDL).

Aware supports the following types of interfaces:

- Real time: Aware uses web service objects to give real time web service exchanges. Each service requires custom development to match the specific needs of each interface.
- Batch processing: The Aware Interface Manager tool enables batch data exchange between Aware and external systems.

Aware Interface Manager Tool

All data in Aware is securely available for import/export through the Aware Interface Manager, including case management, vendor, employer and financial data.

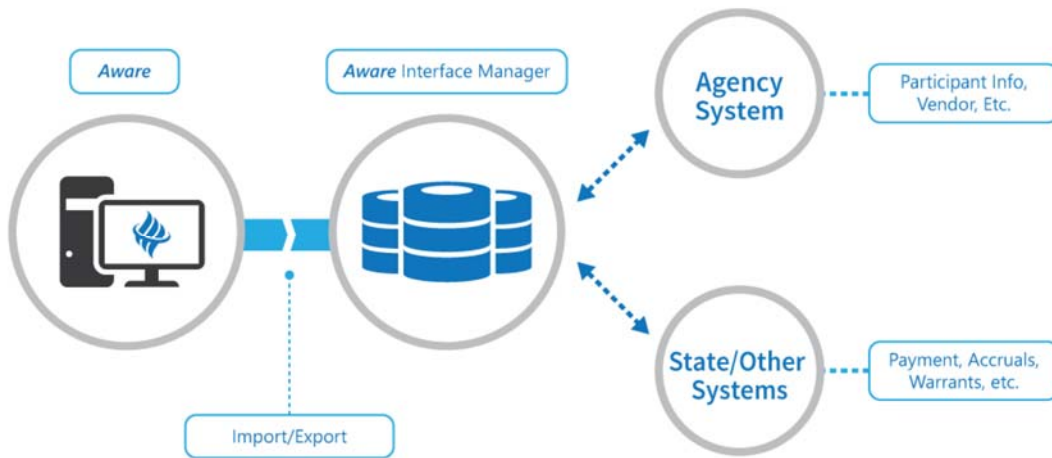
To simplify the interface batch processing, Alliance designed the Aware Interface Manager tool. The Aware Interface Manager is an Extract, Transfer, Load (ETL) tool written specifically for Aware batch data exchange. The Interface Manager usually resides on the SQL Server, but can be located anywhere. The

following figure illustrates a typical use of Aware Interface Manager to exchange data between Aware and external systems.

The Aware Interface Manager is written in .NET framework and includes the following features:

- Uses Web Services to exchange data to and from Aware
- Provides an Extensible Markup Language (XML)-based schema to enable developers to write transformations and import/export interfaces.

Aware Interface Manager completes 80 percent of the coding needed for interfaces. Developers write the remaining 20 percent of coding in SQL and XML transformational language.



Interface Development Languages

Alliance uses industry-standard development concepts and languages when designing interface exchanges with VT DAIL or State systems.

- **SQL:** Interface developers use SQL queries to interact with the Aware database.
- **XML:** Interface developers write transformation steps with well-documented set of commands in XML.

Interface Scheduling Tools

Aware uses the Windows Scheduler and/or SQL Server job agent to schedule the execution of interfaces. These applications are built into the Windows and SQL Server subsystems and are included in the Aware solution. Any other State-used scheduler capable of command-line calls to the Interface Manager can be used as well.

Batch Interface Timing Constraints

Aware has no constraints on batch timing. However, in Alliance's experience with multiple interfaces, best practice calls for running batch processes during off-peak hours and often in a serial and specific order.

Standard File Layout Definitions

The Interface Manager supports many standard file layouts, such as, but not limited to delimited files, email, web service and SQL exchanges with external systems.

Standard Interface Format and Flexibility

In Alliance's experience, external and State systems generally have well-defined interface contracts. Aware Interface Manager supports the interface design of each system. Aware Interface Manager can input or output to the required format of the interface design for each specific State system.

Additional Comments on Architecture:

Vendor commits to providing the following environments:

1. Production
2. Test/Training

7. Assessment of Implementation Plan

7.1 Implementation Readiness

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

1. The reality of the implementation timetable

- a. The overall proposal contemplates a 7 year period, comprised of a 20 month implementation schedule followed by 5 years of maintenance and operations.
- b. Given other project experiences by Vendor, the 20 month implementation period is achievable. Other implementations of similar scope have taken less time.
- c. The project is contemplated to be broken down into 5 Phases, as per the detailed chart below. See **Section 4.4** for the complete Project Task and Schedule chart.
 - i. **Phase 1: Project Planning**
 - ii. **Phase 2: Installation, Adaptation and Design**
 - iii. **Phase 3: Data Conversion Planning**
 - iv. **Phase 4: Aware Implementation**
 - v. **Phase 5: Project Closeout**
 - vi. **Training**

2. Training of users in preparation for the implementation

- a. As per the Project Schedule above, there are 10 major training components noted. Further detail is provided in the training chart below:

Training Number	Training Title	Training Area	Duration
Planning and Adaptation Phases			
TR01	Introduction to Aware for the Project Team	Case Management	One, 2.5-day training
TR02	Using Aware w/Assistive Technology	Technical/Application Support	One, partial day training prior to Introduction to Aware
TR03	Basic Aware Adaptation	Administration	One day training
TR04	Aware Financial Process Overview	Fiscal	One day training
TR05	Aware VR Reports	Reporting	One day training
Implementation Phases			
TR06	Aware Test Team Training	Administration	One, 2-day training
TR07	Staff Management Funds and Budgets Help Desk	Administration Fiscal Technical/Application Support	One, 2-3 day training or multiple webinars
TR08	Aware Federal Reports Aware Federal Report Validation	Reporting	One, 2-day training
TR09	Train-the-Trainer (Aware VR)	Case Management Training	2-day training
TR10	Introduction to Aware VIS for Aware VR	Reporting	One, 3-day training

b. Alliance describes their approach to Training as follows:

Training Strategy

Alliance provides a significant level of training and knowledge transfer during the project. Training prepares the project team members for their roles in the project, including adaptation, design work session participation, testing, and end user training.

Training presentation is based on Alliance’s best practices. For example, *Introduction to **Aware*** is conducted in a classroom environment where with each participant can gain hands-on experience with **Aware**. Other classes are conducted as webinars, often using web-based training technology.

NOTE: See the Sample Documentation attached to this report, “HOW TO FORM A PROJECT TEAM.PDF” for an example of the vendor training material.

Knowledge transfer sessions involve VT DAIL staff in direct technical or other activity, alongside an Alliance subject matter expert. Knowledge transfer encourages learning- as-you go, and allows VT DAIL staff to gain skills so they are independently able to complete **Aware** support tasks following implementation. Examples of Knowledge Transfer topics include focused areas of system adaptation and financial processing. Alliance recommends that trainings occur in the phases of the project as identified in the Work Plan, in the Training Plan, or as listed in the table below. However, trainings may be shifted because of scheduling conflicts. The Training Plan will identify the appropriate phase for each training and include details such as number of attendees, technical requirements, prerequisites, etc. Each training is a Deliverable and will be invoiced upon completion.

The Sample Training Deliverable (TRXX) below identifies the Acceptance Criteria, Alliance Work Products and Expectations of VT DAIL Staff that will be used to determine the completeness of each Training Deliverable.

Deliverable (TRXX: Training Title)

Alliance provides the training as identified in the Training Plan.

Acceptance Criteria

- (TRXX) Training is completed
- Training Evaluation Report is completed

Alliance Work Products

- Training planning meeting has taken place and training date is confirmed
- Training Logistics worksheet is provided to VT DAIL and finalized
- Training material is provided electronically, at least one week prior to the training
- Training is conducted
- Training Evaluation Report is provided to VT DAIL

Expectations of VT DAIL Staff

- Attend training planning meeting
- Schedule students for training
- Provide access to tools, equipment and materials as needed for training as defined in the Training Logistics Worksheet

- Attend training as scheduled
- Complete training evaluation forms

3. Readiness of impacted divisions/ departments to participate in this solution/project

- a. The team is in place and ready for this project. The team has the governance structure, skill set, time allocation, and experience to undertake a project of this scope.

4. Adequacy of design, conversion, and implementation plans

- a. The Design, Conversion, and Implementation plans are proven and adequate. Alliance has successfully implemented several solutions similar in scope to this project.
- b. The **Design/Development** plan is summarized as follows:
 - i. VT DAIL has clearly stated that they prefer to implement Aware out of the box to the fullest extent possible. This approach has been successfully implemented by other agencies who have implemented Aware. In response, the baseline approach – used for the Work Plan, the initial project timeline and the cost proposal – all reflect an approach with minimal customizations.
 - ii. **If VT DAIL determines that other customizations (beyond those required for interfaces, to meet a requirement, and data conversion) are required, the Work Plan, timeline and cost proposal will all be modified during negotiations.**
- c. The **Conversion** plan is summarized as follows:
 - i. Data conversion efforts begin almost immediately in the project and finishes with the deployment of the Production environments. Alliance indicates the data conversion must begin with a rigorous examination of the data and careful mapping from the legacy system to Aware. This project phase includes data conversion mapping for VT DAIL VR data. The Data Conversion Planning Phase of the Project concludes with a completed Data Conversion plan.
 - ii. Alliance focuses on consecutively converting data types below, following by end-user validation:
 1. Organizational
 2. Case
 3. Financial
 - iii. Scope includes Data Conversion for DVR and DBVI for open cases and cases closed within the last seven years.
 - iv. Alliance’s data conversion methodology is iterative. By using phased and multiple data conversion builds, VT DAIL can get started quickly and improve data quality over time. Alliance data conversion, at Go-Live, has a 95% import success rate, which means that data has passed successfully through the Aware rules engine and is a part of case files. Alliance utilizes these processes:
 1. Data Quality Assessment
 2. Early Data Cleansing
 3. Use of Automated Tools In Conversion (Aware Interface Manager, to facilitate the data conversion process, and data is validated using the same Aware rules engine as if the records were manually entered by VR counselors.
 - v. Roles: The data conversion process involves multiple roles filled by VT DAIL and/or Alliance per the table below:

Team	Role
VT DAIL Data Conversion (DC) Team	Data mapping Develop extract programs Validate date conversion Cleanse data UAT
Alliance Data Conversion (DC) Team	Data Conversion analysis and inventory Data Conversion Plan Data Model Training Provide tools and templates to streamline tasks Data mapping Validates legacy data extract Develops and tests Data Conversion programs Issue tracking and resolution Progress tracking and reporting

