# Calsaws maintenance and operations rfp

# Attachment B – Maintenance and EnhancementS SERVICES Statement of Work

January 13, 2022

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# Maintenance and Enhancements Statement of Work

## Introduction

The Maintenance and Enhancements (M&E) Statement of Work (SOW) defines the services required to maintain and operate the CalSAWS Application.

## Responsibilities of the Parties

This section defines the responsibilities of the parties who will participate to carry out the CalSAWS M&E Services, including enhancing, maintaining and troubleshooting the CalSAWS core and ancillary software applications. This Section includes responsibilities of the M&E Contractor and the Consortium and addresses the various touchpoints of other CalSAWS contractors. The Consortium operations include a number of existing Contractors as described in RFP Section 3 Current System. ***Attachment B3 - CalSAWS RACI*** depicts high-level roles and responsibilities of the various parties.

### M&E Contractor Responsibilities

The M&E Contractor responsibilities include the following:

* Deliver the services specified in ***Attachment B2 - M&E Requirements Matrix***.
* Perform the services required under this Agreement in a manner that will not disrupt the CalSAWS operations.
* Comply with all applicable Consortium policies and procedures, including complying with the Consortium’s Project Control Document (PCD).
* Produce and deliver the Contract Deliverables specified in ***Attachment B2 - M&E Deliverable Inventory.***
* Apply CalSAWS standardized business processes and leverage mandatory tools to manage project activities and satisfy M&E reporting requirements.
* Supply Contractor personnel with all hardware and software needed to perform their duties in accordance with the Agreement.
* Coordinate and collaborate with the Consortium and other CalSAWS contractors in application and infrastructure activities and associated issue and risk management activities.

### Consortium Responsibilities

The Consortium will provide Contract management and oversight for this Agreement. Consortium responsibilities include the following:

* Provide timely review and approval of Contractor work products and Deliverables in order for the Contractor to perform its obligations under this Agreement**.**
* Own and manage the CalSAWS Master Work Plan, into which the M&E Contractor and other CalSAWS contractors will provide child work plans.
* Provide appropriate facilities, location to be determined by the Consortium, and equipment for approximately xx Contractor personnel, including workspaces consisting of desk space and a chair, and access to shared printers, scanners, copiers and landline phones. Laptops will be provided for xx Contractor personnel. Monitors will be provided for use at the Consortium location.
* Provide conference rooms throughout the building to be utilized by Contractor personnel.
* Provide access to applicable information, including but not limited to technical, program, and policy documentation.
* Provide Consortium personnel in support of Project activities contained in ***Attachment A3 - CalSAWS RACI.***

### CalSAWS RACI Matrix

This section contains a RACI (Responsible, Accountable, Informed, Consulted) Matrix which describes responsibilities and touchpoints of the Consortium, the M&E Contractor, the Infrastructure Contractor and other CalSAWS contractors. The RACI addresses the roles in areas where multiple parties are involved. It does not contain areas where a role is the sole responsibility of a single party.

Note: this section is To Be Developed (TBD).

## Maintenance and Enhancements Staffing

### Project Location and Core Hours

The Contractor’s staff will be dedicated to the Project unless otherwise described within the Contractor’s approach and approved by the Executive Director. Project work hours are Monday, 12:00 P.M. Pacific Standard Time (PST) through Friday, 12:00 P.M., PST. Project meetings should be limited to this period.

During the M&E Transition-In period 80% of work performed by Key Staff must be conducted at an approved Project site as defined in this Agreement unless alternate arrangements are approved in writing by the Executive Director. Consortium Key Staff counterparts will also conform to this model.

In all cases, during the M&E Transition-In period and afterwards, the Contractor must provide at least one Key Staff person on-site on Monday mornings, 8:00 A.M through 12:00 P.M. and Friday afternoons, 12:00 P.M. through 5:00 P.M.

After the successful completion of the Transition-In period, Key Staff and other staff are not required to work on-site. The Consortium’s long-term expectation is to support a remote staff model.

### Staff Responsibilities

The Contractor is responsible for providing all Staff necessary to fulfill the Services and requirements defined in this RFP and SOW. The Contractor is responsible for employing an approach for Staff management that facilitates a productive working relationship with Consortium staff, county staff, other Consortium contractor staff, and State staff/Project Sponsors. The Contractor’s staff will proactively coordinate and work collaboratively with the CalSAWS Consortium.

The Contractor is responsible for ensuring all Contractor staff clearly understand both initial and ongoing roles and responsibilities, how the team and assignments relate to the Project and the overall CalSAWS status and plans. The Consortium operates in a multi-vendor environment. Different vendors have responsibilities for different aspects of CalSAWS. It is the Consortium’s expectation that all Contractor staff work together cooperatively and collaboratively to achieve the best interests of the Consortium.

All proposed Contractor staff must have good oral and written communication skills. One aspect of good oral communication skills includes the ability to communicate with diverse groups of users and to convey information technology terms and concepts to non-technical audiences.

All Contractor staff must prepare for and actively participate in designated Project meetings and represent the best interests of the Consortium, identify and escalate issues as appropriate, and contribute to required status reports.

To facilitate Project progress, it is important to the Consortium that the M&E Contractor minimizes staff turnover to the extent possible, particularly for Key Staff as detailed below.

### Contractor Staff Changes

For any expected M&E Key Staff changes, the Contractor will provide a 30-calendar day notice to the Executive Director regarding the change and plans for transition. The M&E Contractor will provide the Consortium a resume with proof of experience that meets or exceeds the mandatory qualifications and three references for any recommended replacement Key Staff. The Consortium reserves the right to require face-to-face or phone interviews of all proposed replacement Key Staff. The Consortium reserves the right to accept or reject any proposed Key Staff.

For any unexpected Key Staff changes, the Contractor will provide the Consortium Executive Director a written notification within three business days of knowledge and required Key Staff action. Within seven (7) calendar days of providing such written notice, the Contractor will provide the Consortium Executive Director with plans for transition. All provisions in the preceding paragraph apply to unexpected Key staff changes.

### Staff Performance

The Contractor staff will possess the skills and experience necessary to fulfil the responsibilities of this RFP. The Contractor will be responsible for identifying and correcting performance issues for its entire staff (i.e., employees and Subcontractors). Should the Consortium discover performance problems with any Contractor staff, the Executive Director will notify the appropriate Project Manager as soon as is reasonably possible. If the Executive Director requests removal of any M&E staff person, the Contractor will immediately remove such staff from the Project.

### Approval of Staff

During the Agreement term, the Consortium reserves the right to approve or disapprove the Contractor’s Staff, including, but not limited to, any Subcontractor Staff assigned to this Agreement, or to approve or disapprove any proposed changes in Staff or staffing levels. The Consortium may request, and the Contractor will remove from work on the Project, the Contractor employees or Subcontractors who the Consortium identifies as not possessing the appropriate skill sets for the position, being incompetent, careless, insubordinate, unsuitable, or otherwise unacceptable, or whose continued engagement on the Project is deemed not in the best interest of the Consortium, provided that such request will be based solely on nondiscriminatory reasons and the Contractor will have the right to request the withdrawal of any such request upon the Contractor demonstrating that the concern is unfounded. Upon request of the Executive Director or designee, the Contractor will provide the Consortium with the required documentation (e.g., resume with proof of experience that meets or exceeds the mandatory qualifications) of any member of its Staff or a Subcontractor’s Staff assigned to, or proposed to be assigned to, any aspect of the performance of this Agreement.

### M&E Key Staff

Bidders submitting an M&E Proposal will include the following Key Staff. This Section defines the M&E Key Staff Mandatory Qualification (MQs) requirements for the Contractor’s leadership team that will work alongside the Consortium’s leadership team for the duration of the Agreement, with the exception of the M&E Transition Manager. The M&E Transition Manager Position will be time-limited for the duration of the transition period.

M&E Key Staff include the following:

* M&E Project Manager
* M&E PMO Lead
* M&E Transition Manager
* M&E Innovation Lead
* M&E Enterprise Architect
* M&E Technical Manager
* M&E Application Manager
* M&E Security Manager
* M&E Testing Manager
* M&E Release Manager
* M&E Project Scheduler

M&E Key Staff roles descriptions and MQs follow.

Please note: Many of the MQs reference experience required in a large and complex IT health and human services or health care system. For purposes of this SOW, the following definition is provided.

**Large and Complex IT System Definition:** An IT system that meets all of the following criteria. 1) A solution that integrates at least two applications, one of which is a COTS. 2) A solution that interfaces with at least five external systems, at least one (1) of which is real-time. 3) A solution that is accessed by at least one thousand (1,000) users at multiple locations. 4) A solution that has a dollar value of at least ten million ($10,000,000) dollars 5) A solution that includes multi-tiered processing, including a consumer or user facing front-end optimized for multiple user interface platforms.

