**REQUEST FOR OFFER**

The California Health and Human Services Agency (CHHSA) Office of Systems Integration (hereinafter referred to as OSI or State) procures, manages, and delivers technology systems that support the delivery of services to Californians provided by the CHHSA. The OSI is inviting you to review and respond to this **Child Welfare Digital Services (CWDS) Data Quality Assurance Services** Request for Offer (RFO).

**OSI RFO #: 32601**

**CWDS - Data Quality Assurance Services**

The OSI has purchasing authority for information technology (IT) (California Public Contract Code (PCC) Section 12100) and has selected to use a leveraged procurement agreement (LPA) to procure consulting services (PCC Section 10335.5). To be considered for this RFO, the Vendor responding to this RFO (Vendor) must hold a current California Multiple Award Schedule (CMAS) agreementthat includes labor categories for the services described in this RFO.All Vendors must adhere to the Key Action Dates and Times provided in the RFO. The State may modify any part of the RFO, by issuance of one (1) or more addenda.

Offers must comply with the instructions found herein. Failure to comply with any of the requirements may cause the offer to be deemed **non-responsive** and/or the Vendor deemed **non-responsible.**

An agreement resulting from this RFO (Agreement) shall not exceed $500,000.00 inclusive of the Core Term and one (1) year Optional Term.

**CONTACT INFORMATION**

Office of Systems Integration

Acquisition and Contracting Service Division

Procurement Official: Tanya LoForte

Phone: (916) 263-4267 E-mail address: tanya.loforte@osi.ca.gov

**RFO SUBMITTAL ADDRESS:**

2535 Capitol Oaks Drive, Suite 120, Sacramento, CA 95833

**KEY ACTION DATES & TIMES**

|  |  |
| --- | --- |
| **RFO Release Date:** | **October 25, 2017** |
| **Written Questions Due Date & Time:**  *(Send questions via email to* [*tanya.loforte@osi.ca.gov*](mailto:solicitations@osi.ca.gov) *and reference RFO # 32601 in the subject line.)* | **November 1, 2017 by 10:00 a.m.** |
| **Written Answers Release Date:** | **November 8, 2017** |
| **RFO Response Must be Received by Due Date & Time:** *(Responses must be complete and received no later than the designated Due Date & Time.)* | **November 15, 2017 by 10:00 a.m.** |
| **Anticipated Term Dates:** | **March 4, 2018 through March 3, 2019, with a one (1) year Optional Term** |

\*The Anticipated Term Dates are approximate and may be adjusted as conditions indicate without an addendum to this RFO.

**This RFO document compriseS three (3) sections as follows:**

Section I = Request for Offer -- Overview

Section II = Request for Offer -- Administrative and Technical Requirements

Section III = Request for Offer -- Statement of Work

SECTION I – REQUEST FOR OFFER -- OVERVIEW

1. **PURPOSE**

The purpose of this Request for Offer (RFO) is to obtain data quality assurance subject matter expertise services to assist the Child Welfare Digital Services (CWDS), the California Department of Social Services (CDSS), and counties in ensuring the integrity of the data currently residing in the Child Welfare Services/Case Management System (CWS/CMS).

1. **PROJECT BACKGROUND**

Child Welfare Services (CWS) is the primary prevention and intervention resource for child abuse, neglect, and exploitation in California. Through a coordinated system of programs, federal, State, and local agencies develop and implement new services that focus on preventing child abuse and neglect by strengthening families, protecting children from further maltreatment, reuniting children safely with their families, or finding permanent families for children who cannot safely return home.

**CWS/CMS Legacy System**

In order to effectively protect California’s at-risk children and preserve families, the State requires a multi-agency, collaborative service approach supported by a comprehensive case management system. The current CWS/CMS is a legislatively mandated statewide application implemented in 1997 based on the CWS business needs and practices at that time. The system was originally developed to meet the needs of users to assure the safety, permanency, and well-being of children at risk of abuse, neglect or exploitation. It is used by each of the 58 county child welfare and probation agencies, Title IV-E tribes, and the State of California.

The CWS/CMS is a 20-year-old system with usability, maintenance, and data accuracy issues. The CWS/CMS does not fully support child welfare practices and is no longer an economical, efficient, or effective automated tool to support the delivery of child welfare services.

As illustrated in Figure 1 – High-Level CWS/CMS System Architecture, CWS/CMS runs on two IBM mainframes in a sysplex at the California Department of Technology (CDT) Office of Technology Services (OTech) Gold Camp data center facility. The DB2 database interacts with an application layer written primarily in COBOL. The business logic, including data validation, exists both at the application layer and at the VB6 thick client. Currently, there are approximately 200+ business rules at the application layer.

Figure 1 – High-Level CWS/CMS System Architecture



1. **GENERAL INFORMATION**

a. The specific tasks and deliverables associated with this RFO are included in Section III, the Statement of Work (SOW). The SOW and Vendor’s Response to this RFO (Response) will be made a part of the Agreement.

b. If a Vendor discovers any ambiguity, conflict, discrepancy, omission or any other errors in this RFO, the Vendor should immediately provide written notice to the State of such error and request clarification or modification of the affected document. Vendors requiring clarification of the intent and content of this RFO may request clarification by submitting questions electronically to the Procurement Official listed on the cover page of this RFO. To ensure a response, questions must be received by the date and time specified in the Key Action Dates and Times for “Written Questions Due Date & Time.”

c. The State may modify any part of the RFO, by issuance of one (1) or more addenda. Addenda will be numbered consecutively and sent to the established vendor list for this RFO.

d. The State may request clarification from Vendors at any phase of the assessment and selection process for the purpose of clarifying ambiguities in the information presented in the Response. The State will provide written notice to the Vendor(s) of the documentation required and the time line for submission. Failure to submit the required documentation by the date and time indicated will cause the State to deem the RFO Response **non-responsive** and/or the Vendor **non-responsible**.

e. All costs for developing Responses are entirely the responsibility of the Vendor and shall not be chargeable to the State.

f. The Vendors that are Small Businesses (SB) and/or Disabled Veteran Business Enterprises (DVBE) should provide and include an SB/DVBE Certification with their Response. The State will verify that SB/DVBE certifications are valid at the time the Response is due. In accordance with California Government Code (GC) section 14837(d) and California Military and Veterans Code section 999, all SB and DVBE contractors, subcontractors and suppliers that bid on or participate in a State agreement, regardless of being an oral or written solicitation, shall perform a Commercially Useful Function (CUF). See Commercially Useful Function Documentation, Attachment II-I.

g. The CWDS Procurement Glossary is located in Attachment III-E.

h. The Bidders’ Library contains reference materials, web links, and other documents to support this RFO. The Vendor is strongly advised to review the information in the Bidders’ Library. To access the Bidders’ Library, the Vendor must follow the instructions identified on the CWDS website under the Bidders’ Library section which can be found at: <https://cwds.ca.gov/vendors>.

Note: Items in the Bidders’ Library may be updated at any time. The State is not required to issue an addendum to the RFO in order to update items in the Bidders’ Library. Therefore, it is the Vendor’s responsibility to regularly check the Bidders’ Library for updates. Any questions concerning the Bidders’ Library must be directed to the Procurement Official identified on page 1 of the RFO.

**4. RFO BEST VALUE RESPONSE ASSESSMENT AND SELECTION PROCESS**

The State’s RFO Response assessment team (Assessment Team) will review and assess Responses in accordance with the Assessment and Selection Criteria. Responses will be assessed using a combination of Pass/Fail and numerically scored criteria. The following table is a summary of the assessment factors.

|  |  |  |
| --- | --- | --- |
| **Assessment and Selection Criteria** | | |
| **Item** | | **Rating** |
| Administrative Assessment Criteria-  (Responses Must Pass the Administrative Assessment to Move on to the Technical Assessment) | | Pass/Fail |
| Technical Assessment Criteria (consists of the following components) | | |
| Staff Resume Table (Attachment II-C) | | Pass/Fail |
| Staff Reference Form (Attachment II-D) | | Pass/Fail |
| Understanding and Approach (Attachment II-E) | | 400 Points |
| CMAS/General Services Administration Classification Qualifications  (Attachment II-F) | | Pass/Fail |
| Cost Assessment Criteria: | | |
| Cost Worksheet (Attachment II-K) | | 300 Points |
| Interview (optional) | | 300 Points |
|  | **Total Possible Points** | **1000 Points** |

**ADMINISTRATIVE ASSESSMENT CRITERIA:**

1. **Administrative Assessment**

The Procurement Official will review the Vendor's Response to ensure the submission and completion of the required forms, documents, and certifications. The Administrative Assessment will be evaluated on a Pass/Fail basis. In order to move to the Technical Assessment phase, the Vendor's Response must achieve a passing score. If a Vendor's Response does not pass the Administrative Assessment, it will be deemed as **non-responsive** and may not move to the Technical Assessment phase.

**TECHNICAL ASSESSMENT CRITERIA:**

1. **Staff Resume Table Assessment – Attachment II-C**

Mandatory Qualifications (MQs): The Assessment Team will review Attachment II-C, Staff Resume Table to determine if the proposed staff meets all of the MQs as identified in Section III, SOW, in the Contractor Staff subsection. The descriptions of the projects must be detailed and comprehensive enough to permit the Assessment Team to validate all claimed experience meets the MQs. The Assessment Team may contact any of the references identified in Attachment II-C to validate the claimed experience.

MQs will be assessed on a Pass/Fail basis. If one (1) or more of a Vendor's proposed staff receive a failing score (Fail) on any MQ, that Vendor's Response will be deemed **non-responsive** and ineligible to achieve Agreement award.

1. **Staff Reference Form Assessment - Attachment II-D**

The Vendor must submit only two (2) Attachment II-D forms for each proposed staff that validate the candidate’s ability to perform the responsibilities of at least one (1) MQ identified in Attachment II-C, Staff Resume Table. A different MQ must be provided in each Staff Reference Form, Attachment II-D. If more than two (2) Staff Reference Forms are submitted, the State will only consider the two lowest scored forms to determine a Pass/Fail. The reference must be a client or former supervisor. The reference must not be current staff or a subcontractor of the proposing firm. The Assessment Team will contact references in Attachment II-D to verify the information provided.

The Assessment Team will review the Staff Reference Form, Attachment II-D, and may contact reference(s) to validate that the proposed Vendor’s staff performed the services as listed. Points will be awarded based on the responses (Rating Values) received from the reference(s) for the five (5) Performance and Ability Statements listed below.

| **Staff Reference Form Assessment** | | |
| --- | --- | --- |
| **Item #** | **Performance and Ability Statements** | **Rating Values**  20 Points = Excellent  15 Points = Good  5 Points = Poor  0 Points = No Value |
| 1 | Rate the performance and abilities of the Vendor’s staff during this engagement. | |
| 2 | Rate the ability of the Vendor’s staff to perform contractually-required work in a timely manner. | |
| 3 | Rate the verbal and written communication skills of the Vendor’s staff. | |
| 4 | Rate the ability of the Vendor’s staff to engage in positive working relationships with other co-workers. | |
| 5 | Rate the knowledge of the Vendor’s staff in the required areas of expertise. | |

Scores will be calculated as follows:

The Vendor's staff references will each be assessed on a Pass/Fail basis by following these steps:

* First the Staff Reference Forms will be reviewed to determine how many points were awarded. Each Staff Reference form will have a rating up to 100 points.
* Second, each Staff Reference Form provided must receive a minimum score of 65.
* Third, any Staff Reference Form provided that has a score less than 65 will be deemed a “Fail”. Any Staff Reference Form that receives a score of 65 or more will be deemed a “Pass. Any reference question left blank will result in a score of zero for that performance and ability statement.
* Fourth, if one (1) or more of a Vendor's proposed staff receive a failing score (Fail) on either Staff Reference Form, that Vendor's Response will be deemed **non-responsive** and ineligible to achieve Agreement award.

Each reference must be available to validate the listed experience. If the Vendor does not provide two (2) Staff Reference Forms, Attachment II-D, each identifying a different MQ, or if a reference cannot validate the experience, the corresponding experience will not be counted toward the experience to meet the MQ(s) and the Response may be deemed **non-responsive** and the Vendor **non-responsible** and ineligible to achieve Agreement award.

1. **Understanding and Approach Assessment – Attachment II-E**

The Assessment Team will read the Vendor's narrative to determine if the written Understanding and Approach (U&A) narrative is in sufficient detail for each of the questions/topics identified in Attachment II-E. A **maximum of 400 points** in total may be awarded for the U&A scoring.

|  |  |
| --- | --- |
| **Understanding and Approach Assessment** | **Rating Values** |
| All considerations of the components are fully addressed with the highest degree of confidence in the Vendor’s Response. | 400 Points = Excellent |
| The Response addresses most of the components, with an average degree of confidence. | 200 Points = Good |
| The Response minimally addresses the components and was missing important details and lacked insight into the services requested, with a below average degree of confidence. | 100 Points = Poor |
| The Response fails to address the components. | 0 Points = No Value |

1. The U&A will be assessed a point value up to 400 points. The point values will be added together and then divided by the number of topics to create an Average U&A score (Column D), up to 400 points. (All scores will be rounded up/down to the nearest whole number). Please refer to the table below for a mathematical depiction.
2. ***The following U&A Assessment Table is an example only.***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Vendor Name** | **A** | **B** |  | **D** |
| **Topic 1** | **Topic 2** |  | **Average U&A Score**  (A+B+C Divided by the total # of Topics) |
| Response A (Highest) | 200 | 400 |  | 600/2 = 300 |
| Response B | 400 | 100 |  | 500/2 = 250 |
| Response C | 100 | 100 |  | 200/2 = 100 |

1. **CMAS/GSA Classification Qualifications Assessment – Attachment II-F**

The Assessment Team will review the CMAS/General Services Administration (GSA) classification qualifications to determine if each proposed staff meets the experience and education requirements for their designated classification(s) as listed and required in the CMAS/GSA. The classification qualifications will be assessed on a Pass/Fail basis. If one (1) or more of a Vendor's proposed staff receive a failing score (Fail), that Vendor's Response will be deemed **non-responsive** and the Vendor **non-responsible** and ineligible to achieve Agreement award.

**COST ASSESSMENT CRITERIA:**

1. **Cost Worksheet – Attachment II-K Assessment**

The Assessment Team will review, calculate, and score the Cost Worksheet, Attachment II-K, to verify that it is complete with all costs accounted for. If errors are found, the numbers will be adjusted based on the lowest denominator. The cost assessment will be computed using the following formula:

|  |  |  |
| --- | --- | --- |
| Lowest Response Cost | X 300 | = Vendor’s Cost Score |
| Vendor’s Cost |

The Vendor with the lowest total cost will receive a **maximum of 300 points**. For all other Responses, the lowest cost is divided by the vendor’s Total Cost (Column A) to calculate the Percentage (Column B). This percentage is multiplied by the maximum possible cost points (300) to calculate the Cost Score (Column C).

***The following table is only an example of the Cost Score assessment.***

| **Vendor’s Name** | **A** | **B** | **C** |
| --- | --- | --- | --- |
| **Total Cost** | **Percentage**  (Lowest Cost ÷ Vendor Cost) | **Cost Score**  (B X 300 = C) |
| Response A | $500,000 | $415,000 ÷ $500,000 = .83 (83%) | .83 X 300 = 249 |
| Response B | $415,000 | $415,000 ÷ $415,000 = 1.0 (100%) | 1.0 X 300 = 300 |
| Response C | $430,000 | $415,000 ÷ $430,000 = .97 (97%) | .97 X 300 = 291 |

**INTERVIEW (OPTIONAL):**

1. The State may interview up to the top four (4) scoring Vendors which reach this step in the assessment. These top four Vendors must have received a numeric score for numerically-scored components and also received a passing score for all pass/fail components. For Vendors that received a zero (0) score for any of the numerically scored components or received a “fail” for any of the pass/fail components, interviews will not be held. If interviews are held, a maximum of 300 points may be awarded for the interview component.

If an interview is conducted:

* + 1. The State requires the proposed staff identified in the Response to be present and participate in the interview.
    2. Interview questions will be provided prior to the candidates’ scheduled interview.
    3. Interview questions will relate to this RFO SOW, the proposed staff’s ability to perform the required services, their experience, or their knowledge/skills relative to the RFO SOW.
    4. A maximum of five (5) interview questions will be asked to the proposed staff.
    5. The Assessment Team will assign a Rating Value of zero (0) through one hundred (100) for each interview response.
    6. All scores will be summed to obtain the Interview Score.

|  |  |
| --- | --- |
| **Rating Values** | **Interview Assessment** |
| Excellent (100) | The Response addresses all of the components with the highest degree of confidence. |
| Good (75) | The Response addresses most of the components with an above-average degree of confidence. |
| Fair (50) | The Response addressed some of the components with an average degree of confidence. |
| Poor (25) | The Response minimally addressed the components with a below average degree of confidence. |
| No Value (0) | The Response fails to address the components. |

***The following table is only an example of the Interview Score assessment.***

| **Staff Name** | **Q1** | **Q2** | **Q3** | **Q4** | **Q5** | **Interview Score**  (SUM Q1-Q5) |
| --- | --- | --- | --- | --- | --- | --- |
| Staff 1 | 100 | 75 | 50 | 25 | 25 | 275 |

SECTION II – REQUEST FOR OFFER – ADMINISTRATIVE AND TECHNICAL REQUIREMENTS

1. **GENERAL requirements**

Responses must contain all requested information and follow the format described below.

* 1. All Responses must be submitted within the timelines specified in the Key Action Dates and Times, to the Procurement Official listed on the RFO cover page.
  2. Vendors must submit any questions regarding this RFO by the date specified in the Key Action Dates and Times, to the Procurement Official listed on the RFO cover page. Vendors shall provide specific information to enable the State to identify and respond to the questions. The State will accept only e-mail questions. At its discretion, the State may contact a Vendor to seek clarification of any questions received. Vendors that fail to report a known or suspected problem with the RFO or fail to seek clarification and/or correction of the RFO submit a Response at their own risk.
  3. Vendors shall provide all necessary information for the State to assess the Response, verify requested information, and determine the Vendor’s ability to perform the tasks and activities defined in Section III, SOW.
  4. Any documentation submitted that has been marked “confidential” or “proprietary” shall be noted in the Vendor’s Response. However, marking a document "confidential" or "proprietary" in a Response will not prevent that document from being released as a public record, unless a court of competent jurisdiction has ordered the State to not release the document. All documents submitted in response to this RFO will become the property of the State of California and are subject to the California Public Records Act, GC section 6250 et seq., the California Evidence Code and other applicable state and federal laws.
  5. Issuance of this RFO in no way constitutes a commitment by the State to award an Agreement. The State reserves the right to reject any or all Responses received if the State determines that it is in the State’s best interest to do so. The State shall reject any Response that is conditional, and may reject a Response that is incomplete. Assumptions made by the Vendor in responding to this RFO do not obligate the State. Additionally, assumptions may make the Response conditional and cause the Response to be rejected. Responses to this RFO will be assessed based on determining the “best value” and the selection, if made, will be to a single Vendor.
  6. Irrevocable Offer: A Vendor’s final offer in response to this RFO shall constitute a firm offer, which shall remain irrevocable for not less than one hundred fifty (150) days following the RFO Response Due Date specified in the Key Action Dates and Times. The expiration date of the Vendor’s firm offer may be extended by the Vendor via written notice to the State. The State’s execution of a contract under this RFO shall not be considered a rejection of any unsuccessful Vendor’s firm offer, which shall remain irrevocable for the period described above. The State reserves the right, upon termination of any contract and without initiating a new RFO process, to accept any other Vendor’s firm offer and form a contract with that other Vendor.
  7. Bidders are advised that deviations from the State approved General Provisions may be grounds for rejection of the offer.
  8. Bidders are advised that the contract awarded as a result of this solicitation shall automatically include the *CWS-NS General Provisions* – *Information Technology, Attachment III-*D*.*

1. **RFO SUBMITTAL INSTRUCTIONS, ADMINISTRATIVE AND TECHNICAL REQUIREMENTS**

RESPONSE REQUIREMENTS

Vendors must submit four (4) hard copies of the RFO with one (1) copy marked as “**Master**.” The Response documents should be submitted in the order provided below and separated by tabs in the hard copies. The following items must be complete and contained in the Response, unless otherwise specified:

1. **Vendor Outline and Checklist, Attachment II-A**

The Vendor Outline and Checklist, Attachment II-A, is provided as a guide to assist the Vendor in submitting a complete Response. This checklist should be completed and returned with the Response, but the submission of this checklist is not required.

1. **Information and Offer Certification Sheet, Attachment II-B**

The Information and Offer Certification Sheet, Attachment II-B, must be signed and returned along with all the required attachments listed in this section.

1. **Electronic Copy**

The Vendor must submit one (1) electronic copy on a Compact Disk (CD), Digital Video Disc (DVD), or a Universal Serial Bus (USB) flash drive containing:

* A complete Portable Document Format (PDF) copy of the Response,
* And the Cost Worksheet, Attachment II-M, as a separate file.

1. **Staff Resume Table, Attachment II-C**
2. **Mandatory Qualifications**: The Vendor must complete the Staff Resume Table, Attachment II-C, for each proposed staff. Each proposed staff must individually meet all the MQs. The Staff Resume Table must provide a complete description of how each proposed staff meets the MQs.
3. **Project Description**: For each relevant experience, provide the (1) company name, (2) the project name, (3) the number of system users, (4) time period of the proposed staff’s engagement with the project, (5) the percentage of time the proposed staff worked on the project, and (6) the sum of the experience gained in all referenced projects for each qualification. (For example, if the proposed staff had 14 months experience on project #1 and 37 months experience on project #2 for MQ #1, then enter a total of 51 months.)

**Note**: If a proposed staff was assigned to multiple projects at any given time, the Staff Resume Table must indicate the actual duration[[1]](#footnote-1) of time the proposed staff was tasked to each assignment. The experience gained must include only the percentage of time dedicated to that project and qualification. For example, if the proposed staff’s time was split 50 percent between two projects for a period of 12 months with one project applicable to the qualification while the other was not, the proposed staff could only claim six (6) months applicable experience.

1. **Relevant Experience**: For each relevant experience, provide (1) a description of the proposed staff’s role in the listed project(s); (2) a description of the relevant experience for each of the project(s) including information on (2a) assigned responsibilities, (2b) tasks performed, and (2c) applications and technologies used; (3) the number of functional requirements for the application; and (4) the number of external system interfaces.
2. **Reference Contact:** Provide information about the reference: (1) contact name; (2) company name; (3) phone number; and (4) email address.

**Note:** If the client reference is not allowed either legally or by company/organization policy to sign the client reference form, the client reference must type in their full name with a brief statement on the form outlining the reason they are not permitted to sign the State’s reference form. If needed, the State may contact either the bidder and/or staff reference(s) to validate the reference submitted.

1. **Staff Reference Form, Attachment II-D**

The Vendor must submit two (2) completed Staff Reference Forms, Attachment II-D, for each proposed staff member. The form must not be altered and all relevant information should be included on the one (1) page form.

Instructions for completing the Staff Reference Form:

Step 1- The Vendor completes the name fields at the top of page 2.

Step 2- The Vendor completes Table 1 – Reference’s Information. The reference provided must be identical to the reference listed on Staff Resume Table, Attachment II-C.

Step 3- The Vendor provides Attachment II-C, Staff Resume Table, and Attachment II-D, Staff Reference Form, to each of the required references.