- d. The approach to **Implementation** is described below, and appears sound and adequate:
- i. The Implementation approach is based on successful practices, tools and techniques for managing, controlling and reporting on project activities. These practices are grounded in Project Management Body of Knowledge (PMBOK) project management methodology.
 - ii. The methodology focuses on three key success factors:
 1. Vision and Communication
 2. End-User Involvement
 3. Manage and Control Project Scope
 - iii. The overall project scope includes the following:
 - All Core modules for Aware case management application (listed in the table at the end of this Topic) and implementation
 - Aware Adaptation for DVR, DBVI and Custom Case Types to support non-RSA funded VR cases
 - Customizations to meet requirements
 - Business Analysis and planning to determine the feasibility, the need for customization and adaptation, and cost for inclusion of specific State programs. Design, development and release of solutions for these deliverables are not included as part of the base COTS implementation
 - Design and develop multiple interfaces:
 - VISION Payment Export
 - VISION Payment Reconciliation Import
 - VISION Vendor Data Import
 - Data Export to Ticket Tracker
 - Data Conversion of DVR and DBVI open case data and up to seven (7) years closed case data
 - Aware VIS - Advanced analytics for management and ad hoc reporting, analysis, and forecasting
 - Training, knowledge transfer, and project management
 - Train-the-Trainer training for statewide training
 - Warranty and Upgrade, Maintenance and Support through Year Five.
 - i. To support the different requirements of DVR and DBVI VR cases, Alliance proposes an implementation of two instances of Aware VR, with a behind-the-scenes replication of limited select data from DVR to DBVI. The replication approach allows the two DSUs to report separately to the RSA, and allows for DVR to be in Order of Selection, while DBVI is not. Much of the work for setting-up the replication between the two Aware VR instances is completed during Phase 2 Installation, Adaptation and Design. Alliance analysts will work with VT DAIL to find the commonalities between the processes and policies of the two agencies' VR management. This

analysis will help define the tables that should be part of the replication. This will also centralize common adaptation for the two instances of Aware VR.

5. Adequacy of support for design/conversion/implementation activities

- a. The project appears adequately staffed and skilled to carry out the design/development, conversion, and implementation activities.

6. Adequacy of agency and partner staff resources to provide management of the project and related contracts (i.e. vendor management capabilities)

- a. Vermont has assigned **Tela Torrey, PMP** as **Technical Project Manager** at 15%. Ms. Torrey has relevant subject matter knowledge and project management expertise to manage this project.
- b. Vermont has assigned **Lisa Young** as **Program Project Manager** at 100%. Ms. Young has relevant subject matter knowledge in the program area.
- c. Alliance has named **Jodi Rawson, PMP** as Project Manager. Ms. Rawson joined Alliance in 2015, so her PM skill set is unproven in this arena. This is addressed in the Risk Register.
- d. As noted above in the IMPLEMENTATION approach, Alliance follows PMI PMBOK methodology for Project Management.
- e. The proposed Project Team provided by Alliance follows:

Account Manager: Lisa Gifford

Alliance executive assigned to VT DAIL to provide senior executive visibility throughout the project. Makes regular contact with VT DAIL to evaluate Alliance's success in meeting and exceeding customer expectations.

Professional Services Director: Sean Campbell

Manages the Project Management department and therefore all Alliance project managers. Provides project management oversight.

Project Manager: Jodi Rawson

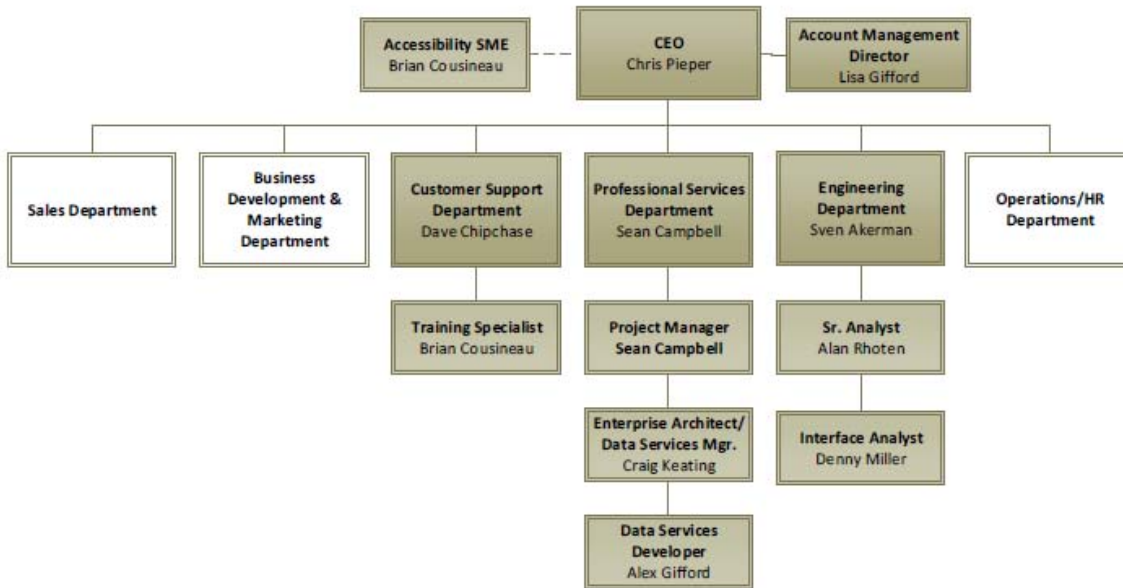
Plans and manages project activities of Alliance team members. Collaborates with VT DAIL project manager to ensure timely completion of Work Products so the project stays on schedule. Plans and manages project team activity. Manages the project schedule.

Alliance Business and System Analyst(s): Pam Clevenger, Denny Miller and Alex Gifford

Conduct adaptation work sessions and gap analysis. Make adaptation recommendations. Conduct extension and interface analysis and design work sessions. Lead data mapping and data conversion deliverables.

Alliance Issue Coordinator: Myja Rieley

Receive and verify issues reported by VT DAIL during User Acceptance Testing (UAT). Track and report on verified system errors identified during testing, new release testing and/or production use. Provide system and technical support.



7. Adequacy of testing plan/approach

The Alliance TEST PLAN, as described below, adequately meets DAIL requirements.

- a. **Test Management Plan:** Alliance provides a Test Management Plan as a key component of the Aware implementation. The plan is provided prior to User Acceptance Testing (UAT) and Test Team Training. The following describes the Test Management Plan components:
 - i. Pilot Test: a pseud-production environment to test Aware in parallel with the legacy system. The Pilot, or integration test, includes data migration, interface operation and use of Aware in a real business environment.
 - ii. Functional Component Testing: Systematically review Aware functionality by using Aware in the same manner as end users.
- b. **Time Allocation:** Alliance does not abbreviate testing to accommodate project timelines or schedules. This project UAT is expected to take 6-8 months.
- c. **Test Management and Test Driver Tools:** Alliance uses automated tools and processes to ensure released code is ready for UAT. As a best practice, Alliance recommends that VT DAIL test Aware as end-users. This ensures that VT DAIL staff focus on testing the use that cannot be automated because it is the human use of the system.
- d. **Pre-Release Testing:** Extensive testing in an Aware test environment validates the following PRIOR to release to UAT:
 - Core Aware
 - New features
 - Data conversion and interfaces (functional tests)
 - Accessibility software
 - Integration
 - Server performance
- e. **User Acceptance Testing:**
 - i. **Team Support:** Alliance will conduct UAT Team Preparation, UAT Team selection, UAT Team Training, Onsite Test Support and Ongoing Test Support.
 1. The Onsite training will cover Test process, Single and multiple related data page testing, Test plan preparation and test cycles, Test cycles, Specialized testing of data conversion, batch processes.

- ii. UAT includes testing of the following aspects of the Aware product:
 1. Adaptation (configuration)
 2. Data conversion
 3. Financial (and others, as needed) interfaces
 4. Federal and Summary Reports
 5. Accessibility
 6. Customizations
- iii. Alliance sees three categories of UAT issues: Interface, Aware and Adaptation
- iv. Response Time: Alliance provides a tiered response time when VT DAIL is in pre-production based on the elapsed time to pilot test and production, using the following classifications. The urgency for defect correction varies depending on the phase of the project or testing of a new release. The closer VT DAIL is to moving to Production, the faster the defect needs to be resolved:
 1. Critical: Catastrophic defect that causes total failure or unrecoverable data loss.
 2. High: The defect results in severely impaired functionality.
 3. Medium: Defect causes failure of non-critical aspects of the system.
 4. Low: Defect of minor significance.
- f. **Documentation**: Alliance provides the following technical documentation on AwareInfo, the online customer portal. This documentation is used as a reference by the UAT Lead, to aid in verifying errors.
 - i. Technical Guides: Instructions for installation, changes to the server
 - ii. Administration Guides: Step-by-step instruction for specialized adaptation
 - iii. Specifications: Technical specifications for pages and reports
 - iv. Data Dictionary/Data Models: Electronic dictionary of the database tables, fields and their definitions
 - v. Release Documentation: Release Highlights, Release Details, Installation Notes, Adaptation Notes, Utility Scripts, Database Changes, and more (as appropriate)
- g. **Software Performance Tools**:
 - i. To isolate performance problems, Alliance uses the following tools to build statistical data and perform analysis. Combining these tools provides trend analysis, near real-time alerting, and granular isolation and documentation capabilities.
 1. Microsoft Log Parser: Processes Windows event and IIS logs using Alliance proprietary analytics to build statistical data and analyze data for specific patterns and causes.
 2. Tableau Desktop: Visualizes data so that trending can be documented and watched over time.
 3. SQL Server Profiler: Captures and processes SQL Server query performance data and correlates events to Windows performance counters.
 4. SQL Server Query Analyzer: Visualizes SQL query execution plans and IIS logs are used to build performance and reliability trend information.
 5. Red-Gate SQL Monitor: Near real-time SQL monitoring and alerting.
 6. Site 24x7 performance and uptime monitoring: Provides multi-point monitoring and alerting of uptime and performance metrics against established SLA values.
- h. **Documentation and Tracking Tools**:
 - i. Internally, Alliance uses a CRM tool and Microsoft Team Foundation Server to track and document all suspected software errors. These tools are used whether the project is in implementation or in production and are not available to customers. After implementation, when VT DAIL is included in the Upgrade, Maintenance and Support (UMS) program, Alliance provides regular reports on reported software errors.

8. General acceptance/readiness of staff

- a. Staff appear ready, well-prepared, and willing to adopt the solution.

