CalSAWS Consortium

BenefitsCal Maintenance and Operations Services RFP #01-2024

May 29, 2024

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# INTRODUCTION

## Purpose

The California Statewide Automated Welfare System (CalSAWS) Consortium, acting for the benefit of the 58 California Counties, requests Proposals from qualified contractors to maintain and operate the existing BenefitsCal application. The purpose of this procurement, and scope of this RFP, is to acquire a Contractor to transition the existing BenefitsCal and provide ongoing BenefitsCal Maintenance and Operations (M&O) and goods and Services. This RFP does not solicit new application functionality.

Specific Services to be provided under this RFP are outlined in ***Attachment 1 – Scope of Work (SOW)***. The requirements to be fulfilled as part of the Agreement resulting from this procurement are included in ***Attachment 2 – Requirements Matrix,*** and ***Attachment 3 –Deliverables***.

## Contract Term

The base contract term includes a six-month Transition-In period, plus five years and five months for a total base term of five years and eleven months. The BenefitsCal Agreement may be extended for up to four additional years in one-year increments at the discretion of the Consortium. The total contract term, if all extensions are exercised, would be nine years and eleven months. The base contract period is projected to begin September 2, 2025 and conclude July 31, 2031.

## Eligible Contractors

The Contractor and its Subcontractors must be free from conflicts resulting from different responsibilities for the Consortium. Without in any way limiting the generality of the foregoing statement, a conflict resulting from different responsibilities to the Consortium would include, but would not be limited to, a Contractor’s involvement on other aspects of the CalSAWS Project that would prevent the Contractor from devoting the resources necessary to complete all Deliverables and Services required. As an example, Contractors currently engaged to provide Quality Assurance (QA), or Independent Verification and Validation (IV&V) Services, directly to the CalSAWS Consortium would not be eligible to provide Services for this effort. In addition, no Consortium employee, member of the Procurement Team, or Evaluator will participate in, aid, or abet the preparation of a proposal submitted in response to this RFP.

## Minimum Bidder Requirements

The Consortium seeks experienced Bidders who meet the Firm Qualifications defined in Section 5 – Bidder Requirements. The required experience must be demonstrated within the proposal submission using ***Attachment 8 – Firm Mandatory Qualifications.***

## Average Annual Budget

The following table provides a summary of the average annual budget for the goods and Services associated with the scope of this engagement.

Table 1 - CalSAWS BenefitsCal Average Annual Cost

| BenefitsCal Maintenance & Operations | Average Annual Cost |
| --- | --- |
| **Application Maintenance** | |
| Management/Leads | $519,640 |
| Enhancements | $3,897,300 |
| Security | $324,775 |
| System Support | $649,550 |
| Continuous Improvement | $324,775 |
| Operations | $519,640 |
| **Production Operations** | |
| AWS Cloud Infrastructure | $1,504,877 |
| **Software** | $221,601 |
| **Total** | **$7,962,158** |

In addition to the existing expenditures over the duration of the base contract term, the Consortium has set aside additional funding for potential changes to the Agreement, which are contemplated, but not yet defined. The BenefitsCal Agreement will reserve approximately $6.3M annually during the base contract term.

## Location of Work

Contractors are expected to maintain a significant on-site presence during the Transition-In period. Until the transition is completed and accepted, the Key Staff for the BenefitsCal Contractor should plan to work on-site approximately 75% of the work week. Non-Key personnel should plan to work on-site as necessary to fulfill their responsibilities and complete their assigned Project Tasks.

During the Transition-In period, the Consortium will work collaboratively with the vendor to determine and agree to a Staffing model which will indicate the appropriate level of continuing on-site presence required for all Key and Non-Key Staff. Once the Transition-In Tasks are completed and accepted, the Contractor will fulfill its ongoing obligations in accordance with the approved Staffing model.

During the Transition-In period, the Consortium will provide the necessary accommodations for up to12 Staff. The Contractor will have access to shared conference rooms to meet with Consortium Staff and other vendor Staff as required at the Consortium location(s). Meetings may occur in the greater Sacramento area and greater Los Angeles area. Occasional meetings in the Counties are expected during the contract term. The specific Project sites currently include the following locations but are subject to change.

* **CalSAWS North:**

620 Roseville Parkway

Roseville, California 95747

* **CalSAWS South:**

Address To Be Determined

Norwalk, California

During the Transition-In period, the Consortium Staff will participate in the same manner, with a larger on-site presence.

After the completion of the Transition-In period, the Consortium may change the location of one, or both, of the Project sites. There will continue to be a Project site in both the greater Sacramento area and the greater Los Angeles area. The Contractor will work with the Consortium to maintain full CalSAWS operations without any interruption in services.

## Project Hardware, Software and Office Equipment

Within the Project facilities, the Consortium will provide CalSAWS Hardware, Software, internet access (that can also support corporate or other VPN and laptop capabilities), access to shared conference rooms and access to shared office equipment including networked copy machines/printers and dedicated printers.

For Work conducted at the Consortium or County sites, Contractors must comply with applicable network and technology access and usage policies.

## BenefitsCal RFP/Proposal Contact

All correspondence and questions regarding this RFP must be submitted in accordance with Section 1.11 – Procurement Timeline. All correspondence and inquiries must be addressed to the RFP/Proposal contact:

Tom Hartman

[ProcurementTeam@CalSAWS.org](mailto:consortium.procurement.team@calsaws.org)

Subject: BenefitsCal M&O Services RFP #01-2024

## Procurement Library

For updates to the RFP, in the form of RFP Addenda, or other RFP communications such as responses to vendor questions, vendors should regularly refer to the CalSAWS Procurement Library. It is the responsibility of the prospective Bidders to check the Procurement Library for updates and new information. The procurement repository is located at the following SharePoint site:

[BenefitsCal Procurement Library - All Documents (sharepoint.com)](https://osicagov.sharepoint.com/sites/Procurement/CalSAWS/BenefitsCal%20Procurement%20Library/Forms/AllItems.aspx)

## Assistance to Bidders with a Disability

Bidders with a disability may receive accommodation regarding the means of communicating regarding this RFP or participating in the procurement process. For more information, contact the RFP/Proposal Contact no later than (10) Days prior to the deadline for receipt of Proposals.

## Procurement Timeline

The following table identifies key dates for the BenefitsCal procurement, including the optional Bidder’s Conference and the deadline for vendors to respond to this RFP. The Consortium reserves the right to change these dates. Changes to the procurement schedule will be communicated as RFP Addenda. Deadlines for all due date schedule components are no later than 3:00 PM, Pacific Time (PT). Please note, the Bidder’s Conference, and the Oral Presentations and Key Staff Interviews will be conducted in-person in the Sacramento area.

Table 2 - M&O Services Procurement Timeline

|  | M&O Procurement Event | Due Date |
| --- | --- | --- |
|  | Release of RFP | 05/29/24 |
|  | Conduct Bidder’s Conference | 06/11/24 |
|  | Bidder Question Period | 05/30/24 - 06/18/24 |
|  | Consortium Releases Responses on a Flow Basis | 06/06/24 - 06/26/24 |
|  | Consortium Releases Final Q&A and Addendum | 07/03/24 |
|  | Bidders Request Proposal Response SharePoint Folder from OTSI | 07/15/24 |
|  | Proposal Due Date | 07/30/24 |
|  | Evaluate Administrative Compliance and Firm Qualifications (Assumes four [4] Proposals) | 07/31/24 - 08/16/24 |
|  | Evaluate Business Proposals | 08/15/24 - 10/29/24 |
|  | Conduct Oral Presentations and Key Staff Interviews | 10/21/24 - 10/24/24 |
|  | Evaluate Price Proposals | 10/30/24 - 11/21/24 |
|  | Conduct Confidential Vendor Discussions | 12/11/24 - 12/12/24 |
|  | Issue Instructions for Best and Final Offers (BAFOs) | 12/18/24 |
|  | BAFO Due Date | 01/17/25 |
|  | Evaluate BAFO Business and Price Proposals | 01/21/25 - 02/05/25 |
|  | Prepare Vendor Selection Report (VSR) | 02/06/25 - 03/18/25 |
|  | Issue Notice of Intent to Award and VSR | 03/19/25 |
|  | Agreement Negotiation Period | 03/24/25 - 03/31/25 |
|  | State, Federal and Consortium JPA Board of Directors Contract Approvals of Agreement | 04/01/25 - 08/18/25 |
|  | Tentative Contract Start Date | 09/02/25 |
|  | Transition-In Period | 09/02/25 – 02/28/26 |

## Bidder’s Conference

The Consortium will conduct a Bidder’s Conference to be held on Tuesday, June 11, 2024, from 1:00 – 2:00 P.M. in Sacramento, California at the following location:

California Department of Social Services (CDSS)

744 P Street, Auditorium Room 205

Sacramento, CA 95814

Attendance at the Bidder’s Conference is optional. A virtual web meeting and conference call number will be provided, as well, and posted on the CalSAWS Procurement website:

<https://www.calsaws.org/procurement-listings/>

The presentation and any materials reviewed during the conference will also be made available through the Procurement Library. All questions asked verbally during the conference must also be submitted in writing as part of the formal question and answer process.

## Questions Regarding the RFP

The Consortium will conduct a formal Question and Answer (Q&A) period for this RFP. The intent of the Q&A period is for vendors to better understand the overall RFP and identify any areas of concern. The Consortium may issue one or more addenda to the RFP based on those questions and the corresponding Consortium responses.

Questions, concerns, and suggestions regarding the contents of this RFP must be submitted via email by 3:00 PM PT in accordance with the schedule in Section 1.11 – Procurement Timeline. All questions and comments must be directed to the RFP/Proposal contact identified in Section 1.8 – RFP Proposal Contact. All questions will be answered, and both the questions and answers will be posted online in the Procurement Library. Prospective Bidders must use the Excel template located in the Procurement Library to document questions or concerns regarding this RFP.

## Proposal Submission SharePoint Site

Bidders must request a SharePoint site on which to upload Proposals. Each Bidder will be allocated a specific site which will be accessible by the individuals the Bidder identifies for access.

The request for SharePoint must be made via email to the RFP/Proposal contact as per Section 1.8 no later than the date as indicated in Section 1.11 – Procurement Timeline and must contain the following information:

* Email Subject Line: Request for Proposal Submission SharePoint Site
* Company Name
* Company Contact Name
* Company Contact Email Address and Phone Number

## Procurement Authority

In accordance with the CalSAWS JPA Agreement regarding the exercise of powers associated with making and entering into contracts, the Consortium conducts procurements under the authority of San Bernardino County.

# SAWS BACKGROUND AND OVERVIEW

## CalSAWS and BenefitsCal

CalSAWS automates the program enrollment, eligibility determination, benefits calculation, benefits distribution, correspondences, reporting, and other case management functions. It is designed to support the administration of human services and employment programs across 58 Counties and to provide users (i.e., the member Counties) with the ability to verify public assistance eligibility, compute benefits, distribute benefits, reduce administrative complexity, collect data provide accurate, timely and useful management and fiscal reports. Counties are responsible for initiating and authorizing transactions in CalSAWS.

CalSAWS is comprised of a case management system that supports the delivery of services to applicants and beneficiaries of public assistance programs, including:

* Medi-Cal
* California Work Opportunity and Responsibility to Kids/Temporary Assistance for Needy Families (CalWORKs/TANF)
* CalFresh/Supplemental Nutrition Assistance Program (SNAP)
* Cash Assistance Program for Immigrants (CAPI)
* Foster Care
* Refugee Cash Assistance (RCA),
* California Food Assistance Program (CFAP)
* General Assistance/General Relief (GA/GR)
* Adoption Assistance, Kinship Guardianship Assistance Program (KinGAP)
* Welfare-to-Work (WTW) employment programs
* California Medical Services Program (CMSP)
* Other health and human services programs

The BenefitsCal Portal is a service that connects users to applications and case management activities for Medi-Cal, CMSP, CalFresh, CalWORKs benefits and other cash programs in California. The Portal interfaces with CalSAWS as an integral part of service delivery. BenefitsCal was developed beginning in August 2020, was fully implemented in October 2021 and is now in the Maintenance and Operations phase in all 58 counties.

BenefitsCal has been designed, developed, and enhanced following a User-Centered Design (UCD) approach. UCD is founded on keeping the human experience at the forefront of system design. The UCD approach includes ongoing engagement with stakeholders and community members to conduct discovery sessions to understand the current and desired human experience, and to gather feedback regarding actual user experience to improve usability.

Since the initial release of BenefitsCal in September 2021, new features continue to be added to increase accessibility and engagement between the Counties and individuals needing assistance.

## CalSAWS Governance

The formal CalSAWS Joint Powers Authority (JPA) governance structure was established on June 28, 2019. The CalSAWS JPA is comprised of member County Welfare Department Directors, who carry ultimate responsibility over the CalSAWS Project and System. A separate CalSAWS Project Steering Committee, made up of County Human Services management resources, monitors the activities of the CalSAWS Executive Director and Project Staff. The monthly JPA and PSC meetings are public, and calendars, agendas and briefing materials are published on the CalSAWS website: <https://www.calsaws.org/>. The CalSAWS JPA constitutes a single legal entity for purposes of managing the CalSAWS Consortium, CalSAWS and BenefitsCal. The JPA also serves as the contracting vehicle for all procurements.

The CalSAWS JPA operates under the auspices of the California Health and Human Services Agency (CHHS). The CHHS serves as an umbrella organization over the State program sponsoring agencies: the California Department of Social Services (CDSS) and the California Department of Health Care Services (DHCS) and administers the Office of Technology and Solutions Integration (OTSI). Two of the CHHS strategic priorities include improving the lives of vulnerable Californians and integrating health and human services.

The mission of the CDSS is to serve, aid, and protect needy and vulnerable children and adults in ways that strengthen and preserve families, encourage personal responsibility, and foster independence. The mission of the DHCS is to provide Californians with access to affordable, integrated, high-quality health care, including medical, dental, mental health, substance use treatment services and long-term care. The DHCS vision is to preserve and improve the overall health and well-being of all Californians.

Together, CDSS and DHCS are responsible for overseeing the public assistance and health related programs noted above in Section 2.1 that are administered by the 58 California Counties, much of which occurs through the operation of CalSAWS. The OTSI provides oversight and management for all California health and human services systems, including CalSAWS and BenefitsCal. CalSAWS and BenefitsCal operate within this State supervised, County administered model.

The unified governance model reflects a greater level of commitment and collaboration between the Consortium and its stakeholders than in past SAWS Projects and supports informed decision-making and escalation processes. From a cultural perspective, the Consortium’s governance model fosters transparency, visibility, communication, and collaboration.

CDSS is responsible for the coordination of standing CalSAWS quarterly Collaboration Model meetings with stakeholders and the public to confirm appropriate involvement and representation in applicable CalSAWS and BenefitsCal enhancements. Meeting dates and materials are published on the following CDSS website: <https://cdss.ca.gov/inforesources/calsawsstakeholderengagementworkgroup>

Proposing Contractors are strongly encouraged to attend these open, public meetings to better understand the relationships between the Consortium and its stakeholders. In this context and throughout this RFP, the term “stakeholders” is used broadly and includes but is not limited to State partner agencies, Counties, the advocate community, Community Based Organizations (CBOs), clients/customers and the public.

The overall governance model, including the relationship between the State agencies and the CalSAWS Consortium, is reflected in the figure below.



Figure 1 - CalSAWS Governance Model – High Level

The CalSAWS operating governance structure is depicted in the figure below.

Text, timeline

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Figure 2 - CalSAWS Governance Structure

### CalSAWS Collaboration Model Overview

In 2018, California passed legislation that requires advocate, stakeholder and client involvement in the public-facing elements of CalSAWS, which includes the BenefitsCal subsystem. Through this legislation, a robust Consortium/Stakeholder engagement Collaboration Model (CM) framework has been implemented. Section 10823.3 of the Welfare and Institutions Code states:

(a) The development of the SAWS enrollment and eligibility functionality, case management systems, ancillary services, public portals, and mobile applications shall, to the extent possible within the technology, have the goals of: (1) Minimizing the burden of the overall eligibility process for enrollment and retention of benefits for low-income Californians and streamlining interactions for both clients and eligibility workers. (2) Facilitating applicant and client submission of feedback.

This is accomplished in the Collaboration Model through prioritizing enhancements to customer facing technology by a representative body made up of various stakeholders. Additionally, the CalSAWS BenefitsCal team will utilize additional input such as customer feedback or from performance tools to elevate enhancements for CM group consideration.

Please refer to Section 3.7.2 for more details regarding the Collaboration Model.

# CURRENT SYSTEM DESCRIPTION

California, its Counties, and stakeholders have a long partnership and commitment to excellence in service delivery for its health and human services programs. This partnership is built on effective communication, transparency and a shared vision of service to millions of low-income and vulnerable Californians. CalSAWS is the primary System for delivering health and human services benefits throughout California with BenefitsCal providing the public with access to their case information and to conduct business online.

This section provides an overview of the current CalSAWS Organization, BenefitsCal Team, CalSAWS System and a description of the current BenefitsCal System.

## CalSAWS Organization

The BenefitsCal Team is one part of the greater CalSAWS Organization and the CalSAWS System. The CalSAWS Consortium operates the CalSAWS System in a multi-vendor environment today, including the operation of the BenefitsCal System. The Consortium and Contractor teams work cooperatively on all aspects of the CalSAWS System, including public-facing involvement and communications, as well as ongoing application and BenefitsCal development, testing, deployment and maintenance.

The following figure depicts the high-level view of the current CalSAWS Consortium multi-contractor organization:

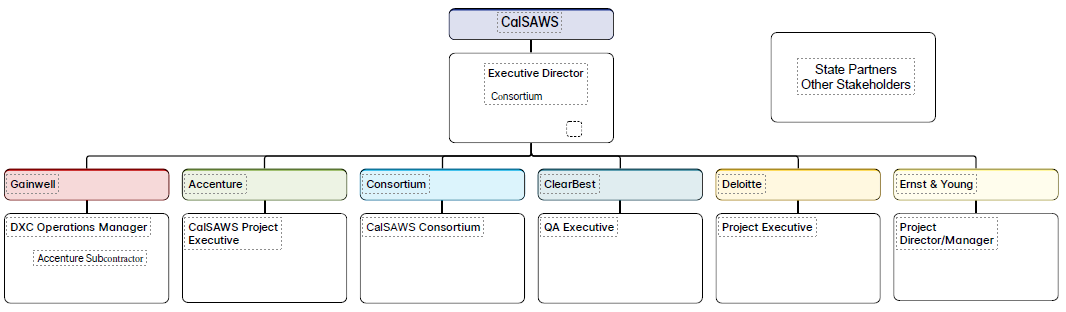


Figure 3 - CalSAWS Multi-Contractor Organization

The BenefitsCal Team operates within the CalSAWS multi-contractor environment, supporting the BenefitsCal application. The following figure depicts the CalSAWS BenefitsCal Team:

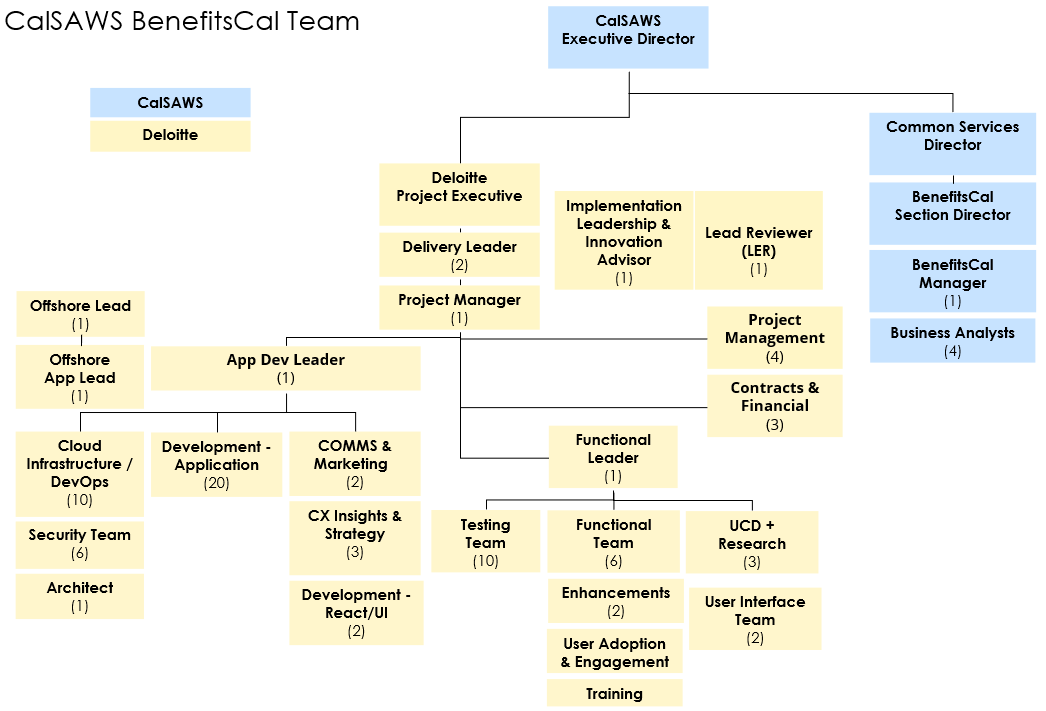


Figure 4 - CalSAWS BenefitsCal Team

### General Consortium Roles and Responsibilities

The Consortium monitors and oversees the work of all CalSAWS Contractors. The Consortium acts as the liaison between stakeholders such as State and Federal program sponsors, JPA Board of Directors, Project Steering Committee, Counties, interface partners and Stakeholders. The following table summarizes the various Consortium responsibilities associated with CalSAWS, including BenefitsCal.

Table 3 - Consortium Roles and Responsibilities

| M&O Services Roles and Responsibilities | |
| --- | --- |
| CalSAWS Consortium | |
| Project Management | * Work with Contractors to research and resolve deviations and perform issue escalation and resolution * Oversee Contractor Agreements and performance requirement commitments * Oversee CalSAWS and Consortium business coordination * Maintain and enhance BenefitsCal Project Sponsor and Stakeholder relationships * Maintain and evolve the Collaboration Model and Charter * Manage expectations and communications for the JPA Board of Directors, Project Steering Committee, and other stakeholders for the CalSAWS Project * Manage planning of Project funding |
| Change Control Board Process | * Co-Facilitate CCB process * Drive CCB priorities |
| Defect Management | * Initiate and provide input into the business impact of defects * Assist with the identification and communication of workarounds |
| BenefitsCal Analysis | * Create initial BenefitsCal requests * Review and approve BenefitsCal requests and Proposals * Review BenefitsCal Requests |
| Testing | * Consult and provide expertise to contribute to the Contractor(s) test activities * Conduct functional system testing in collaboration with the Contractor(s) including, API interface, correspondence, reports, and converted data system testing * Conduct County Validation Test pre-planning, planning, execution, monitoring and close-out activities * Complete planning activities, develop meeting materials and conduct the Green Light (Go or No-Go) meeting for each Major release |
| Performance Measurement, Monitoring and Reporting | * Review performance requirement reporting and performance requirements compliance |
| Procurement of CalSAWS Hardware and Software | * Provide Consortium Executive Director approval for new/change/removal of hardware and software purchases |
| Operations Management | * Assist with the research and resolution of escalated issues * Assist in the management of escalated defects and the notification of the necessary parties * Review of semi-annual Disaster Recovery test results |
| Batch Support | * Provide oversight of the research, resolution, and end-User management of escalated batch issues, such as batch job failure or exceptions * Monitor escalated batch issues to confirm timely resolution * Review service level reports |
| Maintenance (Architecture) | * Monitor escalated issues to confirm timely resolution * Manage communication and coordination of any impacts on the Consortium * Participate in the Change Advisory Board (CAB) process |
| Security Management | * Establish security policies and standards for the Consortium * Assist with the research, resolution, and escalation of security breaches as necessary * Report security incidents to external entities as necessary |

### Delivery Integration Roles and Responsibilities

The Consortium has established a new framework to oversee and manage the governance structure and processes for the Integrated Multi-Contactor environment. This framework incorporates system engineering/system integration principles and best practices. The Delivery Integration (DI) framework operates with a holistic orientation to:

* Facilitate, support and monitor the effectiveness of the Multi-Contractor Environment.
* Participate in the creation and execution of plans and processes to govern multiple contractors working collectively in the CalSAWS environment.
* Coordinate the timing and entry/exit criteria associated with design, build, test and delivery across contractors when multiple parties are required to implement a change or add a capability.
* Monitor and clarify lines of delineation between contractors.
* Monitor effectiveness of contractor interactions.
* Serve as the first entity to resolve disputes between or among contractors.

While the DI processes are separate and distinct from the CalSAWS PMO, the two are complementary in nature and will work in tandem.

The CalSAWS Chief Deputy Director oversees the Delivery Integration Team, comprised of members from the Consortium, BenefitsCal Contractor and other CalSAWS contractors. The BenefitsCal Contractor is expected to actively engage with the Consortium and other CalSAWS contractors in the administration and continuous refinement of this model. CalSAWS Section Directors will also participate as part of this team.

The Consortium expects the BenefitsCal Contractor to closely coordinate and work collaboratively with other CalSAWS contractors. The Contractors will review the statements of work and identify any possible Service gaps, conflicts or overlaps. The Contractors will jointly develop recommendations to resolve any such Service gaps, conflicts or overlaps and present to the DI Team for consideration and action. It is imperative that the Contractor is clear about their role and the other CalSAWS contractor respective roles, responsibilities, and obligations in order to achieve an effective Multi-Contractor environment.

The DI Team is responsible for reviewing contractor-specific plans updates and for reorganization and refinement to further reflect the integrated nature of the Services Plans. The Delivery Integration Team will also develop and implement new governance processes that promote the full integration of the Contractor and Consortium teams. Adherence to the new and improved processes will be monitored as part of the DI structure.

The DI Team maintains an integrated, consolidated CalSAWS Master Work Plan and will work with the BenefitsCal Contractor to identify and resolve any conflicting Tasks, priorities and resources. The CalSAWS PMO continues to assess contractor Work Plans/Schedules with a focus on start and finish dates, level of effort, resource loading, estimates to complete and estimates at completion. The PMO facilitates the Deliverable review and approval processes.

For design, build, test and implementation processes that involve multiple contractors, the Delivery Integration Team coordinates discussions regarding the timing of required steps for each Contractor and the Consortium. The Delivery Integration Team coordinates with the leaders of the Release Management processes regarding entry and exit criteria that must be satisfied by each Contractor involved in the system change process. The release management team facilitates discussions to determine overall release content, and the Delivery Integration Team and the Consortium QA Team provide input and recommendations. Similarly, the Test Management Team leads test efforts, but the DI Team and QA Teams will provide input.

With respect to resolving disputes, the DI Team serves as the first point of contact to resolve any disputes between and/or among Contractors. If the DI processes do not result in clear direction or resolution of the integration challenges or disputes, then the item is escalated through the CalSAWS Governance process for resolution. The PMO handles contract amendments and changes, but the DI Team provides support regarding scope and roles and responsibilities.

Detailed integration with the DI Team, and other CalSAWS teams, are defined within the Project Control Document (PCD) Deliverable.

On a regular basis, the DI framework provides reports and metrics regarding the effectiveness and timeliness of contractor interactions.

### BenefitsCal Roles and Responsibilities

The Deloitte Project team provides BenefitsCal services as defined in the current BenefitsCal SOW. The Deloitte Project team oversees and performs the management, operations, maintenance, and enhancements for the BenefitsCal Application.

Table 4 - Deloitte Roles and Responsibilities

| BenefitsCal Services Roles and Responsibilities | |
| --- | --- |
| Deloitte | |
| Project Management | * Oversee and perform the maintenance, operations, and enhancements for the Application * Key participant in the Collaboration Model and UCD process * Manage the Agreement, financials, and Work Schedule * Create and distribute the reporting * Conduct warranty tracking and remediation |
| Change Control Board Process | * Key contributor to CCB process |
| Defect Management | * Conduct triage and defect remediation planning * Resolve and implement defect fixes * Work with Consortium to identify acceptable workarounds |
| M&O Analysis | * Review M&O requests and create M&O estimates and Proposals * Provide usage and engagement trends/metrics * Drive improvements to the UCD process and public usage monitoring and outreach |
| M&O Implementation Support | * Prepare and maintain supporting training materials and on-line trainings * Provide change management support |
| Performance Measurement Monitoring and Reporting | * Manage and monitor the application performance based on contract performance requirements * Provide required Performance Measurement reporting * Conduct performance tuning activities as necessary to meet performance requirements |
| CalSAWS Software | * Install and configure System software and enhancements * Track and maintain the BenefitsCal software inventories |
| Operations Management | * Manage, operate, and monitor the application, business continuity/disaster recovery, security monitoring, and alerting * Perform Software component patching and upgrades |
| API Interface Support | * Manage API operations, monitoring, reporting, and escalation |
| Configuration Management | * Maintain traceability of requirements within Project tools |
| Maintenance | * Key Contributor to CAB process * Manage and perform application database and required software enhancements |
| Network Management | * Coordinate and resolve connectivity issues with Counties and public facing customers * Provide timely notification of connectivity issues or outages to impacted stakeholders |
| Security Management | * Implement Consortium policies and standards for security on the application * Monitor security for possible intrusions, such as the introduction of a virus or disabling device in the application * Create Disaster Recovery procedures and test * Identify, resolve, notify, and report security incidents based on level of severity * Conduct security assessments of the application, and related security controls |

### Quality Assurance Roles and Responsibilities

The ClearBest Project team provides Quality Assurance (QA) services as defined in the CalSAWS QA Services Agreement. The ClearBest Project team oversees and performs the management and delivery of QA Services for CalSAWS and BenefitsCal.