#### M&E Project Manager

The M&E Project Manager will be responsible for providing day-to-day management of Contractor resources and activities, including overall performance and Agreement compliance. The M&E Project Manager will act as the primary interface with the Executive Director and Consortium Management Team. The M&E Project Manager will ensure that Contractor resources possess the appropriate skills and experience necessary to fulfil the responsibilities of the agreement and are available throughout the life of the Agreement. The duties and responsibilities of the M&E Project Manager include:

* Responsible for the execution and overall management of the contract and the Contractor’s Team.
* Engage with the Consortium Management Team on a day-to-day basis to ensure the project receives required Consortium commitment and support.
* Proactively collaborate and coordinate with other Consortium CalSAWS contractors.
* Possess signature authority to commit the Contractor to CalSAWS Contracts, Amendments and Change Notices with the Consortium.
* Communicate and report on project progress, risks, and issues on an ongoing basis.
* Act as a liaison with the Consortium Executive Director to confirm Consortium expectations are met.
* Ensure all requirements are fulfilled by the Contractor including performance and Service Level Agreements (SLAs).
* Provide executive level reporting and communications to Consortium Management, the Executive Director, Joint Powers Authority (JPA) Board of Directors, Project Steering Committee, State program sponsors and other stakeholders.
* Prepare special reports and presentations related to the Project.
* Work cooperatively with the Consortium PMO to resolve escalated issues including, but not limited to, contractual requirements, risk mitigation, system enhancements, and any other issue that requires executive management attention.
* Identify and bring forward technology options and innovation recommendations that will provide the highest value to the Consortium and county business operations.
* Work with the Contractor’s Technical Manager, Innovations Manager, Enterprise Architect, the Consortium Management Team, and others as needed, lead an annual strategic planning initiative focused on technology improvements and innovations.

Table - M&E Project Manager Mandatory Qualifications

| M&E Project Manager Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S1 | A minimum of three (3) years of experience within the past ten (10) years, on a large and complex IT health and human services or health care system that is in production. |
| ME-S2 | A minimum of five (5) years of experience as a Project Manager or Project Director within the past (10) years being directly responsible for activities in the following Project Management knowledge areas: scope, time, cost, human resource, risk, quality, integration, and communication. |
| ME-S3 | A minimum of five (5) years of experience within the past ten (10) years, supervising teams of 50 people or greater on projects that involved large and complex IT systems. |
| ME-S4 | A minimum of five (5) years of experience within the past ten (10) years building and maintaining strong working relationships with clients and key internal and external stakeholders; conveying relevant information to an executive-level audience, ensuring client is aware of progress/service status; and building credibility and fostering business-partnering relationships. |
| ME-S5 | Possess and maintain a valid Project Management Institute (PMI) Project Management Professional (PMP) certification throughout the term of this Agreement. |

#### M&E Project Management Office (PMO) Lead

The M&E PMO Lead is responsible for the administration of the Project Management Office support and overall reporting efforts for the M&E Contractor. The M&E PMO Lead responsibilities will include the following:

* Work closely with the M&E Project Manager and provide PMO support in the execution of the M&E Contractor’s Agreement responsibilities.
* Adhere to the Consortium’s Project Control Document (PCD) and other Consortium required processes and procedures.
* Manage and monitor the M&E work plan developed by the M&E Project Scheduler that will be incorporated into the Consortium’s Master Work Plan.
* Ensure the M&E Contractor’s Team’s understanding of and adherence to work plan activities, Deliverable responsibilities, and project processes and procedures.
* Lead and support the development and delivery of all M&E Deliverables and work products, ensuring they are of the highest quality and are delivered in accordance with the approved M&E work plan.
* Provide financial reporting regarding planned and actual expenditures on a monthly basis using Contract Price Proposal schedules.
* Establish and manage M&E related issue resolution and risk mitigation strategies.

Table – M&E PMO Lead Mandatory Qualifications

| M&E PMO Mandatory Qualifications | | |
| --- | --- | --- |
| **Req #** | **Mandatory Qualifications** |
| ME-S6 | A minimum of three (3) years of experience within the past five (5) years leading a PMO in a systems integrator organization, State, County, or Consortium organization. |
| ME-S7 | A minimum of three (3) years of experience directly responsible for supporting activities in the following Project Management knowledge areas: scope, time, cost, human resource, risk, quality, integration, and communication. |
| ME-S8 | Possess and maintain a valid Project Management Institute (PMI) Project Management Professional (PMP) certification throughout the term of this Agreement. |

#### M&E Transition Manager

The M&E Transition Manager’s role will span the M&E transition period. This position is responsible to plan, coordinate, and successfully complete the transition for all M&E responsibilities and functions from the existing contract to the new M&E contract resulting from this RFP. Duties and responsibilities of the M&E Transition Manager include:

* Manage all CalSAWS M&E Transition-In activities from the incumbent contractor and ensure a successful transition.
* Develop, maintain, and deliver a CalSAWS M&E Transition-In Plan (M&E TIP).
* Work collaboratively with the incumbent contractors to ensure a smooth transition of all M&E components of CalSAWS.
* Ensure minimal impact to CalSAWS end users and county business operations during transition.
* Assist Consortium, Counties, Project Sponsors, and Program Partners in understanding transition-in activities, timelines, and impacts to other Consortium initiatives, system releases, and tasks.
* The M&E Transition Manager will work closely with the Infrastructure Transition Manager to plan, manage, and execute transition activities to support alignment across transition teams.
* Identify and communicate with internal and external stakeholders on transition activities as needed.
* Work with the M&E Project Manager in closing out Transition activities.

Table - M&E Transition Project Manager

| M&E Transition Manager Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S9 | A minimum of three (3) years of experience within the past ten (10) years, performing operational transition activities on projects involving large and complex IT systems. |
| ME-S10 | Experience within the past ten (10) years, managing the successful transition of large and complex IT systems from one (1) company or contract to another on at least two (2) separate projects. The Transition Manager’s experience will have been for a minimum duration of three (3) months for each project. |

#### M&E Innovation Lead

The M&E Innovation Lead will serve in a leadership role working closely with the Consortium and other CalSAWS vendors to provide expertise and leadership in assessing and recommending technology innovations in support of the Consortium and County business operations. Duties and responsibilities of the M&E Innovation Lead include:

* Proactively explore, identify, and evaluate technology innovations, and formulate a business case and recommendations for potential updates to the CalSAWS infrastructure, application architecture, and application.
* Develop innovation proposals to include detailed work descriptions and price information.
* Provide thought leadership and education to the Consortium regarding emerging technical trends.
* Implement innovation Proofs of Concepts or Pilots, as applicable, to validate the proposed approach and business benefit.
* Develop and deliver presentations to Executive and Management levels of the Consortium regarding proposed innovations.
* Communicate regularly with the Consortium to share innovation information, suggestions, and ideas and elicit input to possible innovation solutions.
* Coordinate with the Technical Manager and Enterprise Architect to evaluate emerging technologies and integration of selected innovation technologies into the CalSAWS platform.
* Coordinate with the Consortium to evaluate emerging technologies value and impact to business operations.
* Coordinate with and support the Consortium’s existing Innovation Lab and processes.
* Coordinate, facilitate, and manage innovation-related planning and evaluation meetings.

Table – M&E Innovation Lead

| M&E Innovation Lead Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S11 | A minimum of five (5) years of experience working in a leadership capacity on a health and human services or health care involving large and complex IT systems. |
| ME-S12 | A minimum of five (5) years of experience working in a technical capacity responsible for evaluating technology improvements and innovations. |
| ME-S13 | A minimum of two (2) years of experience developing and delivering technology Proofs of Concept or Pilot Projects. |

#### M&E Enterprise Architect

The M&E Enterprise Architect functions at the expert level performing analytical work in the design and development of architecture strategy, oversees the implementation of technical infrastructure and technology, and provides the architectural direction and guidance to enterprise systems. The Architect will work with the Consortium to plan and oversee implementation of application evolution efforts. The architect will coordinate with the various Consortium vendors in performing architectural work. The duties and responsibilities of the M&EEnterprise Architect include:

* Work with the Technical Manager, Application Manager, and Innovation Lead to provide an enterprise solution that is scalable, adaptable, and in synchronization with changing business needs and application evolution.
* Provide high-level guidance and direction to the Consortium on enterprise architecture planning, making sure that new projects fit within the Consortium’s overall strategic vision.
* Recommend an architecture strategy and roadmap to move the CalSAWS application from the existing monolithic architecture to a modular architecture.
* Review and approve analysis and recommendations for a phased architecture and application evolution migration.
* Align IT strategy and planning with CalSAWS business goals, ensuring projects do not duplicate functionality or diverge from each other or from business and IT strategies.
* Evaluate cloud application requirements and make architectural recommendations for implementation, deployment, and provisioning applications on AWS.
* Assist with the development of policies, standards, and guidelines that direct the selection, development, implementation, and use of IT within the organization.
* Oversee, review, and approve application architecture documents and standards.
* Ensure seamless integration between all architectures that interact and/or interface with CalSAWS.
* Conduct research and provide recommendations on appropriate technologies to address system needs and improve efficiency.