Additional Comments on Implementation Plan:

Vendor has successfully completed other comparable implementations for the following organizations in the past 3 years:

CUSTOMER NAME	CUSTOMER CONTACT	PROJECT DURATION	NUMBER OF END USERS and NUMBER OF RECORDS CONVERTED
North Dakota Division of Vocational Rehabilitation	Russell Cusack, VR Director	17 months (2012-2014)	70 1.5M records converted
Maine Bureau of Rehabilitation Services	Karen Fraser, QA Director	18 months (2010-2012)	175 users 1.3M records converted
New Jersey Division of Vocational Rehabilitation	Brian Burns – This project was an upgrade to older Aware VR	17 months (2013-2014)	450 users 4.4M records converted

Key Functional Requirements outlined in the RFP were assessed by selection team and determined to be successfully met by the proposed solution.

Specific areas assessed are outlined below, and demonstrate thorough evaluation and assessment process:

Section One: VR Case; VR walk through - See how the case process flow is presented, case progression through statuses.

#	Step
1.1	Case: Creating Case (Initial Intake, Assessment, Interview)
1.2	Case: Certificate, SE, SSDI, Order of Selection
1.3	Case: IPE, how do the following items tie to “Paid Services”: build plan and develop services, amend plan, plan rational.
1.4	Case: Track employment and progressive employment
1.5	IPE: Determine how comparable benefits get tracked.
1.6	Case: Closure (soft check)
1.7	Case: Case Notes (VR and DBVI)
1.8	Alerts, ToDos as they appear to assist with case creation.
1.9	Hard stops for status; business rules, negative impact.
1.10	Reports; standard/adhoc – Ability to create/run

Section Two: IL Case; DBVI walk through - See how the case process flow is presented, case progression through statuses

#	Step
2.1	Case: Creating Case (Initial Intake, Assessment, Interview)
2.2	Case: Certificate, SE, SSDI, Order of Selection
2.3	Case: IPE, how do the following items tie to “Paid Services”: build plan and develop services, amend plan, plan rational.

#	Step
2.4	Case: Track employment and progressive employment
2.5	IPE: Determine how comparable benefits get tracked.
2.6	Case: Closure (soft check)
2.7	Case: Case Notes (VR and DBVI)
2.8	Alerts, Todos as they appear to assist with case creation.
2.9	Hard stops for status; business rules, negative impact.
2.10	Reports; standard/adhoc – Ability to create/run

Section Three: Non-VR Case

#	Step
3.1	Configure a Non-VR case type
3.2	Each Non-VR case type; how many things are covered and how many are not of items that need to be created.
3.3	Reports; standard/adhoc – Ability to create/run

Section Four: Financial

#	Step
4.1	Testing separation of duties
4.2	Group invoicing
4.3	Invoicing of Contracts
4.4	Setting up a budget; any type of budget, controls, parameters.
4.5	How do you link expenditures to plan
4.6	Business Rules associated with using services codes for specific vendors.
4.7	Reports; standard/adhoc – Ability to create/run
4.8	Credit Card as Authorization Type

Section Five: Accessibility

#	Step
5.1	JAWS, etc.
5.2	Dragon Dictation/Usage
5.3	Tab flow/order
5.4	Short-Cut Key usage
5.5	Reports; standard/adhoc – Ability to create/run

Section Six: Management; Senior Program Management

#	Step
6.1	How caseloads are defined, assigned and manage.
6.2	Staff time tracking; see how it looks (e.g.; PETS)
6.3	Track person is enrolled in a specific program.
6.4	Labor market analysis and opportunity matching; see what has been done with module.
6.5	Reports; standard/adhoc – Ability to create/run

Section Seven: Local System Administrators

#	Step
7.1	Demonstrate how to configure things; local system administrator (e.g.; lookups). What is dangerous to do down the road?
7.2	Demonstrate how to configure things; end user. What is dangerous to do down the road?
7.3	Demonstration of security setup.
7.4	Demonstration of roles/permissions.
7.5	Demonstration of setting access to specific areas.
7.6	VIP cases
7.7	Audit Trail for cases
7.8	Reports; standard/adhoc – Ability to create/run

Section Eight: Data Analysis

#	Step
8.1	Data dictionary
8.2	CTT data
8.3	Reports; standard/adhoc – Ability to create/run

Test Execution Status by Cycle

This was not performed on this solution. This will become part of the UAT for the project and addressed during implementation.

Overall Findings on Product Evaluation

1. Overall the solution satisfies/meets sufficient number of State requirements.
2. State and Vendor will need to, through adaptation, address any areas of concern (elements that need to be hidden, altered, value lists created, and standard reports that exist in system and what needs to be created).
3. Training by Vendor will also help to address some of the questions that were presented by the evaluators.
4. Business Analysis by the Vendor will further assist to define the solution core elements that can be utilized to meet specific program needs or will need to customized development.
5. State has agreed to modify business process where possible to utilize the core solution features and functionality instead of customization.

Additionally, the following team spent 1 week assessing various aspects of the proposed solution. Their findings are outlined below. Again, the findings demonstrate thorough evaluation and assessment process:

ATTENDEES:

Name/Role	Name/Role	Name/Role
Alice Porter/VR data	Mike Goldberg/ DBVI	James Smith/VR
Fred Jones/DBVI BEP & access	Rebecca Bezanson/DBVI IL	Tela Torrey/DAIL IT
Lisa Young/VR	Chelsea Maxson/VABIR EC	Phil Seiler/DAIL IT
Wendy Madigan/ VR Financial	Meg Lidster/VR custom type	Diane Dalmasse/DVR
Sue Zamecnik/VR counselor	Deb Tighe/VR custom type	Brian Guy/VR data
Amber Fulcher/VR custom	Steve Dickens/EAP 1:1 consult	

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
<p>Custom Case Type</p> <p>If you have dual role & work in multiple case types, how easy it is to move between multiple caseloads?</p>	<p>System is fully adaptable at case type level; Can identify custom activity due according to case load</p> <p>We can segregate by caseload type & can select statewide search and put in last name</p>	<p>There might be a role for managed layouts – can break them down by case type</p> <p>Custom activity due feature</p> <p>Guest access report might give you everyone you are assigned</p>
<p>Actual Services</p>	<p>This allows us to access services and information not tied to a client or caseload budget; we can tie plan to auth and set parameters; we can pull all auths related to a service for analysis</p> <p>We can adjust after implementation if we lock down too tight at first</p> <p>VABIR would have permission to gain access and can input service directly into case record</p> <p>How does VABIR capture a successful closure when the VR case is not closing? – <i>VABIR can note that their service is completed and case can continue to move forward with VR</i></p> <p>VABIR requests set aside and counselor approves</p>	<p>Might be able to handle training offsets/Progressive Employment & set asides through Actual Svcs</p> <p>We can use for VABIR b/c we are not exchanging caseload \$ for VABIR staff time/can use for SE</p> <p>Ability to assign staff to specific list of vendors and we can set service start and end date</p> <p>Actual svc and auth have different permission levels so one is not impacted by the other</p> <p>Auth ID is unique number and actual svc is a unique number</p>
<p>Service Categories</p>	<p>This is where a lot of adaptation takes place; We can associate multiple svc categories with specific actions</p> <p>We can associate an auth type with a service category; We can identify established rates</p>	<p>Service codes are included here</p> <p>Can have service sub categories and can make adaptations at subcategory level</p>

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
AT Case Type	<p>With VR clients – can do actual svc and give Amber guest access; Amber can enter notes about actual service</p> <p>Survey Tool will help with the information assistance tracking</p> <p>Can have an open VR case and concurrent non-VR AT case</p> <p>We can make AT a vendor within VR easily</p>	<p>The bridge btw VR and Non-VR might be problematic –challenge to merge reporting for VR case and non-case type</p> <p>If we can pull reporting info in through VIS it is manageable through SQL</p> <p>We can put AT into custom case type since AT does not manage auths for svcs so there is no financial element</p> <p>Similar unit in NMDVR and they worked out a process</p>
WTC custom case type	<p>Can set it up to review services only; can set goals specific to program & can set different svc categories</p> <p>What happens when client starts out as a RU case and then becomes a VR case? –</p>	<p>Use for PE & AT; The challenge will be in the reporting function not user function</p> <p>We would have to close and then open/can't clone; we can transfer basic demographic info</p>
Benefits Data (ie: food stamps and housing)	<p>Can we adapt the Aware benefits list to include these things?</p>	<p>We can extend and add fields to the list</p> <p>Extension will cost more \$</p>
Benefits Counseling	<p>Where will the BPQY info live?</p> <p>How track earnings by month? How track work incentive information?</p>	<p>We can put benefit consultation on a plan (we already do) and include it as a plan service and assign custom activities</p>
<p>Tracking Staff time (positive reporting)</p> <p>PETS, WC screening</p>	<p>It is not a function in AWARE now; might change with WIOA/PETS</p> <p>There is no staff time tracking mechanism within the staff module</p>	<p>Service module <i>might</i> do this (we decided this was not a rqrmt) – is an extra cost</p> <p>Actual service tracks units – can we make hour units? We can, but it would be an additional burden to have staff think that way</p>
<p>Employer Module</p> <p>Can we capture a work experience?</p>	<p>Contact information for employer; how do we distinguish between a WE and competitive employment?</p>	<p>It would be a customization to build work experiences in</p> <p>If we have employment type on the participant search list would it work?</p>
Can Salesforce talk to Aware?	<p>It would be a customization – we can add a list search criteria</p>	<p>Alliance needs to know what data needs to be exchanges</p> <p>Hugh & Alice to talk with Alliance SME</p>

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
	Can we add a field under additional information? Can we do it through managed layout?	
<p>Employer Module Confidentiality – how is it set up?</p> <p>Scenario: If 2 diff districts have a placement at same employer and EC does a search... what info will be available to that EC? Are there confidentiality issues?</p>	<p>Security permissions and ability to work within a module are in our control</p> <p>A search would show name and demographic info – so we would have to develop an internal business practice for <i>interagency release</i> and <i>message to client</i></p> <p>We can limit searches by county or open search statewide and can search a particular case load</p>	<p>We would limit employer module access to VR and VABIR</p> <p>Aware searches for job ready as defined by Aware (meets qualifications within a region/area/employer) – so this is not as broadly applicable to our working definition of “job ready” and PE</p>
<p>Security Measures and staff security</p>	<p>Staff securities govern what you can do within a case; We can assign ‘read only’ to guest access</p> <p>We can set different security permissions for work groups</p>	<p>Guest access can be granted on a case:case basis. If have more than one EC... have to assign primary EC to a case (?)</p>
<p>Staff Securities Mgmt</p> <p>Parameters can be case type specific so securities can be applied across case type</p>	<p>Staff securities for a job – general functions within Aware can set up role based on security template</p> <p>Can do it on an individual basis and it also breaks out so system administrator can keep track</p> <p>If RM is on extended leave and want to assign SC permission to manage staff member—Aware provides a way; Can limit access by time period or can be on-going</p>	<p>Templates are designed to allow us to create job specific securities and we can modify template for new positions</p> <p>If you change a required field it bumps you out into a custom template and that is difficult to manage</p> <p>We can manage conflict of interest cases through confidential cases</p>
<p>Personal preferences can be set to always open a particular case load</p>		
<p>Tools /Reports Module</p>	<p>Reports by topics – can determine securities and limit access</p> <p>Can review activity due by report type (caseload and due by date so it can be used as a planning tool</p>	<p>Objectives can vary by caseload type</p> <p>Managers can see what kind of activities are due by counselor; by district; can assess length of time</p>
<p>Performance statistics sorted by objectives & our internal benchmarks</p>	<p>Are objectives tied to reporting structure or program level?</p> <p>Activity type includes agency and custom. ‘Agency’ aligns with Aware</p>	<p>Set at agency level and then distribute down to region/district/counselor</p> <p>Can set individual and team benchmarks and can apply and measure</p>

