Table of Contents – CalSAWS Maintenance and Enhancement Requirements

[SOW Task Area: 1. Management Requirements (31 Requirements) 3](#_Toc91067039)

[SubTask: 1.1 Project Management (29 Requirements) 3](#_Toc91067040)

[SubTask: 1.2 Application Maintenance and Enhancement Strategic Planning (2 Requirements) 7](#_Toc91067041)

[SOW Task Area: 2. System Change Request (SCR) Requirements (60 Requirements) 8](#_Toc91067042)

[SubTask: 2.1 SCR Process (9 Requirements) 8](#_Toc91067043)

[SubTask: 2.2 System Requirements Capture and Validation (5 Requirements) 9](#_Toc91067044)

[SubTask: 2.3 System Design and Validation (8 Requirements) 10](#_Toc91067045)

[SubTask: 2.4 Test Planning, Executing and Reporting (15 Requirements) 12](#_Toc91067046)

[SubTask: 2.5 Test Support Services (7 Requirements) 15](#_Toc91067047)

[SubTask: 2.6 Change Management and Training (7 Requirements) 17](#_Toc91067048)

[SubTask: 2.7 Production Readiness and Green Light (5 Requirements) 18](#_Toc91067049)

[SubTask: 2.8 Deployment (4 Requirements) 19](#_Toc91067050)

[SOW Task Area: 3. M&E Support Services Requirements (10 Requirements) 21](#_Toc91067051)

[SubTask: 3.1 Support Services (10 Requirements) 21](#_Toc91067052)

[SOW Task Area: 4. Application / Architecture Evolution Requirements (7 Requirements) 23](#_Toc91067053)

[SubTask: 4.1 Application/Architecture Evolution (7 Requirements) 23](#_Toc91067054)

[SOW Task Area: 5. Innovation Services Requirements (6 Requirements) 24](#_Toc91067055)

[SubTask: 5.1 Innovation (6 Requirements) 24](#_Toc91067056)

[SOW Task Area: 6. Production Operations Requirements (54 Requirements) 25](#_Toc91067057)

[SubTask: 6.1 Daily Operations (15 Requirements) 25](#_Toc91067058)

[SubTask: 6.2 Batch and Interface Operations (7 Requirements) 27](#_Toc91067059)

[SubTask: 6.3 Service Desk Tier 3 (9 Requirements) 29](#_Toc91067060)

[SubTask: 6.4 Contact Center Tier 3 (5 Requirements) 30](#_Toc91067061)

[SubTask: 6.5 Production Operations Support Services (9 Requirements) 31](#_Toc91067062)

[SubTask: 6.6 Performance Monitoring and Alerting (9 Requirements) 32](#_Toc91067063)

[SOW Task Area: 7. Technology Recovery Requirements (12 Requirements) 34](#_Toc91067064)

[SubTask: 7.1 Technology Recovery (8 Requirements) 34](#_Toc91067065)

[SubTask: 7.2 Backup and Restoration (4 Requirements) 35](#_Toc91067066)

[SOW Task Area: 8. Security Requirements (65 Requirements) 36](#_Toc91067067)

[SubTask: 8.1 Governance and Risk Management (7 Requirements) 36](#_Toc91067068)

[SubTask: 8.2 Change Control and Configuration Management (5 Requirements) 37](#_Toc91067069)

[SubTask: 8.3 Infrastructure and Virtualization Security (7 Requirements) 38](#_Toc91067070)

[SubTask: 8.4 Threat and Vulnerability Management (2 Requirements) 39](#_Toc91067071)

[SubTask: 8.5 Security Incident Management, E-Discovery, and Cloud Forensics (2 Requirements) 39](#_Toc91067072)

[SubTask: 8.6 Data Security and Information Lifecycle Management (8 Requirements) 40](#_Toc91067073)

[SubTask: 8.7 Identity and Access Management (9 Requirements) 41](#_Toc91067074)

[SubTask: 8.8 Interoperability and Portability (2 Requirements) 43](#_Toc91067075)

[SubTask: 8.9 Application and Interface Security (3 Requirements) 43](#_Toc91067076)

[SubTask: 8.10 Datacenter Security (6 Requirements) 44](#_Toc91067077)

[SubTask: 8.11 Encryption & Key Management (5 Requirements) 45](#_Toc91067078)

[SubTask: 8.12 Human Resources (9 Requirements) 46](#_Toc91067079)

[SOW Task Area: 9. Transition-In Requirements (39 Requirements) 48](#_Toc91067080)

[SubTask: 9.1 Transition-In Planning (5 Requirements) 48](#_Toc91067081)

[SubTask: 9.2 Transition-In Work Plan (3 Requirements) 49](#_Toc91067082)

[SubTask: 9.3 Transition-In Meetings and Reporting (8 Requirements) 49](#_Toc91067083)

[SubTask: 9.4 Transition-In Service and Function Migration (12 Requirements) 52](#_Toc91067084)

[SubTask: 9.5 Transition-In Training and Knowledge Transfer (3 Requirements) 54](#_Toc91067085)

[SubTask: 9.6 Transition-In Readiness Reviews (5 Requirements) 56](#_Toc91067086)

[SubTask: 9.7 Transition-In Test and Validation (3 Requirements) 57](#_Toc91067087)

[SOW Task Area: 10. Transition-Out Requirements (33 Requirements) 59](#_Toc91067088)

[SubTask: 10.1 Transition-Out Planning (22 Requirements) 59](#_Toc91067089)

[SubTask: 10.2 Transition-Out Work Plan (2 Requirements) 61](#_Toc91067090)

[SubTask: 10.3 Transition-Out Training and Knowledge Transfer (6 Requirements) 62](#_Toc91067091)

[SubTask: 10.4 Project Close Out (3 Requirements) 63](#_Toc91067092)

# SOW Task Area: 1. Management Requirements (31 Requirements)

## SubTask: 1.1 Project Management (29 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will provide project and technical management for all of the activities defined in this Agreement and detailed in the CalSAWS Maintenance and Enhancement (M&E) Services Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, including:   1. Planning, controlling, and reporting on the work 2. Leading the M&E (including transition) activities |  | DDI Exhibit A SOW Subtask 2.21, 3,2,21  CalSAWS Maintenance & Operations (M&O) Services Plan  CalSAWS Project Control Document (PCD) |
|  | The Contractor will perform project management activities in accordance with the processes documented in the CalSAWS Project Control Document (PCD), including:   1. Status reporting 2. Configuration Management 3. Communications Management 4. Deficiency Management 5. Quality Management 6. Risk and Issue Management 7. Contractor Staffing and Resource Management |  | CalSAWS Project Control Document (PCD) |
|  | The Contractor will develop and deliver a CalSAWS M&E Weekly Status Report based on the Weekly Status Report template provided in the Procurement Library, incorporating template and content changes as requested by the Consortium. | CalSAWS M&E Weekly Status Report | Weekly Status Report Sample |
|  | The Contractor will maintain and execute the CalSAWS M&E Services Plan. Note: The initial delivery of the CalSAWS M&E Services Plan is included in Subtask 9.1 Transition-In Planning. |  | CalSAWS M&O Services Plan |
|  | The Contractor will maintain and execute the CalSAWS M&E Services Operational Working Documents (OWDs) that provide the detailed procedures for the activities and processes contained in the CalSAWS M&E Services Plan. Note: The initial delivery of the CalSAWS M&E Services OWDs is included in Subtask 9.1 Transition-In Planning. |  | CalSAWS M&O Services Plan |
|  | The Contractor will perform staffing management processes for Contractor staff located at the Project Office, in accordance with the processes in the CalSAWS PCD. |  |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Work Plan that includes the activities performed by Contractor staff, in accordance with the CalSAWS Work Plan Content Guidelines. | CalSAWS M&E Work Plan | CalSAWS Work Plan Content Guidelines |
|  | The Contractor will work with the Consortium, and other CalSAWS contractors as applicable, to integrate the CalSAWS M&E Work Plan (including updates) into the CalSAWS Maintenance and Operations Master Work Plan. |  |  |
|  | The Contractor will develop, deliver, and maintain a CalSAWS M&E Organization Chart and Contact List that includes all Contractor staff providing services under this Agreement, including:  1. A graphical representation of the Contractor’s organization at summary and detailed levels (with details down to each individual), which also depicts Contractor Key Staff with their Consortium staff counterparts.  A Contact List that specifies the name, role, physical location, email address and telephone number for all Contractor staff.The Contractor will provide updated versions on a monthly basis to reflect changes. |  |  |
|  | The Contractor will provide data, and supporting back-up detail, related to this Agreement, as requested by the Consortium. |  |  |
|  | The Contractor will provide billing forecasts on a monthly basis, as determined by the Consortium, using the Billing Forecast Template, indicating the invoicing and billing schedule for this Agreement by month and state and federal fiscal years. |  | Billing Forecast Template |
|  | The Contractor will participate in standing management and committee meetings, in addition to meetings included in the CalSAWS PCD, as directed by the Consortium, including the Joint Powers Authority Board of Directors, Project Steering Committee and Weekly Management meetings. |  |  |
|  | The Contractor is responsible for scheduling, tracking, documenting, recording, and sharing agendas and minutes for any and all meetings planned and conducted as part of the performance of services under this Agreement. |  |  |
|  | The Contractor will provide all information requested by the Consortium in response to audit requests and reviews in the timeframe and format prescribed by the Consortium. |  |  |
|  | The Contractor will participate in audit activities, SOC1, SOC 2 Type 2, NIST and Financial as required by the Consortium. |  | Sample Request List: CalSAWS SOC 1 Audit |
|  | The Contractor will provide copies of specified, available work products/artifacts upon the request of and in the timeframe specified by the Consortium. |  |  |
|  | The Contractor will utilize the tools documented as “Mandatory” for the functions specified in the CalSAWS Consortium Tool List in the performance of this Agreement. |  | CalSAWS Consortium Tool List |
|  | The Contractor may propose, for the Consortium’s consideration, additional or alternate tools for those tools not designated as “Mandatory” in the CalSAWS Consortium Tool List. Any additional or alternate tool purchase/use is subject to Consortium review and approval. |  | CalSAWS Consortium Tool List |
|  | The Contractor will make recommendations, on an on-going basis, for improvements to the CalSAWS processes and tools to enhance service delivery and/or optimize costs; implementation of changes is subject to Consortium review and approval. |  |  |
|  | The Contractor will supplement existing Contractor staff assigned to this Agreement on an event-driven basis as needed, including providing short-term or specialized subject matter expertise. |  |  |
|  | The Contractor will use the Consortium’s AWS Cloud cost monitoring tools to control and report costs for all of the activities defined in this Agreement. |  | CalSAWS FinOps Meeting Process |
|  | The Contractor will establish cost controls and recommend cost saving and optimization strategies on a semi-annual basis (at a minimum), including AWS expenditures, for Consortium consideration. |  |  |
|  | The Contractor will participate in and support Organizational Change Management activities led by the Consortium or other CalSAWS contractors, as directed by the Consortium. |  |  |
|  | The Contractor will be an active participant and collaborate with the Consortium and other CalSAWS contractors to plan, develop, facilitate, participate, and host the Consortium’s Cultural Transformation Initiatives. Examples of the Project’s Cultural Transformation Initiatives are the Cultural Ambassador Initiative, Inclusion, Diversity, Equity, Advancement (IDEA), Mentor/Mentee Buddy Program, Table Talk Sessions, Feedback Friday, and the CalSAWS Connect Newsletter. |  | Artifacts from each initiative best demonstrating mission, tasks, level of effort |
|  | The Contractor will provide Contractor staff and secure leading industry experts to contribute to the Consortium’s Cultural Transformation initiatives, as requested by the Consortium. |  |  |
|  | The Contractor will provide and use a structured approach for estimating costs for potential system technology changes, proofs of concepts and System Change Requests (SCR). The solution must provide visibility into the supporting price details including factors such as complexity, level of effort, resource types, named key staff and required hardware and software. The solution must also support input of component prices from multiple vendor sources. |  |  |
|  | On a monthly basis, the Contractor will track and report the actual hours of each SCR and the cumulative hours of all SCRs in the format specified by the Consortium. |  |  |
|  | The Contractor will, at the request of the Consortium, provide recommendations for continuous process improvement and innovation in reporting and dashboard technologies and designs. |  |  |
|  | The Contractor will provide system data to State and federal agency sponsors on an “on-demand” basis, in the timeframe and format prescribed by the Consortium. This provision will include the evaluation of the required system data for review with the Consortium. |  |  |

