Cal**SAWS**

***AMENDED, RESTATED AND REVISED LEADER REPLACEMENT SYSTEM AGREEMENT***

***Exhibit X (CalSAWS Maintenance and Operations Extension)***

***Schedule 1 (Statement of Work for CalSAWS Maintenance and Operations (“M&O”) Project)***

***Attachment 1 – CalSAWS M&O Contractor Assumptions***

**CalSAWS Consortium,**

**a California Joint Powers Authority**

Global Assumptions

Maintenance and Operations services for the 18 CalWIN Counties are based on the following assignments of Counties for each go-live wave for cutover to the CalSAWS System:

* + - CalSAWS Wave 3/CalWIN Wave 1: Placer, Yolo
    - CalSAWS Wave 4/CalWIN Wave 2: Santa Clara and Tulare
    - CalSAWS Wave 5/CalWIN Wave 3: Orange, Santa Barbara, and Ventura
    - CalSAWS Wave 6/CalWIN Wave 4: San Diego, San Mateo, Santa Cruz, and Solano
    - CalSAWS Wave 7/CalWIN Wave 5: Alameda, Contra Costa, Fresno, and Sonoma
    - CalSAWS Wave 8/CalWIN Wave 6: Sacramento, San Francisco, and San Luis Obispo

Any changes to the go-live schedule and groupings of Counties for each wave listed above will need to be assessed by CONTRACTOR and may require additional Production Operations charges. Any changes to the scope of Production Operations for the CalSAWS System would be added into this Schedule 1 with a future amendment pursuant to Section 5 of the CalSAWS Maintenance and Operations Extension.

The price for the CalSAWS M&O Project does not include any M&O services required for the C-IV System for the period of November 1, 2020 through September 30, 2021. Maintenance and Operations services (or “Maintenance and Operations Support Services” defined under the C-IV Agreement) required for the C-IV System include Application Maintenance services, Technical Infrastructure services, Production Operations, Hardware and Software, and Facilities. The price for the Work performed by the CONTRACTOR for the CalSAWS M&O Project is based on the assumption that the CONSORTIUM will execute an amendment to the C-IV Agreement to extend such Maintenance and Operations services for the C-IV System through September 30, 2021.

The price for the CalSAWS M&O Project does not include any scope associated with a Statewide portal or a related mobile application.

The price for the CalSAWS M&O Project does not include any scope or prices associated with facilities, including the following:

* The Application Development Facility (“ADF”) or the “Northern Location” located at 11290 Pyrites Way in Rancho Cordova, California. It is assumed that prior to the start of the CalSAWS M&O Project, the CONSORTIUM will execute an Amendment to the SOW to add scope and prices for Suites 150 and 175 at ADF for the period of October 1, 2021 through October 31, 2023, and Suite 130 at the ADF for the period of July 1, 2023 through October 31, 2023 to provide such facilities required for the CalSAWS M&O Project.
* The Project Management Office (“PMO”) or the “Southern Location” located at 12440 Imperial Highway, Suite 300, in Norwalk, California. It is assumed that prior to the start of the CalSAWS M&O Project, the CONSORTIUM will execute an Amendment to the SOW to add scope and prices for the PMO for the period of October 1, 2021 through October 31, 2023 to provide such facilities required for the CalSAWS M&O Project.
* A Central Repair Depot. It is assumed that prior to the start of the CalSAWS M&O Project, the CONSORTIUM will execute an Amendment to the SOW to add scope and prices for the Central Repair Depot for the period of October 1, 2021 through October 31, 2023 to provide such facilities for central repair activities (such as troubleshooting and repairing Managed local and central Hardware for the CalSAWS System, preparation activities such asset-tagging, inventory registration, imaging, configuration, and setup) that are required for the CalSAWS M&O Project.
* A Service Desk Facility. It is assumed that prior to the start of the CalSAWS M&O Project, the CONSORTIUM will execute an Amendment to the SOW to add scope and prices for the Service Desk Facility for the period of October 1, 2021 through October 31, 2023 to provide such facilities for Service Desk staff who will provide Level 1 and Level 2 Service Desk support required for the CalSAWS M&O Project.