Step 4- The reference completes Table 2, Columns 1 and 2, while utilizing Attachment II-C, Staff Resume Table, as a reference.

Step 5- The reference completes Column 2 of Table 3, by utilizing the points described in Table 4.

Step 6- The reference must complete the bottom of page 2: printed name and company name; signature; and the date.

Step 7- The Vendor shall collect all completed Staff Reference Forms and include the forms with its Response. Staff Reference Forms submitted with the Response must be completed, signed, and dated by the reference. (Original signatures are not required when submitting the Staff Reference Forms with the Response. Photocopies or scanned versions of the signed documents are acceptable. Unsigned documents will not be accepted.)

The Assessment Team may contact the reference(s) to validate information submitted in the Staff Reference Forms with the listed reference contact person.

1. **Understanding and Approach, Attachment II-E**

The Vendor must provide a brief narrative, not to exceed ten (10) pages in length, describing their understanding of, and approach to, the questions/topics.

1. **CMAS/GSA Classification Qualifications, Attachment II-F**

The Vendor must complete the CMAS/GSA Classification Qualifications, Attachment II-F, for each proposed staff. The CMAS/GSA Classification/Job Title, the CMAS/GSA Experience and CMAS/GSA Education must be inserted into the appropriate column as shown in the example. The proposed staff’s name, along with his/her specific experience and education shall be completed by the Vendor, **ensuring the proposed staff meets the CMAS requirements to qualify for the identified CMAS/GSA Classification.**

* 1. **Attach any** **required degree(s) and/or certification(s).**

1. **CMAS/GSA Agreement, Attachment II-G**

In the RFO Response, the Vendor must include a complete, signed copy of their approved and active CMAS/GSA Agreement with all supplements and attachments issued by the Department of General Services (DGS).

1. **Bidder Declaration GSPD-05-105, Attachment II-H**

The Vendor must complete and submit the Bidder Declaration GSPD-05-105 (available at [www.documents.dgs.ca.gov/pd/poliproc/MASTEr-BidDeclar08-09.pdf](http://www.documents.dgs.ca.gov/pd/poliproc/MASTEr-BidDeclar08-09.pdf)) with its Response. When completing the declaration, Vendors responding to the RFO must identify all subcontractors proposed for participation in this Agreement.

1. **Commercially Useful Function Documentation, Attachment II-I**

All suppliers, including subcontractor(s), that are doing business with the State and are certified as a SB and/or DVBE, must perform a CUF and shall meet the CUF requirements under GC section 14837(d) (4)(A) (i-v) (for SB) and Military and Veterans Code section 999(b)(5)(B) (i) (I-V) (for DVBE). Attachment II-K shall be completed and included in the Response. *(If the Vendor is not a SB/DVBE and is not subcontracting with a SB/DVBE, please place "N/A" on the document and submit as part of the Response.)* For more information relating to subcontractors, please see Section III, SOW, Item 15, Subcontractors.

1. **DVBE Declaration Form STD. 843 (if applicable), Attachment II-J**

Vendors that have been certified by California as a DVBE must also submit a completed form(s) STD. 843 (Disabled Veteran Business Enterprise Declaration/Certification). All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the form(s). The completed form must be included with the Response. At the State’s option prior to selection, Vendors responding to an RFO may be required to submit additional written, clarifying information. Failure to submit the requested information as specified may be grounds for a Response to be rejected. This form is available at [www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf](http://www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf). *(If the Vendor is not a DVBE and is not subcontracting with a DVBE, this document is not required to be submitted in the Response.)*

1. **Cost Worksheet, Attachment II-K**

The Vendor is required to complete the Cost Worksheet. The Vendor must validate that the number of hours, the hourly rates, and per deliverable costs are calculated correctly.

1. **Certificate of Insurance, Attachment II-L**

The Vendor is required to provide a copy of the insurances listed below with the Response. At the time the Responses are due, only a copy of existing insurance is required. The State does not need to be a named as additional insured prior to Agreement award. Should the vendor be awarded an agreement, the State will require that the Certificate Holder on the Certificate Insurance include the OSI's address as: Office of Systems Integration, Attention: Acquisition and Contracting Services Division, 2535 Capital Oaks Drive, Suite 120, Sacramento, CA 95833 and the Agreement Number (which will be assigned at time of Agreement award).

Insurance requirements:

1. The Contractor's certificate of insurance shall comply with the following requirements:
2. **Commercial General Liability**:

On an occurrence form with limits not less than $1,000,000 per occurrence for bodily injury and property damage liability combined with a $2,000,000 annual policy aggregate or proof of adequate self-insurance if the Contractor is a self-insured government and/or a public entity. The policy shall include coverage for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal and advertising injury, and liability assumed under an insured agreement. The commercial general liability insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Contractor's limit of liability.

In the case of the Contractor's utilization of subcontractors to complete the contracted scope of work, the contractors shall include all subcontractors as insured under the Contractor's insurance or supply evidence of insurance to the State equal to policies, coverage and limits required of the Contractor.

1. **Professional Liability**:

The Contractor shall maintain professional liability/errors and omissions insurance with limits no less than $1,000,000 for each claim covering damages caused by negligent errors, acts or omission. The policy retroactive date must be displayed on the certificate and must be before the date this Agreement is executed or before the commencement of work.

1. **Automobile Liability**: The Contractor shall maintain motor vehicle liability with limits not less than $1,000,000 combined single limit per accident. Such insurance shall cover liability arising out of a motor vehicle including owned, hired and non-owned motor vehicles.
2. **Workers’ Compensation Insurance**:
   * 1. Provisions of section 3700 of the California Labor Code requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with such provisions before commencing performance of work under the Agreement.
     2. The Contractor shall maintain statutory workers’ compensation and employer's liability coverage for all its employees who will be engaged in the performance of the Agreement. Employer's liability limits of $1,000,000 are required.
     3. If your business is a Sole Proprietorship and does not employ any other individual(s), a signed statement on business letterhead stating, "**I certify under penalty of perjury under the laws of the State of California that I do not employ any person in any manner as to become subject to the Workers' Compensation laws of California. I further certify that the OSI will be notified within thirty (30) days of any changes which results in the business becoming subject to the Workers' Compensation laws of the State of California."** This letter must be on file for this Agreement.
3. **Federal Debarment, Suspension, Ineligibility and Voluntary Exclusion Certification,**

**Attachment II-M**

The Vendor must complete and sign the certification showing that neither the Vendor nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

1. **Iran Contracting Act Certification, Attachment II-N**

The Vendor must furnish to the State a certificate stating that, if awarded the Agreement, the Vendor either (a) is **not** on the current list of persons engaged in investment activities in Iran created by the DGS pursuant to PCC section 2203(b) and is not a financial institution extending $20,000,000 or more in credit to another person, for forty-five (45) days or more, if that other person will use the credit to provide goods or services in the energy sector in Iran and is identified on the current list of persons engaged in investment activities in Iran created by the DGS, or (b) demonstrates it has been exempted from the certification requirement for that solicitation or agreement pursuant to PCC section 2203(c) or (d).

1. **Payee Data Record Form STD. 204, Attachment II-O**

The Vendor must complete and sign the Payee Data Record Form (STD. 204), which is required for payments to all non-governmental entities and will be kept on file at the OSI. The form is available at: <http://www.documents.ca.gov/dgs/fmc/pdf.std204.pdf>.

1. **Documentation Required PRIOR TO/OR Upon Award**

The following documentation does not need to be provided as part of the RFO Response, but may be requested prior to, or upon, Agreement award:

1. **Form 700 Statement of Economic Interests (Upon Award)**

CHHSA Conflict of Interest Code requires that each proposed staff who will provide services pursuant to the Agreement must complete a Statement of Economic Interests, Form 700, on an annual basis and within 30 days of assuming or leaving office: <http://www.fppc.ca.gov/Form700.html>. In addition, upon Agreement award and every two (2) years thereafter, each staff shall complete the State’s online Ethics Training Course, as maintained by the California Office of the Attorney General, and submit the certificate of completion to the State Project Director or designee.

1. **The OSI Acceptable Use Security Policy Certification (Upon Award)**

In accordance with the OSI Acceptable Use Security Policy, the Contractors authorized to use the OSI government owned/leased equipment or facilities are required to read the OSI Acceptable Use Security Policy. Each proposed staff must sign the OSI Acceptable Use Security Policy Certification, Attachment III-C.

1. **Certificate of Insurance - Requirements (Prior to Award)**
2. The insurer shall not cancel the insured’s coverage without 30 days prior written notice to the State. Coverage needs to be in force for the complete term of the agreement. If insurance expires during the term of the Agreement, a new certificate must be received by the OSI ten (10) days prior to the expiration of insurance. This new insurance must still meet the terms of the original agreement. In the event that the Contractor fails to keep insurance coverage in effect at all times required in this Agreement, the OSI may, in addition to any other remedies it may have, terminate this Agreement. The OSI shall not be responsible for any premiums, deductibles, or assessments on the insurance policy.
3. The State of California shall be included as an additional insured. The policy must include the OSI, the State of California, its officers, agents, and employees as additional insured but only with respect to work performed for the State of California under this Agreement.
4. Policy Cancellation, Termination and Notice of Non-Renewal: The Contractor shall provide to the State within five (5) business days following receipt by the contractor a copy of any cancellation or non-renewal of insurance required by this agreement. In the event the Contractor fails to keep in effect at all times the specified insurance coverage, the State may, in addition to any other remedies it may have, terminate this Agreement upon the occurrence of such event, subject to the provisions of this Agreement.
5. Endorsements: Any required endorsement must be physically attached to all requested certificates of insurance and not substituted by referring to such coverage on the certificate of insurance.
6. Inadequate Insurance: Inadequate or lack of insurance does not negate the contractor's obligations under the Agreement.
7. If awarded the Agreement, the Contractor shall furnish to the State, prior to commencing the performance of work, a Certificate of Insurance for the requirements as listed below.
8. Certificate Holder on the Certificate of Insurance must include the OSI's address as: **Office of Systems Integration, Attention: Acquisition and Contracting Services Division, 2535 Capitol Oaks Drive, Suite 120, Sacramento, CA 95833 and the Agreement Number** (which will be assigned at time of Agreement award).
9. The Contractor's Certificate of Insurance shall comply with the following requirements:
10. **Commercial General Liability**:

On an occurrence form with limits not less than $1,000,000 per occurrence for bodily injury and property damage liability combined with a $2,000,000 annual policy aggregate or proof of adequate self-insurance if the Contractor is a self-insured government and/or a public entity. The policy shall include coverage for liabilities arising out of premises, operations, independent contractors, products, completed operations, personal and advertising injury, and liability assumed under an insured agreement. The commercial general liability insurance shall apply separately to each insured against whom claim is made or suit is brought subject to the Contractor's limit of liability.

In the case of the Contractor's utilization of subcontractors to complete the contracted scope of work, the contractors shall include all subcontractors as insured under the Contractor's insurance or supply evidence of insurance to the State equal to policies, coverage and limits required of the Contractor.

1. **Professional Liability**:

The Contractor shall maintain professional liability/errors and omissions insurance with limits no less than $1,000,000 for each claim covering damages caused by negligent errors, acts or omission. The policy retroactive date must be displayed on the certificate and must be before the date this Agreement is executed or before the commencement of work.

1. **Automobile Liability**: The Contractor shall maintain motor vehicle liability with limits not less than $1,000,000 combined single limit per accident. Such insurance shall cover liability arising out of a motor vehicle including owned, hired and non-owned motor vehicles.
2. **Workers’ Compensation Insurance**:
3. Provisions of section 3700 of the California Labor Code requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with such provisions before commencing performance of work under the Agreement.
4. The Contractor shall maintain statutory workers’ compensation and employer's liability coverage for all its employees who will be engaged in the performance of the Agreement. Employer's liability limits of $1,000,000 are required.
5. If your business is a Sole Proprietorship and does not employ any other individual(s), a signed statement on business letterhead stating, "**I certify under penalty of perjury under the laws of the State of California that I do not employ any person in any manner as to become subject to the Workers' Compensation laws of California. I further certify that the OSI will be notified within thirty (30) days of any changes which results in the business becoming subject to the Workers' Compensation laws of the State of California."** This letter must be on file for this Agreement.

**ATTACHMENT II-A**

**VENDOR OUTLINE AND CHECKLIST**

Complete this checklist to help confirm the items in your Response. Place a check mark or “X” next to each item that you are submitting to the State. **Responses must be complete and received no later than the designated Due Date & Time.**

*NOTE: The State does not guarantee that this checklist is comprehensive. Use of this checklist does not absolve Vendors from reading the entire RFO nor will it excuse Vendors of any obligations set forth in this RFO.*

This checklist should be completed and returned with your Response, but the submission of this checklist is not required.

**Check**

**The Box Attachment No. Attachment Names/Description**

ITEMS LISTED BELOW MAY BE REQUIRED FOR YOUR OFFER TO BE RESPONSIVE:

Attachment II-B Information and Offer Certification Sheet

Electronic Media Include an Electronic Copy of the Response

Two (2) Records: (1- Complete Response file and 1-Cost Worksheet file)

Attachment II-C Staff Resume Table(s)

Attachment II-D Staff Reference Form(s)

Attachment II-E Understanding and Approach

Attachment II-F CMAS/GSA Classification Qualifications

(Attach any required degree(s) and/or certification(s))

Attachment II-G CMAS/GSA Agreement

(Allsupplements and attachments including job classification, experience requirements, education requirements, and hourly rates must be included in RFO Response. Can be submitted electronically.)

Attachment II-H Bidder Declaration, GSPD-05-105

(Attach any SB/DVBE certifications)

Attachment II-I Commercially Useful Function (CUF) Documentation

(If the Vendor is not a SB/DVBE and is not subcontracting with a SB/DVBE, please place "N/A" on the document and submit as part of the Response.)

Attachment II-JDVBE Declaration Form, STD. 843

(If the Vendor is not a DVBE and is not subcontracting with a DVBE, this document is not required to be submitted as part of the Response.)

Attachment II-KCost Worksheet

Attachment II-L Certificate of Insurance

(Current certificate of insurance for Commercial General Liability, Professional Liability, Automobile Liability, Workers' Compensation Insurance. Please note: the certificate of insurance does not need to name the State as an additional insured at the time of Response submission.)

Attachment II-M Federal Debarment, Suspension, Ineligibility and Voluntary Exclusion Certification

Attachment II-NIran Contracting Act Certification

Attachment II-OPayee Data Record, STD. 204

4- Hard CopiesFour (4) - Hard Copies of the complete Response, with one (1) marked as "Master."

**ATTACHMENT II-B**

**INFORMATION AND OFFER CERTIFICATION SHEET**

This Information and Offer Certification Sheet must be signed and returned along with all the "required attachments" as indicated in the RFO Submittal Instructions.

**VENDOR’S FIRM INFORMATION**

*An unsigned Information and Offer Certification Sheet shall be cause for rejection of the Response.*

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Vendor’s Firm Name | | | 2a. Phone Number | | | 2b. Fax Number *(if any)* | | |
|  | | | (   ) | | | (   ) | | |
| 3. Physical Address | | | | | | | | |
|  | | | | | | | | |
| 4. Person Authorized to Bind Firm *(Print)* | | | | | 5. Email Address | | | |
|  | | | | |  | | | |
| 6. **Signature of Certification**  **(Person Named above)** | | | | | 7. Date | | | |
| *(Signature of Person Named Above)* | | | | |  | | | |
| 8. Is your firm certified with the DGS, Office of Small Business and Disabled Veteran Business Enterprise Services (OSDS) as: | | | | | | | | |
| a. SB  Yes  No  If yes, enter certification number: | | | b. DVBE  Yes  No  If yes, enter certification number: | | | | | |
|  |  |  |  |  | | | |  |
| **NOTE**: A copy of your certification should be included if the above item(s) are checked **“Yes”**. | | | | | | | | |
| Date application was submitted to OSDS, if an application is pending: | | | | | | |  | |

1. By submission of a Response (offer), the Vendor is certifying that all required attachments and information are included with this certification sheet. (Attachments II-A – II-Q must be included with the submission of a Response, unless otherwise stated.)
2. The signature affixed and dated hereon certifies compliance with all the requirements of this RFO. The signature provided authorizes the verification of the certifications.

* By signing this form, Attachment II-B, I (we) certify the following statements:

1. “I (we) hereby certify the information contained in this Response is accurate and all required attachments and information submitted as a part of this Response are certified to be true and binding upon the Vendor.”
2. “I (we) hereby certify this is a firm and irrevocable offer for one hundred fifty (150) days following the RFO Response Due Date, as specified in the Key Action Dates and Times, and agree to execute an agreement, if awarded.”
3. “I (we) hereby certify our ability and willingness to perform the services as described in the RFO.”
4. "I (we) hereby certify the availability of staff and other required resources for performing all services and providing all materials as described in this RFO.”

**Electronic MEDIA**

Placeholder Page - intentionally left blank

vendor please include your

**electRonic records**

**ATTACHMENT II-C**

**Staff Resume** **Table**

*EXAMPLE ONLY*

| **Vendor Name:** | | | | ***Smith Company*** | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Proposed Staff’s Name:** | | | | ***John Smith*** | | | | | | | |
| **MQ #** | **Mandatory Qualifications** | **Project Description**  Company Name, Project Name, Number of System Users, Time Period *(MM/DD/YY - MM/DD/YY), and % of time* | | | | **Relevant Experience Description**  Staff’s role and description of the relevant experience on the project(s). | | **Reference Contact**  Contact Name, Company Name, Phone Number, and Email | | |
| *1.* | *At least two (2) years of demonstrated experience using Microsoft Office (2007) or later developing technical specifications.* | *a.* | | *Company Name:* | *Company ABC* | *a.* | *Role:*  *Consultant* | *a.* | *Contact Name:* | *Jane Jones* |
| *Project Name:* | *XYZ IT Project* | *Company Name:* | *Company ABC* |
| *Number of System Users:* | *10,000* | *Description of relevant experience:*  *As a consultant, Mr. Smith developed and wrote technical specifications for the Statement of Work for RFP 123 using Microsoft Office 2010* | *Phone Number:* | *(916) 654-1234* |
| *Time Period:* | *01/01/2011 - 12/31/2011* | *Email:* | *jjones@ABC.ca.gov* |
| *Percentage of Time:* | *100%* |
| *b.* | | *Company Name:* | *DEF* | *b.* | *Role:*  *Consultant* | *b.* | *Contact Name:* | *Bob Brown* |
| *Project Name:* | *QRS IT Project* | *Company Name:* | *Company XYZ* |
| *Number of System Users:* | *10,000* | *Description of relevant experience:*  *As a consultant, Mr. Smith served as the lead in developing technical specifications for the project RFP using Microsoft Office 2007* | *Phone Number:* | *(916) 454-3456* |
| *Time Period:* | *07/01/2012 - 06/30/2013* | *Email:* | *bbrown@xyz.ca.gov* |
| *Percentage of Time:* | *100%* |
| *Total Duration: 2 years* | | | | | | | | |

Each Project Description, Relevant Experience Description and Reference Contact shall be tied together with a lower case letter, as it appears in the Example above (add “b”, “c”, etc. as necessary). Reference contacts shall be able to validate the experience provided.

**ATTACHMENT II-C**

**Staff Resume** **Table**

| **Vendor Name:** | | | |  | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Proposed Staff’s Name:** | | | |  | | | | | | | | |
| **MQ**  **#** | **Mandatory Qualifications** | | | **Project Description**  Company Name, Project Name, Number of System Users, Time Period *(MM/DD/YY - MM/DD/YY), and % of time* | | | **Relevant Experience Description**  Staff’s role and description of the relevant experience on the project(s). | | **Reference Contact**  Contact Name, Company Name, Phone Number, and Email | | |
| 1 | | | A minimum of three (3) years’ experience directly analyzing and monitoring data quality for an IT project. | | a. | Company Name: |  | a. | Role: | a. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| b. | Company Name: |  | b. | Role: | b. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| ***Total Duration:*** | | | | | | | |
| 2 | | | A minimum of two (2) years’ experience preparing data audit reports for a large, complex database capable of processing over one million transactions daily. | | a. | Company Name: |  | a. | Role: | a. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| b. | Company Name: |  | b. | Role: | b. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| ***Total Duration:*** | | | | | | | |
| 3 | | A minimum of two (2) years’ experience preparing and managing data quality assurance schedules. | | | a. | Company Name: |  | a. | Role: | a. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| b. | Company Name: |  | b. | Role: | b. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| ***Total Duration:*** | | | | | | | |
| 4 | | A minimum of two (2) years’ experience validating automated data quality assurance. | | | a. | Company Name: |  | a. | Role: | a. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| b. | Company Name: |  | b. | Role: | b. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| ***Total Duration:*** | | | | | | | |
| 5 | | A minimum of two (2) years’ experience overseeing manual data quality assurance. | | | a. | Company Name: |  | a. | Role: | a. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| b. | Company Name: |  | b. | Role: | b. | Contact Name: |  |
| Project Name: |  | Company Name: |  |
| Number of System Users: |  | Description of relevant experience: | Phone Number: |  |
| Time Period: |  | Email: |  |
| Percentage of Time: |  |
| ***Total Duration:*** | | | | | | | |

Each Project Description, Relevant Experience Description and Reference Contact shall be tied together with a lower case letter, as it appears in the previous Example (*add “b”, “c”, etc. as necessary*). Reference contacts shall be able to validate the experience provided.

**ATTACHMENT II-D**

**Staff Reference Form, Page 1 of 2**

**VENDOR’S NAME:**

The Vendor above has listed you as a reference and is requesting for you to complete this Staff Reference Form, Attachment II-D.