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
	<p>tickler prompts & 'Custom' to-dos are counselor specific</p> <p>Matrix performance issues will still be tricky – caseload is credited as an event and the person who entered info gets credit; Staff performance reports can compare program measures for caseload, not necessarily across programs – this is a matrix issue</p>	<p>Objectives are assigned to a case load and staff person is assessed on objectives assigned to c-load</p> <p>RM can access comparison period and current period info for perf evals</p>
<p>Is there an errors report (like our verification report)?</p>	<p>Run RSA 911 through error checker; Can identify a missing field</p> <p>Data integrity checker</p>	<p>Can run RSA 911 and see where missing information</p>
<p>Alert Function</p>	<p>Notify counselor if something is significant for counselor to know before meeting client</p>	<p>ie: alert to schedule an interpreter, leave door open, safety</p>
<p>Survey Tool</p>	<p>Define questions and responses and can determine when and if required; Not sure if we can have multiple surveys</p> <p>Surveys can be a checklist of items and we select what kind of response we want; There is no flow logic to questions so can't say "if no, skip to"</p> <p>Shows up for IL case</p>	<p>Survey available at application and closure only</p> <p>We have to decide if we want to make survey at application required before cert</p> <p>Comprehensive survey available at application – can we use this to align with our initial intake process?</p> <p>We can set our own questions and narrative is optional</p>
<p>VCA – Vendor Contribution Assessment – part of VIS</p> <p>this is not part of our current bid; allows us to do a quantitative score of vendors</p>	<p>quantitative info across all vendors</p> <p>since VABIR is our primary vendor, we might not need it</p> <p>this tool is really meant for our community rehab partners</p>	
<p>Managed Layouts – use participant model</p> <p>This is where counselors can set their own lists/reports to manage things like case load info or activities due</p>	<p>can set at personal preference, by priorities, date, etc</p> <p>Ties activity due to data page where activity resides for Agency ; can see custom (per person) or agency</p> <p>Cannot use rate math – if want to ID who is turning 18 in next 3 months have to select fields and then select filters</p>	<p>We should play with managed layout because it can satisfy a lot of needs</p> <p>Can be used for self-evaluation</p> <p>Can group reporting structures together (matrix)</p>

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
FINANCIAL	FINANCIAL	FINANCIAL
<p>Budget Module</p> <p>Set Fund source and create budgets from fund source</p>	<p>Can have multiple budgets for the fiscal year; \$ can go out to caseloads; c-load budgets are restricted</p> <p>Budgets distributed down through layer(s) to get to counselor level and we control restrictions</p>	<p>Budgets can be informational only and can be exceeded depending on reporting level</p> <p>If you exceed your level; Aware will look up the reporting structure until it hits a restricted level</p>
<p>How assign a budget?</p> <p>Budget/Contract dates</p>	<p>Fund Source – budgets available in the system – budgets require a fund source and a fiscal year</p> <p>there are 3 distribution methods: Direct through a level; informational; office level assigns specific c-load dollar amnts</p> <p>Beginning/End dates</p>	<p>we can identify “selected caseloads” at any fund level; this is where we can do ag/farm</p> <p>we can distribute to a region and RM manages – we can determine how much mgmt. we want at the RM level</p> <p>Begin Dates – drives what budget you are looking at End Dates – defaults to the end of fiscal year</p>
<p>Financial – what kind of controls does business office have?</p>	<p>Association to fund source is made at authorization. At auth there are no encumbered funds. Counselor can draft an auth and depending on permissions can issue an auth (we control separation of duties) when an auth is issued, it encumbers funds and takes money out of a budget; then it goes to payment process and a difft staff person can process payment</p> <p>Will we have a central person in Bus. offc reviewing documentation associated with each auth? It is possible if scan</p>	<p>we can change budget source up to point that the payment is issued (with permissions)</p> <p>we can build a managed layout as a query tool</p> <p>we can sort all payment records associated with search criteria that we select</p> <p>we can have related fund codes, AIL codes, etc</p>
<p>Lock down of Payment</p>	<p>We create a payment and until interface runs to pick the payment up, we can edit it. Once interface runs then it locks down the payment. once business dept has it, payment is locked down</p> <p>At the point that payment is entered, we can set permissions to have a support person do auths and payments</p> <p>internal draft and issue an auth; approve to be paid; financial office would want to do the release of payment; finance has the ability to pull the payment back to Aware and remove the fund source and you can delete the auth</p>	<p>Payment starts at district level; gets coded and then goes to business office for approval and processing; vendor submits invoice back to counselor; counselor approves; interface runs and moves toward business office; lock down the payment</p> <p>Business office pre-audits and then releases file to be submitted to dpt of finance and batches are approved or rejected; after warrant sent out to vendor, info comes back to interface and pymt info is posted back into aware associated with a case ID</p> <p>we can do a specific adaptation to send the auth to interface to be approved</p>

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
	you can roll back payments that have not been warranted	
Authorization Types	<p>Direct payments are direct to participant; participant has to be a vendor</p> <p>Group Auth: purchase services/items from one entity and distribute across multiple participants</p> <p>Bulk Auth: this is the mechanism for pre-buying and then assigning to a district; cannot be tied to a participant at a later date</p>	If want to tie a service to a participant at date later than purchase, can do that through services for groups
Authorization: Separation of Duties: Final Payment	(Rule Button) Message: “You were the last person to amend this authorization. Your agency does not allow the last person who amended the auth to pay the auth”	
Authorizations: General	<p>Based on security settings, different staff can draft/issue auths</p> <p>Comment Sections (printed on auth and one section that is not)</p>	<p>Aware does not permit same person to draft, issue and pay. We need to adapt to allow Program Techs to do all</p> <p>This is a good place for special instructions to admin if counselor is the person drafting auth (ie: ‘client will pick up’)</p> <p>Comment section that is printed on auth is good place for offices to put instructions to vendor (id required prior to purchase, etc)</p>
Auths: Vendor Table	Security Levels for Changing vendor information?	<p>Not sure who has permission to change info in vendor tables. Since this is tied closely to VISIONS and there are lots of variables... should be limited as to who can make changes. Staff should not be making changes to information not knowing how it affects other parts of the financial process.</p> <p>Limit permissions to change vendor table information</p>
Authorizations/Payments Scheduled payments	Can set dates for auto payments (recurring auth) and discussion was around can this be used for training offsets?	Yes – Concerns: changes in work schedule/absenteeism. Counselor has to approve attendance prior to pymt.
(Aware) Imprest auth; we need to track and replenish our imprest fund so we would do an adaptation to get batch to business office	Bill K does not think that VR imprest accounts would be part of the interface – replenish would be separate like it is today	Since district office imprest cash is vendor, should continue to be paid as “one-off”
Training Offsets	recurring authorization	recurring auth – we can schedule payments to be automatically generated

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
		(maybe have a to-do prompt to attach attendance sheet?)
Credit Cards	<p>Aware can handle credit cards; considers it an auth type</p> <p>has ability to select what type of payment it is</p>	<p>In Aware you can choose to pay by credit card which is different than how VT VR currently uses Purchasing Card</p> <p>Since district office imprest cash is vendor, should continue to be paid as “one-off”</p> <p>When using Purchasing Card BGS is a vendor and would have to continue to be processed separately for each client.</p>
<p>GRANTS & CONTRACTS conversation with Alan Rhoten</p> <p>Our Process: we support a service infrastructure with our primary CRP (VABIR) and designated agencies; we don’t want to move to fee for svc; we have outcome driven grant agreements; we use pro-rated billing; we want to assign cost across consumers and link to outcome measures</p> <p>How are cases associated with a contract/grant payment?</p>	<p>Our Need: We would like to assign a fixed amount (to fund a program) and have the vendor bill us by staff/individual and we manage hours of service. We pay on a quarterly basis and pro-rate payment across consumers served</p> <p>We would like PETS to be a fee for service structure so we can bill down grant when students hit certain benchmarks</p> <p>Partnership agreement for Ticket Information with SE partners – how would we achieve this?</p> <p>How easy is it to select participants? Can we select on filter criteria and then apply invoice? Group auth module</p> <p>System handles rates in 2 diff ways: <u>Maximum rate</u> and we can pay less; <u>fixed amount</u> that can’t be modified</p>	<p>Flat rate option: this might be similar to what we are doing. We can pro rate \$ across cases where services were actually received. There are 4 service categories and system can automatically pro rate across</p> <p>Rate paid for a particular type of service – it is up to the person who is creating the auth to decide what will be paid; on a month:month basis might do perf evals based on perf indicators</p> <p>Set up as “Group” – SE - Vendor</p> <p>Group Auth -- can account for vendor providing services for a group of individuals and search allows you to pick multiple people; this might be our method of handling grants; we might also be able to do something through managed layout</p> <p>we can pay less at time of payment in order to accommodate for staff vacancies</p>
Contracts/Grants: Fee for Milestone		Set up as a service unit for __X__ with set rate
VR CASE FLOW:		
New Case Participant Information	<p>Easy to use</p> <p>Appeals and CAP info</p>	<p>Is there an option for home or work number?</p> <p>Can there be a box or action to make sure Appeals Rights and CAP info is given out or reviewed with client?</p>