Table 5 - ClearBest Roles and Responsibilities

| M&O Services Roles and Responsibilities | |
| --- | --- |
| ClearBest | |
| Project Management | * Oversee and perform management operations and delivery of QA Services * Manage the CalSAWS QA Agreement, financials, and Work Schedule * Create and distribute the QA Services project reporting * Participate in the Collaboration Model and UCD processes * Conduct QA testing and monitor remediation |
| Change Control Board Process | * Participate in CCB process |
| Defect Management | * Monitor Production quality and contractor(s)defect remediation outcomes |
| BenefitsCal Analysis | * Review BenefitsCal requests, contractor(s) estimates and proposals * Confirm quality requirements are met * Conduct production release and overall project process retrospectives, deliver improvement recommendations |
| Performance Measurement Monitoring and Reporting | * Monitor contractor(s) System performance outcomes based on contract performance requirements * Evaluate contractor(s) required performance measurement reporting outcomes * Conduct performance reporting trend analysis to detect variances and anomalies, as necessary to meet performance requirements |
| Procurement of CalSAWS Hardware and Software | * Evaluate hardware and software capabilities and make recommendations for CalSAWS potential procurement * Review contractor(s) purchase estimates for accuracy and cost savings |
| Operations Management | * Monitor contractor(s) operations quality control methodologies for business continuity/disaster recovery, security, monitoring, and alerting; make improvement recommendations |
| Batch Support | * Evaluate contractor(s) batch operations, monitoring, reporting methodologies, escalation and remediation outcomes; make improvement recommendations |
| Configuration Management | * Validate traceability of project requirements within Project tools |
| Maintenance (Architecture) | * Participate in CAB process |
| Network Management | * Evaluate contractor(s) network and connectivity reporting; make improvement recommendations * Monitor contractor(s) timely notification of network issues or outages to impacted stakeholders |
| Security Management | * Implement consortium policies and standards for security on CalSAWS * Review contractor(s) Disaster Recovery procedures and test plans * Identify, resolve, notify, and report security incidents based on level of severity * Review security assessments of the BenefitsCal, application, and related security controls |

## CalSAWS Business Overview

Although Contractors are bidding on BenefitsCal M&O and are not bidding on the CalSAWS system, it is important to understand the scope of the CalSAWS system and how it relates to the BenefitsCal portal. CalSAWS is the County-administered case management system of record which is operational in all 58 California counties and supports California’s public assistance programs. Major components of the case management system include data collection, eligibility determination, benefit calculation, forms and notices for a variety of programs listed in Section 2. Users also use the system to manage such activities as employment services functions, childcare, fiscal recoupments, tasks, automated case assignment, state and management reporting. State and Federal policies/regulations were automated to support more efficient application processing, case maintenance and eligibility determinations. CalSAWS provides eligibility and ongoing management of federal, State and County programs, through its business processes and supports eligibility determination, benefit computation, benefit delivery, case management and information management.

CalSAWS users collect and process information provided by the customer from an online or paper application or gathered through an interview with the customer. The data is then processed through a rules engine which determines eligibility for programs, benefit levels and informing notices regarding the case actions.

Additionally, CalSAWS provides ongoing case maintenance for activities such as welfare-to-work, State/administrative hearings, and a Notices of Actions (NOAs) forms repository. CalSAWS interacts with and provides information to and from other CalSAWS subsystems such as lobby management/kiosks, task management, Interactive Voice Response (IVR), Imaging, CalHEERS and the BenefitsCal web portal.

CalSAWS utilizes multiple methods of integration between applications, services and exchange partners within CalSAWS and exposes APIs for development purposes. Methods, but are not limited to, include VPC peering for Restful APIs and Secure File Transfer to support County exchanges.

CalSAWS uses VPC peering and transit gateways to manage VPC connections and data transfers using VPC endpoints. The endpoints allow communication between the instances in the VPC and services.

CalSAWS APIs are developed and maintained using the AWS API Gateway service. These APIs allow the CalSAWS supported applications to access data and functionality from the backend services using RESTful and WebSocket APIs.

The interface data exchanges supported by CalSAWS utilize both nightly batch and real time processing, depending on the needs and capabilities of our interface partners.

In total CalSAWS supports over 19.9 million persons throughout California based on total Person Counts for all programs for State Fiscal Year (SFY) 2021/22. Additional key statistical information is provided in the table below.

Table 6 - CalSAWS Person Counts, Users, Transaction and Benefits Statistics Table

| CalSAWS Person Counts, Users, Transactions and Benefits Statistics | |
| --- | --- |
| Information | CALSAWS |
| Total Person Counts (SFY 2021/22) | 19,934,772 |
| Average Daily Users: January Through October 2023 | 37,000 |
| Average Daily Transaction Volume: January Through October 2023 | 22,000,000 |
| Benefits Issued: January – October 2023 | $14,200,000,000 |

## CalSAWS Systems Overview

This information is provided for reference only, as the CalSAWS Infrastructure Contractor is responsible for the BenefitsCal infrastructure and environments maintenance. CalSAWS has multiple functional components which are subsequently described within this section. CalSAWS utilizes a mixture of AWS serverless applications, Elastic Compute Cloud (EC2) oriented architecture, and on-premises networking solutions. Newer portals and applications are primarily serverless designs, while CalSAWS is built on tightly grouped EC2 architecture. The following figure reflects a high-level overview of the systems contained within the CalSAWS ecosystem, of which BenefitsCal is a newer portal.

Diagram

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Figure 5 - CalSAWS Systems Overview

The CalSAWS business areas with the business categories and processes that make up the Business Architecture Framework for CalSAWS are depicted in the following figure. The business functions and features that are common to BenefitsCal are shaded in yellow.

Graphical user interface, table

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Figure 6 - CalSAWS Business Architecture

## BenefitsCal Portal Business Overview

BenefitsCal is the online application portal used by residents of all California Counties and those agencies who assist them. The portal was developed and deployed on September 27, 2021 and integrates seamlessly with the CalSAWS system. The BenefitsCal portal serves as a front end, customer facing website enabling the public to securely apply for benefits, report changes, complete recertifications/renewals, upload documents, access case information and electronic correspondence, schedule appointments, submit verifications, and communicate with their workers, while providing a user centric/user friendly experience. The solution is compliant with Title II of the Americans with Disabilities Act (ADA), Section 508 of the Rehabilitation Act of 1973 and CDSS Regulations Section 21-115 Provision for Services to Applicants and Recipients Who are Non-English Speaking or Who Have Disabilities.

The CalSAWS system is the back-end case management system used by County eligibility workers and case managers to determine eligibility, produce notices and forms, issue benefits, produce reports, maintain customer data, and serves as the system of record for the eligibility and employment programs described above. The BenefitsCal portal resides in the Amazon Web Services (AWS) cloud environment.

In total, BenefitsCal supports over 3.5 million persons throughout California based on total Customer and County Based Organization (CBO) users as of December 2023. Effective October 31, 2023, all 58 counties were live on the BenefitsCal portal. The monthly operational and daily user activity metrics provided in the tables below reflect 58-County statewide usage.

Table 7 - BenefitsCal 58-County Monthly Operational Metrics Table

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Metric** | **December 2023** | **January**  **2024** | **February**  **2024** | **March**  **2024** | **April**  **2024** |
| Number of Active Client Accounts Created | 173,985 | 206,359 | 166,405 | 159,293 | 139,904 |
| Number of CBO / Assister / Partner Accounts | 440 | 459 | 449 | 519 | 463 |
| Number of Applications Submitted | 192,275 | 264,601 | 222,181 | 227,295 | 220,553 |
| Number of Renewals Submitted | 79,820 | 97,520 | 70,398 | 68,664 | 63,421 |
| Number of SAR7s Submitted | 50,740 | 62,859 | 58,021 | 57,977 | 54,368 |
| Number of Documents Uploaded | 2,270,019 | 2,842,866 | 2,437,712 | 2,428,353 | 2,410,331 |
| Number of Messages to a Worker | 23,415 | 28,240 | 22,388 | 19,034 | 18,923 |
| Changes Reported | 58,119 | 73,089 | 55,979 | 49,360 | 49,107 |

Table 8 - BenefitsCal 58-County Daily Login Metrics Table

|  |  |
| --- | --- |
| **Metric** | **May 15, 2024** |
| **Customer Users** | |
| New Customer Accounts Created | 5,103 |
| First-time Logins for Legacy Users Completed | 2,116 |
| Unique Customer Logins to BenefitsCal | 85,352 |
| Number of Customer Password Resets | 9,157 |
| Number of Customer Login Failures | 8,521 |
| Number of Customers Locked Out Today (Total) | 482 |
| Number of Customers Locked Out (Currently) | 40 |
| **CBO Users** | |
| New CBO User Accounts Created | 8 |
| CBO User Logins | 1,181 |
| Number of CBO Password Resets | 91 |
| Number of CBO Login Failures | 151 |
| Number of CBOs Locked Out Today (Total) | 0 |
| Number of CBOs Locked Out (Currently) | 0 |

## BenefitsCal Portal Architecture Overview

BenefitsCal was built on a Mobile First platform but will adjust to any browser accessed by the customer. BenefitsCal transmits information submitted by customers and Community Based Organizations (CBOs) to the CalSAWS system to provide the counties the application information, renewal information, documents, or other changes reported. Customers and CBOs can create an account through our Account Identity and Management System (ForgeRock). Customers are also able to submit applications without creating an account through an anonymous applications flow not available to CBOs. Customers can upload documents through our Imaging Solution (Hyland) to provide additional information and verifications to the County for application/renewal processing.

BenefitsCal is a Service Oriented Architecture-based (SOA)application developed using a microservices-based composite application architecture. The presentation tier was developed in ReactJS, leveraged in a React library based on Bootstrap, and is hosted on CloudFront content delivery manager (CDM). The CDM interacts with the services in the logic tier deployed on AWS Lambda, via the AWS API Gateway. Modular services communicate through Representational State Transfer (REST) defined microservices. In addition, BenefitsCal uses AWS Simple Queue Service (SQS) to provide guaranteed delivery.

The following figure presents the BenefitsCal portal architecture.

Diagram

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Figure 7 - BenefitsCal Architecture

## Security

The Consortium provides the policies that Contractors must adhere to when designing, developing, implementing and operating CalSAWS. These policies are based on National Institute of Standards and Technology (NIST) Special Publication 800-53 revision 4, the Customized CalSAWS System Security Plan (SSP), which meets the Specifications for FedRAMP System Security Plan for Moderate Classification Systems, and flow-down laws and Regulations from the CalSAWS Privacy and Security Agreements with CDSS and DHCS.

The CalSAWS Chief Information Security Officer has oversight responsibilities that include the testing and validation of the vendor implementation of the NIST SP 800-53 security controls. In addition, the Consortium Security team performs audits periodically focused on technical vulnerabilities for the overall CalSAWS program and interconnected system. This team also supports the independent third-party technical security audit performed on a regular basis.

The audits assess that:

* The implementation of each control is documented with evidence to prove compliance to the control.
* All technical systems properly implement the security control according to the Center for Internet Security (CIS) controls benchmark standard for the appropriate technology.
* The non-technical controls are properly implemented according to the processes documented in compliance with NIST and CalSAWS security control baselines.
* Any known deficiencies are properly documented with Plan of Actions and Milestones (POAMs) created to track their remediation.

A report will detail the results categorized by each NIST control family and provide the remediation for the security control according to the CIS benchmark.

The Consortium leads the CalSAWS Architectural Standards Review Sessions to confirm accountability, transparency, responsiveness, inclusiveness, empowerment and broad-based participation in the development of CalSAWS Secure Architectural Standards. The Consortium facilitates the approval process and adoption of standards.

Security services provided by the vendor for BenefitsCal currently include:

* Access Control, including regular access control audits of users provisioned to roles and permissions assigned to roles.
* Specialized security role training for vendor and Subcontractor personnel employed in security roles.
* Monitoring and alerting provided by a centralized Security Information and Event Monitoring system that is monitored 24/7, with ingestion from across CalSAWS and resources.
* Security assessment of all modifications, changes, and acquisitions for the System.
* Regular auditing of System configurations and changes, to confirm an accurate accounting of all System components and proper execution of Change Management processes.
* Security integration with contingency planning and disaster recovery activities and testing.
* Security incident response, including a 24/7 response capability to address security incidents based on severity and impact to the confidentiality, integrity, and availability of the System.
* Continuous security vulnerability scanning and remediation within required timeframes, including coordination with BenefitsCal and application release management activities.

## Current BenefitsCal Maintenance and Operations Processes

This section contains the following topics in support of the CalSAWS Maintenance and Operations Processes.

* Stakeholder Roles and Responsibilities
* Collaboration Model
* User Centered Design
* System Change Request Process
* Release Management
* Central Service Desk Model
* Technical Change Management Process

### Stakeholder Roles and Responsibilities

The BenefitsCal customer online application portal enables the public to securely apply for benefits, report changes, access case information, schedule appointment, access electronic correspondence, submit verifications, as well as support a user centric/user friendly experience. The Consortium imperative is to consistently provide for the unobstructed input of affected stakeholders. Stakeholder groups have collaborated to facilitate the expansion and end user acceptance of the BenefitsCal application. The table below lists the responsible groups and the corresponding activities.

Table 9 - Roles and Responsibilities

| **M&O Activity** | **Responsible Group(s)** |
| --- | --- |
| * Conduct field research to inform enhancement releases * Engage various surveying techniques, including always-on surveys, targeted intercept surveys and email surveys * Employ system monitoring techniques, such as text analytics, social listening and web analytics * Conduct usability testing and usability reviews on a regular interval and on an as-needed basis * Gather, validate and share information gained from UCD activities and develop insights and potential improvements * Take ideas gathered from UCD activities during M&O activities and iteratively prioritize solutions and improvements | BenefitsCal Contractor Team |
| * Collaborate with the BenefitsCal Team to ideate and validate surveying techniques * Collaborate with the BenefitsCal Team to ideate and validate system monitoring techniques * Collaborate with the BenefitsCal Team to ideate and validate usability testing approach and usability reviews * Collaborate with the BenefitsCal Team to identify stakeholder groups that may be interested in participating in field research * Collaborate with the BenefitsCal Team to review potential solutions and improvements | CalSAWS Consortium |
| * Collaborate with the BenefitsCal Team to identify stakeholder groups that may be interested in usability reviews and studies * Collaborate with the BenefitsCal Team to participating in field research * Collaborate with the BenefitsCal Team in the prioritization of enhancements | Advocate Stakeholder  Assisters (CBO/FBOs)  Counties  State Partners |
|  |  |

### Collaboration Model

Public input to the function and usability of the BenefitsCal System is paramount to its effectiveness and widespread public acceptance. To facilitate customer engagement the Consortium has created the BenefitsCal Collaboration Model (CM), supported by the CM members, comprised of customers, Counties, CBOs, State and advocate stakeholder groups, who validate and prioritize system changes.

The figure below details the partners and input channels included in the Collaboration Model.

Chart, bubble chart

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Figure 8 - Collaboration Model

The Collaboration Model members consider the following information to determine which enhancements to bring forward for prioritization. Does the proposed change:

* Align with current State policy?
* Enhance the overall customer and eligibility worker experience?
* Promote equitable access to benefits, with a focus on serving hard-to-reach populations, non-English speakers, and/or those with unique accessibility needs?
* Address a customer need, including those identified through customer surveys, focus groups, and other customer experience measurement channels?
* Support the overall benefits journey through streamlined administration of benefits?
* Acknowledge system constraints to implementation?
* Identify opportunities to organize a set of enhancements that are related in system function, design area, module, or other logical grouping?

BenefitsCal SCRs can be submitted via three separate sources: a stakeholder group, the CalSAWS/BenefitsCal Consortium Team and the BenefitsCal Contractor. Collaboration Model enhancement requests are submitted on a quarterly basis. Initial review is conducted by all groups to disposition requests and validate those that meet the defined criteria are positioned to move forward for member prioritization. Communication and transparency are key success factors for this stakeholder engagement so by design there are multiple touch points as requests move through the quarterly cycle. Members are notified of the review results and given opportunity to provide additional clarification, as appropriate. Then all enhancement requests regardless of how they have been dispositioned, are discussed at the subsequent quarterly meeting. Upon conclusion of the quarterly meeting members have five days to prioritize the requests confirmed to move forward. The prioritization results are then communicated through the quarterly meeting notes and reviewed during the following quarterly meeting. Figure 9 represents the Collaboration Model Enhancement Request and the Management Flow Process. The following figure depicts the high-level path of each instance.

Diagram

Description automatically generated

Figure 9 - Enhancement Request Management Flow

### User-Centered Design

With the aim to enhance the overall experience of customers, CBOs, and the counties, CalSAWS BenefitsCal Contractor facilitates a number of UCD forums. Ad hoc and monthly UCD meetings are conducted to 1) share information about BenefitsCal UCD activities and the associated outcomes and 2) solicit feedback from participants on in-progress designs for prioritized changes to the BenefitsCal portal.

Key UCD activities include:

* UCD Discovery Research – Research is used to understand the needs of individuals, which then informs enhancement requirements and design.
* Ad hoc and Monthly UCD Meetings – Meetings are held with various stakeholders including policy, public, and advocate co-leads to discuss upcoming SCRs and enhancement requests.
* Enhancement-specific Focus Group Sessions – Sessions are held with the end users (i.e., customers, counties, and CBOs) as part of the enhancement design and implementation process to discuss and gain end-user feedback.

The User-Centered Design is a four-staged purposeful process in which the focus is upon the users and their needs in each phase of the design process. The following figure depicts the four-stage User-Centered Design Process.

Diagram

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Figure 10 - User-centered Design Flow

### System Change Request Process

Often, changes to the BenefitsCal application impact other functional areas of the CalSAWS system. Therefore, required design changes must be coordinated with other planned CalSAWS System changes. The System Change Request (SCR) is the documentation used by the CalSAWS Project to track all planned CalSAWS and BenefitsCal system functional changes. The SCR process is utilized when new or updated BenefitsCal functionality is needed. The process follows a series of steps that include Committee, Stakeholder, and public input.

The requested change is typically identified through either a state policy letter, a request from a County, an enhancement request submitted by the Collaboration Model group or created by a BenefitsCal/CalSAWS team member. The SCR process is described below.

* Public submissions through Collaboration Model – The BenefitsCal team works closely with the Collaboration Model group which is comprised of State, advocate, County, public, and other stakeholders to prioritize changes to the BenefitsCal public facing pages. These are done at a quarterly meeting through the Collaboration Model group submission. Similarly, non-State policy related enhancements, a change submitted by counties or stakeholders for updating non-policy related functionality, follow the Collaboration Model process. The CalSAWS/BenefitsCal team creates the SCR.
* State policy letter – CalSAWS team creates a new SCR.
* Single County operational request such as GA/GR rules, business reply mail address changes or EBT printer change – CalSAWS team creates SCR.

The current SCR process is evolving to align with a more agile development method focusing on collaborative decision-making, customer input and satisfaction, and development over multiple short cycles or sprints. Figure 11 below depicts the traditional waterfall development approach that was the consistent CalSAWS application development approach for many years. Figures 12 and 13 depict the process evolution underway to align and adopt an agile methodology across all CalSAWS application development activities, including those for BenefitsCal.

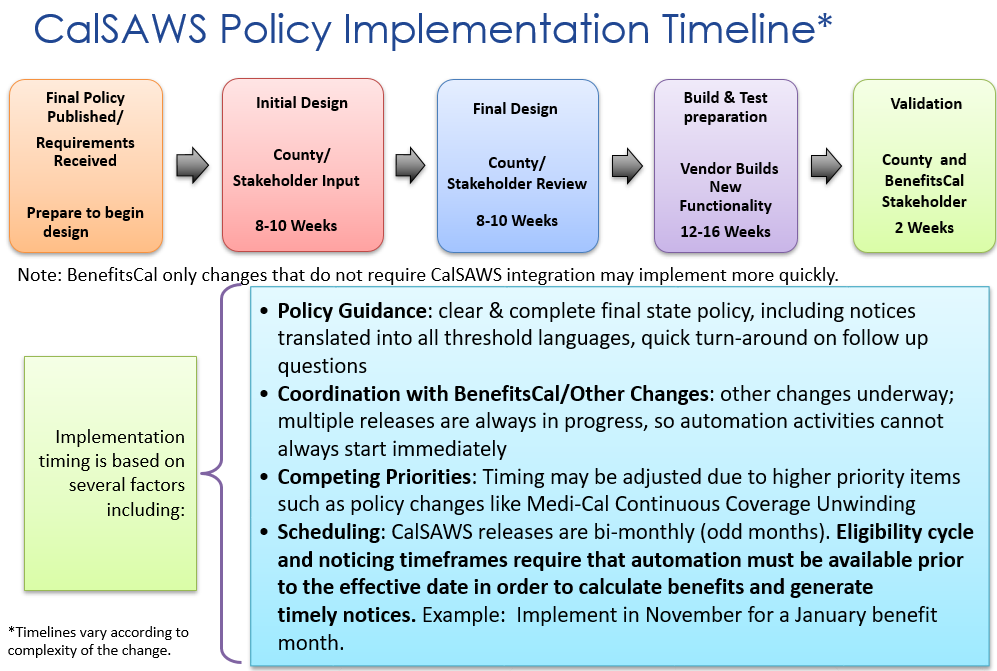


Figure 11 - SCR Process, CalSAWS Policy Implementation Timeline

Chart

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Figure 12 - SCR Process, Hybrid/Agile Design Approach

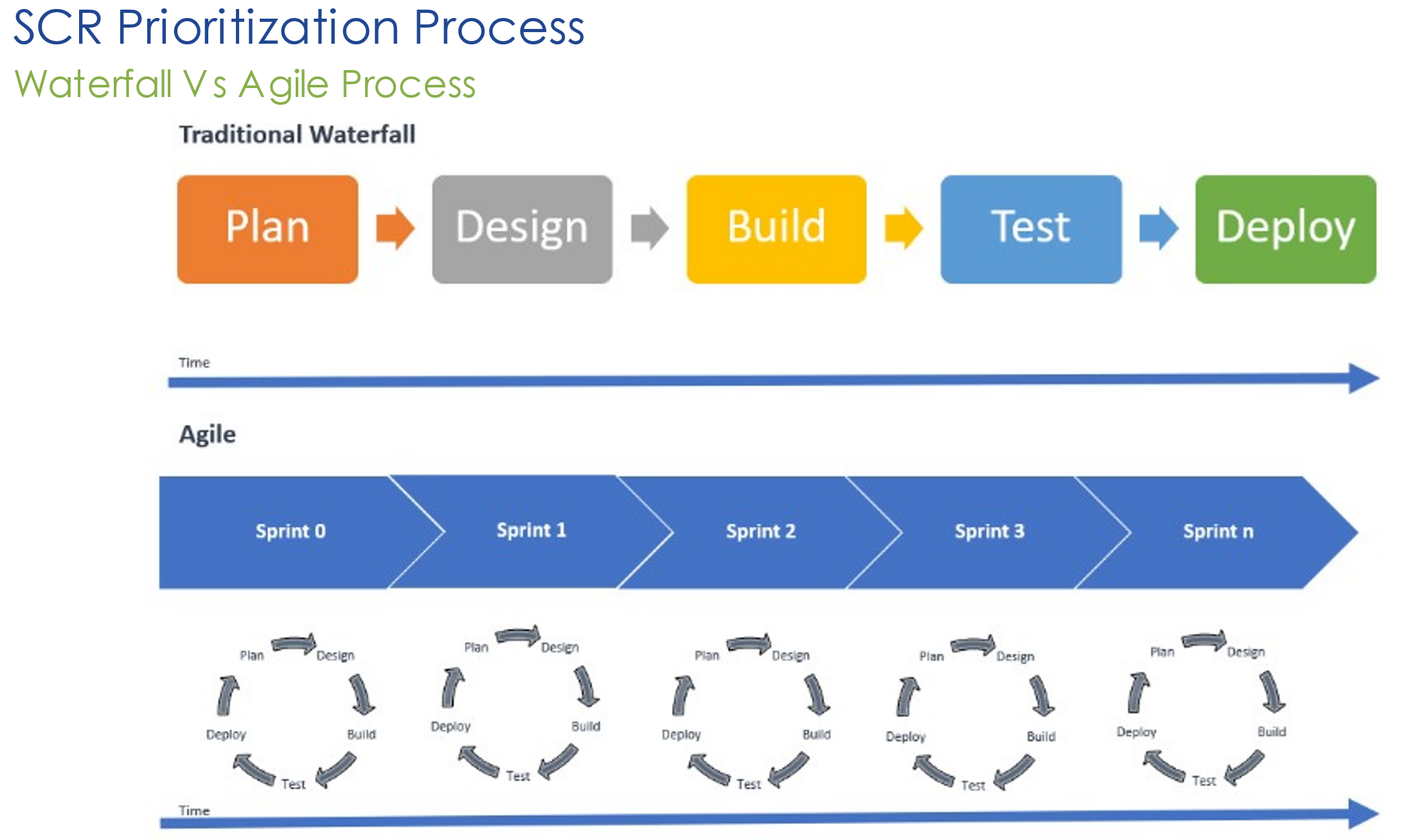


Figure 13 - SCR Prioritization Process, Waterfall vs. Agile

### Release Management

Release planning and management is required to confirm software releases are implemented smoothly and are highly reliable. The CalSAWS integrated release strategy and management requires planning, coordination, execution and integration with all Contractors and all teams before, during and after all releases and, at a high-level, includes:

* Identifying the Release Contents
* Scoping the Size of the Release
* Finalizing the Deployment Strategy
* Finalizing the Release Timeline
* Determining the Rollback Strategy
* Planning the Readiness and Green Light Schedule
* Planning the Release Retrospective

The Consortium plans for Major and priority Minor Releases. Major Releases typically add new features or deliver changes with increased complexity. Minor Releases typically deliver priority release items, warranty items or smaller, less impactful changes. All BenefitsCal Major Releases occur every month, are coordinated with the CalSAWS application every-other-month Major Release schedule and follow the CalSAWS Green Light processes. SCRs are typically bundled into releases, based upon end-user priorities and effectiveness, and developer efficiencies. Input from County experts and Project teams is used to manage any dependencies. The Consortium’s SCR queue is stored in Jira.

Production defects are identified after a release has been moved into Production. The status of the defect fix and re-test pipeline is also reflected for each of the defect severity categories in Jira to establish the number of defects remaining to be fixed, re-tested, and closed for each of the releases.

BenefitsCal uses multiple environments to support the Application Development efforts including Development, Testing, Training, Staging and Production. The following table lists the available BenefitsCal environments.

Table 10 - BenefitsCal Environments Matrix

| **Environments** |
| --- |
| Development (DEV)1 and 2 |
| Integration (INT) 1, 2 and 3 |
| Performance (PERF) |
| Production (PROD) |
| Production (PROD) |
| Production (PRODSTG) |
| Training (TRN) |
|  |

### Central Service Desk Model

The CalSAWS Central Service Desk utilizes a multi-tier model and is the responsibility of the CalSAWS M&O Infrastructure Contractor. The model is organized into three tiers as described at a high-level below:

Tier 1 is the initial contact point for all interactions with the CalSAWS Service Desk. Tier 1 creates ServiceNow Cases for each interaction, categorizes the Case, attempt to resolve and, if necessary, escalates to Tier 2 with the creation of a related ServiceNow Incident. The CalSAWS Contractor escalates BenefitsCal incidents to Tier 2 which cannot be resolved at Tier 1.

Tier 2 reviews the escalated Incident and attempts to resolve. Upon resolution, the Incident and related Case(s) are all closed. For Incidents that cannot be resolved by Tier 2, Tier 2 consults with the appropriate Tier 3 expert(s) and either resolves or escalates to Tier 3, if necessary. The CalSAWS Contractor will escalate BenefitsCal incidents to Tier 3 which cannot be resolved at Tier 2.

