



California Department of Rehabilitation  
Feasibility Study Report

Enhanced Maintenance and Operations – II  
(EMO-II)

Project #: 5160-047

Final Version  
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### 3.0 Business Case

The DOR completed implementation of the *Aware* Vocational Rehabilitation (VR) case management system in August 2011. *Aware* is the database of record for all case management data. In April 2012 the DOR *Aware* VR was accepted from the Alliance, however, the system continued to interface with DOR legacy mainframe systems (i.e., Financial Management System, Invoice Tracking, Invoice Scheduling, Vendor Records System, etc.) in order to complete financial functions. Later in 2012, the DOR implemented Enhanced Maintenance and Operations - Phase I (EMO-I) to integrate aspects of *Aware* that continued to interface with the DOR legacy mainframe system.

The system improvements and enhancements are primarily focused on the following business areas within the department:

Financial Management Branch (FMB) - is responsible for providing a wide array of fiscal and business related services that are critical to the support of the department's employees, programs, service providers, and consumers. The financial, CAP and several of the WIOA objectives within the EMO-II project, when implemented, represent high value and increase productivity by automating manual processes. They also provide more accurate reporting to State and Federal Control Agencies.

Vocational Rehabilitation Employment Division (VRED) - is responsible for service delivery of the Federal Title I Vocational Rehabilitation Services Program. The services assist eligible individuals in achieving their employment goals by providing training, assistive technology, supported employment and job placement support. The CAP and WIOA objectives within the EMO-II project, when implemented, will provide additional accountability, usability with the application and enhanced reporting to accurately track cases for consumers.

In order to optimize the *Aware* Maintenance and Operations, system improvement requirements have been identified and organized into two (2) Functional Groups: Financial and Control Agency Compliance. These system requirements are essential to allow the DOR to continue to meet its mandatory obligation to provide Federal and State VR case management services tracking, monitoring, reporting, sound fiscal management, and quality services in a timely manner to DOR consumers.

### 4.0 Baseline Analysis

#### 4.1 Current Method

The DOR currently uses the VR, Electronic Records and Case Management System (*Aware*) to support the department's mission to provide services resulting in employment, independent living and equality for individuals with disabilities. Specifically, the *Aware* system is used to provide Federal and State VR case management services tracking, monitoring, reporting, sound fiscal management, as well as quality services in a timely manner to DOR consumers. The *Aware* system (ERS) implementation was complete in August 2011, with EMO-I implemented in 2012.

##### 4.1.1 Ability to meet workload requirements

EMO-I addressed some aspects of the *Aware* VR case management system that continued to interface with DOR legacy mainframe systems Financial Management System (FMS), Invoice

Tracking, Invoice Scheduling, and Vendor Records System). EMO-I provided critical system enhancements, ongoing maintenance and operational support, and was successful in defining, analyzing and implementing 49 of 56 of the original requirements and the retirement of the mainframe Client Accounting System (CAS). The remaining 7 requirements are required to meet current and projected program and workload requirements. With the current system, the DOR requires the following *Aware* enhancements to comply with the Workforce Innovation and Opportunity Act (WIOA), Rehabilitation Services Administration (RSA) Corrective Action Plan (CAP), and State Audits and to implement Vendor Performance Management (VPM), and prepare for FI\$Cal:

- Social Security Reimbursement
- Accounting Invoice Process
- Central Office Scheduling
- SCO Interface with *Aware*
- Specialized Accounting Functions
- FMS Interface with *Aware*
- Payment Dispute Resolution
- Vendor Performance Management

#### 4.1.2 User and technical staff satisfaction

Although the *Aware* system is used satisfactorily to improve VR Services Program accessibility, effectiveness and efficiency and provide program and executive management with more accurate and timely information for monitoring, overseeing, planning, and reporting, the system lacks mandatory functionality for WIOA mandates, RSA CAP and State Audits, FI\$Cal and critical VRSD improvements.

#### 4.1.3 Interfaces

Lack of compliance with State and Federal laws and mandates necessitates interfacing with the State Controller's Office, Employment Development Department, and Department of Education through *Aware*. These interfaces will allow for consumer payment, and development of state performance measures, extensions, tracking and reporting.

#### 4.2 Technical Environment

Financial and technical customizations and modifications to meet current and future business needs are required. *Aware* interfaces with the DOR legacy mainframe accounting and financial systems, but the plan is to migrate off these legacy systems with EMO-II. The system does not currently contain scanning abilities, documentation and email integration with Outlook.

The FI\$Cal system will require changes to interfaces and changes to authorizations, payments and invoice data collection. The *Aware* system does not currently interface with State Controller's Office but will need to for the FI\$Cal statewide accounting system.

##### 4.2.1 State-Level Information Processing Policies

The DOR complies with applicable State Information processing policies including the following:

- Statewide Information Management Manual (SIMM)
- State Administrative Manual (SAM), Section 4833, IT Accessibility Policy

- SAM, Section 5300, Security and Risk Management Policy

#### 4.2.2 Financial Constraints

The DOR is funded through both Federal and State revenue sources. Federal monies have funded the existing system infrastructure and will be utilized for funding *Aware* EMO-II enhancements. The VR program is funded with a combination of State and Federal funds. The landmark 2014 federal WIOA legislation makes significant changes to vocational rehabilitation and independent living programs in California and across the United States. WIOA supersedes the Workforce Investment Act of 1998 and amends the Wagner Peyser Act, Adult Education and Family Literacy Act, and the Rehabilitation Act of 1973.

The WIOA is designed to help job seekers access employment, education, and support services to succeed in the modern labor market. The law will also encourage workforce development programs to help match employers with skilled workers needed to compete in the global economy.

Federal funding is authorized under the WIOA and is issued through grants to States based on a formula established by Congress. This project will be financed entirely (100%) by Federal allocated funds.

If the DOR does not complete the *Aware* changes, which will provide the department with the ability to implement CAP changes such as providing the ability to assign encumbrances and expenditures to the correct federal fiscal year, and improving the timeliness of payments to vendors to ensure payment during the grant period, the DOR is at risk of having the Federal RSA place a hold on the department's VR funding up to \$300 million dollars or terminate the grant award altogether for non-compliance. This would have a devastating impact on the provision of services to Californian's with disabilities. Additionally, sanctions could be imposed as outlined in Title 2, Code of Federal Regulation, Section 200.338.

#### 4.2.3 Legal and Public Policy Constraints

The DOR is mandated to comply with State and Federal laws and standards, specifically WIOA.

#### 4.2.4 Department Policies and Procedures Related to Information Management

The DOR has instituted a Technology Recovery Plan (TRP) that defines the roles of the Central Office (CO) Information Technology Services Division (ITSD) staff regarding IT emergency planning, organization, response, and recovery policies and procedures. The plan also addresses the integration and coordination of recovery actions with other levels of government, as required.

The TRP identifies how the DOR will respond to events or disasters, which cause an interruption in the DOR's ability to utilize its current automated system environment. The plan specifies actions to be undertaken from preparation through recovery. The responsibilities of each division and the sections that it contains are identified in the TRP.

#### 4.2.5 Anticipated Changes in Equipment, Software, or the Operating Environment

Plans are in place to analyze current wide area network (WAN) design and bandwidth allocations per field office to identify modifications needed to WAN design and/or bandwidth allocations. The DOR will provide the necessary bandwidth on WAN links to support applications currently running across the DOR network, stream video/audio, and to provide a

satisfactory user experience. Projects to upgrade field office switches, add additional bandwidth to each field office where feasible, and implement WAN optimization technologies and Voice-Over IP (outside the EMO-II project) are scheduled to begin during the 4<sup>th</sup> quarter of 2015.

The DOR is currently in the process of standardizing server operating systems on Windows 2012 R2. This project is scheduled to be complete during the 1<sup>st</sup> quarter of 2016.