**REFERENCE INSTRUCTIONS:**

**Step 1**: **Complete Columns 1-2 in Table 2** by marking “yes” or “no” and providing an explanation if needed.

**Step 2**: **Complete Column 2 of Table 3,** by utilizing the description of ratings provided in Table 4.

**Step 3**: At the bottom of the page, **print your name, your company’s name, then sign and date**.

**Step 4**: **Return the completed Staff Reference Form to Vendor.**

**ATTACHMENT II-D**

**Staff Reference Form, Page 2 of 2**

**VENDOR’S NAME:**  **VENDOR’S STAFF NAME:**

|  |  |
| --- | --- |
| **TABLE 1 – Reference’s Information**  **(Please Note: This information should match the information provided in Attachment II-C, Staff Resume Table.)** | |
| **Reference Contact Name:** |  |
| **Reference Company Name:** |  |
| **Reference Company Address:** |  |
| **Reference Phone Number:** |  |
| **Reference E-mail Address:** |  |

| **TABLE 2 – The Reference Must Complete This Table.** | |
| --- | --- |
| **COLUMN 1** | **COLUMN 2** |
| **Did the Vendor provide you with a copy of the completed Attachment II-C, Staff Resume Table, for the Vendor’s staff named at the top of this page prior to your completion of this form?** | **Did the Vendor’s staff named at the top of this page perform the services described in Attachment II-C, Staff Resume Table (including the functions as described and the time period provided)?**  **(Yes or No. If No, please explain.)** |
| Yes  No | Yes  No\*  \*(Add explanation here, if “No” is checked.) |

| **TABLE 3 – The Reference Must Complete This Table.**  The Reference shallrate the Vendor’s staff performance and abilities by entering a rating value (in Column 2) for each corresponding Performance and Ability Statement (listed in Column 1). | |
| --- | --- |
| **COLUMN 1** | **COLUMN 2** |
| **Performance and Ability Statements** | **Rating Value:**  **20 points=Excellent**  **10 points=Good**  **5 points=Poor**  **0 points=No Value** |
| Rate the performance of the Vendor’s staff during this engagement. |  |
| Rate the ability of the Vendor’s staff to perform the contractually, required work in a timely manner. |  |
| Rate the verbal and written communication skills of the Vendor’s staff. |  |
| Rate the ability of the Vendor’s staff to engage in positive working relationships with other coworkers. |  |
| Rate the knowledge of the Vendor’s staff in the required areas of expertise. |  |
| **TOTAL POINTS FOR ALL STATEMENTS** |  |

| **TABLE 4 – Descriptions of Rating Values** | |
| --- | --- |
| **Rating Value:** | **Description** |
| 20 points=Excellent | The performance and abilities of the Vendor’s staff were exceptional during this engagement. |
| 10 points=Good | The performance and abilities of the Vendor’s staff were average during this engagement. |
| 5 points=Poor | The performance and abilities of the Vendor’s staff were below average during this engagement. |
| 0 points=No Value | The performance and abilities of the Vendor’s staff were unsatisfactory during this engagement. |

**By signing this form, the Reference is certifying that all information provided on this form is correct.**

Name of Reference Contact (print) Name of Company Reference (print)

Signature of Reference Contact Date

**ATTACHMENT II-E**

**Understanding and Approach**

Vendor Name:

Provide a brief narrative, not to exceed ten (10) pages in length, describing your understanding of and approach to the following questions/topics.

|  |  |
| --- | --- |
| Item | Understanding and Approach Question/Topic(s) |
| 1 | Describe your understanding of the scope of work and your approach to the major activities that must be performed to complete the work. |
| 2 | Describe the steps you would take to coordinate activities and create process uniformity amongst all 58 counties and the CDSS Child Welfare Services Program. |

**ATTACHMENT II-F**

**CMAS/GSA Classification Qualifications**

*EXAMPLE ONLY*

| Vendor Name: Sample Vendor Firm Name | | | | | |
| --- | --- | --- | --- | --- | --- |
| **(a)**  **Proposed Staff’s Name** | **(b)**  **CMAS/GSA Classification of the Proposed Staff** | **(c)**  **CMAS/GSA Job**  **Classification Experience Requirement (from CMAS/GSA)** | **(d)**  **Description of Experience that Satisfies the Classification Requirements (MM/DD/YY – MM/DD/YY; Company Name; Relevant Experience) along with the Reference name, email, phone #** | **(e)**  **CMAS/GSA**  **Classification Education Requirement (from CMAS/GSA)** | **(f)**  **Description of Education that satisfies the Classification Education Requirement**  **Attach any degrees or certificates required** |
| *John Smith* | *Senior Technical Lead* | *Experience: This classification shall have a minimum of seven (7) years of experience in projects. At least four (4) years of that experience shall have been in a lead capacity.* | *From* 01/0*1/1997 thru 06/30/2000 (3.5 years, all in a lead capacity), Mr. Smith worked for Company ABC and served in a lead capacity as the Senior Technical Lead on the XYZ IT Project for the Department of Motor Vehicles. Duties included…… Reference: Jim Dar, 209-244-1294, jim.dar@dmv.ca.gov*  *From 07/01/1993 thru 12/1996 (3.5 years, 6 months in a lead capacity), Mr. Smith worked for Company RST and served as the Technical Lead and Senior Technical Lead on the UVW IT Project for the State Controller’s Office. Duties included….. Reference: Pat Rex, 916-747-9876, pat.rex@sco.ca.gov* | *Education: This classification requires the possession of a bachelor’s or equivalent university degree.* | *Bachelor’s Degree in Computer Science for John Smith is attached* |

**ATTACHMENT II-F**

**CMAS/GSA Classification Qualifications**

Vendor Name:

| **(a)**  **Proposed Staff’s Name** | **(b)**  **CMAS/GSA Classification of the Proposed Staff** | **(c)**  **CMAS/GSA Job**  **Classification Experience Requirement (from CMAS/GSA)** | **(d)**  **Description of Experience that Satisfies the Classification Requirements (MM/DD/YY – MM/DD/YY; Company Name; Relevant Experience) along with the Reference name, email, phone #** | **(e)**  **CMAS/GSA**  **Classification Education Requirement (from CMAS/GSA)** | **(f)**  **Description of Education that satisfies the Classification Education Requirement**  **Attach any degrees or certificates required** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |

**ATTACHMENT II-G**

**CMAS/GSA AGREEMENT**

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vendor please include your

**CMAS/GSA AGREEMENT (can be submitted electronically)**

**ATTACHMENT II-H**

**BIDDER DECLARATIOn, GSPD-05-105**

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vendor please include your COMPLETED

**BIDDER DECLARATION**

**Form can be located at:**

http://www.documents.dgs.ca.gov/pd/poliproc/MASTEr-BidDeclar08-09.pdf

**ATTACHMENT II–I**

**Commercially Useful Function Documentation**

All certified small business, micro business, or DVBE contractors, subcontractors or suppliers shall meet the CUF requirements under GC section 14837(d) (4)(A) (i-v) (for SB) and Military and Veterans Code section 999(b)(5)(B) (i) (I-V) (for DVBE) as stated below.

|  |  |
| --- | --- |
| **VENDOR NAME:** |  |

|  |  |
| --- | --- |
| **SUBCONTRACTOR NAME:** |  |

**Mark all that apply: DVBE  Small Business  Micro Business**

**SECTION 1:**

A person or entity is deemed to perform CUF, if a person or entity **does** all of the following. (Please answer the following questions.)

|  |  |  |
| --- | --- | --- |
| I. | Is responsible for the execution of a distinct element of the work of the Agreement. | YesNo |
| II. | Carries out the obligation by actually performing, managing, or supervising the work involved. | YesNo |
| III. | Performs work that is normal for its business services and functions. | YesNo |
| IV. | Is responsible, with respect to products, inventories, materials, and supplies required for the Agreement, for negotiating price, determining quality and quantity, ordering, installing, if applicable, and making payment. | YesNo |
| V. | Is not further subcontracting a portion of the work that is greater than that expected to be subcontracted by normal industry practices. | YesNo |

NOTE: A response of “No” to any of the questions above may result in your Response to be deemed **non-responsive** and disqualified.

**SECTION 2:**

The vendor shall provide a written statement detailing the role, services and/or goods the subcontractor(s) will provide to meet the CUF requirement.

|  |  |  |
| --- | --- | --- |
| VI. | Describe the specific role(s) of the subcontractor for this project (e.g. data conversion, training, etc.): |  |
| VII. | Describe the goods/services to be provided for this project (include a description of the bidder versus the subcontractor responsibilities for each role): |  |

**SIGNATURE OF VENDOR (PRIME): DATE:**

**ATTACHMENT II-J**

**DVBE DECLARATION FORM, STD. 843**

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vendor, if applicable, please include your COMPLETED

**DVBE DECLARATION FORM, STD. 843**

**Form can be located at:**

http://www.documents.dgs.ca.gov/pd/poliproc/STD-843FillPrintFields.pdf

**ATTACHMENT II–K**

**Cost Worksheet**

Complete the Cost Worksheet by filling in the yellow-fields for the Core Term and Optional Term as stated in Section III, SOW. Hourly rates will not be adjusted and are required to remain at the same rate throughout the term for any Agreement resulting from this RFO. The proposed staff shall be individually proposed as a full-time equivalent (FTE) for a total of 1920 hours for each year of engagement of services across all tasks identified. Please note the hours reflected in this Cost Worksheet are an estimate; a Contractor is not guaranteed these hours will be required.

The Core Term of an Agreement resulting from this RFO shall not exceed $250,000.00. The State may exercise the Optional Term at an additional cost not to exceed $250,000.00. Should the State exercise the Optional Term, the total Agreement cost shall not exceed $500,000.00.

**Travel Costs:**

The State will not be reimbursing for any travel as part of this Agreement.

Core Term:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Vendor/Contractor Name:** |  | | | | | | |
| **Proposed Staff Role** | **CMAS Classification** | **Subcontracted Staff Person? *(Yes or No)*** | **Hourly Rate**  **(Remains the same for entire Agreement term)** | | **Number of Hours**  **(Original Engagement:**  **1 year)** | **Core Term Subtotals**  **(Multiply the Hourly Rate by the Number of Hours)** | |
|  |  |  | $ |  | 1,920 | $ |  |
| **Subtotal Cost (Core Term)** | | | | | | **$** |  |

Optional Term:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Vendor/Contractor Name:** |  | | | | | | |
| **Proposed Staff Role** | **CMAS Classification** | **Subcontracted Staff Person? *(Yes or No)*** | **Hourly Rate**  **(Remains the same for entire Agreement term)** | | **Number of Hours**  **(Optional Term:**  **1 year)** | **Optional Term Subtotals**  **(Multiply the Hourly Rate by the Number of Hours)** | |
|  |  |  | $ |  | 1,920 | $ |  |
| **Subtotal Cost (Optional Term)** | | | | | | **$** |  |

**ATTACHMENT II-L**

**CERTIFICATE OF INSURANCE**

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vendor, please include your CURRENT

**CERTIFICATE(S) OF INSURANCE**

**ATTACHMENT II-M**

**FEDERAL DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION CERTIFICATION**

The agency must have this form completed by the Contractor when federal funds are used.

**Federal Requirement**

Contractors are required to provide the following certification to the agency before award of a purchase order using federal funds. This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 29 CFR Part 98, Section 98.510, Participants; responsibilities. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211)

**Present Status**

The prospective recipient of federal assistance funds certifies, by submission of this signed certification, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

**Attach Explanation**

Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this certification.

**Instructions for Certification**

BEFORE COMPLETING CERTIFICATION, READ THE FOLLOWING INSTRUCTIONS THAT ARE AN INTEGRAL PART OF THE CERTIFICATION.

1. By signing and submitting this certification, the prospective recipient of federal assistance funds is providing the certification as set out below.

2. The certification in this class is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective recipient of federal assistance funds knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the Department of Labor (DOL) may pursue available remedies, including suspension and/or debarment.

3. The prospective recipient of federal assistance funds shall provide immediate written notice to the person to whom this certification is submitted if at any time the prospective recipient of federal assistance funds learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily exclude,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.

5. The prospective recipient of federal assistance funds agrees by submitting this certification that, should the proposed covered transaction be entered into, it shall not, knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the DOL.

6. The prospective recipient of federal assistance funds further agrees by submitting this certification that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to check the List of Parties Excluded from Procurement or Non-procurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the DOL may pursue available remedies, including suspension and/or debarment.

Vendor/Company Name

Name and Title of Authorized Representative

Signature

**ATTACHMENT II-N**

**IRAN CONTRACTING ACT CERTIFICATION**

**(PCC sections 2202-2208)**

Prior to bidding on, submitting a proposal, or executing a contract or renewal for a State of California contract for goods or services of one million dollars ($1,000,000) or more, a vendor must either: a) certify it is **not** on the current list of persons engaged in investment activities in Iran created by the DGS pursuant to PCC section 2203(b) and is not a financial institution extending twenty million dollars ($20,000,000) or more in credit to another person, for 45 days or more, if that other person will use the credit to provide goods or services in the energy sector in Iran and is identified on the current list of persons engaged in investment activities in Iran created by DGS, or b) demonstrate it has been exempted from the certification requirement for that solicitation or contract pursuant to PCC section 2203(c) or (d).

To comply with this requirement, the vendor must insert its financial institution name and Federal Identification Number (if available) and complete **one** of the options below. Please note: California law established penalties for providing false certifications, including civil penalties equal to the greater of two hundred and fifty thousand dollars ($250,000) or twice the amount of the contract for which the false certification was made, contract termination, and three-year ineligibility to bid on contracts. (PCC section 2205.)

**OPTION #1 - CERTIFICATION**

I, the official named below, certify I am duly authorized to execute this certification on behalf of the vendor/financial institution identified below, and the vendor/financial institution identified below is **not** on the current list of persons engaged in investment activities in Iran created by DGS and is not a financial institution extending twenty million dollars ($20,000,000) or more in credit to another person/vendor, for 45 days or more, if that other person/vendor will use the credit to provide goods or services in the energy sector in Iran and is identified on the current list of persons engaged in investment activities in Iran created by the DGS.

|  |  |  |
| --- | --- | --- |
| *Vendor Name/Financial Institution (Printed)* | | *Federal ID Number (or n/a)* |
| *By (Authorized Signature)* | | |
| *Printed Name and Title of Person Signing* | | |
| *Date Executed* | *Executed in* | |

**OPTION #2 – EXEMPTION**

Pursuant to PCC sections 2203(c) and (d), a public entity may permit a vendor/financial institution engaged in investment activities in Iran, on a case-by-case basis, to be eligible for, or to bid on, submit a proposal for, or enters into or renews, a contract for goods and services.

If a vendor has obtained an exemption from the certification requirement under the Iran Contracting Act, fill out the information below, and attach documentation demonstrating the exemption approval.

|  |  |
| --- | --- |
| *Vendor Name/Financial Institution (Printed)* | *Federal ID Number (or n/a)* |
| *By (Authorized Signature)* | |
| *Printed Name and Title of Person Signing* | *Date Executed* |

**ATTACHMENT II-O**

**PAYEE DATA RECORD, STD 204**

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vendor, please include your COMPLETED

**PAYEE DATA RECORD, STD. 204**

**Form can be located at:**

http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf

SECTION III – REQUEST FOR OFFER – STATEMENT OF WORK

**RFO # 32601, CWDS Data Quality Assurance Services**

1. **PURPOSE – GENERAL**

This Statement of Work (SOW) reflects the services to be provided by , hereinafter referred to as the “Contractor,” for the California Health and Human Services Agency, Office of Systems Integration, hereinafter referred to as the “OSI” or the “State.” This SOW is governed by and incorporates by reference the terms and conditions of the CMAS number ,except that for purposes of this Agreement, Attachment III-D CWS-NS General Provisions – Information Technology shall apply instead of the GSPD-401IT-CMAS, General Provisions Information Technology.

The purpose of this Request for Offer (RFO) is to obtain data quality assurance subject matter expertise services to assist the Child Welfare Digital Services (CWDS), the California Department of Social Services (CDSS), and counties in ensuring the integrity of the data currently residing in the Child Welfare Services/Case Management System (CWS/CMS).

1. **term**
2. The term of this Agreement shall commence on March 4, 2018, or the date the Agreement is executed, whichever is later (referred to herein as the “Effective Date”), and continue through March 3, 2019 (referred to herein as the “Core Term”).
3. The State reserves the option to extend the Core Term of this Agreement at its sole discretion for one (1) year at the originally agreed-upon hourly rates specified in this Agreement (referred to herein as the “Optional Term”).
4. If the Contractor has not completed performance of the services set forth in this Agreement within the Core Term and unspent funds remain in the Agreement, the State reserves the option to extend the term of this Agreement, as necessary, *[and in compliance with the term requirements of the CMAS/GSA,]* to receive complete performance by the Contractor for up to one (1) year at the originally agreed-upon hourly rates and at no addition to the total Agreement cost.
5. The Contractor shall not be authorized to deliver goods or commence performance of services described in this Agreement prior to the Effective Date. Any delivery of goods or performance of services by the Contractor that is commenced prior to the Effective Date shall be considered gratuitous on the part of the Contractor.
6. **WORK LOCATION**

The Contractor shall perform all services during the times specified in this Agreement. All services shall be performed onsite at the State facility located at 2870 Gateway Oaks Drive, Sacramento, CA 95833.

1. **COST**

The total cost of this Agreement is . Cost details are located in the Cost Worksheet, Attachment II-M.

1. **Scope of Services**

The Contractor is responsible for addressing data integrity issues associated with CWS/CMS and ensuring county and State data quality assurance activities are effectively coordinated and completed in a timely manner. The data quality assurance process will include analysis of the CWS/CMS database and identification of issues with data integrity. The Contractor will be part of a multi-functional team consisting of State, county, and vendor resources and is expected to collaborate with other State vendors as required.

1. **Primary Tasks**

Task 1 – Task Management

Task 2 – Project Management

Task 3 – Data Integrity Oversight

Task 4 – Knowledge Transfer

1. **Detailed Tasks**

| **Task No.** | **Task Description** |
| --- | --- |
| **Task 1 – Task Management** | |
| 1.1 | **Task Accomplishment Plan**  The Contractor shall prepare and submit a comprehensive Task Accomplishment Plan (TAP). A TAP is a spending plan that describes the planned monthly expenditures for the life of the Agreement and is the first deliverable of the Agreement. A TAP template will be provided to the Contractor by the OSI. |
| 1.2 | **Task Accomplishment Plan Update**  The Contractor shall update the TAP each time there is a change to the cost or spending plan. All changes to the TAP are subject to State approval. |
| 1.3 | **Monthly Status Reports**  The Contractor shall prepare and submit Monthly Status Reports (MSR) (per the template provided by the State), which shall include the following:   * + - * Activity Summary;       * Identification of planned, in progress and completed activities;       * Identification of any unplanned activities;       * Identification of activities scheduled in the coming month;       * Identification of deliverable status;       * Identification of any concerns and/or issues; and       * Financial summary, including costs expended to date and explanation of any variances. |
| 1.4 | **Final Report**  The Contractor shall prepare and submit a Final Report (per the template provided by OSI) documenting Agreement results. The Final Report shall include the following:   * + - * Summary of all SOW tasks and activities;       * Deliverables;       * Milestone accomplishments;       * Lessons learned; and       * Actual expenditures versus planned expenditures. |
| **Task 2 – Project Management** | |
| 2.1 | The Contractor shall update the State-provided baselined Data Quality Assurance Plan and associated process and procedures. |
| 2.2 | The Contractor shall develop a schedule to complete SOW activities, which shall include the following:   * + - * All required project schedule tasks for successful completion of SOW activities, which shall include, but is not limited to, schedule task sequencing, resourcing, duration, and percentage of resource participation; and       * Provide updates to the schedule as requested by the State. |
| 2.3 | The Contractor shall assist the State with communications activities, which shall include the following:   * + - * Facilitating communication between the State and stakeholders on data quality assurance activities;       * Preparing agendas and presentation materials to communicate the updated Data Quality Assurance Plan and schedules to impacted stakeholders; and       * Monitoring the CWS/CMS Systems Integrator vendor’s communications associated with data quality assurance activities. |
| 2.4 | The Contractor shall assist the State with monitoring and controlling activities, which shall include the following:   * + - * Assisting the State in monitoring and controlling data quality assurance tasks executed by the CWS/CMS Systems Integrator vendor, counties, and stakeholders;       * Facilitating, monitoring, and controlling collaboration between the CWDS and stakeholders;       * Monitoring and reporting data quality risks and issues and recommend appropriate mitigation strategies or resolutions;       * Monitoring and recommending actions associated with stakeholder involvement in data integrity activities; and       * Identifying and monitoring all resources required to effectively execute data quality assurance activities. |
| **Task 3 – Data Integrity Oversight** | |
| 3.1 | The Contractor shall conduct and submit a comprehensive data audit in order to identify issues with data that shall include, but is not limited to:   * + - * Duplicate data;       * Orphaned data, which is data that is disconnected from all functionalities of the system; and       * Bad data, which includes data that is defined and/or caused by redundant data, data with inconsistent formatting, and/or grammar issues. |
| 3.2 | The Contractor shall develop queries of the CWS/CMS database in collaboration with database administrators and stakeholders using the State’s current Business Objects software. |
| 3.3 | The Contractor shall assist in developing work requests for the CWS/CMS Systems Integrator vendor to perform data queries of the production database to support data audits, as needed by the State. |
| 3.4 | The Contractor shall prioritize data issues by working with stakeholders to determine the order that errors will be addressed. |
| 3.5 | The Contractor shall develop a three-year data quality assurance schedule, which shall include the following:   * + - * Tasks to cleanse data in priority order, based on stakeholder feedback;       * Limit the work effort to the availability of staff resources;       * Tasks displayed in a “rolling wave” with activities defined in detail; and       * Tasks occurring within six (6) months shall have a duration of no more than ten (10) days, unless otherwise agreed upon by the State. |
| 3.6 | The Contractor shall identify a methodology for data audits and data integrity to include automated data cleansing, manual data cleansing, or combined cleansing processes. |
| 3.7 | The Contractor shall assist in developing work requests for the CWS/CMS Systems Integrator vendor to perform automated cleansing activities. |
| 3.8 | The Contractor shall conduct and submit a post-cleanse data quality audit to ensure the successful completion and accurate results of data cleansing activities. |
| 3.9 | The Contractor shall define and coordinate activities for manual data cleansing for all system users. |
| 3.10 | The Contractor shall develop and submit written reports of data cleanup progress to each county and CDSS. |
| 3.11 | The Contractor shall develop and submit data cleanup instructions for the counties. |
| 3.12 | The Contractor shall assist the State with answering county questions regarding the manual data cleanup process. |
| 3.13 | The Contractor shall assist the State and counties to identify business process improvements that will prevent previously corrected data from being corrupted and to prevent the entry of any additional erroneous data. |
| **Task 4 – Knowledge Transfer** | |
| 4.1 | The Contractor shall develop data quality assurance training curriculum (including a Train-the-Trainer component) using industry standards and OSI Best Practices. |
| 4.2 | The Contractor shall provide knowledge transfer to the State on the Data Quality Assurance Plan. |
| 4.3 | The Contractor shall conduct initial training based on the created materials. |
| 4.4 | The Contractor shall update the training materials and conduct annual training sessions based on the outcomes of the initial training. |
| 4.5 | The Contractor shall create a knowledge transfer and lessons learned report to document findings and knowledge transfer-related tasks, and to capture, document, track, and report on lessons learned and parking lot items. |

1. **Deliverables and Due Dates**

The deliverables and due dates for this Agreement are as follows.

|  |  |  |  |
| --- | --- | --- | --- |
| **Task No.** | **Deliverable** | | **Due Date** |
| **Taksk Group 1 – Task Management** | | | |
| 1.1 | Task Accomplishment Plan | Ten (10) business days after Effective Date | |
| 1.2 | Updated Task Accomplishment Plan | As Needed | |
| 1.3 | Monthly Status Reports | Monthly, by 5th business day | |
| 1.4 | Final Report | Thirty (30) calendar days prior to end of Agreement | |
| **Task Group 2 – Project Management** | | | |
| 2.1 | Updated Data Quality Assurance Plan | Ninety (90) calendar days after Effective Date | |
| 2.2 | Schedule | Thirty (30) calendar days after Effective Date | |
| **Task Group 3 – Data Integrity Oversight** | | | |
| 3.1 | Data Audit | As Needed | |
| 3.5 | Three-year Data Quality Schedule | Sixty (60) calendar days after Effective Date | |
| 3.8 | Post-Cleanse Data Quality Audit | As Needed | |
| 3.10 | Data Cleanup Progress Reports | As Needed | |
| 3.11 | Manual Data Cleanup Instructions | As Needed | |
| **Task Group 4 – Knowledge Transfer** | | | |
| 4.1 | Data Quality Training Curriculum | Ninety (90) calendar days after Effective Date | |
| 4.4 | Updated Training Material | As Needed | |
| 4.5 | Knowledge Transfer and Lessons Learned Report | Thirty (30) calendar days prior to end of Agreement | |

## Deliverable Format

1. All deliverables shall be provided in a format compatible with the OSI Project Office standard applications (currently, Microsoft Office 2013). In all cases, the Contractor shall verify application compatibility with the State Contract Manager prior to creation or delivery of any electronic documentation. Any deviations to these standards shall be approved by the OSI Information Technology Office (ITO) and Information Security Office (ISO).
2. Electronic versions shall be stored in a State designated central repository and remain the sole property of the State. The delivery media shall be compatible with the State storage devices.
3. If the State does not accept the deliverable(s) or services in the executed Agreement, payment for the deliverable(s)/services shall be withheld by the State and the Contractor will be notified. The Contractor shall take timely and appropriate measures to correct or remediate the reason(s) for non-acceptance and demonstrate to the State that the Contractor has successfully completed the scheduled work for each deliverable/service before payment is made.
4. Each deliverable shall be submitted with a Deliverable Transmittal Sheet.