## SubTask: 1.2 Application Maintenance and Enhancement Strategic Planning (2 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, maintain, and execute, in consultation and collaboration with the Consortium and stakeholders, a CalSAWS Annual Strategic Plan. The CalSAWS Annual Strategic Plan reflects a “Future Vision” approach that will encompass a five (5) year planning window. | CalSAWS Annual Strategic Plan |  |
|  | The Contractor will take a lead role in coordinating and building relationships with partners, sponsors, and stakeholders to create an environment where the strategic planning methodology results in buy-in with all stakeholder groups. |  |  |

# SOW Task Area: 2. System Change Request (SCR) Requirements (60 Requirements)

## SubTask: 2.1 SCR Process (9 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will perform SCR Process activities, in cooperation and coordination with the Consortium and other contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will recommend, to the Consortium, a Systems / Software Development Lifecycle (SDLC) Methodology or combination of methodologies, specifically a hybrid Waterfall/Agile methodology with documentation best practices and user experience best practices, that reduces the overall time and effort for the development and delivery of system changes while maintaining quality. | Systems/Software Development Lifecycle (SDLC) Methodology Recommendation |  |
|  | The Contractor will develop, implement and maintain an annual System Change Request (SCR) production release schedule. The Contractor will make the necessary adjustments at the Consortium’s request for modifications to the production release schedule to address specific priorities or issues. |  |  |
|  | The Contractor will follow the Production Release Planning and Management procedures in accordance with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will develop and implement modifications to the CalSAWS application in accordance with the Consortium’s Core Automation Principles. |  | DDI Exhibit A Statement of Work Task 3.1.2  SubTask 1.2 Change Management Plan  CalSAWS Handbook 2021-09.22 |
|  | |  |  |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | The Contractor will develop and implement modifications to the  CalSAWS application in accordance with the Americans with  Disabilities Act (ADA) Standards for Accessible Design, including  compliance with Section 508 of the Rehabilitation Act. |  |  |  |  |  |  |  |  |  |  | |  |  |
|  | The Contractor will, in partnership with the Consortium Design Team, review and perform a system and cross functional impact analysis and provide input to draft SCRs to improve development outcomes and the accuracy of cost estimates. The elements of the SCR automated template include:   1. Detailed Description of Current Design 2. Detailed description of the Requested Change 3. Supporting design artifacts such as Functional Design Documents for Correspondence, ICDs for interfaces 4. Estimate of Change 5. A list of the functional areas impacted 6. Assumptions 7. Regression test 8. Test requirements, including environments 9. Test support to Consortium and counties 10. Training requirements 11. Target Release Schedule |  | CalSAWS JIRA SCR template screen shot  CalSAWS Handbook 2021-09.22 |
|  | The Contractor will obtain SCR approval from the Consortium prior to initiating SCR activities. |  |  |
|  | The Contractor will recommend and implement improvements to the existing SCR processes as discovered and/or as directed by the Consortium, with the outcome that changes are more quickly promulgated to the production environment, maintaining a quality delivery. |  | CalSAWS Handbook 2021-09.22 |

## SubTask: 2.2 System Requirements Capture and Validation (5 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will perform requirements capture and validation activities, in cooperation and coordination with the Consortium and other contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will capture a complete set of functional and technical requirements that will serve as the basis for the SCR design and development change(s). |  |  |
|  | The Contractor will adopt, enhance, and deliver the System Requirements Document (SRD) as the system is enhanced, or new functionality or user design improvements are added. | System Requirements Document (SRD) | DDI Exhibit A (Statement of Work)  SubTask 3.3.2 |
|  | The Contractor will record and keep current all requirements in “*Name of Tool”***,** the requirements traceability and verification tool which is part of the Integrated Development Environment (IDE). |  | RTM tool referenced in the IDE |
|  | The Contractor will update and deliver the Requirements Traceability Matrix (RTM) and Report that includes any unresolved traceability issues. | Requirements Traceability Matrix (RTM) and Report | DDI Exhibit A (Statement of Work)  SubTask 3.3.2  SubTask 3.3.2.2  Requirements Traceability Tool referenced in the IDE  RTM Report Template |

## SubTask: 2.3 System Design and Validation (8 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will perform design specification and validation activities, in cooperation and coordination with the Consortium and other contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will adopt, enhance, maintain, and deliver the CalSAWS M&E General Design Document. | CalSAWS M&E General Design Document | DDI Exhibit A (Statement of Work)  SubTask 3.4  Deliverable list  CalSAWS DDI General Design Document |
|  | The Contractor will validate updates to the CalSAWS M&E General Design Document, and trace back to the CalSAWS M&E System Requirements Document (SRD), as documented in the Requirements Traceability Matrix (RTM). |  | CalSAWS DDI General Design Document  System Requirements Document (SRD)  Requirements Traceability Matrix (RTM)Template  DDI Exhibit A Deliverable list |
|  | The Contractor will adopt, enhance, maintain, and deliver the Interface Control Documents (ICD) for each external interface. | CalSAWS M&E Interface Control Document (ICD) | DDI Exhibit B Section 4 (Summary of Required CalSAWS Interfaces), DDI Exhibit B  Exhibit A SOW Task 3.8.7  SubTask 8.7 Interfaces  CalSAWS DDI ICD |
|  | The Contractor will adopt, enhance, maintain, and deliver an Interface Agreement for each entity, including State and County partners, with which the CalSAWS system interfaces. | CalSAWS M&E Interface Agreement | CalSAWS M&O or M&E Interface Agreement Template |
|  | The Contractor will work in partnership with the Consortium and external interface entities to plan, engage and collaborate in the design and testing of the interfaces and/or interface file changes. |  | DDI Exhibit B Section 4 (Summary of Required CalSAWS Interfaces),  Table 1: *Summary of Required Interfaces,* dated 8/16/19  Exhibit A SOW Task 3.8.7  SubTask 8.7 Interfaces |
|  | The Contractor will implement each interface between the CalSAWS system and each external system in accordance with the ICD for that interface. |  | DDI Exhibit B Section 4 (Summary of Required CalSAWS Interfaces), DDI Exhibit B  Exhibit A SOW Task 3.8.7  SubTask 8.7 Interfaces |
|  | The Contractor will develop, deliver, and maintain the CalSAWS M&E Database Design Description (DDD), which identifies the application database-related information. | CalSAWS M&E Database Design Description (DDD) |  |

## 

## SubTask: 2.4 Test Planning, Executing and Reporting (15 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will manage and execute the Test Planning, Executing, and Reporting activities, in cooperation and coordination with the Consortium and other contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  | DDI Exhibit A (SOW) Section 3.9  SubTask 3.9.1.1  Master Test Plan  Subtask 3.9.2 Integration and System Testing  CalSAWS M&O Master Test Plan  CalSAWS Consortium Test Framework |
|  | The Contractor will perform functional and non-functional testing including:   1. Unit 2. Integration 3. System 4. Sanity 5. Smoke 6. Interface and API 7. Regression 8. Performance 9. Load 10. Stress 11. Volume 12. Compatibility 13. Americans with Disability Act (ADA) Compliance 14. Automated System and Regression |  | DDI Exhibit A (SOW) Section 3.9  SubTask 3.9.1.1  Master Test Plan  Subtask 3.9.2 Integration and System Testing |
|  | The Contractor will manage and test production releases, including on a Rapid Release Cycle, Release When Ready (RWR), Priority Release (PR), and Major Production Release basis. |  | Description of  1. Rapid Release Cycle  2. Release When Ready (RWR)  3. Priority Release  4. Major Release |
|  | The Contractor will align and coordinate production release testing, in cooperation and coordination with the Consortium and other contractors as applicable, providing the Consortium with consolidated and synchronized testing efforts at an enterprise level. |  |  |
|  | The Contractor will define the qualification requirements a new interface(s) or Application Programming Interface (API) must meet and incorporate these requirements into an interface test procedure that exercises all aspects of the interface, including any required data processing. |  | DDI Exhibit A Task 3.8.7  SubTask 8.7 Interfaces |
|  | The Contractor may propose a testing method that emulates the behavior of the external system if there is difficulty in obtaining permission for a ‘live’ test. The Contractor’s proposed approach and design to testing any interface requires Consortium approval prior to the conduct of the actual test. |  | DDI Exhibit A Task 3.8.7  SubTask 8.7 Interfaces |
|  | The Contractor will mask Production data for testing use in accordance with the CalSAWS Baseline Security Requirements and CalSAWS Privacy Security Agreement. Any use of CalSAWS production data in non-production environments requires explicit, documented approval from the CalSAWS Chief Information Security Officer prior to such use. |  | CalSAWS Baseline Security Requirements |
|  | The Contractor will work with the Consortium to define the need for a Usability / User Experience testing and will make recommendations for the integration of Usability / User Experience testing into the test schedule, as appropriate. |  | Deloitte CalSAWS Project Usability Test Plan and Artifacts |
|  | The Contractor will plan, execute, manage, and facilitate the Usability / User Experience testing. |  |  |
|  | The Contractor will, at the request of the Consortium, make recommendations for continuous process improvement and innovation for Usability / User Experience testing. |  |  |
|  | The Contractor will execute ongoing performance testing of the CalSAWS software for each major Production Release and other releases if requested by the Consortium. |  | Schedule 1 to Exhibit X M&O SOW Task: 3.2 Performance and Stress Test  Subtask: Task: 2.3 |
|  | The Contractor will create and deliver to the Consortium the Performance Test Materials Packet (Online/Batch) for review no later than ten (10) Business Days prior to the performance test date, including:   1. Test Schedule 2. Resourcing 3. Test Case Detail List | Performance Test Materials Packet (Online/Batch) |  |
|  | The Contractor will create and deliver at the completion of performance testing with the new SCR(s), the Performance Test Results Packet. | Performance Test Results Packet | DDI Exhibit A (SOW) Subtask 3.14.3  Performance Verification |
|  | The Contractor will, in conjunction with the Consortium and designated tester(s), plan and lead the Production Deployment Smoke Test, to validate the deployment has been successful. |  |  |
|  | The Contractor will conduct the Deployment Smoke Test following the completion of the code promotion to Production, well in advance of the commencement of the system’s End Users’ next workday. |  |  |