#### 4.2.6 Availability of IT Personnel

Due to the obsolete nature of DOR legacy mainframe applications, the DOR has experienced difficulties in recruiting adequate programming personnel. Many of the department's ITSD staff have somewhat limited knowledge of the mainframe systems.

### 4.3 Existing Infrastructure

#### 4.3.1 Desktop Workstations

There are a number of different workstation types deployed throughout the department. All desktops are HP PC's (including, but not limited to, HP8000, 8200 and 8300– 4-8GHz RAM). The standard laptop for counselors in the field is the HP Probook 6570B. The department's desktops are configured for terminal services access with Windows 7 as the operating system, Internet Explorer as the Web browser, and a Citrix 6.5 client that enables access to the terminal services. Applications provided through the Citrix terminal services client include the Microsoft Office 2010 Suite and Passport 32, a Windows-based terminal emulation suite designed specifically for TCP/IP communication to IBM mainframe, AS/400, and UNIX applications. There are also a number of laptops and a few desktops configured as network clients (via a Virtual Private Network (VPN)) used by staff with Assistive Technology (AT). Applications on these PCs have all been loaded locally. AT users use the HP Elitebook 9470 with the Microsoft Office Suite and AT software (Jaws, Window Eyes, Dragon, etc.) loaded locally on each computer.

#### 4.3.2 Network Infrastructure

The DOR's network infrastructure is comprised of virtualized Windows 2008 R2 and Windows 2012 R2 servers hosted at the department's central office on enterprise-class servers and a storage-area network utilizing a multi-node VMWare vSphere cluster configuration. The DOR uses Microsoft's Active Directory (AD) Services for its directory services and authentication systems. Active Directory is used as the DOR's primary platform to manage users, computers, printers, file access, and systems authentication. The department leverages Citrix XenApp, which is comprised of 45 Windows 2008 R2 virtualized servers, as its primary means for delivering users access to productivity applications, e-mail, Internet and *Aware* to its end users. The DOR recently migrated to the state's hosted email solution, CA.Mail, for its email service.

Other services provided include: Network Security, DNS, DHCP, Web hosting, SQL, and local area network (LAN) connectivity.

#### 4.3.3 Wide Area Network

The DOR WAN uses the California Government Enterprise Network (CGEN) service, which is a carrier managed solution to provide statewide network access and to deliver traffic to the OTech, customer headquarters sites, OTech hosting facilities, the Internet, other state agencies and departments, California counties, and external business partners. The network access equipment is owned by CALNET vendor AT&T. The vendor is responsible for the operation of this equipment and the WAN. This is a "bundled" service, and the vendor equipment includes the circuit, the router and the telephone line with modem attached to each router for remote management (one measured business line). OTech is the Owner of Record and manages the provisioning on behalf of DOR. DOR is responsible for the LAN.

The bandwidth between the DOR's headquarters and remote sites varies between 1.5 MB/s and 20 MB/s. The DOR utilizes OTech's fiber ring to provide network connectivity to its headquarters location at 721 Capitol Mall, Sacramento, CA, providing 1 GB/s connectivity to OTech. All traffic from the DOR's remote offices transverse through headquarters to access the Internet and OTech related services.

#### 4.3.4 Application Development Software

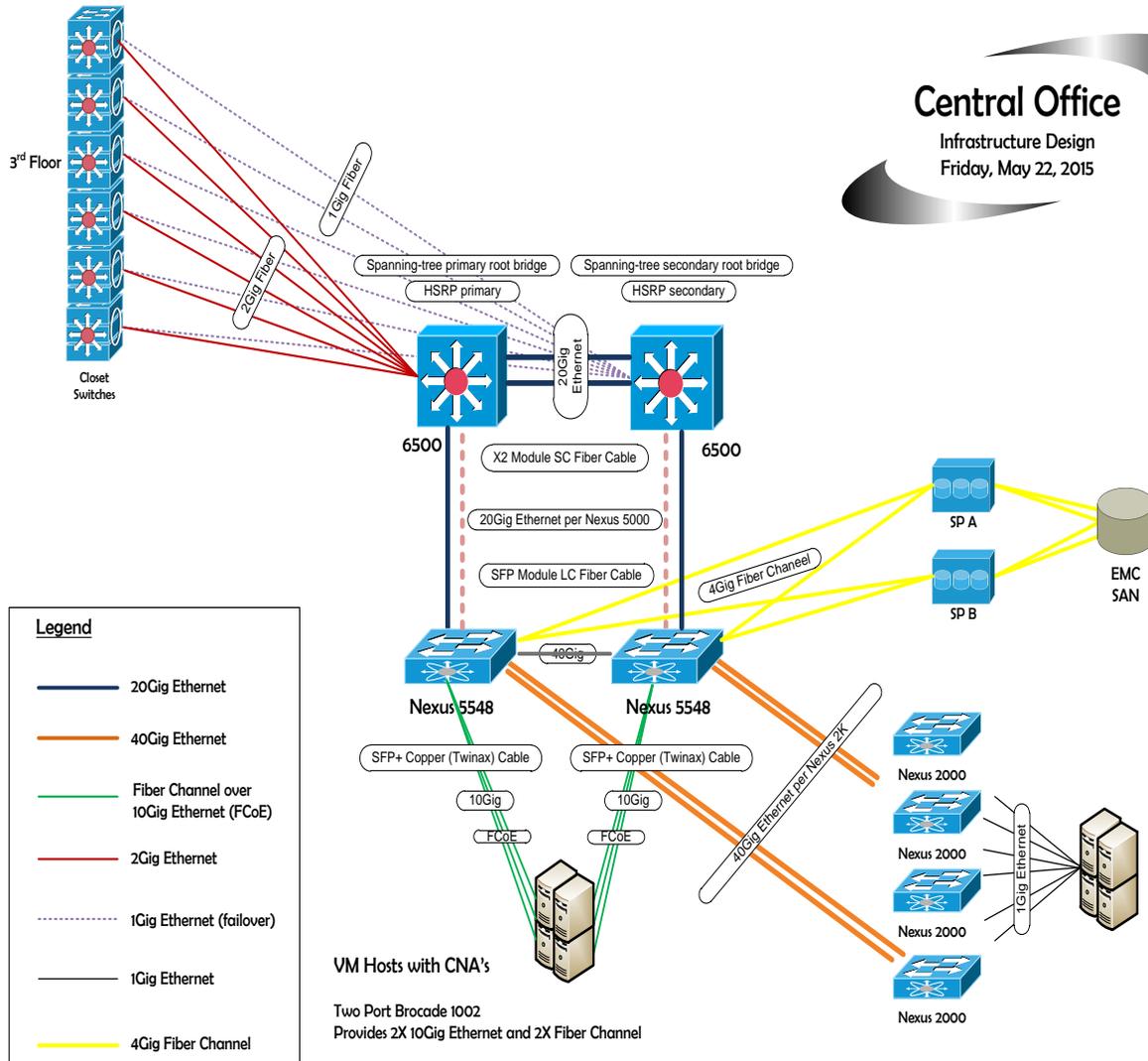
Application development software used at DOR includes:

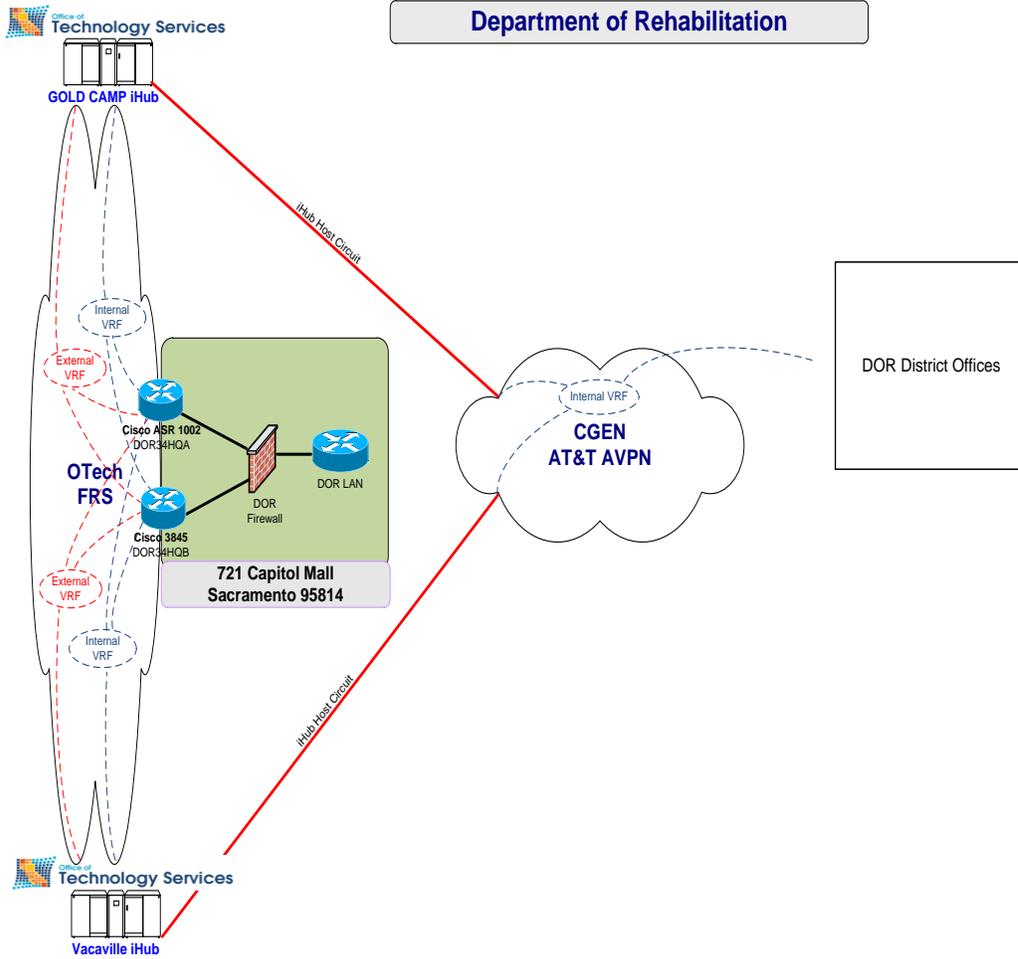
- SQL Server data tools (for the CA *Aware*Tableau refresh job)
- Visual Studio 2010 (for SSIS packages)
- Visual Studio 2012 (for *Aware* Xtend solutions)
- SQL Server 2008 (for existing in house databases)
- SQL Server 2012 (for *Aware* databases)
- Visual Studio 2013
- Active Reports 7 and 8
- SourceGear Vault 7
- Adobe Acrobat X Pro
- PeterBlum

## Infrastructure Diagrams

### Central Office

Infrastructure Design  
 Friday, May 22, 2015





#### 4.3.5 Personal Productivity Software

The DOR is standardized on the Microsoft Office 2010 suite of office automation products, including the standard modules Word, Excel, and PowerPoint. The DOR uses Internet Explorer 10 as the standard browser for the Internet and Adobe Acrobat for PDF documents.

#### 4.3.6 Operating System Software

The DOR currently uses the Microsoft Windows 7 operating system for desktop and laptop PCs.

#### 4.3.7 Database Management System

The current environment is the *Aware* system that stores information on each DOR VR consumer who has requested assistance. The Database Management System resides at OTech.

#### 4.3.8 Application Development Methodology

The DOR supports its application development (developing and testing *Aware* changes), as follows:

- **Production:** This is the database that contains all of the “real” data that is entered by the users of *Aware*. This data includes all client information that is required by Federal and State mandates.
- **Test:** There are three test environments that are used for various changes to *Aware*. The layout of this database essentially mirrors production.
- **Development:** There are development and development preview databases used by ITSD programmers and the ITSD Database Administration Group for new system releases. Production data is used in this environment to test new releases.

#### 4.3.9 Project Management Methodology

The DOR has adopted, as its standard, a Project Management Methodology that is consistent with the State’s Project Management Methodology, as described in Section 17 of the SIMM. Additionally, the DOR has established priorities for new projects as identified in its Agency Information Management Strategy (AIMS) plan. The ITSD within the department has a group of analysts that manage simple to complex projects on an ongoing basis. The *Aware* management team will ensure that the vendor’s approach will address the activities recommended in the SIMM.

### 5.0 Proposed Solution

The solution proposed for DOR is to optimize the *Aware* system functionality to comply with Federal and State mandates, Federal and State audit CAPs, and the imminent FI\$Cal system implementation. The vendor, Alliance, holds proprietary ownership of the *Aware* commercial off-the-shelf software, upgrades, maintenance and support.

This solution will provide the best value solution to the State by meeting the business and technical requirements as specified in section 3.0 of this FSR. These requirements are organized into two (2) Functional Groups: Financial and Control Agency Compliance.

## Overall Program Costs and Benefits

As detailed in the Economic Analysis Worksheets (EAW), the total project costs are estimated at \$11,823,889. DOR is estimating a reduction from approximately \$6M to approximately \$4M in unspent Federal Funds (recapture of approximately \$2M per year) starting 7 years after implementation of project completion.

Additional recapture before year 7 is as follows: Recapture of 10% (\$200K) 2 years after implementation, 25% (\$500K) 3 years after implementation, 40% (\$800K) 4 years after implementation, 60% (1.2M) 5 years after implementation, 85% (\$1.7M) 6 years after implementation, 100% (\$2M) per year every year thereafter.

Benefits include:

- Continued DOR legacy mainframe accounting and financial systems retirement; which represents high value and the ability to increase productivity for the department.
- Implementation of Corrective Action Steps from the U.S. Department of Education, RSA Special Conditions 2014 CAP and the California State Auditor's Office CAP.
- Implementation of DOR-specific Federal legislation. The DOR is required to meet the WIOA provisions as of October 2014. The Alliance Maintenance and Support contract includes "groupware" changes that provide upgrades common to all VR agencies nationwide. This would fund DOR specific changes to modify components and develop California state performance measures. Currently, the WIOA regulations are pending.
- FI\$Cal system interfaces, and authorizations, payments and invoice data collection. The DOR must continue financial processing while also transitioning to the new FI\$Cal accounting system in Wave 4. The vendor will assist the DOR in this effort.
- Services that are provided to support DOR with semi-annual new releases (version upgrades with additional functionality) of *Aware*, general technical support, and ongoing Project Management.
- Implementation of VR tools to manage and organize emails and documents related to cases on *Aware*.
- Enhance and expand the DOR Rehabilitation Resource Directory (RRD) with a website that is integrated with *Aware* and provides federally mandated vendor analytics for consumer choice (Vendor Performance Management – VPM).

## Resources

The proposed project start date is July 1, 2015, with an end date of June 30, 2018.

The VR Program is funded with a combination of State and Federal funds. Federal funding is authorized under the WIOA, which supersedes the Workforce Investment Act of 1998 and amends the Wagner Peyser Act, Adult Education and Family Literacy Act, the Rehabilitation Act of 1973, and is issued through grants to States based on a formula established by Congress. This project, which is part of the VR Program, will be financed entirely (100%) with Federal allocated funds.

Once the contract is executed and the vendor is onsite, the DOR and the vendor will jointly create a detailed project schedule, incorporating all planning, requirement and design activities, roles and responsibilities, and milestones. This effort will utilize the DOR's project

management plans (e.g., change management, communication management, risk management, and configuration management).

The project scope is for services to be provided by a vendor to the DOR to develop and implement federal and state mandated enhancements and provide ongoing maintenance and operations support for the existing DOR *Aware* VR Case Management System.

Project plans will be completed by project staff and may be revised once the vendor is onboard. The DOR will manage, with the help of the vendor, quality checkpoints and project plans.