## Media and Number of Copies

One (1) electronic copy of the deliverables are to be submitted. Submit all electronic copies to: [CWDSDeliverables@osi.ca.gov](mailto:CWDSDeliverables@osi.ca.gov)

1. **CONTRACTOR STAFF**

For the duration of the Agreement term, the Contractor staff shall meet all MQs as described herein.

1. **Mandatory Qualifications**

The Contractor shall provide an experienced resource that meets **all** of the MQs for the appropriate role(s) as follows: All experience used to meet the MQs shall have been where the staff had primary responsibility. Refer to Staff Resume Table, Attachment II-C.

| **MQ#** | **Mandatory Qualifications (MQs)** |
| --- | --- |
| 1. | A minimum of three (3) years’ experience directly analyzing and monitoring data quality for an IT project. |
| 2. | A minimum of two (2) years’ experience preparing data audit reports for a large, complex database capable of processing over one million transactions daily. |
| 3. | A minimum of two (2) years’ experience preparing and managing data quality assurance schedules. |
| 4. | A minimum of two (2) years’ experience validating automated data quality assurance. |
| 5. | A minimum of two (2) years’ experience overseeing manual data quality assurance. |

1. **Staff and Rates**

The staff shall perform the tasks described in this SOW, at the rates indicated in the Agreement.

1. Given the size, scope, and complexity of this work, it is of utmost importance that the Contractor shall be responsible for monitoring the monthly hours billed to ensure the staff effectively meet the needs of the State.
2. Changes in cost estimates that do not alter the total cost of this SOW will be conveyed to the State in writing. The rationale for the change shall be included. The State shall approve any change to the cost estimates in writing. The identified staff will perform the tasks described and at the rates indicated in this Agreement. The Contractor shall identify its staffs by name and hourly rate.
3. The assigned staff will perform the tasks described in this SOW, at the rates indicated in Attachment II-M, Cost Worksheet. The Contractor shall identify each staff by role, labor category, and hourly rate.
4. **Reassignment of Staff**
5. The Contractor shall not add and/or substitute staff without the prior written consent of the State, which consent shall not be unreasonably withheld. The Contractor shall make every reasonable effort to provide suitable substitute staff. The additional and/or substitute staff shall meet all the requirements and shall be approved in writing by the State prior to substitute staff beginning work.
6. Additional and/or substitute staff shall not automatically receive the hourly rate of the staff or positions being replaced. The State and the Contractor shall negotiate the hourly rate of any additional and/or substitute staff to the Agreement. The hourly rate negotiated shall be dependent, in part, upon the experience and individual skills of the proposed additional and/or substitute staff. The negotiated hourly rate shall not exceed the hourly rate for that position as set forth in the Agreement.
7. The State Project Director or designee may request that Contractor replace a staff member and shall advise Contractor in writing of the basis for the request. In such event, Contractor shall provide a proposed replacement candidate’s resume within fifteen (15) calendar days of the date the requested replacement is made by the State.
8. If adding staff is acceptable by the State and permissible by this Agreement:
   1. The Contractor shall submit an Add, Delete or Substitute Staff Request Form, Attachment III-A; a completed Staff Resume Table, Attachment II-C, signed Staff Reference Forms, Attachment II-E, from all references listed on the Staff Resume Table to validate the experience listed; and the completed CMAS/GSA Classification Qualifications table, Attachment II-G, with any required degrees. The request and the completed documents shall be provided to the State Contract Manager for review and approval. The State will provide approval of the request and related materials within ten (10) business days after receipt of these documents. However, addition of staff may require an amendment to this Agreement.
9. If the substitution of staff is acceptable by the State and permissible by this Agreement:
   1. The Contractor shall submit an Add, Delete or Substitute Staff Request Form, Attachment III-A; a completed Staff Resume Table, Attachment II-C, signed Staff Reference Forms, Attachment II-E, from all references listed on the Staff Resume Table to validate the experience listed; and the completed CMAS/GSA Classification Qualifications table, Attachment II-G, with any required degrees. The request and the completed documents shall be provided to the State Contract Manager for review and approval. The State will provide approval of the request and related materials within ten (10) business days after receipt of these documents. However, substitution of staff may require an amendment to this Agreement.
10. If the deleted staff is acceptable by the State and permissible by this Agreement:
    1. The Contractor shall submit an Add, Delete or Substitute Staff Request Form, Attachment III-A to the State Contract Manager for review and approval within the (10) business days after receipt of this document.
11. If the addition, substitution and/or deletion does not increase the total cost of the Agreement, an amendment may not be required to make this change to the Agreement.
12. **PAYMENTS AND INVOICING**

Payment for services performed under this Agreement shall be made in accordance with the State of California’s Prompt Payment Act (GC Section 927 et seq.).

1. **Submission of Invoices**
2. Invoices shall be submitted monthly, in arrears, not later than 30 days after the end of the billing period. Invoices must detail the labor category hours (incremental hours shall be billed to the nearest 15 or 30 minutes) with hourly rate(s), and must include the following:
   1. Invoice with the Agreement number;
   2. A certification statement signed by a company official, attesting to the accuracy of the invoice data; and
   3. Copies of signed timesheet(s) or other documentation supporting that the project has provided approval for the items invoiced.
3. Invoices may be submitted electronically via email or by mail.
4. Invoices submitted electronically shall be emailed to: [AccountsPayable@osi.ca.gov](mailto:AccountsPayable@osi.ca.gov). Electronic submissions must:
   * + 1. Be submitted individually. OSI will not accept multiple invoices submitted in a single email.
       2. Contain the following in the Subject line:
          - Company Name
          - Agreement number
          - Invoice number
       3. Be in PDF format and include all of the supporting documentation as required in this Agreement.
5. Invoices submitted by mail shall be sent directly to the following address. Hard copies must be submitted in triplicate and include all of the supporting documentation as required in this Agreement.

**Office of Systems Integration**

**Attn:  Accounting Office**

**2495 Natomas Park Drive, Suite 640**

**Sacramento, CA 95833**

1. **Travel and Reimbursement**

The State will not be reimbursing for any travel as part of this Agreement.

1. **POINTS OF CONTACT**

|  |  |
| --- | --- |
| **Contractor – Contract Manager**: | |
| Name, Title: |  |
| Address: |  |
| Phone Number: |  |
| Fax Number: |  |
| E-mail address: |  |

|  |  |
| --- | --- |
| **State – Contract Manager**: | |
| Name, Title: | Robyn Sasaki, Contract Manager |
| Address: | 2870 Gateway Oaks Drive  Sacramento, CA 95833 |
| Phone Number: | (916) 891-804-3291 |
| E-mail address: | robyn.sasaki@osi.ca.gov |

1. **STATE FURNISHED ITEMS**

The following items shall be provided by the State to support this effort and all policies and procedures regarding access to and the use of the state facilities shall be applicable:

* 1. Office space for the duration of the Agreement, including a computer, desk, chair, desk phone, and Internet connection.
  2. Access to office building and office suite.

1. **RESPONSIBILITIES OF PARTIES**
2. **The Contractor Responsibilities**
   * + 1. All work products and deliverables shall be stored on the State document repository (e.g. Worksite Web or SharePoint) in a format compatible with the OSI document standards. The most current version of all work products and deliverables shall be continuously available for State review at all times.
       2. The Contractor shall receive all project communications and has the authority to act on all aspects of the services. The Contractor will review the Agreement and associated Agreement documents with the State Contract Manager to ensure understanding of the responsibilities of both parties.
       3. Prior to expiration of the Agreement, the Contractor shall return all State property, including security badges to the State Contract Manager.
       4. As part of this Agreement, the Contractor (data custodian) shall be responsible for all costs incurred by the State (data owner) due to any and every security incident resulting from the Contractor’s failure to perform or negligent acts of its staff, and resulting in an unauthorized disclosure, release, access, review, or destruction; or loss, theft or misuse of an information asset. If the State determines that notice to the individual(s) whose data has been lost or breached is appropriate, the Contractor will bear any and all costs associated with the notice or any mitigation selected by the State. These costs include, but are not limited to, consultant time, material costs, postage, media announcements, and other identifiable costs associated with the breach or loss of data.
       5. The Contractor shall comply with all applicable State policies including, but not limited to (State Administrative Manual 5300-5399, State Information Management Manual procedures, and the OSI’s security policies including, but not limited to, its Acceptable Use Policy, Confidentiality and Non-Disclosure Policy, CHHSA Security Policies and the OSI Security templates. (See Attachment III-B, Special Provisions.)
       6. All the Contractor-owned or managed laptops, Ultra books, net books, tablets, Smart phones and similar devices, if allowed by the State Contract Manager, shall be encrypted using commercial third-party encryption software. The encryption software shall meet the level standards of National Institute of Standards and Technology (NIST), Federal Information Processing Standards (FIPS) Publication 140-2, Security Requirements for Cryptographic Modules. Additionally, anti-virus and anti-malware software shall be used and kept up to date along with software patches and supported versions. The OSI Information Security Office shall have the right to audit the Contractor-owned devices connected to State networks.
       7. If the Contractor use of removable media storage devices (i.e. Universal Serial Bus [USB] thumb drives, disk tapes, micro SD, SD cards, CD/DVD, etc.) is allowed by the State Contract Manager, all electronic files stored on the removable media storage device used to store State information shall be encrypted using a commercial third-party encryption software. The encryption software shall meet the standards set forth in NIST FIPS 140-2. Information stored on approved removable storage devices shall not be copied to any unencrypted computer (i.e., desktop or laptop) not connected to State network. Any personally identifiable information, personal health information, or other confidential information shall be encrypted when stored on State network file shares or document repositories.
3. **State Responsibilities**
   1. The State Contract Manager shall receive all project communications and has the authority to act on all aspects of the services. The State Contract Manager will review the Agreement and associated Agreement documents with the Contractor to ensure understanding of the responsibilities of both parties.
   2. The State will provide timely review and approval of the information and documentation provided in order for the Contractor to perform its obligations under this Agreement.
4. **PROBLEM ESCALATION**

The parties acknowledge and agree that certain technical and/or project-related problems or issues may arise, and that such matters shall be brought to the State’s attention. Problems or issues shall normally be reported in regular status reports or in-person meetings. However, there may be instances where the severity of the problem justifies escalated reporting. To this extent, the State Contract Manager shall determine the level of severity, and notify the appropriate State staff, as set forth below. The State staff notified, and the time period taken to report the problem or issue shall be at a level commensurate with the severity of the problem or issue. The State personnel include, but are not limited to, the following:

1. First level, the OSI Chief Information Office.
2. Second level, the OSI Chief Deputy Director.
3. **SPECIAL PROVISIONS**

Special Provisions shall include any special directions or project specific requirements that are not otherwise stated explicitly in the Agreement. Refer to Attachment III-B for special provisions.

1. **FINGERPRINTING AND BACKGROUND CLEARANCE**

In addition to the background check requirements set forth in Attachment III-B, Special Provisions (Privacy and Security Controls), prior to the commencement of work, Contractor staff having access to the System shall be required to undergo fingerprinting and a criminal records check from the Department of Justice and Federal Bureau of Investigation, at the direction of the California Department of Social Services. The State reserves the right to require that the Contractor replace staff possessing a felony conviction that:

* 1. Occurred within the last seven (7) years from the date of performing work under this Agreement;
  2. Was for a crime involving fraud, dishonesty, deceit, or other crime that has a reasonable nexus to the functions or duties of the position, or the information or data to which the staff will have access; and
  3. Was not judicially dismissed or ordered sealed, expunged, or statutorily eradicated.

1. **Subcontractors**

The Contractor may, with the prior written approval of the OSI, enter into subcontracts with third parties for the performance of any part of the Contractor’s duties and obligations. Any such approval may be rescinded at the OSI’s discretion. The Contractor is responsible and liable for the proper performance and quality of any work performed by any, and all, subcontractors. The OSI reserves the right to reject or refuse admission to any subcontractor staff whose performance, in the reasonable judgment of the OSI, is deemed to be substandard. In no event shall the existence of a subcontract operate to release or reduce the liability of the Contractor to the OSI for any breach in performance of the Contractor’s duties.

The Contractor warrants and agrees that any subcontract resulting from its performance under the terms and conditions of the Agreement and the associated leveraged procurement agreement (LPA) shall include a provision that the subcontractor shall abide by the terms and conditions of the Agreement and the associated LPA, as well as all other applicable federal and state laws, rules, and regulations pertinent hereto that have been or may hereafter be established. Also, the Contractor warrants and agrees that all subcontracts shall include a provision that the subcontractor shall indemnify and hold harmless the OSI to the same extent as provided in the LPA. Any Agreement between the Contractor and its subcontractors shall require the subcontractors to adhere to the same performance standards and other standards required of the Contractor.

When a subcontractor ultimately performs all of the services that the Contractor has agreed to provide and the prime Contractor only handles the invoicing of expenditures, then the prime Contractor's role becomes that of a fiscal agent because it is merely administrative in nature, and does not provide a CUF. It is unacceptable to use fiscal agents in this manner because the agency is paying unnecessary administrative costs. Contractors may not subcontract 100 percent of the tasks of this SOW.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | |  | Attachment III-A  ADD, DELETE OR SUBSTITUTE  CONTRACTOR STAFF REQUEST FORM | | | | | | | |
| **Contractor Name** | | | | | | **Contractor Phone No.** | | Date | | |
| **CMAS** **Number** | | | | | | **Project Name/Agreement Number** | | | | |
| **Staff To Be Added** | | | **Staff Replaced** | | | **Proposed Effective Date** | **Classification** | | **Resume Meets MQs and CMAS requirements** | |
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| **Staff To Be Deleted** | | | **Date Effective** | **Reason** | | | | | | |
|  | | |  | **Reason:** | | | | | | |
|  | | |  | **Reason:** | | | | | | |
|  | | |  | **Reason:** | | | | | | |
|  | | |  | **Reason:** | | | | | | |
| **Comments/Special Instructions**  **Please note:**  **The changes as indicated in this request are being made at no additional cost to the STATE. – Sample**  **(*Include this language, if applicable).*** | | | | | | | | | | |
| **STATE Acceptance** | | | | | **Contractor Acceptance** | | | | | |
| **Division/Project** | | | | | **Contractor** (If other than an individual, state whether a corporation, partnership, etc.) | | | | | |
| **By (Authorized Signature)** | | | | | **By (Authorized Signature)** | | | | | |
| **Printed Name of Person Signing** | | | | | **Printed Name of Person Signing** | | | | | |
| **Title** | | | | | **Title** | | | | | |

**ATTACHMENT III-B**

**Special Provisions (Privacy and Security Controls)**

Special Provisions shall include any special directions or project specific requirements that are not otherwise stated explicitly in the Agreement. Privacy and Security Control provisions address the Contractor requirements based upon access and usage of the OSI information and equipment.

Information Confidentiality and Security Requirements (ICSR)

1. **Definitions***.* For purposes of this Attachment, the following definitions shall apply:
2. **Public Information:** Information that is not exempt from disclosure under the provisions of the California Public Records Act (Government Code sections 6250-6270) or other applicable state or federal laws.
3. **Confidential Information:** Information that is exempt from disclosure under the provisions of the California Public Records Act (Government Code sections 6250-6270) or other applicable state or federal laws.
4. **Sensitive Information:** Information that requires special precautions to protect from unauthorized use, access, disclosure, modification, loss, or deletion. Sensitive Information may be either Public Information or Confidential Information. It is information that requires a higher than normal assurance of accuracy and completeness. Thus, the key factor for Sensitive Information is that of integrity. Typically, Sensitive Information includes records of agency financial transactions and regulatory actions.
5. **Personal Information:** Information that identifies or describes an individual, including, but not limited to, their name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history. **It is the OSI’s policy to consider all information about individuals private unless such information is determined to be a public record.** This information shall be protected from inappropriate access, use, or disclosure and shall be made accessible to data subjects upon request. Personal Information includes the following:

Notice-triggering Personal Information: Specific items of personal information (name plus Social Security number, driver license/California identification card number, or financial account number) that may trigger a requirement to notify individuals if it is acquired by an unauthorized person. For purposes of this provision, identity shall include, but not be limited to name, identifying number, symbol, or other identifying particular assigned to the individual, such as finger or voice print or a photograph. See Civil Code sections 1798.29 and 1798.82.

1. **Nondisclosure**. The Contractor and its employees, agents, or subcontractors shall protect from unauthorized disclosure any Personal Information, Sensitive Information, or Confidential Information (hereinafter identified as PSCI).
2. The Contractor and its employees, agents, or subcontractors shall not use any PSCI for any purpose other than carrying out the Contractor's obligations under this Agreement.
3. The Contractor and its employees, agents, or subcontractors shall promptly transmit to the State Contract Manager all requests for disclosure of any PSCI not emanating from the person who is the subject of PSCI.
4. The Contractor shall not disclose, except as otherwise specifically permitted by this Agreement or authorized by the person who is the subject of PSCI, any PSCI to anyone other than the OSI without prior written authorization from the State Contract Manager, except if disclosure is required by State or Federal law.
5. The Contractor shall observe the following requirements:
6. **Requirements and Guidelines**.
7. The Contractor shall classify their data pursuant to the California State Administrative Manual (SAM) 5305.5.
8. The Contractor shall comply with the following:
   * 1. The California Information Practices Act (Civil Code sections 1798 et seq.);
     2. Security provisions of the SAM (Chapters 5100 and 5300) and the California Statewide Information Management Manual (SIMM) (Sections 58-C, 58-D, 66-B, 5305-A, 5310-A and B, 5325-A and B, 5330-A, B and C, 5340-A, B and C, 5360B);
     3. Privacy provisions of the Federal Privacy Act of 1974;
9. The Contractor shall comply with the information security and privacy controls set forth in the NIST Special Publication (SP); including but not limited to NIST 800-53R4 (tailored to the OSI Requirements for a Low or Moderate Level Of Concern).
10. **Safeguards**. The Contractor shall implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of PSCI, including electronic PSCI that it creates, receives, maintains, uses, or transmits on behalf of the OSI. The Contractor shall develop and maintain a written information privacy and security program that includes administrative, technical and physical safeguards appropriate to the size and complexity of the Contractor’s operations and the appropriate levels of security (confidentiality, integrity, and availability) for the data based on data categorization and classification and FIPS Publication 199 protection levels, Including at a minimum the following safeguards:
11. **Personnel Controls**
12. ***Employee Training.*** All workforce members who assist in the performance of functions or activities on behalf of the OSI, or access or disclose PSCI shall complete information privacy and security training, at least annually, at the Contractor’s expense. Each workforce member who receives information privacy and security training shall sign a certification, indicating the member’s name and the date on which the training was completed. These certifications shall be retained for a period of three (3) years following agreement termination.
13. ***Employee Discipline.*** Appropriate sanctions shall be applied against workforce members who fail to comply with privacy policies and procedures or any provisions of these requirements, including termination of employment where appropriate.
14. ***Confidentiality Statement.*** All persons that will be working with PSCI shall sign a confidentiality statement. The statement shall include at a minimum, General Use, Security and Privacy safeguards, Unacceptable Use, and Enforcement Policies. The statement shall be signed by the workforce member prior to access to PSCI. The statement shall be renewed annually. The Contractor shall retain each person’s written confidentiality statement for the OSI inspection for a period of three (3) years following agreement termination.
15. ***Background Check.*** Prior to the commencement of work by Contractor’s staff, the Contractor shall: (1) conduct a thorough background check of each proposed staff, (2) evaluate the results, and (3) certify in writing to the State Project Director and State Contract Manager within 15 business days of Contract execution (or immediately following the addition of new staff) that there is no indication that the proposed staff may present a risk to the security or integrity of the State’s information technology systems or the data residing therein. The Contractor shall retain each staff’s background check documentation for a period of three (3) years following agreement termination. If, during the term of the Contract, the Contractor becomes aware of new or previously unknown information which may impact the staff’s suitability for the position, the Contractor shall immediately notify the State Project Director and State Contract Manager.
16. **Technical Security Controls**
17. ***Workstation/Laptop Encryption.*** All workstations and laptops that process and/or store PSCI shall be encrypted with an OSI approved solution (i.e. FIPS 140-2). The encryption solution shall be full disk.
18. **Minimum Necessary**. Only the minimum necessary amount of PSCI may be downloaded to a laptop or hard drive when absolutely necessary for current business purposes.
19. **Removable Media Devices**. All electronic files that contain PSCI data shall be encrypted when stored on any removable media type device (i.e. USB thumb drives, floppies, CD/DVD, etc.) with the OSI approved solution (i.e. FIPS 140-2).
20. **Email Security**. All emails that include PSCI shall be sent in an encrypted method using an OSI approved solution.
21. **Antivirus Software**. All workstations, laptops, other devices, and systems that process and/or store PSCI shall have a commercial third-party anti-virus software solution with a minimum daily automatic update.
22. **Patch Management**. All workstations, laptops, other devices, and systems that process and/or store PSCI shall have security patches applied and up-to-date.
23. **User IDs and Password Controls**. All users shall be issued a unique user name for accessing PSCI. Passwords shall not to be shared. Passwords shall adhere to the following:

* Be at least eight characters
* Be a non-dictionary word
* Not be stored in readable format on the computer
* Be changed every 90 days
* Be changed if revealed or compromised

Password shall be composed of characters from at least three of the following four groups from the standard keyboard:

* Upper case letters (A-Z)
* Lower case letters (a-z)
* Arabic numerals (0-9)
* Non-alphanumeric characters (punctuation symbols)

1. **Data Destruction**. The Contractor shall meet the standards as set forth in NIST 800-88 for destruction of data. All PSCI shall be wiped from systems when the data is no longer necessary. The wipe method shall conform to Department of Defense standards for data destruction. If data was Personally Identifiable Information (PII) or Protected Health Information (PHI), then the Gutmann 35 pass wipe is required. All PSCI on removable media shall be returned to the OSI when the data is no longer necessary. Once data has been destroyed and logged, the State Contract Manager shall be notified and provided logs for auditing and retention period.
2. **Remote Access**. Any remote access to PSCI shall be executed over an encrypted method approved by the OSI. All remote access shall be limited to minimum necessary and least privilege principles. Remote Access shall meet security standards as defined in SAM 5360.1 and SIMM 5360-A.
3. **System Security Controls**
4. ***System Timeout.*** The System shall provide an automatic timeout after no more than 20 minutes of inactivity.
5. ***Warning Banners.*** All Systems containing PSCI shall display a warning banner stating that data is confidential, systems are logged, and system use is for business purposes only. Users shall be directed to log off the system if they do not agree with these requirements.
6. ***System Logging.*** The System shall log successes and failures of user authentication at all layers. The System shall log all system administrator/developer access and changes if the system is processing and/or storing PSCI. The System shall log all user transactions at the database layer if processing and/or storing PSCI.
7. ***Access Controls.*** The System shall use role based access controls for all user authentications, enforcing the principle of least privilege.
8. ***Transmission Encryption.*** Confidential, sensitive or personal information shall be encrypted in accordance with SAM 5350.1 and SIMM 5305-A. All data transmissions shall be encrypted end-to-end using the OSI approved solution, when transmitting PSCI. Contact the Procurement Official listed on the first page of this RFO to obtain a copy of the CHHS Security Policy – Data Encryption.
9. ***Host Based Intrusion Detection.*** All systems that are accessible via the Internet or store PSCI shall actively use a comprehensive third-party real-time host based intrusion detection and prevention solution.