Tier 3 is staffed with CalSAWS Contractor Application Development, Production Operations and Technical subject matter experts. Tier 3 creates a ServiceNow Problem and assigns it to the appropriate expert for an application, hardware, software or connectivity/network fix. The BenefitsCal Contractor will resolve all BenefitsCal Tier 3 incidents. Upon resolution, the Problem and related Incident(s) and Case(s) are all closed.

* The CalSAWS Service Desk model has two Tier 1 methods. Some CalSAWS Counties operate their own local Tier 1 County Help Desk. The Tier 1 County Help Desk triages the ServiceNow Case, categorizes the issue, and attempts to resolve. If the Tier 1 County Help Desk cannot resolve the ServiceNow Case, a ServiceNow Incident is created and escalated to the CalSAWS Tier 1 Service Desk for resolution.
* For those Counties that do not operate a local Tier 1 County Help Desk, the CalSAWS Service Desk provides the Tier I service and creates ServiceNow Cases for the reported issues, categorizes the issues, and attempts to resolve.

The table below indicates which of the CalSAWS 58 Counties use the CalSAWS Service Desk for their Tier 1 support and which operate their own Tier 1 County Help Desk.

Table 11 - County Help Desk Support

|  |  |
| --- | --- |
| **CalSAWS Service Desk**  **Tier 1 Support Model** | |
| **Tier 1 CalSAWS Service Desk** | **Tier 1 Local County Help Desk** |
| Alpine, Colusa, El Dorado, Inyo, Kern, Kings, Marin, Mariposa, Modoc, Mono, Plumas, Riverside, San Benito, San Bernardino, Sierra, Siskiyou, Tuolumne | Amador, Alameda, Butte, Calaveras, Contra Costa, Del Norte, Fresno, Glenn, Humboldt, Imperial, Lake, Lassen, Los Angeles, Madera, Mendocino, Merced, Monterey, Napa, Nevada, Orange, Placer, Sacramento, San Diego, San Francisco, San Joaquin, San Luis Obispo, San Mateo, Santa Barbara, Santa Clara, Santa Cruz, Shasta, Solano, Sonoma, Stanislaus, Sutter, Tehama, Trinity, Tulare, Ventura, Yolo, Yuba |
| **17 Counties** | **41 Counties** |

#### Production Incidents

Production incidents are created, assessed, categorized, prioritized and dispositioned in ServiceNow. Incidents determined to be valid Production defects are tracked through the fix and re-test pipeline and released to Production consistent with the Consortium’s Release Management Process.

The BenefitsCal ServiceNow Incidents by State and Age chart below depicts the *ServiceNow* problems associated to 58 Counties, March 25, 2024 through April 7, 2024. Problems represent issues that can have a many to one relationship with incidents and the final step in escalation.  The dates on the x-axis represent the start of a week.

|  |  |
| --- | --- |
|  | |
| Table  Description automatically generated | |
|  | ***Aging “State” definitions:*** |
| **New** | Incident triage not started. |
| **In Progress** | Incident triage in progress. |
| **On Hold** | Incident triage paused – awaiting information/problem. |
| **Resolved** | Incident triage completed providing steps for resolution. |
| **Closed** | Incident triage completed after a defect fix or change request implementation. |

Figure 14 - BenefitsCal ServiceNow Incidents by State and Age

#### ServiceNow Incident Metrics

The graph below represents ServiceNow Incidents created associated with fifty-eight (58) counties February 12, 2024 through April 1, 2024.

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Figure 15 - BenefitsCal ServiceNow Incidents Created

The graph below represents ServiceNow Incidents resolved associated with fifty-eight (58) counties February 12, 2024 through April 1, 2024.

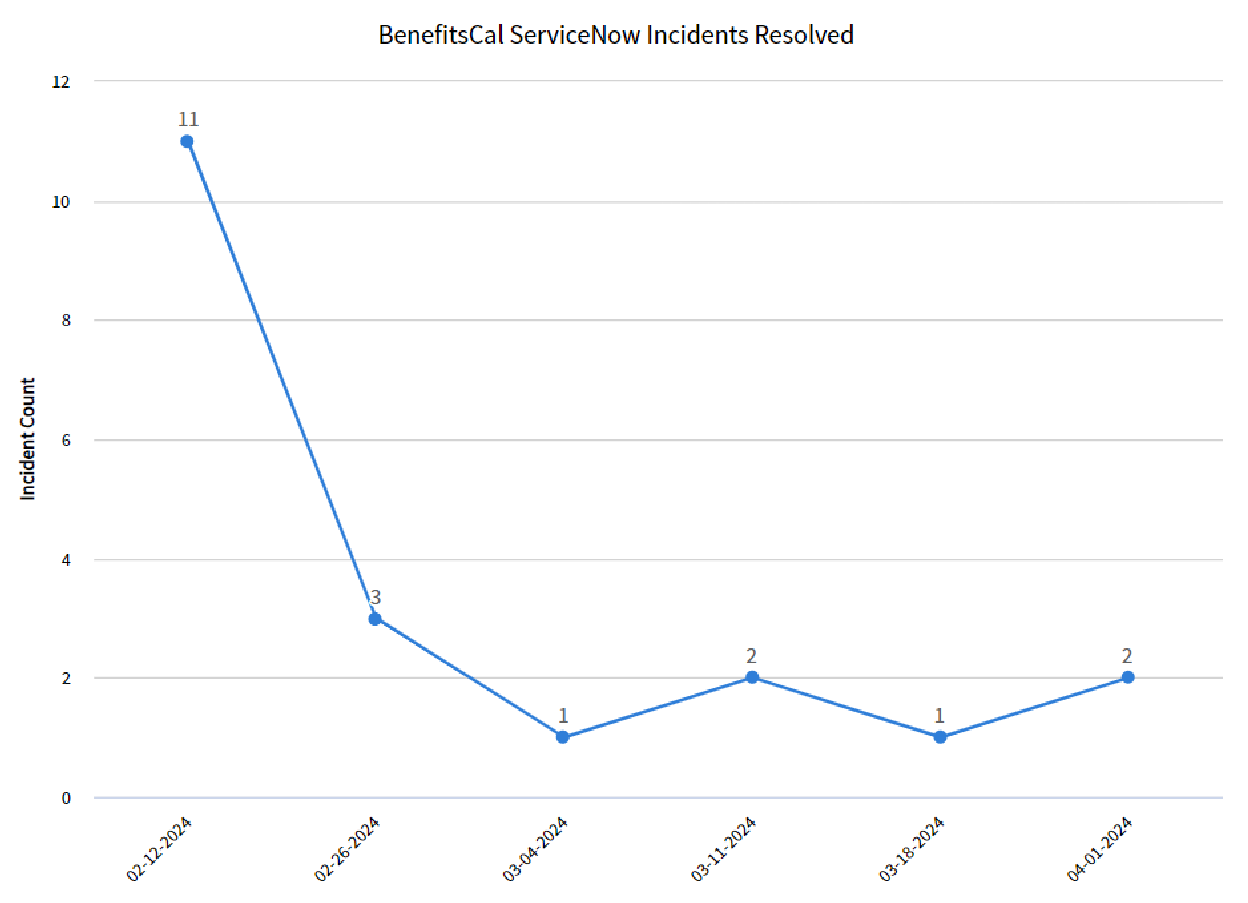
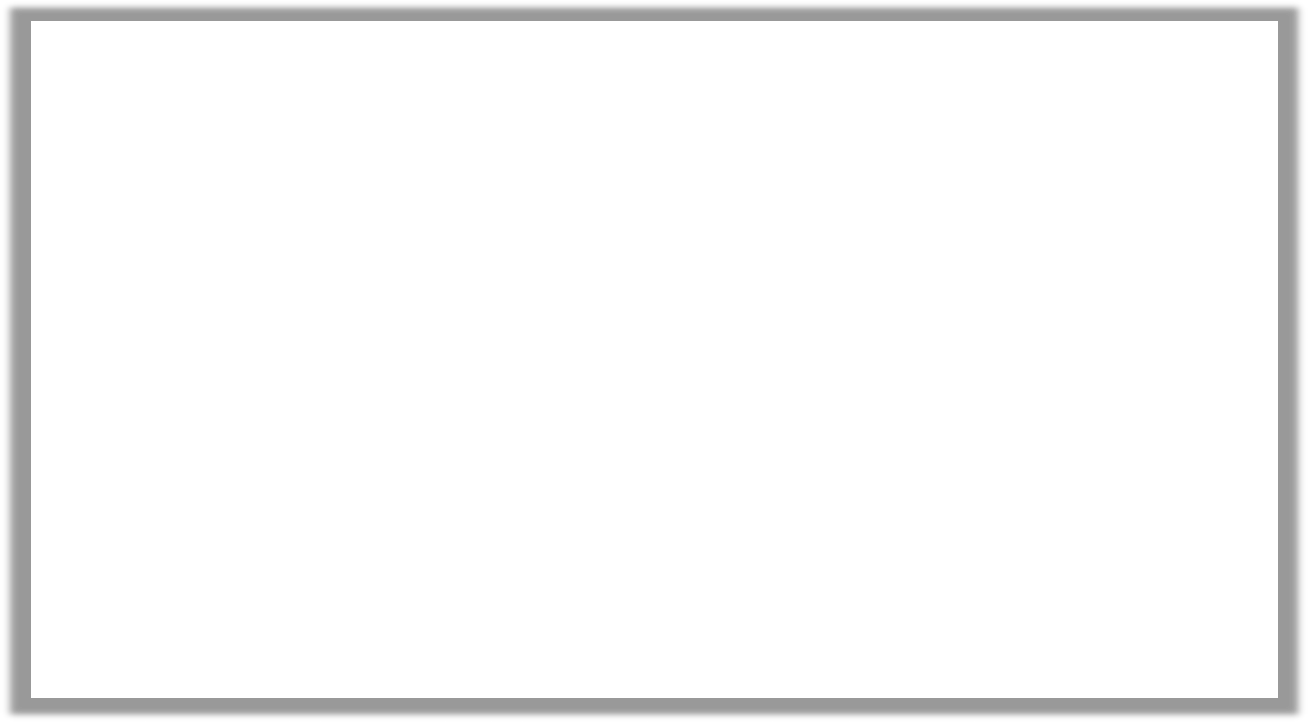


Figure 16 - BenefitsCal ServiceNow Incidents Resolved

### BenefitsCal Technical Help Desk

The 58 CalSAWS Counties receive calls from the public and CBOs related to the BenefitsCal application. The County Tier 1 Help Desks attempt to resolve the caller’s issue, however there were instances where the County was unable to resolve the caller’s concern. Initially, Consortium staff, acting as the Tier 2 BenefitsCal support, assisted individuals where the County had been unable to resolve the concern. In the event the Consortium could not resolve the problem, then the problem was transferred to the BenefitsCal Contractor Tier 3 support.

The BenefitsCal Technical Help Desk (Technical Help Desk) was established in July 2022 to replace the temporary Consortium Tier 2 BenefitsCal support. The creation of the Technical Help Desk did not change the responsibilities of either the County Tier 1 support or the BenefitsCal Contractor Tier 3 support. The ongoing BenefitsCal Technical Help Desk will be part of the CalSAWS M&O Service Desk – defined as the responsibility of the CalSAWS Infrastructure Contractor.

The Technical Help Desk is currently staffed with five (5) FTEs, sufficient to handle an average of ninety (90) calls per day, of an average call length of fifteen (15) minutes. The Contractor staff have access to ServiceDesk and JIRA, the CalSAWS Help Desk tool and Project Management issue tracking tool, respectively; and Frequently Asked Questions and short job aids. The Technical Help Desk staff also access the BenefitsCal “sandbox” or equivalent environment to research or test a possible resolution by viewing existing functionality and experiencing the expected correct processing. The scope of the Technical Help Desk does not include infrastructure software, hardware, and network upgrades or additions. This remains the responsibility of the CalSAWS Infrastructure Contractor.

## BenefitsCal Application Maintenance

The BenefitsCal application maintenance hours take both policy and enhancements into consideration. From a unified customer experience perspective, it is important to note that different programs have different rules, and, as a result, they do not always align with each other within the BenefitsCal application.

The following table includes the hours allocated for the BenefitsCal ongoing policy and maintenance changes and Operations.

Table 12 - Current CalSAWS BenefitsCal Services and Hours

|  |  |
| --- | --- |
| **Contractor Services – Application Maintenance** | Hours Per Month |
| SCR-Driven Application Changes | 2,500 |
| Operations Including Management, Level 3 Service Desk, Security and Continuous Improvement | 1,500 |
| **Combined Total** | **4,000** |

### BenefitsCal System Change Requests

In 2023, 176 BenefitsCal SCRs (not identified by the Collaboration Model) were implemented. These changes were identified and prioritized to support one or more of following activities:

* Policy compliance
* CalWIN migration activities
* Technical upgrade
* Usability feedback
* Additional data collection or reports

### BenefitsCal Collaboration Model Enhancements

In addition to the BenefitsCal SCRs implemented in 2023, the Consortium released a total of eighteen (18)BenefitsCal enhancements prioritized by the CM Group. As of January 2024, there are approximately twenty (20) BenefitsCal enhancements already prioritized for implementation and approximately twenty-nine (29) enhancements under consideration by the Collaboration Model Group.

### State Driven System Change Requests

The State of California and external stakeholders also request detailed System estimates from the Consortium for possible policy changes to CalSAWS, including those that may also require changes to BenefitsCal. These State-driven estimates typically come through SAWS Cost Estimate for Research & Analysis (SCERFRA) and may result in an SCR. Depending on the size of the estimate, funding is typically obtained outside of the current CalSAWS BenefitsCal hourly budget and can be requested through a State premise item. The Consortium manages these requests, seeking input from all impacted vendors.

Requests for system estimates or data requests come from a variety of communications.

The following table provides an accounting and status of the SAWS Cost Estimation Request for Research and Analysis (SCERFRA), and the SAWS Information Request for Research and Analysis (SIRFRA), requests dispositioned from January 2022through March 2024.

Table 13 - Summary of SCERFRA/SIRFRA Requests

|  |  |
| --- | --- |
| **SCERFRA/SIRFRA Requests** | |
| **Status** | **Total** |
| New/Assigned | 2 |
| Completed | 172 |
| Duplicate | 1 |
| Pending Clarification | 0 |
| Withdrawn | 8 |
| **Total** | **183** |

### Technical Change Management Process

The CalSAWS Technical Change Management process is utilized when any new technical changes are necessary. The process follows a series of stage gates that are triggered based on the impacts of the request and provides the opportunity for the Consortium to provide input.

* The first gate, Integrated Environments, is where large environment and integration change Proposals are evaluated for their impact to CalSAWS and other contractors.
* The second gate, Security and Architecture, evaluates changes that impact BenefitsCal, application design, and networking.
* The third gate, FinOps, is where requests that have financial impacts or business impacts are evaluated for appropriateness.
* The fourth and final gate, is Operations/Tech CAB, where changes are evaluated for operations impacts, scheduling dependencies, and implementation plan design.

The process is illustrated below followed by a brief description of each review gate.

Diagram

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Figure 17 - Technical Change Management Process Workflow

#### Integrated Environments Management

The Consortium leads and facilitates Integrated Environment Management. This program establishes a platform for contractors to discuss and plan environment needs with integration partners and the Consortium stakeholders. On an annual basis, a series of wholistic environment planning sessions is utilized to conduct comprehensive planning and validation of shared Documentation.

Contractors use a common set of templates to document and plan environment details with agreed upon data points which include considerations for purpose, size, Data types used, data masking requirements, complexity, integration duration and use case. The template output is incorporated into the integrated master environment directories, schedule, and mapping which are stored in a shared location as cross-vendor resources.

#### Security and Architecture Review

The Consortium implemented a formal review process to confirm accountability, transparency, responsiveness, inclusiveness, empowerment and broad-based participation in the development of CalSAWS Secure Architectural Standards.  The process is well documented which includes the process flows, information on the vendor distribution list, instructions and templates.

Following the core principles, the Consortium and vendors will make intelligent decisions that ultimately result in best practices to be adopted as CalSAWS Secure Architecture Standards. The Consortium Architecture Team includes Consortium Security and Architecture teams, Consortium’s QA contractors and AWS advisors. CalSAWS Vendor Teams participate by attending the bi-weekly meetings to present designs for discussion and consideration and to participate in the review of submissions for consideration.

The Consortium and CalSAWS contractors belong to a single distribution group, so information and communication is transparent and shared with everyone**.** All artifacts are considered open source and available to all CalSAWS contractors to use.

Consortium Security and Architecture teams facilitate the meetings and provide baseline Security Standards with CalSAWS contractors to garner feedback, support and ultimately adoption.

#### FinOps Management

The Consortium facilitates CalSAWS FinOps Management to foster collaboration across the program to drive decisions based on business value and for the financial stewardship of technology resources including cloud services, hardware and software. FinOps has active participation from a matrix team of contractors and Consortium stakeholders in both the business and technology divisions with shared accountability.

The Consortium utilizes best practices from the FinOps Foundation, AWS Well-Architected Framework and has adopted six principles found in O’Reilly’s Cloud FinOps:

* Teams need to collaborate.
* Decisions are driven by the business value of cloud.
* Everyone takes ownership of their cloud usage.
* FinOps reports should be accessible and timely.
* A centralized team drives FinOps.
* Take advantage of the variable cost model of the cloud.

The CalSAWS FinOps practice centers on three main functions: analysis, optimization, and forecasting. These functions each have continuous cycles that work as inputs to each other and contribute to the delivery of measurable outcomes.

The analysis function focuses on informing the program on usage and cost. It seeks to identify waste and inefficiencies in the utilization of resources as well as evaluate the ongoing release of new technology and enhancements that could be adopted in CalSAWS to deliver performance improvements and cost savings. All Data and summary of findings are provided in a suite of regular reports accessible to all contractors and used as the primary input to the curation of the optimization queue.

The Optimization function is where the Consortium partners with contractors on a continuous process of prioritizing and selecting opportunities from the optimization queue to design and implement solutions that deliver identified savings or additional business value. Opportunities regularly include efforts like rightsizing, consolidation, schedule tuning, resource reservations, and version upgrades.

The Forecasting function is where forecasting models are built and refined for technology spend based on actual usage Data and planned changes to the current run rates. The forecasts are then evaluated against program budgets to confirm alignment and inform leadership decision making.

#### Operations Tech CAB Review

The Operations / Tech Change Approval Board (CAB) review is a formal review, evaluation and prioritization of technical changes to confirm the change request has the proper communication and implementation plan, appropriate scheduling, and that all operational impacts and dependencies have been considered and addressed. During CAB, coordination across Project teams and Contractors is solidified and the final stakeholder communications are approved for the change. The Technical CAB was established to avoid surprises and confirm coordinating, scheduling, and communicating with all impacted by the technical change has been fully vetted and approved. The Consortium has established the following primary CAB objectives and protocols:

* The CAB participation must be a cross section of all Project disciplines.
* The CAB objective is intended to inform, collaborate, and integrate technical change planning, approvals, and execution with all Project disciplines.
* The CAB process is intended to eliminate surprises, identify and manage risks, and achieve smooth technical change implementation.
* The CAB Proposal must follow all CAB Documentation protocols for accuracy and completeness.
* The CAB Proposal must include an Implementation schedule and plan, including communication approach.
* The CAB approval requires the change plan be fully integrated with other planned Project changes.

# BENEFITSCAL FUTURE SYSTEM

This section describes the Consortium’s vision for the future BenefitsCal subsystem as part of the CalSAWS enterprise. It includes the scope of this procurement and the expectations for the BenefitsCal Services sought through this procurement process.

The Consortium is committed to partnering with a Contractor who will assist in ensuring that BenefitsCal continues to operate and mature as a “Best in Class” solution. The Consortium is seeking Bidders who share this commitment and can bring insight and innovation while supporting the needs of the public and the California Counties. The selected partner(s) must demonstrate their capability to work as part of a collective team, to be flexible, nimble and adapt to changes in legislation, program/policy and emerging technologies. This includes achieving Federal goals for supporting states to streamline access to benefits. The Federal objective is to help States adopt leading practices and innovate in Federal benefits delivery to allow families to apply for a suite of benefits in 20 minutes and receive eligibility determinations within a day. The selected partner(s) will identify and deploy complementary business solutions and technologies representing the best value to the Consortium.

## BenefitsCal Procurement Objectives

The Consortium has adopted the following objectives it seeks to achieve through this procurement and ultimate selection of a Contractor to deliver the Services described in this RFP.

* Facilitate a seamless transition from the current contract to the new BenefitsCal contract, with a focus on minimizing business disruption and maintaining operational continuity.
* Ensure existing SLAs are met throughout the transition period.
* Adhere to and actively support the Delivery Integration (DI) processes established by CalSAWS and foster collaboration within the integrated multi-contractor environment.
* Promote continuous improvement to the Collaboration Model and other stakeholder engagement and communication processes.
* Focus on public outreach and communication strategies for improved effectiveness, including an increased recognition and communication to affected Stakeholders of the impacts of system change at the County level.
* Proactively explore, recommend and implement ongoing innovations, to enhance services to the public and the counties.

## Procurement Scope

The scope of this RFP encompasses the transition of the existing BenefitsCal application and infrastructure, ongoing architectural improvements and subsequent maintenance and operations of the BenefitsCal subsystem. Maintenance and operations of the BenefitsCal application and infrastructure includes:

* All application and infrastructure related maintenance and operations
* SCR-driven application changes (2,500 hours per month).
* Operations including management, Level 3 Service Desk, security and continuous improvement (1,500 hours per month).
* Cloud Infrastructure (965 hours per month).
* Ongoing language translations.
* Enhanced mobile device compatibility and capabilities.
* Extended education and coaching for the public, Counties, and Community Based Organizations (CBOs).
* Improved collection, reporting and informed decision-making based on usability and user experience metrics.
* Continue to manage and maintain third-party software required to support the BenefitsCal operations.

## BenefitsCal Vision

The concepts presented in this section frame the Consortium’s vision and objectives, but do not constrain nor prescribe the approach for achieving the vision, objectives and the requirements of this RFP. Proposals should highlight the approach, methodology, and innovative thinking to provide the Consortium with convincing evidence that its vision for the future will be successfully achieved.

Key tenets of the vision include:

* Fully integrate with the CalSAWS ecosystem and adhere to established processes including PMO, DI and SCRs.
* Continue to enhance the Collaboration Model and stakeholder engagement and communication processes.
* Expand and further refine User Centered Design (UCD) and the User Experience (UX) within the software development process.
* Enhance communications and marketing to increase visibility and outreach for the public, Counties and CBOs.
* Application/architecture evolution and innovation including expanding data analytics capabilities to provide evidence-based outcomes.
* Continuous evolution of infrastructure and application security to reinforce robust cybersecurity measures.

### Integrated CalSAWS Organization

The Consortium operates BenefitsCal in a Multi-Contractor Environment as part of the CalSAWS ecosystem. As there are many dependencies between the BenefitsCal system and CalSAWS, the Consortium and contractor teams work cooperatively on various aspects of the BenefitsCal SCR development, testing, deployment and maintenance. The Consortium envisions a fully integrated enterprise organization consisting of Consortium teams working collaboratively with the contractor counterparts responsible for BenefitsCal Services as well as other CalSAWS contractors within the overall CalSAWS operation.

Bidders for this procurement must prioritize the collaborative approach; working collectively for the benefit of the entire enterprise. This includes establishing and sustaining cooperative relationships with the other CalSAWS contractors. It is essential that Bidders for this procurement embrace the concept of working collectively and collaboratively for the good of the entire enterprise, including building and maintaining cooperative relationships with other CalSAWS contractors.

The Consortium recognizes that operating in an Integrated Multi-Contractor Environment is a complex endeavor. The Consortium has proactively set out to create and sustain an enterprise organization with multiple contractors. Additionally, from a governance, decision making and issue escalation perspective, the Consortium has developed the CalSAWS Governance Plan for Contractors to consider when developing Proposals for this engagement; please refer to the Procurement Library for the CalSAWS Governance Plan.

* + 1. **Delivery Integration**

The Consortium has established a structured set of guidelines, practices and tools to oversee and manage the processes for the Integrated Multi-Contractor environment. This Delivery Integration (DI) framework incorporates system engineering/system integration principles and best practices. The DI framework operates with a holistic orientation to:

* Facilitate, support and monitor the effectiveness of the Multi-Contractor Environment.
* Participate in the creation and execution of plans and processes to govern multiple contractors working collectively in the CalSAWS environment.
* Coordinate the timing and entry/exit criteria associated with design, build, test and delivery across contractors when multiple parties are required to implement a change or add a capability.
* Monitor and clarify lines of delineation between contractors.
* Monitor effectiveness of contractor interactions.
* Serve as the first point to resolve disputes between or among contractors.

While the Delivery Integration processes are separate and distinct from the CalSAWS PMO, the two are complementary in nature and work in tandem. While the existing DI roles and responsibilities are described in Section 3.1.2, the Consortium expects ongoing refinement of DI processes and procedures from all participating Contractors.

The Consortium expects the BenefitsCal Contractor to closely coordinate and work collaboratively with other CalSAWS contractors. It is imperative that each Contractor is clear about their own and the other CalSAWS contractor respective roles, responsibilities and obligations in order to operate effectively.

The DI Team will build and maintain an integrated, consolidated CalSAWS Master Work Plan, which includes the BenefitsCal M&O Work Plan/Schedule, and will work with the BenefitsCal Contractor to identify and resolve any conflicting Tasks, priorities and resources. The CalSAWS PMO will continue to assess Contractor Work Plans with a focus on start and finish dates, level of effort, resource loading, estimates to complete and estimates at completion.

For design, build, test and implementation processes that involve multiple contractors, the Delivery Integration Team will coordinate discussions regarding the timing of required steps for each Contractor and the Consortium. The Delivery Integration Team will also coordinate with the leaders of the Release Management processes regarding entry and exit criteria that must be satisfied by each Contractor involved in the system change process. The release management team will continue to facilitate discussions to determine overall release content, and the Delivery Integration Team and the Consortium QA Team will provide input and recommendations.

The DI framework serves as the first point of contact to resolve any disputes between and/or among Contractors. If the DI processes do not result in clear direction or resolution of the challenges or disputes, then the item is escalated through the CalSAWS Governance process for resolution.

### Application Change Process/Software Development Process

As part of the recent CalSAWS M&O Procurement effort, the Consortium defined requirements specifically aimed to streamline the timeframes for promulgating application changes to the Counties. The selected BenefitsCal Contractor will adhere to the improved CalSAWS SCR processes to reduce the overall time from inception to deployment of BenefitsCal changes. The Consortium identified several candidates within the existing SCR process where efficiencies can be achieved. These areas of improvement include:

* Broadening the CalSAWS application Release When Ready (RWR) approach to encompass BenefitsCal in coordination with other CalSAWS system changes.
* Using a DevSecOps model to support smaller, more incremental releases.
* Expanding the use of offshore, lower-priced resources for simpler, more straightforward application changes. The use of offshore resources is limited to 40% of the overall application maintenance available hours.

The BenefitsCal Contractor is also expected to adhere to the CalSAWS Collaboration Model to identify, prioritize, develop and implement BenefitsCal enhancements which improve the overall user experience.

BenefitsCal has been designed, developed, and enhanced following a User Centered Design (UCD) approach. UCD is founded on keeping the human experience at the center of system design. The UCD approach includes continual engagement with stakeholders and community members from 1) conducting discovery sessions to understand the current and desired human experience to 2) gathering feedback of people’s experience using the live system to continually improve usability. This focus on UCD encompasses more participation and collaboration with customers, County users and other stakeholders, Community Based Organizations and Application Assisters. Going forward, the Consortium expects the BenefitsCal Contractor to continue to apply UCD fundamentals and to identify and determine areas within BenefitsCal that could be restructured to improve the overall User Experience and ultimate delivery of services to those in need.

The public facing BenefitsCal subsystem was implemented with a high degree of involvement from stakeholder and advocacy groups. That level of engagement will continue during the ongoing BenefitsCal work in accordance with the Collaboration Model. CalSAWS and BenefitsCal are intertwined. Updates to one system often cause modifications to the other. While the BenefitsCal subsystem is funded separately, changes to CalSAWS resulting from changes to BenefitsCal must be considered in context of the fixed number of hours available for both sets of SCRs. With that, it is important for potential BenefitsCal Contractors to recognize the impacts and implications of BenefitsCal changes to CalSAWS. As BenefitsCal is the primary public-facing component of CalSAWS, the Consortium expects the BenefitsCal Contractor to actively engage with stakeholders as described in the Collaboration Model Charter and processes.