Project governance will be managed through the DOR Change Control Board, which includes issue identification and escalation.

The vendor will provide key personnel that meet all qualifications and can perform all of the duties necessary for the key positions and project management.

The IT Project Management Office (PM Office) has the primary responsibility for ensuring that electronic project documents are stored correctly in the Project Library, and email in the Outlook mailbox. Additionally, the PM Office will follow records retention policies and archiving.

Types of Project documents created, received and used will be administrative, analysis and recommendations, contract management, correspondence and communications, email, spreadsheets, approved final documents, plans and processes, presentations, reference materials, status documentation, and working drafts.

The DOR will commit staff necessary for functional group definition, design, approvals, testing, training and release into production for all releases.

The DOR document review times vary according to document type, size, and simultaneous review.

The following review timelines apply to single document review. Multiply the amount of time by the number of documents for simultaneous reviews.

#### Document Review Timelines

Number of Pages	Business Days
< than 25	5 days
25-50	10 days
> than 50	1 day per additional 5 pages

#### Potential Risks

The Project's risk management plan will document the processes and procedures used to identify risks associated with the EMO-II and how they will be managed. The Project will follow the risk management processes identified by the department's IT PM Office and the SIMM 17A.

The EMO-II Project Manager (PM) will have overall responsibility for risk management. The PM will be responsible for assisting with risk management and mitigation. The risk management plan will be developed and maintained throughout the life of the project. The Project will use a risk management approach that recognizes that risk response planning must be appropriate to the severity of the risk, cost effective in meeting the challenge, timely to be successful, realistic within the project context, agreed upon by all parties involved, and owned by a responsible person.

These considerations go into choosing the response when project risks are defined. The project team evaluates risk responses in the following order, beginning with those that have the highest likelihood of effectiveness: (1) Avoidance; (2) Acceptance; (3) Mitigation; and (4) Sharing.

Mitigation efforts will be documented to ensure:

- Risks are defined and properly scoped, and the correct participants are involved in the risk analysis and mitigation process.
- Root causes are analyzed and recommendations are based on sound judgment.
- Specific persons are named to complete action items.
- Actions are tracked to resolution/completion, and escalation to a higher level of management is available and is pursued when mitigation or intervention cannot be achieved at the project level.
- Risks and associated actions and their statuses are formally documented, regularly reviewed, and updated.
- Communication among project stakeholders is appropriate and timely in order to facilitate an understanding of risk impact, develop quality responses, and minimize the associated disruption.
- Separation of duties for vendor invoice approval and signature will be in place. A Governance Plan will be in place to describe the specific roles and responsibilities of the project and its stakeholders, focusing primarily on authority level and decision-making structure.

The project is responsible for overseeing and managing issues identified by the project or its stakeholders. The purpose of the issue process is to ensure unanticipated issues, action items, and tasks are assigned to a specific person for action and are tracked to resolution.

The purpose of the escalation process is to raise an issue to a higher-level management for resolution, particularly when resolution cannot be reached at the project level. The DOR Change Control Board will be used for project escalation and approvals. If necessary, approvals will be escalated to the Vocational Rehabilitation Executive Steering Committee (VRESC).

### Governance Roles and Responsibilities

Project Team Role	Description
Executive Sponsor	The Executive Sponsor chairs the VRESC and assumes primary ownership of and responsibility for the Project. The Executive Sponsor provides vision and direction for the project, provides policy leadership, assists in removing barriers and supports change management initiatives, chairs the Executive Steering Committee.
VRESC	The VRESC is comprised primarily of senior members from the DOR’s executive, business and IT units. Other members serving in an advisory capacity or representing external stakeholders may be included in this committee.
Project Director	The DOR Project Director is accountable to the Executive Sponsor for project outcomes.
Project Lead	The ERS Project Lead plans, directs, and oversees the day-to-day activities of State and consultant staff involved in the Project.
Business and Technical Leads	The Business and Technical Leads, under the direction of the PM, works with vendor and DOR staff to complete any required activities across all phases of the project
PM	The PM is responsible for the day-to-day management of the project, including monitoring and facilitating progress, resolving issues and risks, ensuring product quality, and communicating appropriate information to all stakeholders in a timely manner. The PM ensures alignment among the key project stakeholders, project scope, objectives, the project team, and deliverables.

#### 5.1 Solution Description

The DOR will optimize the *Aware VR* through proactive ongoing operations and maintenance enhancements and the full implementation of the contract requirements and deliverables. *Aware VR Case Management System* improvement requirements have been identified in several areas of functionality. These system requirements are essential to allow DOR to continue to meet mandatory obligations to provide Federal and State VR case management services tracking, monitoring, reporting, sound fiscal management, as well as, quality services in a timely manner to DOR consumers.

The DOR completed implementation of the *Aware VR* case management system in August 2011. *Aware* is now the database of record for all case management data. The system continues to interface with legacy mainframe systems in order to complete financial functions. Adding increased configurable functionality will allow the DOR to:

- Maximize federal grant funding that is lost as a result of encumbrance and liquidation issues, and federal versus state year tracking and timing differences;
- Consolidate, integrate, and cleanse vendor records across three vendor record systems;

- Reduce the time from invoice receipt to payment in alignment with the prompt payment act; and
- Implement corrective action steps from control agencies and legislative mandates.

#### 5.1.1 Hardware

The DOR will leverage the existing current technical infrastructure to continue to support the *Aware* application. There will be no changes to the infrastructure as a result of this project.

##### 5.1.1.1 Production Environment

The *Aware* production environment is comprised of four physical servers. There are three Windows 2008, Internet Information Services (IIS) 7.0 web servers hosting the *Aware* application, and the fourth server is a Windows 2008, Microsoft SQL 2012 database server. The *Aware* application is load balanced, which distributes network or application traffic across the three web servers. All four servers are housed at and maintained by OTech.

##### 5.1.1.2 Testing/Training Environment

The *Aware* testing/training environment requires five virtual servers. There are three Windows 2008, IIS 7.0 web servers hosting the *Aware* application (Test, Dev, and Training) and two Windows 2008, Microsoft SQL 2012 database servers. All five servers are housed at OTech in the Application Hosting Services, and maintained by DOR ITSD staff with support provided by Alliance.

##### 5.1.1.3 Desktops

The desktops required for the proposed solution are the desktops currently being utilized and are part of the DOR infrastructure. Existing printers, such as check printers at each district office, will continue to be used during the EMO-II implementation. Additional hardware components, such as communications enhancements and firewalls, are not required for the proposed solution.

#### 5.1.2 Software

The proposed COTS software solution enhancement consists of application development tools. *Aware* software, updates, upgrades and support are proprietary to Alliance Enterprises, Inc.

#### 5.1.3 Technical Platform

The technical platform is described above in 5.1.1.1 Production Environment.

##### 5.1.3.1 Development approach

COTS 100%  MOTS %  Custom Development %  Others  None

#### 5.1.4 Integration Issues

The DOR realizes the importance and criticality of continuing to integrate the *Aware* solution into its technical environment. As such, DOR continues to focus on the key integration areas, such as AT and Citrix Xenapp.

#### 5.1.5 Procurement Approach

The Non-Competitive Bid procurement will be utilized for this procurement.

#### 5.1.5.1 Proposed prime vendor procurement vehicles

CMAS     Other – NCB

#### 5.1.5.2 Proposed prime vendor contract type

Fixed Price

#### 5.1.5.3 Market research

No new market research has been conducted, since Alliance is the only contractor who can provide the necessary software maintenance, and any third party modifications to the core source code would void the *Aware* warranty.

#### 5.1.5.4 SB/DVBE

There are no plans to use a SB/DVBE for this effort.

#### 5.1.5.5 Contract Term (and maintenance years)

The proposed project start date is July 1, 2015, with an end date of June 30, 2018. The maintenance and operations contract is through an Upgrade, Maintenance and Support (UMS) agreement with Alliance.