Table – M&E Enterprise Architect Mandatory Qualifications

| M&E Enterprise Architect Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S14 | A minimum of five (5) years of experience within the past ten (10) years as an Enterprise Architect on projects involving large and complex IT systems. |
| ME-S15 | A minimum of five (5) years of experience within the past ten (10) years in architecting and building high performance systems and/or in architecting and building enterprise-scale, distributed systems on projects involving large and complex IT systems; a portion of this experience must have been with human services systems and programs. |
| ME-S16 | A minimum of five (5) years of experience within the past ten (10) years of advanced technical expertise in at least five (5) of the following technologies and technical/architecture areas:   * Web and Application Servers * Cloud * Customer Relationship Management (CRM) * Customized Off-the-shelf Software (COTS) * Service Oriented Architecture (SOA) * Modeling skills/Unified Modeling Language (UML) * SharePoint, Data Architecture * Data Warehousing * Security/Identity Management * Mobile * Desktop/Client Server * Network solutions |
| ME-S17 | Hold and maintain for the curation of the contract a current certification: AWS Certified Solutions Architect. |

#### M&E Technical Manager

The M&E Technical Manager will perform technical planning activities to define, develop, explain, and iterate a technical vision for the CalSAWS. The Technical Manager will work closely with the Innovations Lead, the Enterprise Architect, and the Application Manager in overseeing all technical aspects of the M&E Project.

Duties of the M&E Technical Manager include:

* Manage the day-to-day activities of the Contractor Technical Staff.
* Lead the technical disciplines of the project, establish, update, and execute technical policies, processes, and procedures.
* Lead technical activities, including support of web services, automated testing, APIs, application architecture platforms, application servers, AWS services and database systems.
* Evaluate CalSAWS performance, evaluate AWS services, and formulate recommendations to adopt native cloud services and features.
* Work with Integration Partners to develop and coordinate interface activities.
* Coordinate with the Innovations Lead and Enterprise Architect to assess impacts of innovation proposals and application evolution efforts and plan incremental implementation.
* Ensure that all technical design, development, and testing activities comply with Agreement and system requirements.
* Work with the Consortium and Application Manager to prioritize and coordinate release content and effort based on the SCR backlog, service requests, planned technical changes, third-party applications and/or other CalSAWS system components.
* Work with the Infrastructure Operations Service Desk Lead and manage Tier 3 support for technical tickets that occur in non-production and production environments.
* Manage meetings or walkthroughs of CalSAWS Contractor technical deliverables as requested by the Consortium.
* Identify and proactively bring forward options that will provide the highest value to the Consortium.

Table - M&E Technical Manager Mandatory Qualifications

| M&E Technical Manager Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S18 | A minimum of five (5) years of experience within the past ten (10) years, managing a technical team of at least 20 members on a large and complex IT systems development project. |
| ME-S19 | ​A minimum of five (5) years of experience within the past ten (10) years, managing the system development life cycle (SDLC) on maintenance and enhancement projects that involved large and complex IT systems. |
| ME-S20 | A minimum of five (5) years of experience within the past ten (10) years in the development, implementation, and management of information technology systems, including Oracle technologies, cloud architectures, business systems, server technologies, and communication technologies. |
| ME-S21 | A minimum of one (1) year of experience within the past ten (10) years, on a large and complex IT System using Information Technology Infrastructure Library (ITIL) standards and framework. |

#### Maintenance and Enhancement Application Manager

The M&E Application Manager will manage planning, implementing, and monitoring CalSAWS application changes. Central to this role is the management of the System Change Request (SCR) process. The manager will work with Consortium to globally strategize upcoming release planning to fully utilize the Consortium's budget to meet identified policy and priorities. The manager will ensure the Contractor’s M&E Application team contains the necessary skill set and experience to carry out application functions required by the SDLC. The duties and responsibilities of the M&E Application Manager include:

* Manage the day-to-day activities and all aspects of the Contractor’s Application Staff.
* Oversee the requirements management processes, including monitoring and assessing issues that relate to requirement changes.
* Support stakeholder and project sponsor sessions in the development of public-facing application functionality and apply User Centered Design (UCD) and User Experience (UX) principles, where applicable to improve the user experience.
* Ensure that design sessions and walkthroughs are planned, executed, and delivered on schedule.
* Ensure that documentation of defect fixes and SCRs are accurately reflected in the appropriate deliverable.
* Lead application scope management and the evaluation of potential application scope changes.
* Work with the Consortium to prioritize and coordinate release content and effort based on the SCR backlog, service requests, third-party applications and/or other CalSAWS system components.
* Communicate plans for key application changes.
* Deliver timely system changes, enhancements, associated deliverables. and defect fixes.
* Assess proposed system enhancements for design alternatives based on all identified constraints, such as cost, schedule, usability, maintainability, and reliability.
* Work with the Infrastructure Operations Service Desk Lead and manage Tier 3 support for application tickets that occur in non-production and production environments.
* Responsible for continuous improvement efforts for the SCR process to enable rapid releases into production and to the end users.
* Evaluate software and performance, evaluate AWS services, and formulate recommendations to adopt native cloud services.

Table - M&E Application Manager Mandatory Qualifications

| M&E Application Manager Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S22 | A minimum of five (5) years of experience within the past ten (10) years, as the application manager or lead on projects involving large and complex IT systems in a health and human services or health care services project. |
| ME-S23 | A minimum of five (5) years of experience within the past ten (10) years, managing a system development life cycle (SDLC), including business and system requirement specification, design, development, testing, and implementation, on projects involving large and complex IT systems. |
| ME-S24 | A minimum of three (3) years of experience applying User-Centered Design (UCD) processes and User Experience (UX) activities (such as usability reviews, studies, and testing) on IT projects. |

#### Maintenance and Enhancement Security Manager

The M&E Security Manger serves as the focal point for cybersecurity solutions, privacy and protection of digital information, and security compliance related activities and responsibilities for the CalSAWS M&E. This position will work closely with the Consortium’s Security Team. The duties and responsibilities of the M&E Security Manager include:

* Plan, implement, manage, monitor, and upgrade security solutions to defend against hacking, malware, ransomware, and other threats to data, systems, and networks.
* Maintain, enforce, and document M&E security policies and procedures that align with current industry standards and Privacy and Security Agreements (PSAs) among CalSAWS, California State agencies, and other CalSAWS contractors.
* Serve as a resource regarding matters of information security and reports status of ongoing information security activities to CalSAWS Executive Director or designee(s).
* Support the development/adoption and enforcement of Information Security policies, procedures, and standards.
* Provide timely notification to the Consortium and project sponsors of security breaches.
* Coordinate with the Consortium and other CalSAWS contractors in responding to information security data calls, audit requests, and reporting.
* Work with the Consortium to implement, monitor, and maintain appropriate security measures, best practices, controls, and mechanisms to guard against unauthorized access to electronically stored and/or transmitted data and protect against reasonably anticipated threats and hazards.
* Perform ongoing security monitoring of information systems.
* Identify and mitigate all security weaknesses, threats, and vulnerabilities in all operational entities including Operations and Network Management.
* Conduct penetration testing, exercises, analyses and simulation on security incidents and response capabilities to determine effectiveness; document results.
* Implement and enforce policies and procedures, which include standards for incident handling (FTI, PHI, etc.).
* Respond to security breaches.
* Provide root cause analysis and remediation of security issues.

Table - M&E Security Manager Mandatory Qualifications

| M&E Security Manager Mandatory Qualifications | |
| --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S25 | A minimum of five (5) years of experience as a Security Lead directly responsible for collaborating with application development teams, technical architects, and security policy experts to define and/or implement an integrated framework of solution security architecture. |
| ME-S26 | A minimum of five (5) years of lead experience within the past ten (10) years developing, implementing, improving, and monitoring industry standard Security strategies, solutions, and processes on projects involving large and complex IT systems and AWS cloud environment. |
| ME-S27 | A minimum of five (5) years of experience within the past ten (10) years applying Information Security principles, methods, and techniques in the development of project security Deliverables on projects involving large and complex IT systems. |
| ME-S28 | A minimum of five (5) years of experience assessing system data sensitivity using security categorizations (e.g., FIPS Publication 199) to identify appropriate security controls to protect Personally Identifiable Information (PII), Protected Health Information (PHI), and/or Federal Tax Information (FTI) data. |
| ME-S29 | A minimum of five (5) years of experience with systems that comply with NIST 800-53 moderate baseline. |
| ME-S30 | Hold an (ISC)2© Certified Information Systems Security Professional (CISSP) certification, or ISACA Certified Information Security Manager (CISM) and maintain for the duration of the contract. |

#### M&E Test Manager

The M&E Test Manager will oversee and monitor M&E testing activities from the creation of test scripts through unit, system, integration, and user acceptance testing. Central to this role is the management of the System Change Request (SCR) test process. The manager will ensure the Contractor’s Test team contains the necessary skill set and experience to carry out application functions required by the SDLC. The duties and responsibilities of the M&E Test Manager include:

* Manage the day-to-day activities of the Contractor’s Test Team.
* Oversee planning, development, and execution of M&E testing.
* Lead and coordinate with the development, business, and technical teams to execute all testing activities.
* Coordinate and support the Consortium-provided UAT and County Validation Testers.
* Track all test defects.
* Assist the Consortium in determining defect severity levels for all defects.
* Track all defects through retest and timely resolution.