The price for the CalSAWS M&O Project does not include any charges for services from Amazon Web Services (“AWS”) for the CalSAWS Cloud’s compute resources. The Consortium will be fully responsible for making such resources available for supporting the CalSAWS System’s Cloud-based architecture, including the procurement and payment for such services from AWS. As the CalSAWS System’s requirements for AWS Cloud computing resources may change through the term of the CalSAWS M&O Project, the Consortium should include additional amounts in its annual budget for the CalSAWS M&O Project (the Implementation Advance Planning Document or “IAPDU”) to account for planned changes to the requirements for AWS Cloud computing resources.

As the Work for this SOW progresses, the CONTRACTOR may identify additional computes resources or services (including AWS services) that are required for CONTRACTOR to manage and operate environments in the AWS Cloud. In the event that the CONTRACTOR identifies additional compute resources or services that are required for security, and/or manage and operate environments in the AWS Cloud, CONTRACTOR will discuss with the CONSORTIUM of such compute resources. The CONSORTIUM is responsible for making such resources available to the CONTRACTOR to support the delivery of the CalSAWS M&O Project, including the procurement and funding of those resources.

AWS, the California Department of Technology (“CDT”), and JHC Technology (the reseller CDT is using) will not disable services or take other actions/inactions that would prevent CONTRACTOR from deploying/managing the environments for the CalSAWS System.

The Performance Requirements for the LRS in the AWS Cloud will change in the following ways at the point of the LRS production system’s cutover to the AWS Cloud:

* + - * CONTRACTOR will not be responsible for liquidated damages as a result of Performance Requirement failures due primarily to faults (such as availability, performance or security) with the AWS services, since Faults primarily caused by AWS, CDT or CDT’s reseller, JHC Technology, have the means to stop service or breach security. CONTRACTOR will be responsible for responding to resolve the incident and determining the root cause of the problem. CONTRACTOR will also work with the Consortium to recommend changes to the architecture to increase resiliency for similar future potential failures. This exclusion language will be written into Deliverable 1.2.1 (LRS M&O Services Plan).
      * Some of the above desired architectural changes driven by the impact of AWS component failures, will be easier than others. For instance, reducing database failover time below the results found in the AWS PoC does not have a foreseeable solution while the database is still Oracle (see Section 2.4.5)
      * The Performance Requirements will not stack during the CalSAWS M&O period covered in this Statement of Work. If multiple Performance Requirements are broken due to the same root cause attributable to the CONTRACTOR, the Consortium can choose one applicable Performance Requirement to apply liquidated damages.
      * Calculations for the development environment availability as part of the LRS Monthly Reporting Performance Requirement will be adjusted to reflect that the environments are no longer supposed to be available at all times, since the CONSORTIUM will be paying for them based on usage. Changes Requests affecting the production LRS/CalSAWS System are handled using procedures for that system and governed by downtime calculations in the Performance Requirements. For Change Requests for non-production services (for instance internet access at the PMO), changes that are anticipated to impact services will not occur during project hours unless approved by the Technical and Operations Director (or designee). Change Requests for non-production services outside the project hours will receive appropriate notice and be scheduled at appropriate times based on the impact of the change and the impact of delaying the change.
        + Change Requests are different than Service Requests. Change Requests are proactive changes that are not directly needed for control/resolve an incident. Services Requests are used to fix active problems and do not require approval or scheduling (the team working the incident has discretion to make changes to resolve or control the incident).

With regard to Technical Infrastructure services for Subtask 2.18 (Enhanced Level 3 and Production Support):