#### 5.1.5.6 Types of IT Goods/Services, Procurement Vehicle/Quantity, and Dollars

Enhanced *Aware* maintenance and operations IT services will be procured using a NCB from the CMAS for a total of \$5,998,030.

#### 5.1.5.7 Technical Interfaces

Interfacing with the State Controller's Office, Employment Development Department, Department of Education, through *Aware* is essential to the VR program. These interfaces will allow for consumer payment and development of state performance measures, extensions, tracking and reporting.

#### 5.1.5.8 Accessibility

Per SIMM 25, the DOR Accessibility Certification is attached.

#### 5.1.5.9 Testing plan

The DOR will utilize System "End to End" Testing – User Acceptance Testing (UAT)

- 1) Alliance will assist the DOR, who will lead the effort, to comprehensively test the functions (*Aware* VR Application, interfaces, and retirement of DOR legacy mainframe functions) per the approved designs.
- 2) Alliance will provide analytical and technical support to verify, diagnose, and resolve issues discovered during system testing per each release.
- 3) Alliance will correct defects identified that are the Alliance's development responsibility based on the approved Error Correction Plan:
  - a) Update designs, technical documentation as needed to reflect corrections.
  - b) Maintain an issue management tracking system for the Alliance-developed functions.
  - c) Meet with the DOR at least weekly to reconcile issue management tracking data.
- 4) Alliance will provide a monthly reconciliation report including: Issue Number, Defect Title, Summary of Defect, Priority, and Resolution Status.

- 5) Alliance will assist the DOR to identify solutions to the defects identified that are DOR-developed (example: interfaces and DOR Legacy Mainframe functions). The DOR will maintain an issue management tracking system for the DOR-developed functions.
- 6) DOR exit criteria requires that there will be no severity one or severity two defects.
  - a) Severity One – The defect affects critical functionality or critical data. It does not have a workaround.
  - b) Severity Two – The defect affects major functionality or major data. It has a workaround but it is not obvious and is difficult.

#### 5.1.5.10 Resource requirements

The proposed solution requires current IT staff skillsets, plus skills that will require assistance from contractors. Costs for all of the proposed resource requirements are detailed in the Economic Analysis Worksheets (Section 7.0).

#### 5.1.5.11 Training Plan

The DOR will be responsible for coordinating, scheduling, and arranging all training and training logistics including the hardware, physical location, and training database with sample data. Alliance will provide knowledge transfer to the DOR's technical staff through collaborative work throughout this project. The DOR has an internal staff development team that will provide training to the end-users of the *Aware VR* product.

#### 5.1.5.12 On-going maintenance

The DOR's ITSD has provided ongoing operations and maintenance of the *Aware VR* system since 2011. The new changes and additions to the system outlined in this project will not require additional operations and maintenance staffing or resources outside of those we have already been providing for the current *Aware VR* system.

The *Aware VR* system represents DOR's most critical IT system and it is available, at minimum, from 7AM to 6PM on all business days but is generally operational non-stop, aside from scheduled maintenance and support activities which are almost exclusively conducted outside of business hours.

Alliance contributes to ongoing maintenance as part of a separate UMS agreement.

#### 5.1.5.13 Information Security

Information stored on the Department's databases will continue to be accessible to authorized personnel only, and the general public will not have access to DOR data directly. Any data change requests submitted by the general public via the Web will continue to be reviewed and authorized by DOR personnel before being committed to the database. All database transactions will continue to be logged, ensuring data accountability for the actions of any individual. Depending on the profiles established for the user community, *Aware* supports different levels of local and statewide access. Classes of users will continue to be established, and the user login process will manage access levels. These access levels include inquiry, additions, deletions, modifications, security maintenance (e.g., creation or update of security profiles), and system maintenance (e.g., maintenance of table-driven system parameters).

In regards to this system, the DOR will comply with applicable information security policies and standards (e.g., SAM, SIMM, NIST).

#### 5.1.5.14 Confidentiality

Because of the sensitivity of DOR data, staff will continue to be educated in confidentiality considerations and requirements. Individually identifiable information about consumers will not be shared outside the DOR unless otherwise explicitly provided for through DOR policies.

#### 5.1.5.15 Impact on end users

One of the *Aware* challenges is the wide range of end users and their exposure to and comfort with technology. One of the phased deployment benefits being proposed is the ability to carefully target training as needed. For example, for those end users with little exposure to technology or little *Aware* experience, training will occur over phases with the first focused on basic technology tools. Having end users from the affected business units directly involved in the training and change management functions helps ensure success.

Alliance will provide knowledge transfer to the DOR's technical staff through collaborative work throughout this project. The DOR has an internal staff development team that provides training to the end-users of the *Aware* VR product.

#### 5.1.5.16 Impact on existing systems

*Aware* has replaced the FCS, the CAS and a limited number of ancillary systems. Administrative and approval rights are within *Aware*. The DOR will replace an interface between *Aware* and its FMS with an interface between *Aware* and FI\$Cal.

#### 5.1.5.17 Consistency with overall strategies

The proposed solution is consistent with DOR's Strategic Plan. The *Aware* enhancement is the first objective of Goal 3 – Improve Department of Rehabilitation Infrastructure. Additionally, DOR's four other strategic objectives will be facilitated using *Aware*:

- Increase the quality and quantity of employment outcomes.
- Increase the effectiveness and efficiency of vocational rehabilitation services delivery.
- Improve the work environment.
- Increase equality for persons with disabilities through systems change.

#### 5.1.5.18 Impact on current infrastructure

The proposed solution must leverage the DOR's current WAN, LAN and server infrastructure. The DOR currently uses Citrix for virtual application delivery, providing Windows applications to most employees, which is not impacted with the proposed solution.

#### 5.1.5.19 Impact on data center(s)

The *Aware* system will be housed and supported by OTech as it is currently. OTech resources will work together with the DOR and Alliance during project development and deployment. As currently envisioned, the proposed solution will not require any augmentation of State infrastructure.

#### 5.1.5.20 Backup and operational recovery

The application portion of the system will become part of The DOR's regular Operational Recovery Planning (ORP)/TRP. OTech will be responsible for normal backup and recovery procedures. The system is not expected to be available at all times (24x7). For most case management purposes, the system will be used during normal business hours.

## 5.2 Rationale for Selection

The *Aware* EMO-I effort was successful in defining, analyzing, and implementing 49 of 56 of the original requirements and the retirement of the mainframe CAS. After the discovery process was completed in EMO-I, it was determined that the work involved for the seven (7) requirements not implemented was far greater in scope than the original definition. These remaining seven requirements have therefore been reallocated to the EMO-II Project after having been reviewed and refined to ensure the definitions are appropriately scoped. The tables below map these operational enhancements from EMO-I to EMO-II.

A combination of new federal legislation, state and federal audit findings, the pending implementation of FI\$Cal, and the emergence of critical operations and maintenance enhancements to the VRSD system added to the need for additional maintenance and operational enhancements to DOR's *Aware* VR Case Management System.

5.2.1 The WIOA was signed into law on July 22, 2014. This landmark federal legislation makes significant changes to vocational rehabilitation and independent living programs in California and across the United States. WIOA is designed to help job seekers access employment, education, and support services to succeed in the modern labor market. The law will also encourage workforce development programs to help match employers with skilled workers needed to compete in the global economy. New WIOA tracking and reporting requirements have been translated into enhancements in *Aware*. These enhancements include the development and implementation of California-specific Performance Reporting and Outcome Tracking, DOR Extension Updates to match WIOA Regulations, tracking and reporting on Pre-Employment Transition Services (PETS), and Federal Follow-Up Reporting.