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
	<p>Survey Participation</p> <p>School Information</p>	<p>Can we make answering survey mandatory before moving forward?</p> <p>Drop down list with all schools (too cumbersome?) enter school name manually?</p>
Miscellaneous personal characteristics	Client survey would be an adaptation – this is where we can add a question for survey participation	Can we make the survey question a required field so people can see it?
Personal Information Section 4 -- contacts	This is where we should add guardianship (under contact type – select NEW)	Alice would like to have an option for guardian address
Eligibility	<p>Disability Types</p> <p>We choose whether we want to do primary and/or secondary disability</p> <p>Most significantly Disabled – Aware has an override for automatic calculation so counselor can determine if SD</p>	<p>Add secondary disability type</p> <p>We can consider automating or over riding – we have a choice</p> <p>We can set parameters for date range for backdating</p>
Initial Interview	<p>It seems like the information/content we collect at initial interview is scattered throughout Aware rather than in a template in one location.</p> <p>This is a big departure from our current business process</p>	<p>We need to figure out where the content is located within Aware so we can train staff AND</p> <p>If there are missing content fields... can we capture it in a survey? Where would we insert the survey?</p> <p>Preference is for II template/all in one place</p>
Certification	Functional Capacity	Change Aware to match VT VR cert form or change our practice to match Aware?
Statement of Rights & Appeals	Not found in Aware	
Household Income	We do not collect HH income in current business process	Suggest that we hide this option during adaptation
Public Support	<p>We are not sure what this question means – is it asking if someone is receiving public support or if someone is interested and/or eligible for public support?</p> <p>We want to be able to assess SSI status and “other” (ie: Fuel) that is not considered cash benefit</p>	
Primary Insurance Carrier	We saw the Aware version where insurance carrier was a requirement	<p>Suggest that we remove this requirement</p> <p>Does the system require that we add a policy number in order to select private insurance or can we hide this?</p>

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
Education: School Information	We would like to be able to search for school at application We did not see a look up for schools	Question: Is core Aware going to have look-up lists for schools? Training? Employment history?
Education: Graduation Info	We want graduation date to be easy/simple to capture and find/search We want estimated graduation dates	Suggest we add a graduation date field to the application so we don't have to select "New" tab to get to the graduation date This will most likely be in a release of newer version before we go live
Comparable Benefits Special Programs: 1. Checkbox list 2. Public support changes	We can create custom activity views and counselors can create prompts for all things that they check off This only captures information related to SSI	Comments Box could be used Question: Can we add other public support options?
Disability Documentation	We can attach medical documents	Potential training issue: users must select "finish" to attach
Need for case mgmt	Is this something we still want to capture? Or can we get at this info through reports and trends? We need to clarify our intent and business process	If we want to capture need for case mgmt. we might be able to do so through special programs
Narrative Case notes	Managed layouts	Use managed layouts Users can create Custom Activity reports
IPE/Plan	Employment goal – under goal we enter the industry and Aware populates the SOC codes There is a field for "reason for selecting this employment"	Satisfies our plan rationale We want to get Aware service categories to match ours We want to remove estimated end date for service in IPE Since svcs are tied to IPE, how difficult is it to amend? <i>Do we need initials/signatures in order to provide service that is not on a plan?</i>
Work Experience	We can do this in "Planned Service" We want to set parameters around ability to extend WE	Set parameters to allow us to extend WE
EC Services	Will most likely use 'actual service'. A begin date and end date can be entered	Adapt to include CWES/EC activities (PE, apps, resumes, etc)
(EC) Education and work history	This information can be entered in the application section. When Job Ready form is completed, a resume is created.	EC will need access to this section. Do not like the resume that is created from the job ready page. Includes information that would not be put on a resume. EC will most likely need to make a different one

BUSINESS PRACTICE/AWARE functionality	DISCUSSION POINTS: what is the functionality? How does it relate to our process?	ADAPTATION: how might we use/adapt it?
Employment Staff Services: Referral	The job ready form asks many of the same questions and an employment staff can be assigned to the case	Change some of the wording to reflect the CWS referral face sheet and the EC intake referral form Adapted job ready form needs: travel distance, registered with DOL, accommodation needs, workplace restrictions
Date of EC intake recorded	How will we capture 3-way, etc – narrative case note? Who enters? Business practice?	A date can be entered for Actual Service, but if entered by counselor, it will not reflect when the EC actually met with them for the first time.
Update employment info	Not found in Aware. If employment info is changed, original info is lost	We want to figure out how to retain info
Disclosure Tracking	Not found in Aware	
OJT Agreement	Not found in Aware	
Closure: Closure summary		Adapt drop down options to better fit our practice
Closure Tickler		Prompt for case closure, counselor can create activity to prompt to send letter and can assign task to admin
Post Employment Plans (status 32)	Opening Condition Check Box	No check box for opening condition Identify tables, sub-category Need signature date for closure
DBVI: Certification		Will need adaptation for functional limitations and services related to vision loss and related rehabilitation services
DBVI: Order of Selection	Not needed for DBVI	Hide somehow
DBVI: IPE	Would prefer to remove the cost section for each service or at the very least not have it be a required field. Also prefer that it not show up in the printed version of the plan	During adaptation, explore options for hiding fields and adapting printed version
DBVI: IL	The application will work well for the DBVI IL program with adaptations similar to stated above Peer review functions, case sharing and ability to train new staff are highlights	
DBVI: electronic signature	Would like electronic signature option	
DBVI: flexible system	Would like there to be flexibility for users whenever possible including reasonable back dating and editing	
DBVI: Training Implications	Believe DBVI staff will adapt well to the Aware application	

7.2 Risk Assessment & Risk Register

After performing a Risk assessment in conjunction with the Business, please create a **Risk Register** as an **Attachment 2** to this report that includes the following:

- 1) **Source of Risk:** Project, Proposed Solution, Vendor or Other
- 2) **Risk Description:** Provide a description of what the risk entails
- 3) **Risk ratings to indicate:** Likelihood and probability of risk occurrence; Impact should risk occur; and Overall risk rating (high, medium or low priority)
- 4) **State's Planned Risk Strategy:** Avoid, Mitigate, Transfer or Accept
- 5) **State's Planned Risk Response:** Describe what the State plans to do (if anything) to address the risk
- 6) **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.)
- 7) **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.

See **Attachment 2**.

Additional Comments on Risks:

Alliance has developed a comprehensive **Risk Management Plan** and **Change Control Process** for this project to manage risk and deliver on scope. Both are summarized below and are positive attributes for this project.

Risk Management Plan:

1. Risk Management Methodology based on 3 essential elements:
 - a. Active management of scope, schedule and resources.
 - b. Clear communication and monitoring of project progress.
 - c. Project structure that reduces risks and supports early resolution of issues.
2. State and Vendor Responsibilities
 - a. Alliance Responsibility
 - i. Risk Management Plan
 - ii. Risk Identification
 - iii. Risk Tracking
 - iv. Risk Mitigation
 - v. Project Oversight
 - vi. Account Management
 - b. State Responsibility
 - i. Risk Management Plan
 - ii. Risk Identification
 - iii. Risk Tracking
 - iv. Risk Mitigation
 - v. Project Oversight
 - vi. Project Sponsor
3. Monitor Progress: Alliance recommends the use of two project tools: the Risk/Issue Log and the Project Schedule
4. Essential Time Constraints: The proposed project schedule allows for overlapping deliverables and very few "gates" – or deliverables which must be completed before other work can start. There are, however, some key time constraints for the project:
 - a. Development work on customizations and interfaces cannot begin until there are State-approved designs. This avoids re-work and lost time that result from design changes.

- b. Data Conversion design cannot be completed until the State completes their adaptation of mandatory configuration of Aware. This avoids rework in order to re-design mapping and logic in data conversion programs.
 - c. Release of new functionality in Aware must coincide with a scheduled release. This avoids extra cost for special releases.
 - d. User Acceptance Testing must follow the schedule in the Test Plan. This ensures that corrections required for System Acceptance are developed and released as planned in the project schedule.
5. Escalation: Escalation policies will be defined in the Contract between VT DAIL and Alliance. These will be clearly documented in the Risk Management Plan for Project Team access. In addition, Alliance recommended Project Structure provide multiple channels that allows for rapid escalation and response.

Change Control Process:

1. Establish the agreed scope for the project
2. Expect the Change Control Board (CCB) to rigorously review requests
3. Adopt Change Control Process
4. Use a Standard Change Request (CR) Form
5. Allow structured scope exchange
6. Manage scope using tools:
 - a. Requirements Traceability Matrix (RTM)
 - b. Agile Development

7. Cost Benefit Analysis

This section involves four tasks:

- 1) Perform an independent Cost Benefit Analysis.
- 2) **Create a Lifecycle Cost Benefit Analysis spreadsheet** as an **Attachment 3** to this report. A sample format is provided.
 - a) The cost component of the cost/benefit analysis will include all one-time acquisition costs, on-going operational costs (licensing, maintenance, refresh, etc.) plus internal costs of staffing and "other costs". "Other costs" include the cost of personnel or contractors required for this solution, enhancements/upgrades planned for the lifecycle, consumables, costs associated with system interfaces, and any costs of upgrading the current environment to accept the proposed solution (new facilities, etc.).
 - b) The benefit side of the cost/benefit will include: 1. Intangible items for which an actual cost cannot be attributed. 2. Tangible savings/benefit such as actual savings in personnel, contractors or operating expense associated with existing methods of accomplishing the work which will be performed by the proposed solution. Tangible benefits also include additional revenue which may result from the proposed solution
 - c) The cost benefit analysis will be for the IT activity's lifecycle.
 - d) The format will be a column spreadsheet with one column for each year in the lifecycle. The rows will contain the itemized costs with totals followed by the itemized benefits with totals.
 - e) Identify the source of funds (federal, state, one-time vs. ongoing). For example, implementation may be covered by federal dollars but operations will be paid by State funds.
- 3) Perform an analysis of the IT ABC form (Business Case/Cost Analysis) completed by the Business.
- 4) Respond to the questions/items listed below.

1. **Analysis Description:** Provide a narrative summary of the cost benefit analysis conducted: The approach used was to gather all costs associated with project for a 7 year period, identify revenue sources for the project, and identify tangible benefits that might also be used as revenue sources or expense reductions.
 - a. **COST COMPONENT:** See the detailed spreadsheet referenced in **Attachment 3** to gain an understanding of:
 - i. Source of Funds
 - ii. Use of Funds
 - iii. Change in Operating Costs
 - b. **BENEFIT COMPONENT:**
 - i. See the Tangible and Intangible Benefits described below.
2. **Assumptions:** List any assumptions made in your analysis.
 - a. Staff reductions are not expected or contemplated through the implementation of this solution, BUT, staff time reductions are anticipated, in terms of reducing the time it takes to perform current tasks in the new environment. There are no dollar benefits associated with this improved efficiency, as staff costs will still be allocated to this business area.
 - b. There is no revenue recovery anticipated.
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.
 - a. Three primary source of funds include:
 - i. Federal Funds: Federal Section 110 Funds, Program Code 43770 at 78%.
 - ii. State of VT General Fund portion of 110 Funds, Program Code 43770 (Part of Rehabilitation Act of 1973 for Voc Rehab reimbursement) at 22%.
 - iii. State of Vermont DAIL General Fund One Time Funds of \$600,000 which is a carryover from prior year(s). Program Code 43500.
 - iv. State of Vermont DAIL Division for the Blind and Visually Impaired (DBVI) To Be Allocated, Program Code 43020.
 - b. See the detailed spreadsheet referenced in **Attachment 3** for actual dollar amounts.