The Consortium expects two key additional capabilities to be developed and implemented as part of the BenefitsCal software development process:

* Develop and implement additional data analytics capabilities to provide evidence-based outcomes and make informed decisions to improve those outcomes.
* Expand data mining, reporting and usage monitoring capabilities and apply results as usability improvements.

### Enhance Communication and Outreach

Communication is a foundational element in any high-functioning organization. The Consortium seeks to improve communication with the public and with the BenefitsCal stakeholders including:

* Enhance Communication and Marketing Programs to ensure communications of Stakeholder and Consortium priorities and promote key organizational services and programs to improve public awareness of the BenefitsCal System and to increase System access and adoption.
* Enhance and expand education and coaching for the public. Lead the development and implementation of a comprehensive marketing and communications program designed to communicate BenefitsCal services and programs and foster public and CBO relationships through BenefitsCal initiatives.
* Oversee, plan and manage all publicity related BenefitsCal special events and provide tactical direction to staff in carrying out marketing, communications and customer service functions.
* Customize materials and tutorials in support of BenefitsCal marketing strategies including publications, electronic communications and multimedia presentations.
* Increase Stakeholder inclusion and Involvement in the UCD process and User Experience testing methods.
* Continue to refine the Collaboration Model.

### Application/Architecture Evolution and Innovation

The Consortium expects the selected Contractor to keep the BenefitsCal system current from a technology perspective and, at the same time, provide additional operational benefits to the public users and the Counties. Maintaining and advancing the BenefitsCal infrastructure and application within the CalSAWS enterprise is a primary responsibility of the BenefitsCal Contractor.

In particular, as part of ensuring the BenefitsCal subsystem remains technically relevant, the selected Contractor will:

* Provide technology innovation to enable process and business operational improvements in the Counties.
* Provide AI thought leadership: adopt, analyze, make recommendations and implement AI capabilities including using AI to improve code quality and/or AI assisted coding.
* Expand Chatbot capabilities such as leveraging natural language processing to understand and address the user intent and increase video navigator features and capabilities, including making it easier to navigate longer videos.

Innovation is one of the key precepts associated with assuring the future viability of and extending the overall System life. The Consortium expects the selected Contractor to apply a structured approach for continually improving the BenefitsCal application and supporting processes through advanced technologies and methods.

To further highlight the importance of innovation, the Consortium will follow a quarterly “shark tank” process where Consortium, State Partners, County and Contractor Staff “pitch” ideas and concepts. Those with merit are selected to move into a Proof of Concept (POC) or Pilot phase, as appropriate. While Contractors are expected to fund technology innovation POCs and/or Pilots, the Consortium is open to sharing costs and benefits as part of the actual implementation effort to incentivize and reward Contractors for the realization of their efforts.

### Evolve Application and Infrastructure Security

Security permeates everything across the CalSAWS enterprise. Within the CalSAWS enterprise framework, the Consortium expects the selected Contractor to apply world-class security standards and processes in support of the BenefitsCal application and infrastructure. The BenefitsCal Contractor will employ AWS design principles that strengthen operational security, apply security at all layers and automate security best practices.

The Consortium is required to comply with all Open Web Application Security Project (OWASP) standards for web applications and the most current NIST standards and regulations for API best practices and adhere to the CalSAWS Privacy and Security Agreements with CDSS and DHCS and other applicable legal, statutory, and regulatory compliance obligations. With that recognition, the Consortium wishes to emphasize that the Contractor should balance the consumer experience with applicable security requirements whenever possible.

With respect to the application change process, the Contractor -will automate a continuous integration/continuous delivery (CI/CD) pipeline that accesses code, logic and application inputs to detect CalSAWS Software vulnerabilities and threats. Additionally, the Contractor should automate continuous testing to incorporate OWASP vulnerabilities, static code vulnerabilities, and tools to correct the application prior to deployment.

The following list summarizes additional specific expectations regarding security:

* Enhance the overall security posture by implementing proactive security controls and logging with real time automated alerts and self-remediation.
* Improve the current security logging by adding filters and automation for protecting BenefitsCal boundaries and automatic alerting of any suspicious activity.
* Apply the Defense in Depth (DiD) approach to layer security mechanisms and controls to protect the confidentiality, integrity and availability of BenefitsCal and the Data within.
* Use architecture security design principles that implement authentication and authorization control and reduce the blast radius.
* Monitor and audit everything on a 24x7 basis and automate for security rule violations that support self-remediation processes.
* Execute continuous improvement and continuous auditing across all security operational activities.
* Provide a forward-looking security road map, with recommended areas for improvement mapped to security functional domains.
* Continually seek to minimize data and privacy risk for the BenefitsCal application and infrastructure.

### Transition

There are two separate aspects of transition: Transition-In and Transition-Out. Transition-In encompasses all Tasks related to the timely and successful changeover that takes place between the current Contractor and the future Contractor upon Contract start. Transition-Out includes the defined period at the end of the future Agreement where there is subsequent transition to a future Contractor.

It is of the utmost importance to the Consortium that transitions are seamless and timely. The Consortium seeks a Contractor who can demonstrate how they propose to accomplish these complex transition Tasks and work cooperatively with the existing Contractor team. Refer to RFP Section 5 - Understanding and Approach, and ***Attachment 2 - BenefitsCal Requirements Matrix***.

The Consortium understands that the success of Transition-In activities are, in part, dependent on the Consortium team supporting those Tasks. The Consortium will dedicate a Transition-In Manager for the BenefitsCal transition-in periods. The Consortium Transition-In Manager will serve as the primary point of contact for the BenefitsCal Contractor during the initial transition effort.

The Consortium expects special attention and focus on the following transition areas.

* Timeliness
* Risk Management and Mitigation
* Leadership and Collaboration

#### Timeliness

Transition between the start of the future Contract and the closeout of the current Contract will occur over a ninety-day period. It is vital that this transition be completed without disrupting the stability of normal business operations and System availability.

#### Risk Management and Mitigation

The Consortium understands there is risk associated with Contract transition and values a partner that can minimize risk throughout the transition period. It is imperative that Bidders articulate how they will identify, minimize, manage, and mitigate risks.

#### Leadership and Collaboration

Successful transition of the BenefitsCal application will require a great deal of collaboration and leadership. The Consortium seeks a Contractor who can balance the needs of the Consortium and those of other contractor resources to lead and navigate the transition-in process. Bidders should clearly demonstrate how they will work with the BenefitsCal incumbent contractor to ensure a smooth transition.

# BIDDER REQUIREMENTS

## General

This section contains the requirements that must be addressed within the Bidder’s Proposal, permitting the Consortium to validate that the Bidder has the qualifications and experience necessary to provide the goods and Services requested in this solicitation. The requirements in this section are categorized as follows in Section 5.2 - BenefitsCal Requirements.

* Firm Qualifications Requirements
* Staffing Approach and Qualifications Requirements
* Understanding and Approach Requirements
* Price Requirements

Requirements are contained within the following areas of this RFP.

* Section 5 - Bidder Requirements
* Attachment 1 – Statement of Work
* Attachment 2 – Requirements Matrix
* Attachment 5 – Price Proposal Schedules
* Attachment 12 – Service Level Agreements
* Attachment 13 – Staff Loading Worksheets

Proposal Submission Instructions are contained in RFP Section 6 - Proposal Structure and Submission. Proposal scoring and evaluation details are contained in RFP Section 8 - Evaluation.

## BenefitsCal Requirements

### Firm Qualifications

The Consortium seeks a responsible BenefitsCal Contractor with the right experience to support BenefitsCal over the life of the Agreement. Therefore, it is imperative that the Bidder provide enough detail in their response for the Consortium to evaluate the ability of the Bidder to meet or exceed the requirements herein, and perform the Services described within the BenefitsCal SOW in a professional, high-quality manner.

All Firm Qualifications contained in Sections 5.2.1.1, 5.2.1.2 and 5.2.1.3 must be met and documented according to Section 6 - Proposal Structure and Submission. Firm Qualifications requirements will be scored as pass or fail for the Firm Mandatory Qualifications and the Firm Financial Qualifications The Firm References will be considered and scored as part of the Business Proposal Evaluation.

#### Firm Mandatory Qualifications

Table 14 - Firm Mandatory Qualifications

|  |  |
| --- | --- |
| BenefitsCal Firm Mandatory Qualifications | |
| **Req#** | **Mandatory Qualification** |
|  | At least three (3) years of Prime Contractor experience developing, implementing and/or supporting portal and/or mobile applications in the Health and Human Services arena. Experience must have been completed or ongoing within the last five (5) years. |
|  | At least three (3) years of Prime Contractor experience performing application maintenance and system modifications applying UCD processes and User Experience (UX) activities on IT Projects. |
|  | At least three (3) years of Prime Contractor experience performing application maintenance and system modifications in an environment of similar size and complexity to the BenefitsCal application with:1) Real-time web-based application experience in JAVA; 2). AWS cloud architecture and/or deployment experience; and 3) Mobile application development and/or deployment experience using iOS and Android technologies. |
|  | Prime Contractor experience with the transition of one IT System, from one company to another. The Project must have occurred within the last ten (10) years. |

#### Firm References

The purpose of the Firm Reference requirements is to provide the Consortium with the ability to assess the Firm’s experience in supplying similar or relevant services to those identified in this solicitation. Firm References must be documented according to Section 6 - Proposal Structure and Submission. The Consortium may contact references listed to verify the information provided by the Bidder. In addition to the references provided by the Bidder, the Consortium will also request references from California State agencies, including, but not limited to OTSI, CDSS and DHCS, with whom the Bidder has current or past Contracts similar in nature. For Bidders with whom the Consortium has current or past Agreements similar in nature, the Consortium will also complete one or more formal references. References from California State agencies and the Consortium will factor into the Business Proposal Evaluation as described in Section 8 – Evaluation. Proposals with forms that have alterations or changes to the original information will be considered nonresponsive. Any conflicting information may result in the Proposal being deemed nonresponsive.

#### Firm Financial Qualifications

Firm Financial Qualifications must be met and documented according to Section 6 - Proposal Structure and Submission. Firm qualifications must be provided for Subcontractors who provide at least 20% of the annual price during the base contract period.

In the event of any form of business or corporate reorganization by Bidder (e.g., sale, merger, rebranding, or other similar form of reorganization), the Bidder shall provide the required financial information for the Bidder’s successor in interest.

Bidders will provide responses to:

* F6a **or** F6b. Do not respond to both, and
* I-F7, and
* I-F-8

Firm Financial Qualifications requirements will be scored as pass or fail.

Table 15 - BenefitsCal Firm Financial Qualifications

|  |  |
| --- | --- |
| BenefitsCal Firm Financial Qualifications | |
| **Req #** | **Qualification** |
|  | a. The Bidder will provide financial statements for the past two (2) fiscal years for the Contractor and each Subcontractor. These must be audited financial statements unless audited statements are not a part of the routine business practices of the firm. The Consortium will accept financial statements audited according to either Generally Accepted Accounting Principles (GAAP), Statutory Accounting Principles (SAP) of the National Association of Insurance Commissioners (NAIC) or the International Financial Reporting Standards (IFRS).  **Or**  b. If the Bidder does not produce audited financial statements or file corporate financial information such as a 10-K as part of its routine business practices, as included in point a. above, Bidders may provide unaudited financial information that includes information relating to liquidity, assets, liabilities, equity, working capital, current ratio and net revenue. Bidders must also provide a privately placed debt rating from the NAIC, or an equivalent nationally recognized credit rating agency. |
|  | The Bidder must also provide a copy of its Dun & Bradstreet (D&B) D-U-N-S number and Business Information Report, inclusive of its D&B viability and credit ratings. |
|  | These financial statements must be accompanied by a signed statement from the Bidder’s or its Parent Company’s Chief Executive Officer, Chief Financial Officer and/or Designee(s), certifying the financial information is accurate and complete. Alternatively, financial statements that include a signed statement by the independent certified public accountant, made a part of the financial statement, will suffice for the certification letter. |

### Staffing

All Staffing Requirements Qualifications contained in Sections 5.2.2.1 and 5.2.2.2 must be met and documented according to Section 6 - Proposal Structure and Submission. Staffing Approach and Qualifications requirements will be scored as described in Section 8 - Evaluation.

#### Staffing Approach

Table 16 - Staffing Approach

| BenefitsCal Staffing Approach | |
| --- | --- |
| **Req#** | **Mandatory Qualification** |
|  | The Bidder will provide a narrative describing the overall Staffing approach to the BenefitsCal Services addressing the Staffing subsections. |
|  | The Bidder will complete Attachment 13 – Staff Loading Worksheets describing the roles and level of effort (hours) to provide BenefitsCal Services. |

##### General Contractor Staffing Responsibilities

The Contractor is responsible for providing all Staff necessary to fulfill the Services and requirements defined in this RFP. Any increase to the Agreement price for additional staff will only be allowed pursuant to the Consortium Change Order process.

The Contractor is responsible for employing an approach for Staff management that facilitates a productive working relationship with Consortium Staff, County Staff, other Consortium contractor Staff, and State Staff/Project Sponsors. All Contractor Staff are expected to proactively coordinate and work cooperatively with the Consortium.

The Bidder must include an organization chart displaying the relationships of the BenefitsCal Services team and include the relationships of the BenefitsCal team to the Consortium and other Consortium contractors.

##### Staff Responsibilities

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

All Contractor Staff must prepare for and actively participate in designated Project meetings and represent the best interests of the Consortium and identify and escalate issues as appropriate.

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

##### Contractor Staff Changes

For any expected Key Staff changes, the Contractor will provide a 30-calendar Day notice to the Consortium Executive Director regarding the change and plans for transition. The Contractor will provide at least two resumes with proof of experience that meets or exceeds the mandatory qualifications as defined in this RFP, and two references for any recommended replacement Key Staff. The Consortium reserves the right to require face-to-face or video interviews of all proposed replacement Key Staff. The Consortium reserves the right to accept or reject any proposed Key Staff.

For any unexpected Key Staff changes, the Contractor will provide the Consortium Executive Director a written notification within three business days of knowledge and required Key Staff action. Within seven (7) calendar days of providing such written notice, the Contractor will provide the Consortium Executive Director with plans for transition. All provisions in the preceding paragraph also apply to unexpected Key Staff changes, except for the 30-Day notice.

##### Staff Performance

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

#### Key Staff

Bidders submitting a Proposal must include the following eight (8) Key Staff.

1. BenefitsCal Project Manager
2. BenefitsCal Project Management Office Lead
3. BenefitsCal Transition-In Lead
4. BenefitsCal Application Manager
5. BenefitsCal Product Manager
6. BenefitsCal User Centered Design Lead
7. BenefitsCal Test Manager
8. BenefitsCal Security Manager
9. BenefitsCal Public Communications Lead

Key Staff minimum qualifications requirements are contained in ***Attachment 1 – Statement of Work***. Key Staff skills and abilities will be scored according to Section 8 - Evaluation.

##### Key Staff Client References

The purpose of the Key Staff reference requirements is to provide the Consortium with the ability to assess Key Staff experience in supplying similar or relevant services to those identified in this solicitation. Key Staff Client References contained in this section must be met and documented according to Section 6 - Proposal Structure and Submission. The Consortium may contact references listed to verify the information provided by the Bidder. Any conflicting information may result in the Proposal being deemed nonresponsive.

### Understanding and Approach

Understanding and Approach (U&A) areas are of particular interest and importance to the Consortium, require a narrative response, and are aligned with Section 4 - CalSAWS Future System. The objective of the U&A is for the Bidder to demonstrate its understanding of the Consortium’s requirements through its narrative response. The Bidder will provide a narrative response to each of the four (4) BenefitsCal U&A topics located within this Section. The narrative response for each individual BenefitsCal U&A topic should not exceed 30 pages.

1. Integrated Multi-Contractor Environment
2. Software Development
3. Application Evolution and Innovation
4. User Experience, Marketing and Public Communications

The Bidder will provide their responses to the U&A requirements in accordance with the instructions provided in RFP Section 6 - Proposal Structure and Submission. The U&A responses will be scored in accordance with Section 8 - Evaluation.

#### Understanding and Approach to the CalSAWS Integrated Multi-Contractor Environment

Table 17 - Understanding and Approach to the CalSAWS Multi-Contractor Environment

| 1. Understanding and Approach to the CalSAWS Integrated Multi-Contractor Environment | |
| --- | --- |
| **Item #** | **Topic** |
|  | Describe your approach to managing your scope of work and how you will coordinate with other involved CalSAWS contractors and the CalSAWS Delivery Integration Team to ensure understanding and agreement of the roles and responsibilities of each Contractor and the Consortium. |
|  | Describe your approach to working and collaborating with the CalSAWS M&O Contractor(s) to perform shared services, such as security, and supporting services such as Service Desk, production operations and system performance. |

#### Understanding and Approach to Software Development

Table 18 - Understanding and Approach to Software Development

| 2. Understanding and Approach to Software Development | |
| --- | --- |
| **Item #** | **Topic** |
|  | Describe how you will improve the existing BenefitsCal approach to UCD and the overall User experience as part of the SDLC. |
|  | Describe your approach to strengthening security measures associated with the application prior to release, including the CI/CD process, proactive security controls and testing. |

#### Understanding and Approach to Application Evolution and Innovation

Table 19 - Understanding and Approach to Application Evolution and Innovation

| 3. Understanding and Approach to Application Evolution and Innovation | |
| --- | --- |
| **Item #** | **Topic** |
|  | Describe your strategy and approach to application architecture evolution. Describe how this strategy will address security considerations, reduce costs, and improve optimization, scalability and flexibility. |
|  | Describe your approach to proactively explore, identify, analyze, evaluate technology innovations, and formulate recommendations for potential inclusion to the BenefitsCal application. Describe how you will:   * Coordinate with the Consortium to evaluate emerging technologies, * Propose integration of selected innovation, technologies into the CalSAWS platform, * Evaluate value and impact to business operations and develop strategies for implementation. |
|  | Describe how you will participate with and support the existing CalSAWS Innovation Team relative to your overall Innovation strategy. |

#### Understanding and Approach to User Experience, Marketing and Public Communications

Table 20 - Understanding and Approach to Stakeholder Engagement

| 4. Understanding and Approach U&A to User Experience, Marketing and Public Communications | |
| --- | --- |
| **Item #** | **Topic** |
|  | Describe your approach to engaging the counties, CBOs, State Partners and Stakeholders, as appropriate, to enhance the integration of the BenefitsCal application with the County processes. |
|  | Describe your approach to public communications and marketing to enhance the awareness, adoption, and public opinion of the BenefitsCal application. |
|  | Describe your approach to engaging with the Stakeholder Community to enhance the awareness, adoption, and Stakeholder Community perception of the BenefitsCal application. |

### Requirements Matrix

Requirements in ***Attachment 2*** ***– Requirements Matrix*** do not require a narrative response, nor are they individually scored. Bidders are advised to not submit this attachment with their proposal. Bidders must agree to satisfy all requirements included in this attachment by completing the ***Attachment 4 – Statement of Compliance with BenefitsCal Requirements Form.***

## Price Requirements

### General

This section describes the requirements to be addressed in the preparation of the Price Proposal Schedules for the BenefitsCal Services.

The Price Proposal Schedule worksheets contain standard line items for various cost categories. Some worksheets also contain rows for line items designated as Other to address miscellaneous items. It is solely the responsibility of the proposing Contractor to include all prices related to the BenefitsCal goods and Services, as appropriate.

Bidders must document any changes to formulas or links for reasons other than to accommodate additional rows for Staff, BenefitsCal Software, or in sums and indicate any such changes as comments in the affected cells. It is solely the responsibility of the proposing Contractor to confirm that all mathematical calculations are correct in their Proposal. Bidders are encouraged to request corrections to formulas through the Question-and-Answer (Q&A) processes defined in Section 1.13 to benefit the Consortium and all proposing Bidders.

It is solely the responsibility of the proposing Contractor to confirm that all prices are included within their Price Proposal. If additional key Tasks or other line items are required to represent the price accurately and completely, and the Q&A period is closed, Bidders should add any such items and notate those changes as comments in the affected cells.

Each Price Proposal Schedule worksheet includes an area in which to document price-related assumptions. These are to be used by the Bidder to list and describe any special cost assumptions, conditions, and/or constraints relative to, or which impact, the prices presented on the detailed schedules. It is solely the responsibility of the proposing Contractor to fully document all price-related assumptions.

Price Proposals must reflect the existing terms and conditions within the BenefitsCal Agreement, as applicable. Bidders may not document assumptions that modify Agreement terms or conditions or that represent exceptions to Agreement terms or conditions. Any assumptions that do conflict with the Agreement terms and conditions will be disregarded from the Proposal submission.

The selected Contractor must also prepare Price Schedule Summaries by Federal Fiscal Year (FFY).

### BenefitsCal Price Proposal Schedules

***Attachment 5 – Price Proposal Schedules*** contain all price related worksheets for the BenefitsCal goods and Services. The Price Proposal Schedules are listed below:

1. BenefitsCal Summary by SFY (Schedule 1)
2. Deliverables (Schedule 2)
3. Transition-In Staff Loading (Schedule 3)
4. BenefitsCal Software (Schedule 4)
5. BenefitsCal Services (Schedule 5)
6. BenefitsCal Staff Loading (Schedule 6)
7. BenefitsCal Optional Extension Years 1 – 4 (Schedules 7.1 – 7.4)
8. BenefitsCal Services Hourly Rate Card (Schedule 8)
9. BenefitsCal Services Change Order Rate Card (Schedule 9)
10. AWS IaaS Resources (Schedule 10)
11. Other (Schedule 11)

The detailed instructions for the completion of each schedule are provided in Section 6.3.4, BenefitsCal Price Schedules.

# PROPOSAL STRUCTURE AND SUBMISSION

## General

Responding to this RFP requires the ability to recognize and understand the details which go into performing the required Work, personnel and prices for providing the BenefitsCal goods and Services which are the subject of this solicitation. Inadequate, incomplete or otherwise non-responsive Proposals may result in elimination from further consideration, as determined solely by the Consortium.

Bidders should read the RFP carefully, considering all the requirements needed to complete each facet of the Proposal preparation and submission instructions. All documents required as part of the Proposal, such as references and specified forms, must be provided by the Bidder in accordance with RFP instructions.

The Proposals must sufficiently assure the Consortium that the Contractor can perform the Services within the proposed price and Schedule while meeting the BenefitsCal goods and Services requirements. Proposals shall reflect a realistic job to be performed at a reasonable price.

If, during this Procurement, the Consortium determines that a proposing Bidder has made a material misstatement or misrepresentation, or that materially inaccurate information has been provided to the Consortium, the proposing Bidder may be terminated from the Procurement process. In the event an Agreement(s) has been finalized but not yet started, the Agreement may be immediately cancelled.

Proposals which contain false or misleading statements, or which provide references which do not support an attribute or condition claimed by the Bidder, may be rejected. If, in the opinion of the Consortium, such information was intended to mislead the Consortium in their evaluation of the Proposal, and the attribute, condition, or capability is a requirement of this RFP, it will be the basis for rejection of the Proposal.

## Proposal Submission

Proposals must be received by the designated date and time. Late or incomplete Proposals will not be accepted.

Proposal delivery shall be accomplished according to the following instructions.

1. Bidders must request a designated SharePoint location by submitting an email to the RFP/Proposal contact in Section 1.8. Each requesting Bidder will be supplied with individual SharePoint instructions.
2. Bidders must upload their Proposals to the designated SharePoint site and Proposals must be received by the Proposal due date and time designated in Section 1.11 – Procurement Timeline.

The Bidder must submit the Proposal in separate volumes, as applicable, separately packaged and clearly labeled. Each Volume must be submitted as follows. Also see Section 6.3.2.1.

* One (1) Signed Electronic submission to SharePoint

Table 21 - BenefitsCal Proposal Submission

| BenefitsCal Proposal – 2 or 4 Volumes |
| --- |
| 1. Vol 1 BenefitsCal Business Proposal – Required |
| 1. Vol 2 BenefitsCal Price Proposal – Required |
| 1. Vol 3A BenefitsCal Business Proposal Redacted -– Optional |
| 1. Vol 3B BenefitsCal Price Proposal Redacted – Optional |

## Proposal Format and Organization

### Proposal Format

The Bidder shall format the Proposal as follows:

* Electronic copies must be prepared using the Microsoft Office Suite. PDF format is acceptable for financial statements, other firm-related financial information, Firm References and Key Staff References. Certified electronic signatures are acceptable.
* Proposals shall be prepared on 8½ x 11-inch pages, except for charts, diagrams, and Microsoft Excel spreadsheets, which may be formatted as 8½ x 14-inch or 11 x 17-inch pages. The text font must be 11-point Century Gothic. In tables, 10-point or 11-point font size may be used. Century Gothic or Arial 9-point or 10-point font size may be used in graphics and figures.
* The Proposal shall be organized into numbered sections and subsections using a decimal numbering system. The pages within each section shall be sequentially numbered.
* Figures and tables should be assigned index numbers and should be referenced by these numbers in the Proposal text and in the Proposal Table of Contents. Figures and tables should be placed as close to text references as possible.
* Proposals shall be clearly written in the English language.