## SubTask: 2.5 Test Support Services (7 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will provide ongoing Test Support Services to the Consortium Test Team, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs, including~~:~~   1. A System Change(s) Design Walkthrough. 2. A library of test cases and use cases that may be selected and modified by the user for testing. 3. A test version of all batch and on-line programs and files to be used for testing changes. 4. Search capability for the test case library that is cross-referenced to the logic/edit that the identified test case is designed to test. 5. The ability to save and reuse all test cases without the need to re-enter the data. 6. The ability to create and edit application, enrollment, and case records for testing. 7. Selected test case data for input into test environment. 8. A case list from the testing environment masked production copy, with criteria as defined by the Consortium including common program information, and program and individual status. |  | CalSAWS Consortium Test Framework |
|  | The Contractor will load and maintain masked production test case data of sufficient complexity and diversity to provide a representative sample of the production environment data that the Consortium Test Team may utilize to test a broad range of the supported programs’ rules and regulations. |  |  |
|  | The contractor will provide to the Consortium testers case copy capabilities within test environments or from production. |  |  |
|  | The Contractor will provide to the Consortium County Validation Test support including:   1. Administering user environment credentials, access, password maintenance. 2. Providing remote testing support, as needed. 3. Validating remote access supports browsers and platforms required to access all areas of the CalSAWS system. 4. Conducting environment Smoke Test. 5. Conducting System Change(s) Design Walkthrough, if requested. 6. Conducting incident analysis and defect fix activities. 7. Performing corrective actions in the case of identified deficiencies by the County Validation Test Team. 8. Conducting batch execution, date shift and data refresh tasks. 9. Executing build / Code drop deployment. 10. Attending meetings, as requested. |  | Consortium’s County Validation Test Process (Draft is WIP w/CCCV Strike Team, as of 11/2021)  CalSAWS Consortium Test Framework |
|  | The Contractor will provide to the Consortium recommendations for an effective and efficient process which would permit county testers to document their county scenarios and test execution results in Jira, including creating and tracking testing incidents to disposition. |  |  |
|  | The Contractor will work with the Consortium to define the need for a User Acceptance Test (UAT) Phase and will make recommendations for the integration of a UAT into the testing schedule, as directed by the Consortium. |  | DDI Exhibit A (SOW) Subtask 3.9 Master Test Plan, Subtask 9.3 User Acceptance Testing  ClearBest DDI QA UAT Plan  Consortium’s DDI UAT Test Plan and Artifacts  CalSAWS Consortium Test Framework |
|  | The Contractor will provide to the Consortium UAT Team support, including:   1. Administration of user environment credentials and access, password maintenance. 2. Providing remote testing support, as needed. 3. Validating remote access supports browsers and platforms required to access all areas of the CalSAWS system. 4. Conducting environment Smoke Test. 5. Conducting System Change(s) Design Walkthrough, if requested. 6. Conducting training on testing tools or processes, if requested. 7. Conducting incident analysis and defect fix activities 8. Performing corrective actions in the case of identified deficiencies by the UAT Team. 9. Conducting batch execution, date shift and data refresh 10. Executing build / Code drop deployment. 11. Developing Automated UAT regression test scripts. 12. Assisting with integration of scripts into the automated regression test tool for Consortium staff. 13. Attending meetings, as requested. |  | DDI Exhibit A (SOW) Subtask 3.9 Master Test Plan, Subtask 9.3 User Acceptance Testing  Regression Test Scripts  Inventory  Selenium Tool Specifications |

## SubTask: 2.6 Change Management and Training (7 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will manage and execute Change Management and Training activities, in cooperation and coordination with the Consortium and other contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will work with the Consortium to provide recommendations and define the need for change management activities and implement the recommendations as approved by the Consortium for the integration of the activities into the release schedule.  The change management activities are based on the scope, cost and complexity of the change(s) as defined by the SCR(s). |  | Deloitte implementation and change management work products |
|  | The Contractor will work with the Consortium to provide recommendations and define the need for training and training support activities and implement the recommendations as approved by the Consortium for the integration of the activities into the release schedule.  The training activities are based on the scope, cost and complexity of the change(s) as defined by the SCR(s). |  |  |
|  | The Contractor will adopt, enhance, maintain and deliver training materials, including on-line help, CalSAWS web-based training (WBT), and new-release web casts in coordination and consultation with the Consortium, within the timeframe agreed upon with the Consortium. |  | CalSAWS M&O Training Material samples |
|  | The Contractor will perform system administration of the CalSAWS Learning Management System (LMS). |  | DDI Exhibit A SOW  Task 3.11.4  Description of LMS pages, fields, and maintenance activities |
|  | The Contractor will review and provide comments to the Consortium, of Consortium-developed training materials, including Instructor Led Training (ILT) modules. |  |  |
|  | The Contractor will, at the request of the Consortium, provide recommendations for the most effective and creative training methods and mediums to align with the Consortium’s expectation of excellence in training delivery. |  |  |

## SubTask: 2.7 Production Readiness and Green Light (5 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Material |
| --- | --- | --- | --- |
|  | The Contractor will manage and execute Production Readiness and Green Light activities, in cooperation and coordination with the Consortium and other contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will participate in all required planning, execution, and closeout Readiness activities, including:   1. Readiness Pre-Planning 2. Readiness Release Meetings Participation 3. Readiness Release Material Development and Maintenance 4. Readiness Tracking to Complete, including providing documented evidence to confirm that all Entrance and Exit criteria is met 5. Readiness Open Items / Action Items Identification and Management 6. Risk and Issue Identification and Management 7. Readiness Statistical Updates and Reporting 8. Readiness Mitigation and Contingency Planning and Execution |  | Readiness work product / artifacts |
|  | The Contractor will participate in all required Pre-Green Light and/or Green Light planning, execution and close out activities, including:   1. Green Light Pre-Planning 2. Green Light Meeting Planning 3. Green Light Material Development and Maintenance 4. Green Light Meeting Participation 5. Green Light Open Items / Action Items Identification and Management 6. Risk and Issue Identification and Management |  | DDI and M&O Green Light work product / artifacts |
|  | The Contractor will work with the Consortium, Counties, and other CalSAWS contractors as appropriate, to provide advance notification of Production Release content, in accordance with the communication protocols documented in the CalSAWS M&O PCD. |  | CalSAWS Project M&O PCD |
|  | The Contractor will, at the request of the Consortium, assess industry Readiness and Green Light process improvements and provide the Consortium with recommendations based upon the findings. |  |  |

## SubTask: 2.8 Deployment (4 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will manage and execute Deployment activities, in cooperation and coordination with the Consortium and other contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will provide verification and certify, for each Production Release, the software was successfully promoted and installed into Production. | Certification of Successful Production Release |  |
|  | The Contractor will provide post-deployment conference calls and webinar support to End Users and stakeholders, focusing on the changes introduced with the Production Release. |  |  |
|  | The Contractor will solicit, document, and disposition end user concerns and feedback provided during post-deployment support conference calls or webinars. |  | CalSAWS Post Deployment End User Support Materials / Templates |

# SOW Task Area: 3. M&E Support Services Requirements (10 Requirements)

## SubTask: 3.1 Support Services (10 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will manage and execute Support Services activities, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will continuously and independently determine and validate legislative regulations necessary for the lawful operation of CalSAWS and present their analysis to the Consortium on an as-needed basis. |  | CalSAWS System Impact Analysis Template |
|  | The Contractor will proactively monitor proposed legislation for impacts to the operation of CalSAWS and present their analysis to the Consortium. |  |  |
|  | The Contractor will evaluate the impact and cost of implementing statutory and/or regulatory changes to the CalSAWS System, including SAWS Cost Estimate Request for Research and Analysis (SCERFRA) or other stakeholder estimate requests. This assessment will include a comprehensive list of the impacted System components, assumptions and constraints, and an order of magnitude for cost and schedule. |  |  |
|  | The Contractor will provide training in the use of the Consortium’s automated regression and ADA test tools to designated Consortium staff on an as-needed basis. |  | DDI Exhibit B Statement of Requirements  Task 6.2  Auto-regression Tool Training Artifacts |
|  | The Contractor will provide training in the use of the Consortium’s e-Learning training tools to designated Consortium staff on an as-needed basis. |  | DDI Exhibit B Statement of Requirements  Task 6.2  eLearning Training Tool Materials |
|  | The Contractor will provide training in the use of the Consortium’s performance monitoring tools to designated Consortium staff on an as-needed basis. |  | DDI Exhibit B Statement of Requirements  Task 6.2  Performance Monitoring Tools Training Materials |
|  | The Contractor will provide training in the management, administration and use of the Consortium’s knowledge base software and tools to designated Consortium staff on an as-needed basis. |  | DDI Exhibit B Statement of Requirements  Task 6.2  Base Software Tools Training Materials |
|  | The Contractor will adopt, enhance, maintain, and implement changes to custom-developed CalSAWS supporting software (e.g., tools), upon Consortium approval, for the custom-developed software included in *Attachment XX – CalSAWS M&E Managed Tools.* |  | CalSAWS M&E Managed Tools |
|  | The Contractor will, as directed by the Consortium, provide support for the project website, CalSAWS.org.  Note: Designated Consortium resource will serve as the CalSAWS project website, CalSAWS.org., webmaster. |  | . |