4. **Tangible Benefits:** Provide a list and description of the tangible benefits of this project. Tangible benefits include specific dollar value that can be measured (examples include a reduction in expenses or reducing inventory, with supporting details).
- a. No tangible, monetary benefits identified.
5. **Intangible Benefits:** Provide a list and description of the intangible benefits of this project. Intangible benefits include cost avoidance, the value of benefits provided to other programs, the value of improved decision making, public benefit, and other factors that become known during the process of analysis. Intangible benefits must include a statement of the methodology or justification used to determine the value of the intangible benefit.
- a. System that fully meets statutory/regulatory requirements:
 - i. RSA (Rehabilitation Services Administration) Reporting Requirements: Under the US Department of Education, Office of Special Education and Rehabilitative Services (OSERS). RSA is under the leadership of a Commissioner who advises the Assistant Secretary for Special Education and Rehabilitative Services on programs and problems affecting individuals with disabilities. The Training and Service Programs Division oversees Rehabilitation Training.
 - ii. WIOA: Workforce Innovation and Opportunity Act; Under the Office of Career, Technical and Adult Education of the US Department of Education.
 1. WIOA supersedes the Workforce Investment Act of 1998 and amends the Adult Education and Family Literacy Act, the Wagner-Peyser Act, and the Rehabilitation Act of 1973, which authorizes the Vocational Rehabilitation program. In general, the Act takes effect on July 1, 2015, the first full program year after enactment, unless otherwise noted. The U.S. Department of Labor (DOL) will issue further guidance on the timeframes for implementation of these changes and proposed regulations reflecting the changes in WIOA soon after enactment.
 - iii. Section 508 (Accessibility)
 - b. Improved data collection methods by having reportable data vs. text (notes) captured.
 - c. Improved data accuracy.
 - d. Decrease use of paper over time.
 - e. Several people can access customer information at once from various locations and review/add information simultaneously.
 - f. All 32 projects undertaken by Alliance have been completed successfully, which bodes well for the likelihood of success for DAAL.
 - g. Staff Productivity Improvements, \$1.7M annually, \$12M total over 7 years:

Staff	# of Staff	Estimated Time Saved in Hours			Aggregate Time	Cost / Hour	Total	Totals Without Items Undetermined if will be Automated
		Per Week	Per Quarter	Per Year				
		5 Days in Work Week	4 Quarters Per Year	48 Weeks for Weekly 12 Weeks for Quarterly	Estimated Time Saved Per Year x # of Staff	\$36 / Hour		\$36 / Hour
DVR Counselor	65	5.0	20	240	15,600	\$36	\$561,600	\$561,600
DBVI Counselor	4	5.0	20	240	960	\$36	\$34,560	\$34,560

DBVI Rehab Associates (IL)	4	1.3	5	60	240	\$36	\$8,640	\$8,640
Program Techs	14	15.0	60	720	10,080	\$36	\$362,880	\$362,880
Rehab Associates (DBVI-General)	4	15.0	60	720	2,880	\$36	\$103,680	\$103,680
DVR Contracted VABIR Employment Consultants	60	5.0	20	240	14,400	\$36	\$518,400	\$518,400
DBVI Part-Time Employment Consultants	3	5.0	20	240	720	\$36	\$25,920	\$25,920
DAIL Business Office	3	5.0	20	240	720	\$36	\$25,920	\$25,920
Planning & Evaluation Unit	3	15.0	60	720	2,160	\$36	\$77,760	\$77,760
DVR Processing Grants & Contracts Payments; Administrative Staff	17	5.0	20	240	4,080	\$36	\$146,880	\$0
DBVI Processing Grants & Contracts Payments; Administrative Staff	1	5.0	20	240	240	\$36	\$8,640	\$0
Local System Administrators (LSA)	3	1.5	5	54	162	\$36	\$5,832	\$5,832
Totals	181	82.8	330	3,954	52,242		\$1,880,712	\$1,725,192

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.
- With tangible benefits of \$0, and a project lifecycle increase in State Spending of \$5.3M, there is no clear argument to be made that shows a monetary benefit of pursuing this project. However, there is a compelling argument to be made that a total intangible benefit quantified to be \$12M (\$1.7M annually for 7 years) clearly exceeds that \$5.3M cost increase.
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.
- The IT ABC Form is a good summary, and was accurate at the time of its writing. Some items have been revised/updated with actual numbers based on updated pricing.
 - The total operating costs as represented are low due to how staffing costs are calculated. Staffing costs are calculated to be \$956,952 due to the projected efficiencies to be gained using this new

solution. However, there are no staffing reductions nor are those staffing costs being allocated elsewhere in the budget. Therefore, the staffing costs under the new solution are the same as under the current solution, which is \$1.7M in the ABC Form, or \$2.7M if you use the attached spreadsheet.

- c. The Net Cost Impact to State of Vermont in the ABC form shows a reduction of \$574K. The IR shows an increase of \$5.3M.

Additional Comments on the Cost Benefit Analysis:

No additional comments.

8. Impact Analysis on Net Operating Costs

- 1.) Perform a lifecycle cost impact analysis on net operating costs for the agency carrying out the activity, minimally including the following:
 - a) Estimated future-state ongoing annual operating costs, and estimated lifecycle operating costs. Consider also if the project will yield additional revenue generation that may offset any increase in operating costs.
 - b) Current-state annual operating costs; assess total current costs over span of new IT activity lifecycle
 - c) Provide a breakdown of funding sources (federal, state, one-time vs. ongoing)
- 2.) Create a table to illustrate the net operating cost impact.
- 3.) Respond to the items below.

1. Insert a table to illustrate the Net Operating Cost Impact.
 - a. See the detailed spreadsheet referenced in **Attachment 3** and the table below:

	Year 1 (FY17)	Year 2 (FY18)	Year 3 (FY19)	Year 4 (FY20)	Year 5 (FY21)	Year 6 (FY22)	Year 7 (FY23)	TOTAL
Proposed Operating Costs:								
Total Project Costs	\$4,042,113	\$3,472,350	\$3,074,798	\$3,092,123	\$3,110,315	\$3,129,417	\$3,149,473	\$23,070,589
Total: Proposed Operating Costs:	\$4,042,113	\$3,472,350	\$3,074,798	\$3,092,123	\$3,110,315	\$3,129,417	\$3,149,473	\$23,070,589
Current Operating Costs:								
DVR/DVBI Operations Staff	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$14,620,032
DVR/DVBI Users/Stakeholders Staff	\$582,120	\$582,120	\$582,120	\$582,120	\$582,120	\$582,120	\$582,120	\$4,074,840
DVR/DVBI Technology Staff	\$17,280	\$17,280	\$17,280	\$17,280	\$17,280	\$17,280	\$17,280	\$120,960
DII Project Management Oversight	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Project Management Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Security Assessment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Data Warehouse Server	\$11,550	\$11,550	\$11,550	\$11,550	\$11,550	\$11,550	\$11,550	\$80,850
Misc./Supplies	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$70,000
Total: Current Operating Costs:	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$18,966,682
Net Operating Cost Decrease/(Increase)	(\$1,332,587)	(\$762,824)	(\$365,272)	(\$382,597)	(\$400,789)	(\$419,891)	(\$439,947)	(\$4,103,907)

Summary of Net Change in Operating Costs among Funding Sources:

STATE:								
Proposed State	\$1,879,318	\$1,279,318	\$1,279,318	\$1,279,318	\$1,279,318	\$1,279,318	\$1,279,318	\$9,555,226
Current State	\$596,096	\$596,096	\$596,096	\$596,096	\$596,096	\$596,096	\$596,096	\$4,172,670
STATE Net Operating Cost Decrease/(Increase)	(\$1,283,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$5,382,556)
FEDERAL:								
Proposed Federal	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$13,835,493
Current Federal	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$14,794,012
FEDERAL Net Operating Cost Decrease/(Increase)	\$136,931	\$136,931	\$136,931	\$136,931	\$136,931	\$136,931	\$136,931	\$958,519

2. Provide a narrative summary of the analysis conducted and include a list of any assumptions.
 - a. As outlined in **Attachment 3** section titled “NET CHANGE IN OPERATING COSTS”, you will see the new Operating Costs of **\$23M** are **\$4.1M** over the current costs of **\$19M** over the next 7 years.
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.
 - a. See table above. State Funding Sources increase while Federal Funding Sources decrease.
4. What is the break-even point for this IT Activity (considering implementation and on-going operating costs)?
 - a. There is no breakeven point. This project costs more to operate than the current solution.

Attachment 1 - Illustration of System Integration

Aware Interface Manager Tool

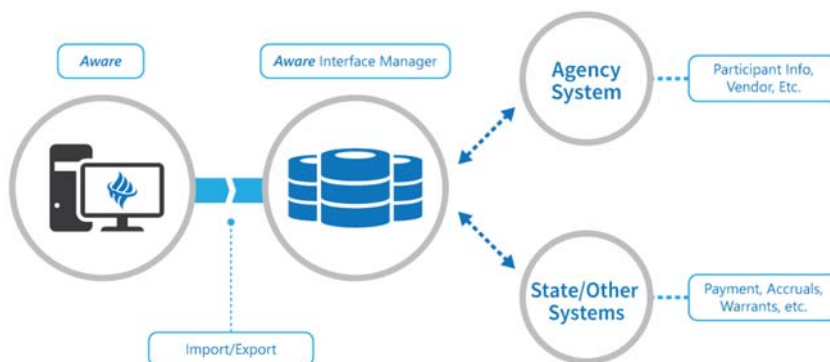
Alliance created the Interface Manager to enable secure XML-based data exchanges between Aware and other systems. Aware also supports real-time web service exchanges. Alliance has used these standards in the development of more than 50 VR required interfaces.

Alliance uses national standards for Web Services including Excel Microsoft Office Open XML (XLSX), Extensible Markup Language (XML), Simple Object Access Protocol (SOAP) and Web Services Description Language (WSDL).

Aware supports the following types of interfaces:

- Real time: Aware uses web service objects to give real time web service exchanges. Each service requires custom development to match the specific needs of each interface.
- Batch processing: The Aware Interface Manager tool enables batch data exchange between Aware and external systems.