Table - M&E Test Manager Mandatory Qualifications

| M&E Test Manager Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S31 | A minimum of five (5) years of experience within the past ten (10) years as Test Manager or Lead on projects involving large and complex IT systems in a health and human services or health care services project. |
| ME-S32 | A minimum of five (5) years of experience planning, preparing for, and executing system test, UAT, and/or regression tests in compliance with a recognized standard, such as IEEE or ISO. |
| ME-S33 | A minimum of five (5) years of experience with testing JAVA web-based applications, the software interaction with Oracle databases, web services, and/or cloud services. |
| ME-S34 | A minimum of three (3) years of experience overseeing or testing applications with multiple stakeholders/customers with varied business priorities and varying levels of experience with automation systems. |
| ME-S35 | Experience testing in waterfall, agile and iterative SDLC models and mixed models (i.e., multiple SDLCs occurring concurrently. |

#### M&E Release Manager

The M&E Release Manager will coordinate with the M&E Application and M&E Test Manager to plan, structure, coordinate, deploy and manage CalSAWS releases. The duties and responsibilities of the Release Manager include:

* Manage the day-to-day activities of the Contractor’s Release Team.
* Plan, develop, review, and maintain the release schedule in conjunction with the Consortium.
* Oversee and conduct Release Readiness reviews.
* Collaborate with the Consortium to improve and mature release processes on a regular basis.
* Manage risks and resolve issues that affect release scope, schedule, and quality.
* Coordinate work among different project teams to create and manage releases.
* Negotiate, plan, and manage all release activities.
* Lead and coordinate the readiness activities including the execution of the deployment plans.
* Oversee and ensure the documentation of key information such as build and release procedures, dependencies, defect fixes, and SCRs is reflected and documented accurately in the appropriate Deliverable.
* Present readiness status and issues to Consortium Management, Project Steering Committee, project sponsors and stakeholders.
* Identify and proactively bring forward options that will provide the highest value to the Consortium.

Table - M&E Release Manager Mandatory Qualifications

| M&E Release Manager Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S36 | A minimum of five (5) years of experience within the past ten (10) years as the release manager or lead on projects involving large and complex IT systems in a health and human services or health care services project. |
| ME-S37 | A minimum of five (5) years of experience within the past ten (10) years, on projects involving large and complex IT systems, where the project scope included managing, planning, scheduling, and controlling software builds through different stages and environments; including testing and deploying software releases. |

#### M&E Project Scheduler

The M&E Project Scheduler provides scheduling expertise for the M&E Project. The M&E Project Scheduler will be responsible for work plan development, scheduling for the M&E Project, and coordinating with the Consortium and other CalSAWS contractors in their management of the CalSAWS Master work plan. The duties and responsibilities of the scheduler include:

* Develop, monitor, analyze, and update the M&E work plan using Microsoft Project.
* Facilitate work plan development activities, work plan tracking, work plan analysis, work plan reporting, and all supporting work plan documentation.
* Coordinate and manage work plan inputs to the level of detail defined in the CalSAWS Master Work Plan.
* Coordinate the collection and distribution of work plan-related task information (i.e., status, assignments, and work completed by staff) and work completed.
* Ensure all deliverables, tasks, milestones, resources, risks, and dependencies (predecessors/successors) are tracked in the work plan.
* Perform risk analysis and identify and resolve critical path and network impact concerns.
* Collaborate with the M&E team and the Consortium to compare status, identify disparities, and provide input to the resolution of potential work plan and resource conflicts.
* Prepare work plans that can integrate into a Master CalSAWS Work Plan, identifying clear integration and coordination points with other vendor work plans.
* Prepare as-needed work plan reports, and report on project delays, risks, and issues that prevent adherence to scheduled activities.

Table - M&E Project Scheduler Mandatory Qualifications

| M&E Project Scheduler Mandatory Qualifications | | |
| --- | --- | --- |
| **Req#** | **Mandatory Qualifications** |
| ME-S38 | At minimum of three (3) years of experience using Microsoft Project 2013 or later versions to plan, develop, maintain, and report on highly complex integrated master schedules and work plans for a large and complex IT System project. |
| ME-S39 | A minimum of two (2) years of experience managing highly complex, integrated master schedules and work plans using industry best practices and standards (e.g., Institute of Electrical and Electronic Engineers, Project Management Body of Knowledge, and/or Software Engineering Institute). |
| ME-S40 | A minimum of two (2) years of experience with integrated and highly detailed work plans, utilizing project management best practice techniques and one or more of the following technology tools to incorporate different levels of progress in customized reports: Gantt, PERT, or milestone charts. |

## Maintenance and Enhancement Requirements

The Contractor will perform the services and produce the Deliverables specified in the M&E Requirements contained in ***Attachment B1– M&E Requirements Matrix,*** and ***Attachment B2 – M&E Deliverables***. A brief description of each task area is provided below.

### Task 1 – Maintenance and Enhancements Management

The Contractor will manage all Contractor work performed under this Agreement, including project management, work plan management, strategic planning, application and technical management, contract management, budget management, deliverable management, and staff management. The Contractor will comply with the CalSAWS Project Control Document (PCD) processes and procedures and will adhere to the Consortium’s operating policies and procedures.

The Contractor will execute services in accordance with the approved CalSAWS M&E Services Plan and the associated Operational Working Documents (OWDs) that provide the detailed procedures for the activities and processes contained in the M&E Services Plan.

The Contractor will work, coordinate, and collaborate with the Consortium and Consortium contractors in accomplishing the work defined in the Agreement.

### Task 2 - Maintenance and Enhancements System Change Requests

The Contractor will perform a range of System Change Request activities, including:

* Providing to the Consortium a Systems / Software Development Lifecycle (SDLC) methodology recommendation that reduces overall system change development and delivery timelines, while maintaining high-quality.
* Providing a focus on User Centered Design (UCD), that reduces the overall time and effort for the development and delivery of system changes, while maintaining high quality.
* Performing requirements capture and validation activities and delivering and maintaining the Requirements Traceability Matrix (RTM).
* Adhering to the Consortium’s Core Automation Principles and SCR development and delivery processes.
* Providing to the Consortium Test Team ongoing test planning and execution support services.
* Performing Implementation, Change Management, and Training activities related to SCR(s) Production delivery.
* Participating in production readiness activities, performing Production release activities, and production certification and post-deployment activities.

### Task 3 - Maintenance and Enhancements Support Services

The Contractor will support the Consortium in:

* Providing ongoing evaluations of statutory and/or regulatory changes impacting the CalSAWS system, including evaluating business and programming implications, schedules, and costs.
* Delivering, to designated Consortium staff, ongoing project-business tools training.

### Task 4 – Maintenance and Enhancements Application / Architecture Evolution

The Contractor will perform Application and Architecture Evolution activities to incorporate advances in computing technologies in support of the Consortium’s goal to maintain CalSAWS relevancy and manage increasing system complexity, including:

* Creating and delivering to the Consortium, an approach to evolve the CalSAWS application and architecture, migrating it from its current monolithic architecture to a scalable and dynamic, cloud-native application architecture.
* Managing the evolution and migration of CalSAWS from the existing Oracle stack to the new architecture, including dividing the application into feature modules, decoupling the database, and refactoring the application.
* Managing and maintaining the existing architecture and application during evolution and keeping platforms in sync.

### Task 5 – Maintenance and Enhancements Innovation Services

The Contractor will lead Innovation Initiatives and perform ongoing activities, including:

* Evaluating emerging technologies for opportunities to increase benefits to the Consortium.
* Engaging and preparing the Consortium Innovation Teams for Innovation activities.
* Creating and maintaining a Cloud Center of Excellence (CCOE).
* Managing Proof of Concepts (POC) and Initiative Pilots.

### Task 6 - Maintenance and Enhancements Production Operations

The Contractor will perform a range of ongoing operations activities, including:

* Maintaining Production application availability, providing support for automated deployments, and providing 24 hours a day, 7 days per week and 365 days per year monitoring (excluding CalSAWS holidays).
* Providing Tier 3 support for Managed Lobby Management devices, including creating and maintaining associated workstation images.
* Providing Tier 3 Central Contact Center application services including support of the AWS Connect-based contact center software, centralized and county unique IVR call flows and third-party applications for reporting, work force management and quality assurance.
* Performing batch processing support, including monitoring, troubleshooting, reporting, and escalating issues related to batch and interface processing.
* Providing Tier 3 Service Desk services for CalSAWS Users, including coordinating with Tier 1 and Tier 2 Service Desk.
* Performing Configuration Management, Capacity Planning, and Technical Change Management activities related to the CalSAWS System application.
* Monitoring CalSAWS Production availability and performance to verify and report performance and availability compliance with Service Level Agreements.