4) **System Security Review**

* 1. An independent security risk assessment shall be required when the Contractor is permitted access to the OSI data and systems with PCSI.

1. The Contractor shall obtain independent security risk assessment consultants to meet the SAM 5305.7 and NIST standards (800-30, 800-37, 800-39, and 800-53) as well as OWASP standards including but not limited to the Development and Testing Guidelines for web services. Assessor independence provides a degree of impartiality to the monitoring process. To achieve such impartiality, assessors should not:

* Create a mutual or conflicting interest with the organizations where the assessments are being conducted.
* Self assess their work.
* Act as management or employees of the organizations they are serving.
* Place themselves in advocacy positions for the organizations
* Have an affiliation, either personal or business, with the Contractor or subcontractors working under agreement with the OSI.

1. The OSI shall have approval of the independent risk assessment consultants that will perform the security risk assessments prior to the Contractor hiring the firm.
2. The independent security risk assessment firm shall have references from comparable State agencies (comparable system complexity as the OSI).
3. The Contractor shall have independent security risk assessment consultants conduct security risk assessments every two years of the OSI Project Systems (e.g. CWS/CMS, CWS-NS, CMIPS II, and SFIS) and Project Support Systems (.e.g. shared drives, web sites, web applications, Clarity, SharePoint, County Access Data, and SARS).
4. The Contractor shall have the security risk assessment provide a gap analysis using the latest version of the Low or Moderate Tailored Baseline NIST 800-53 security controls.
5. The State Project Manager or designee and the OSI ISO shall have full access to the results of the independent risk assessment.
6. The Contractor shall provide to the OSI a Security Assessment Report created by the independent security assessors as defined in NIST 800-53. This report shall contain, as a minimum, identification and score of risks and provide recommended mitigation solutions.

5) **Audit Controls**

1. ***Log Reviews.*** All systems processing and/or storing PSCI shall have a routine procedure in place to review system logs for unauthorized access.
2. ***Change Control.*** All systems processing and/or storing PSCI shall have a documented change control procedure that ensures separation of duties and protects the confidentiality, integrity, and availability of data.

6) **Business Continuity / Disaster Recovery Controls**

1. ***Emergency Mode Operation Plan.*** The Contractor shall establish a documented plan to enable continuation of critical business processes and protection of the security of electronic PSCI in the event of an emergency. An emergency is an interruption of business operations for more than 24 hours.
2. ***Data Backup Plan.*** The Contractor shall have established documented procedures to backup PSCI to maintain retrievable exact copies of PSCI. The plan shall include a regular schedule for making backups, storing backup’s offsite, an inventory of backup media, and the amount of time to restore PSCI should it be lost. At a minimum, the schedule shall be a weekly full backup and monthly offsite storage of data.

7) **Paper Document Controls**

1. ***Supervision of Data.*** PSCI in paper form shall not be left unattended at any time, unless it is locked in a file cabinet, file room, or desk. Unattended means that information is not being observed by an employee authorized to access the information. PSCI in paper form shall not be left unattended at any time in vehicles or planes and shall not be checked in baggage on commercial airplanes.
2. ***Escorting Visitors.*** Visitors to areas where PSCI is contained shall be escorted and PSCI shall be kept out of sight while visitors are in the area.
3. ***Confidential Destruction.*** The Contractor shall meet the standards as set forth in NIST 800-88 for destruction of data. PSCI shall be disposed of through confidential means, such as cross cut shredding and pulverizing.
4. ***Removal of Data.*** PSCI shall not be removed from the premises of the Contractor except with express written permission of the OSI.
5. ***Faxing.*** Faxes containing PSCI shall not be left unattended and fax machines shall be in secure areas. Faxes shall contain a confidentiality statement notifying persons receiving faxes in error to destroy them. Fax numbers shall be verified with the intended recipient before sending. The Contractor fax machines shall be located in secure areas, per SAM 5365.1.
6. ***Mailing.*** PSCI shall only be mailed using secure methods. Large volume mailings of PSCI shall be by a secure, bonded courier with signature required on receipt. Disks and other transportable media sent through the mail shall be encrypted with the OSI approved solution.

8) **Physical Transport of Paper/Electronic Data/Media**

a. There are specific precautions that shall be taken when transporting electronic data/media. The data/media shall be wrapped or sealed in an envelope or pouch in such a manner that the contents cannot be identified during the transportation process. The outside of the container shall clearly identify the addressee, which includes the name, address and telephone number where he/she can be reached. The Contractor shall ensure that transported data/media be delivered only to the appropriate individuals who are authorized to receive the information. This can be accomplished by implementing a tracking method by which the sender and the recipient can sign and verify delivery and receipt of the information.

b. The Contractor shall ensure that there is a tracking process in place for the transportation of data/media, whether in paper records or physical media devices, and that accountability be strongly emphasized with the establishment of this process. Existing tracking processes such as those associated with FedEx, UPS and the U.S. Postal Service are permitted, however when sending information on physical media devices via these methods or by similar means, **the information shall be encrypted**.

1. **CA Public Records Act**.The Contractor shall work cooperatively with the State to respond timely and correctly to public records requests.
2. **Security Officer**. The Contractor shall designate a Security Officer to oversee its data security program who will be responsible for carrying out its privacy and security programs and for communicating on security matters with the OSI.
3. **Training**. The Contractor shall provide training on its data privacy and security policies, at least annually, at its own expense, to all its employees and volunteers who assist in the performance of functions or activities on behalf of the OSI under this Agreement and use or disclose PSCI.
4. The Contractor shall require each employee and volunteer who receives data privacy and security training to sign a certification, indicating the employee’s/volunteer’s name and the date on which the training was completed.
5. The Contractor shall retain each employee’s/volunteer’s written certifications for the OSI inspection for a period of three years following agreement termination.
6. **Breaches**.
7. **Discovery and Notification of Breach**. The Contractor shall be responsible for facilitating the security incident process as described in California Civil Code section 1798.29(e), California Civil Code section 1798.82(f), and SAM 5340, Incident Management. The Contractor shall notify the OSI immediately by telephone call plus email or fax upon the discovery of breach of security of PSCI in computerized form if the PSCI was, or is reasonably believed to have been, acquired by an unauthorized person, or within two hours by email of the discovery of any suspected security incident, intrusion or unauthorized use or disclosure of PSCI in violation of this Agreement, this provision, the law, or potential loss of confidential data affecting this Agreement. Notification shall be provided to the State Contract Manager, the OSI Privacy Officer and the OSI Information Security Officer. If the incident occurs after business hours or on a weekend or holiday and involves electronic PSCI, notification shall be provided by e-mailing the OSI Security Office at [osiinfosecurity@osi.ca.gov](mailto:osiinfosecurity@osi.ca.gov). The Contractor shall take:
8. Prompt corrective action to mitigate any risks or damages involved with the breach and to protect the operating environment and
9. Any action pertaining to such unauthorized disclosure required by applicable Federal and State laws and regulations.
10. **Investigation of Breach**. The Contractor shall immediately investigate such security incident, breach, or unauthorized use or disclosure of PSCI and within twelve (12) to twenty-four (24) hours of the discovery, shall notify the State Contract Manager, the OSI Privacy Officer, and the OSI Information Security Officer of:
11. What data elements were involved and the extent of the data involved in the breach,
12. A description of the unauthorized persons known or reasonably believed to have improperly used or disclosed PSCI,
13. A description of where the PSCI is believed to have been improperly transmitted, sent, or utilized,
14. A description of the probable causes of the improper use or disclosure; and
15. Whether Civil Code sections 1798.29 or 1798.82 or any other federal or state laws requiring individual notifications of breaches are triggered.
16. **Updates on Investigation**. The Contractor shall provide regular (every 24 hours) updates on the progress of the investigation to the State Contract Manager, the OSI Privacy Officer, and the OSI Information Security Officer.
17. **Written Report**. The Contractor shall provide a written report of the investigation to the State Contract Manager, the OSI Privacy Officer, and the OSI Information Security Officer within seven (7) working days of the discovery of the breach or unauthorized use or disclosure. The report will, at a minimum, follow the format of SIMM 5340-B. The report shall include, but not be limited to, the information specified above, as well as a full, detailed corrective action plan, including information on measures that were taken to halt and/or contain the improper use or disclosure.
18. **Notification of Individuals**. The Contractor shall notify individuals of the breach or unauthorized use or disclosure when notification is required under state or federal law and shall pay any costs of such notifications, as well as any costs associated with the breach. The State Contract Manager, the OSI Privacy Officer, and the OSI Information Security Officer shall approve the time, manner and content of any such notifications.
19. **Effect on lower tier transactions**. The terms of this Attachment shall apply to all agreements, subcontracts, and subawards, regardless of whether they are for the acquisition of services, goods, or commodities. The Contractor shall incorporate the contents of this Attachment into each subcontract or subaward to its agents, subcontractors, or independent consultants.
20. **Contact Information**. To direct communications to the above referenced OSI staff, the Contractor shall initiate contact as indicated herein. The OSI reserves the right to make changes to the contact information below by giving written notice to the Contractor. Said changes shall not require an amendment to this Attachment or the Agreement to which it is incorporated.

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| --- | --- | --- |
| **OSI State Contract Manager** | **OSI Privacy Officer** | **OSI Information Security Officer** |
| See the agreement for State Contract Manager information | Privacy Officer  c/o OSI Legal Division  Office of Systems Integration  2495 Natomas Park Drive, Suite 515  Sacramento, CA 95833  Email: [david.haynes@osi.ca.gov](mailto:david.haynes@osi.ca.gov)  Telephone: (916) 263-0744 | Information Security Officer  OSI Information Security Office  Office of Systems Integration  2525 Natomas Park Drive, Suite 370  Sacramento, CA 95833  Email: [osiinfosecurity@osi.ca.gov](mailto:osiinfosecurity@osi.ca.gov)  Telephone: (916) 263-4052 or  (916) 825-9213 |

1. **Audits and Inspections**. From time to time, the OSI may inspect the facilities, systems, books and records of the Contractor to monitor compliance with the safeguards required in the ICSR Attachment. The Contractor shall promptly remedy any violation of any provision of this ICSR Attachment. The fact that the OSI inspects, or fails to inspect, or has the right to inspect the Contractor’s facilities, systems and procedures does not relieve the Contractor of its responsibility to comply with this ICSR Attachment.

**ATTACHMENT III-C**

**OSI ACCEPTABLE USE SECURITY POLICY**



**ATTACHMENT III-D**

**CWS-NS GENERAL PROVISIONS – INFORMATION TECHNOLOGY**

**1. DEFINITIONS:** Unless otherwise specified in the Statement of Work, the following terms shall be given the meaning shown, unless context requires otherwise.

a) **"Acceptance Tests"** means those tests performed during the Performance Period which are intended to determine compliance of Equipment and Software with the specifications and all other Attachments incorporated herein by reference and to determine the reliability of the Equipment.

b) **"Application Program"** means a computer program which is intended to be executed for the purpose of performing useful work for the user of the information being processed. Application programs are developed or otherwise acquired by the user of the Hardware/Software system, but they may be supplied by the Contractor.

c) "**Attachment**" means a mechanical, electrical, or electronic interconnection to the Contractor-supplied Machine or System of Equipment, manufactured by other than the original Equipment manufacturer that is not connected by the Contractor.

d) **“Business entity”** means any individual, business, partnership, joint venture, corporation, S-corporation, limited liability Company, sole proprietorship, joint stock company, consortium, or other private legal entity recognized by statute.

e) **“Buyer”** means the State’s authorized contracting official.

f) **“Commercial Hardware”** means Hardware developed or regularly used that: (i) has been sold, leased, or licensed to the general public; (ii) has been offered for sale, lease, or license to the general public; (iii) has not been offered, sold, leased, or licensed to the public but will be available for commercial sale, lease, or license in time to satisfy the delivery requirements of this Contract; or (iv) satisfies a criterion expressed in (i), (ii), or (iii) above and would require only minor modifications to meet the requirements of this Contract.

g) **“Commercial Software”** means Software developed or regularly used that: (i) has been sold, leased, or licensed to the general public; (ii) has been offered for sale, lease, or license to the general public; (iii) has not been offered, sold, leased, or licensed to the public but will be available for commercial sale, lease, or license in time to satisfy the delivery requirements of this Contract; or (iv) satisfies a criterion expressed in (i), (ii), or (iii) above and would require only minor modifications to meet the requirements of this Contract.

h) **“Contract”** means this Contract or agreement (including any purchase order), by whatever name known or in whatever format used.

i) **“Custom Software”** means Software that does not meet the definition of Commercial Software.

j) **“Contractor”** means the Business Entity with whom the State enters into this Contract. Contractor shall be synonymous with “supplier”, “vendor” or other similar term.

k) **"Data Processing Subsystem"** means a complement of Contractor-furnished individual Machines, including the necessary controlling elements (or the functional equivalent), Operating Software and Software, if any, which are acquired to operate as an integrated group, and which are interconnected entirely by Contractor-supplied power and/or signal cables; e.g., direct access controller and drives, a cluster of terminals with their controller, etc.

l) **"Data Processing System (System)"** means the total complement of Contractor-furnished Machines, including one or more central processors (or instruction processors), Operating Software which are acquired to operate as an integrated group.

m) **“Deliverables”** means Goods, Software, Information Technology, telecommunications technology, Hardware, and other items (e.g. reports) to be delivered pursuant to this Contract, including any such items furnished incident to the provision of services.

n) **"Designated CPU(s)"** means for each product, if applicable, the central processing unit of the computers or the server unit, including any associated peripheral units. If no specific “Designated CPU(s)” are specified on the Contract, the term shall mean any and all CPUs located at the site specified therein.

o) **"Documentation”** means manuals and other printed materials necessary or useful to the State in its use or maintenance of the Equipment or Software provided hereunder. Manuals and other printed materials customized for the State hereunder constitute Work Product if such materials are required by the Statement of Work.

p) **"Equipment** “is an all-inclusive term which refers either to individual Machines or to a complete Data Processing System or Subsystem, including its Hardware and Operating Software (if any).

q) **"Equipment Failure"** is a malfunction in the Equipment, excluding all external factors, which prevents the accomplishment of the Equipment’s intended function(s). If microcode or Operating Software residing in the Equipment is necessary for the proper operation of the Equipment, a failure of such microcode or Operating Software which prevents the accomplishment of the Equipment’s intended functions shall be deemed to be an Equipment Failure.

r) **"Facility Readiness Date"** means the date specified in the Statement of Work by which the State must have the site prepared and available for Equipment delivery and installation.

s) **“Goods”** means all types of tangible personal property, including but not limited to materials, supplies, and Equipment (including computer and telecommunications Equipment).

t) **"Hardware**" usually refers to computer Equipment and is contrasted with Software. See also Equipment.

u) **"Installation Date"** means the date specified in the Statement of Work by which the Contractor must have the ordered Equipment ready (certified) for use by the State.

v) **"Information Technology"** includes, but is not limited to, all electronic technology systems and services, automated information handling, System design and analysis, conversion of data, computer programming, information storage and retrieval, telecommunications which include voice, video, and data communications, requisite System controls, simulation, electronic commerce, and all related interactions between people and Machines.

w) **"Machine"** means an individual unit of a Data Processing System or Subsystem, separately identified by a type and/or model number, comprised of but not limited to mechanical, electro-mechanical, and electronic parts, microcode, and special features installed thereon and including any necessary Software, e.g., central processing unit, memory module, tape unit, card reader, etc.

x) **"Machine Alteration"** means any change to a Contractor- supplied Machine which is not made by the Contractor, and which results in the Machine deviating from its physical, mechanical, electrical, or electronic (including microcode) design, whether or not additional devices or parts are employed in making such change.

y) **"Maintenance Diagnostic Routines"** means the diagnostic programs customarily used by the Contractor to test Equipment for proper functioning and reliability.

z) **“Manufacturing Materials”** means parts, tools, dies, jigs, fixtures, plans, drawings, and information produced or acquired, or rights acquired, specifically to fulfill obligations set forth herein.

aa) **"Mean Time Between Failure (MTBF)"** means the average expected or observed time between consecutive failures in a System or component.

bb) **"Mean Time to Repair (MTTR)"** means the average expected or observed time required to repair a System or component and return it to normal operation.

cc) **"Operating Software"** means those routines, whether or not Section 12100), and 3.6 (commencing with Section 12125) identified as Program Products, that reside in the Equipment and are required for the Equipment to perform its intended function(s), and which interface the operator, other Contractor-supplied programs, and user programs to the Equipment.

dd) **"Operational Use Time**" means for performance measurement purposes, that time during which Equipment is in actual operation by the State. For maintenance Operational Use Time purposes, that time during which Equipment is in actual operation and is not synonymous with power on time.

ee) **"Period of Maintenance Coverage"** means the period of time, as selected by the State, during which maintenance services are provided by the Contractor for a fixed monthly charge, as opposed to an hourly charge for services rendered. The Period of Maintenance Coverage consists of the Principal Period of Maintenance and any additional hours of coverage per day, and/or increased coverage for weekends and holidays.

ff) **"Preventive Maintenance"** means that maintenance, performed on a scheduled basis by the Contractor, which is designed to keep the Equipment in proper operating condition.

gg) **"Principal Period of Maintenance"** means any nine consecutive hours per day (usually between the hours of 7:00 a.m. and 6:00 p.m.) as selected by the State, including an official meal period not to exceed one hour, Monday through Friday, excluding holidays observed at the installation.

hh) **"Programming Aids"** means Contractor-supplied programs and routines executable on the Contractor’s Equipment which assists a programmer in the development of applications including language processors, sorts, communications modules, data base management systems, and utility routines, (tape-to-disk routines, disk-to-print routines, etc.).

ii) **"Program Product"** means programs, routines, subroutines, and related items which are proprietary to the Contractor and which are licensed to the State for its use, usually on the basis of separately stated charges and appropriate contractual provisions.

jj) **"Remedial Maintenance"** means that maintenance performed by the Contractor which results from Equipment (including Operating Software) failure, and which is performed as required, i.e., on an unscheduled basis.

kk) **"Software"** means an all-inclusive term which refers to any computer programs, routines, or subroutines supplied by the Contractor, including Operating Software, Programming Aids, Application Programs, and Program Products.

ll) **"Software Failure"** means a malfunction in the Contractor-supplied Software, other than Operating Software, which prevents the accomplishment of work, even though the Equipment (including its Operating Software) may still be capable of operating properly. For Operating Software failure, see definition of Equipment Failure.

mm) **“State”** means the government of the State of California, its employees and authorized representatives, including without limitation any department, agency, or other unit of the government of the State of California.

nn) **"System"** means the complete collection of Hardware, Software and services as described in this Contract, integrated and functioning together, and performing in accordance with this Contract.

oo) **“U.S. Intellectual Property Rights” means** intellectual property rights enforceable in the United States of America, including without limitation rights in trade secrets, copyrights, and U.S. patents.

**2. CONTRACT FORMATION:**

a) If this Contract results from a sealed bid offered in response to a solicitation conducted pursuant to Chapters 2 (commencing with Section 10290), 3 (commencing with of Part 2 of Division 2 of the Public Contract Code (PCC), then Contractor's bid is a firm offer to the State which is accepted by the issuance of this Contract and no further action is required by either party.

b) If this Contract results from a solicitation other than described in paragraph a), above, the Contractor's quotation or proposal is deemed a firm offer and this Contract document is the State's acceptance of that offer.

c) If this Contract resulted from a joint bid, it shall be deemed one indivisible Contract. Each such joint Contractor will be jointly and severally liable for the performance of the entire Contract. The State assumes no responsibility or obligation for the division of orders or purchases among joint Contractors.

**3. COMPLETE INTEGRATION:** This Contract, including any documents incorporated herein by express reference, is intended to be a complete integration and there are no prior or contemporaneous different or additional agreements pertaining to the subject matter of the Contract.

**4. SEVERABILITY:** The Contractor and the State agree that if any provision of this Contract is found to be illegal or unenforceable, such term or provision shall be deemed stricken and the remainder of the Contract shall remain in full force and effect. Either party having knowledge of such term or provision shall promptly inform the other of the presumed non-applicability of such provision.

**5. INDEPENDENT CONTRACTOR:** Contractor and the agents and employees of the Contractor, in the performance of this Contract, shall act in an independent capacity and not as officers or employees or agents of the State.

**6. APPLICABLE LAW:** This Contract shall be governed by and shall be interpreted in accordance with the laws of the State of California; venue of any action brought with regard to this Contract shall be in Sacramento County, Sacramento, California. The United Nations Convention on Contracts for the International Sale of Goods shall not apply to this Contract.

**7. COMPLIANCE WITH STATUTES AND REGULATIONS:**

a) The State and the Contractor warrants and certifies that in the performance of this Contract, it will comply with all applicable statutes, rules, regulations and orders of the United States and the State of California. The Contractor agrees to indemnify the State against any loss, cost, damage or liability by reason of the Contractor’s violation of this provision.

b) The State will notify the Contractor of any such claim in writing and tender the defense thereof within a reasonable time; and

c) The Contractor will have sole control of the defense of any action on such claim and all negotiations for its settlement or compromise; provided that (i) when substantial principles of government or public law are involved, when litigation might create precedent affecting future State operations or liability, or when involvement of the State is otherwise mandated by law, the State may participate in such action at its own expense with respect to attorneys’ fees and costs (but not liability); (ii) where a settlement would impose liability on the State, affect principles of California government or public law, or impact the authority of the State, the Department of General Services will have the right to approve or disapprove any settlement or compromise, which approval will not unreasonably be withheld or delayed; and (iii) the State will reasonably cooperate in the defense and in any related settlement negotiations.

d) If this Contract is in excess of $554,000, it is subject to the requirements of the World Trade Organization (WTO) Government Procurement Agreement (GPA).

e) To the extent that this Contract falls within the scope of Government Code Section 11135, the Contractor hereby agrees to respond to and resolve any complaint brought to its attention regarding accessibility of its products or services.

**8. CONTRACTOR’S POWER AND AUTHORITY:** The Contractor warrants that it has full power and authority to grant the rights herein granted and will hold the State harmless from and against any loss, cost, liability, and expense (including reasonable attorney fees) arising out of any breach of this warranty. Further, the Contractor avers that it will not enter into any arrangement with any third party which might abridge any rights of the State under this Contract.

a) The State will notify the Contractor of any such claim in writing and tender the defense thereof within a reasonable time; and

b) The Contractor will have sole control of the defense of any action on such claim and all negotiations for its settlement or compromise; provided that (i) when substantial principles of government or public law are involved, when litigation might create precedent affecting future State operations or liability, or when involvement of the State is otherwise mandated by law, the State may participate in such action at its own expense with respect to attorneys’ fees and costs (but not liability); (ii) where a settlement would impose liability on the State, affect principles of California government or public law, or impact the authority of the State, the Department of General Services will have the right to approve or disapprove any settlement or compromise, which approval will not unreasonably be withheld or delayed; and (iii) the State will reasonably cooperate in the defense and in any related settlement negotiations.