<b>Enhancement</b>	<b>Description</b>
Performance Reports/Outcome Tracking	While the new WIOA performance reports/outcome tracking requirements are national, the DOR will require State-specific: (1) new interface with California Employment Development Department (EDD), (2) new interface with California Department of Education, and (3) Performance Measures and reports negotiated with State entities.
DOR Extensions Update	Customizations to the DOR extensions based on WIOA regulations and that impact California customizations based on: Eligibility, Individual Plan for Employment (IPE), Plan Review, Closure, Authorization, and Group Authorization.
Pre-Employment Transition Services (PETS)	Tracking and reporting on Pre-Employment Transition Services (WIOA Sec 113 and Sec 511(d)), including identification of the 5 required PETS services and logic rules to identify and track PETS recipients.
Federal Follow-up Reporting	Development of data tracking fields to count the federal follow-up reporting responses as required for sub-minimum wage including changes to caseload ownership conventions.

5.2.2 In a letter dated July 10, 2014, the U.S. Department of Education RSA placed special conditions on the DOR’s 4th Quarter Federal Fiscal Year 2014 State VR services grant, authorized by Title I of the Rehabilitation Act of 1973, as amended. The special conditions apply to the DOR’s FMS, specifically the tracking of expenditures and timely liquidation of obligations. On September 29, 2014, the DOR submitted a Corrective Action Plan to RSA. On October 22, 2014, RSA approved the DOR’s CAP and removed the special conditions. Updates to DOR’s CAP are due to RSA quarterly.

The RSA-approved CAP included the implementation of cumbersome manual processes that the DOR intends to replace with the following *Aware* enhancements: development of additional system rules and monitoring features to apply contracts to federal grant year based on encumbrance and to collect payments against the grant beyond the fiscal year; provision of tools for DOR field staff to know when invoices have not been submitted in a timely manner; and development of additional system rules and monitoring features to assign authorizations to the appropriate federal grant year based on encumbrance.

<b>Enhancement</b>	<b>Description</b>
Apply Contracts to Federal Grant Year	Develop additional rules and monitoring features to apply contracts to federal grant year based on encumbrance, then collect payments against that grant beyond the federal fiscal year. This will comply with the RSA requirement.
Assign Authorizations to Federal Grant Year	Develop additional rules and monitoring features to assign authorizations to the federal grant year based on the encumbrance. Develop rules based on the authorization type to comply with differing rules for how grants are applied and provide reports for accounting.
Assign Federal Grant for Non-Contract Group Authorizations	Assign Federal Grant for Contract Group Authorizations at the time the funds are encumbered so the assignment is made before services are rendered.
RSA Reverted Year Invoices	Provide tools so DOR field staff know when invoices have not been submitted in a timely manner and can follow up with the vendor. Add language to authorizations to notify vendors that they must invoice within a specific time period.
Participant Authorization Controls Spending Limit Escalation and Approvals	Develop planned payment dollar limits and approval thresholds and utilize <i>Aware</i> to help facilitate and enforce them. This may entail having the ability to set dollar limits for certain procedure codes and setting up electronic approval queues for higher level approvals of costlier items.

<b>Enhancement</b>	<b>Description</b>
Participant Authorizations Force Secondary Approvals	Add up to six (6) rules relative to conditions requiring DOR CO approval of planned payments before the planned payment qualifies to appear in the Payment Approval module queue.
Participant Authorization Anomalies Analytics	Create a planned payments analytics reporting tool that looks for specific spending patterns in participant authorizations and planned payments. Examples of analytics include “too many bus passes”, “too little variety in procedure codes used”, “amounts inconsistent with type of service”, such as, a bus pass for \$300. The report tool will provide on statewide, district, branch and caseload results views. The rules will be maintained in stored procedures to allow additions and changes to the conditions.
Add Approval Process for All Authorizations over \$5,000	Require pre-approval of all procurements over a threshold (currently \$5,000).

5.2.3 California State Auditor’s Office conducted an annual Statewide Federal Compliance Audit of the State of California. This audit included selected transactions and accounts maintained by the DOR and the DOR’s administration of the U.S. Department of Education’s VR grant. This audit tested and evaluated the effectiveness of DOR’s internal controls and reviewed DOR’s federal compliance in the administration of its VR services.

The California State Auditor’s Office, Statewide Federal Compliance Audit findings and approved CAP *Aware* enhancements include integrating three separate existing vendor files so *Aware* is the single source of Vendor information, building a new vendor invoice module to allow the DOR to enter vendor invoices and related payment requests, and adding the state-required Invoice Dispute Process to a new Vendor Invoice module.

<b>Enhancement</b>	<b>Description</b>
Notice of Eligibility and Priority for Service Report (DR212)	Develop a report with correct information, including correct Order of Selection Dates.
Automate Application (Add DR222 Form to <i>Aware</i> )	Add the DR 222 Application for Service form to <i>Aware</i> .

5.2.4 The DOR is a part of the State’s mandatory plan to move to FI\$Cal and anticipates transitioning to FI\$Cal during the 3-year timeframe of this contract. The FI\$Cal

system will require changes to data exchange interfaces and changes to authorizations, payments, and invoice data collection. The DOR must continue financial processing while also transitioning to the new accounting system.

- 5.2.5 The DOR has identified the need for General Operations and Maintenance Enhancements to improve the efficient and effective use of *Aware* to manage VRSD Case Management services. These enhancements include add-ins to allow users to push e-mail directly from Outlook to *Aware*, create case notes and store e-mail as attachments, and push work documents directly from Word to *Aware*.

### 5.3 Other Alternatives Considered

#### 5.3.1 Existing – As is/Do Nothing

To continue with the existing *Aware* functionality, interfaces with legacy systems and manual processing is not feasible in order for DOR to comply with Federal and State mandates and to participate in the statewide FI\$Cal system implementation.

#### 5.3.2 State staff conduct work

This alternative is not feasible, because the DOR either does not have the staff or does not have staff with the necessary skill level. In addition, third-party code changes void the *Aware* system warranty.

### 6.0 Project Management Plan

The DOR recognizes the importance of using industry best practices for project management. This section describes how this project will be managed.

An experienced PM is critical to the success of any project. The DOR will provide a PM that will have 3 to 5 years of project management experience on medium to large projects. In addition, the DOR PM will have a strong working knowledge of the CA-PMM, Systems Development Life Cycle (SDLC), and familiarity with State Budgeting, Procurement, and Contracting Processes.

The DOR will comply with the State's Project Management Methodology (CA-PMM) as defined in SIMM Section 17. As a result, the project will adhere to the following minimum requirements:

- Development of detailed business and technical requirements;
- Development of a scope statement and work breakdown structure;
- Development and utilization of an approved change management plan;
- Clearly defined project team member roles and responsibilities;
- Development of a detailed project schedule, including milestones and deliverables;
- Development and utilization of a quality assurance (QA) plan;
- Development and utilization of a risk management plan;
- Ongoing project performance review and project plan updates;
- Comparison of planned and actual progress-to-date; and
- Completion of project closeout activities (e.g., post-implementation reviews, lessons learned).