### Task 7 - Maintenance and Enhancements Technology Recovery

The Contractor will support the development of the CalSAWS Technology Recovery Plan; support the CalSAWS Infrastructure Contractor and CalSAWS AWS provider, as necessary, to re-establish the CalSAWS AWS environments and connected services; and restore and/or perform testing to validate the CalSAWS System application components. The CalSAWS Infrastructure Contractor will lead the Technology Recovery activities.

### Task 8 - Maintenance and Enhancements Security Requirements

The Contractor will perform security-related activities (administrative, technical, and physical) to protect the CalSAWS M&E assets and data from loss, misuse, unauthorized access, disclosure, alteration, and destruction, in compliance with the CalSAWS System Security Plan, and will adhere to the Consortium’s security policies and procedures.  Task 9 - Maintenance and Enhancements Transition-In Services

If an M&E Services transition is required, the successor Contractor has the overall responsibility for providing an orderly transition (takeover) that is transparent and minimizes disruption of service to all users of the system. During this period, the incumbent contractor and the successor Contractor will work in parallel. Successful transition results in the successor Contractor establishing a post transition operational baseline and assuming responsibility for providing M&E support as required under the Agreement. The successor Contractor must complete all Transition-In Services within 12 months from the Agreement Start Date.

Transition-In major activities include:

* Transition-In Planning and Reporting: The development and execution of the M&E Transition-In Management Plan (M&E TIMP) and Transition-In Work Plan. The M&E TIMP will be the governing document for the management and execution of the CalSAWS M&E Transition-In phase, and the Transition-In Work Plan details the schedule for Transition-In activities.
* Transition-In Service and Function Migration: The development and execution of a Service and Migration Plan for each major M&E Task Area. The Service and Function Migration Plan will identify, prepare, and implement Transition-In activities that allow for a smooth transition of responsibility for services, functions, and other transition components from the incumbent Contractor to the Contractor.
* Transition-In Training and Knowledge Transfer: The development and execution of a Training and Knowledge Transfer Plan to ensure all appropriate staff are trained to be ready to assume and fulfill the M&E support requirements.
* Transition-In Readiness Reviews: The execution of reviews with the Consortium for each Service or Function identified as part of the Service and Function Migration Plans to provide evidence that the Contractor is ready to assume operational control and responsibility for fulfilling M&E support requirements.
* Transition-In Test and Validation: The execution of activities that demonstrate that the Contractor is capable of successfully maintaining and operating M&E services, providing Service Desk Tier 3 support, and providing application and technical support services.

### Task 10 – Maintenance and Enhancements Transition-Out

Transition-Out involves identifying and implementing all the activities required to roll off the project by transitioning out and turning over all control and responsibility for M&E support and Consortium-owned resources, documentation, and knowledge to a successor Contractor or the Consortium.

Transition-Out major activities include:

* Transition-Out Planning: The development and execution of a Transition-Out Master Plan and Transition-Out Work Plan that identifies what items and components must be transitioned, the approach to be utilized for transitioning, how knowledge transfer will be conducted, and the schedule for Transition-Out activities.
* Transition-Out Training and Knowledge Transfer: The development and execution of Training and Knowledge Transfer activities as identified in the Transition-Out Master Plan. All training materials shall be based on the complete and current documentation required under the Agreement.
* Project Closeout: The development and execution of the CalSAWS M&E Agreement Closeout Plan to provide evidence that all Agreement terms and conditions have been fulfilled.

## Maintenance and Enhancements Deliverables

### Deliverable Process

The Contractor will perform Deliverable Management activities in accordance with the Consortium’s PCD. The process defines the use of a Deliverable Expectation Document (DED) when creating new Deliverables and submission, review, and approval process for new or updates to existing Deliverables. The PCD also defines the acceptance and rejection processes and the roles of the Consortium and Contractor.

***Attachment B2 – Maintenance and Enhancements Deliverable Inventory*** contains the inventory of M&E Deliverables required by this Agreement.