* CalWIN Wave 4: two (2) months, 40 work days, 75% of 4359 tickets = 3,269; 3269/40 = 82 tickets per day.  If the volume of calls exceeds 82 tickets per day during the two (2) months following Wave 4, an amendment to the SOW will be required to provide the additional required support staff.
* CalWIN Wave 5: two (2) months, 40 work days, 56% of 4042 tickets = 2,264; 2264/40 = 57 tickets per day.  If the volume of calls exceeds 57 tickets per day during the two (2) months following Wave 5, an amendment to the SOW will be required to provide the additional required support staff.
* CalWIN Wave 6: two (2) months, 40 work days, 59% of 3852 tickets = 2,273; 2273/40 = 57 tickets per day.  If the volume of calls exceeds 57 tickets per day during the two (2) months following Wave 6, an amendment to the SOW will be required to provide the additional required support staff. With regard to the 18 CalWIN Counties, Production Operations for WAN Administration are based on network connectivity being installed seven (7) months prior to each wave’s cutover for testing, UAT access, and training.
* Certain CONSORTIUM-owned data center equipment will continue to be operated for the CalSAWS System at the third-party co-location facilities or “exchanges” provided by a third-party vendor throughout the CalSAWS Maintenance and Operations Project and will not be decommissioned as the services running on that data center equipment will not be migrated to the CONSORTIUM’s AWS Cloud.
  1. With regard to WAN Administration for the text message notifications solution:
* Text message notifications will be sent to participants’ mobile phone devices. Participants will be responsible for all charges from their mobile service providers as a result of sending SMS messages to the CalSAWS System and receiving SMS messages from the CalSAWS System.
* The solution will support the following carriers: AT&T, Metro PCS, Sprint/Boost/Virgin, Verizon and T-Mobile.
* The solution will support up to a maximum of ten (10) SMS messages sent per second. If the CONSORTIUM would like additional SMS messages in excess of ten (10) to be sent per second, then additional monthly recurring Production Operations Charges will apply. Any additional Production Operations Charges for WAN Administration would be added to the CalSAWS Maintenance and Operations Extension with a future amendment.
* Per message rates for the administration of text message notifications are subject to change each September 1, beginning September 1, 2022.
* Outbound and inbound SMS messages used for system testing any future changes to the central text messaging notifications solution for 58 Counties will be counted as part of the monthly volumes of messages.
* Following the completion of design for system changes that would enable the C-IV System’s text messaging solution to support 58 counties for the CalSAWS System, the CONTRACTOR will assess the overall impact to the text messaging volumes based on the new design for 58 Counties. Any additional text messaging volumes required to support the addition of Los Angeles County and the 18 CalWIN Counties per Design Difference Identification (“DDID”) number 1784 would require additional Production Operations charges, which would be added to the CalSAWS Maintenance and Operations Extension with a future amendment.
* Performance Requirements will not apply to the text message notifications solution. Participants may not receive text message notifications sent via the CalSAWS System due to factors outside of the CONSORTIUM or CONTRACTOR’s control (e.g. failures caused by participant’s mobile phone hardware and software, participant’s mobile service provider, etc.).
* Production Operations charges do not include any modifications to functionality for the text messaging notifications solution. Any requested changes to the functionality will follow the release management process as documented in the CalSAWS M&E Services Plan Deliverable.
* Production Operations charges related to the text message notifications solution are based on the monthly volumes, start dates, and end dates listed in Table 1.0 below. The monthly volumes and schedules related to the CalWIN Counties are based on the implementation schedule for the six (6) CalWIN waves defined in Attachment 1 (CalSAWS M&O Contractor Assumptions).

**Table 1.0 – WAN Administration for Text Message Notifications Solution**

* 1. With regard to WAN Administration for the Electronic Signature solution:
* Production Operations charges for the Electronic Signature solution do not include any WAN Administration related to expanding the CalSAWS System’s central IVR solution to support Los Angeles County and the 18 CalWIN Counties. It is assumed that Los Angeles County and the 18 CalWIN Counties will continue to use their separate solutions for telephonic signature. Any scope associated with designing, developing, implementing, maintaining, and operating a central IVR/contact center solution that support 58 Counties would be added to the CalSAWS Maintenance and Operations Extension with a future amendment.
* Production Operations charges related to the Electronic Signature solution are based on the monthly volumes, start dates, and end dates listed in the Table 2.0 below. The monthly volumes and schedules related to the CalWIN Counties are based on the implementation schedule for the six (6) CalWIN waves defined in Attachment 1 (CalSAWS M&O Contractor Assumptions).