All data in Aware is securely available for import/export through the Aware Interface Manager, including case management, vendor, employer and financial data. The Aware Interface Manager is an Extract, Transfer, Load (ETL) tool written specifically for Aware batch data exchange. The Interface Manager usually resides on the SQL Server, but can be located anywhere. The following figure illustrates a typical use of Aware Interface Manager to exchange data between Aware and external systems.



The Aware Interface Manager is written in .NET framework and includes the following features:

- Uses Web Services to exchange data to and from Aware
- Provides an Extensible Markup Language (XML)-based schema to enable developers to write transformations and import/export interfaces.

Aware Interface Manager completes 80 percent of the coding needed for interfaces. Developers write the remaining 20 percent of coding in SQL and XML transformational language.

Interface Development Languages

Alliance uses industry-standard development concepts and languages when designing interface exchanges with VT DAIL or State systems.

- **SQL:** Interface developers use SQL queries to interact with the Aware database.
- **XML:** Interface developers write transformation steps with well-documented set of commands in XML.

Attachment 2 - Risk Register

See attached document: [FINAL-REVIEW-SOV-DAIL-VocRehab-CaseManagement-STS Risk Register.pdf](#)

Attachment 3 – Lifecycle Costs and Change in Operating Costs

See attached document: [FINAL-REVIEW- SOV-DAIL-VocRehab-CaseManagement-STS Cost Detail.xlsx](#)

Attachment 4 – Technology Infrastructure

OVERVIEW

The following describes the underlying technology used to develop the application, the database system used, and the servers used in the hosting environment.

SERVER ARCHITECTURE

- A single-tenant virtualized server infrastructure is used in the data center running Microsoft Hyper-V, with dedicated disk for storage
 - Windows 2012 R2 Server Standard or above as the server operating system
 - Windows IIS V8 as the web/application server

DATABASE

- Microsoft SQL Server V2012 (perhaps V2014 will be used by the time DAIL implements)

CLIENT

- Recommended version of Internet Explorer, Google Chrome, Apple Safari, or Mozilla Firefox
- MS Office to take advantage of Aware email and Word formatting capabilities
- Adobe Reader to view specific reports
- Tableau software for analysts/managers using Visual Intelligence Solution (VIS)

DEVELOPMENT ENVIRONMENT

- Application is written with C# and VB.NET components and ASP.NET pages
- Microsoft .NET Framework (general ASP.NET programming environment)
- Peter Blum (provides data validation)
- ComponentOne Active Reports (reporting capabilities)
- Web SuperGoo ABCpdf (PDF generation)
- Apose (document processing)
- Telerik ASP.NET Ajax & Controls
- Software development is done using Microsoft Visual Studio Professional Edition latest versions.
- Alliance utilizes a Scrum Methodology (part of the Agile movement) and follows Microsoft Solutions Framework Agile Template for their software development life cycle methodology. The approach is summarized as:
 - Define work
 - Design
 - Develop and unit testing
 - QA team does functional testing
 - Full end to end testing before regression testing
- Microsoft Team Foundation Server (TFS) is used for development and testing with work item management, source code control and build production. Load, stress and performance testing are developed and executed using Microsoft Visual Studio Ultimate Edition.
- Web Standards: Solution conforms to the industry-standard specifications in final development status (in this case, the World Wide Web Consortium [W3C] specifications), the highest maturity level. Web standards are not fixed sets of rules, but an evolving set of technical specifications for web technologies. Browser makers support the standards set forth by the W3C and Alliance has chosen to monitor and meet those standards.
- Development Standards: Alliance applies Microsoft's ASP.NET standards-based Web application framework designed for Web development to produce dynamic Web pages. ASP.NET is built on the

Common Language Runtime (CLR), allowing programmers to write ASP.NET code using any supported .NET language. Alliance uses the following industry-standard tools for development and tracking: Microsoft Visual Studio and Team Foundation Server (TFS).

- **Accessibility Standards:** Alliance uses the Microsoft Active Accessibility (MSAA) and its successor, User Interface Automation (UIA) to make Aware VR more accessible to many people with vision, hearing or motion disabilities. Aware is compatible with popular accessibility products, including JAWS, Window-Eyes, ZoomText Magnifier and Magnifier/Reader, and Dragon Naturally Speaking. Alliance has working relationships with leading accessibility software developers Freedom Scientific (JAWS), GW Micro (Window-Eyes), ai squared (ZoomText), and Nuance Communications (Dragon Naturally Speaking). Additionally, Aware satisfies all Priority 1, Priority 2 and Priority 3 checkpoints of the Web Content Accessibility Guidelines (WCAG).

INTERFACES

- **Electronic Data Interface:** Alliance uses national standards for Web Services including Excel Microsoft Office Open XML (XLSX), Extensible Markup Language (XML), Simple Object Access Protocol (SOAP) and Web Services Description Language (WSDL).
- **Aware Interface Manager:** To simplify the interface batch processing, Alliance designed the Aware Interface Manager tool. The Aware Interface Manager is an Extract, Transfer, Load (ETL) tool written specifically for Aware batch data exchange.

HOSTING

The proposed Aware hosting plan uses standard compliant data center facilities that meet, at a minimum, the following standards:

- ISO 27001/27002
- SOC 1/SSAE 16/ISAE 3402 and SOC 2
- FedRAMP
- FISMA

DAIL VocRehab/DBVI Case Management Project

RISK REGISTER DESCRIPTION:

1. Risk Description: Provide a description of what the risk entails
2. Source of Risk: Project, Proposed Solution, Vendor or Other
3. Risk Rating: Risk ratings to indicate: Likelihood and probability of risk occurrence; Impact should risk occur; and Overall risk rating (high, medium or low priority)
4. Risk Strategy: State's Planned Risk Strategy: **Avoid, Mitigate, Transfer or Accept**
5. 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.)
6. State's Planned Risk Response: Describe what the State plans to do (if anything) to address the risk
7. 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.

NOTE: Hyperlinks are used on the Risk ID. From the Risk Register, CTL-CLICK on a link to see the Risk Response, or from the Risk Response, CTL-CLICK on a link to go back to the Risk Register.

RISK REGISTER:

Risk #:	Risk Description	Source of Risk	Risk Rating: Impact	Risk Rating: Probability	Risk Rating: Overall Risk	State Risk Strategy Summary (Avoid, Mitigate, Transfer, Accept)	Timing of Response	Reviewer Assessment of Response
1a	<u>Budget/Funding:</u> There is the potential for additional scope and resulting budget impact during either contracting or initial requirements gathering, depending on whether items beyond the currently anticipated customization are needed and/or additional DR/BC items are needed.	Project	Medium	Low	Low	Avoid	During project	Risk Mitigated
2a	<u>Contract Item:</u> Suggestion that DVR and DBVI pay for only implementation team licenses during the implementation work, and then pay for the remaining licenses once implemented – “Payment at time of product consumption”.	Project	Medium	Medium	Medium	Accept	Prior to starting project	Risk Mitigated
3a	<u>Vendor Risk:</u> No risk noted.							
4a	<u>SOV Service Level/Staffing:</u> While DAIL has allocated named staff to the project, particularly SME skill via the Counseling staff, there is a risk that service levels those staff currently provide to Customers will decrease and/or expected participation on the project will suffer.	Project	High	Medium	High	Avoid	Prior to starting and during project	Risk Mitigated
5a	<u>Project Management Staffing:</u> Jodi Rawson is assigned as Project Manager by Alliance. Ms. Rawson just joined Alliance in 2015, so her skill set is not yet proven with implementing the proposed solution.	Project	High	Medium	High	Accept	Prior to starting project	Risk Mitigated
6a	<u>Project Schedule:</u> 1a above may impact schedule.	Project	Medium	Medium	Medium	Avoid	During project	Risk Mitigated
6b	<u>Project Schedule:</u> Design, Development and Implementation is expected to take 20 months. Is DAIL prepared for this level of commitment?	Project	Medium	Medium	Medium	Accept	Prior to starting project	Risk Mitigated

7a	<p><u>Data Conversion:</u> There are two concerns here: Data Quality and Data Value. Data Quality: Is the data accurate. Data Value: How much cost/effort will go into converting data, and how much value does that data have going forward?</p>	Project	Medium	Medium	Medium	Mitigate	During project	Risk Mitigated
7b	<p><u>Data Backup:</u> Alliance acknowledges a potential single point of failure risk potential as follows: The database state between backups represents the most likely single point of failure. Loss of the database server will require restore to the last differential backup, which may be the prior business day.</p>	Project	Low	Low	Low	Accept	Prior to starting project	Risk Mitigated
7c	<p><u>Business Continuity/Disaster Recovery:</u> Neither DAIL's Recovery Time Objective (RTO) nor Recovery Point Objective (RPO) have been defined. Alliance indicates anything beyond what is proposed will be additional cost. Is what is proposed by Alliance (RTO of two days, RPO as of the last differential backup but no longer than 24 hours) acceptable to DAIL?</p>	Project	Medium	Medium	Medium	Accept	Prior to starting project	Risk Mitigated
8a	<p><u>Functionality:</u> No risk noted.</p>							
9a	<p><u>Interoperability:</u> No risk noted.</p>							

RISK RESPONSE:

Risk #:	State's Planned Risk Response and Reviewer's Assessment of State's Risk Response
1a	<p>STATE'S RISK RESPONSE: We will mitigate this risk by modifying business processes so that we can adopt the COTS version with minimal customization. The Stage 1 Analysis enables us to do a cost/benefit analysis of desired customization thereby allowing us to prioritize to meet our business needs while staying within our budget as well as plan for changes to business process should we decide to limit desired customization.</p> <p>REVIEWER'S ASSESSMENT: Accept this response.</p>
2a	<p>STATE'S RISK RESPONSE: State accepts this risk.</p> <p>DAIL has spoken with the Vendor representatives concerning the prices for the initial package of licenses vs breaking the number of licenses needed into separate procurement schedules; number needed for implementation and remaining at time of product acceptance (Go-live).</p> <p>The Vendor has given DAIL a discounted bundled initial package pricing for licenses if procured at initial project start up. If DAIL requests a change in license procurement schedule the discount would not be available. Changing the procurement schedule would have the result of higher pricing for licenses.</p> <p>DAIL Divisions (DVR and DBVI) have indicated that they have the funding now to procure the licenses at the discounted bundled initial package pricing and have reviewed the number of licenses needed for the Implementation/Go-Live phases. They are confident that the number of licenses in the initial package is accurate; they will not be paying for licenses that will not be used.</p> <p>REVIEWER'S ASSESSMENT: Accept this response.</p>
3a	<p>STATE'S RISK RESPONSE: N/A. No risk noted</p> <p>REVIEWER'S ASSESSMENT:</p>
4a	<p>STATE'S RISK RESPONSE: We will mitigate this risk by prioritizing tasks, shifting workloads and suspending extracurricular/committee work for staff members impacted by Aware. Our counselors and employment staff are cross-trained and agile. There are two district offices per region and staff is equipped to move between district offices to provide coverage as needed. In the past we've mitigated this risk by redistributing tasks across work teams and district offices as well as suspending extracurricular committee work and/or mandatory meetings which allows staff to focus remaining time on core activities related to direct customer service or Aware respectively. We continue to receive high consumer satisfaction ratings during periods of diminished capacity such as vacancies and extended vacation. We have supervisor/manager oversight and support to assess impact and help teams implement strategies.</p> <p>REVIEWER'S ASSESSMENT: Given DAIL's <u>actual</u> experience in this area vs. just speculating that the team can handle the anticipated workload without impacting customer service delivery, the approach described mitigates this risk.</p>