## Attachment B1 – Maintenance and Enhancements Requirements Matrix

## Attachment B2 – Maintenance and Enhancements Deliverable Inventory

Table 12 - Attachment B2 – Maintenance and Enhancements Deliverable Inventory

| **Req ID** | **Del ID** | **Deliverable**  **Name** | **Deliverable Description** | **New or Existing** | **Submission Frequency** | **Date of First Submission** |
| --- | --- | --- | --- | --- | --- | --- |
| *ME-1.1-03* |  | CalSAWS M&E Weekly Status Report | The Maintenance and Enhancements (M&E) Weekly Status Report will be developed using the CalSAWS Consortium Weekly Status Report Sample. | New | Weekly | Agreement Effective Date + 10 Business Days |
| *ME-1.1-07* |  | CalSAWS M&E Work Plan | The CalSAWS M&E Work Plan will be developed and updated in MS Project and will includes Tasks, Subtasks, planned durations, budgets, resources assignments, and schedule reports in accordance with the CalSAWS Work Plan Content Guidelines. Work Plan updates will include posting actual hours worked by Contractor staff. | New | Monthly | Transition-In Completion |
| *ME-1.2-01* |  | CalSAWS Annual Strategic Plan | The CalSAWS Annual Strategic Plan documents a “Future Vision” approach that will encompass a five (5) year planning window and will include the approach to optimizing resources and keeping CalSAWS relevant over the life of the contract, utilizing a comprehensive and collaborative planning of system and service modifications. | New | Annually | As defined in the CalSAWS M&E Work Plan |
| *ME-2.1-02* |  | Systems/Software Development Lifecycle (SDLC) Methodology  Recommendation | The Systems/Software Development Lifecycle Methodology (SDLC) documents the Contractor’s SDLC Methodology recommendation. The Contractor’s SDLC methodology is to be used in support of the following:   1. A Hybrid Waterfall/Agile solution process 2. A Traditional Waterfall process 3. An Agile process 4. User Experience Best Practices for each process 5. Documentation Best Practices for each process | New | One Time Submission |  |
| *ME-2.2-03* |  | System Requirements Document (SRD) | The System Requirements Document (SRD) summarizes the Contractor analysis and verification of the functional, technical, and training requirements for the System Change Request (SCR). | Existing | As Needed |  |
| *ME-2.2-05* |  | Requirements Traceability Matrix (RTM) and Report | The Requirements Traceability Matrix (RTM) and Report traces the path of each requirement through requirements ’modification activities, design coding, testing and production and includes any unresolved traceability issues. | Existing | As Needed |  |
| *ME-2.3-02* |  | CalSAWS M&E General Design Document | The CalSAWS M&E General Design Document (GDD) describes the features and functions of CalSAWS behavior as seen by an external observer, and containing the technical information and data needed for the design. | Existing | As Needed |  |
| *ME-2.3-04* |  | CalSAWS M&E Interface Control Document (ICD) | The CalSAWS M&E Interface Control Document (ICD) defines and specifies the interface requirements to be met by the participating systems. | Existing | As Needed |  |
| *ME-2.3-05* |  | CalSAWS M&E Interface Agreements | The CalSAWS M&E Interface Agreements documents file layouts, transactions frequencies, test procedures, security, and file transfer protocols between exchanging partners. | Existing | As Needed |  |
| *ME-2.3-08* |  | CalSAWS M&E Database Design Description (DDD) | The CalSAWS M&E Database Design Description (DDD) identifies the CalSAWS Application database-related information including, Entity Relationship Diagrams (ERD), database tables, data dictionary, Extract, physical database design and data mapping. The DDD serves as a source for database design maintenance, problem resolution and impact analysis. The DDD will include any modifications to the data dictionary, Entity Relationship Diagrams (ERD) and the physical database design.  The Contractor will provide a DDD that includes:   1. Database System Overview 2. Database Design Description 3. Maintenance Approach and Activities 4. System and component software requirements traceability 5. A consistent design description that will permit coding without the need for further information 6. Tables, stored procedures, functions, and database record updates based on interface designs and file processing 7. ERD 8. Data dictionaries that provide detailed information on each data element including table name, column name, column data type, source data elements and relationships 9. ERDs and table column lists that are generated using a data modeler tool 10. ERDs associated with the CalSAWS System design 11. Database schemas | New | As Needed | As defined in the CalSAWS M&E Work Plan |
| *ME-2.4-12* |  | Performance Test Materials Packet (Online/Batch) | The Performance Test Materials Packet (Online/Batch) provides the detailed manual and automated test activities which will be executed to validate performance will meet all performance requirements and contractual Service Level Agreements (SLA), including:  Test Schedule and Resourcing  Test Case Detail List:   1. Test Case ID 2. Test Case Name 3. Test Case Version 4. Test Scenario Inventory 5. Test Data, documents, and/or files to be used to meet test pre and post conditions 6. Interfaces to be tested (if applicable) 7. Batch jobs to be tested (if applicable) 8. Untestable Items 9. Test Materials Metrics:    * + - 1. Total number of planned test cases          2. Total number of requirements tested          3. Total number of untestable requirements 10. Expected Result(s) 11. Tester ID(s) | New | No later than ten (10) Business Days prior to the performance test date |  |
| *ME-2.4-13* |  | Performance Test Results Packet | The Performance Test Results Packet provides the detailed test execution results with accompanying evidence of the performance testing outcomes, including:   1. Performance Test Results by Test Scenario with Results Evidence 2. Automated Test Results by Test Scenario with Results Evidence | New | As Needed |  |
| *ME-2.8-02* |  | Certification of Successful Production Release | The Certification of Successful Production Release provides the Contractor’s verification and certification that the software was successfully promoted and installed into Production and will operate as designed. | New | As Needed |  |
| *ME-4.1-02* |  | Approach to Proposed Application and Architecture Evolution | CalSAWS Application and Architecture Evolution Approach will include:   1. Approach to Proposed Application and Architecture Evolution 2. Expected Outcomes and Improvements 3. Application 4. Processing timeframes 5. Performance 6. Maintenance 7. Phasing Strategy 8. Timeframes 9. Roll-back Approach | New | One Time Submission |  |
| *ME-6.1-07* |  |  |  |  |  |  |
| *ME-6.6-03* |  | CalSAWS M&E Monthly Operations Report | The CalSAWS M&E Monthly Operations Report will be developed using the CalSAWS Weekly Status Report Sample. | Existing | Monthly | Transition-In Completion + 1 Calendar Month |
| *ME-7.1-01* |  | Deliverable: CalSAWS Core System Application Recovery Plan | The CalSAWS Core System Application Recovery Plan will include:   1. Roles and responsibilities of Contractor, Consortium, Counties, and other CalSAWS contractors as applicable 2. Recovery Strategy - description of the portions of the plan that will be implemented based on various levels of incident severity, for example, minor interruption of service or total service failure 3. Backup and Offsite Storage Procedures - Backup and retention schedules and procedures 4. Core System Application Recovery Procedures - Operational procedures that will allow recovery to be achieved in a timely and orderly way 5. Testing - description of annual Core System Application recovery test(s) planning and execution methodology 6. Contact List(s) | New | As Needed | Transition-In Completion |
| *ME-7.1-05* |  | CalSAWS Core System Application Recovery Post Event Report | The CalSAWS Core System Application Recovery Post Event Report will include:   1. An assessment of the response to the incident and improvement opportunities 2. An assessment and recommendations for improvements to existing Core System recovery documentation 3. A report on performance against Service Level Agreements, recovery timeframes, and downtime metrics | New | As Needed, within 5 business days of service restoration after a declared disaster or emergency | Within 5 business days of service restoration after a declared disaster or emergency |
| *ME-7.1-06* |  | CalSAWS Core System Application Recovery Test Plan | The CalSAWS Core System Application Recovery Test Plan will include:   1. Test Overview and Scope 2. Roles and responsibilities of the Contractor, Consortium, and other CalSAWS Contractors as applicable 3. Test Objectives 4. Test Requirements 5. Test Activities and Schedule 6. Test Reporting Metrics to be collected | New | Semi-Annually | Within 30 calendars days of completion of the Core System Application Recovery Test |
| *ME-7.1-08* |  | CalSAWS Core System Application Recovery Test Report | The CalSAWS Core System Application Recovery Test Report will include:   1. Summary of Test 2. An assessment and recommendations for improvements to existing technology recovery documentation 3. A report on performance against Service Level Agreements and recovery timeframes | New | Semi-Annually, within 30 calendars days of completion of Core System Application Recovery Test | Within 30 calendars days of completion of the Core System Application Recovery Test |
| *ME-8.1-03* |  | System Security Plan | The System Security Plan will be completed by providing responses to each of the NIST 800-53 controls contained in the CalSAWS System Security Plan template (from the NIST 800-53 moderate baseline). | New | As Needed | As specified in the CalSAWS M&E Work Plan |
| *ME-9.1-01* |  | CalSAWS M&E Transition-In Master Plan (M&E TIMP) | The CalSAWS M&E Transition-In Master Plan (M&E TIMP) will include:   1. A description of the overall transition approach and process to be used to transition all components identified in the Agreement 2. Planned transition activities and tasks that includes the planning, implementing, executing, tracking, and reporting of the overall transition effort as well as for each transition component 3. Roles and responsibilities for implementing transition activities including the Contractor, the CalSAWS M&E contractor, the Consortium, the California Department of Technology, Office of Technology Services (CDT OTech), and the CalSAWS counties. For planning purposes, the Contractor will work with designated Consortium staff subject matter experts from CalSAWS and Consortium Project Office for issue resolution and coordination of activities required to support the transition 4. A description of how the Contractor will collaborate with the incumbent Contractor to plan for and carry out transition activities as well as what the Contractor requires of the incumbent Contractor regarding knowledge transfer, data/information, and support for mitigating risk 5. The procedures the Contractor will use to work with the incumbent Contractor to transfer control of all CalSAWS day-to-day responsibilities as identified in the incumbent Contractor's Closeout Plan 6. The procedures the Contractor will use to work with the incumbent Contractor to transfer all hardware and software license maintenance agreements as identified in the incumbent Contractor’s Closeout Plan 7. The approach to plan, develop and implement area specific Transition Test and Validation Plans which guides the Contractor, the Consortium, and the incumbent Contractor on completing specific test and validation activities 8. A Communication Management section that includes:    1. The communication approach and processes for communicating transition information to the Consortium, counties, business partners, and incumbent Contractor    2. The methods used to ensure timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of transitions information    3. Provisions for Contractor resources to attend meetings and provide status updates regarding the transition    4. A matrix of planned communications, which includes communication event, frequency, method, audience, sender, and author 9. A Quality Management section that includes: 10. The identification and approach for the Quality Assurance (QA) Team Organization, staffing, QA Team roles and responsibilities, QA processes, and QA reports that will be used to ensure that Transition-In activities are being accomplished. 11. The procedures the Contractor will use to describe how the Contractor’s QA Team will oversee implementation of all the tasks listed in the Agreement to ensure the tasks are performed in accordance with Agreement requirements, the M&E TIMP, as well as other required plans and reports. 12. The procedures the Contractor will use for conducting a gap analysis between the incumbent Contractor M&E activities and the Contractor's SOW and the format by which the Contractor will provide the Consortium Executive Director or designee with the results of the analysis and the integration of a get-well plan for gaps identified as part of the Transition Weekly Status Meetings and performance reporting activities. 13. The procedures the Contractor will use to assume responsibility for providing all missing M&E Operations activities identified in the gap analysis prior to the end of the Transition-In period or when agreed to by the Consortium Executive Director or designee. 14. A Risk Management section that includes:     1. The identification of how risks associated with Transition-In will be identified, tracked, and managed; as well as the approaches to mitigate risks.     2. The identification of risks inherent with the overall transition (e.g., risks related to duration and transition timing, risks inherent with the incumbent Contractor approach) and the Contractor's planned mitigation measures to ensure no disruption to CalSAWS services. 15. A Transition Training and Knowledge Transfer section that includes:     1. Knowledge transfer activities the Contractor requires to obtain knowledge from the incumbent Contractor.     2. Approach to conducting transition component readiness reviews to obtain approval for cutover. 16. A Transition-In Milestone Schedule Summary from the Transition-In Work Plan. | New | As Needed | Contract Start + 10 Business Days |