# SOW Task Area: 4. Application / Architecture Evolution Requirements (7 Requirements)

## SubTask: 4.1 Application/Architecture Evolution (7 Requirements)

| Unique ID | Requirement | Deliverables | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will manage and execute Application/Architecture Evolution activities, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will create and deliver an approach to evolve the CalSAWS application and architecture, migrating it from the current monolithic architecture to a modern, scalable, and dynamic cloud native application architecture. | Approach to Proposed Application and Architecture Evolution |  |
|  | The Contractor will migrate CalSAWS from the existing Oracle stack to the new architecture in a phased approach, dividing up the large application into feature modules, prioritizing and decoupling the database and refactoring the application. |  |  |
|  | The Contractor will maintain the existing architecture and application during the evolution, and keep all platforms synchronized. |  |  |
|  | The Contractor will conduct testing and plan for the successful integration of the application and architectural changes with existing technologies and networks, as appropriate. |  |  |
|  | The Contractor will maintain and enhance the application as defined by approved SCR(s), in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable. |  | Core Application Source Code  CalSAWS Handbook 2021-092221 |
|  | The Contractor will, at the request of the Consortium, provide the Consortium the details behind their system design estimation in the areas of architecture scaling and performance requirements in advance of presenting recommendations to the Consortium. |  | CalSAWS M&O architecture reviews / results |

# SOW Task Area: 5. Innovation Services Requirements (6 Requirements)

## SubTask: 5.1 Innovation (6 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Innovation activities, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will lead the CalSAWS Innovation initiatives and will be responsible for the Consortium-approved evaluation of emerging technologies, Proof of Concepts (POC) and/or Pilots, as applicable. |  | Schedule 1 to Exhibit X – CalSAWS M&O SOW  Task: 4  SubTask: 3.4  Sample POC Artifacts |
|  | The Contractor will be responsible for the integration of selected technologies into the CalSAWS platform, which will be handled through the SCR process. |  | CalSAWS System Change Request Management Plan and OWDs. |
|  | The Contractor will participate as a key contributor to the CalSAWS Innovation Team to engage and prepare the Consortium and Contractor Project Team regarding Innovation presentations and Innovation Day planning. |  | CalSAWS Quarterly Innovation Challenge Newsletter  CalSAWS Innovation Challenge Quarterly Challenge Theme Materials (Shark Tank) |
|  | The Contractor will adopt the AWS best practices and standards. |  | CalSAWS Architectural Governance |
|  | The Contractor will, in coordination with the Consortium, define the need and representative User population most appropriate for pilot tests of new innovation concepts. The Pilot county or counties, scope, schedule, and activities will be based upon the scope and complexity of the Innovation initiative. |  | DDI Exhibit A SOW Task 3.12  Subtasks 12.1, 12.2,12.3 |

# SOW Task Area: 6. Production Operations Requirements (54 Requirements)

## SubTask: 6.1 Daily Operations (15 Requirements)

| Unique ID | Requirement | Deliverables | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will provide production operations services to support the daily operation, maintain application availability, perform scheduled system operations to meet the CalSAWS business and technical requirements and system service levels, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  | CalSAWS M&O Services Plan  Production Operations, Operational Working Documents (OWD) |
|  | The Contractor will provide Tier 3 support to the Counties for Managed Lobby Management devices, including Document Upload Kiosks (“DUKs/Kiosks”) and Facilitated Access Control Tablets (“FACTs”). Tier 3 support for Lobby Management Services will include:   1. Managing and administering the associated third-party manufacturer Software Production operations support for Managed Lobby Management devices. 2. Analyzing, investigating, diagnosing, and resolving Counties’ incidents relating to Managed Lobby Management devices. 3. Providing process support to the Counties for any changes or updates to the process flow on the existing DUKs and FACTs.   Note: As of December 2021, there are approximately100 kiosks and 30-40 Tablets. This number will change because there are open county purchase orders. |  | Schedule 1 to Exhibit X M&O SOW  Task: 3  Subtask: Task: 3.2 |
|  | The Contractor will provide ongoing central support for creating and maintaining workstation images on the CalSAWS workstations based on the Microsoft Windows operating system.  “Note: The CalSAWS Infrastructure Contractor will be responsible for installing updated workstation images on CalSAWS workstations.” |  | Schedule 1 to Exhibit X M&O SOW  Task: 3  Subtask: Task: 3.2 |
|  | The Contractor will configure and maintain AWS WorkSpaces, images, access control, Auto-scaling, applications, etc., in order to provide user remote access for various use cases, this configuration will be in accordance with the CalSAWS Access Control Policy, the CalSAWS Identity and Authentication Policy and any other applicable polices. |  |  |
|  | The Contractor will coordinate with the Consortium Counties, and other CalSAWS contractors, as applicable, to develop and test new workstation images prior to creating those images on CalSAWS-Managed workstations in production. |  | Schedule 1 to Exhibit X M&O SOW  Task: 3  Subtask: Task: 3.2 |
|  | The Contractor will provide ongoing analysis of Tier 3 operations incidents and alerts, reporting the underlying causes and identifying improvement opportunities. |  |  |
|  | The Contractor will, as directed by the Consortium, create and deliver a CalSAWS M&E Root Cause Analysis (RCA), which includes:   1. The identification and key event descriptions explaining the incident. 2. Information necessary to distinguish between root cause and causal factors. 3. Corrective actions to be taken. 4. The steps required to prevent reoccurrence. |  | CalSAWS M&E Root Cause Analysis (RCA) template |
|  | The Contractor will transition corrective actions into the CalSAWS continuous improvement efforts, measure corrective actions for success, and establish controls. |  |  |
|  | The Contractor will comply with the CalSAWS Integrated Environments Management Plan standards and the associated OWDs. |  | CalSAWS M&O Services Plan, CalSAWS Integrated Environments Management Plan and OWDs  CalSAWS Core Systems Environments Listing |
|  | The Contractor will plan and coordinate shared environment access and usage with the Consortium and other CalSAWS contractors, as applicable, in compliance with the Integrated Environments Management Plan and the associated OWDs. |  | SOW Sched 1 to Exhibit X  Task 3.2.5  SubTask: 2.5 System Administration |
|  | The Contractor will formally request approval for scheduled maintenance periods at least 72 hours prior to the maintenance activity. Scheduled maintenance periods will be mutually agreed upon and approved by the Consortium and the Contractor, prior to any maintenance beginning. |  |  |
|  | The Contractor will support the Consortium and the Ad Hoc Reporting County End Users and Data Analytics County End Users, including addressing data model related inquiries based on ongoing CalSAWS Software data model changes and Ad Hoc Report Request Form inquires. |  | SOW Sched 1 to Exhibit X  Task 3.2.5  SubTask: 2.5 System Administration |
|  | The Contractor will provide to the Ad Hoc County End Users Release notes advising Counties of changes to the Database data elements for major releases. |  |  |
|  | The Contractor will support the Consortium and the Data Analytics Reports End Users, including addressing queries related to metrics, understanding how the data is derived and can be used, and compiling and running queries. |  |  |
|  | The Contractor will make available to the Consortium all data gathered for transactions, logs, production data and all other factors and resources that impact Ad Hoc and Data Analytics reporting. |  |  |

## SubTask: 6.2 Batch and Interface Operations (7 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Batch and Interface Operations activities in cooperation and coordination with Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  | Exhibit A Statement of Work Subtask: 3.2.15 & 3.2.19  DDI Exhibit B Statement of Requirements  Subtask: 3.5.2  M&O Services Plan, Operations Management Plan |
|  | The Contractor will adhere to interface partner file exchange timelines as documented in the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will schedule batch and interface activities to occur at times that are mutually agreed upon in advance by the Consortium and the Contractor, which shall have the least impact on the CalSAWS System performance and the least disruption to User activity. |  |  |
|  | The Contractor will perform activities to support batch interface, and API processing, including:   1. Perform interface batch processing. 2. Monitor batch processing. 3. Maintain interface file layouts. 4. Maintain batch and interface schedules and dependencies. 5. Maintain reporting for batch processing, including scheduled and ad-hoc reports. 6. Coordinate with the State, Counties and other stakeholders, including interface partners, on delayed, late, or missing files. 7. Troubleshoot/resolve/escalate, as necessary, issues related to batch and interface processing. |  |  |
|  | The Contractor will perform Batch processing support, Tier 3 support, and Technical Operations support required for the CalSAWS interface (the EHIT interface) to the CalHEERS system. |  |  |
|  | The Contractor will monitor and report upon the processing of batch files and review the batch logs of all interfaces including exception/error logs. |  |  |
|  | The Contractor is responsible for issues/defects that occur as a result of failed batch/interface transactions. |  |  |

## SubTask: 6.3 Service Desk Tier 3 (9 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Tier 3 Service Desk activities, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  | M&O Services Plan, Helpdesk Services Plan and OWDs |
|  | The Contractor will provide Tier 3 Service Desk Services for the CalSAWS Core System for the CalSAWS Users.  Note: Tier 1 and Tier 2 Service Desk Services will be provided by the CalSAWS Infrastructure Contractor. |  | Schedule 1 to Exhibit X M&O SOW  Task: 3  Subtask: Task: 3.2  CalSAWS System User Counts |
|  | The Contractor will staff the Service Desk Monday – Friday 8:00 a.m. – 5:00 p.m. Pacific Time, excluding CalSAWS Holidays. CalSAWS Holidays are documented in the CalSAWS M&O Services Plan Deliverable. |  |  |
|  | The Contractor Service Desk staff will be located at Contractor locations in the United States. |  |  |
|  | The Contractor will intake, prioritize, manage and resolve all Tier 3 Production CalSAWS Core System issues reported by Service Desk or CalSAWS Project staff, which includes performing analysis, investigation, resolution, and closure activities for ServiceNow (SNOW) incidents. |  | Schedule 1 to Exhibit X  M&O SOW  Task: 3.2  Subtask: Task: 3.2.17  M&O Services Plan,  Help Desk Services Plan, ServiceNow Ticket Workflow |
|  | The Contractor will, in coordination with Tier 2 support staff, manage Tier 3 ticket resolution and deficiency and defect fix implementation schedules. |  | M&O Services Plan, Help Desk Services Plan OWD  CalSAWS Handbook 2021-092221 |
|  | The Contractor will track all Tier 3 Production Defects and Deficiencies and will update Tier 3 production incidents in the CalSAWS ServiceNow tool. |  |  |
|  | The Contractor will be responsible to maintain appropriate and timely communications with the Consortium and affected users on all Tier 3 incidents through resolution. |  |  |
|  | The Contractor will be responsible to correct all Tier 3 incidents within the scope of Contractor responsibility, meeting service levels and performance requirements detailed in *Attachment XX – M&E Service Level Agreements*. |  |  |

## SubTask: 6.4 Contact Center Tier 3 (5 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Tier 3 Contact Center activities, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will provide Tier 3 central contact center application services for the Consortium, 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.  The current counts of CalSAWS Users that will be supported by the Contractor for Tier 3 central contact center system in the Procurement Library.  Note: Tier 1 and Tier 2 Contact Center system Services will be provided by the CalSAWS Infrastructure Contractor. |  | Schedule 1 to Exhibit X  M&O SOW  Task: 3.2  Current counts of numbers of users supported |
|  | The Contractor will intake, prioritize, manage, and resolve all Tier 3 Production Contact Center system application issues reported by Contact Center staff, which includes performing analysis, investigation, resolution, and closure activities. |  |  |
|  | The Contractor will, in coordination with Tier 1 and Tier 2 support staff, manage Tier 3 ticket resolution and coordinate fix implementation schedules with the Consortium, and other CalSAWS contractors as applicable. |  |  |
|  | The Contractor will support reporting for the Contact Center system application, including real-time performance monitoring for service level objectives, generating reports for metrics related to Medi-Cal referrals, and supporting ad-hoc reporting requests from the Consortium. |  | Schedule 1 to Exhibit X  M&O SOW  Task: 3.2 |