**9. ASSIGNMENT:** This Contract shall not be assignable by the Contractor in whole or in part without the written consent of the State. The State’s consent shall not be unreasonably withheld or delayed. For the purpose of this paragraph, the State will not unreasonably prohibit the Contractor from freely assigning its right to payment, provided that the Contractor remains responsible for its obligations hereunder.

**10. WAIVER OF RIGHTS:** Any action or inaction by the State or the failure of the State on any occasion, to enforce any right or provision of the Contract, shall not be construed to be a waiver by the State of its rights hereunder and shall not prevent the State from enforcing such provision or right on any future occasion. The rights and remedies of the State herein are cumulative and are in addition to any other rights or remedies that the State may have at law or in equity.

**11. ORDER OF PRECEDENCE:** In the event of any inconsistency between the articles, attachments, specifications or provisions which constitute this Contract, the following order of precedence shall apply:

a) These General Provisions – Information Technology (In the instances provided herein where the paragraph begins: “Unless otherwise specified in the Statement of Work” provisions specified in the Statement of Work replacing these paragraphs shall take precedence over the paragraph referenced in these General Provisions);

b) Contract form, i.e., Purchase Order STD 65, Standard

Agreement STD 213, etc., and any amendments thereto;

c) Other Special Provisions;

d) Statement of Work, including any specifications incorporated by reference herein;

e) Cost worksheets; and

f) All other attachments incorporated in the Contract by reference.

**12. PACKING AND SHIPMENT:**

a) All Goods are to be packed in suitable containers for protection in shipment and storage, and in accordance with applicable specifications. Each container of a multiple container shipment shall be identified to:

i) Show the number of the container and the total number of containers in the shipment; and

ii) The number of the container in which the packing sheet has been enclosed. Include packing sheets identifying: the State’s Contract number; item number; quantity and unit of measure; part number and description of the Goods shipped; and appropriate evidence of inspection, if required. Goods for different Contracts shall be listed on separate packing sheets.

b) All shipments by the Contractor or its subcontractors must include packing sheets identifying: the State’s Contract number; item number; quantity and unit of measure; part number and description of the Goods shipped; and appropriate evidence of inspection, if required. Goods for different Contracts shall be listed on separate packing sheets.

c) Shipments must be made as specified in this Contract, as it may be amended, or otherwise directed in writing by the State’s Transportation Management Unit within the Department of General Services, Procurement Division.

**13. TRANSPORTATION COSTS AND OTHER FEES OR EXPENSES:** No charge for delivery, drayage, express, parcel post, packing, cartage, insurance, license fees, permits, cost of bonds, or for any other purpose will be paid by the State unless expressly included and itemized in the Contract.

a) The Contractor must strictly follow Contract requirements regarding Free on Board (F.O.B.), freight terms and routing instructions. The State may permit use of an alternate carrier at no additional cost to the State with advance written authorization of the Buyer.

b) If “prepay and add” is selected, supporting freight bills are required when over $50, unless an exact freight charge is approved by the Transportation Management Unit within the Department of General Services Procurement Division and a waiver is granted.

c) On "F.O.B. Shipping Point" transactions, should any shipments under the Contract be received by the State in a

damaged condition and any related freight loss and damage claims filed against the carrier or carriers be wholly or partially declined by the carrier or carriers with the inference that damage was the result of the act of the shipper such as inadequate packaging or loading or some inherent defect in the Equipment and/or material, the Contractor, on request of the State, shall at Contractor's own expense assist the State in establishing carrier liability by supplying evidence that the Equipment and/or material was properly constructed, manufactured, packaged, and secured to withstand normal transportation conditions.

**14. DELIVERY:** The Contractor shall strictly adhere to the delivery and completion schedules specified in this Contract. Time, if stated as a number of days, shall mean calendar days unless otherwise specified. The quantities specified herein are the only quantities required. If the Contractor delivers in excess of the quantities specified herein, the State shall not be required to make any payment for the excess Deliverables, and may return them to Contractor at the Contractor’s expense or utilize any other rights available to the State at law or in equity.

**15. SUBSTITUTIONS:** Substitution of Deliverables may not be tendered without advance written consent of the Buyer. The Contractor shall not use any specification in lieu of those contained in the Contract without written consent of the Buyer.

**16. INSPECTION, ACCEPTANCE AND REJECTION:** Unless otherwise specified in the Statement of Work:

a) When acquiring Commercial Hardware or Commercial

Software, the State shall rely on Contractor’s existing quality assurance system as a substitute for State inspection and testing. For all other acquisitions, Contractor and its subcontractors will provide and maintain a quality assurance system acceptable to the State covering Deliverables and services under this Contract and will tender to the State only those Deliverables that have been inspected and found to conform to this Contract’s requirements. The Contractor will keep records evidencing inspections and their result, and will make these records available to the State during Contract performance and for three years after final payment. The Contractor shall permit the State to review procedures, practices, processes, and related documents to determine the acceptability of the Contractor’s quality assurance System or other similar business practices related to performance of the Contract.

b) All Deliverables may be subject to inspection and test by the

State or its authorized representatives.

c) The Contractor and its subcontractors shall provide all reasonable facilities for the safety and convenience of inspectors at no additional cost to the State. The Contractor shall furnish to inspectors all information and data as may be reasonably required to perform their inspection.

d) Subject to subsection 16 (a) above, all Deliverables may be subject to final inspection, test and acceptance by the State at destination, notwithstanding any payment or inspection at source.

e) The State shall give written notice of rejection of Deliverables delivered or services performed hereunder within a reasonable time after receipt of such Deliverables or performance of such services. Such notice of rejection will state the respects in which the Deliverables do not substantially conform to their specifications. Acceptance by the State will be final and irreversible, except as it relates to latent defects, fraud, and gross mistakes amounting to fraud. Acceptance shall not be construed to waive any warranty rights that the State might have at law or by express reservation in this Contract with respect to any nonconformity.

f) Unless otherwise specified in the Statement of Work, title to Equipment shall remain with the Contractor and assigns, if any, until such time as successful acceptance testing has been achieved. Title to a special feature installed on a Machine and for which only a single installation charge was paid shall pass to the State at no additional charge, together with title to the Machine on which it was installed.

**17. SAMPLES:**

a) Samples of items may be required by the State for inspection and specification testing and must be furnished free of expense to the State. The samples furnished must be identical in all respects to the products bid and/or specified in the Contract.

b) Samples, if not destroyed by tests, may, upon request made at the time the sample is furnished, be returned at the

Contractor’s expense.

**18. WARRANTY:**

1. Unless otherwise specified in the Statement of Work, the warranties in this subsection a) begin upon Acceptance of all Deliverables or services required upon completion of this Contract and end one (1) year thereafter. The Contractor warrants that (i) Deliverables and services furnished hereunder will substantially conform to the requirements of this Contract (including without limitation all descriptions, specifications, and drawings identified in the Statement of Work), and (ii) the Deliverables will b~~e~~ free from material defects in materials and workmanship. Where the parties have agreed to design specifications (such as a Detailed Design Document) and incorporated the same or equivalent in the Statement of Work directly or by reference, the Contractor will warrant that it’s Deliverables provide all material functionality required thereby. In addition to the other warranties set forth herein, where the Contract calls for delivery of Commercial Software, the Contractor warrants that such Software will perform in accordance with its license and accompanying Documentation. The State’s approval of designs or specifications furnished by Contractor shall not relieve the Contractor of its obligations under this warranty.
2. **[DELETED]**
3. Unless otherwise specified in the Statement of Work:
   1. The Contractor does not warrant that any Software provided hereunder is error-free or that it will run without immaterial interruption.
   2. The Contractor does not warrant and will have no responsibility for a claim to the extent that it arises
      1. directly from (A) a modification made by the State, unless such modification is approved or directed by the Contractor, (B) use of Software in combination with or
   3. on products other than as specified by the Contractor, or (C) misuse by the State.
   4. Where the Contractor resells Commercial Hardware or Commercial Software it purchased from a third party, Contractor, to the extent it is legally able to do so, will pass through any such third party warranties to the State and will reasonably cooperate in enforcing them. Such warranty pass-through will not relieve the Contractor from Contractor’s warranty obligations set forth above.
4. All warranties, including special warranties specified elsewhere herein, shall inure to the State, its successors, assigns, customer agencies, and governmental users of the Deliverables or services.
5. Except as may be specifically provided in the Statement of
   1. Work or elsewhere in this Contract, for any breach of the warranties provided in this Section, the State’s exclusive
   2. remedy and the Contractor’s sole obligation will be limited to:
   3. re-performance, repair, or replacement of the nonconforming Deliverable (including without limitation
   4. an infringing Deliverable) or service; or
   5. should the State in its sole discretion consent, refund of all amounts paid by the State for the nonconforming Deliverable or service and payment to the State of any additional amounts necessary to equal the State’s Cost to Cover. “Cost to Cover” means the cost, properly mitigated, of procuring Deliverables or services of equivalent capability, function, and performance. The payment obligation in subsection (e)(ii) above will not exceed the limits on the Contractor’s liability set forth in the Section entitled “Limitation of Liability.”
6. EXCEPT FOR THE EXPRESS WARRANTIES SPECIFIED IN THIS SECTION, THE CONTRACTOR MAKES NO WARRANTIES EITHER EXPRESs OR IMPLIED, INCLUDING WITHOUT LIMITATION ANY IMPLIED WARRANTIES OF MERCHANTABILITY OR FITNESS FOR A PARTICULAR PURPOSE.

**19. SAFETY AND ACCIDENT PREVENTION:** In performing work under this Contract on State premises, the Contractor shall conform to any specific safety requirements contained in the Contract or as required by law or regulation. The Contractor shall take any additional precautions as the State may reasonably require for safety and accident prevention purposes. Any violation of such rules and requirements, unless promptly corrected, shall be grounds for termination of this Contract in accordance with the default provisions hereof.

**20. INSURANCE:** The Contractor shall maintain all commercial general liability insurance, workers’ compensation insurance and any other insurance required under the Contract. The Contractor shall furnish insurance certificate(s) evidencing required insurance coverage acceptable to the State, including endorsements showing the State as an “additional insured” if required under the Contract. Any required endorsements requested by the State must be separately provided; merely referring to such coverage on the certificates(s) is insufficient for this purpose. When performing work on state owned or controlled property, Contractor shall provide a waiver of subrogation in favor of the State for its workers’ compensation policy.

**21. TERMINATION FOR NON-APPROPRIATION OF FUNDS:**

1. If the term of this Contract extends into fiscal years subsequent to that in which it is approved, such continuation of the Contract is contingent on the appropriation of funds for such purpose by the Legislature or the federal government. If funds to effect such continued payment are not appropriated, the Contractor agrees to take back any affected Deliverables furnished under this Contract, terminate any services supplied to the State under this Contract, and relieve the State of any further obligation therefor.
2. In addition to subsection a), payment pursuant to this Contract, whether in whole or in part, is subject to and contingent upon the continuing availability of federal and State funds for the purposes hereof. If such funds, or any part thereof, become unavailable, other than for non-appropriation, as reasonably determined by the State, or if the funds the State relied upon to establish or continue this Contract are withdrawn, reduced, or limited in any way, or if additional or modified conditions are placed on such funding, the State in addition to its other remedies may proceed with any of the following alone or in conjunction:
   1. issue a Stop Work order for this Contract or the portion affected thereby;
   2. issue a Work Authorization to the extent the State determines is necessary; or
   3. five (5) days after providing notice, terminate this Contract, in whole or in part, under subsection a) above and make payment to Contractor as provided in subsection a) above as a Termination for Non-Appropriation of Funds.
3. The State agrees that if it appears likely that subsection a) above will be invoked, the State and Contractor shall agree to take all reasonable steps to prioritize work and Deliverables and minimize the incurrence of costs prior to the expiration of funding for this Contract.
4. THE STATE AGREES THAT IF PARAGRAPH a) ABOVE IS INVOKED, COMMERCIAL HARDWARE AND SOFTWARE THAT HAS NOT BEEN PAID FOR SHALL BE RETURNED TO THE CONTRACTOR IN SUBSTANTIALLY THE SAME CONDITION IN W HICH DELIVERED TO THE STATE, SUBJECT TO NORMAL WEAR AND TEAR. THE STATE FURTHER AGREES TO PAY FOR PACKING, CRATING, TRANSPORTATION TO THE CONTRACTOR’S NEAREST FACILITY AND FOR REIMBURSEMENT TO THE CONTRACTOR FOR EXPENSES INCURRED FOR THEIR ASSISTANCE IN SUCH PACKING AND CRATING.

**22. TERMINATION FOR THE CONVENIENCE OF THE STATE:**

a) The State may terminate performance of work under this Contract for its convenience in whole or, from time to time, in part, if the Department of General Services, Deputy Director Procurement Division, or designee, determines that a termination is in the State’s interest. The Department of General Services, Deputy Director, Procurement Division, or designee, shall terminate by delivering to the Contractor a Notice of Termination specifying the extent of termination and the effective date thereof.

b) After receipt of a Notice of Termination, and except as directed by the State, the Contractor shall immediately proceed with the following obligations, as applicable, regardless of any delay in determining or adjusting any amounts due under this clause. The Contractor shall:

(i) Stop work as specified in the Notice of Termination.

(ii) Place no further subcontracts for materials, services, or facilities, except as necessary to complete the continuing portion of the Contract.

(iii) Terminate all subcontracts to the extent they relate to the work terminated.

(iv) Settle all outstanding liabilities and termination settlement proposals arising from the termination of subcontracts;

c) After termination, the Contractor shall submit a final termination settlement proposal to the State in the form and with the information prescribed by the State. The Contractor shall submit the proposal promptly, but no later than 90 days after the effective date of termination, unless a different time is provided in the Statement of Work or in the Notice of Termination.

d) The Contractor and the State may agree upon the whole or any part of the amount to be paid as requested under subsection (c) above.

e) Unless otherwise set forth in the Statement of Work, if the

Contractor and the State fail to agree on the amount to be paid because of the termination for convenience, the State will pay the Contractor the following amounts; provided that in no event will total payments exceed the amount payable to the Contractor if the Contract had been fully performed:

(i) The Contract price for Deliverables or services accepted or retained by the State and not previously paid for, adjusted for any savings on freight and other charges; and

(ii) The total of:

A) The reasonable costs incurred in the performance of the work terminated, including initial costs and preparatory expenses allocable thereto, but excluding any cost attributable to Deliverables or services paid or to be paid;

B) The reasonable cost of settling and paying termination settlement proposals under terminated subcontracts that are properly chargeable to the terminated portion of the Contract; and

C) Reasonable storage, transportation, demobilization, unamortized overhead and capital costs, and other costs reasonably incurred by the Contractor in winding down and terminating its work.

f) The Contractor will use generally accepted accounting principles, or accounting principles otherwise agreed to in writing by the parties, and sound business practices in determining all costs claimed, agreed to, or determined under this clause.

**23. TERMINATION FOR DEFAULT:**

a) The State may, subject to the clause titled “Force Majeure” and to sub-section d) below, by written notice of default to the Contractor, terminate this Contract in whole or in part if the Contractor fails to:

i) Deliver the Deliverables or perform the services within the time specified in the Contract or any amendment thereto;

ii) Make progress, so that the lack of progress endangers performance of this Contract; or

iii) Perform any of the other provisions of this Contract.

b) The State’s right to terminate this Contract under sub-section a) above, may be exercised only if the failure constitutes a material breach of this Contract and if the Contractor does not cure such failure within the time frame stated in the State’s cure notice, which in no event will be less than five (5) days, unless the Statement of Work calls for a different period.

c) If the State terminates this Contract in whole or in part pursuant to this Section, it may acquire, under terms and in the manner the Buyer considers appropriate, Deliverables or services similar to those terminated, and the Contractor will be liable to the State for any excess costs for those Deliverables and services, including without limitation costs third party vendors charge for Manufacturing Materials (but subject to the clause entitled “Limitation of Liability”). However, the Contractor shall continue the work not terminated.

d) If the Contract is terminated for default, the State may require the Contractor to transfer title, or in the case of licensed Software, license, and deliver to the State, as directed by the Buyer, any:

(i) completed Deliverables,

(ii) partially completed Deliverables, and,

(iii) subject to provisions of sub-section e) below, Manufacturing Materials related to the terminated portion of this Contract. Nothing in this sub section d) will be construed to grant the State rights to Deliverables that it would not have received had this Contract been fully performed. Upon direction of the Buyer, the Contractor shall also protect and preserve property in its possession in which the State has an interest.

e) The State shall pay Contract price for completed Deliverables delivered and accepted and items the State requires the Contractor to transfer under section (d) above. Unless the Statement of Work calls for different procedures or requires no-charge delivery of materials, the Contractor and Buyer shall attempt to agree on the amount of payment for Manufacturing Materials and other materials delivered and accepted by the State for the protection and preservation of the property; provided that where the Contractor has billed the State for any such materials, no additional charge will apply. Failure to agree will constitute a dispute under the Disputes clause. The State may withhold from these amounts any sum it determines to be necessary to protect the State against loss because of outstanding liens or claims of former lien holders.

f) If, after termination, it is determined by a final decision that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the State.

g) Both parties, State and Contractor, upon any termination for default, have a duty to mitigate the damages suffered by it.

h) The rights and remedies of the State in this clause are in addition to any other rights and remedies provided by law or under this Contract, and are subject to the clause titled “Limitation of Liability.”

**24. FORCE MAJEURE:** Except for defaults of subcontractors at any tier, the Contractor shall not be liable for any excess costs if the failure to perform the Contract arises from causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include, but are not limited to:

a) Acts of God or of the public enemy, and

b) Acts of the federal or State government in either its sovereign or contractual capacity.

If the failure to perform is caused by the default of a subcontractor at any tier, and if the cause of the default is beyond the control of both the Contractor and subcontractor, and without the fault or negligence of either, the Contractor shall not be liable for any excess costs for failure to perform.

**25. RIGHTS AND REMEDIES OF STATE FOR DEFAULT:**

a) In the event any Deliverables furnished or services provided by the Contractor in the performance of the Contract should fail to conform to the requirements herein, or to the sample submitted by the Contractor, the State may reject the same, and it shall become the duty of the Contractor to reclaim and remove the item promptly or to correct the performance of services, without expense to the State, and immediately replace all such rejected items with others conforming to the Contract.

b) In addition to any other rights and remedies the State may have, the State may require the Contractor, at Contractor’s expense, to ship Deliverables via air freight or expedited routing to avoid or minimize actual or potential delay if the delay is the fault of the Contractor.

c) **[DELETED]**

d) The State reserves the right to offset the reasonable cost of all damages caused to the State against any outstanding invoices or amounts owed to the Contractor or to make a claim against the Contractor therefore.

**26. LIMITATION OF LIABILITY:**

a) Except as may be otherwise approved by the Department of General Services Deputy Director, Procurement Division or their designee, Contractor’s liability for damages to the State for any cause whatsoever, and regardless of the form of action, whether in Contract or in tort, shall be limited to the Purchase Price. For purposes of this sub-section a), “Purchase Price” will mean the aggregate Contract price; except that, with respect to a Contract under which multiple purchase orders will be issued (e.g., a Master Agreement or Multiple Award Schedule contract), “Purchase Price” will mean the total price of the purchase order for the Deliverable(s) or service(s) that gave rise to the loss, such that the Contractor will have a separate limitation of liability for each purchase order.

b) The foregoing limitation of liability shall not apply (i) to any liability under the General Provisions entitled “Compliance with Statutes and Regulations” (ii) to liability under the General Provisions, entitled “Patent, Copyright, and Trade Secret Indemnity” or to any other liability (including without limitation indemnification obligations) for infringement of third party intellectual property rights; (iii) to claims arising under provisions herein calling for indemnification for third party claims against the State for death, bodily injury to persons or damage to real or tangible personal property caused by the Contractor’s negligence or willful misconduct; or (iv) to costs or attorney’s fees that the State becomes entitled to recover as a prevailing party in any action.

c) The State’s liability for damages for any cause whatsoever, and regardless of the form of action, whether in Contract or in tort, shall be limited to the Purchase Price, as that term is defined in subsection a) above. Nothing herein shall be construed to waive or limit the State’s sovereign immunity or any other immunity from suit provided by law.

d) In no event will either the Contractor or the State be liable for consequential, incidental, indirect, special, or punitive damages, even if notification has been given as to the possibility of such damages, except (i) to the extent that the Contractor’s liability for such damages is specifically set forth in the Statement of Work or (ii) to the extent that the Contractor’s liability for such damages arises out of sub- section b)(i), b)(ii), or b)(iv) above.

**27. CONTRACTOR’S LIABILITY FOR INJURY TO PERSONS OR DAM AGE TO PROPERTY:**

a) The Contractor shall be liable for damages arising out of injury to the person and/or damage to the property of the State, employees of the State, persons designated by the State for training, or any other person(s) other than agents or employees of the Contractor, designated by the State for any purpose, prior to, during, or subsequent to delivery, installation, acceptance, and use of the Deliverables either at the Contractor’s site or at the State’s place of business, provided that the injury or damage was caused by the fault or negligence of the Contractor.

b) The Contractor shall not be liable for damages arising out of or caused by an alteration or an Attachment not made or installed by the Contractor, or for damage to alterations or Attachments that may result from the normal operation and maintenance of the Deliverables provided by the Contractor during the Contract.

**28. INDEMNIFICATION:** The Contractor agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all third party claims, costs (including without limitation reasonable attorneys’ fees), and losses due to the injury or death of any individual, or the loss or damage to any real or tangible personal property, resulting from the willful misconduct or negligent acts or omissions of the Contractor or any of its affiliates, agents, subcontractors, employees, suppliers, or laborers furnishing or supplying work, services, materials, or supplies in connection with the performance of this Contract. Such defense and payment will be conditional upon the following:

a) The State will notify the Contractor of any such claim in writing and tender the defense thereof within a reasonable time; and

b) The Contractor will have sole control of the defense of any action on such claim and all negotiations for its settlement or compromise; provided that (i) when substantial principles of government or public law are involved, when litigation might create precedent affecting future State operations or liability, or when involvement of the State is otherwise mandated by law, the State may participate in such action at its own expense with respect to attorneys’ fees and costs (but not liability); (ii) where a settlement would impose liability on the State, affect principles of California government or public law, or impact the authority of the State, the Department of General Services will have the right to approve or disapprove any settlement or compromise, which approval will not unreasonably be withheld or delayed; and (iii) the State will reasonably cooperate in the defense and in any related settlement negotiations.

**29. INVOICES:** Unless otherwise specified, invoices shall be sent to the address set forth herein. Invoices shall be submitted in triplicate and shall include the Contract number; release order number (if applicable); item number; unit price, extended item price and invoice total amount. State sales tax and/or use tax shall be itemized separately and added to each invoice as applicable.

**30. REQUIRED PAYMENT DATE:** Payment will be made inaccordance with the provisions of the California Prompt PaymentAct, Government Code Section 927 et. seq. Unless expressly exempted by statute, the Act requires State agencies to pay properly submitted, undisputed invoices not more than 45 days after (i) the date of acceptance of Deliverables or performance of services; or (ii) receipt of an undisputed invoice, whichever is later.