### Proposal Organization

The applicable Proposal volumes shall contain the following:

Table 22 – BenefitsCal Proposal Volumes Contents

| **BenefitsCal Proposal Volumes Contents** |
| --- |
| **Volume 1 – Business Proposal** |
| 1. Cover Page 2. Transmittal Letter 3. Section 1 Executive Summary with a Table of Contents 4. Section 2 Firm Qualifications with a Table of Contents 5. Section 3 Staffing Approach with a Table of Contents 6. Section 4 Understanding and Approach with a Table of Contents 7. Section 5 Required Attachments    * Attachment 4 – Statement of Compliance with Requirements    * Attachment 7 – Exceptions to the Agreement    * Attachment 8 – Firm Mandatory Qualifications    * Attachment 9 – Firm References    * Attachment 10 – Key Staff Resumes and Qualifications    * Attachment 11 – Key Staff Reference Forms    * Attachment 13 – Staff Loading Worksheets    * Attachment 14 – DARFUR Contracting Act Certification    * Attachment 15 – Certificate of Firm Status |
| **Volume 2 – Price Proposal** |
| 1. Cover Page 2. Attachment 5 – Price Proposal Schedules |
| |  | | --- | | **Volume 3a\* - Business Proposal with Confidential or Proprietary Portions Redacted – Optional** | | 1. Justification to Redact Letter 2. Cover Page 3. Transmittal Letter 4. Section 1 Executive Summary with a Table of Contents 5. Section 2 Firm Qualifications with a Table of Contents 6. Section 3 Staffing Approach with a Table of Contents 7. Section 4 Understanding and Approach with a Table of Contents 8. Section 5 Required Attachments    * Attachment 4 – Statement of Compliance with Requirements    * Attachment 7 – Exceptions to the Agreement    * Attachment 8 – Firm Mandatory Qualifications    * Attachment 9 – Firm References    * Attachment 10 – Key Staff Resumes and Qualifications    * Attachment 11 – Key Staff Reference Forms    * Attachment 13 – Staff Loading Worksheets    * Attachment 14 – DARFUR Contracting Act Certification    * Attachment 15 – Certificate of Firm Status | | **Volume 3b\* - Price Proposal with Confidential or Proprietary Portions Redacted – Optional** | | 1. Justification to Redact Letter 2. Cover Page 3. Attachment 5 – Price Proposal Schedules |   **–** |

*\*Upon issuance of the Notice of Intent to Award pursuant to Section 9, the Consortium will post to* [*www.CalSAWS.org*](http://www.CalSAWS.org) *for public viewing only Volumes 3A and 3B, assuming those volumes are supported by a separate statement justifying the redactions in those volumes. (See Section 7.8 of this RFP for requirements for redaction of Proposals to protect material Bidders claim to be confidential and proprietary.) Volume 3A Business Proposal must be the exact duplicate as Volume 1 Business Proposal, with the confidential or proprietary portions redacted. Volume 3B Price Proposal must be the exact duplicate as Volume 2 Price Proposal, with the confidential or proprietary portions redacted.*

#### File Structure and File Name Conventions

There will be one folder for each Volume. Each Section will be its own file within its respective Volume folder and clearly named as shown below:

**Vol 1 BenefitsCal Business Proposal – Bidder Name**

* + 1. Vol 1 Cover Page - Bidder Name
    2. Vol 1 Transmittal Letter - Bidder Name
    3. Vol 1 Sect 1 Executive Summary - Bidder Name
    4. Vol 1 Sect 2 Firm Qualifications - Bidder Name
    5. Vol 1 Sect 3 Staffing Approach - Bidder Name
    6. Vol 1 Sect 4 Understanding & Approach - Bidder Name
    7. Vol 1 Sect 5 Att 4 Statement of Compliance w Requirements - Bidder Name
    8. Vol 1 Sect 5 Att 7 Exceptions to the Agreement - Bidder Name
    9. Vol 1 Sect 5 Att 8 Firm Mandatory Qualifications - Bidder Name
    10. Vol 1 Sect 5 Att 9 Firm References - Bidder Name
    11. Vol 1 Sect 5 Att 10 Key Staff Resumes and Quals - Bidder Name Staff Name (First Last)
    12. Vol 1 Sect 5 Att 11 Key Staff Reference Forms - Bidder Name Staff Name (First Last)
    13. Vol 1 Sect 5 Att 13 Staff Loading Worksheets - Bidder Name
    14. Vol 1 Sect 5 Att 14 DARFU Contracting Act Certification - Bidder Name
    15. Vol 1 Sect 5 Att 15 Certificate of Firm Status - Bidder Name

**Vol 2 BenefitsCal Price Proposal – Bidder Name**

* + 1. Vol 2 Cover Page - Bidder Name
    2. Vol 2 Att 5 Price Proposal Schedules – Bidder Name

**Vol 3A BenefitsCal Business Proposal Redacted – Bidder Name (Optional)**

* + 1. Vol 3A Justification to Redact Letter – Bidder Name
    2. Vol 3A Cover Page - Bidder Name
    3. Vol 3A Transmittal Letter - Bidder Name
    4. Vol 3A Sect 1 Executive Summary - Bidder Name
    5. Vol 3A Sect 2 Firm Qualifications - Bidder Name
    6. Vol 3A Sect 3 Staffing Approach - Bidder Name
    7. Vol 3A Sect 4 Understanding & Approach - Bidder Name
    8. Vol 3A Sect 5 Att 4 Statement of Compliance w Requirements - Bidder Name
    9. Vol 3A Sect 5 Att 7 Exceptions to the Agreement - Bidder Name
    10. Vol 3A Sect 5 Att 8 Firm Mandatory Qualifications - Bidder Name
    11. Vol 3A Sect 5 Att 9 Firm References - Bidder Name
    12. Vol 3A Sect 5 Att 10 Key Staff Resumes and Quals - Bidder Name Staff Name (First Last)
    13. Vol 3A Sect 5 Att 11 Key Staff Reference Forms - Bidder Name Staff Name (First Last)
    14. Vol 3A Sect 5 Att 13 Staff Loading Worksheets - Bidder Name
    15. Vol 3A Sect 5 Att 14 DARFU Contracting Act Certification - Bidder Name
    16. Vol 3A Sect 5 Att 15 Certificate of Firm Status - Bidder Name

**Vol 3B BenefitsCal Price Proposal Redacted – Bidder Name (Optional)**

* + 1. Vol 3B Justification to Redact Letter – Bidder Name
    2. Vol 3B Cover Page - Bidder Name
    3. Vol 3B Att 5 Price Proposal Schedules – Bidder Name

### Volume 1 – Business Proposal

#### Transmittal Letter

The Proposal shall contain a transmittal letter to the Consortium. The Transmittal Letter shall include the following:

1. The Contractor’s business name and address;
2. The nature of the Contractor’s business organization, such as: corporation, partnership or other entity;
3. The Contractor’s Primary Business Contact including name, title, phone number and email address;
4. A statement certifying that neither the organization, proposed Subcontractor organizations, nor any of their principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal, State or County department or agency;
5. A reference to all RFP Addenda received by the Contractor; if none have been received, a statement to that effect must be included;
6. A statement indicating whether the Contractor has had any contracts terminated within the last five (5) years. If any such terminations exist, the Contractor must include details regarding the contract, the reason for termination, date of termination, and client contact information;
7. A statement indicating whether the Contractor is or has been involved in litigation regarding any contracts to which the Contractor is a party, within the previous five (5) years. If any such litigation exists, the Contractor must include details regarding the contract, the reason for litigation, date of litigation, and client contact information;
8. A description of any Prime or Subcontractor formal relationships with the Consortium or Counties over the last twenty-four (24) months;
9. A description and associated contract number(s) of any existing contracts between the Contractor’s organization, or any party named in the Contractor’s response to this RFP, with the Consortium or any California County(ies). If no such contracts exist, so declare;
10. A description of how the Contractor will address any potential conflicts between the Work underway on current contracts and the BenefitsCal and/or BenefitsCal Services;

* A statement certifying that the Contractor’s Proposal as submitted will remain in full force and effect for a specified period, which must be at least twelve (12) months from the Proposal due date specified in Section 1 or through the Agreement start date, whichever is later;
* A description of Contractor’s corporate commitment to diversity, equity, and inclusion in hiring and contracting, including a description of Contractor’s efforts to enter into subcontracts on the Project with qualified Minority and Women Business Enterprises (MWBEs) and/or Disabled Veteran Business Enterprises (DVBEs); and
* The letter shall be signed by an officer or agent of the Contractor’s organization who is authorized to negotiate on behalf of the Contractor and commit the organization to the terms and conditions of the Agreement resulting from this procurement. The Contractor shall include the job title of the individual who signs the letter.

**The Transmittal Letter must not contain price information.**

#### Table of Contents

Each Business Proposal file for Volume 1, Sections 1 – 4 must contain a Table of Contents to show how the content is organized and presented using a numeric outline format to the fourth level. If the Bidder opts to submit Volume 3A, the same instruction applies.

#### Section 1 – Executive Summary

The Executive Summary shall condense and highlight the contents of the Business Proposal in such a way as to provide a broad understanding of the Business Proposal. The primary objective of this summary is to provide an overview of the key points in the Proposal. While no specific format need be followed, it should include salient and significant points and minimize highly technical terms. It should be brief and concise, not to exceed ten (10) pages.

**The Executive Summary must not contain price information.**

#### Section 2 – Firm Qualifications

The Firm Qualifications Section shall provide a narrative with information that provides the Consortium with a basis for determining Contractor financial and overall capabilities to undertake a contract of this size and complexity. Bidders will respond to all Firm Qualifications contained in Section 5.2.1 – Firm Qualifications.

##### Firm Experience Details

Bidders will provide details of Prime Contractor firm experience relevant to the proposed BenefitsCal Services within the form in ***Attachment 8 – Firm Qualifications***. A concise but thorough description of relevant experience is desired.

The Contractor shall also provide a general narrative description highlighting the Contractor’s BenefitsCal Services experience and capabilities.

The Contractor shall provide a firm organization chart. If the firm is a subsidiary of a parent company, the organization chart must be that of the subsidiary firm. The chart must display the firm’s structure and the organizational placement of the BenefitsCal Project. The organization chart must include names and an effective date. The Contractor shall supply any additional information not already presented in this Section, which the Bidder believes to be relevant to the Consortium’s assessment of the Contractor’s experience with regard to the specifics of this RFP.

The Contractor shall provide two references using the ***Attachment 9 – Firm References*** form. Each reference must clearly indicate the reference entity.

##### Firm Financial Resources

Bidders will provide financial qualifications as contained in Section 5.2.1.3 associated with the prime Contractor and any Subcontractor providing at least 20% of the annual revenue during the base contract period.

##### Subcontractor Additional Details

The Contractor shall provide a detailed description of all Work to be performed by the Subcontractor(s) providing at least 20% of the annual price during the base contract period, including:

* Any Tasks, or portions thereof, that will be subcontracted must be identified and defined;
* Each Subcontractor(s) responsible shall be identified by name;
* The rationale for selection of the Subcontractor(s) must be stated; and
* The exact type and amount of Work to be done by each Subcontractor must be identified and defined.

Additionally, the Contractor shall delineate the percentage of the total BenefitsCal Services Work each Subcontractor will perform by SFY. The percentage of Work shall be calculated using the Subcontractor’s portion of the total number of Work hours or by using another method such as the Subcontractor’s portion of the prime Contractor’s total price. The Contractor shall separately delineate the percentage of the total BenefitsCal Services Work any Minority or MWBEs or Disabled Veteran Owned Business Enterprises will perform by SFY.

#### Section 3 – Staffing Approach

##### Staffing Approach Narrative

The Bidder shall provide a narrative describing the overall Staffing approach to the BenefitsCal team including responding to Staffing Approach and Requirements contained in Section 5 – Requirements. The Bidder shall describe the criteria used to fill the Key Staff positions and should discuss the planned interaction between these individuals and Consortium’s Project Staff in similar roles. The Bidder must include an organization chart displaying the relationships of the BenefitsCal Services team and include the relationships of the BenefitsCal Services team to the CalSAWS Project, Consortium and other Consortium Contractors.

##### Staffing Experience Details

The Bidder shall provide Key Staff résumés and qualifications for all Key Staff in accordance with the format prescribed in ***Attachment 10 – Staff Resumes and Qualifications***.

The Bidder shall provide two (2) Individual Reference Checks for all Key Staff in accordance with the format prescribed in ***Attachment 11 – Staff Reference Form***.

#### Section 4 – Understanding and Approach to BenefitsCal Services

The Bidder shall provide a detailed narrative response to the Understanding and Approach topics outlined in Section 5.2.3. Bidders will respond to the following areas to satisfy or exceed the RFP requirements as described in Section 5 – BenefitsCal Requirements addressing the following topics:

* Sub-Section 5.2.3.1 – Integrated Multi-Contractor Environment
* Sub-Section 5.2.3.2 – Software Development
* Sub-Section 5.2.3.3 – Application Evolution and Innovation
* Sub-Section 5.2.3.4 – User Experience, Marketing and Public Communications

Each sub-section response to Proposal Section 4 – Understanding and Approach may not exceed 30 pages.

#### Section 5 – Business Proposal Attachments

The proposing Bidder shall complete and include in this section the completed forms from the list below. Bidders are instructed to include the completed attachments only once as part of the Proposal Attachments in the appropriate sections of the Proposal.

* Attachment 4 – Statement of Compliance with Requirements
* Attachment 7 – Exceptions to the Agreement
* Attachment 8 – Firm Qualifications
* Attachment 9 – Firm References
* Attachment 10 – Key Staff Resumes and Qualifications
* Attachment 11 – Key Staff Reference Forms
* Attachment 13 – Staff Loading Worksheets
* Attachment 14– DARFUR Contracting Act Certification
* Attachment 15 – Certificate of Firm Status[[1]](#footnote-1)

### Volume 2 – Price Proposal

This section describes the instructions for the preparation of the Price Proposal Schedules for BenefitsCal Services.

Each Price Proposal for the BenefitsCal goods and Services shall include Schedules 1 through 12, the form, content and format for which are included as ***Attachment 5 – Price Proposal Schedules****.* This attachment consists of a Microsoft Excel workbook that contains multiple worksheets. Bidder completion of all BenefitsCal Price Proposal Schedules is mandatory. In Schedule 1 – BenefitsCal Price Summary by SFY, formulas have been inserted in the appropriate cells so that summary numbers automatically calculate. Bidders must document any changes to formulas or links for reasons other than to accommodate additional rows in sums and indicate any such changes as comments in the affected cells. It is solely the responsibility of the proposing Contractor to confirm that all mathematical calculations are correct in their BenefitsCal Price Proposal. Staffing Levels depicted within ***Attachment 5 – Price Proposal Schedules*** must match the Staffing Levels depicted within ***Attachment 13 – Staff Loading Worksheets.***

It is solely the responsibility of the proposing Contractor to confirm that all prices are included within their BenefitsCal Price Proposal. If additional key Tasks or other line items are required to represent the price accurately and completely, and the Q&A period is closed, Bidders should add any such items and notate those changes as comments in the affected cells.

Due to links between the Price Proposal Schedule worksheets and formulas that currently result in values of 0, a number of #DIV/0 indicators appear in the blank worksheets. Once the source values are populated, those indicators will no longer exist.

Each Price Proposal Schedule worksheet includes an area in which to document related assumptions. These are to be used by the Contractor to list and describe any special cost assumptions, conditions, and/or constraints relative to, or which impact, the prices presented on the detailed schedules.

Price Proposals must reflect the existing terms and conditions within the BenefitsCal Agreement. Contractors must not document assumptions that modify the BenefitsCal Agreement terms or conditions or that represent exceptions to BenefitsCal Agreement terms or conditions.

#### BenefitsCal Price Summary (Schedule 1)

Schedule 1 – BenefitsCal Price Summary by SFY, shall present the Contractor’s total firm fixed maximum price to perform all requirements of the RFP for the 6-month Transition-In period, the 5-Year and 5-Month Base Agreement Term, the four additional Optional Yearly Extensions, and the Total Maximum Price inclusive of the optional extensions. Schedule 1 summarizes the price details provided in other schedules contained in the workbook. This schedule contains formulas that automatically populate the summary price information.

#### Deliverables (Schedule 2)

#### Schedule 2 – Deliverables shall present the Contractor’s total firm fixed maximum price for the Deliverables defined within this RFP. The Proposer must indicate the proposed Deliverable Due Dates, Target Invoice Dates and Payment Dates. Contractors are required to manually enter information for Columns D through I. Payment for the Transition-In Period will be deliverables-based only. Following the initial Deliverable submission, effort and payment for Deliverables with subsequent recurring patterns should be incorporated into Schedule 5 – BenefitsCal Services Price.

#### Transition-In Staff Loading: September 2025 – February 2026 (Schedule 3)

Schedule 3 – Transition-In Staff Loading: September 2025 – February 2026, shall present the Contractor’s key Tasks, positions, FTEs, hours, hourly rates and whether the position is an onshore or offshore resource by month for the six-month Transition-In Services for the period September 2025 through February 2026***.*** Bidders should define additional Tasks as needed. The Staff Loading worksheet should generally reflect the level of effort associated with all work during the Transition-In period, even though payment will not be based on the Staff Loading.Schedule 3 defines price by SFY.

#### BenefitsCal Software Price: March 2026 – July 2031 (Schedule 4)

Schedule 4 – BenefitsCal Software Price: March 2026 – July 2031, shall present the Contractor’s total firm fixed maximum price for Software for the Base Contract Period March 2026 – July 2031. Bidders should not modify any of the shaded cells on this worksheet. For existing Software, Bidders must include prices for renewal/maintenance based on an effective date of March 2026 and continuing through the Base Contract Term for each of the items. For any new or additional software referenced within the Bidder’s Business Proposal, Bidders must also include prices for purchase as well as renewal/maintenance. The Consortium acknowledges that there may be a mix of Software license purchases and Software purchased as a Service. Bidders should include monthly or annual prices for SaaS products and point-in-time acquisition prices for other types of Software licenses, as appropriate. Bidders may assume that annual Software purchases will be paid in the first month of the applicable SFY. Schedule 5 defines price by SFY.

#### BenefitsCal Services Price: March 2026 – July 2031 (Schedule 5)

Schedule 5 – BenefitsCal Services Price: March 2026 – July 2031, shall present the Contractor’s total firm fixed maximum price for Services for the Base Contract Period March 2025 – July 2031***.*** This worksheet derives data from and is linked to Schedule 6 –Staff Loading. Bidders should not modify any of the cells on this worksheet. Schedule 5 defines price by SFY. All indirect costs associated with BenefitsCal operational expenditures and all Services must be encompassed within this set of line items.

#### Staff Loading: March 2026 – July 2031 (Schedule 6)

Schedule 6 – Staff Loading: March 2026 – January 2031, shall present the Contractor’s key Tasks, positions, FTEs, hours, hourly rates and whether the position is an onshore or offshore resource by month for the Services for the period March 2025 through July 2031***.*** Bidders should define additional Tasks as needed.

Contractors are directed to bid the 4,000 fixed monthly hours allocated for Application Maintenance (per Section 3.8). The Staff Loading does serve as the basis for payment for the ongoing Services. This worksheet provides data and is linked to Schedule 5 – Services Price.

Schedule 6 contains the following six worksheets, one for each base year in the Base Contract Period:

1. 6.1 Base Year 1 Staff Loading: March 2026 – February 2027
2. 6.2 Base Year 2 Staff Loading: March 2027 – February 2028
3. 6.3 Base Year 3 Staff Loading: March 2028 – February 2029
4. 6.4 Base Year 4 Staff Loading: March 2029 – February 2030
5. 6.5 Base Year 5 Staff Loading: March 2030 – February 2031
6. 6.6 Base Year 6 Staff Loading: March 2031 – July 2031

For each of these worksheets, Bidders must reflect actual staff hours per month for that period in columns F through Q. The information from these six worksheets will automatically populate the average monthly and annual hours in Schedule 6.

#### Optional Extension Years 1 – 4 (Schedules 7.1 – 7.4)

Schedules 7.1 – 7.4, Optional Extensions, Years 1 – 4, shall each present the Contractor’s total firm fixed maximum price for Services, Software, Software maintenance, and any other line items***.*** The Tasks and Staff information in Schedule 7.1 – Optional Extension Year 1, is linked to the Schedule 5 – Services Price Schedule. Each subsequent optional year is linked to the prior optional year. Bidders must manually enter percentage increases that apply to the Services, Software and Other line items. Annual increases must not exceed 10%. A one-time Services increase is permitted only for the Year 1 Optional Extension; increases are not permitted for subsequent optional years. The Contractor’s total firm fixed maximum price for Services must be the same for all four Optional Extension Years.

Schedules 7.1 – 7.4 define price by SFY. There is no initial price loaded for Software; unless the Bidder specifically identifies additional Software purchases during the optional years, only Software Maintenance should be reflected. The initial price for Software Maintenance is linked to the Annual Price column for Software Maintenance and Support. Bidders may adjust the source information as needed. Prices for all line items are structured to split across the two applicable State Fiscal Years. Bidders may adjust those splits as applicable with supporting assumptions. All indirect costs associated with Software, operational expenditures and all Services must be encompassed within this set of line items.

#### Hourly Rate Card (Schedule 8)

Schedule 8 – Hourly Rate Card shall present the Contractor’s hourly rates for each position during the Transition-In Period and the Base Contract Term. Bidders must also indicate whether each position and associated hourly rate is based onshore or offshore. Hourly rates must remain flat for the Transition-In Period and the Base Contract term combined. Schedule 8 must include hourly rates for all Key Staff positions and non-Key Staff positions. The Contractor hourly rates must include all direct and indirect Charges for each position.

#### Change Order Rate Card (Schedule 9)

Schedule 9 – Change Order Rate Card shall present the Contractor’s hourly rates for each position for any future potential Agreement Change Orders. Bidders must also indicate whether each position and associated hourly rate is based onshore or offshore. Schedule 9 must include hourly rates for all Key Staff positions and non-Key Staff positions. The Contractor hourly rates must include all direct and indirect Charges for each position. Change Order rates must be within 10% of the hourly rates documented in the Hourly Rate Card for the Transition-In Period and the Base Contract Term.

#### AWS IaaS Resources (Schedule 10)

Schedule 10 –AWS Infrastructure as a Service (IaaS) Resources shall present the Contractor’s AWS IaaS needs to perform all requirements of the RFP. Schedule 10 indicates the required additional resources the Contractor needs for the Consortium to procure based on its proposal. Bidders are directed not to include existing BenefitsCal AWS resources, as part of this schedule. The prices associated with Schedule 10 are not reflected in the overall price summary in Schedule 1– BenefitsCal Price Summary by SFY.

#### Other (Schedule 11)

Schedule 11 – Other shall present the Contractor’s total firm fixed maximum price for Other goods and Services***.*** This schedule captures prices for those items which do not directly correspond to other defined price schedules, including but not limited to third party services. Schedule 11 defines price by SFY. All indirect costs associated with Other goods and Services must be encompassed within this set of line items.

#### SCR (Schedule 12)

Schedule 12 – SCR shall present the Contractor’s price for the BenefitsCal SCR exercise***.*** This schedule is currently under development.

### Volume 3A and Volume 3B – Confidential or Proprietary Portions Redacted Proposals - Optional

Bidders may, at their discretion, include confidential materials as described in Section 7.8 – Public Records Act. If a Bidder believes that any portion of its Proposal is exempt from public disclosure, it may redact the portion(s) regarded as “Confidential” or “Proprietary” and submit as a separate volume in accordance with Proposal Submission instructions contained in Section 6.2 and Section 6.3

# PROPOSAL CONDITIONS AND CERTIFICATIONS

## Authorized Signatures

All Proposals must be signed by an individual authorized to bind the Bidder to the provisions of the RFP.

## Term Of Offer

Proposals shall remain open, valid and subject to acceptance any time prior to the end of the Transition-In Period.

## Required Review

Bidders should carefully review this solicitation for defects and questionable or objectionable material. Comments concerning defects and/or objectionable material must be made in writing and received by the RFP/Proposal contact via email on or before the dates included in Section 1.11 - Procurement Timeline. This will facilitate timely issuance of any necessary amendments.

## Incurred Costs

The Consortium is not obligated to pay any costs incurred by Bidder in the preparation of a Proposal in response to this RFP. Bidders agree that all costs incurred in developing a Proposal are the Bidder’s responsibility.

## Amendments/Addenda To RFP

The Consortium reserves the right to issue addenda or amendments to this RFP if the Consortium determines that changes are necessary and/or additional information is needed.

## Best Value Evaluation

As established in this solicitation, the Consortium realizes that criteria other than price are important and will award a contract based on the Proposal that best meets the needs of the Consortium. The optimal combination of quality, price, and various qualitative elements of required Services will provide the Consortium the greatest or best value. Proposals must clearly demonstrate and provide evidence of the following:

* Proven experience in providing similar services for Projects of similar scope and complexity with a distributed customer base (i.e., multiple customer locations).
* An approach that offers guidance and innovative solutions to lead the CalSAWS Consortium in effectively managing and completing the transition to new BenefitsCal Services and in identifying, understanding and addressing issues and risks.
* A proactive Project management methodology that combines structured management processes, proven techniques, best practices and appropriate tools.
* Realistic and well-considered prices, reflective of the proposed Services Tasks, Deliverables and Requirements.

## Right Of Rejection

Offers must comply with all the terms of the RFP, and all applicable local, State, and Federal laws, codes, and regulations. The Consortium may reject as non-responsive any Proposal that does not comply with all the material and substantial terms, conditions, and performance requirements of the RFP.

Bidders may not qualify the Proposal nor restrict the rights of the Consortium. If Bidder does so, the Proposal may be determined to be a non-responsive offer and the Proposal may be rejected.

If the Proposal contains a minor irregularity, defect or variation and if the irregularity, defect or variation is considered by the Consortium to be immaterial or inconsequential, the Consortium may choose to accept the Proposal.

This RFP does not commit the Consortium to award a contract. The Consortium reserves the right to reject any or all Proposals if it is in the best interest of the Consortium to do so. The Consortium also reserves the right to terminate this RFP process at any time.

## Public Records Act

All Proposals and other material submitted become the property of the Consortium and are subject to release according to the California Public Records Act (“CPRA,” Government Code 6250). All Proposal information, including price information, will be held in confidence during the evaluation process. Upon issuance of the Notice of Intent to Award (NOIA) pursuant to Section 9, the Consortium will post all Proposals to its website.

If a Bidder believes that any portion of its Proposal is exempt from public disclosure, it may redact the portion(s) regarded as “Confidential” or “Proprietary” and submit separately as Volume 3A Business Proposal and Volume 3B Price Proposal. Refer to Section 6.3.2 Proposal Organization. The Bidder also must include a separate statement setting forth the Bidder’s justification for identifying portions of its Proposal as “Confidential” or “Proprietary.” If a Bidder fails to submit a separate statement justifying its identification of portions of its Proposal as “Confidential” or “Proprietary,” the Bidder’s Proposal will be treated as public information and subject to disclosure under the CPRA regardless of whether the Bidder has marked certain portions of its Proposal “Confidential” or “Proprietary.” If, on the other hand, a Bidder submits Volume 3A Business Proposal and Volume 3B Price Proposal with a separate statement setting forth the Bidder’s justification for the redactions contained in those two volumes, the Consortium will post only Volumes 3A and 3B at the time of the posting of the NOIA.

In the event the Consortium receives a CPRA request for production of Bidders’ Proposals, the Consortium initially will produce only Volumes 3A and 3B assuming the redactions contained in those volumes are supported by a separate statement justifying the redactions. The Consortium also will notify Bidders that production of their Proposals has been requested under the CPRA and of the fact that the Consortium initially is producing only the redacted versions of the Business and Price Proposals contained in Volumes 3A and 3B. In the event a person or entity making a CPRA request for Bidder Proposals objects to receiving only the redacted Volumes 3A and 3B, the Consortium will notify Bidders of this fact and of the Consortium’s intent to produce the entire unredacted version of Bidders’ Proposals. The Consortium will provide Bidders with a reasonable period prior to producing the full unredacted version of the Bidders’ Proposals to take whatever steps Bidders feel necessary to protect their confidential or proprietary information. In no event will the Consortium be responsible for protecting the purported confidentiality of a Bidder’s information regardless of its designation by a Bidder as “Confidential” or “Proprietary.” If a Bidder fails to obtain relief from a CPRA request for its confidential or proprietary information after the reasonable period provided by the Consortium, the Consortium will produce the entirety of the Bidder’s Proposal. In no event will Consortium be liable for disclosure of a Bidder’s confidential or proprietary information whether inadvertent or following the reasonable period granted by the Consortium for obtaining relief from such disclosure.

By submitting a Proposal with portions designated as “Confidential” or “Proprietary” i.e. redacted, a Bidder represents that it has a good faith belief that such portions are exempt from disclosure under the CPRA and agrees to reimburse the Consortium for, and to indemnify, defend and hold harmless the Consortium, its board members, officers, employees and agents from, any and all claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs and expenses, including without limitation, attorneys’ fees, expenses and court costs of any nature arising from any action under the CPRA in which the Consortium is named as a party.

## Debarment and Suspension

Bidder certifies that neither it nor its principals or Subcontractors are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency as required by Executive Order 12549.

Further, Bidder affirms that it has no record of unsatisfactory performance with CalSAWS or CalWIN in the thirty-six (36) month period immediately preceding the date of issuance of this RFP.

## Subcontractors

All requirements as set forth in this RFP shall apply to proposed Subcontractors in the same manner as to the prime BenefitsCal Services Bidder and the prime BenefitsCal Services Bidder unless otherwise indicated. Copies of any such subcontract must be provided to the Consortium within ten (10) business days of their execution.

## Final Authority

The final authority to award contracts as a result of this RFP rests solely with the Consortium according to the JPA rules and State and Federal approval processes.

# EVALUATION

## General

This section presents the processes which the Consortium Evaluation Teams will utilize to evaluate and score Bidder Proposals in response to this RFP. It identifies the evaluation phases, methodology, and criteria, and describes the selection and award process.

The Consortium will conduct a comprehensive, fair, and impartial evaluation of Proposals received in response to this RFP. The Consortium will select the successful Contractor through a formal evaluation process, established prior to the opening and evaluation of Proposals, and which will remain fixed throughout the procurement cycle. Consideration will be given to capabilities or advantages which are clearly described in the Proposal, confirmed by interviews and/or verified by information from reference sources.

The Consortium reserves the right to contact individuals, entities, or organizations who have had contracts or relationships with the firm or Key Staff proposed for this effort, whether or not they are identified as references, to verify that the Contractor or person has successfully performed their contractual obligations in other similar efforts. All Proposals submitted will become the property of the Consortium and will be considered a matter of public record after Agreement negotiations are complete.

## Evaluation Organization

The Consortium will conduct the evaluation using the following approach:

1. Administrative Compliance
2. Firm Qualifications: Minimum Qualifications and Financial Information
3. Business Proposal Evaluation
4. Price Proposal Evaluation

The Consortium will establish formal Evaluation Teams to assist in completing all steps of the evaluation process, and in making a final recommendation for selection to the CalSAWS Executive Director and JPA Board of Directors.

The evaluation process includes a detailed review, assessment and scoring of proposals, resolving compliance issues, reviewing BAFO submissions, the final overall scoring of all Proposals, and preparing the Vendor Selection Report which consolidates the results of the evaluation process and recommends a Contractor for selection. To bring the appropriate expertise to the selection process, the Evaluation Team will consist of Consortium, County and/or State Staff with appropriate business, technical, management and financial experience.

The following figure depicts the teams and processes.

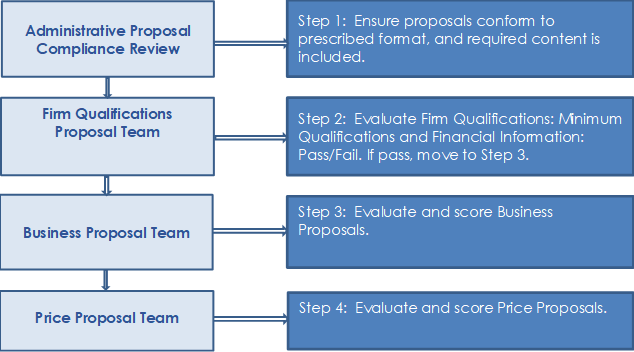


Figure 18 - Evaluation Team Structure and Process

The evaluation methodology, processes and criteria are described in following subsections.