5a	<p>STATE'S RISK RESPONSE: We will mitigate and accept this risk. We accept a new PM because Alliance has developed a mature PM Process and they have a perfect record of implementation over 20 years and 30 projects. For mitigation, the contract covers issues of gross misconduct and similar by the vendor's staff and appropriate recourse for dismissal. In addition, the contract is deliverable based so failure to perform minimizes financial liability to State.</p> <p>Further, DAIL expects to add the following language to the contract:</p> <p>In review of the Contractor's Project Manager Resume the State has noted that this will be the first implementation of this solution for the assigned Contractor's Project Manager. State understands that there will be Project Management Oversight throughout the project. State requires that the Contractor's assigned Project Manager(s) for Project Management Oversight have experience in the implementation of this solution and will have the level of involvement to detect issues early, assist with mitigations, and assure project stability and deliverables."</p> <p>REVIEWER'S ASSESSMENT: Accept this response, with the understanding that DAIL will address this contractually.</p>
6a	<p>STATE'S RISK RESPONSE: We accept this risk. We have confidence in the PM process that Alliance has developed and believe we can limit customization to meet the agreed upon schedule that we establish during project kick-off. We will prioritize work and modify business practice to stay within project schedule.</p> <p>REVIEWER'S ASSESSMENT: Accept this response.</p>
6b	<p>STATE'S RISK RESPONSE: State accepts this risk. Vendor feels that we can implement the project in less than 20 months. We spoke with other VR/DBVI agencies that implemented Aware and found average time to be between 12 – 17 months. We considered states that did more customization than we intend to do as well as states that have two instances of Aware and feel we can complete in less than 20 months. Even if we cannot complete in less than 20 months, we are fully committed to completion of the project. In fact, State will monitor constraints and performance and would choose to modify scope before adjusting time frames.</p> <p>REVIEWER'S ASSESSMENT: Accept this response.</p>
7a	<p>STATE'S RISK RESPONSE: State will mitigate this risk by qualifying the data to be transferred into three categories: high, medium and low value. Work will be prioritized by data value thus if the cost or effort increases we can choose to not do some conversion work and only the lowest value data will not be converted.</p> <p>REVIEWER'S ASSESSMENT: Accept this response.</p>
7b	<p>STATE'S RISK RESPONSE: State will accept the risk of having the last differential backup as the recovery point in event of a catastrophic failure. Specific terms of backup and recovery are included within the contract.</p> <p>REVIEWER'S ASSESSMENT: Accept this response.</p>
7c	<p>STATE'S RISK RESPONSE: State will mitigate this risk by specifying RTO and RPO in the terms of the contract. RTO is defined as a maximum of two days. RPO is defined as the last differential backup but no longer than 24 hours in the past.</p> <p>REVIEWER'S ASSESSMENT: Accept this response.</p>

8a	<p><u>STATE'S RISK RESPONSE:</u> N/A. No risk noted.</p> <p><u>REVIEWER'S ASSESSMENT:</u></p>
9a	<p><u>STATE'S RISK RESPONSE:</u> N/A. No risk noted.</p> <p><u>REVIEWER'S ASSESSMENT:</u></p>

Contingency							\$306,500	\$306,500	\$0	\$0	\$0	\$0	\$0	\$613,000
DEPARTMENTAL INTERNAL COSTS TOTAL							\$2,994,476	\$2,994,476	\$2,687,976	\$2,687,976	\$2,687,976	\$2,687,976	\$2,687,976	\$19,428,832

PROJECT SUB TOTAL COSTS							\$3,924,382	\$3,421,034	\$3,029,358	\$3,046,427	\$3,064,350	\$3,083,169	\$3,102,929	\$22,671,649
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3% Charge for DII PMO/EA Services							\$117,731	\$51,316	\$45,440	\$45,696	\$45,965	\$46,248	\$46,544	\$398,940
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PROJECT TOTAL COSTS							\$4,042,113	\$3,472,350	\$3,074,798	\$3,092,123	\$3,110,315	\$3,129,417	\$3,149,473	\$23,070,589
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USE OF FUNDS - END

SOURCE OF FUNDS (PAYMENT SCHEDULE BASED ON DELIVERABLES) - START

Revenue Source:					Year 1 (FY17)	Year 2 (FY18)	Year 3 (FY19)	Year 4 (FY20)	Year 5 (FY21)	Year 6 (FY22)	Year 7 (FY23)	TOTAL
State of VT General Fund, Program Code 43500	Source: Carry forward DALL General Fund One Time				\$600,000	\$0	\$0	\$0	\$0	\$0	\$0	\$600,000
State of VT General Fund portion of 110 Funds, Program Code 43770 (Part of Rehabilitation Act of 1973 for Voc Rehab reimbursement)	22%				\$557,474	\$557,474	\$557,474	\$557,474	\$557,474	\$557,474	\$557,474	\$3,902,318
Federal Section 110 Funds, Program Code 43770 (Part of Rehabilitation Act of 1973 for Voc Rehab reimbursement)	78%				\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$13,835,493
Division for the Blind and Visually Impaired (DBVI) To Be Allocated, Program Code 43020		\$2,533,973			\$721,844	\$721,844	\$721,844	\$721,844	\$721,844	\$721,844	\$721,844	\$5,052,908
TOTAL:					\$3,855,817	\$3,255,817	\$3,255,817	\$3,255,817	\$3,255,817	\$3,255,817	\$3,255,817	\$23,390,719

SOURCE OF FUNDS - END

OVERALL PROJECT CASH FLOW - START

	Year 1 (FY17)	Year 2 (FY18)	Year 3 (FY19)	Year 4 (FY20)	Year 5 (FY21)	Year 6 (FY22)	Year 7 (FY23)	TOTAL
Use	\$4,042,113	\$3,472,350	\$3,074,798	\$3,092,123	\$3,110,315	\$3,129,417	\$3,149,473	\$23,070,589
Source	\$3,855,817	\$3,255,817	\$3,255,817	\$3,255,817	\$3,255,817	\$3,255,817	\$3,255,817	\$23,390,719
Net Cash by Fiscal Year:	(\$186,296)	(\$216,533)	\$181,019	\$163,694	\$145,502	\$126,400	\$106,344	\$320,130
Cash Flow:	(\$186,296)	(\$402,829)	(\$221,810)	(\$58,117)	\$87,385	\$213,785	\$320,130	\$320,130
Potential Revenue Recovery:								
Net Cash by Fiscal Year:	(\$186,296)	(\$216,533)	\$181,019	\$163,694	\$145,502	\$126,400	\$106,344	\$320,130
Cash Flow:	(\$186,296)	(\$402,829)	(\$221,810)	(\$58,117)	\$87,385	\$213,785	\$320,130	\$320,130

CASH FLOW - END

NET CHANGE IN OPERATING COSTS - START

	Year 1 (FY17)	Year 2 (FY18)	Year 3 (FY19)	Year 4 (FY20)	Year 5 (FY21)	Year 6 (FY22)	Year 7 (FY23)	TOTAL
Proposed Operating Costs:								
Total Project Costs from above	\$4,042,113	\$3,472,350	\$3,074,798	\$3,092,123	\$3,110,315	\$3,129,417	\$3,149,473	\$23,070,589
Total: Proposed Operating Costs:	\$4,042,113	\$3,472,350	\$3,074,798	\$3,092,123	\$3,110,315	\$3,129,417	\$3,149,473	\$23,070,589
Current Operating Costs:								
DVR/DVBI Operations Staff	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$2,088,576	\$14,620,032
DVR/DVBI Users/Stakeholders Staff	\$582,120	\$582,120	\$582,120	\$582,120	\$582,120	\$582,120	\$582,120	\$4,074,840
DVR/DVBI Technology Staff	\$17,280	\$17,280	\$17,280	\$17,280	\$17,280	\$17,280	\$17,280	\$120,960
DII Project Management Oversight	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
External Project Management Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Security Assessment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Local Data Warehouse Server	\$11,550	\$11,550	\$11,550	\$11,550	\$11,550	\$11,550	\$11,550	\$80,850
Misc./Supplies	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$10,000	\$70,000
Total: Current Operating Costs:	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$2,709,526	\$18,966,682
Net Operating Cost Decrease/(Increase)	(\$1,332,587)	(\$762,824)	(\$365,272)	(\$382,597)	(\$400,789)	(\$419,891)	(\$439,947)	(\$4,103,907)

21.64%

Summary of Net Change in Operating Costs among Funding Sources:

STATE:								
Proposed State Funding Source	\$1,879,318	\$1,279,318	\$1,279,318	\$1,279,318	\$1,279,318	\$1,279,318	\$1,279,318	\$9,555,226
Current State Funding Source	\$596,096	\$596,096	\$596,096	\$596,096	\$596,096	\$596,096	\$596,096	\$4,172,670
STATE Net Operating Cost Decrease/(Increase)	(\$1,283,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$683,222)	(\$5,382,556)
FEDERAL:								
Proposed Federal Funding Source	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$1,976,499	\$13,835,493
Current Federal Funding Source	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$2,113,430	\$14,794,012
FEDERAL Net Operating Cost Decrease/(Increase)	\$136,931	\$136,931	\$136,931	\$136,931	\$136,931	\$136,931	\$136,931	\$958,519

NET CHANGE IN OPERATING COSTS - END

NOTES / ASSUMPTIONS:

- Maintenance fees/upgrades outlined under OPERATIONS AND SUPPORT and is called "UMS"
- Per Cost/Benefit analysis conducted, reduction in staff hours from 1184 to 592 related to record keeping, going to automated process vs. manual processes