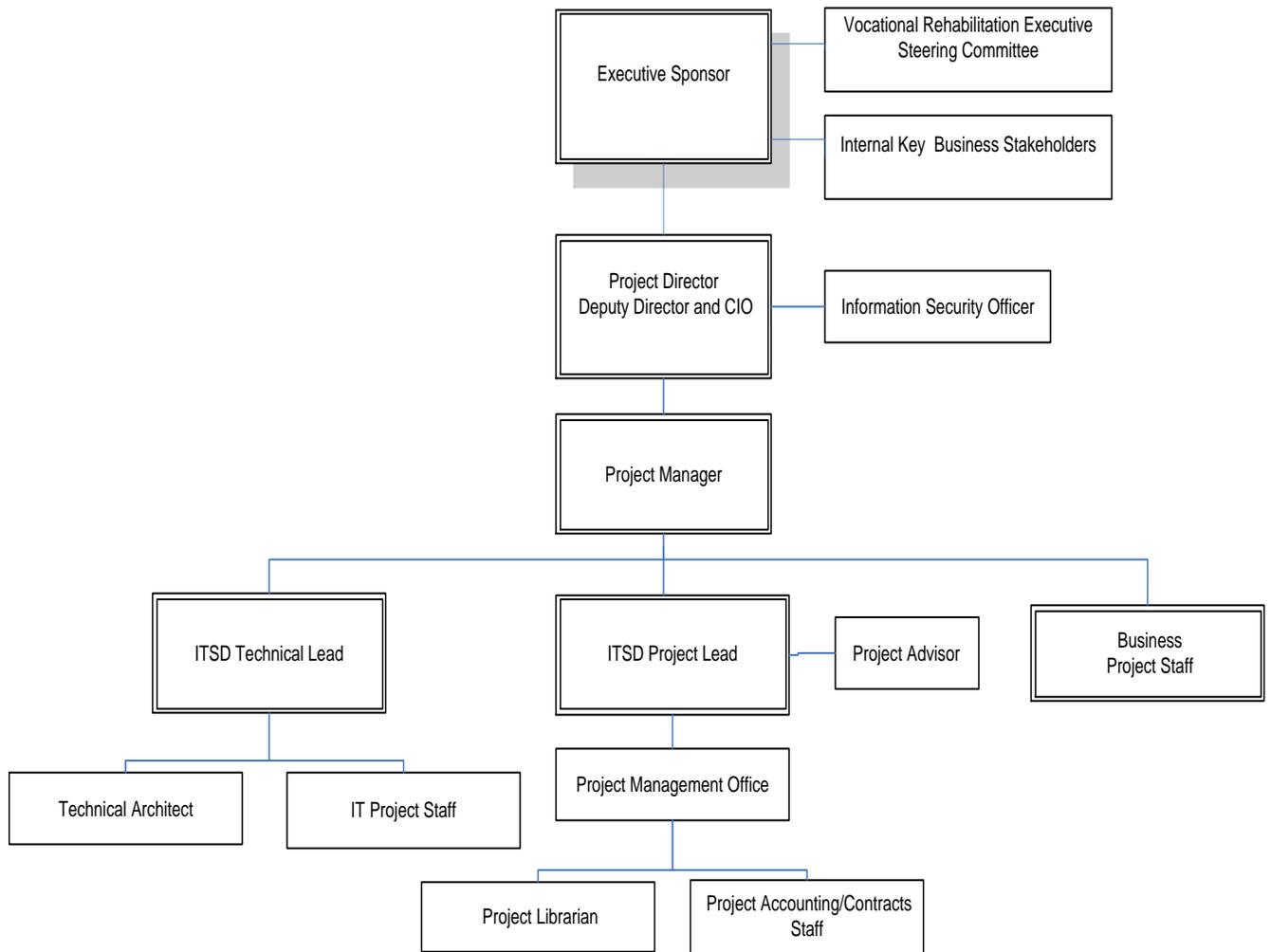
## 6.1 Project Organization

Roles and Responsibilities are outlined below:

Project Team Role	Responsibility
Executive Sponsor (Chief Deputy Director)	The Executive Sponsor is the highest possible level of project review at the DOR, and provides policy leadership and oversight as needed to the EMO-II Project. The Executive Sponsor makes the final decision on any project budget issues, including schedule management, escalated by the DOR Project Director. The Executive Sponsor works with the DOR management to ensure that sufficient staff resources are provided to support the EMO-II Project.
Vocational Rehabilitation Executive Steering Committee (VRESC) (Deputy Directors from business and technology divisions)	The VRESC is comprised of senior members from DOR’s executive, business, and IT units. The VRESC reviews and resolves project issues not resolved at lower levels or by the Executive Sponsor, provides advice and insight into project management issues, and assures that adequate staff resources are made available to support the project schedule. The VRESC also ensures the success of the project by communicating project information to the stakeholder groups they represent.
Project Director (Deputy Director and CIO, Information Technology Services Division (ITSD))	The DOR Project Director approves the Project Plans and project baseline schedules. The DOR Project Director is ultimately responsible for the execution of the schedule and completion of the project scope according to the approved project baseline schedule. The DOR Project Director also escalates schedule management issues and decisions as needed to the Executive Sponsor.
Key Business Stakeholders	The Key Business Stakeholders are subject matter experts in their unique business areas. They provide feedback and participate in change management to ensure the project aligns with their business objectives, rules, and processes.
Accounting and Contract Project Staff	The Accounting Project staff are subject matter experts in Accounting and they complete specific Accounting required activity across all phases of the project. The Project Contract staff are subject matter experts in Contracts and they manage the contract.
Business Project Staff	The Business Project staff are subject matter experts that complete any required activity across all phases of the project as it relates to their individual area of expertise.
Information Technology (IT) Project Staff	The IT Project staff are subject matter experts that complete any required activity across all phases of the project as it relates to IT.
Project Information Security Officer (ISO)	The ISO is the subject matter expert that completes any Security required activity across all phases of the project as it relates to Security.
ITSD Project Lead (Data Processing Manager III)	The IT Project Lead plans, directs, leads, and oversees day-to-day activities of the project, including the budget and contract. The IT Project Lead coordinates and monitors the performance of project tasks and activities, and escalates staff related issues impacting the schedule to the DOR Project Director.

<b>Project Team Role</b>	<b>Responsibility</b>
ITSD Technical Lead (Data Processing Manager III)	The IT Technical Lead plans, directs, leads, oversees the technical activities of the project, and escalates technical related issues impacting the schedule to the DOR Project Director.
Project Manager	The PM manages the day-to-day activities of the project, manages project risk and escalates to the PM Lead when necessary, provides project management expertise in all aspects of the project.
Project Management Office	The ITSD PM Office is a unit within DOR comprised of the DOR Project Director, EMO-II PM, and Project Librarian. The ITSD PM Office provides oversight of the EMO-II Project schedule management activities.
Project Librarian (Associate Info Systems Analyst)	The EMO-II Project Librarian tracks and manages formal and informal communications related to schedule management that must be retained in the EMO-II Project Library.
Technical Architect (System Software Specialist II)	The Technical Architect works under the direction of the EMO-II Project Director to provide technical evaluation, design, and assistance in support of the Project. The Technical Architect provides technical review of project deliverables to verify technical requirements are met and technical quality assurance standards are satisfied. The Technical Architect also provides issue/risk assessments and recommendations for the Project.
Project Advisor	The Project Advisor consults with Project Director and Team on technical issues as it relates to technology.

California Department of Rehabilitation  
Enhanced Maintenance and Operations – II  
(EMO-II)  
Project Organization  
May 2015



## 6.2 Project Plan

The Project Management Plan establishes the processes by which the Project Management Schedule is developed, maintained, and managed in alignment with the EMO-II work effort. The Project Management Schedule is the proposed project baseline schedule (the schedule will be re-baselined once the contract is executed). The Plan will include a Work Breakdown Structure (WBS) that describes the work elements that comprise the EMO-II Project. The WBS provides the necessary framework for detailed cost estimating and control along with providing guidance for schedule development and control.

### 6.2.1 Project Phases

**Project Phases Matrix**

<b>Project Phase</b>	<b>Phase Deliverables</b>	<b>Estimated Completion Date</b>
Initiation	Feasibility Study Report (FSR) and NCB Developed and Approved	June 2015
Procurement	Contract Awarded	July 2015
Planning	Project Management Documentation	October 2015
Analysis/Design	Requirements and Design	July 2015 – June 2017
Development	Coding, Data Migration, Testing, Training	July 2015 – January 2018
Deployment	Five (5) releases: Aware Versions: 5.19 5.20 5.21 5.22 5.23	Version: 5.19 – May 2016 5.20 – November 2016 5.21 – May 2017 5.22 – September 2017 5.23 – May 2018
Post-Implementation	Project Close Out, Acceptance, and PIER.	December 2019

6.2.2 Project Schedule  
 Project Schedule (See attached Appendix B)

6.2.3 Project Quality and Change Management  
 Project quality assurance will be monitored using the DOR’s existing IT quality control procedures. Procedures include separation of duties, acceptance testing, version control tools, requirements traceability matrix, and customer walk-through. The PM will assist in the development of quality standards and their implementation for this project.