## Proposal Evaluation Methodology

The Consortium will apply a best value evaluation methodology to this procurement. A best value evaluation approach focuses on aspects other than price in determining which Contractor is most likely to successfully provide the required scope of work and Services. This approach is designed to achieve a reasonable balance between business and Price Proposal scores and does not necessarily result in the selection of the lowest Price Proposal. The Consortium will select the Contractor or Contractors who can best fulfill the business, management and operational needs of the Consortium and its stakeholders and as delineated in this RFP.

The following methodology and percentage weights for the major sections of the Proposals will be applied to BenefitsCal.

### Evaluation Methodology

Table 23 - Evaluation Methodology

| Proposal Evaluation Methodology | | | | |
| --- | --- | --- | --- | --- |
|  | **Category/Subcategory** | **Subcategory Weight** | **Overall Weight** | **Total Points Possible** |
|  | **Business Proposal** |  | **70.0%** | **70** |
| 1 | Firm Qualifications: Firm References | **5.0%** |  |  |
| 2 | Staff Qualifications, Oral Presentations and Key Staff Interviews | **25.0%** |  |  |
|  | * Staff Qualifications and Experience | 10.0% |  |  |
|  | * Oral Presentations | 5.0% |  |  |
|  | * Key Staff Interviews | 10.0% |  |  |
| 3 | Understanding and Approach | **40.0%** |  |  |
|  | * Integrated Multi-Contractor Environment | 10.0% |  |  |
|  | * Software Development | 10.0% |  |  |
|  | * Application Evolution and Innovation | 10.0% |  |  |
|  | * User Experience, Marketing and Public Communications | 10.0% |  |  |
|  | Total Business Proposal Scores |  |  | **70.0** |
|  | **Price Proposal** |  | **30.0%** | **30** |
| 4 | Five (5) Years and Five (5) Months Base Contract Term (Excluding 6-Month Transition-In Period) | **30.0%** |  |  |
|  | Total Price Proposal Scores |  |  | **30.0** |
|  | **Business Proposal + Price Proposal Total** | | **100.0%** | **100.0** |

## Administrative Compliance Review and Firm Qualifications Evaluation

The administrative compliance review and Firm Qualifications evaluation is the first phase of the assessment process. A pass/fail basis will be used to score the administrative compliance and Firm Qualifications areas.

### Administrative Compliance Review

#### Receipt of Proposals

All Proposals received by the date and time specified in Section 1.11 – Procurement Timeline, will be acknowledged as having been received on time based on the date and time stamp of the electronic submission to the designated SharePoint site.

#### Compliance Review

This step of the process determines compliance with Proposal submission requirements, including format and content, and inclusion of all required forms and signatures. The Consortium will review each Proposal to determine whether it adheres to RFP Section 6 – Proposal Structure and Submission.

The Evaluation Team will identify any areas of the Proposal that do not meet the submission requirements and document the reasons that any requirements are not fully met. If the Proposal contains a minor irregularity, defect or variation and if the irregularity, defect or variation is considered by the Consortium to be immaterial or inconsequential, the Consortium may choose to accept the Proposal. If a Proposal fails to comply with the submission requirements and contains irregularities, defects or variations which are not immaterial or inconsequential, the Proposal will be subject to the Cure Process and Period described in Section 8.4.3 below.

### Firm Qualifications

Section 2 of the Bidder’s Proposal and required Attachments will be evaluated for the following RFP requirements:

* Firm experience qualifications; and
* Financial viability and stability.

The Evaluation Team will identify any areas of the Firm Qualifications Section that do not meet the requirements and document the reasons that any requirements are not fully met. If the Proposal contains a minor irregularity, defect or variation and if the irregularity, defect or variation is considered by the Consortium to be immaterial or inconsequential, the Consortium may choose to accept the Proposal. If a Proposal fails to comply with the submission requirements and contains irregularities, defects or variations which are not immaterial or inconsequential, the Proposal will be subject to the Cure Process and Period described in Section 8.4.3 below.

### Cure Process and Period

The Consortium will notify Bidders as soon as is reasonably possible if their Proposal is found to contain material or consequential irregularities, defects or variations. In that event, Bidders will have up to five (5) business days to provide the required information or otherwise cure the irregularities, defects or variations.

If, after the Bidder has had the opportunity to cure, and has not corrected the irregularities, defects or variations, the Consortium will eliminate the Proposal from further consideration. The Contractor will be notified as soon as is reasonably possible if their Proposal has been eliminated due to failure to meet mandatory form and content requirements after having had the opportunity to cure.

### Completion of the Administrative Compliance and Firm Qualifications Phase

For those Proposals that pass the Administrative compliance and Firm Qualifications phase, they will move into the next phase: the Business Proposal Evaluation. Proposals that fail the Administrative compliance and/or Firm Qualifications phase will be deemed nonresponsive and will not move forward to the Business Proposal and Price Proposal evaluation phases.

## Business Proposal Evaluation

The Evaluation Team members will evaluate each Business Proposal based on the Staff Qualifications, Oral Presentations and Key Staff Interviews along with the designated U&A areas and corresponding requirements, as applicable. The Business Proposals will be evaluated using the following process:

1. Once the individual team member reviews of each Business Proposal are completed, the Evaluation Team will meet to review and discuss the rationale for scores. The Evaluation Team will discuss the Proposals and reach consensus on the scoring of each Understanding and Approach requirement.
2. The Evaluation Team will also discuss the Proposals related to the Staff Qualifications area.
   * The Oral Presentations and Key Staff Interviews will be rated on a 1-10 scale.
   * Once the Oral Presentations and Key Staff Interviews are completed, the Evaluation Team will reach consensus on the total score for the Staff Qualifications, Oral Presentations and Key Staff Interviews.
3. The resultant points for each subsection will be multiplied by the subcategory weight and totaled to create a weighted or normalized Business Proposal score.
4. The Bidder with the highest Business Proposal score will receive the maximum possible score (70 points).
5. The scores of the other Bidders will be normalized as follows:

(Business Proposal Score / Highest Business Proposal Score) \* 70 = Normalized Business Proposal Score

### Business Proposal Evaluation Criteria

The criteria outlined in the following sections will provide the basis for evaluation of Business Proposals and is based on the RFP requirements. The three areas that comprise the Business Proposal Evaluation are the Firm Qualifications Customer References, Staff Qualifications and the U&A.

#### Firm Qualifications Customer References

Customer references provided by the Bidder will be reviewed. Additional references documented by the Consortium and California State agencies, including but not limited to CDSS, DHCS and OTSI, will also be reviewed. The scores of all Customer References will be averaged to produce the overall Firm Qualifications Customer References Average Score.

#### Staff Qualifications

The Staff Qualifications section of the Bidder’s Proposal and related Attachments will be evaluated in the following areas and in accordance with RFP requirements:

* The extent to which the minimum Staff qualifications were met and/or exceeded;
* Experience of proposed Staff providing BenefitsCal Services;
* The justification of Staff types and levels proposed;
* Key Staff client references;
* Performance in Oral Presentations; and
* Performance in Key Staff interviews.

All Bidders are required to participate in an oral presentation. This presentation will be conducted in person, at a location to be determined prior to the oral presentation. The intent of the oral presentation is to validate the information provided by the Bidder in its Proposal. Interviews of Key Staff will be used to confirm Staff experience and qualifications. The oral presentation will be designed to address specific areas of the Bidder’s Proposal; the Consortium will provide the topic areas and/or questions to all Bidders invited to participate in oral presentations. The oral presentations will be scheduled for approximately 90 minutes. The oral presentations will be scored using a standard scale of 1 to 10 points. The Oral Presentation score for each Bidder will be factored into the overall score for the Staff-related subcategory shown in the evaluation percentage weight table in Section 8.3.1above.

Immediately following the oral presentation, all proposed Key Staff will be interviewed by one or more panels of Consortium representatives. Interviews will be conducted in person. The interviews will seek information regarding the understanding of the proposed Key Staff role and relevant experience. The interview questions for each Key Staff position will be identical for all Bidders. Each interview will be scheduled for 20-30 minutes.

Key Staff interviews will be scored using a standard scale of 1 to 10 points. For each Bidder, a weighted average interview score will be calculated across the required Key Staff positions. The interview score for each Bidder will be factored into the overall score for the Staff-related subcategory shown in the evaluation percentage weight table in Section 8.3.1above.

In the event the oral presentations and Key Staff interviews cannot be conducted in person, the Consortium will notify Bidders regarding alternate video conference arrangements.

#### Understanding and Approach

Section 4 – Understanding and Approach of each Bidder’s Proposal and related Attachments will be evaluated in the following areas and in accordance with RFP requirements:

* Integrated Multi-Contractor Environment
* Software Development
* Stakeholder Engagement
* Application Evolution and Innovation

For each of these areas, the Consortium will consider the clarity and completeness of the response and evidence of the Bidder’s understanding of the RFP requirements.  In scoring the Bidder's proposal, the Consortium will consider the extent to which the Bidder has demonstrated an Understanding and Approach by which the CalSAWS Future State and vision as described in Section 4 will be realized.

## Price Proposal Evaluation

Price Proposals will be evaluated for adherence to the mandatory form and content requirements, and to confirm that all required forms and schedules are provided and signed by a representative of the Contractor’s organization with the authority to bind the firm. **If a Price Proposal does not meet all the mandatory form and content requirements, it may be rejected as nonresponsive to the RFP.** No deviations, qualifications, or counteroffers will be accepted in the Proposal. The Consortium reserves the right to review the price details for reasonableness and reject any Proposal where the price details show significant and unsupported deviation from normal expectations. The Price Proposals will be scored in accordance with the methodology described in Section 8.3.1 – Evaluation Methodology.

The Price Proposal Schedules will be evaluated based on the total price of the five-year and five-month Base Contract period (excluding the Transition-In Period). The Contractor’s total price will be considered, not individual cost elements. All Price Proposals will then be ranked from lowest price to highest price. Each Contractor will receive a score for the Base Period based on a proration of 30 points, with the lowest Price Proposal allocated the maximum available 30 points and each higher Price Proposal receiving a normalized (reduced) score based on the lowest Price Proposal divided by each of the higher Price Proposals.

To simplify, the Price Proposal evaluation formula is:

*Contractor Price Score = (Lowest Price / Contractor Price) \* 30.*

**Example for the Price Scoring**. The Price Proposals will be evaluated as follows.

Table 24 - Example BenefitsCal Total Prices

| **Contractor** | **Total Price** |
| --- | --- |
| A | $35,000,000 |
| B | $27,000,000 |
| C | $30,000,000 |
| D | $37,000,000 |

In this example, Contractor B has the lowest Total Price ($27,000,000), so Contractor B will receive the full 300 points available. The other Contractors will receive a prorated score based on their own Total Price in relation to the lowest Total Price, as shown below:

Table 25 - Example BenefitsCal Contractor Price Proposal Scoring

| **Contractor** | **Contractor Price** | **Lowest Contractor Price** | **Lowest Price / Contractor Price** | **Total Possible Price Points** | **Contractor Price Score** |
| --- | --- | --- | --- | --- | --- |
| B | $27,000,000 | $27,000,000 | 1.00 | 30.0 | 30.0 |
| C | $30,000,000 | $27,000,000 | 0.90 | 30.0 | 27.0 |
| A | $35,000,000 | $27,000,000 | 0.77 | 30.0 | 23.1 |
| D | $37,000,000 | $27,000,000 | 0.73 | 30.0 | 21.9 |

## Evaluation of Final Proposals

The Business Proposal Evaluation Team will rank and score each Business Proposal using the evaluation criteria as established in Section 8.5.1 – Business Proposal Evaluation Criteria. A separate Price Proposal Evaluation Team will rank and score Price Proposals using the evaluation criteria as established in Section 8.6.1.

### Best And Final Offer

The Consortium reserves the right to require one or more Best and Final Offers (BAFO) from one or more Contractors, requesting a final adjustment, confirmation, or resubmission of any or all parts of the Business and Price Proposals.

### Final Proposal Scoring

The Contractor’s final total score will be the sum of the normalized scores for the Business Proposal plus the Price Proposal.

## Final Authority

The final authority to award one or more Agreements resulting from this RFP rests solely with the Consortium according to the CalSAWS JPA processes and State and Federal review and approval processes.

# NOTICE OF INTENT TO AWARD AND NEGOTIATIONS

## Notice Of Intent To Award

After the completion of the Proposal evaluations an electronic Notice of Intent to Award (NOIA) will be issued to all Bidders. The date of NOIA issuance also triggers the beginning of the appeal period. (See Section 9.3 below for Appeal Procedures.)

The contract will be awarded based on application of the evaluation criteria set forth in Section 8 - Evaluation.

The contents of the Proposal of the successful Bidder will become contractual obligations and failure to accept these obligations in a contractual Agreement may result in cancellation of the award.

### Posting of Information Upon Issuance of NOIA

Upon issuance of the NOIA, the Consortium will post on its website: (1) the non-confidential portion of all Bidder Proposals; (2) the final comprehensive evaluation scoring workbook for each Bidder; (3) the master comprehensive scoring workbook; and (4) the Consortium’s Vendor Selection Report (“VSR”) setting forth the Consortium’s rationale underlying its selection of the successful Bidder.

## Contract Negotiations

Negotiations may be conducted with the successful selected Contractor beginning immediately after the NOIA. Contract negotiations may commence in parallel with the appeal period described below.

Contract negotiations may be conducted on-site in the Sacramento area. During this period, the Bidder will be responsible for its travel and per diem expenses.

If the selected Bidder,

* fails to provide the information required to begin negotiations in a timely manner; or
* fails to negotiate in good faith; or
* indicates it cannot perform the contract within the budgeted funds available for the Project; or
* if the Bidder and Consortium, after a good faith effort, simply cannot come to terms,

then the Consortium may terminate negotiations with the Bidder initially selected and commence negotiations with the next highest rated Bidder.

## Appeals

### Introduction

The objective of the Consortium procurement process is to award a contract to the selected Bidder for the Services or materials described in this RFP that is determined to be most advantageous to the Consortium, with price and other factors considered.

The process that will be followed in the event a Bidder protests a proposed contract award resulting from this Consortium BenefitsCal Services Procurement competitive solicitation is explained below.

### Grounds for Appeal

Appeals are limited strictly to the following grounds:

* The Consortium failed to follow its evaluation and selection procedures and to adhere to requirements specified in the RFP or any addenda or amendments thereto;
* The Consortium violated California Government Code 87100 et. seq.; or
* The Consortium violated state or federal laws relevant to contract procurements.

Appeals will not be accepted for any other reason.

### Initiating an Appeal

An appeal is initiated by submitting a Notice of Appeal in writing (by e-mail, or first-class mail) to the Consortium’s Executive Director within five (5) business days of the date on which the Consortium posts to its website the documents identified in Section 9.1.1 above.

The Notice of Appeal must contain the following information:

* The name, address, electronic mail address, telephone and facsimile numbers of the Appealing Bidder;
* The title of the procurement being appealed;
* Ground(s) for the appeal with supporting facts and documentation; and
* Form of relief requested.

The Executive Director is John Boule.

Address: 620 Roseville Parkway, Roseville, CA 95747  
Email: BouleJ@CalSAWS.org

Within two (2) business days of his/her receipt of the Notice of Appeal, the Executive Director shall acknowledge in writing to the appealing Bidder that an appeal has been filed.

### Appeal Review Panel and Its Responsibilities

Within two (2) business days of the receipt of a Notice of Appeal, the Consortium Executive Director will inform the Consortium Board of Directors that an appeal of the contract award has been initiated. The Chair of the Consortium Board of Directors will designate three (3) Directors to serve as the Appeal Review Panel. The Consortium Board Chair may, at his/her discretion, serve as one of the members of the Appeal Review Panel. The Appeal Review Panel will not include members of the Procurement Proposal Evaluation Team or Consortium Staff.

Within two (2) business days of the formation of the Appeal Review Panel, the Executive Director shall provide notice to the appealing Bidder of the names and contact information of the members of the Appeal Review Panel.

The Appeal Review Panel will be responsible for addressing all preliminary matters that may arise during the course of the appeal as well as making a final decision on the appeal. These duties are described more fully below. In order to meet its duties and responsibilities, the Appeal Review Panel may, at its sole discretion, retain or appoint separate legal counsel to provide legal advice to it on substantive and procedural issues raised by the appeal.

### Appeal Procedures

#### Requests for Additional Documentation

If the appealing Bidder believes it requires additional documents beyond those posted to the Consortium’s website in order to prosecute its appeal, it shall make its request for such additional documentation in writing to the Consortium Executive Director no later than ten (10) calendar days from the date of its service of the Notice of Appeal. Appealing Bidders are cautioned, however, that the opportunity to request additional documentation is not intended to involve a discovery process typical of civil litigation. Requests for additional documentation must be tailored narrowly and relate specifically to issues properly raised as part of the Bid Appeal. The Consortium Executive Director will have ten (10) calendar days to either produce the additional requested documents or to serve objections to those requests. In the event the Executive Director objects to any of the requests for documents from the appealing Bidder, the appealing Bidder may request a determination by the Appeal Review Panel regarding whether the documents should be produced notwithstanding the Executive Director’s objections. The appealing Bidder’s request to the Appeal Review Panel for a determination of the disputed requests for production of documents shall be made in writing to the Appeal Review Panel within five (5) calendar days of the Executive Director’s service of his/her objections. In making any request to the Appeal Review Panel that it resolve a dispute over documents to be produced, the appealing Bidder will have the burden of persuasion and proof regarding why and how any disputed requests for production of documents involves documents relevant to a determination of an issue properly within the scope of the Bid Appeal. The Appeal Review Panel may, at its sole discretion, direct the parties to file letter briefs of no more than five (5) pages setting forth their position on the disputed document production requests and/or hold a hearing on said issues and shall advise the parties of the due date for the letter briefs and/or the date for the hearing. If the Appeal Review Panel directs the filing of letter briefs and/or conducts a hearing, the matter will not be deemed submitted to the Appeal Review Panel until such letter briefs are filed and/or the hearing is closed. The Appeal Review Panel’s determination of whether the disputed documents should be produced shall be made no later than ten (10) calendar days following the final submission of the matter to it.

#### Submission of Issue(s) Statement

No later than fifteen (15) calendar days from either the filing of the Notice of Appeal or the Appeal Review Panel’s determination of any disputed document production requests, whichever is later, the appealing Bidder shall submit in writing to the Appeal Review Panel, and shall serve upon the Executive Director, a statement of the issues it intends to raise in the appeal (“Issue Statement”). Within ten (10) calendar days of the appealing Bidder’s service of its Issue Statement, the Executive Director may file in writing with the Appeal Review Panel, and serve upon the appealing Bidder, objections to the appealing Bidder’s Issue Statement and/or raise additional issues for the Appeal Review Panel’s determination. The Appeal Review Panel shall notify the parties in writing within ten (10) calendar days of any submission by the Executive Director of the issues it has determined to be within the proper scope of appeal.

#### Submission of Briefs and Documentary Evidence

No later than twenty (20) calendar days from notice to the parties by the Appeal Review Panel of the issues deemed to be within the proper scope of the appeal, the parties shall submit to the Appeal Review Panel, and shall serve upon one another, letter briefs of no more than twenty (20) pages setting forth their respective positions on the factual and legal issues raised by the appeal. The parties letter briefs shall be accompanied by all documentary evidence on which the parties intend to rely in support of their respective positions and (ii) a list of the individuals who will participate in the hearing described below.

#### Summary Dismissal of Appeal

The Appeal Review Panel may summarily dismiss an appeal at any time that it determines the appeal raises issues beyond those set forth in Section 9.3.2; was initiated untimely; or is frivolous or without merit. If a decision is made to dismiss the appeal, written notification will be sent to the appealing Bidder stating the decision and reasons for dismissal.

#### Hearing

In the event the Appeal Panel finds the appeal is timely and raises issues properly within scope, the Appeal Review Panel shall set a hearing to be conducted on the appeal. The hearing shall be scheduled at a date to be determined by the Appeal Review Panel, which shall be no later than forty-five (45) days from the date of the Appeal Review Panel’s receipt of the parties’ briefs, documentary evidence, and list of hearing participants. At the hearing, the parties will be limited to the documentary evidence and participants previously identified to the Appeal Review Panel. No later than ten (10) calendar days prior to the date of the hearing, the Appeal Review Panel will inform each side of the amount of time they will be given to make their oral presentation during the hearing. The amount of time granted by the Appeal Review Panel for oral presentations by the parties will be inclusive of any time answering questions posed by the Appeal Review Panel. The oral presentations will be informal in nature and technical rules of evidence shall not apply. Neither party is permitted to call and/or examine witnesses at the hearing.

#### Appeal Review Panel Decision

The Appeal Review Panel shall prepare a written decision setting forth its factual and legal findings on the issues raised by the appeal along with the remedy, if any, it is directing be implemented. The Appeal Review Panel’s written decision shall be served on the parties no later than twenty (20) days from the close of the hearing. The Appeal Review Panel’s decision shall be final and there shall be no further administrative appeals available to the appealing Bidder to challenge the Consortium’s contract award.

#### Summary of Appeal Schedule

The following stable contains the events and dates of the appeal process.

Table 26 - Summary of Appeal Schedule

| Event | Due Date |
| --- | --- |
| Posting of (1) the non-confidential portion of all Bidders’ Proposals; (2) the final comprehensive evaluation scoring sheets for each Bidder; (3) the master comprehensive scoring sheet; and (4) the Consortium’s Vendor Selection Report (“VSR”) setting forth the Consortium’s rationale underlying its selection of the successful Bidder to the Consortium’s website | Contemporaneous with issuance of the Notice of Intent to Award (NOIA). |
| Notice of Appeal | Five (5) business days from the NOIA. |
| Executive Director’s acknowledgement of appeal | Two (2) business days from Notice of Appeal |
| Executive Director’s notification to Consortium Board of Directors re appeal | Two (2) business days from Notice of Appeal |
| Executive Director’s notification to appealing Bidder of formation of Appeal Review Panel | Two (2) business days following Consortium Board Chair’s formation of Appeal Review Panel |
| Request(s) for Additional Documentation | Ten (10) calendar days from filing Notice of Appeal |
| Executive Director’s Objection(s) to Request(s) for Additional Documentation | Ten (10) calendar days from service of Request(s) for Additional Documentation |
| Appeal Review Panel’s determination of disputed document production requests | Ten (10) calendar days from final submission to it of disputed document production requests |
| Appealing Bidder’s Issue Statement | Fifteen (15) calendar days from the Notice of Appeal of the Appeal Review Panel’s determination of disputed document production requests, whichever is later. |
| Executive Director’s response to Issue Statement | Ten (10) calendar days from service of Issue Statement |
| Appeal Review Panel’s notification to parties of issues properly within scope of appeal | Ten (10) calendar days from service of Executive Director’s response to Issue Statement |
| Parties’ submission of hearing briefs, all documentary evidence on which they rely, and list of hearing participants | Twenty (20) calendar days from notification by Appeal Review Panel of issues deemed to be within proper scope of appeal |
| Hearing | No later than forty-five (45) days from submission of hearing briefs, all documentary evidence on which parties intend to rely, and list of hearing participants |
| Notification by Appeal Review Panel of amount of time for oral presentations | No later than ten (10) calendar days prior to the hearing. |
| Appeal Review Panel decision | Twenty (20) calendar days from hearing. |

# AGREEMENT WITH SUCCESSFUL BIDDER

The selected Bidder will be required to enter into a formal Agreement with the Consortium as provided in ***Attachment 6 – BenefitsCal Agreement.***

# BENEFITSCAL ATTACHMENTS

## Attachment 1 – Statement of Work

The Statement of Work (SOW) defines the BenefitsCal Services required to maintain and operate the application and associated BenefitsCal. The BenefitsCal Contractor will provide Services as contained in this SOW for the duration of the Agreement.

### Consortium Responsibilities

The Consortium will provide Contract management and oversight for this Agreement. It will perform the following responsibilities.

Table 27 - Consortium BenefitsCal Responsibilities

| M&O Services Roles and Responsibilities | |
| --- | --- |
| CalSAWS Consortium | |
| Task 1 – Transition-In | * Provide a Transition-In Manager * Participate in and support Transition-In meetings * Provide Consortium Staff to participate in knowledge transfer and internal training activities * Participate in Readiness Reviews * Participate in Testing and Validation activities and walkthroughs * Provide timely review and approval of Contractor Work products and Deliverables |
| Task 2 – Project Management | * Maintain M&O Project standards, policies and procedures * Maintain the BenefitsCal PCD * Develop and maintain the CalSAWS Master Work Plan * Oversee Contractor Agreements and performance requirement commitments * Provide facilities for Contractor personnel * Provide timely review and approval of Contractor Work products and Deliverables * Maintain and enhance BenefitsCal Project Sponsor and Stakeholder relationships * Maintain and evolve the Collaboration Model and Charter * Provide Consortium Staff to work with the Contractor * Provide access to Project information including technical, program and policy documentation * Work with Contractors to research and resolve deviations and perform issue escalation and resolution * Participate and support corrective action planning and execution activities * Oversee CalSAWS and Consortium business coordination * Manage expectations and communications for the JPA Board of Directors, Project Steering Committee, and other stakeholders for the CalSAWS Project * Manage planning of Project funding |
| Task 3 - System Change Request | * Participate in and support System Change Request (SCR) and BenefitsCal enhancement meetings * Provide Consortium Executive Director approval for SCR and enhancement application changes * Support the User Centered Design, customer experience and public marketing and outreach processes and activities. * Participate in the Change Control Board (CCB) process |
| Task 4 - Marketing and Public Communications | * Provide Consortium Executive Director oversite of the approach to public outreach and marketing * Participate and support Marketing and Public Communications planning and implementation of outreach activities * Participate in and support BenefitsCal Marketing and Public Communications meetings |
| Task 5 - Support Services | * Provide a Technical/Operations Manager * Participate in and support Technical BenefitsCal meetings * Provide Consortium Executive Director approval for new/change/removal of software purchases * Participate in the Change Advisory Board (CAB) process |
| Task 6- Enhancement and Innovation | * Participate in and support Innovation-related planning implementation meetings * Provide Consortium Staff to participate in Proofs of Concepts environment support assessments * Provide timely review and approval of Contractor Work products and Deliverables * Drive Consortium and Contractor improvements to the Collaboration Model, User Centered Design, and Public outreach |
| Task 7- Production Operations | * Provide a Technical/Operations Manager * Participate in and support Technical BenefitsCal meetings * Provide Consortium Executive Director approval for new/change/removal of software purchases * Participate in the Change Advisory Board (CAB) process * Participate in and support Production Operations meetings * Assist in the management of escalated defects and the notification of the necessary parties * Monitor escalated issues to confirm timely resolution * Review service level reports * Manage communication and coordination of any impacts on the Consortium and stakeholders |
| Task 8 - Technology Recovery | * Participate in and support Technical Recovery meetings * Participate in Contractor’s retrospective of Technical Recovery execution and results |
| Task 9 - Security | * Establish security policies and standards for the Contractor * Assist with the research, resolution, and escalation of security breaches as necessary * Report security incidents to external entities as necessary |
| Task 10 - Transition-Out | * Provide a Transition-Out Manager * Participate in and support Transition-Out meetings * Provide Consortium Staff to participate in knowledge transfer and internal training activities * Participate in Readiness Reviews * Participate in Testing and Validation activities and walkthroughs * Review and approve Deliverables |

### Contractor Responsibilities

The Contractor responsibilities include the following general items:

* Perform the Services required under this Agreement in a manner that will not disrupt the CalSAWS operations.
* Deliver the Services specified in this SOW and included in ***Attachment 2 –Requirements Matrix.***
* Produce and deliver the Contract Deliverables specified in ***Attachment 3 –Deliverable Inventory***.
* Apply CalSAWS standardized business processes and leverage mandatory tools as contained in the Software Inventoryto manage Project activities and satisfy BenefitsCal reporting requirements.
* Comply with all applicable Consortium policies and procedures.
* Supply Contractor personnel with all hardware and CalSAWS Software needed to perform their duties in accordance with the Agreement.
* Supply secure internet and network access to the CalSAWS project tools and environments.
* Coordinate and collaborate with the Consortium and other CalSAWS contractors in application and BenefitsCal activities and associated issue and risk management activities.

### BenefitsCal Contractor Staffing

#### Project Location and Core Hours

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

During the BenefitsCal Transition-In period 75% of Work performed by Key Staff must be conducted at an approved Project site as defined in this Agreement unless alternate arrangements are approved in writing by the Executive Director. Consortium Key Staff counterparts will also conform to this model.