## SubTask: 6.5 Production Operations Support Services (9 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Configuration Management activities for Contractor Configuration Items, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs.  Contractor Configuration Item Types include:   1. Plans, Processes and Standards 2. Requirements 3. Tool Based Documentation 4. Technical Work Products |  | CalSAWS Integrated Development Environment (IDE) Configuration Management Technical Practices |
|  | The Contractor will perform Capacity Management activities, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will report and address all capacity issues that impact CalSAWS System performance requirements. |  |  |
|  | The Contractor will perform Database tuning and auditing, including reviewing changes to the data model for computing efficiencies. |  |  |
|  | The Contractor will perform Technical Change Management activities as it applies to the deployment of CalSAWS technical changes, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  |  |
|  | The Contractor will perform configuration of middleware environments in AWS Cloud-based environments and support for automated deployments in all environments. |  | SOW Sched 1 to Exhibit X  Task 3.2.5  SubTask: 2.5 System Administration |
|  | The Contractor will be responsible for scheduling and controlling software builds through different stages and environments, including testing, and deploying software releases in accordance with the CalSAWS Integrated Development Environment (IDE) Version Release Technical Practices. |  | CalSAWS Integrated Development Environment (IDE) Configuration Management Technical Practices |
|  | The Contractor will, between Baseline Releases, execute SCRs or defect fixes to CalSAWS production as a Priority Release outside of scheduled Production Releases. |  |  |
|  | The Contractor will implement secure automated CI/CD pipelines for software deployments to ensure repeatable continuous service delivery (approved pipelines and automation strategies include AWS Code Commit and Jenkins). |  |  |

## SubTask: 6.6 Performance Monitoring and Alerting (9 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Performance Monitoring and Alerting activities, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, consistent with the CalSAWS M&E Services Plan and the associated OWDs. |  | M&O Services Plan, Performance Management Plan |
|  | The Contractor will monitor availability and performance to verify CalSAWS M&E services are meeting service levels and performance requirements detailed in *Attachment XX – M&E Service Level Agreements*. |  |  |
|  | The Contractor will develop and deliver a CalSAWS M&E Monthly Operations Report based on the Monthly Operations Report template provided in the Procurement Library, incorporating changes to the report structure as approved by the Consortium. | CalSAWS M&E Monthly Operations Report | CalSAWS Monthly Operations Report sample |
|  | The Contractor will investigate, verify, record, and report application-related nonperformance or unscheduled downtime in accordance with the service levels and performance requirements defined in *Attachment XX – M&E Service Level Agreements*. |  |  |
|  | The Contractor will be responsible for tuning and optimizing the performance of CalSAWS within the scope of Contractor’s responsibility. |  |  |
|  | The Contractor will conduct periodic and on-request performance tests, analyze issues and take corrective actions to optimize the CalSAWS System performance. |  |  |
|  | The Contractor will make available to the Consortium all data gathered for request times and errors, User wait times, user hits, volume and bandwidth, open requests, and all other factors and resources that impact CalSAWS System performance. |  |  |
|  | The Contractor will develop, deliver and maintain a performance dashboard used to monitor capacity and usage patterns that provides real-time data on the health of the CalSAWS System, including at a minimum, reporting on all metrics in *Attachment XX – M&E Service Level Agreements*. |  |  |
|  | The Contractor will develop and maintain the system performance dashboard using a Commercial-off-the-Shelf product or Open Source product, with the Consortium’s preference being the use of Open Source. |  |  |

# SOW Task Area: 7. Technology Recovery Requirements (12 Requirements)

## SubTask: 7.1 Technology Recovery (8 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, and maintain a CalSAWS Core System Application Recovery Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable. | CalSAWS Core System Application Recovery Plan | CalSAWS Business Continuity and Disaster Recovery Plan  CalSAWS M&O Services Plan |
|  | The Contractor will execute the CalSAWS Core System Application Recovery Plan activities applicable to the Contractor upon declaration of a disaster or emergency by the Consortium. |  |  |
|  | The Contractor will support the CalSAWS Infrastructure Contractor, the CalSAWS AWS Cloud services provider, and other CalSAWS contractors as necessary, to re-establish the CalSAWS System in the event the primary AWS Region or Zone becomes unavailable, consistent with the CalSAWS Technology Recovery Plan, including:   1. Restoring and/or validating CalSAWS System application components. 2. Coordinating and assisting other CalSAWS contractors in restoring CalSAWS services. |  | CalSAWS Business Continuity and Disaster Recovery Plan  CalSAWS M&O Services Plan |
|  | The Contractor will meet the performance and response time requirements, including Recovery Point Objective(s) and Recovery Time Objective(s), specified in *Attachment xx. M&E Service Level Agreements*. |  | CalSAWS Business Continuity and Disaster Recovery Plan  CalSAWS M&O Services Plan |
|  | The Contractor will develop and deliver a detailed CalSAWS Core System Application Recovery Post Event Report after every declared disaster or emergency. | CalSAWS Core System Application Recovery  Post Event Report | CalSAWS Business Continuity and Disaster Recovery Plan  CalSAWS M&O Services Plan |
|  | The Contractor will develop, deliver and execute a CalSAWS Core System Application Recovery Test Plan. The Contractor will work with the Consortium, and other CalSAWS contractors as applicable, to determine items to be included in each test. | CalSAWS Core System Application Recovery Test Plan | CalSAWS Business Continuity and Disaster Recovery Plan  CalSAWS M&O Services Plan  OWD - Disaster Recovery Execution Tasks  OWD – Disaster Recovery Worksheet Test Template |
|  | The Contractor will perform a CalSAWS Core System Application Recovery Test on a semi-annual basis, in conjunction with the Consortium and other CalSAWS contractors, as applicable. |  | CalSAWS Business Continuity and Disaster Recovery Plan  CalSAWS M&O Services Plan  OWD - Disaster Recovery Execution Tasks  OWD – Disaster Recovery Worksheet Test Template |
|  | The Contractor will develop and deliver a CalSAWS Core System Application Recovery Test Report after the completion of each CalSAWS Core System Application Recovery Test. | CalSAWS Core System Application Recovery Test Report |  |

## SubTask: 7.2 Backup and Restoration (4 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Backup and Restoration activities, consistent with the CalSAWS M&E Services Plan and the associated OWDs, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable. |  | M&O Services Plan, Operations Management Plan and OWDs |
|  | The Contractor will identify “in process” and “last fully processed” transactions and make the data available to designated Consortium staff, as directed. |  |  |
|  | The Contractor will restore all databases and transactions to the last fully processed transaction. The Contractor will support the Consortium with validating that backup transactions are complete. |  |  |
|  | The Contractor will evaluate critical databases and files for corruption and data integrity prior to the files being backed up. |  |  |

# SOW Task Area: 8. Security Requirements (65 Requirements)

## SubTask: 8.1 Governance and Risk Management (7 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will perform Security activities, in cooperation and coordination with the CalSAWS Consortium and other CalSAWS contractors as applicable, consistent with the System Security Plan and the associated OWDs. |  |  |
|  | The Contractor will follow the CalSAWS policies and standards for all systems and work performed. This includes compliance with CalSAWS privacy security agreements, applicable legal, statutory, and regulatory compliance obligations. |  | CalSAWS Security Policies (TBD) |
|  | The Contractor will adopt, enhance, maintain, deliver and execute a System Security Plan, including security policies and procedures, and make these documents readily available for regular review with the Consortium and third-party reviewers. | System Security Plan |  |
|  | The Contractor will review the System Security Plan and security policies annually, and as a result of CalSAWS System changes, update as necessary, to ensure its continuing alignment with the security strategy, effectiveness, accuracy, relevance, and applicability to CalSAWS Privacy Security Agreements, legal, statutory, or regulatory compliance obligations. |  | CalSAWS Privacy Security Agreements |
|  | The Contractor will demonstrate an understanding of the Consortium enterprise-wide security risk framework and must participate in Consortium managed security risk processes. |  |  |
|  | The Contractor will provide a formal disciplinary or sanction policy for employees or subcontractor staff who have violated security policies and procedures. Employees and subcontractors shall be made aware of what action might be taken in the event of a violation, and disciplinary measures must be stated in the policies and procedures. The Contractor will provide signed acknowledgement statements from its current employees and subcontractor staff and will provide statements continuously for the life of the contract for any new employees or subcontractor staff. |  |  |
|  | All Contractor and subcontractor employees and staff are required to complete CalSAWS Privacy Security Awareness Training, per the CalSAWS Security Awareness and Training Policy. Newly hired Contractors and subcontractors must complete these trainings, and all Contractors and subcontractors will complete the training annually thereafter. |  | CalSAWS Privacy Security Awareness Training |

## 

## SubTask: 8.2 Change Control and Configuration Management (5 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will adhere to existing CalSAWS policies and procedures supporting business processes and implemented technical measures. |  |  |
|  | The Contractor will ensure that security requirements are followed and updated as needed for new acquisition or data changes (new data) for physical or virtual applications, infrastructure network, and systems components, or changes to operations and/or data center facilities that have been pre-authorized. |  |  |
|  | The Contractor will ensure delegated business partners such as interface partners, adhere to the same security policies and procedures for change management, release, and testing as internal developers within the CalSAWS program. |  |  |
|  | The Contractor will follow CalSAWS defined change control and security testing processes for testing and release management that focus on system availability, confidentiality, and integrity of systems and services. |  |  |
|  | The Contractor will establish and document procedures, in the System Security Plan and/or associated OWDs, for maintaining system security and managing security-related risks when applying changes to all CalSAWS systems and services.  All changes must directly correspond to a System Change Request authorization by the Consortium prior to deployment. |  |  |