| *ME-9.1-03* |  | CalSAWS M&E Transition-In Organizational Change Management Plan | The Contractor will develop, deliver, maintain, and execute an M&E Transition-In Organizational Change Management Plan. This Deliverable will include:   1. Approach and Schedule 2. Roles and Responsibilities of the Contractor and the Consortium 3. Process and role gap analysis of existing workflow for roles that will be impacted by the transition 4. Gap Analysis between the existing environments and the new CalSAWS environment 5. Change Readiness Plan that must accurately include details regarding the change readiness process, inputs, and outputs; readiness criteria; assessment methods; and change readiness tools utilized 6. Communications Strategies | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.1-05* |  | CalSAWS M&E Services Plan | The CalSAWS M&E Services Plan will serve as the master plan for the services being delivered under the Agreement, and will include:   1. Project Management Support    1. Documentation Maintenance Plan    2. Annual Strategic Plan 2. Systems Maintenance and Enhancements    1. Software/System Development Lifecycle Cycle (SDLC) Plan and OCM Plan    2. Cost Estimation Methodology    3. Production Release Management Plan    4. System Requirements and Design Validation Plan    5. General Test Plan    6. Test Support Plan    7. Change Management / Training Plan 3. Application Evolution Plan 4. Approach to Innovation Plan 5. Production Operations 6. Technical Operations Support Plan 7. Batch and Interface Support Plan 8. Service Desk Support Plan 9. Contact Center Support Plan 10. Performance Monitoring and Reporting Plan 11. Technology Recovery Plan 12. Security Plan 13. Transition Out Plan | New (using existing as base) | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.1-05* |  | CalSAWS M&E Services Operational Working Documents (OWDs) | The CalSAWS M&E Services Operational Working Documents (OWDs) will contain the operational procedures for the services and activities defined in the CalSAWS M&E Services Plan. | New (using existing as base) | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.2-01* |  | CalSAWS M&E Transition-In Work Plan | The CalSAWS M&E Transition-In Work Plan will be developed in MS Project and will include:   1. All Transition-In activities and tasks which are expected to be completed by Contractor, Consortium, county, and incumbent Contractor staff in order to meet the estimated Transition-In schedule required by the M&E TIMP to allow for successful cutover to the Agreement. 2. Start and completion dates for all tasks. 3. Predecessor and successor dependencies for tasks without subtasks, and predecessor and successor dependencies for subtasks. 4. Resource assignments for tasks without subtasks, and resource assignments for subtasks. Resource assignments will include appropriate Contractor, Consortium, county, and incumbent Contractor resource assignments and estimated hours. 5. Estimated hours and durations for tasks without subtasks and estimated hours and durations for subtasks. 6. The Contractor will provide a CalSAWS M&E Transition-In Work Plan that identifies activities and tasks, including expected durations and completion dates, which are expected to be completed by Contractor, Consortium, county, and incumbent Contractor staff in order to meet the estimated Transition-In schedule. 7. The Contractor will provide an M&E Transition-In Work Plan that identifies activities and tasks, including expected durations and completion dates, which are expected to be completed by Contractor, Consortium, county, and incumbent Contractor Staff in order to meet the estimated Transition-In schedule. 8. All tasks in the Contractor’s M&E Transition-In Work Plan will have appropriate Contractor, Consortium, county, and incumbent Contractor resource assignments and estimated hours. Near term tasks (where near term is defined to be within 60 calendar days in the future) will have actual resource names assigned to the tasks. Tasks that are not classified as near term may have generic resource titles (e.g., such as a role, classification, or vacant position) assigned to the tasks. 9. The Contractor will document the duration of any single near-term task in the M&E Transition-In Work Plan, and it will not exceed ten (10) Business Days without prior approval of the Consortium Executive Director or designee. 10. Near term tasks in project work plans will be resource leveled with a maximum of 50 hours of assigned work per week for Contractor Staff and 35 hours per week maximum for Consortium, county, and incumbent Contractor Staff. | New | As Needed | Contract Start + 10 Business Days |
| *ME-9.4-01* |  | CalSAWS M&E Management Service and Function Migration Plan | The CalSAWS M&E Management Service and Function Migration Plan will include:   1. The approach, process, and procedures needed to assume responsibility for all services, functions, and other items identified as transition components. 2. Definition of roles and responsibilities for completing defined activities and tasks. 3. Definition for each transition component to be operationalized and cutover to the Contractor. 4. Identification of key high-level activities that must be accomplished to allow for a successful transition of the Transition Area services and functions. 5. Provisions for any facilities the Contractor is establishing to support a service or function required under this Agreement. 6. Identification of how Test Readiness Reviews will be planned and coordinated with the Consortium and in coordination with the incumbent Contractor's Transition Plan, to demonstrate readiness, provide evidence and confirmation that the Contractor is prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 7. Transition Implementation Readiness and Checklists, including readiness criteria metrics. 8. How training and knowledge transfer activities will occur (e.g., materials, courses, Question & Answer (Q&A) session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. 9. Entry and Exit Criteria for beginning and completion of Management transition implementation. 10. Cutover processes and procedures. 11. Definition of contingency plans to troubleshoot high risk transition activities. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.4-04* |  | CalSAWS M&E System Change Request (SCR) Service and Function Migration Plan | The Contractor will provide a CalSAWS M&E System Change Request (SCR) Service and Function Migration Plan that will include:   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken subsequent to successful testing/validation, needed to implement cutover. 3. Definition of the roles and responsibilities for completing defined activities and tasks. 4. A plan of the timing, audience, media, and message for communication events. 5. Definition of the measurements to validate or test the completion of transition of services or functions. 6. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan. 7. Identification of cutover activities and the target cutover date. 8. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 9. Definition of contingency plans to troubleshoot high risk transition activities. 10. Identification of what technical advice and assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise)   The Contactor will provide an M&E System Change Request (SCR) Service and Function Migration Plan that explains what the Contractor proposes to do to successfully assume complete and full operation of CalSAWS System Change Request (SCR)-related responsibilities including:   1. Explaining how the Contractor will demonstrate readiness, provide evidence and confirmation that they are prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 2. Establishing an approach, process, and procedures needed to cutover and assume responsibility for all services, functions, and activities identified as transition components.   The Contractor will provide an approved System Change Request (SCR) Service and Function Migration Plan that explains how training and knowledge transfer activities will occur (e.g., materials, courses, Q&A session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.4-06* |  | CalSAWS M&E Support Service and Function Migration Plan | The Contractor will provide a CalSAWS M&E Support Service and Function Migration Plan that will include:   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken subsequent to successful testing/validation, needed to implement cutover. 3. Definition of the roles and responsibilities for completing defined activities and tasks. 4. A plan of the timing, audience, media, and message for communication events. 5. Definition of the measurements to validate or test the completion of transition of services or functions. 6. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan. 7. Identification of cutover activities and the target cutover date. 8. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 9. Definition of contingency plans to troubleshoot high risk transition activities. 10. Identification of what technical advice and assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise)   The Contactor will provide an  M&E Support Service and Function Migration Plan that explains what the Contractor proposes to do to successfully assume complete and full operation of CalSAWS M&E Support-related responsibilities including:   1. Explaining how the Contractor will demonstrate readiness, provide evidence and confirmation that they are prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 2. Establishing an approach, process, and procedures needed to cutover and assume responsibility for all services, functions, and activities identified as transition components.   The Contractor will provide an M&E Support Service and Function Migration Plan that explains how training and knowledge transfer activities will occur (e.g., materials, courses, Q&A session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.4-07* |  | CalSAWS M&E Application Evolution Service and Function Migration Plan | The Contractor will provide a CalSAWS  M&E Application Evolution Service and Function Migration Plan that will include:   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken subsequent to successful testing/validation, needed to implement cutover. 3. Definition of the roles and responsibilities for completing defined activities and tasks. 4. A plan of the timing, audience, media, and message for communication events. 5. Definition of the measurements to validate or test the completion of transition of services or functions. 6. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan. 7. Identification of cutover activities and the target cutover date. 8. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 9. Definition of contingency plans to troubleshoot high risk transition activities. 10. Identification of what technical advice and assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise)   The Contactor will provide an M&E Application Evolution Service and Function Migration Plan that explains what the Contractor proposes to do to successfully assume complete and full operation of Application Evolution-related responsibilities including:   1. Explaining how the Contractor will demonstrate readiness, provide evidence and confirmation that they are prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 2. Establishing an approach, process, and procedures needed to cutover and assume responsibility for all services, functions, and activities identified as transition components.   The Contractor will provide an M&E Application Evolution Service and Function Migration Plan that explains how training and knowledge transfer activities will occur (e.g., materials, courses, Q&A session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.4-08* |  | CalSAWS M&E Innovation Service and Function Migration Plan | The Contractor will provide a CalSAWS M&E Innovation Service and Function Migration Plan that will include:   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken subsequent to successful testing/validation, needed to implement cutover. 3. Definition of the roles and responsibilities for completing defined activities and tasks. 4. A plan of the timing, audience, media, and message for communication events. 5. Definition of the measurements to validate or test the completion of transition of services or functions. 6. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan. 7. Identification of cutover activities and the target cutover date. 8. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 9. Definition of contingency plans to troubleshoot high risk transition activities. 