**Table 2.0 – WAN Administration for Electronic Signature Solution**



* 1. With regard to Production Operations Support for the central contact center solution:
* Production Operations charges for supporting the central contact center solution are based on the AWS Connect-based central contact center solution that will be implemented for the 39 former C-IV Counties during the C-IV Maintenance and Operations Project, prior to the 39 former C-IV Consortium Counties’ cutover to the CalSAWS System.
* Production Operations charges exclude scope associated with supporting contact center solutions for Los Angeles County and the 18 CalWIN Counties. It is assumed that Los Angeles County and the 18 CalWIN Counties will continue to operate on separate contact center solutions during the CalSAWS Maintenance and Operations Phase.
* Exhibit U (Scope of Work for the CalSAWS DD&I Project) does not include any scope associated with porting the C-IV central contact center solution to the CalSAWS System, nor the design, development, and implementation of a central contact center solution that supports 58 Counties. It is assumed that scope for porting the C-IV central contact center solution to the CalSAWS System will be amended into the CalSAWS Maintenance and Operations Extension prior to the end of September 2020, in order for the 39 former C-IV Consortium Counties to continue to use the AWS Connect-based contact center solution following their cutover to the CalSAWS System. If the CONSORTIUM requests a central contact center solution that would support 58 Counties, then scope for designing, developing, testing, implementing, and maintaining and operating that solution would be amended into the CalSAWS Maintenance and Operations Extension with a future amendment.
  1. Production operations support for CalSAWS Managed Lobby Management devices do not include any support for Los Angeles County and the 18 CalWIN Counties’ lobby devices (e.g. tablets, etc.). Production operations support for CalSAWS Managed Lobby Management devices for additional CONSORTIUM Members will require an amendment to this Schedule 1 pursuant to Section 5 of the CalSAWS Maintenance and Operations Extension. The CONTRACTOR is only responsible for supporting the application changes made for the Managed Lobby Management solution for CalSAWS DD&I Project. The support of SIRs and/or SCRs that are not related to those implemented for the CalSAWS DD&I Project are not included in the price.

With regard to M&O Services for the central service desk:

* + - The staffing levels for Technical Infrastructure services for the central service desk are based on the continued use of current processes for the C-IV Service Desk, regardless of the software platform used for the Service Desk during the CalSAWS M&O Project.
    - The price for CalSAWS M&O Project includes Production Operations charges required for ongoing support of the AWS Connect-based solution for the CalSAWS Service Desk. The AWS Connect solution will contain a basic IVR tree with no application or database calls for self-service or customer lookup.
    - The AWS Connect application will support up to a maximum of twenty-five (25) Service Desk staff for the 58 County Service Desk solution for the CalSAWS M&O Project.

With regard to Hardware and Software for the CalSAWS M&O Project:

The price for the CalSAWS M&O Project excludes Hardware, Software, Hardware Support, and Software Support. It is assumed that Hardware and Software for technology refreshes, Hardware Support, and Software Support required for the CalSAWS System for the CalSAWS M&O Project will be purchased by the CONSORTIUM from CONTRACTOR’s affiliate, Proquire, LLC (“Proquire”), under the C-IV Agreement. The CONSORTIUM must execute an amendment to the C-IV Agreement to add prices for such Hardware and Software items based on Attachment 3 of this SOW (CalSAWS M&O Hardware and Software Specifications) prior to the start of the term for this SOW.

The CONSORTIUM will retain ownership of all Hardware and Software purchased under the C-IV Agreement.

The CONSORTIUM will purchase Hardware and Software outright without any leasing/financing required.

For CalSAWS Hardware and CalSAWS Software, CONTRACTOR will develop the requirements and manage the plan for technology refreshes, Hardware Support, and Software Support for the CalSAWS System. CONTRACTOR will review the plan with the CONSORTIUM monthly for the CONSORTIUM to execute purchases of Hardware, Software, and the related Hardware Support and Software Support agreements.

Attachment 3 (CalSAWS M&O Hardware and Software Specifications) is based on information known by the CONTRACTOR as of April 1, 2019. As the Work for this SOW progresses, the CONTRACTOR may identify additional Hardware and Software that are required for security, or for CONTRACTOR to maintain and operate the CalSAWS System. In the event that a change to the specifications is required – whether the change is planned (e.g. requested by the Consortium) or unplanned - for maintaining and operating the CalSAWS System, the CONSORTIUM is responsible for making such resources available to the CONTRACTOR to support the delivery of the CalSAWS M&O Project, including the procurement and funding of those Hardware and Software items. As the CalSAWS System’s requirements for Hardware and Software may change through the term of the CalSAWS M&O Project, the Consortium should include additional amounts in its annual budget for the CalSAWS M&O Project (the Implementation Advance Planning Document or “IAPDU”) to account for planned changes to the requirements.

* Modifications to the estimated prices and planned purchasing schedules for the items listed in Attachment 3 (CalSAWS M&O Hardware and Software Specifications) will be managed via the Technology Budget Change Request (“TBCR”) process that will be documented in the CalSAWS M&O Services Plan Deliverable that CONTRACTOR will develop for the CalSAWS M&O Project.