## SubTask: 8.3 Infrastructure and Virtualization Security (7 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor is responsible for protection, retention, and lifecycle management of audit logs, adhering to CalSAWS Privacy Security Agreements and applicable legal, statutory or compliance obligations and providing unique user access accountability to detect potentially suspicious network behaviors and/or file integrity anomalies, and to support forensic investigative capabilities in the event of a security breach. |  |  |
|  | The Contractor will maintain all CalSAWS security system components while ensuring they are configured to restrict and monitor traffic between trusted and untrusted connections. These configurations will be reviewed regularly by the Contractor and supported by a documented justification for use of all allowed services, protocols, ports, and by compensating controls. |  |  |
|  | The Contractor will harden operating systems to provide only necessary ports, protocols, and services to meet CalSAWS business needs, and will implement supporting technical controls for antivirus, file integrity monitoring, and logging as part of the Contractor baseline operating build standard or template. |  |  |
|  | The Contractor will separate environments utilizing production data and non-production data to prevent unauthorized access or changes to information assets. Separation of the environments may include: stateful inspection firewalls, domain/realm authentication sources, and clear segregation of duties for personnel accessing these environments as part of their job duties. |  |  |
|  | The Contractor will design, develop, deploy, and configure Contractor-owned or managed (physical and virtual) applications, infrastructure system and network components such that CalSAWS environments are segmented from any other environments or users. |  |  |
|  | The Contractor will prepare network architecture diagrams which clearly define and identify high-risk environments and data flows that may have legal compliance impacts. |  |  |
|  | Technical measures must be implemented and must apply defense-in-depth techniques (e.g., deep packet analysis, traffic throttling, and black-holing) for detection and timely response to network-based attacks associated with anomalous ingress or egress traffic patterns (e.g., MAC spoofing and ARP poisoning attacks) and/or distributed denial-of-service (DDoS) attacks. |  |  |

## SubTask: 8.4 Threat and Vulnerability Management (2 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will establish procedures supporting business processes and implement technical measures to prevent the execution of malware on CalSAWS Managed Hardware (i.e., issued workstations, laptops, and mobile devices) and IT infrastructure network and systems components. |  |  |
|  | The Contractor will ensure procedures are established, and supporting processes and technical measures implemented, for timely detection of vulnerabilities within CalSAWS-owned or managed applications, infrastructure network and system components (e.g., network vulnerability assessment, penetration testing) to ensure the efficiency of implemented security controls. A risk-based model for prioritizing remediation of identified vulnerabilities must be used. Changes must be managed through the CalSAWS Change Management process for all Contractor-supplied patches, configuration changes, or changes to the CalSAWS software. Upon request, the Contractor will inform the Consortium of policies and procedures. The Contractor will notify the Consortium of any weaknesses upon identification. |  |  |

## SubTask: 8.5 Security Incident Management, E-Discovery, and Cloud Forensics (2 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will establish procedures, and implement supporting business processes and technical measures, to triage security-related events and provide timely and thorough incident management, as per established CalSAWS Privacy Security Agreements and policies and procedures. |  | CalSAWS Privacy Security Agreements, policies and procedures |
|  | The Contractor will establish and implement mechanisms to monitor and quantify the types, volumes, and costs of information security incidents. |  |  |

## SubTask: 8.6 Data Security and Information Lifecycle Management (8 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will assign a classification to data and objects containing data, based on CalSAWS standards, by the data owner based on data type, value, sensitivity, and criticality to the organization. |  |  |
|  | The Contractor will establish and document procedures, in the System Security Plan and/or associated OWDs, that support CalSAWS business processes and technical measures implemented, to inventory, document, and maintain data flows for data that is resident (permanently or temporarily) within the service’s geographically distributed (physical and virtual) applications and systems components and/or shared with other third parties to ascertain any regulatory, statutory, or supply chain agreement compliance impact, and to address any other business risks associated with the data. Upon request, the Contractor will inform the Consortium of compliance impact and risk, especially if Consortium data is used as part of the services. |  |  |
|  | The Contractor will adhere to CalSAWS Privacy Security Agreements for electronic data interchange, and data that traverses public and or private networks. |  | Privacy Security Agreements |
|  | The Contractor will ensure data is appropriately classified and protected from fraudulent activity, unauthorized disclosure, or modification to prevent a privacy security breach, contract dispute, or compromised data. |  |  |
|  | The Contractor will implement the necessary controls so that CalSAWS production data is not replicated or used in non-production environments. Any use of CalSAWS production data in non-production environments requires explicit, documented approval from the CalSAWS Chief Information Security Officer. |  |  |
|  | The Contractor will comply with CalSAWS legal and regulatory requirements for de-identification of sensitive data when production data is being masked for non-production environments. |  |  |
|  | The Contractor will protect CalSAWS data by designated stewardship, with assigned responsibilities defined, documented, and communicated. |  |  |
|  | The Contractor will adhere to CalSAWS policy and procedures for the secure disposal and complete removal of data from all storage media, ensuring data is not recoverable by any computer forensic means. |  | CalSAWS Equipment Decommissioning Policy and Procedures (M&O Services Plan, Volume 14) |

## SubTask: 8.7 Identity and Access Management (9 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will ensure access to, and use of, audit tools that interact with the CalSAWS system and shall be appropriately segregated with access restricted to prevent inappropriate disclosure and tampering of log data. |  |  |
|  | The Contractor will adhere to CalSAWS identity and access management policies. |  | Identity and Authentication Policy; Access Control Policy |
|  | The Contractor will ensure access to the CalSAWS developed applications, program, or object source code, or any other form of intellectual property (IP) and use of proprietary software will be appropriately restricted following the rule of least privilege based on job function in accordance with established CalSAWS user access policies and procedures. |  |  |
|  | The Contractor will establish and document procedures, in the System Security Plan and/or associated OWDs, for permissible storage and access of identities used for authentication to ensure identities are only accessible based on rules of least privilege and replication limitation only to users explicitly defined as business necessary. |  |  |
|  | The Contractor will provision user access (e.g., employees, contractors, subcontractors, Consortium staff, County staff, customers, and interface partners) to data and CalSAWS-owned or managed (physical and virtual) applications. Infrastructure systems, and network components must be authorized, or enabled, by the Consortium prior to access being granted and appropriately restricted in accordance with established CalSAWS policies and procedures. Upon request, the Contractor will provide this user access information to the Consortium. |  |  |
|  | The Contractor will authorize and revalidate users for entitlement appropriateness quarterly (in accordance with the CalSAWS Access Control Policy), to demonstrate the rule of least privilege based on job function. |  | CalSAWS Access Control Policy |
|  | The Contractor will de-provision (revoke or modify) user access to data and CalSAWS-owned or managed (physical and virtual) applications, infrastructure systems, and network components, and notify the Consortium in a timely manner. User access revocation must be implemented in accordance with established CalSAWS policies and procedures and based on a user's change in status (e.g., termination of employment or other business relationship, job change, or transfer). Upon request, the Contractor will provide a report of these changes to the Consortium. |  |  |
|  | The Contractor will implement controls to restrict user account credentials, ensuring appropriate identity, entitlement, and access management in accordance with established CalSAWS policies and procedures:   1. Account credential lifecycle management from initiation through revocation. 2. Account credential and/or identity store minimization or re-use when feasible. 3. Adherence to CalSAWS FedRAMP acceptable and/or regulatory compliant authentication, authorization, and accounting (AAA) rules (e.g., strong/multi-factor, expirable, non-shared authentication secrets). |  |  |
|  | The Contractor will restrict utility programs capable of potentially overriding system, object, network, virtual machine, and application controls. |  |  |

## SubTask: 8.8 Interoperability and Portability (2 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will participate in developing procedures, and mutually agreed upon provisions and/or terms to be established to satisfy CalSAWS for service-to-service application (API) and information processing interoperability, and portability for application development and information exchange, usage, and integrity persistence. |  |  |
|  | The Contractor will use an industry-recognized virtualization platform and standard virtualization formats following FedRAMP and NIST standards to help ensure interoperability, and must-have documented custom changes made to any hypervisor in use and all solution-specific virtualization hooks available for Consortium review. |  |  |

## SubTask: 8.9 Application and Interface Security (3 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will design, develop, deploy and test applications and programming interfaces (APIs) in accordance with Open Web Application Security Project (OWASP) standards for web applications and NIST for API best practices and adhere to CalSAWS Privacy Security Agreements, legal, statutory, and regulatory compliance obligations. |  |  |
|  | The Contractor will implement identified CalSAWS Privacy Security Agreement requirements, contractual, and regulatory requirements prior to granting access to data, assets, and information systems. |  | CalSAWS Privacy Security Agreement |
|  | The Contractor will adhere to all CalSAWS policies and procedures in support of data security to include confidentiality, integrity, and availability across multiple system interfaces, geographic locations to prevent improper disclosure, alteration, or destruction. |  |  |

## SubTask: 8.10 Datacenter Security (6 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will maintain a complete inventory of business assets, classifying them, according to CalSAWS policies, in terms of business criticality, service-level expectations, and operational continuity requirements as well as documenting their assigned ownership. |  |  |
|  | The Contractor will employ physical security perimeters (e.g., guards, electronic surveillance, physical authentication mechanisms, reception desks), at Contractor facilities where work under this Agreement is performed, to safeguard sensitive data and information systems. |  |  |
|  | The Contractor will obtain authorization from the Consortium prior to relocation or transfer of hardware, software, or data containing CalSAWS data to any offsite premises or alternative cloud infrastructure. |  |  |
|  | The Contractor will adhere to CalSAWS policies and procedures for the secure disposal of equipment. This includes wiping solution and destruction process that renders recovery of information impossible. The erasure must consist of a full overwrite of the drive to ensure that the erased drive is securely stored until it can be destroyed. |  |  |
|  | The Contractor will document procedures, in the System Security Plan and/or associated OWDs, that support business processes implemented, for maintaining a safe and secure working environment in offices, rooms, facilities, and secure areas storing CalSAWS sensitive information at Contractor where work under this Agreement is performed. |  |  |
|  | The Contractor will ensure ingress and egress to secure areas must be constrained and monitored by physical access control mechanisms to ensure that only authorized personnel are allowed access at Contractor facilities where work under this Agreement is performed. Ingress and egress points such as service areas and other points where unauthorized personnel may enter the premises shall be monitored, controlled and, if possible, isolated from data storage and processing facilities to prevent unauthorized data corruption, compromise, and loss. |  |  |

## SubTask: 8.11 Encryption & Key Management (5 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor managed keys must have identifiable owners (binding keys to identities) and key management policies must be established and implemented. |  |  |
|  | The Contractor will establish and document procedures, in the System Security Plan, for the management of cryptographic keys in the service's cryptosystem (e.g., lifecycle management from key generation to revocation and replacement, public key infrastructure, cryptographic protocol design and algorithms used, access controls in place for secure key generation, and exchange and storage including segregation of keys used for encrypted data or sessions). Upon request, the Contractor will inform the Consortium of changes within the cryptosystem. |  |  |
|  | The Contractor will develop and document procedures, in the System Security Plan, and implement supporting business processes and technical measures, for the use of encryption protocols for protection of sensitive data in storage (e.g., file servers, databases, and end-user workstations), data in use (memory), and data in transmission (e.g., system interfaces, over public networks, and electronic messaging) in accordance with CalSAWS applicable legal, statutory, and regulatory compliance obligations. |  |  |
|  | The Contractor will implement platform and data-appropriate encryption (e.g., AES-256) in open/validated formats and standard algorithms. |  |  |
|  | The Contractor will separate key management and key usage duties. |  |  |