**31. TAXES:** Unless otherwise required by law, the State of California is exempt from Federal excise taxes. The State will only pay for any State or local sales or use taxes on the services rendered or Goods supplied to the State pursuant to this Contract.

**32. NEWLY MANUFACTURED GOODS:** All Goods furnished under this Contract shall be newly manufactured Goods or certified as new and warranted as new by the manufacturer; used or reconditioned Goods are prohibited, unless otherwise specified.

**33. CONTRACT MODIFICATION:** No amendment or variation of the terms of this Contract shall be valid unless made in writing, signed by the parties and approved as required. No oral understanding or agreement not incorporated in the Contract is binding on any of the parties.

**34. CONFIDENTIALITY OF DATA:** All financial, statistical, personal, technical and other data and information relating to the State's operation which are designated confidential by the State and made available to the Contractor in order to carry out this Contract, or which become available to the Contractor in carrying out this Contract, shall be protected by the Contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the State. The identification of all such confidential data and information as well as the State's procedural requirements for protection of such data and information from unauthorized use and disclosure shall be provided by the State in writing to the Contractor. If the methods and procedures employed by the Contractor for the protection of the Contractor's data and information are deemed by the State to be adequate for the protection of the State's confidential information, such methods and procedures may be used, with the written consent of the State, to carry out the intent of this paragraph. The Contractor shall not be required under the provisions of this paragraph to keep confidential any data or information which is or becomes publicly available, is already rightfully in the Contractor's possession without obligation of confidentiality, is independently developed by the Contractor outside the scope of this Contract, or is rightfully obtained from third parties.

**35. NEWS RELEASES:** Unless otherwise exempted, news releases, endorsements, advertising, and social media content pertaining to this Contract shall not be made without prior written approval of the Department of General Services.

**36**. **DOCUMENTATION:**

a) The Contractor agrees to provide to the State, at no charge, all Documentation as described within the Statement of Work, and updated versions thereof, which are necessary or useful to the State to provide for optimal user experience in its use of the Equipment or Software provided hereunder. The Contractor shall provide such Documentation throughout the term of the Contract on an ongoing and iterative basis. The Contractor agrees to provide additional Documentation at prices not in excess of charges made by the Contractor to its other customers for similar Documentation.

b) If the Contractor is unable to perform maintenance or the State desires to perform its own maintenance on Equipment purchased under this Contract then upon written notice by the State the Contractor will provide at Contractor’s then current rates and fees adequate and reasonable assistance including relevant Documentation to allow the State to maintain the Equipment based on the Contractor’s methodology. The Contractor agrees that the State may reproduce such Documentation for its own use in maintaining the Equipment. If the Contractor is unable to perform maintenance, the Contractor agrees to license any other Contractor that the State may have hired to maintain the Equipment to use the above noted Documentation.

**37. RIGHTS IN WORK PRODUCT:**

a) All inventions, discoveries, intellectual property, technical communications and records originated or prepared by the Contractor pursuant to this Contract including papers, reports, charts, computer programs, and other Documentation or improvements thereto, and including the Contractor’s administrative communications and records relating to this Contract (collectively, the “Work Product”), shall be the property of the State, with the intention of providing an open-source license chosen by the State. The provisions of this sub-section a) may be revised in a Statement of Work.

b) Software and other materials developed or otherwise obtained by or for the Contractor or its affiliates independently of this Contract or applicable purchase order (“Pre-Existing Materials”) that are not a functional part of any Deliverable do not constitute Work Product. If the Contractor creates derivative works of Pre-Existing Materials, the elements of such derivative works created pursuant to this Contract constitute Work Product, but other elements do not. Nothing in this Section 37 will be construed to interfere with the Contractor’s or its affiliates’ ownership of Pre-Existing Materials.

c) Notwithstanding anything to the contrary in this Contract, the federal government reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for federal government purposes, any software, modifications, and documentation provided by the Contractor hereunder.

d) The ideas, concepts, know-how, or techniques relating to data processing, developed during the course of this Contract by the Contractor or jointly by the Contractor and the State may be used by either party without obligation of notice or accounting.

e) This Contract shall not preclude the Contractor from developing materials outside this Contract that are competitive, irrespective of their similarity to materials which might be delivered to the State pursuant to this Contract.

**38. SOFTWARE LICENSE:** The Contractor shall use open source software wherever possible for all Software required for the development or use of Deliverables. The Contractor shall obtain written approval from the State Project Director or designee for all Software proposed by the Contractor prior to its use for performance under this Contract. Contract award to Contractor shall constitute initial approval of any Software proposed; provided, however, that the Contractor shall obtain final written approval, through the Change Request process, from the State Project Director or designee of any change to proposed Software after Contract award, prior to its use for performance under this Contract.

The Contractor shall provide license information for all Software utilized by Contractor for performance under this Contract. The Contractor hereby grants to the State and the State accepts from the Contractor, subject to the terms and conditions of this Contract, a prepaid, perpetual, irrevocable, royalty-free, non-exclusive, license to use all Software to be provided by the Contractor to the State pursuant to this Contract. The Contractor shall execute a written agreement naming the State as licensee memorializing the terms of this license in a form acceptable to the State.

If any technical specification or documentation of the above-described Software provides implementation guidance, the Contractor shall comply with that guidance. If implementation guidance is not available, for any open source software, the Contractor shall attach or include the license within the work itself (e.g. code comments at the beginning of a file or contained in a license file within a software repository).

The Contractor shall develop all Custom Software written pursuant to this Contract in the open from the first Calendar Day of Development.

a) The State may use the Software in the conduct of its own business, and any division thereof

b) **[DELETED]**

c) [**DELETED]**

d) Approval of Commercial Software (including third party Software) and Custom Software will be governed by the terms and conditions of this Contract.

**39. PROTECTION OF PROPRIETARY SOFTW ARE AND OTHER PROPRIETARY DATA:**

a) The State agrees that all material appropriately marked or identified in writing as proprietary, and furnished hereunder are provided for the State’s exclusive use for the purposes of this Contract only. All such proprietary data shall remain the property of the Contractor. The State agrees to take all reasonable steps to insure that such proprietary data are not disclosed to others, without prior written consent of the Contractor, subject to the California Public Records Act.

b) The State will insure, prior to disposing of any media, that any licensed materials contained thereon have been erased or otherwise destroyed.

c) The State agrees that it will take appropriate action by instruction, agreement or otherwise with its employees or other persons permitted access to licensed software and other proprietary data to satisfy its obligations in this Contract with respect to use, copying, modification, protection and security of proprietary software and other proprietary data.

**40. [DELETED]**

**41. FUTURE RELEASES:** Unless otherwise specifically provided in this Contract, or the Statement of Work, if improved versions, e.g., patches, bug fixes, updates or releases, of any Software Product are developed by the contractor, and are made available to other licensees, they will be made available to the State at no additional cost only if such are made available to other licensees at no additional cost. If the Contractor offers new versions or upgrades to the Software Product, they shall be made available to the State at the State’s option at a price no greater than the Contract price plus a price increase proportionate to the increase from the list price of the original version to that of the new version, if any. If the Software Product has no list price, such price increase will be proportionate to the increase in average price from the original to the new version, if any, as estimated by the Contractor in good faith.

**42. [DELETED]**

**43. PATENT, COPYRIGHT AND TRADE SECRET INDEMNITY:**

a) Contractor will indemnify, defend, and save harmless the State, its officers, agents, and employees, from any and all third party claims, costs (including without limitation reasonable attorneys’ fees), and losses for infringement or violation of any U.S. Intellectual Property Right by any product or service provided hereunder. With respect to claims arising from computer Hardware or Software manufactured by a third party and sold by Contractor as a reseller, Contractor will pass through to the State such indemnity rights as it receives from such third party (“Third Party Obligation”) and will cooperate in enforcing them; provided that if the third party manufacturer fails to honor the Third Party Obligation, Contractor will provide the State with indemnity protection equal to that called for by the Third Party Obligation, but in no event greater than that called for in the first sentence of this Section ). The provisions of the preceding sentence apply only to third party computer Hardware or Software sold as a distinct unit and accepted by the State.

Unless a Third Party Obligation provides otherwise, the defense and payment obligations set forth in this Section will be conditional upon the following:

(i) The State will notify the Contractor of any such claim in writing and tender the defense thereof within a reasonable time; and

(ii) The Contractor will have sole control of the defense of

any action on such claim and all negotiations for its settlement or compromise; provided that (a) when substantial principles of government or public law are involved, when litigation might create precedent affecting future State operations or liability, or when involvement of the State is otherwise mandated by law, the State may participate in such action at its own expense with respect to attorneys’ fees and costs (but not liability); (b) where a settlement would impose liability on the State, affect principles of California government or public law, or impact the authority of the State, the Department of General Services will have the right to approve or disapprove any settlement or compromise, which approval will not unreasonably be withheld or delayed; and (c) the State will reasonably cooperate in the defense and in any related settlement negotiations.

b) Should the Deliverables, or the operation thereof, become, or in the Contractor's opinion are likely to become, the subject of a claim of infringement or violation of a U.S. Intellectual Property Right, the State shall permit the Contractor, at its option and expense, either to procure for the State the right to continue using the Deliverables, or to replace or modify the same so that they become non-infringing. If none of these options can reasonably be taken, or if the use of such Deliverables by the State shall be prevented by injunction, the Contractor agrees to take back such Deliverables and make every reasonable effort to assist the State in procuring substitute Deliverables. If, in the sole opinion of the State, the return of such infringing Deliverables makes the retention of other infringing Deliverables makes the retention of otherDeliverables acquired from the Contractor under this Contract impractical, the State shall then have the option of terminating such Contracts, or applicable portions thereof, without penalty or termination charge.The Contractor agrees to take back such Deliverables and refund any sums the State has paid the Contractor less any reasonable amount for use or damage.

c) The Contractor shall have no liability to the State under any provision of this clause with respect to any claim of patent, copyright or trade secret infringement which is based upon:

(i) The combination or utilization of Deliverables furnished hereunder with Equipment, Software or devices not made or furnished by the Contractor; or,

(ii) The operation of Equipment furnished by the Contractor under the control of any Operating Software other than, or in addition to, the current version of Contractor-supplied Operating Software; or

(iii) The modification initiated by the State, or a third party at the State’s direction, of any Deliverable furnished hereunder; or

(iv) The combination or utilization of Software furnished hereunder with non-contractor supplied Software.

d) The Contractor certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in the performance of this Contract for the acquisition, operation or maintenance of computer Software in violation of copyright laws.

**44. DISPUTES:**

a) The parties shall deal in good faith and attempt to resolve potential disputes informally.

b) Pending the final resolution of any dispute arising under, related to or involving this Contract, Contractor agrees to diligently proceed with the performance of this Contract, including the delivery of Goods or providing of services in accordance with the State’s instructions regarding this Contract. Contractor’s failure to diligently proceed in accordance with the State’s instructions regarding this Contract shall be considered a material breach of this Contract.

c) Any final decision of the State shall be expressly identified as such, shall be in writing, and shall be signed by the

management-level designee of the State. If the management-level designee of the State fails to render a final decision within fifteen (15) days after receipt of the Contractor’s request for a final decision, it shall be deemed a final decision adverse to the Contractor’s contentions. The State’s final decision shall be conclusive and binding regarding the dispute unless the Contractor commences an action in a court of competent jurisdiction, or with the Victims Compensation Government Claims Board, to contest such decision within 90 days following the date of the final decision or one (1) year following the accrual of the cause of action, whichever is later.

d) **[DELETED]**

e) The date of decision in this section may be modified by mutual consent, as applicable, excepting the time to commence an action in a court of competent jurisdiction.

**45. STOP WORK:**

a) The State may, at any time, by written Stop Work Order to the Contractor, require the Contractor to stop all, or any part, of the work called for by this Contract for a period up to 45 days after the Stop Work Order is delivered to the Contractor, and for any further period to which the parties may agree. The Stop Work Order shall be specifically identified as such and shall indicate it is issued under this clause. Upon receipt of the Stop Work Order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the Stop Work Order during the period of work stoppage. Within a period of 45 days after a Stop Work Order is delivered to the Contractor, or within any extension of that period to which the parties shall have agreed, the State shall either:

(i) Cancel the Stop Work Order; or

(ii) Terminate the work covered by the Stop Work Order as provided for in the termination for default or the termination for convenience clause of this Contract.

b) If a Stop Work Order issued under this clause is canceled or the period of the Stop Work Order or any extension thereof expires, the Contractor shall resume work. The State shall make an equitable adjustment in the delivery schedule, the Contract price, or both, and the Contract shall be modified, in writing, accordingly, if:

(i) The Stop Work Order results in an increase in the time required for, or in the Contractor’s cost properly allocable to the performance of any part of this Contract; and

(ii) The Contractor asserts its right to an equitable adjustment within 60 days after the end of the period of work stoppage; provided, that if the State decides the facts justify the action, the State may receive and act upon a proposal submitted at any time before final payment under this Contract.

c) If a Stop Work Order is not canceled and the work covered by the Stop Work Order is terminated in accordance with the provision entitled Termination for the Convenience of the State, the State shall allow reasonable costs resulting from the Stop Work Order in arriving at the termination settlement.

d) The State shall not be liable to the Contractor for loss of profits because of a Stop Work Order issued under this clause.

**46. EXAMINATION AND AUDIT:** The Contractor agrees that the State or its designated representative shall have the right to review and copy any records and supporting documentation directly pertaining to performance of this Contract. The Contractor agrees to maintain such records for possible audit for a minimum of three (3) years after final payment, unless a longer period of records retention is stipulated. The Contractor agrees to allow the auditor(s) access to such records during normal business hours and in such a manner so as to not interfere unreasonably with normal business activities and to allow interviews of any employees or others who might reasonably have information related to such records. Further, the Contractor agrees to include a similar right of the State to audit records and interview staff in any subcontract related to performance of this Contract. The State shall provide reasonable advance written notice of such audit(s) to the Contractor.

**47. TIME IS OF THE ESSENCE:**

Time is of the essence in this Contract.

**[Original 47. DELETED**]

**48 PRIORITY HIRING CONSIDERATIONS:** If this Contract includes services in excess of $200,000, the Contractor shall give priority consideration in filling vacancies in positions funded by the Contract to qualified recipients of aid under Welfare and Institutions Code Section 11200 in accordance with PCC Section

10353.

**49. [DELETED]**

**50. NONDISCRIMINATION CLAUSE:**

a) During the performance of this Contract, the Contractor and its subcontractors shall not unlawfully discriminate, harass or allow harassment, against any employee or applicant for employment because of sex, sexual orientation, race, color, ancestry, religious creed, national origin, disability (including HIV and AIDS), medical condition (cancer), age, marital status, and denial of family care leave. The Contractor and subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. The Contractor and subcontractors shall comply with the provisions of the Fair Employment and

Housing Act (Government Code, Section 12990 et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285.0 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations are incorporated into this Contract by reference and made a part hereof as if set forth in full. The Contractor and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

b) The Contractor shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the Contract.

**51. NATIONAL LABOR RELATIONS BOARD CERTIFICATION:** The Contractor swears under penalty of perjury that no more than one final, unappealable finding of contempt of court by a federal court has been issued against the Contractor within the immediately preceding two-year period because of the Contractor’s failure to comply with an order of the National Labor Relations Board. This provision is required by, and shall be construed in accordance with, PCC Section 10296.

**52. ASSIGNMENT OF ANTITRUST ACTIONS:** Pursuant to Government Code Sections 4552, 4553, and 4554, the following provisions are incorporated herein:

a) In submitting a bid to the State, the supplier offers and agrees that if the bid is accepted, it will assign to the State all rights, title, and interest in and to all causes of action it may have under Section 4 of the Clayton Act (15 U.S.C. 15) or under the Cartwright Act (Chapter 2, commencing with Section 16700, of Part 2 of Division 7 of the Business and Professions Code), arising from purchases of Goods, material or other items, or services by the supplier for sale to the State pursuant to the solicitation. Such assignment shall be made and become effective at the time the State tenders final payment to the supplier.

b) If the State receives, either through judgment or settlement, a monetary recovery for a cause of action assigned under this chapter, the assignor shall be entitled to receive reimbursement for actual legal costs incurred and may, upon demand, recover from the State any portion of the recovery, including treble damages, attributable to overcharges that were paid by the assignor but were not paid by the State as part of the bid price, less the expenses incurred in obtaining that portion of the recovery.

c) Upon demand in writing by the assignor, the assignee shall, within one year from such demand, reassign the cause of action assigned under this part if the assignor has been or may have been injured by the violation of law for which the cause of action arose and

(i) the assignee has not been injured thereby, or

(ii) the assignee declines to file a court action for the cause of action.

**53. DRUG-FREE WORKPLACE CERTIFICATION:** The Contractor

certifies under penalty of perjury under the laws of the State of California that the Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 (Government Code Section 8350 et seq.) and will provide a drug-free workplace by taking the following actions:

a) Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).

b) Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b) to inform employees about all of the following:

(i) the dangers of drug abuse in the workplace;

(ii) the person's or organization's policy of maintaining a drug-free workplace;

(iii) any available counseling, rehabilitation and employee assistance programs; and,

(iv) penalties that may be imposed upon employees for drug abuse violations.

c) Provide, as required by Government Code Section 8355(c), that every employee who works on the proposed or resulting Contract:

(i) will receive a copy of the company's drug-free policy statement; and,

(ii) will agree to abide by the terms of the company's statement as a condition of employment on the Contract.

**54. [DELETED]**

**55. SWEATFREE CODE OF CONDUCT:**

a) Contractor declares under penalty of perjury that no equipment, materials, or supplies furnished to the State pursuant to the Contract have been produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The Contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at [www.dir.ca.gov,](http://www.dir.ca.gov/) and Public Contract Code Section 6108.

b) The Contractor agrees to cooperate fully in providing reasonable access to its records, documents, agents or employees, or premises if reasonably required by authorized officials of the State, the Department of Industrial Relations, or the Department of Justice to determine the Contractor’s compliance with the requirements under paragraph (a).

**56. RECYCLED CONTENT REQUIRMENTS:** The Contractor shall certify in writing under penalty of perjury, the minimum, if not exact, percentage of post-consumer material (as defined in the Public Contract Code (PCC) Section 12200-12209), in products, materials, goods, or supplies offered or sold to the State that fall under any of the statutory categories regardless of whether the product meets the requirements of Section 12209. The certification shall be provided by the contractor, even if the product or good contains no postconsumer recycled material, and even if the postconsumer content is unknown. With respect to printer or duplication cartridges that comply with the requirements of Section

12156(e), the certification required by this subdivision shall specify that the cartridges so comply (PCC 12205 (b)(2)). A state agency contracting officer may waive the certification requirements if the percentage of postconsumer material in the products, materials, goods, or supplies can be verified in a written advertisement, including, but not limited to, a product label, a catalog, or a manufacturer or vendor Internet web site. Contractors are to use, to the maximum extent economically feasible in the performance of the contract work, recycled content products (PCC 12203(d)).

**57. CHILD SUPPORT COMPLIANCE ACT:** For any Contract in excess of $100,000, the Contractor acknowledges in accordance with PCC Section 7110, that:

a) The Contractor recognizes the importance of child and family support obligations and shall fully comply with all applicable State and federal laws relating to child and family support enforcement, including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with Section 5200) of Part 5 of Division 9 of the Family Code; and

b) The Contractor, to the best of its knowledge is fully complying with the earnings assignment orders of all employees and is providing the names of all new employees to the New Hire Registry maintained by the California Employment Development Department.

**58. AMERICANS WITH DISABILITIES ACT:** The Contractor assures the State that the Contractor complies with the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.).

**59. ELECTRONIC WASTE RECYCLING ACT OF 2003:** The Contractor certifies that it complies with the applicable requirements of the Electronic Waste Recycling Act of 2003, Chapter 8.5, Part 3 of Division 30, commencing with Section 42460 of the Public Resources Code. The Contractor shall maintain documentation and provide reasonable access to its records and documents that evidence compliance.

**60. [DELETED]**

**61. EXPATRIATE CORPORATIONS:** Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of PCC Sections 10286 and 10286.1, and is eligible to contract with the State.

**62**. **DOMESTIC PARTNERS**: For contracts over $100,000 executed or amended after January 1, 2007, the contractor certifies that the contractor is in compliance with Public Contract Code Section 10295.3.

**63. SMALL BUSINESS PARTICIPATION AND DVBE**

**PARTICIPATION REPORTING REQUIREMENTS:**

a) If for this Contract the Contractor made a commitment to achieve small business participation, then the Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) report to the awarding department the actual percentage of small business participation that was achieved. (Govt. Code § 14841.)

b) If for this Contract the Contractor made a commitment to achieve disabled veteran business enterprise (DVBE) participation, then Contractor must within 60 days of receiving final payment under this Contract (or within such other time period as may be specified elsewhere in this Contract) certify in a report to the awarding department: (1) the total amount the prime Contractor received under the Contract; (2) the name and address of the DVBE(s) that participated in the performance of the Contract; (3) the amount each DVBE received from the prime Contractor; (4) that all payments under the Contract have been made to the DVBE; and (5) the actual percentage of DVBE participation that was achieved. A person or entity that knowingly provides false information shall be subject to a civil penalty for each violation. (Mil. & Vets. Code § 999.5(d); Govt. Code § 14841.)

**64. LOSS LEADER:** It is unlawful for any person engaged in business within this state to sell or use any article or product as a “loss leader” as defined in Section 17030 of the Business and Professions Code. (PCC 12104.5(b).).

**ATTACHMENT III-E**

**CWDS PROCUREMENT Glossary**

The Child Welfare Digital Services (CWDS) Procurement Glossary (“Procurement Glossary”) provides a list of terms and their definitions used in all CWDS contracts. The definitions provided in the Procurement Glossary are in addition to the definitions provided in the Child Welfare Services – New System (CWS-NS) General Provisions. Terms ending with an asterisk (\*) are defined in the CWS-NS General Provisions – Information Technology, Section 1.