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

After the successful completion of the Transition-In period, Key Staff and other Staff may be required to work on-site per Consortium direction. The Consortium assumes up to eight (8) Key Staff and other Staff will work full-time on-site with an additional 10% of Staff working on-site periodically. The Consortium’s long-term expectation is to support a remote Staff model.

In the event of one or more Project site relocations, the Contractor will support the transition(s) without interruption of services.

#### Staff Responsibilities

The Contractor is responsible for providing all Staff necessary to fulfill the Services and requirements defined in this RFP and SOW. Any increase to the Agreement price for additional staff will only be allowed pursuant to the Consortium Change Order process.

The Contractor is responsible for employing an approach for Staff management that facilitates a productive working relationship with Consortium Staff, County Staff, other Consortium contractor Staff, and State Staff/Project Sponsors. The Contractor’s Staff will proactively coordinate and work collaboratively with the Consortium.

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

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

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

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

#### Contractor Staff Changes

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

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

#### Staff Performance

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

#### Approval of Staff

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

#### Key Staff

Bidders submitting a Proposal will include the following Key Staff. This Section defines the Key Staff Mandatory Qualification (MQ) requirements for the Contractor’s leadership team that will work alongside the Consortium’s leadership team for the duration of the Agreement, except for the Transition Manager. The Transition Manager Position will be time-limited for the duration of the Transition-In period.

Key Staff include the following:

1. Project Manager
2. Project Management Office Lead
3. Transition Lead
4. Application Manager
5. Product Manager
6. User Centered Design Lead
7. Testing Manager
8. Public Communications Lead
9. Security Manager

Key Staff role descriptions and mandatory qualifications follow.

##### Project Manager

The Project Manager is responsible for providing day-to-day management of Contractor resources and activities, including overall performance and Agreement compliance. The Project Manager will act as the primary interface with the Executive Director and Consortium Management Team. The Project Manager is responsible for managing the BenefitsCal scope of Services, their team and administering the Contractor Agreement. The Project Manager is responsible for ensuring the Agreement receives company support, commitment, and oversight to meet or exceed all its contractual requirements. The Project Manager must have the decision-making authority to bind the Contractor contractually to all terms and conditions in the Agreement. The Project Manager is accountable for Contractor Staff performance.

In addition to the above, the Project Manager responsibilities shall include, but not be limited to, the following:

* Overseeing the development and delivery of all Contractor tasks, Services and Deliverables and ensuring they are of the highest quality and are delivered in accordance with the approved BenefitsCal work schedule.
* Ensuring the Contractor team understands the scope of the Agreement and the BenefitsCal role in the “big picture” of how to work in concert with the Consortium and its Delivery Integration Team, Counties, state, stakeholders, clients and other Contractors.
* Participate as part of the DI Team in the revisions and execution of plans and processes to govern multiple contractors working collectively in the CalSAWS environment.
* Provide executive level reporting and communications to Consortium Management, the Executive Director, Joint Powers Authority (JPA) Board of Directors, Project Steering Committee, State program sponsors and other stakeholders.
* Prepare special reports and presentations related to the Project.
* Work cooperatively with the Consortium PMO to resolve escalated issues including, but not limited to, contractual requirements, risk mitigation, BenefitsCal enhancements, and any other issue that requires executive management attention.
* Identify and bring forward technology options and innovation recommendations that will provide the highest value to the Consortium and County business operations.

Table 28 - Project Manager Mandatory Qualifications

| Project Manager Mandatory Qualifications | |
| --- | --- |
| **Req#** | **Mandatory Qualification** |
|  | A minimum of five (5) years of experience managing an IT Project using a defined system development life cycle (SDLC), including business and system requirement specifications, design, development, testing, and implementation. |
|  | A minimum of five (5) years of experience leading the development of Deliverables on IT Projects within the past ten (10) years with direct responsibility for activities in the following Project Management knowledge areas: scope, time, cost, human resources, risk, quality, integration and communication. |
|  | A minimum of five (5) years of experience within the past ten (10) years, supervising teams of 25 people or greater on IT systems Projects. |
|  | A minimum of five (5) years of experience within the past ten (10) years building and maintaining strong working relationships with clients and key internal and external stakeholders; conveying relevant information to an executive-level audience, ensuring client is aware of progress/service status; and building credibility and fostering business-partnering relationships. |
|  | Possess and maintain a valid Project Management Institute (PMI) Project Management Professional (PMP) certification throughout the term of this Agreement. |

##### Project Management Office Lead

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

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

* Work closely with the BenefitsCal Project Manager and provide PMO support in the execution of the BenefitsCal Contractor’s Agreement responsibilities.
* Adhere to the Consortium’s PCD and other Consortium required processes and procedures.
* Manage and monitor the BenefitsCal Work Schedule that will be incorporated into the Consortium’s Master Work Schedule.
* Ensure the BenefitsCal Contractor’s Team’s understanding of and adherence to Work Schedule activities, Deliverable responsibilities and Project processes and procedures.
* Lead and support the development and delivery of all BenefitsCal Deliverables and Work products, ensuring they are of the highest quality and are delivered in accordance with the approved BenefitsCal Work Schedule.
* Provide financial reporting regarding planned and actual expenditures monthly using agreed upon formats.
* Establish and manage BenefitsCal related issue resolution and risk mitigation strategies.

Table 29 - PMO Lead Mandatory Qualifications

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

##### Transition Lead

The Transition Lead’s role will span the six (6) month Transition-In period. This position is responsible to plan, coordinate and successfully complete the transition of all responsibilities and functions from the existing contractor to the new BenefitsCal Contractor. Duties and responsibilities of the Transition Lead include:

* Manage all Transition-In activities and deliver a successful transition.
* Develop, maintain, and deliver a Transition-In Plan (TIP).
* Work collaboratively with the incumbent contractor to accomplish a smooth transition of all BenefitsCal components.
* Minimize impact to end users and County business operations during transition.
* Assist Consortium, Counties, Project Sponsors, and Program Partners in understanding transition-in activities, timelines and impacts to other Consortium initiatives, BenefitsCal releases and Tasks.
* Identify and communicate with internal and external stakeholders/advocates on transition activities as needed.
* Work with the Project Manager in closing out Transition activities.

Table 30 - Transition Lead Mandatory Qualifications

| Transition Lead Mandatory Qualifications | |
| --- | --- |
| **Req #** | **Mandatory Qualification** |
|  | A minimum of 18 months of experience within the past ten (10) years, performing operational transition activities on Projects involving complex IT systems. |
|  | Experience within the past ten (10) years, managing the successful transition of IT systems from one (1) company or contract to another on at least two (2) separate Projects. The Transition Manager’s experience will have been for a minimum duration of three (3) months for each Project. |

##### Application Manager

The Application Manager will be responsible for planning, managing, implementing, and monitoring BenefitsCal application changes. Central to this role is the overall management of the UCD, User Experience and the SCR process. The manager will work with Consortium to globally strategize upcoming release planning to fully utilize the Consortium's BenefitsCal budget to meet identified policy and priorities. The manager will confirm the Contractor’s application team contains the necessary skill set and experience to carry out application functions required by the SDLC.

This position is responsible for working closely with the design, development and test teams in support of Consortium, County, State, advocate and client activities. The manager will coordinate with these groups to identify, research and resolve questions, and communicate insights to shape the user experiences.

The duties and responsibilities of the Application Manager include:

* Manage the day-to-day activities and all aspects of the Contractor’s Application Staff.
* Plan, prepare for and manage application maintenance tasks and resources in accordance with the approved work schedule.
* Oversee the SCR requirements management processes, including monitoring and assessing issues that relate to requirement changes and potential impacts to associated systems.
* Confirm UCD processes and User Experience (UX) methodologies have been applied, where applicable to improve the User experience for stakeholders, including the public.
* Ensure the Consortium, counties, state, advocate and client input are included in UCD activities throughout the design and development processes and will oversee the design and usability of the BenefitsCal application.
* Identify and proactively bring forward options that will provide the most efficient and effective engagement of users, and the best value to the Consortium, Counties, and stakeholders.
* Confirm that documentation of defect fixes and SCRs are accurately reflected in the appropriate Deliverable.
* Lead application scope management and the evaluation of potential application scope changes.
* Work with the Consortium to prioritize and coordinate release content and effort based on the BenefitsCal SCR queue, service requests, third-party applications and/or other CalSAWS components.
* Work as part of the Consortium continuous improvement efforts for the BenefitsCal SCR process to enable rapid releases into Production.
* Communicate plans for key application changes.
* Deliver timely changes, enhancements, associated deliverables. and defect fixes.
* Assess proposed enhancements for design alternatives based on all identified constraints, such as cost, schedule, usability, maintainability, and reliability.
* Lead the development of all application related Deliverables and work products.
* Document and maintain all required detailed design documentation.
* Perform risk analysis to identify security issues and remediating plans. Identify and/or mitigate operational risks where appropriate.
* Work with the CalSAWS Operations Service Desk Lead and manage Tier 3 support for application tickets that occur in non-production and Production environments and questions received through the AskCalSAWS mailbox.

Table 31 - Application Manager Mandatory Qualifications

| Application Manager Mandatory Qualifications | |
| --- | --- |
| **Req#** | **Mandatory Qualifications** |
|  | A minimum of five (5) years of experience within the past ten (10) years of experience in the development, implementation and management of information technology -and IT systems, including cloud architectures, portal applications, business systems, server technologies, and communication technologies. |
|  | A minimum of five (5) years of experience within the past ten (10) years, managing a SDLC, including business and system requirement specification, design, development, testing, and implementation, on Projects involving complex IT systems. |
|  | A minimum of three (3) years of experience applying UCD processes and User Experience (UX) activities (such as usability reviews, studies, and testing) on IT Projects. |

##### Product Manager

The Product Manager is a key team member contributing to and managing the shared vision and desired outcomes of BenefitsCal by working with the Consortium, the counties, the state, and other stakeholders, including the public. The Product Manager identifies users’ unmet and underserved needs, systemically designs solutions to meet those needs, and validates the usefulness and value of these solutions. The Product Manager maintains and iterates the key objectives of BenefitsCal and considers how proposed changes and enhancements can be modified, designed, or sequenced to support the BenefitsCal vision and desired outcomes. The Product Manager works closely with the Application Manager, the Regional Managers and other Consortium and Contractor staff to ensure the user voice remains centered and incorporated into BenefitsCal design processes and the impacts of change are fully understood and communicated adequately and timely to counties and affected Stakeholders.

The duties and responsibilities of the Product Manager include:

* Lead cross-functional teams of researchers, designers, engineers, and other Subject Mater Experts in the development of product scope, goals, and strategy, including aligning teams and stakeholders around a shared vision and desired outcomes.
* Develop and maintain list of the core outcomes and metrics for BenefitsCal based on user needs and the agency and product’s objectives; obtaining approval from the Consortium and the state and input from other stakeholders, including the public; make evidence-based product decisions.
* Oversee efforts to discover new user needs and incorporate ongoing feedback to iteratively improve BenefitsCal over time.
* Ensure UCD processes and User Experience (UX) methodologies have been applied, where applicable, to understand the problems to be solved and how proposed changes and enhancements to BenefitsCal may best address those problems.
* Ensure input from users, the Consortium, counties, state, and other stakeholders is included in UCD activities throughout the design and development processes and oversee the design and usability of the BenefitsCal application.
* Identify and proactively bring forward solutions that will provide the most efficient and effective engagement of users, streamline service delivery, and bring the most value to users, the Consortium, Counties, state, and other stakeholders.
* Monitor and actively contribute to the prioritization of SCRs and other enhancement requests and propose adjustments to create the most value and align with the vision and desired outcomes for BenefitsCal.
* As part of the prioritization of SCRs and enhancements, when appropriate propose clustering and sequencing of related changes to provide transformational impact to BenefitsCal users.
* Manage, own, and maintain a master list of proposed changes and enhancements, including details on planned start, actual start, planned completion, actual completion, and other relevant details that can be readily shared with the Consortium, counties, the state, and other stakeholders.
* Oversee experiments to measure the impact of messaging strategies and the effect on applications, completions, and approvals.

Table 32 - Product Manager Mandatory Qualifications

| Product Manager Mandatory Qualifications | |
| --- | --- |
| **Req#** | **Mandatory Qualifications** |
|  | Bachelor’s Degree in relevant design discipline, (e.g., product road mapping, cross-functional collaboration, data-driven decision-making, user experience, product lifecycle management), or certification from similar accelerated learning program. |
|  | A minimum of five (5) years of experience in technical or technical-related product launch and or management. |
|  | A minimum of three (3) years serving as a Product Manager or like role with familiarity in working with public sector services and enterprises. |

##### User Centered Design Lead

The User Centered Design (UCD) Lead serves as the Project expert on UCD practices and methodologies, drives the development of innovative UCD solutions and provides thought leadership. With the purpose of increasing end-user participation and system usability and user experience, the UCD lead will focus on the needs, preferences, and behaviors of the end users of the BenefitsCal system and create solutions that are intuitive, accessible, and applicable for end users, while also meetings the goals and requirements of Project Sponsors and Stakeholders. Leads the conduct of business analysis projects and may supervise lower-level analysts and direct others in both planning and structuring the work and executing the expected levels of deliverable quality. Duties and responsibilities of the UCD Lead include:

* Adopt the Consortium’s UCD best practices and create new methods and tools, such as research, prototyping, usability testing, and evaluation to understand the Users and their context and design and iterate solutions based on User feedback.
* Work with SCR teams to plan, prioritize and deliver UCD work products, including use cases, prototypes and usability studies.
* Serve as the Project expert on UCD and promote, teach, explain UCD thinking, concepts and techniques.
* Advocate for the Users’ perspective. Ensure that the voices of Consortium’s stakeholders, including end users, community organizations and project sponsors are compellingly represented in the design of new solutions.
* In collaboration with the Public Communications Lead, conduct User research to understand the needs and goals of the target users, analyzing and synthesizing the data to create use cases, developing design concepts and prototypes, testing and evaluating the solutions with Users and Stakeholders, iterating and refining design solutions based upon test results and feedback, and communicating with the Application Manager and the Project team members to ensure alignment with objectives.
* Identify and cultivate relationships with strategic partners who can provide design expertise for application changes and develop solutions that contribute to the enhancement of the UCD processes.
* Advise Consortium leadership and stakeholders on the quality and effectiveness of the UCD processes used and prepare for and conduct retrospective reviews and continuous improvement activities.
* Demonstrate the understanding of how technical constraints and opportunities inform design solutions.

Table 33 - User Centered Design Lead Mandatory Qualifications

| User Centered Design Lead Mandatory Qualifications | |
| --- | --- |
| **Req #** | **Mandatory Qualification** |
|  | Bachelor’s Degree in relevant design discipline, (e.g., Interaction design, Human Computer Interface, User Experience Design), or certification from similar accelerated learning program. |
|  | A minimum of five (5) years of experience leading a program of work through full product development cycles in discovery, concepting, prototypes, requirements, design specifications, implementation and post-implementation. |
|  | A minimum of two (2) years of experience leading design work of successful automation products, demonstrating User Centered Design models and User Experience usability studies. |
|  | A minimum of two (2) years of experience demonstrating advanced skills in interactive design, Visual/UI design and Architecture. |
|  | A minimum of one (1) year of experience conducting User research and prototyping. |

##### Test Manager

The Test Manager will oversee and monitor testing activities from the creation of test scripts through all testing phases, including unit, System, integration and performance testing. This position will support the Consortium-led County Validation testing efforts. Central to this role is the management of the SCR test process. The manager will confirm the Contractor’s Test team contains the necessary skill set and experience to carry out application test functions required by the SDLC. This position is also responsible for release management and will coordinate with the Application Manager to plan, structure, coordinate, deploy and manage releases. The duties and responsibilities of the Test Manager include:

* Adopt the Consortium’s Test Plan and recommend new methods and/or tools such as for usability testing, regression testing, and test reporting.
* Manage the day-to-day activities of the Contractor’s Test Team.
* Oversee planning, development, and execution of BenefitsCal testing.
* Lead and coordinate with the development, business, and technical teams to execute all testing activities.
* Coordinate and support the Consortium-lead County Validation testing efforts.
* Plan, develop, review, and maintain the release schedule in conjunction with the Consortium.
* Oversee and conduct BenefitsCal Release Readiness reviews.
* Track all test defects.
* Assist the Consortium in determining defect severity levels for all defects.
* Track all defects through retest and timely resolution.
* Provide and communicate test metrics and progress reports.
* Participate in the Certification of Successful Production Release process as defined within the BenefitsCal Services Plan.

Table 34 - Test Manager Mandatory Qualifications

| Test Manager Mandatory Qualifications | |
| --- | --- |
| **Req#** | **Mandatory Qualifications** |
|  | A minimum of five (5) years of experience within the past ten (10) years as Test Manager or Lead on Projects in a health and human services or health care services Project. |
|  | A minimum of five (5) years of experience planning, preparing for, and executing system test, UAT, and/or regression tests in compliance with a recognized standard, such as IEEE or ISO. |
|  | A minimum of five (5) years of experience with testing JAVA web-based applications, Software interaction with Oracle databases, web services, and/or cloud services. |
|  | A minimum of three (3) years of experience overseeing or testing applications with multiple advocates/customers with varied business priorities and varying levels of experience with automation systems. |

##### Public Communications Lead

The Public Communications Lead has responsibility for developing, implementing, directing and managing a comprehensive, integrated communications and internal and external public relations program designed to ensure communications of Stakeholder and Consortium priorities and promote key organizational services and programs to increase public aware of the BenefitsCal System. This position works closely with the CalSAWS Executive Team, CalSAWS Application Manager, Contractor Application Manager, Consortium internal and external Stakeholder Leads, including the public. The duties and responsibilities of the Public Communications Lead include:

* Lead the development and implementation of a comprehensive marketing and communications program designed to communicate BenefitsCal services and programs and foster community relationships through BenefitsCal initiatives.
* Oversee, plan and manage all publicity related BenefitsCal special events and provide tactical direction to staff in carrying out marketing, communications and customer service functions.
* Lead the development of materials in support of BenefitsCal marketing strategies including publications, electronic communications and multimedia presentations.
* Develop, implement and plan both electronic and web-based communication for the implementation of public relations strategies; utilizing current and emerging technologies to best reach target audiences.
* Develop and oversee the production of reports and materials intended to market and promote the service of BenefitsCal.
* Consult with and provide oral reports and presentations on BenefitsCal related issues to the JPA, Consortium Executive leadership, PSC and other Consortium Teams, and Stakeholder groups.
* Expand the Consortium strategic partnerships with public and private organizations to garner BenefitsCal support and Stakeholder collaboration to maximize BenefitsCal visibility and community reach.
* Cultivate relationships with media outlets and shape and direct stories about BenefitsCal programs and services. Manage media relationships, research editorial opportunities and build relationships with key industry media.
* Lead and supervise graphic arts initiatives and establish quality content and design of informational and promotional materials for public distribution.
* Oversee and take creative lead of all production of BenefitsCal print, web and other marketing materials. Create and maintain standards and quality control of BenefitsCal internal and external communications.
* Create opportunities with external stakeholders in branding, marketing, public relations and public affairs; members of the news media; and vendors. Build and maintain key strategic relationships with external stakeholders and local media to establish branding opportunities to increase BenefitsCal visibility through web, print, broadcast and events.

Table 35 - Public Communications Lead Mandatory Qualifications

| Public Communications Lead | |
| --- | --- |
| **Req#** | **Mandatory Qualifications** |
|  | A minimum of five (5) years of experience developing, administering, and evaluating a comprehensive marketing or public relations program, involving the development of public awareness of a major program(s). |
|  | A minimum of two (2) years of experience developing and/or leading the development of visual/graphical arts material. Experience must be print or web-related marketing material. |
|  | A minimum of two (2) years of experience developing and managing media relationships including editorial opportunities and print/TV media. |

##### Security Manager

The Security Manager serves as the focal point for cybersecurity solutions, privacy and protection of digital information, and security compliance related activities and responsibilities for BenefitsCal. This position will work closely with the Consortium and other CalSAWS contractor security teams. The duties and responsibilities of the Security Manager include:

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

Table 36 - Security Manager Mandatory Qualifications

| Security Manager Mandatory Qualifications | |
| --- | --- |
| **Req#** | **Mandatory Qualifications** |
|  | A minimum of three (3) years of experience as a Security Lead directly responsible for collaborating with application development teams, technical architects, and security policy experts to define and/or implement an integrated framework of solution security architecture. |
|  | A minimum of three (3) years of lead experience within the past ten (10) years developing, implementing, improving and monitoring industry standard Security strategies, solutions, and processes on Projects involving - an AWS cloud environment. |
|  | A minimum of three (3) years of experience within the past ten (10) years applying Information Security principles, methods, and techniques in the development of Project security Deliverables. |
|  | A minimum of three (3) years of experience assessing system data sensitivity using security categorizations (e.g., FIPS Publication 199) to identify appropriate security controls to protect Personally Identifiable Information (PII), Protected Health Information (PHI) and/or Federal Tax Information (FTI) data. |
|  | A minimum of three (3) years of experience with systems that comply with NIST 800-53 moderate baseline. |
|  | Hold an (ISC)2© Certified Information Systems Security Professional (CISSP) certification, or ISACA Certified Information Security Manager (CISM) and maintain for the duration of the contract. |

### BenefitsCal Requirements

The Contractor will perform the Services and produce the Deliverables specified in the BenefitsCal Requirements contained in ***Attachment 2 – Requirements Matrix***, and ***Attachment 3 – Deliverable Inventory***. A brief description of each task area is provided below.

#### Task 1 – Transition-In Requirements

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

Transition-In major activities include:

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

#### Task 2 – Management Requirements

* The Contractor will manage all Contractor Work performed under this Agreement, including Project management, Work Schedule management, strategic planning, application and technical management, contract management, budget management, Deliverable management, and Staff management. The Contractor will comply with the CalSAWS PCD processes and procedures and will adhere to the Consortium’s operating policies and procedures.
* The Contractor will execute Services in accordance with the approved CalSAWS BenefitsCal Services Plan and the associated Operational Working Documents (OWDs) that provide the detailed procedures for the activities and processes contained in the BenefitsCal Services Plan.

#### Task 3 – System Change Request Requirements

The Contractor will perform a range of SCR activities, to include:

* Adherence to the CalSAWS SDLC methodology to develop and deploy BenefitsCal changes while maintaining high-quality.
* Provide a focus on UCD, that reduces the overall time and effort for the development and delivery of BenefitsCal changes, while maintaining high quality and usability.
* Perform requirements capture and validation activities and deliver and maintain the Requirements Traceability Matrix (RTM).
* Provide ongoing test planning and execution support Services.
* Perform Implementation, Change Management, and Training activities related to SCR(s) Production delivery.
* Participate in Production readiness activities, perform Production release activities, and Production certification and post-deployment activities.

#### Task 4 – Marketing and Public Communications Requirements

The Contractor will perform a range of Marketing and Public Communications activities, in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

* Make process improvement recommendations for the enhancement of public communications and marketing to increase the visibility of BenefitsCal services and customer outreach.
* Expand the Consortium strategic partnerships with public and private organizations to garner BenefitsCal support and Stakeholder collaboration to maximize BenefitsCal visibility and community outreach.
* Lead the development and implementation of a comprehensive marketing and communications program designed to communicate BenefitsCal services and programs, promote the services of BenefitsCal, and foster community relationships through BenefitsCal initiatives.
* Develop, implement, and plan for the use of electronic and web-based communication for the implementation of public relations strategies; utilizing current and emerging technologies to best reach target audiences. Conduct User research to understand the needs and goals of the target users, analyzing and synthesizing the data to create use cases, developing design concepts and prototypes, testing and evaluating the solutions with Users and Stakeholders, iterating and refining design solutions based upon test results and feedback, and communicating with the Application Manager and the Project team members to ensure alignment with objectives.

#### Task 5 – Support Services Requirements

The Contractor will perform a range of Support Services activities, in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

* Ongoing evaluations of statutory and/or regulatory changes impacting Benefits, including evaluating business and programming implications, schedules, and costs.
* Deliver, to designated Consortium Staff, ongoing Project-business tools training.
* BenefitsCal-related updates in support of the Project website, CalSAWS.org.

#### Task 6 – Enhancement and Innovation Requirements

The Contractor will manage and execute enhancement and innovation enhancement activities, in cooperation and coordination with the Consortium and other CalSAWS Contractors as applicable, consistent with the BenefitsCal Services Plan and the associated OWDs, which will be handled through the SCR process and the Stakeholder Collaboration Model process.

The Contractor will participate as a key contributor in the CalSAWS Innovation initiatives, with a focus on County-oriented innovation and will be responsible for the Consortium-approved evaluation of emerging technologies, Proof of Concept (POCs) and/or pilots, as related to BenefitsCal.

#### Task 7 – Production Operations Requirements

The Contractor will perform a range of on-going operational activities in cooperation and coordination with Consortium and other CalSAWS Contractors, consistent with the BenefitsCal Services Plan and the associated OWDs, including:

* Provide Production Operations Services to support the daily operation, maintain BenefitsCal application availability, perform scheduled System operations and maintenance.
* Conduct API interface operations and testing activities.
* Perform BenefitsCal Tier 3 Service Desk activities.
* Perform Configuration Management activities for Contractor configuration Items.
* Perform performance monitoring and alerting activities.
* Perform performance monitoring and alerting activities.

#### Task 8 – Technical Recovery Requirements

The Contractor will develop and oversee the execution of the Benefits Technology Recovery Plan, including will supporting the CalSAWS Infrastructure Contractor, the Cloud Services provider, and other CalSAWS Contractors as necessary, to re-establish BenefitsCal in the event the primary production deployment becomes unavailable.

#### Task 9 – Security Requirements

The Contractor will perform a full range of security related activities (administrative, technical, and physical) to protect the BenefitsCal assets and Data from loss, misuse, unauthorized access, disclosure, alteration, destruction, and will adhere to the Consortium’s security policies and procedures.