## SubTask: 8.12 Human Resources (9 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will return all Consortium-owned assets within an established period upon termination of Contractor or subcontractor personnel. |  |  |
|  | The Contractor will ensure roles and responsibilities for performing employment termination or change in employment procedures are assigned, documented, and communicated. |  |  |
|  | The Contractor will ensure pursuant to local laws, regulations, and contractual constraints, all employment candidates, subcontractors, and third parties are subject to background verification in accordance with this Agreement. |  |  |
|  | The Contractor will enforce employment agreements that incorporate provisions for adherence to established CalSAWS Privacy Security Agreements and policies and which must be signed by newly hired or on-boarded workforce personnel (e.g., full or part-time employee, subcontractor or contingent staff) prior to granting workforce personnel with user access to CalSAWS facilities, resources, and assets. |  |  |
|  | The Contractor will document, in the System Security Plan, roles and responsibilities of the Consortium, Contractor and its subcontractors, other CalSAWS contractors, interface partners, State of California partners and other third-party users as they relate to information assets and security. |  |  |
|  | The Contractor will ensure CalSAWS acceptable use policies and procedures for supporting business processes and technical measures implemented are reviewed and adhered to by the Consortium, the Contractor and its subcontractors, other CalSAWS contractors, interface partners, State of California partners and other third-party users. |  |  |
|  | The Contractor will ensure all Contractor and subcontractor personnel are made aware of their roles and responsibilities for:   1. Maintaining awareness and compliance with established policies and procedures and applicable CalSAWS privacy security agreements, legal, statutory, or regulatory compliance obligations. 2. Maintaining a safe and secure working environment. |  |  |
|  | The Contractor will inform Contractor and subcontractor personnel of their responsibilities and will consent and/or contractually agree to report all information security events per the Consortium Incident Response Policy. |  |  |
|  | The Contractor will follow CalSAWS policies and procedures that require unattended workspaces utilized by Contractor and subcontractor personnel providing services under this Agreement in Project facilities to not have openly visible (e.g., on a desktop) sensitive documents and that user computing sessions are disabled after an established period of inactivity. |  |  |

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# SOW Task Area: 9. Transition-In Requirements (39 Requirements)

## SubTask: 9.1 Transition-In Planning (5 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Transition-In Master Plan (M&E TIMP), in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, that acts as the Master Transition-In document by which the other transition documents are referred and traceable. | CalSAWS M&E Transition-In Master Plan (M&E TIMP) |  |
|  | The Contractor will complete transition and assume responsibility for all CalSAWS services and functions included in this Agreement within twelve (12) months of the Agreement Effective Date. |  |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Transition-In Organizational Change Management Plan for processes and roles that are impacted by the transition. | CalSAWS M&E Transition-In Organizational Change Management Plan |  |
|  | The Contractor will perform a gap analysis, working in conjunction with the Consortium, between the following existing documents and the services and functions contained in this Agreement and industry best practices to identify changes (additions and deletions) and enhancements to the following documents:   1. CalSAWS M&O Services Plan 2. CalSAWS M&O Operational Working Documents   The changes and improvements to the documents will be identified through Deliverable Expectation Documents (DEDs) as outlined in *RFP SOW Section xx.* |  | CalSAWS M&O Services Plan |
|  | The Contractor will develop and deliver updated plans and documents based on the approved DEDs as identified in the Transition-In Work Plan:   1. CalSAWS M&E Services Plan (based on the CalSAWS M&O Plan) 2. CalSAWS M&E Services Operational Working Documents (based on the CalSAWS Operational Working Documents) | CalSAWS M&E Services Plan  CalSAWS M&E Services Operational Working Documents | CalSAWS M&O Services Plan |

## SubTask: 9.2 Transition-In Work Plan (3 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Transition-In Work Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, in accordance with the CalSAWS Work Plan Content Guidelines. | CalSAWS M&E Transition-In Work Plan | CalSAWS Work Plan Content Guideline |
|  | The Contractor will maintain and update the CalSAWS M&E Transition-In Work Plan through the completion of Transition-In tasks and deliverables, in accordance with the CalSAWS PCD. |  | CalSAWS PCD |
|  | The Contractor will continue to submit the updated Transition-In Work Plan to the Consortium until all Transition-In activities are completed and approved. |  |  |

## SubTask: 9.3 Transition-In Meetings and Reporting (8 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor is responsible for scheduling, tracking, documenting, recording, and sharing agendas and minutes for any and all meetings planned and conducted as part of the transition of services under this Agreement in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable. |  |  |
|  | The Contractor will organize and facilitate at a minimum, the following meetings with the Consortium to report on the progress of the Transition-In effort:   1. The Contractor will facilitate the weekly Transition-In Work Plan Meeting to specifically review the details of the Transition-In Work Plan with the Consortium and working-level teams. 2. The Contractor will facilitate a weekly Transition-In Management Meeting to review the status of Transition-In activities with the Consortium. |  |  |
|  | The Contractor will prepare and present a written report at the Transition-In Work Plan Meeting that contains direct outputs from the Transition-In Work Plan. Materials provided must be easy to understand, and includes:   1. Tasks completed from the prior week 2. Tasks due for the coming week 3. Areas in the work plan which require attention (behind schedule) 4. Critical Path analysis 5. Suggested changes to maintain the schedule timelines 6. Schedule Issues 7. Schedule Risks 8. Other areas requiring discussion |  |  |
|  | The Contractor will create and maintain a Transition Dashboard. |  |  |
|  | The Contractor will include the Transition Dashboard as a part of the transition meeting reports. The Contractor will maintain the Transition Dashboard as a separate file for easy access and updates by both Contractor and Consortium staff. |  |  |
|  | The Contractor will prepare and present a written report at the Transition-In Management Meeting in a PowerPoint presentation format. The materials provided must be easy to understand, and include:   1. Transition Progress Update Summary 2. Transition-In Work Plan (Microsoft Project High-Level Gantt Chart) with variances 3. Transition Dashboard (Stop light metrics) including: 4. Overall status of Transition Components 5. Status by Gates (Plan, Execute, Verify, Cutover, Initial Operations, Final Review) 6. Transition Component Timeliness – On Schedule, Behind < 15 Days, Behind > 15 Days 7. Transition Work Plan Completion Chart – Represents the work that has been done versus the planned transition work forecast 8. Total Transition Components that have reached any one (1) gate 9. Overall Transition Area Status 10. Top three (3) risks, issues, and milestones 11. Changes 12. Issues 13. Risks 14. Communication activities 15. QA status and results: 16. Migration Plan reviews - Checklists required and completed 17. Test and Validation reviews - Checklists required and completed 18. Findings |  |  |
|  | Prior to completing the Transition-In period, the Contractor will conduct and facilitate one or more Transition-In Final Review meetings for executive level audiences to show that Transition-In activities are complete and provide information that demonstrates all transition components are transitioned, work plan activities are complete, and the Contractor is now responsible for all Infrastructure support specified in this Agreement.  Note: The Transition-In Final Review meetings will be conducted at or near the end of the Transition-In period. The Consortium must approve completion of Transition-In. |  |  |
|  | The Contractor will present information at the Transition-In Final Review Meeting(s) in a PowerPoint presentation format which must be easy to understand, and includes:   1. Final Dashboard 2. Final Schedule 3. Issues Pertaining to Ongoing Infrastructure activities 4. Lessons Learned 5. Request to Close Transition |  |  |

## SubTask: 9.4 Transition-In Service and Function Migration (12 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Management Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all management functions needed in support of SOW Task Area 1: Management Requirements. | CalSAWS M&E Management Service and Function Migration Plan |  |
|  | The Contractor will manage updates and changes to the CalSAWS M&E Management Service and Function Migration Plan (as needed) throughout the Transition-In period. |  |  |
|  | The Contractor will provide leadership in working with the Consortium and the incumbent Contractor to integrate the incumbent Contractor's Closeout Plan and Closeout Work Plan with the Contractor's CalSAWS M&E Service and Function Migration Plan. |  |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E System Change Request Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all services and functions needed in support of SOW Task Area 2: System Change Request Requirements. | CalSAWS M&E System Change Request (SCR) Service and Function Migration Plan |  |
|  | The Contractor will manage updates and changes to the approved CalSAWS SCR Requirements Service and Function Migration Plan (as needed) throughout the Transition-In period. |  |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Support Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all services and functions needed in support of SOW Task Area 3: Maintenance and Enhancement Support Requirements. | CalSAWS M&E Support Service and Function Migration Plan |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Application Evolution Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all services and functions needed in support of SOW Task Area 4: Application Evolution Requirements. | CalSAWS M&E Application Evolution Service and Function Migration Plan |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Innovation Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all services and functions needed in support of SOW Task Area 5: Innovation Services Requirements. | CalSAWS M&E Innovation Service and Function Migration Plan |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Production Operations Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all services and functions needed in support of SOW Task Area 6: Production Operations Requirements. | CalSAWS M&E Production Operations Service and Function Migration Plan |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Technology Recovery Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all services and functions needed in support of SOW Task Area 7: Technology Recovery Requirements. | CalSAWS M&E Technology Recovery Service and Function Migration Plan |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Security Service and Function Migration Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, to define and execute the migration of all services and functions needed in support of SOW Task Area 8: Security Requirements. | CalSAWS M&E Security Service and Function Migration Plan |  |
|  | The Contractor will participate in the transfer of data and files including e-mails, historical transmission files, historical system logs, documentation, tools, and any other CalSAWS M&E related components that would be mandatory or beneficial to the continuance of the CalSAWS System. |  |  |

## SubTask: 9.5 Transition-In Training and Knowledge Transfer (3 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Transition-In Training and Knowledge Transfer Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, that addresses training and knowledge transfer needs for Contractor and Consortium staff for any changes to services and functions provided within each of the transition areas as follows:   1. Management as identified in SOW Task Area 1: Management Requirements. 2. System Change Request as identified in SOW Task Area 2: System Change Request (SCR) Requirements. 3. Maintenance and Enhancement Support as identified in SOW Task Area 3: Maintenance and Enhancement Support Requirements. 4. Application Evolution as identified in SOW Task Area 4: Application Evolution Requirements. 5. Innovation as identified in SOW Task Area 5: Innovation Services Requirements. 6. Production Operations as identified in SOW Task Area 6: Production Operations Requirements. 7. Technology Recovery as identified in SOW Task Area 7: Technology Recovery Requirements. 8. Security as identified in SOW Task Area 8: Security Requirements. | CalSAWS M&E Transition-In Training and Knowledge Transfer Plan |  |
|  | The Contractor will specify the methods to be used for knowledge transfer and internal training activities; examples include:   1. Documentation Reviews – Review of CalSAWS documentation relevant to the responsibilities to be assumed by the Contractor’s staff 2. Q&A Sessions – Meetings to ask the incumbent Contractor clarifying questions on the documentation to validate the understanding of CalSAWS processes and procedures 3. Walkthroughs – Discussions or meetings between the Contractor and incumbent Contractor to step through operational processes, procedures, scripts, and workflow 4. Training – Learning that takes place to prepare the Contractor's staff to implement activities, processes, and procedures needed for a given service or function identified in the Contractor's M&E TIMP 5. Demonstrations – Show that the Contractor’s staff can successfully demonstrate capability to implement activities, processes, and procedures needed to provide a given service or function identified in the Contractor's M&E TIMP. |  |  |
|  | The Contractor will ensure Consortium staff are familiar with all of the Contractor’s CalSAWS services and any of the new processes and tools used by the Contractor upon transition from the incumbent Contractor. |  |  |