**LIST OF ACRONYMS**

|  |  |
| --- | --- |
| ACF | Administration for Children and Families |
| ACYF | Administration for Children, Youth and Families |
| AFCARS | Adoption and Foster Care Analysis and Reporting System |
| ADPQ | Agile Development Pre-Qualified |
| BIA | Bureau of Indian Affairs |
| CDE | California Department of Education |
| DOJ | California Department of Justice |
| CDSS | California Department of Social Services |
| CDT | California Department of Technology |
| CEAF | California Enterprise Architecture Framework |
| CHHSA | California Health and Human Services Agency |
| CAIR | California Immunization Registry |
| CALPADS | California Longitudinal Pupil Achievement Data System |
| CRS | California Relay Service |
| CSAR | California Sex and Arson Registry |
| CalWIN | CalWORKS Information Network |
| CBCB | Caregiver Background Check Bureau |
| CBC | Caregiver Background Check System |
| CLF | Cashiering and Centralized Licensing Fee System |
| CALS | Certification, Approval, and Licensing Services |
| CARP | Child Abduction Response Processor |
| CACI | Child Abuse Central Index |
| CPS | Child Protective Services |
| CWDS | Child Welfare Digital Services |
| CWS | Child Welfare Services |
| CWS/CMS | Child Welfare Services/Case Management System |
| CASS | Coding Accuracy Support System |
| CWS-NS | Child Welfare Services-New System |
| CFSR | Children and Family Services Review |
| CRC | Children’s Research Center |
| CRP | Children’s Residential Program |
| CSI | Client and Service Information System |
| CIN | Client Index Number |
| CCLD | Community Care Licensing Division |
| CAT | Comprehensive Assessment Tool |
| C-IV | Consortium IV |
| CAD | County Access to Data |
| CWDA | County Welfare Directors Association |
| DHCS | Department of Healthcare Services |
| FFP | Federal Financial Participation |
| FAS | Field Automation System |
| JJIS | Juvenile Justice Information System |
| LCTS | Legal Case Tracking System |
| LAARS | Licensing Administrative Action Record System |
| LEADER | Los Angeles Eligibility, Automated Determination, Evaluation and Reporting |
| LIS | Licensing Information System |
| NCANDS | National Child Abuse and Neglect Data System |
| NEICE | National Electronic Interstate Compact Enterprise |
| NHSIA | National Human Services Interoperability Architecture |
| NYTD | National Youth in Transition Database |
| OAH | Office of Administrative Hearings |
| RTA | Regional Training Academies |
| SDC | Service Delivery Center |
| SDMC | Short Doyle II. The Short- Doyle/Medi-Cal |
| SSA | Social Security Administration |
| SVES | State Verification and Exchange System |
| SACWIS | Statewide Automated Child Welfare Information System |
| SAWS | Statewide Automated Welfare System |
| SDM | Structured Decision Making |
| SCAR | Suspected Child Abuse Report |
| UX/UI | User Experience/User Interface |

**Terms and Definitions**

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| **Term** | **Definition** |
| Acceptance Criteria | The conditions that must be met before the State\* Product Owner accepts the particular functionality or User Story. Acceptance Criteria may be defined at a System\* level, a Feature level, or a User Story level, but the Acceptance Criteria must be defined before delivery. |
| Acceptance Test | The functional testing of a Digital Service(s), component, Minor Release, or Major Release of Software\* intended to determine if it meets requirements specified in the Acceptance Criteria. **This definition supersedes the definition for Acceptance Tests provided in the CWS-NS General Provisions, Paragraph 1. Definitions. See also, CWS- NS General Provisions, Paragraph 16. Inspection, Acceptance and Rejection.** |
| Acceptance, Accepted | Notice from the State\* to the Contractor\* that a Deliverable\* or service has satisfied the Acceptance Criteria for that Deliverable\* or service. See also, **CWS- NS General Provisions, Paragraph 16. Inspection, Acceptance and Rejection.** |
| Agile | An umbrella term used for a group of related approaches to software development based on iterative and incremental development that aligns product delivery with customer needs. |
| Agile Development Pre-Qualified (ADPQ) Vendor Pool | A pool of vendors established by the CHHSA that will provide user-centered design and Agile Software Development services, based upon their submission of: a functioning prototype, working source code, and a narrative description of the technical approach used to create the prototype. |
| Agile Software Development | An umbrella term for iterative, incremental software development methodologies including but not limited to Extreme Programming (XP), Scrum, Kanban, Crystal, Dynamic Systems Development Method (DSDM), Lean, and Feature-Driven Development (FDD). Agile Software Development is an alternative to traditional phase-driven “waterfall” development method. |
| Agile Sprint Planning | The process by which increments of work are planned, estimated, and committed to by the Contractor\*. |
| Aid Code | A two character code, developed by the State of California to facilitate the administration of Medi-Cal, describes the level of benefit to which a recipient is eligible. An Aid Code also determines what the provider may claim under Medi-Cal regulations. |
| Alert | System generated information that results from system use or pertains to their role, position, and/or user group. |
| Alpha | The second of the four Digital Service stages used to report point in time status of each Digital Service (e.g., Intake). The objective of this stage is to build one or more prototypes based on research from the Discovery Phase. The outputs of this stage include, but are not limited to, the following: prototype(s), risks, and the Minimum Viable Product for each Digital Service's Core County Group or Core Constituent Group. |
| Archetype | See Persona |
| As-Is | Defines the current state of the business process in an organization. Compared to the To-Be state to conduct gap analysis. |
| Audit Trail | A chronological set of logs and records used to provide evidence of a system's performance or personnel activity that took place on the system, and used to detect and identify intruders. |
| Authentication | Any process by which a system verifies the identity of a user who wishes to access it. |
| Beta | The third of the four Digital Service development stages used to report point-in-time status of each Digital Service (e.g., Intake). The objective of this stage is to train and implement the Minimum Viable Product for Core Counties or Core Constituent Groups, and develop, test, and implement multiple releases to other organizations. The outputs of this stage include, but are not limited to, the following: Core Counties or Core Constituents Groups trained and implemented on the initial Minimum Viable Product Release and other organizations trained and implemented on subsequent Releases. |
| Business Intelligence | A set of techniques and tools for the transformation of raw data into meaningful and useful information for the CWS-NS Project business analysis purposes. The techniques and tools allow for easy interpretation of CWS-NS Project data for effective reporting, analysis and to make timely decisions based on historical, current and predictive views of business operations. |
| Business Process Package | Each Business Process Package contains high-level workflows and operational scenario narrative descriptions that describe an aspect of California’s current statewide CWS practices. |
| California Enterprise Architecture Framework | An enterprise architecture framework designed to guide the development and use of comparable enterprise architectures within and across state agencies so that the resulting enterprise architecture deliverables enable mission success with a lower total cost of ownership, faster time to delivery, and reduced duplication. |
| CalWORKs Information Network | CalWIN consists of 18 counties that represent approximately 38 percent of the state's welfare caseload. CalWIN is also the name of the system used by the CalWIN consortium. |
| Capacity Management | Ensures that the capacity of IT services and the IT infrastructure can deliver the agreed service level targets in a cost effective and timely manner. |
| Coding Accuracy Support System – Certified | CASS certification is offered to all mailers, service bureaus, and software vendors that would like the United States Postal Service to evaluate the quality of their address-matching software and improve the accuracy of their ZIP+4, carrier route, and five-digit coding. |
| Catchment Area | The geographical area served by an institution that can be defined by region, county, or within county borders (e.g., according to zip codes or other city boundaries). |
| Certification, Approval, and  Licensing Services | A CWS-NS Digital Service supporting the certification, approval, and licensing of homes and facilities. |
| Child Welfare Agency | A county child welfare agency, probation agency or approved Title IV-E tribe that provides services directed toward protecting and promoting the welfare of children. |
| Child Welfare Services/Case  Management System | The current CWS/CMS is a legislatively mandated statewide application implemented in 1997 based on the CWS business needs and practices at that time. The system was originally developed to meet the needs of users to assure the safety, permanency and well-being of children at risk of abuse, neglect or exploitation. It is used by each of the 58 county child welfare and probation agencies, Title IV-E tribes, and the State\*. |
| Children and Family Services Review | One of the self-evaluation reviews performed by state and county governments. Their submission enables the Children's Bureau to ensure conformity with federal child welfare requirements, to gauge the experiences of children, youth, and families receiving state CWS, and to assist states as they enhance their capacity to help families achieve positive outcomes. |
| Children’s Research Center | A division of the National Council on Crime and Delinquency (NCCD) that provides the Safe Measures Service and Structured Decision Making. |
| Client Index Number | The primary key of California’s Tracking Recipients Across California (TRAC) system. The number is supplied from the data created in the Statewide Client Index (SCI). |
| Coexistent County | A designation of a county that has chosen to operate CWS/CMS in a shared LAN, open systems environment. Coexistent counties may connect other county systems to CWS/CMS and may install other county applications on CWS/CMS workstations. Coexistent counties share responsibility for problem resolution, configuration management and other local operation and maintenance services with the PMO. Coexistent counties agree to use the CWS/CMS client presentation suite of applications, but they still retain the responsibility for the maintenance of related operating hardware used by the CWS/CMS application network infrastructure. |
| Comprehensive Assessment Tool | Evidence-based tools developed in California by Sphere  Institute that provide critical decision making support for social work practice which involves data collection strategies that support safety and risk assessment. |
| Configuration Item | Refers to any component that needs to be managed in order to deliver an IT service, and anything that needs to follow a formal change control process. Information about each Configuration Item is recorded in a configuration record within a configuration management system and is maintained throughout its lifecycle. |
| Consortium IV (of SAWS) | C-IV consists of 39 counties that represent over 27 percent of the State's\* welfare caseload. C-IV is also the name of the system used by the C-IV consortium. |
| Conversion | The process of migrating data from a Legacy System to the CWS-NS. |
| Converted Data | Data that has been successfully converted by Contractor\* for processing by the CWS-NS or any component thereof. |
| Core Constituent Group | A group comprised of the CALS Core County Group and representatives of CCLD who support the CALS team from their remote locations on activities such as user research, user testing, and who prepare and support the Digital Service implementation at their respective offices. |
| Core County | A county that provides representatives to collaborate with CWDS in the research, design, development, testing, implementation, and improvement of a Digital Service. |
| Core Team Members | The resources who will conduct User Acceptance Testing with the Service Manager, and provide expert guidance and support for technical and business decisions. These resources will execute and update User Stories and escalate any issues. |
| Corrective Action Plan | The detailed written required by the State\* at no cost to the State\* to correct or resolve a Deficiency or breach by Contractor\* or event causing the assessment of a liquidated damage against Contractor\*. |
| County Access to Data | The CWS/CMS data warehouse/reporting service provided for State\* and county agencies. The CAD system uses business objects software to develop reports and access the data warehouse which is refreshed daily. |
| Cutover | In the context of Implementation, the process of planning, managing, and executing all of the tasks and activities that allow the impacted business functions to transition from the legacy system to the new system. |
| Data Access Services | A set of services within the Application Program Interface (API) layer that support create, read, update, delete (CRUD) functions with existing data stores (e.g., Child Welfare Services/Case Management System), new data stores (e.g., PostgreSQL), and integration partners. ​ |
| Dedicated County | The designation of a county that has chosen to operate CWS/CMS in a closed LAN, closed system environment. Dedicated counties may not connect other county systems to CWS/CMS and may not install any non-standard county applications on CWS/CMS workstations. Dedicated counties depend on the CWDS Project Management Office (PMO) for problem resolution, configuration management and most other local operation and maintenance services. Only with PMO approval and oversight may dedicated counties connect other county systems to CWS/CMS or install non-CWS/CMS applications or COTS software on CWS/CMS workstations. A county that has chosen to operate CWS/CMS in a dedicated environment. |
| Definition of Done | The Acceptance Criteria by which a unit of work (e.g., User Story, Release) is assessed by the State\* to determine completeness and ensure quality standards are applied prior to Acceptance. |
| Digital Service | The delivery of digital information (data or content) and transactional services (e.g., online forms, benefits applications) across a variety of platforms, devices, and delivery mechanisms (e.g., websites, mobile applications, and social media). Digital services may be delivered to internal customers, external customers, or both. |
| Discovery/Discovery Phase | The first of the four CWDS Digital Service development stages used to report point-in-time status of each Digital Service (e.g., Intake). The objective of this stage is to conduct User research and explore stakeholder needs (e.g., specific client or policy requirements). The outputs of this stage include, but are not limited to, the following: prioritized list of epics and User Stories, Alpha phase goals, and an initial set of User Personas. |
| DocTool | A custom-developed tool containing design information for the CWS/CMS. |
| Documentation | Both external to the Product and internal to the Product  materials for both the process and Product and includes printed materials (e.g., quick start cards, manuals and books), computer-readable text (e.g., plain text files, hyperlinked help systems and web pages), audio and video (e.g., computer-based video files, video tapes and telephone-based question and answer service) and built- in documentation (e.g., built-in manuals and source code comments). **This definition supersedes the definition for Documentation provided in the CWS-NS General Provisions - Information Technology, Section 1.** |
| Evaluator Manual | A self-contained resource for the application and enforcement of laws, policies and procedures. The Evaluator Manual is also used to train new employees of the CCLD's Regional Offices and the county offices that contract with the State\* to administer the Family Child Care Home and the Foster Family Home programs. |
| External Systems | A software Application or data repository that is utilized by the counties or State\* to provide functionality not available in Legacy Systems to support child welfare and licensing business practices. Can be a public or private system not necessarily owned by a county or the State\*. |
| Feature | A collection of User Stories or requirements of similar nature that together fulfill a stakeholder need. |
| Field Automation System | An IBM Notes-based system utilized by CCLD staff to document facility inspections and investigations. |
| Go-Live | Production implementation of the CWS-NS. |
| Implementation Organization | An organizational location in the State\* where the CWS-NS will be deployed. There are 60 Implementation Organizations: the State\* and the tribes each as one unit, and the 58 counties. Each Implementation Organization may consist of one or more office locations. |
| Install(ed) | Equipment\* that has been delivered to and made operational at the Site for which it was designated in accordance with the implementation plan and has been demonstrated by the Contractor\* as capable of performing according to the applicable functional requirements. |
| Intake | In the context of child welfare, the process in which the county agency receives information about abuse allegations and assesses whether or not to service as a CPS response. |
| Interface(s) | The Equipment\* and Software\* to be developed by the Contractor\* for transmitting data between the CWS-NS and other computer systems. |
| Interoperability | The seamless implementation and integration of the various components of each module and across all Digital Services that together form the CWS-NS. |
| JNET | One of the two automated interfaces between CWS/CMS and an external system used by San Bernardino County. |
| Joyful | A user interface that feels intuitive to use and focuses on the joy of doing versus accomplishment and task completion. |
| Legacy System | An old method, technology, computer system, or application program, of, relating to, or being a previous or outdated computer system (e.g., CWS/CMS). |
| Licensing Information System | An automated system utilized by CCLD staff to record facility licensing information. The system contains facility information and individual caregiver background check status and tracks payments for applications, annual billing, and civil penalty fees. |
| Live | The fourth and final CWDS Digital Service stage used to report point-in-time status of each Digital Service (e.g., Intake). The objective of this stage is to implement a release that encompasses the full scope of the Digital Services including feature enhancements and new features, as required. The outputs of this stage include, but are not limited to, the following: all organizations trained and implemented on the Digital Service, and the Digital Service satisfies prioritized functionality. |
| Los Angeles Eligibility, Automated Determination, Evaluation and  Reporting | LEADER is the welfare eligibility determination consortium consisting of Los Angeles County, which represents approximately 35 percent of the welfare caseload in the State of California. LEADER is also the name of the system used by the LEADER consortium. |
| Major Release | A planned Release that encompasses an agreed upon scope of modifications to the CWS-NS applications and databases. Major Releases are typically scheduled on a quarterly, semi-annual, or annual basis. |
| Master Project Schedule | The high-level schedule which summarizes all the efforts required to design, develop, and implement the CWS-NS. |
| Minimum Viable Product | A set of Features for each Digital Service that represents functionality required to support a core set of business processes. |
| Minor Release | A Release for CWS-NS fixes (inclusive of all previous fixes and patches), CWS-NS enhancements, and new functionality. |
| National Human Services Interoperability Architecture | A framework, developed by the Administration for Children and Families, to facilitate information sharing, improve service delivery, prevent fraud, and provide better outcomes for children and families. NHSIA offers a foundation for common interoperability, standards, and reuse. NHSIA is one of the national architectural frameworks adopted by the State\* for the CWS-NS project. |
| National Youth in Transition  Database | A data collection system that includes data elements and data collection requirements necessary to meet the mandate of Public Law 106-169 established the John H. Chafee Foster Care Independence Program (CFCIP). This system includes outcome measures used to assess States' performance in operating their independent living programs for youth in foster care. This reporting must be supported by CWS-NS. |
| OASIS | A reference model for service-oriented architecture produced by OASIS, an IT industry standards body. |
| Performance Standards | The standards relating to the operation of an individual  Digital Service and/or the CWS-NS as a whole as described in the Contract\*. |
| Persona | Personas are not real people, but they are based on the behaviors and motivations of real people we have observed and represent them throughout the design process. They are composite Archetypes based on behavioral data gathered from the many actual users encountered in ethnographic interviews. |
| Pilot | A hardware and software migration method that involves rolling out the CWS-NS to a small group of Users for testing and evaluation. |
| Pilot Counties | A small group of California counties that will be the first to be implement the CWS-NS. |
| Product (or Program Product) | The packaged collection of Software\* created pursuant to the Contract\* in order to fulfill the scope of work. **This definition supersedes the definition for Program Product provided in the CWS-NS General Provisions, paragraph 1. Definitions.** |
| Product Backlog | The epics and User Stories for a Digital Service team, expressed as a prioritized list of functional and non- functional customer User Stories as well as technical team-generated User Stories. |
| Product Owner | See Service Manager. |
| Product Roadmap | The high-level initiatives and the planned steps that communicate direction and progress to internal teams and external stakeholders. |
| Production Environment | Where business process execution and business functionality required to support an organization’s mission are executed, including the personnel, processes, data, hardware, and software needed to perform day-to-day operations. |
| Ready to View (RtV) Date | The date the development team has completed the development and testing of functionality and it has been deployed to the Sandbox. |
| Regional Office | CDSS offices located throughout the state that also have supervision over local offices and county jurisdictions assigned to their area. These offices regulates community care facilities within their region. |
| Regional Training Academies | Provide training for the current CWS/CMS application as well as core social work practice for the county users. Each RTA covers a geographical area within California and they serve many counties. Each RTA has at least one trainer that provides training either onsite at the county or at the RTA training facility. |
| Release | A collection of related Configuration Items that are each uniquely identified by a version number. |
| Release 1 | The first Release of the CWS-NS in accordance with the Master Project Schedule. |
| Release Manager | Works with staff that conduct the planning and build activities of a Release to determine what level of risk and complexity the Release represents, communicates the release Acceptance Criteria and Deliverables\* for each stage of the Release, and validates the Deliverables\* and requirements are applied to each Release based on an accepted process. |
| Resource Management Licensing | Also known as facilities support, this addresses licensing Foster Family Homes (FFHs) for the 39 counties that license their own FFHs and whose system of record for licensing is the CWS/CMS. |
| Resource Pool | A pool of shared resources amongst all Digital Service teams to provide expert guidance. These resources will work with the teams to design the CWS-NS and provide technical support and guidance, conduct User research, and provide coaching and training to teams. |
| Rollout | For purposes of CWS-NS implementation, Rollout is the timeline when Sites will complete their implementation readiness activities and then Go-Live. |
| Safe Measures Service and Structured Decision Making | A database provided by the Children’s Research Center (CRC), a division of the National Council on Crime and Delinquency (NCCD). This database provides information needed for Safe Measures Service and the Structured Decision Making application. In the current CWS/CMS, the Safe Measures data mart is loaded daily from the child welfare database. The purpose of the daily extract is to provide to CRC data they can use to generate the Structured Decision Making application that many social workers and other county staff use to provide services and care to children. |
| Screening | The process used by the child welfare agency to determine whether information received meets criteria for some type of intervention. |
| Scrum Master | The resource who is responsible for working with the Service Manager to define and deliver the Product Roadmap. This resource is responsible for removing any impediments on the team and is a daily driver to increase velocity on the team.  Responsibilities also include creating an environment for success, managing the resolution of impediments (issues), and identifying and supporting process improvements. |
| SDX Interface | Provides information to the DHCS systems from the SSA on Supplemental Security Income (SSI) recipients. The information is provided on a daily basis. |
| Service Delivery Center | The current Service Delivery Center (SDC) is located in Boulder, Colorado and provides server management and help desk support for CWS/CMS users. The SDC provides 24/7, system-wide network monitoring, server administration and maintenance, and help desk services. Additionally, a network and server infrastructure is maintained to support the activities of the development and service delivery teams. |
| Service Manager | The Service Manager is the State\* resource who sets priorities, assigns tasks, and makes decisions about Features and technical implementation details based on User, policy, technical and business requirements. The Service Manager will also define the Product vision, prioritize the Product Backlog and reviews completed work in the Sprint review. Also referred to as the Product Owner. |
| Short Doyle II. The Short- Doyle/Medi-Cal | The claim process system that allows California’s County Mental Health Plans (MHPs) to obtain reimbursement of funds for medically necessary specialty mental health services provided to Medi-Cal-eligible beneficiaries and also to Healthy Families subscribers diagnosed as Seriously Emotionally Disturbed (SED). |
| Site(s) | The location(s) for the State\* and Contractor\* Equipment\* and Software\*, as agreed to by State\*. |
| Site Readiness | Each Site will conduct many Site Readiness tasks and activities in preparation for Go-Live and will undergo several checkpoints along the way to assess Site Readiness progress. The Site will be the final arbitrator of determining Site Readiness. |
| SOC 158 Subsystem | An application within a component of the CWS/CMS that enables placement data from county probation departments and private adoption agencies to be entered via templates. |
| Sprint | A regular, repeatable time-boxed work cycle during which work is completed and made ready for review. The Sprint duration shall be specified in the Contract\*, if applicable. |
| Sprint Zero Artifacts | The documents that will be delivered by a Sprint team during the Sprint Zero Phase. |
| Sprint Zero Phase | The period of time prior to a Sprint team commencing delivery Sprints (e.g., Discovery). |
| State Approved Downtime | The amount of downtime approved by the State\*. |
| State Business Day(s) | All weekdays on which the State\* is open to the public to conduct business. |
| State Data Center | California Department of Technology, Office of Technology Services. Provides application hosting services, standardized server and operating system configurations, deployment, management, and administration of software applications including middleware and databases, storage, networking, and disaster recovery. |
| Statewide Automated Welfare System | A system that stores information necessary to make eligibility decisions for a variety of benefit programs. Currently SAWS is being operated through three (3) Consortia:  Los Angeles Eligibility, Automated Determination, Evaluation and Reporting (LEADER) Consortium, Welfare Client Data System (WCDS) Consortium (also known as CalWIN), and Consortium IV (C-IV). |
| Structured Decision Making | Evidenced-based tools developed by the Children's Research Center that provide critical decision-making support for social work practice which involves data collection strategies that support safety and risk assessment. |
| Technical Reference Architecture | Developed specifically for the CWS-NS project that provides a template and a consistent vision of CWS-NS context, technology architecture, process, and standards throughout the organization and supplies the context (for identified patterns) for imposing best practices on development and deployment of the CWS- NS service-oriented architecture. |
| To-Be | The future state of a business process in an organization. Typically the analysis goal in putting together the future state process is to clarify how the business process will work, at some point in the future, once changes are made. Changes could be technology changes or business process changes. Compared to the As-Is state to conduct gap analysis. |
| User Experience/ User Interface  (UX/UI) Design | Both elements are crucial to a Product and work closely together. Where UX design is a more analytical and technical field, UI design is closer to what is referred to as graphic design, though the responsibilities are somewhat more complex. |
| User Story | A simplified description of a requirement and contains Acceptance Criteria. |
| User Story Approval | The process by which the State\* Product Owner approves the work completed for each User Story by verifying that the Contractor\* has met the Definition of Done. |
| User(s) | Parties who will have authorized use of and access to the CWS-NS via a User ID. |
| Vacaville Data Center | Operated by the California Department of Technology, Office of Technology Services. Serves as a disaster recovery site with a secondary role as a production data center. |
| Wave | A User group and their designated CWS-NS implementation date. The CWS-NS implementation consists of a Pilot Group and a Statewide Rollout Group. These groups are part of a Rollout schedule that outlines how and when the impacted organizations (counties and State\*) Go-Live. Every county and State\* organization is assigned to a Wave. The placement of organizations in waves will be determined by the State\* and the Contractor\*. |

1. Duration of time is based on the Full-Time Equivalent (FTE). FTE is estimated to be approximately 1920 hours annually. FTE is also considered 35-40 hours per workweek. [↑](#footnote-ref-1)