10. Identification of what technical advice and assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise)   The Contactor will provide an M&E Innovation Service and Function Migration Plan that explains what the Contractor proposes to do to successfully assume complete and full operation of Innovation-related responsibilities including:   1. Explaining how the Contractor will demonstrate readiness, provide evidence and confirmation that they are prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 2. Establishing an approach, process, and procedures needed to cutover and assume responsibility for all services, functions, and activities identified as transition components   The Contractor will provide an M&E Innovation Service and Function Migration Plan that explains how training and knowledge transfer activities will occur (e.g., materials, courses, Q&A session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.4-09* |  | CalSAWS M&E Production Operations Service and Function Migration Plan | The Contractor will provide a CalSAWS M&E Production Operations Service and Function Migration Plan that will include:   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken subsequent to successful testing/validation, needed to implement cutover. 3. Definition of the roles and responsibilities for completing defined activities and tasks. 4. A plan of the timing, audience, media, and message for communication events. 5. Definition of the measurements to validate or test the completion of transition of services or functions. 6. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan. 7. Identification of cutover activities and the target cutover date. 8. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 9. Definition of contingency plans to troubleshoot high risk transition activities. 10. Identification of what technical advice and assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise)   The Contactor will provide an M&E Production Operations Service and Function Migration Plan that explains what the Contractor proposes to do to successfully assume complete and full operation of CalSAWS Production Operation-related responsibilities including:   1. Explaining how the Contractor will demonstrate readiness, provide evidence and confirmation that they are prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 2. Establishing an approach, process, and procedures needed to cutover and assume responsibility for all services, functions, and activities identified as transition components.   The Contractor will provide an M&E Production Operations Service and Function Migration Plan that explains how training and knowledge transfer activities will occur (e.g., materials, courses, Q&A session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.4-10* |  | CalSAWS M&E Technology Recovery Service and Function Migration Plan | The Contractor will provide a CalSAWS M&E Technology Recovery Service and Function Migration Plan that will include:   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken subsequent to successful testing/validation, needed to implement cutover. 3. Definition of the roles and responsibilities for completing defined activities and tasks. 4. A plan of the timing, audience, media, and message for communication events. 5. Definition of the measurements to validate or test the completion of transition of services or functions. 6. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan. 7. Identification of cutover activities and the target cutover date. 8. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 9. Definition of contingency plans to troubleshoot high risk transition activities. 10. Identification of what technical advice and assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise)   The Contactor will provide an M&E Technology Recovery Service and Function Migration Plan that explains what the Contractor proposes to do to successfully assume complete and full operation of CalSAWS Business Continuity and Disaster Recovery-related responsibilities including but not limited to:   1. Explaining how the Contractor will demonstrate readiness, provide evidence and confirmation that they are prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 2. Establishing an approach, process, and procedures needed to cutover and assume responsibility for all services, functions, and activities identified as transition components.   The Contractor will provide an M&E Technology Recovery Service and Function Migration Plan that explains how training and knowledge transfer activities will occur (e.g., materials, courses, Q&A session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.4-11* |  | CalSAWS M&E Security Service and Function Migration Plan | The Contractor will provide an CalSAWS M&E  Security Service and Function Migration Plan that will include:   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken subsequent to successful testing/validation, needed to implement cutover. 3. Definition of the roles and responsibilities for completing defined activities and tasks. 4. A plan of the timing, audience, media, and message for communication events. 5. Definition of the measurements to validate or test the completion of transition of services or functions. 6. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan. 7. Identification of cutover activities and the target cutover date. 8. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 9. Definition of contingency plans to troubleshoot high risk transition activities. 10. Identification of what technical advice and assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise)   The Contactor will provide an M&E  Security Service and Function Migration Plan that explains what the Contractor proposes to do to successfully assume complete and full operation of CalSAWS Security-related responsibilities including:   1. Explaining how the Contractor will demonstrate readiness, provide evidence and confirmation that they are prepared to accept responsibility, and obtain Consortium approval to do so with an effective date. 2. Establishing an approach, process, and procedures needed to cutover and assume responsibility for all services, functions, and activities identified as transition components.   The Contractor will provide an M&E Security Service and Function Migration Plan that explains how training and knowledge transfer activities will occur (e.g., materials, courses, Q&A session preparation, dates, times, participants) to familiarize the Consortium staff with all of the Contractor’s operations, processes, and tools. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.5-01* |  | CalSAWS M&E Transition-In Training and Knowledge Transfer Plan | The Contractor will provide a CalSAWS M&E Transition-In Training and Knowledge Transfer Plan that describes training and knowledge transfer expectations and planning, and for the transition period. This plan must include different perspectives, including:   1. The knowledge transfer activities that Contractor staff will require from the incumbent Contractor in order to prepare for the assumption of a given service or function identified in the Contractor's M&E TIMP. 2. Training that the Contractor conducts internally to prepare their staff to implement activities, processes, and procedures needed to provide support for a given service or function identified in the Contractor's M&E TIMP. 3. Training of Consortium staff regarding the Contractor's transition approach, processes, activities, and tools for managing the transition effort and reporting status. 4. Training of Consortium staff regarding changes to services/functions and to service delivery means. 5. Knowledge transfer and internal training exercises that will be conducted to equip and verify the Contractor’s staff can implement the activities, processes, and procedures needed to provide support for each given service or function identified in the Contractor's M&E TIMP.   The Contractor will provide an M&E Transition-In Training and Knowledge Transfer Plan which serves as the single source of planning for training and knowledge transfer expectations during the transition period so that upon transition completion, Contractor staff is equipped to perform the services, functions, and performance requirements of the Agreement. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-9.7-01* |  | CalSAWS M&E Transition-In Test and Validation Plan | The Contractor will provide a CalSAWS M&E Transition Test and Validation Plan will contain a separate section for each Service and Function Area. Each section will include:   1. Identification of what transition component (functions or services) require testing or validation. 2. Description of how to determine what transition components require formal testing versus validation. 3. Identification and documentation of the approach and methods to be used to validate such as checklists or demonstrations. 4. A test and validation work plan to schedule, monitor, and report the progress of all test and validation activities. | New | As Needed | As defined in the CalSAWS M&E Transition-In Work Plan |
| *ME-10.1-07* |  | CalSAWS M&E Transition-Out Master Plan | The CalSAWS M&E Transition-Out Master Plan will include:   1. A detailed CalSAWS Maintenance and Enhancement Transition-Out Work Plan reflecting all tasks and Deliverables to be completed. 2. Narrative describing each task and Deliverable. 3. Contractor, Consortium staff, and successor contractor roles and responsibilities. 4. Narrative describing how the Contractor will plan, organize, communicate, implement, monitor, and report the status of all Transition-Out activities. 5. Provisions for supporting transition and cutover of services and functions to a successor contractor or the Consortium. 6. A Transition-Out Knowledge Transfer and Training Plan detailing the approaches and methodologies the Contractor will employ to transfer knowledge to Consortium staff and/or a prospective successor contractor. 7. Schedule of planned knowledge transfer sessions and demonstrations. 8. Number of staff to be included in knowledge transfer sessions per topic area. 9. Knowledge transfer topics with knowledge transfer objective descriptions and summaries for each topic. 10. Length and location of each knowledge transfer session. 11. Narrative of applicable lessons learned from the Transition-In activities | New | As Needed | As defined in the CalSAWS M&E Transition-Out Work Plan |
| *ME-10.2-01* |  | CalSAWS M&E Transition-Out Work Plan | The CalSAWS M&E Transition-Out Work Plan will be developed in MS Project and will include:   1. All Transition-Out activities and tasks which are expected to be completed by Contractor, Consortium, county, and incumbent Contractor staff in order to meet the estimated Transition-In schedule required by the TIMP to allow for successful cutover to the Agreement. 2. Start and completion dates for all tasks. 3. Predecessor and successor dependencies for tasks without subtasks, and predecessor and successor dependencies for subtasks. 4. Resource assignments for tasks without subtasks, and resource assignments for subtasks. Resource assignments will include appropriate Contractor, Consortium, county, and incumbent Contractor resource assignments and estimated hours. 5. Estimated hours and durations for tasks without subtasks and estimated hours and durations for subtasks. | New | As Needed r | As defined in the CalSAWS M&E Transition-Out Work Plan |
| *ME-10.3-02* |  | CalSAWS M&E Transition-Out Documentation and Deliverables Assessment | The CalSAWS M&E Transition-Out Documentation and Deliverables Assessment will include:   1. The results of a complete and comprehensive review and evaluation of all M&E documentation to identify documentation that requires updates or revisions, including the following: 2. All Contractor Deliverables 3. All policies and procedures related to the provision of services under this Agreement 4. Any other documentation that would facilitate successor contractors’ understanding of overall application development, technical batch and on-line operations and services, application baseline code and coding standards, configuration management technical practices, and software needs to maintain and operate the current CalSAWS System. 5. The archiving, central storing, and file location listing of all documentation included in the inventory and assessment | New | As Needed | As defined in the CalSAWS M&E Transition-Out Work Plan |
| *ME-10.4-01* |  | CalSAWS M&E Agreement Closeout Plan | The CalSAWS M&E Agreement Closeout Plan will include:   1. The overall strategy for closing out the Agreement. 2. The overall strategy and approach to complete other schedule-related tasks (related to closeout) identified in any of the other Work Plans developed by the Contractor under this Agreement. 3. A list of deficiency items from the Consortium’s Deficiency & Issue tracking systems that will be updated by the Contractor as condition for completion for Agreement closeout. 4. A list of outstanding action items or tasks from meeting minutes or other Management tracking systems. 5. A list of outstanding actions for the Consortium to resolve in order for the Contractor to complete the Agreement closeout. 6. A list of all outstanding tasks and work required per the approved M&E Work Plan. 7. A timeline (schedule) for completing Agreement Closeout activities. 8. Any other items deemed relevant to the clarification of expectations for Contractor closeout. | New | As Needed | As defined in the CalSAWS M&E Transition-Out Work Plan |
| *ME-10.4-03* |  | CalSAWS M&E Final Project Closeout Report | The CalSAWS M&E Final Project Closeout Report will include:   1. Executive Summary: Scope, Schedule, Budget: Plan vs. Actuals 2. Summaries by SOW Task Area: Management, Technical Infrastructure Support, Innovations and Modernization Support, Production Operations, Business Continuity/Disaster Recovery, and Security 3. Key Best Practices and Lessons Learned 4. Administrative Closure 5. Agreement Closure | New | As Needed | As defined in the CalSAWS M&E Transition-Out Work Plan |

## Attachment B3 – CalSAWS RACI

RACI to be developed.