Change Management - the project team will utilize the DOR’s existing change management processes as defined within the project management framework. In addition, the Project Director must approve significant changes to the project baselines (cost, schedule, scope and quality). During development, the project team will use the DOR’s configuration management processes.

6.3 Authorization Required  
 This is a reportable project and must be approved by the California Department of Technology. In addition, approval is required from the DOR’s Executive Office, the Deputy Director and CIO, and the Budget Officer. Approval is also required from the Secretary of Health and Human Services Agency.

6.4 Project Priorities

Project Priorities Matrix

Factor	Resources	Schedule	Scope
Constrained (Cannot Change)		X	
Accepted (Could be Changed)	X		
Improved (Can be Changed)			X

The project **schedule** is **constrained**. The project must adhere to the defined project schedule in order to meet its objectives.

The project **resources** are **accepted**. Additional resources may be required if necessary to ensure the schedule is maintained.

The project **scope** can be **improved**. The DOR has determined that the scope of the project may be adjusted to ensure the project completes on time.

7.0 Risk Register (Risk Management Plan)

The Risk Management Plan described in this section was developed to help manage and reduce the overall risk of the EMO-II Project. This Plan is based on SIMM guidelines and includes the components listed in the table below.

The PM develops and maintains a risk management process that will be used during the project. Risks will be documented upon discovery and will be assessed and addressed during regular weekly status meetings.

The Project will use a risk management approach that recognizes that risk response planning must be appropriate to the severity of the risk, cost effective in meeting the challenge, timely to be successful, realistic within the project context, agreed upon by all parties involved, and owned by a responsible person.

These considerations go into choosing the response when project risks are defined. The project team evaluates risk responses in the following order, beginning with those that have the highest likelihood of effectiveness: (1) Avoidance, (2) Acceptance, (3) Mitigation, (4) Sharing.

### 7.1 Risk Management Approach

The methodology of the Risk Management Plan will be consistent with the State of California’s Project Management Methodology and the California Department of Technology CA-PMM. The following sub-sections detail the parties who will be responsible for risk management and the process they will follow.

### 7.2 Responsible Parties

Risk management is a dynamic process that occurs throughout the project life cycle. Therefore, several parties will be responsible for developing, implementing, and updating the Risk Management Plan. The PM will be directly responsible for managing project risks and will regularly report the status of risk issues to the DOR Project Management Team throughout the project. The specific roles of various parties are described below.

#### Roles and Responsibilities

Role	Responsibility
Project Director	The Project Director will have overall responsibility for the implementation of the EMO-II. The Project Director will approve the Risk Management Plan and will work with the Project Management Team to develop the process for tracking and managing issues and risk factors. The Project Director will also be responsible for elevating risks to the Project Sponsor when appropriate, consistent with this plan.
DOR PM/Project Management Team	The DOR PM/Project Management Team will be responsible for working with project team members to identify risks. They will also monitor project risks, develop mitigation measures and contingency plans, and implement those contingency plans when necessary.
Project Team	All members of the Project Team will be involved in identifying potential risks and working with the PM to carry out mitigation actions and/or contingency plans.

### 7.2.1 Risk Management Process

The PM will prepare a baseline Risk Management Plan in accordance with the CA-PMM and submit it to the Project Director within 30 days of project initiation. This plan will be used on an ongoing basis to identify and monitor risks, quantify the potential impact of each identified risk, present mitigation plans for each identified risk and enact appropriate risk responses. Mitigation measures and contingency plans will be developed and implemented as high-priority risks are identified and monitored. Project reserves (i.e., time, personnel, funding) will be allocated at the discretion of the Project Director and/or Project Sponsor as appropriate.

### 7.3 Management Worksheet

The risk management worksheet will be used as the starting point for identifying and prioritizing potential project risks.

**Risk** – The risk category defined by the CA-PMM or a specific statement of risk.

**Probability Scale** – The likelihood that the risk will occur. Expressed as:

- 1 = less than 20%
- 2 = 21%-40%,
- 3 = 41%-60%
- 4 = 61%-80%
- 5 = greater than 80%

**Impact Scale** – The magnitude of the effect on the project should the risk occur. Expressed as

- 1 = less than 5% change to schedule, scope, budget, or quality
- 2 = 05%-10% change to schedule, scope, budget, or quality
- 3 = 11%-15% change to schedule, scope, budget, or quality
- 4 = 16%-24% change to schedule, scope, budget, or quality
- 5 = 25% or greater change to schedule, scope, budget, or quality

**Cause** – The likely cause of the risk.

**Preventative Measures** – The actions proposed to prevent the risk.

**Mitigation/Contingency Actions** – Preliminary mitigation and contingency actions that have been proposed to address the risk.

### Risk Register

<b>Risk</b>	Lack of available DOR ITSD staff (based on quantity, area of expertise, skill level, assignment priorities, etc.) may affect interface development, data cleansing/conversion, testing, and implementation timelines
<b>Probability Scale</b>	4
<b>Impact Scale</b>	5
<b>Cause</b>	DOR does not have excess staffing in all skill areas, when combined with other assignment priorities, which would guarantee timely resolution and completion of all project tasks
<b>Preventive Measures</b>	Continue expanding cross training throughout ITSD and adjust priorities of tasks external of the project
<b>Mitigation Contingency</b>	Consider changes in the project schedule using change management plan, and confirm priorities for the project with executives and management

<b>Risk</b>	Aware VR has some legacy infrastructure, central point of failure issues (lack of redundancy), and recently outdated or underperforming underlying systems that will be updated over the course of this project (not necessarily because of this project). Additionally, managed service provider maintains administrative rights to DOR data and can impede project ability to meet critical path responsibilities as defined in the project
<b>Probability Scale</b>	5
<b>Impact Scale</b>	2
<b>Cause</b>	Manufacturer updates to underlying operating systems, server applications (SQL), hardware requirements, and other critical application infrastructure changes.
<b>Preventive Measures</b>	Change control and issue management
<b>Mitigation Contingency</b>	Consider changes in the project schedule using change management plan

<b>Risk</b>	Inadequately defined requirements (application integration, interface, business process, FISCAL, etc.) can lead to budgetary constraints, schedule adjustment, and scope change
<b>Probability Scale</b>	5
<b>Impact Scale</b>	5
<b>Cause</b>	Losing senior DOR business process SMEs assigned to the team will limit the ability to approve requirements and design
<b>Preventive Measures</b>	Knowledge transfer and training
<b>Mitigation Contingency</b>	Consider changes in the project schedule and adjustments to scope using change management plan. Involve managers throughout the process as SMEs and owners

<b>Risk</b>	Contractual timeframes for product delivery will increase ITSD workload (integration, testing, data cleansing/conversion, etc.) and may affect the timely implementation of releases and third part vendor fixes
<b>Probability Scale</b>	5
<b>Impact Scale</b>	3
<b>Cause</b>	Inability to carryover unspent funds from one federal fiscal year to the next
<b>Preventive Measures</b>	Project calendar built around existing and anticipated DOR ITSD resources
<b>Mitigation Contingency</b>	Consider changes in the implementation and deployment schedule using the change management plan.

**8.0 Economic Analysis Worksheets (EAW) – See attached Appendix C**

The 6.3 PYs that are listed in the Ongoing IT Project Costs will be accumulative redirected hours by existing staff. The staff is currently performing functions that include, but are not limited to:

- Maintenance of IT systems
- Application development
- Program support
- Project support
- Database support
- Business Analysis
- Administration

When the EMO-II is fully implemented at the end of FY 2017-2018 in year 3 (June 30, 2018), the PYs will be redirected back to their previous functions and current project support and maintenance.