## SubTask: 9.6 Transition-In Readiness Reviews (5 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will conduct a series of CalSAWS M&E Transition-In Readiness Reviews with the Consortium, and other CalSAWS contractors as applicable, for each Service or Function identified as part of the Service and Function Migration Plans and provide evidence that they are ready to assume operational control and responsibility for fulfilling the specified requirements and have coordinated cutover tasks and timing with the incumbent Contractor. CalSAWS M&E Transition-In Readiness Reviews apply to each of the following transition areas:   1. Management as identified in SOW Task Area 1: Management Requirements. 2. System Change Request as identified in SOW Task Area 2: System Change Request (SCR) Requirements. 3. Maintenance and Enhancement Support as identified in SOW Task Area 3: Maintenance and Enhancement Support Requirements. 4. Application Evolution as identified in SOW Task Area 4: Application Evolution Requirements. 5. Innovation as identified in SOW Task Area 5: Innovation Services Requirements. 6. Production Operations as identified in SOW Task Area 6: Production Operations Requirements. 7. Technology Recovery as identified in SOW Task Area 7: Technology Recovery Requirements. 8. Security as identified in SOW Task Area 8: Security Requirements. |  |  |
|  | The Contractor will provide CalSAWS M&E Transition-In Readiness Reviews, as identified in the M&E TIMP, that include:   1. Incumbent Contractor's Closeout Checklist 2. Status of Transition Component Migration Activities and Tasks 3. Training and/or Knowledge Transfer 4. Contractor's Test or Validation Results 5. Proposed Cutover Activities and Date 6. Contractor's Confirmation of Readiness 7. Consortium Go/No Go Decision |  |  |
|  | The Contractor will show during the CalSAWS M&E Transition-In Readiness Reviews that they have identified and coordinated cutover tasks and timing with the incumbent Contractor. |  |  |
|  | The Contractor will ensure that the incumbent Contractor Project Closeout Plan turnover processes and procedures conform to the M&E TIMP. |  |  |
|  | Upon implementing cutover for a transition component, the Contractor will confirm for the Consortium that CalSAWS M&E Transition-In is complete and the Contractor has assumed full responsibility for providing and managing the service, function, or other transition item. |  |  |

## SubTask: 9.7 Transition-In Test and Validation (3 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Transition-In Test and Validation Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, that defines the test and validation activities for each of the following Service and Function Areas:   1. Management as identified in SOW Task Area 1: Management Requirements. 2. System Change Request as identified in SOW Task Area 2: System Change Request (SCR) Requirements. 3. Maintenance and Enhancement Support as identified in SOW Task Area 3: Maintenance and Enhancement Support Requirements. 4. Application Evolution as identified in SOW Task Area 4: Application Evolution Requirements. 5. Innovation as identified in SOW Task Area 5: Innovation Services Requirements. 6. Production Operations as identified in SOW Task Area 6: Production Operations Requirements. 7. Technology Recovery as identified in SOW Task Area 7: Technology Recovery Requirements. 8. Security as identified in SOW Task Area 8: Security Requirements. | CalSAWS M&E Transition-In Test and Validation Plan |  |
|  | The Contractor will manage updates and changes to each approved CalSAWS M&E Transition-In Test and Validation Plan as needed. |  |  |
|  | The Contractor will conduct walkthroughs for Consortium staff during testing and validation, which will include (as applicable):   1. Demonstration of areas where Task Area performance is acceptable. 2. Demonstration of areas of unacceptable Task Area performance, problems, and issues. 3. Identification of where the problem occurred and an explanation of the differences between expected and actual results. 4. Summary analysis of the problem and the corrective action process and results for each problem or issue. |  |  |

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# SOW Task Area: 10. Transition-Out Requirements (33 Requirements)

## SubTask: 10.1 Transition-Out Planning (22 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | Transition-Out activities will begin twelve (12) months prior to the end of the Term and will conclude at the end of this Agreement. |  |  |
|  | If the Consortium exercises its option to extend the Agreement Term, the extension will result in a delay of all Transition-Out activities for a commensurate period of time. The Consortium will work closely with the Contractor during this process and must approve all updates to the Contractor’s Transition-Out approach and plans. |  |  |
|  | Transition-Out activities of the Contractor will overlap with the Transition-In activities of the successor contractor. |  |  |
|  | The Contractor will provide any turnover assistance Services necessary to enable the Consortium to effectively close out this Agreement and move the work to a successor contractor or to perform the work itself. |  |  |
|  | At the onset of the Transition-Out activities, the Contractor will notify the Consortium which individuals have been identified to serve on a Transition-Out Management Team and the start/stop timeframes they will serve. |  |  |
|  | The Transition-Out Management Team will oversee the activities, completion, and implementation of all Transition-Out tasks specified in this Agreement and the Transition-Out Master Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable. |  |  |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Transition-Out Plan that will conform to the successor contractor M&E TIMP and act as the Master Transition-Out document. | CalSAWS M&E Transition-Out Master Plan |  |
|  | The Contractor will manage updates and changes to the CalSAWS M&E Transition-Out Plan (as needed) throughout the Transition-Out period. |  |  |
|  | The Contractor will plan, coordinate, and execute the Transition-Out activities of this Agreement with the Transition-In activities of the successor contractor or the Consortium. |  |  |
|  | The Contractor will maintain staff throughout the Transition-Out period to satisfy and maintain compliance with all performance standards and requirements of this Agreement. |  |  |
|  | The Contractor will develop, deliver, and maintain a log of all problems, issues, and action items, including responsible parties, due dates and actions taken for Transition-Out tasks. |  |  |
|  | At the onset of the Transition-Out period, the Contractor will include Transition-Out status reporting in the CalSAWS M&E Weekly Status Report. |  |  |
|  | Throughout the Transition-Out period, the Contractor’s activities will include:   1. Implementing role and responsibility changes for the M&E support from the Contractor and the successor contractor. These changes may occur throughout the course of the Transition-Out period. 2. Making CalSAWS system configuration changes necessary to accomplish the Transition-Out. |  |  |
|  | The Transition-Out period will conclude upon Consortium acceptance of the Final Closeout Report and Transition-Out Review. |  |  |
|  | The Contractor will cooperate with and assist the Consortium and the successor contractor(s) in end of Agreement changeover planning, preparation, testing, and transfer of CalSAWS services and CalSAWS data (as needed) to the successor contractor or the Consortium. |  |  |
|  | The Contractor will provide all CalSAWS data files in accordance with the approved CalSAWS M&E Transition-Out Plan. |  |  |
|  | The Contractor will work with the Consortium and the successor contractor to define the format and layout of CalSAWS data files to be transferred to the successor contractor and/or the Consortium. |  |  |
|  | The Contractor will manage the transfer of ownership, or return of, all equipment owned by the Consortium or purchased by the Contractor on behalf of the Consortium. |  |  |
|  | The Contractor will provide all Transition-Out media or transmissions in a secure and encrypted format. |  |  |
|  | The Contractor will provide the Transition-Out media in a readable and acceptable industry standard format approved by the Consortium. |  |  |
|  | The Contractor will implement knowledge transfer consistent with the CalSAWS M&E Transition-Out Plan, which will include providing documentation, conducting formal training or walkthroughs/demonstrations of operational processes and procedures, Q&A sessions, and job shadowing. |  |  |
|  | The Contractor will participate in Transition Readiness Reviews and provide information on the actions taken to prepare the successor contractor or the Consortium to assume responsibility for M&E support including services, functions, or other items identified in the Transition-Out Plan. |  |  |

## SubTask: 10.2 Transition-Out Work Plan (2 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, maintain, and execute a CalSAWS M&E Transition-Out Work Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable, in accordance with the CalSAWS Work Plan Content Guidelines. | CalSAWS M&E Transition-Out Work Plan | CalSAWS Work Plan Content Guidelines |
|  | The Contractor will maintain and update the CalSAWS M&E Transition-Out Work Plan through the completion of Transition-Out in accordance with the schedule management process in the CalSAWS PCD. |  | CalSAWS PCD |

## SubTask: 10.3 Transition-Out Training and Knowledge Transfer (6 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will conduct knowledge transfer and training activities as identified in the Transition-Out Master Plan and the Transition-Out Work Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable. |  |  |
|  | The Contractor will complete a CalSAWS M&E Transition-Out Documentation and Deliverables Assessment, an inventory and assessment of all documentation and Deliverables used by the Contractor to provide the services required under this Agreement. | CalSAWS M&E Transition-Out Documentation and Deliverables Assessment |  |
|  | The Contractor will update all documentation and Deliverables identified in the CalSAWS M&E Transition-Out Documentation and Deliverables Assessment prior to beginning Transition-Out Training and Knowledge Transfer. |  |  |
|  | The Contractor will provide training materials to be used in the walkthroughs, demonstrations, and systems training for prior written acceptance by the Consortium. |  |  |
|  | The Contractor will provide formal training sessions for the successor contractor and/or Consortium staff. The training will be centralized around hands-on training, as determined by the Consortium. |  |  |
|  | Prior to the start of Transition-Out Training, the Contractor will provide for Consortium approval with the following:   1. A schedule of planned training sessions, including length of sessions and locations. 2. Number of staff to be trained per area. 3. Training methodology (include description of training material handouts and media format of this material). |  |  |

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## SubTask: 10.4 Project Close Out (3 Requirements)

| Unique ID | Requirement | Deliverable(s) | Related Procurement Library Materials |
| --- | --- | --- | --- |
|  | The Contractor will develop, deliver, and execute a CalSAWS M&E Agreement Closeout Plan, in cooperation and coordination with the Consortium and other CalSAWS contractors as applicable. | CalSAWS M&E Agreement Closeout Plan |  |
|  | The Contractor will certify and provide evidence that all Agreement terms and conditions have been fulfilled, including:   1. The resolution of all documented Contractor-responsible CalSAWS System and Deliverable deficiencies associated with the present and any prior Deliverables in accordance with the Agreement terms. 2. The successful completion of all tasks and Deliverables for this milestone as specified in the Agreement Closeout Plan. 3. The successful completion of all other contractual obligations that were identified in the Agreement Closeout Plan. |  |  |
|  | The Contractor will prepare and deliver a CalSAWS M&E Final Project Closeout Report. | CalSAWS M&E Final Project Closeout Report |  |