#### Task 10 – Transition-Out Requirements

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

Transition-Out major activities include:

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

### Deliverables

#### Deliverable Process

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

***Attachment 3 – Deliverable Inventory*** contains the inventory of Deliverables required by this Agreement.

## Attachment 2 – Requirements Matrix

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## Attachment 3 – Deliverable Inventory

Table 37 - Deliverable Inventory

| **Del ID** | **Deliverable**  **Name** | **Deliverable Description** | **New or Existing** | **Submission Frequency** | **Date of First Submission** | **Req ID** |
| --- | --- | --- | --- | --- | --- | --- |
|  | BenefitsCal Transition-In Master Plan (BC TIMP) | The BenefitsCal TIMP will include:  **Approach Section**   1. A description of the overall transition approach and process to be used to transition and assume responsibility for all Services, functions all components identified in the Agreement. 2. Planned transition activities and Tasks that includes the planning, implementing, executing, tracking, and reporting of the overall transition effort as well as for each transition component. 3. Definition Roles and responsibilities for completing transition Tasks and activities including the Infrastructure Contractor, the CalSAWS M&E Contractor, the Consortium, the California Department of Technology, the Counties, and other CalSAWS contractors as applicable. 4. A description of how the Contractor will collaborate with the incumbent Contractor(s):    1. Plan for and carry out transition activities as well as what the Contractor requires of the incumbent Contractor(s) regarding knowledge transfer, data/information, and support for mitigating risk.    2. Procedures the Contractor will use to work with the incumbent Contractor to transfer control of all CalSAWS environments as identified in the incumbent Contractor's Closeout Plan.    3. Procedures the Contractor will use to work with the incumbent Contractor to transfer all BenefitsCal Software license maintenance agreements as identified in the incumbent Contractor’s Closeout Plan. 5. How Readiness Reviews will be planned and coordinated with the Consortium and in coordination with the incumbent Contractor's Transition-Out Plan, to demonstrate readiness, provide evidence and confirmation that the Contractor is prepared to accept responsibility, and obtain Consortium approval to do so with an effective date 6. Entry and Exit Criteria for the beginning and completion of transition phases, including use of Readiness and Checklists, criteria and metrics. 7. A plan of the timing, audience, media and message for communication events, including Stakeholder communications and transition activities with Stakeholders. 8. The identification and approach for the Quality Assurance that will be used to confirm that Transition-In activities are being accomplished. 9. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution. 10. Definition of contingency plans to troubleshoot high risk transition activities. 11. A Transition-In Milestone Schedule Summary from the Transition-In Work Schedule, including Identification of cutover activities and the target cutover dates.   **Organizational Change Management**   1. Approach and Schedule 2. Roles and Responsibilities of the Contractor and the Consortium. 3. Process and role gap analysis of existing workflow for roles that will be impacted by the transition. 4. Gap Analysis between the As-IS and the To-Be. 5. Change Readiness Plan that must accurately include details regarding the change readiness process, inputs, and outputs; readiness criteria; assessment methods; and change readiness tools utilized. 6. Communications Strategies.   **Communication Management**   1. The communication approach and processes for communicating transition information to the Consortium, incumbent Contractor and Stakeholders. 2. The methods used to confirm timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of transitions information. 3. Provisions for Contractor resources to attend meetings and provide status updates regarding the transition. 4. A matrix of planned communications, which includes communication event, frequency, method, audience, sender, and author.   **SCR Service and Function Migration**   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and migrated to the Contractor, such as how the Collaboration Model and UCD process will be supported. 2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, obtain service Contracts, establish capabilities, conduct a complete inventory of system changes pending, in progress and in the work queue, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover. 3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).   **Marketing and Public Communications Services and Functions**   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and migrated to the Contractor, such as how CBOs and the public will stay informed and continue to be supported during the Transition-In. 2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, obtain service Contracts, establish capabilities, conduct a complete inventory of Marketing and Public Communication customers including communication details, document current and future activities, and support services contracts. Prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover. 3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).   **Production Operations Services and Functions**   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor. 2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, obtain service Contracts, establish capabilities, document and manage software license renewals prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover. 3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).   **Security Services and Functions**   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and migrated to the Contractor. 2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover. 3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).   **Technology Recovery Services and Functions**   1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and migrated to the Contractor. 2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover. 3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).   **Transition-In Training and Knowledge Transfer**   1. Identification of training and knowledge transfer expectations during planning, and for the transition period. 2. The knowledge transfer activities that Contractor Staff will require from the incumbent Contractor to prepare for the assumption of Services. 3. Training that the Contractor conducts internally to prepare their Staff to implement activities, processes, and procedures needed to provide support for a given service or function identified in the Contractor's TIMP. 4. Training of Consortium Staff regarding the Contractor's transition approach, processes, activities, and tools for managing the transition effort and reporting status. 5. Training of Consortium Staff regarding changes to Services/functions and to service delivery means. 6. Knowledge transfer and internal training exercises that will be conducted to equip and verify the Contractor’s Staff can implement the activities, processes, and procedures needed to provide support for each given service or function identified in the Contractor's TIMP. 7. How training and knowledge transfer activities will occur (e.g., materials, courses, Question & Answer (Q&A) session preparation, dates, times, participants) to familiarize the Consortium Staff with all the Contractor’s operations, processes and tools. | New | As needed when changes occur | Contract Start + 10 Business Days | BC-1.1-01 |
|  | BenefitsCal Services Plan and Operational Working Documents | The BenefitsCal Services Plan will serve as the master plan for the Services being delivered under the Agreement, and will include:   1. Project Management Support    1. Documentation Maintenance Plan    2. Annual Strategic Plan 2. Systems Maintenance & Operations    1. SCR/Enhancement Request Management Plan and OCM Plan    2. User Centered Design Plan and Customer Experience Report Plan    3. Cost Estimation Methodology    4. Key Performance Indicators    5. Production Release Management Plan    6. System Requirements and Design Validation Plan    7. General Test Plan    8. Test Support Plan    9. Change Management / Training Plan    10. Marketing and Public Communications Plan 3. Production Operations 4. Technical Operations Support Plan 5. API Interface Support Plan 6. Tier 3 Service Desk Support Plan 7. Help Desk Support Plan 8. Performance Monitoring and Reporting Plan 9. Bill of Materials (BOM) Review and License Renewal Plan 10. Technology Recovery Plan 11. System Security Plan 12. Transition Out Plan | New (using existing as base) | As needed when changes occur | Month 4 -1st Business Day | BC-1.1-04 |
| **BC-D03** | BenefitsCal Transition-In Work Schedule | The BenefitsCal Transition-In Work Schedule will be developed in MS Project and will include:   1. All Transition-In activities and Tasks which are expected to be completed by Contractor, Consortium, incumbent Contractor Staff and Stakeholders to meet the estimated Transition-In schedule required by the BC TIMP to allow for successful cutover to the Agreement. 2. Start and completion dates for all Tasks. 3. Predecessor and successor dependencies for Tasks without subtasks, and predecessor and successor dependencies for subtasks. 4. Resource assignments for Tasks without subtasks, and resource assignments for subtasks. Resource assignments will include appropriate Contractor, Consortium, incumbent Contractor resource, Stakeholder assignments and estimated hours. 5. Estimated hours and durations for Tasks without subtasks and estimated hours and durations for subtasks. 6. The communication approach and processes for communicating transition information to the Consortium, incumbent Contractor and Stakeholders. | New | As needed when changes occur | Contract Start + 10 Business Days | BC-1.2-01 |
| **BC-D04** | BenefitsCal Transition-In Test and Validation Plan | The BenefitsCal Transition-In Test and Validation Plan will contain a separate section for each Service and Function Area.   1. The approach to plan, develop and implement area-specific Transition Test and Validation Plans which guides the Contractor, the Consortium, and the incumbent Contractor of what transition component (functions or Services) requires testing or validation on completing specific test activities. 2. Description of how to determine what transition components require formal testing versus validation. 3. Identification and Documentation of the approach and methods to be used to validate such as checklists or demonstrations. 4. A test and validation Work Schedule to schedule, monitor, and report the progress of all test and validation activities. | New | As needed when changes occur | Month 2 - 1st Business Day | BC-1.7-01 |
| **BC-D05** | BenefitsCal Project Control Document | The BenefitsCal Project Control Document will align with and support the CalSAWS Enterprise Project Control Document (PCD) and will include:   1. Introduction    1. Document Terms and Definitions 2. Document Purpose    1. Scope    2. Triggers for Change    3. Executing Change 3. Roles and Responsibilities 4. Key Staff 5. Project Work Plan    1. Roles and Responsibilities    2. Schedule Management Process    3. Schedule Analysis and Reporting    4. Cost Estimating Methodology 6. Project Management Plans (PMP Appendices):    1. Communications Management Plan    2. Contract Management Plan    3. Deficiency Management Plan    4. Quality Management Plan    5. Risk and Issue Management Plan    6. Staff Management Plan 7. Project Action Items and Decision Management Tracking 8. Project Status Reporting 9. Operational Working Documents | Existing | In accordance with PCD Change Control | Month 3 - 1st Business Day | BC-2.1-04 |
| **BC-D06** | BenefitsCal Work Schedule | The BenefitsCal Work Schedule will be developed and updated in MS Project in accordance with the BenefitsCal PCD and the BenefitsCal Services Plan and will includes Tasks, Subtasks, planned durations, budgets, resources assignments, and schedule reports. Guidelines. Work Schedule updates will include posting actual hours worked by Contractor Staff. | New | Monthly | Month 3 - 1st Business Day | BC-2.1-07 |
| **BC-D07** | BenefitsCal User Centered Design Plan and Customer Experience Report Plan | The BenefitsCal User Centered Design Plan will provide the approach for the Consortium, counties, State, client and advocate participation during, at a minimum, requirements confirmation, design, test, and ongoing M&O activities. At a minimum the UCD Plan must include the following:   1. Approach to User Centered Design, development and test; including the application of UCD tools, such as focus groups, participatory design sessions, observations of users interacting with the technology and interviews 2. Roles and responsibilities of the Contractor, Consortium, counties, State, advocates and clients; 3. Communication processes to engage the Consortium, counties, State, advocates and clients during the design, development and test activities, including a description of all communication mediums and a defined language translation approach for each; 4. Identification and tracking of metrics associated with the overall user experience and application of best practices to a continuous improvement cycle; 5. How business outcomes will be achieved in a dynamic, intuitive, and user-friendly manner through robust UCD; and 6. Approach to UCD during the M&O Phase, including ongoing user research and solution identification to be conducted as part of system maintenance and improvement over time. Activities including:    1. Usage data assessment and analysis    2. Yearly usability review that includes a number of measures with qualitative feedback from consumers and application assisters    3. Assessing findings from yearly usability review for implementation updates and improvements    4. Using UCD for implementation of new features as dictated by policy changes 7. Approach to Customer Experience Reporting including: 8. Description of how success will be measured 9. Definition of Key Performance Indicators and expected outcomes 10. Description of how feedback and outcomes will be measured and reported | Existing | As needed when changes occur | Month 4 - 1st Business Day | BC-3.1-03 |
| **BC-D08** | BenefitsCal Requirements Traceability Matrix (RTM) and Report | The BenefitsCal RTM and Report traces the path of each requirement through requirements modification activities, design, coding, testing and Production and includes any unresolved traceability issues.  \*Delivery of and updates to this document will occur regularly within the context of the Task Work and, as such, are not correlated to Deliverable payments on the Price Schedules. | Existing | As needed when changes occur |  | BC-3.2-04 |
| **BC-D09** | BenefitsCal General Design Document (GDD) | The BenefitsCal GDD describes the features and functions of CalSAWS behavior as seen by an external observer, and containing the technical information and data needed for the design.  \*Delivery of and updates to this document will occur regularly within the context of the Task Work and, as such, are not correlated to Deliverable payments on the Price Schedules. | Existing | As needed when changes occur |  | BC-3.3-02 |
| **BC-D10** | BenefitsCal Performance Test Materials Packet | The BenefitsCal Performance Test Materials Packet provides the detailed manual and automated test activities which will be executed to validate performance will meet all performance requirements and contractual SLAs, and will include:   1. Test Schedule and Resourcing 2. Test Case Detail List: 3. Test Case ID 4. Test Case Name 5. Test Case Version 6. Test Scenario Inventory 7. Test Data, documents, and/or files to be used to meet test pre and post conditions. 8. Interfaces to be tested (if applicable) 9. Untestable Items 10. Test Materials Metrics: 11. Total number of planned test cases 12. Total number of requirements tested 13. Total number of untestable requirements 14. Expected Result(s) 15. Tester ID(s)   \*Delivery of and updates to this document will occur regularly within the context of the Task Work and, as such, are not correlated to Deliverable payments on the Price Schedules. | New | No later than ten (10) Business Days prior to the performance test execution date |  | BC-3.4-13 |
| **BC-D11** | Certification of Successful Production Release | The Certification of Successful Production Release provides the Contractor’s verification and certification that the BenefitsCal Software was successfully promoted and installed into Production and will operate as designed.  \*Delivery of and updates to this document will occur regularly within the context of the Task Work and, as such, are not correlated to Deliverable payments on the Price Schedules. | New | As needed when changes occur |  | BC-3.8-02 |
| **BC-D12** | BenefitsCal Marketing and Public Communications Plan | The BenefitsCal Marketing and Public Communications Plan provides the detailed marketing and outreach activities, including measurable strategic goals, target audience profiles and creative, successful delivery methods, and will include:   1. Identification of target audience(s) 2. Identification of key events significant to the target audience(s) 3. Identification of messaging context to define what should be included and how the audience will relate and respond 4. Identification of media channels to be used and the corresponding target audience(s), including a description of all communication mediums and a defined language translation approach for each; 5. Identify the appropriate Contractor resource(s)to serve as the primary messengers(s) 6. Description of how success will be measured 7. Definition of Key Performance Indicators and expected outcomes 8. Description of how feedback and outcomes will be measured and reported 9. Description of approach to continuous marketing and public communications improvement 10. Description of approach to the development and delivery of marketing and public communication materials | Existing | As needed when changes occur | Month 4 - 1st Business Day | BC-3.9-02 |
| **BC-D13** | BenefitsCal Approach to Automation, Artificial Intelligence and Machine Learning | The Approach to Automation, Artificial Intelligence and Machine Learning will include:   1. Approach to Validating Expected Outcomes and Improvements    1. User Centered Design and Stakeholder Usability    2. Error Reduction    3. Costs / Costs Savings    4. Data Analytics and Reporting    5. Marketing and Public Communications 2. Industry Standard Design, Adaptability, Compatibilities, Code Deployment and Documentation Methodologies 3. Dependency Traceability Approach 4. Configuration Management Methodologies 5. Testing Methodologies 6. Production Implementation Methodologies 7. Maintenance and Operations Approach 8. Approach to data scrubbing or cleansing; updating or removing inaccurate, incomplete, improperly formatted or duplicated data 9. Approach to Data Management and Governance 10. Roll-back Approach | New | Annually | Month 6 - 1st Business Day | BC-5.1-04 |
| **BC-D14** | BenefitsCal Monthly Service Level Agreement Performance Report | The BenefitsCal Monthly Service Level Agreement Performance Report is designed to provide the Consortium with a clear and accurate picture of the Contractor’s adherence to service levels and performance requirements, including:   1. Daily Hours of Availability 2. Monthly Hours Availability, Non-Production Environments 3. Monthly Deficiency Notification Response Time 4. Monthly Service Desk Diagnosis Time, Tier 3 5. Daily Screen-to-Screen Navigation Response Time 6. Daily Unbounded Search Response Time 7. Daily Standard Response Time 8. Disaster Recovery Response Time 9. Failure to Complete Access Control Audits 10. Security Information and Event Management System Uptime 11. Completion of Root Cause Analysis 12. Privileged Access Audits 13. Application Security Scans 14. Security Incident Notification 15. Security Incident Reporting 16. Security Incident Negligence   \*Delivery of and updates to this document will occur monthly within the context of the Task Work and, as such, are not correlated to Deliverable payments on the Price Schedules. | New | Monthly | Conclusion of Calendar Month 1 + 5 Business Days | BC-6.5-03 |
| **BC-D15** | BenefitsCal Technology Recovery Plan | The BenefitsCal Technology Recovery Plan will include:   1. Roles and responsibilities of Contractor, Consortium, other CalSAWS contractors, and Stakeholders as applicable. 2. Recovery Strategy – description of the portions of the plan that will be implemented based on various levels of incident severity, for example, minor interruption of service or total service failure. 3. Backup and Offsite Storage Procedures – Backup and retention schedules and procedures. 4. System Application Recovery Procedures – Operational procedures that will allow recovery to be achieved in a timely and orderly way. 5. Testing – description of annual System Application recovery test(s) planning and execution methodology including: 6. Test Overview and Scope 7. Roles and responsibilities of the Contractor, Consortium, other CalSAWS Contractors and Stakeholders as applicable. 8. Test Objectives 9. Test Requirements 10. Test Activities and Schedule 11. Test Reporting Metrics to be collected 12. Communication approach and Contact List(s) including Contractor, Consortium, other CalSAWS Contractors and Stakeholders as applicable. | New | Semi-Annually | Month 5 - 1st Business Day | BC-7.1-01 |
|  | BenefitsCal System Security Plan | The BenefitsCal System Security Plan will be completed by providing responses to each of the NIST 800-53 controls contained in the System Security Plan template (from the NIST 800-53 moderate baseline). | Existing | As needed when changes occur | Month 5 - 1st Business Day | BC-8.1-03 |
|  | BenefitsCal Transition-Out Master Plan | The BenefitsCal Transition-Out Master Plan will include:   1. A detailed Maintenance and Enhancement Transition-Out Work Schedule reflecting all Tasks and Deliverables to be completed, including a complete inventory of system changes pending, in progress and in the work queue. 2. Narrative describing each task and Deliverable, including how all in-progress tasks such as system or application changes, will be transitioned. 3. Contractor, Consortium Staff, and successor Contractor roles and responsibilities. 4. Narrative describing how the Contractor will plan, organize, communicate, implement, monitor, and report the status of all Transition-Out activities. 5. Provisions for supporting transition and cutover of Services and functions to a successor Contractor or the Consortium. 6. A Transition-Out Knowledge Transfer and Training Plan detailing the approaches and methodologies the Contractor will employ to transfer knowledge to Consortium Staff and/or a prospective successor Contractor. 7. Schedule of planned knowledge transfer sessions and demonstrations. 8. Number of Staff to be included in knowledge transfer sessions per topic area. 9. Knowledge transfer topics with knowledge transfer objective descriptions and summaries for each topic. 10. Length and location of each knowledge transfer session. 11. Narrative of applicable lessons learned from the Transition-In activities.     1. A BenefitsCal Transition-Out Documentation and Deliverables Assessment that identifies the results of a complete and comprehensive review and evaluation of all BenefitsCal Documentation to identify Documentation that requires updates or revisions. The Assessment will include: 12. All Contractor Deliverables 13. All policies and procedures related to the provision of Services under this Agreement. 14. Any other Documentation that would facilitate successor Contractor understanding of overall application development, technical on-line operations and Services, application baseline code and coding standards, Configuration Management technical practices, and BenefitsCal Software and licensing renewal needs to maintain and operate the current BenefitsCal System.     1. The archiving, central storing, and file location listing of all Documentation included in the inventory and assessment. | New | As needed when changes occur | As specified in the BenefitsCal PCD and Work Schedule | BC-9.1-07 |
|  | BenefitsCal Transition-Out Work Schedule | The BenefitsCal Transition-Out Work Schedule will be developed in MS Project and will include:   1. All Transition-Out activities and Tasks which are expected to be completed by Contractor, Consortium, and incumbent Contractor Staff to meet the estimated Transition-In schedule required by the BC TIMP to allow for successful cutover to the Agreement. 2. Start and completion dates for all Tasks. 3. Predecessor and successor dependencies for Tasks without subtasks, and predecessor and successor dependencies for subtasks. 4. Resource assignments for Tasks, and resource assignments for subtasks. Resource assignments will include appropriate Contractor, Consortium, incumbent Contractor resource, Stakeholder assignments and estimated hours. 5. Estimated hours and durations for Tasks and estimated hours and durations for subtasks. | New | As needed when changes occur | As specified in the BenefitsCal Transition-Out Work Schedule | BC-9.2-01 |
| **BC-D19** | BenefitsCal Agreement Closeout Plan | The BenefitsCal Agreement Closeout Plan will include:   1. The overall strategy for closing out the Agreement. 2. The overall strategy and approach to complete other schedule-related Tasks (related to closeout) identified in any of the other Work Plans developed by the Contractor under this Agreement. 3. A list of Deficiency items from the Consortium’s Deficiency & Issue tracking systems that will be updated by the Contractor as condition for completion for Agreement closeout. 4. A list of outstanding action items or Tasks from meeting minutes or other Management tracking systems. 5. A list of outstanding actions for the Consortium to resolve for the Contractor to complete the Agreement closeout. 6. A list of all outstanding Tasks and Work required per the approved BenefitsCal Work Schedule. 7. A timeline (schedule) for completing Agreement Closeout activities. 8. Any other items deemed relevant to the clarification of expectations for Contractor closeout. | New | As needed when changes occur | As specified in the BenefitsCal PCD and Work Schedule | BC-9.4-01 |
| **BC-D20** | BenefitsCal Final Project Closeout Report | The BenefitsCal Final Project Closeout Report will include:   1. Executive Summary: Scope, Schedule, Budget: Plan vs. Actuals 2. Summaries by SOW Task Area: Management, System Change Request, Support Services, Enhancement and Innovation Services, Production Operations, Technology Recovery, and Security. 3. Key Best Practices and Lessons Learned. 4. Administrative Closure 5. Agreement Closure | New | One time submission | As specified in the BenefitsCal Transition-Out Work Schedule | BC-9.4-03 |

## Attachment 4 – Statement of Compliance With Requirements

By completing and signing this form the Bidder confirms that it:

* Read the individual BenefitsCal Requirements, ***Attachment 2 – Requirements Matrix.***
* Understands each individual BenefitsCal Requirement.
* Agrees to comply with each individual BenefitsCal Requirement.

By completing and signing this form, the Bidder also acknowledges that SCRs will continue to be applied to BenefitsCal during the process of conducting this solicitation and the Transition Phase of the resultant Contract and agrees to take responsibility of, and comply with, all BenefitsCal requirements at the time the BenefitsCal incumbent contractor ends or upon the request of the Consortium Executive Director or designee.

The Bidder shall complete and include this form in their response in accordance with Section 6 - Proposal Structure and Submission. Failure to sign this certification may result in the Proposal being deemed nonresponsive.

Table 38 - Bidder Response Form

|  |  |
| --- | --- |
| Signature & Date |  |
| Name and Title of Authorized Representative |  |
| Company Name |  |
| Company Address |  |

## Attachment 5 – Price Proposal Schedules

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## Attachment 6 – BenefitsCal Agreement

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## Attachment 7 – Exceptions to The Agreement

CONTRACTOR NAME

ADDRESS

TELEPHONE# ( ) \_\_\_\_\_ Email

I have reviewed the ***RFP Attachment 6 – BenefitsCal Agreement*** in its entirety and have the following exceptions: Please identify and list your exceptions by indicating the Section or Paragraph number, and Page number, as applicable. Bidders are directed to be specific about any objections to content, language, or omissions. Add as many rows and pages as required.

Table 39 - Agreement Exceptions Form

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **#** | **Section** | **Page #** | **Original Language** | **Proposed Language** | **Anticipated Impact to Staffing and Cost, as applicable** |
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|  |  |  |  |  |  |

**Name of Authorized Representative**

**Signature of Authorized Representative**

**Date**

## Attachment 8 – Firm Mandatory Qualifications

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## Attachment 9 – Firm Reference Form

**Instructions:**

Provide two (2) Firm References from two different Projects cited in the ***Attachment 8 - Firm Mandatory Qualifications Table***. Each Firm Reference must clearly identify the Customer/Client Reference individual and that individual’s Agency, Department, Organization or Company where the Contractor performed the experience.

The Firm references must be submitted within the Business Proposal as defined within RFP Section 6 - Proposal Structure and Submission, including signature of the customer/client reference.

**References:**

Provide two customer/client references from customers/clients who have first-hand knowledge of the Contractor’s performance.

The Consortium reserves the right to contact individuals, entities, or organizations who have had contracts or relationships with the Firm proposed for this effort, whether or not they are identified as references, to verify that the Firm has successfully performed their contractual obligations on other similar projects.

Table 40 - Firm Reference Form

|  |  |
| --- | --- |
| **FIRM REFERENCE FORM** | |
| **Contractor Name:** | |
| **TABLE 1 – Reference’s Information**  This information should match the information provided in ***Attachment 8 – Firm Mandatory Qualifications.*** | |
| Customer/Client Reference Name: |  |
| Customer/Client Reference Title |  |
| Agency, Department, Organization or Company where Staff member performed: |  |
| Project Title on which Staff member performed |  |
| Reference Phone Number: |  |
| Reference E-mail Address: |  |

Instruction for References: The Contractor Staff above has listed you as a reference and is requesting for you to complete this Firm Reference Form. Please provide your comments and the appropriate rating based on your experience with the proposed Staff.

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

**Step 2**: Complete Table 3 and provide your performance ratings.

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

**Step 4**: Return the completed, signed Staff Reference Form to Contractor.

| **TABLE 2 – The Reference Must Complete This Table.** | |
| --- | --- |
| **COLUMN 1** | **COLUMN 2** |
| Did the Contractor provide you with a copy of the completed ***Attachment 8 – Firm Mandatory Qualifications***? | Did this Firm perform the services described in ***Attachment 8 – Firm Mandatory Qualifications***, including the functions as described and the time period provided on the project(s) that lists you as a contact? |
| Yes  No | Yes  No (If “No” checked, explain here.) |

| **TABLE 3 – The Reference Must Complete This Table.**  The Reference shallcomplete performance and abilities statements for the proposed Firm and overall performance rating. |
| --- |
| **Performance and Ability Statements** |
| 1. Describe the services provided: |
| 1. Did the Contractor produce high quality deliverables? Please describe briefly. |
| 1. Was the Contractor flexible and willing to work through issues during all stages of the Project? |
| 1. Was communication between the Contractor and your organization’s Staff open, timely, complete and effective? Please briefly summarize. |
| 1. Were any Subcontractors used by this Contractor? If so, for what purpose/major tasks? How well did the Contractor manage its Subcontractors and did your organization ever have to mediate? |
| 1. Was the Project a success? |
| 1. Would you rehire/recommend this Contractor? If not, why not? |
| 1. Optional Comments: |
| On a scale of 1-10, with 1 being the lowest and 10 being the highest, how would you rate this Contractor’s overall performance? |
|  |

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

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

Signature of Reference Date

## Attachment 10 – Key Staff Resumes/Qualifications

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## Attachment 11 – Key Staff Reference Form

**Instructions:**

For each Key Staff role, provide two (2) Individual References from two different Projects cited in the ***Attachment 10, Part 2 - Key Staff Minimum Qualification Table***, unless only one (1) project is used that meet the MQs identified in this RFP. If only one (1) cited project meets the MQs, then two references from that project are required. Each Individual Reference must clearly identify the Customer/Client Reference individual and that individual’s Agency, Department, Organization or Company where Key Staff performed the experience.

The Individual references must be submitted within the Business Proposal as defined within RFP Section 6 - Proposal Structure and Submission including signature of the customer/client reference.

**References:**

Provide two customer/client references from customers/clients who have first-hand knowledge of the job skills, experience, and abilities sited in the résumé.

The Consortium reserves the right to contact individuals, entities, or organizations who have had contracts or relationships with the Key Staff proposed for this effort, whether or not they are identified as references, to verify that the person has successfully performed their contractual obligations on other similar projects.

Table 41 - Key Staff Reference Form

|  |  |
| --- | --- |
| **KEY STAFF REFERENCE FORM** | |
| **Key Staff Name:** | |
| **Part 1 – Reference’s Information**  This information should match the information provided in ***Attachment 10 – Key Staff Resumes/Qualifications.*** | |
| Customer/Client Reference Name: |  |
| Customer/Client Reference Title |  |
| Agency, Department, Organization or Company where Staff member performed: |  |
| Project Title on which Staff member performed |  |
| Reference Phone Number: |  |
| Reference E-mail Address: |  |

Instruction for References: The Contractor Staff above has listed you as a reference and is requesting for you to complete this Staff Reference Form. Please provide your comments and the appropriate rating based on your experience with the proposed Staff.

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

**Step 2**: Complete Part 3 and provide your performance ratings.

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

**Step 4**: Return the completed, signed Staff Reference Form to Contractor.

| **Part 2 – The Reference Must Complete This Table.** | |
| --- | --- |
| **COLUMN 1** | **COLUMN 2** |
| Did the Contractor provide you with a copy of the completed ***Attachment 10 – Key Staff Resumes /Qualifications*** for the Contractor’s Staff named at the top of this page prior to your completion of this form? | Did the Contractor’s Staff named at the top of this page perform the services described in ***Attachment 10 – Key Staff Resumes /Qualifications***, including the functions as described and the time period provided on the project(s) that lists you as a contact? |
| Yes  No | Yes  No (If “No” checked, explain here.) |

| **Part 3 – The Reference Must Complete This Table.**  The Reference shallcomplete performance and abilities statements for the proposed candidate and overall performance rating. |
| --- |
| **Performance and Ability Statements** |
| 1. Describe the performance of the Contractor’s Staff during this engagement. |
| 1. Describe the ability of the Contractor’s Staff to perform the contractually, required work in a timely manner. |
| 1. Describe the verbal and written communication skills of the Contractor’s Staff. |
| 1. Describe the ability of the Contractor’s Staff to engage in positive working relationships with other coworkers. |
| 1. Describe the knowledge of the Contractor’s Staff in the required areas of expertise. |
| 1. How well did the Contractor handled engagement with end users and User input. |
| 1. Would you rehire this person? |
| 1. Optional Comments: |
| On a scale of 1-10, with 1 being the lowest and 10 being the highest, how would you rate this individual’s overall performance? |
|  |

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

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

Signature of Reference Date

## Attachment 12 – Service Level Agreements

### Purpose

The purpose of this section is to define the BenefitsCal System Service Level Agreements (SLAs). SLAs are the target measures against which the BenefitsCal team will report production system performance. The process associated with reporting the targets is defined in the Maintenance and Operations Plan.

To the extent that it is within Contractor’s direct and proximate control, and directly related to its Services provided under its Agreement, Contractor shall make commercially reasonable efforts to perform its Services according to the system performance SLAs applicable to the BenefitsCal system.

### Assumptions

* Time spent in partner systems executing transactions is excluded from the metric calculations for the Service Level Thresholds (SLTs) reporting.
* SLA report includes processing time spent in BenefitsCal hosting network only.
* SLA report includes true processing time for asynchronous transactions, this does not account for wait times as such wait operations are introduced by design to provide throttling and assured delivery mechanisms.
* SLA Reporting is provided monthly within the Monthly M&O Report.
* SLA calculations will exclude batch/bulk transactions and retries of failed transactions through asynchronous activities.
* The improvement of the performance of unbounded Dashboard report queries is dependent on the approval and prioritization of enhancements.

### SLA List

Table 42 - BenefitsCal Daily Hours Availability

| **BenefitsCal Performance Requirement #1 – Daily Hours Availability** | |
| --- | --- |
| **Performance Requirement** | BenefitsCal shall be available 99 percent (99%) of the time each Day. |
| **Liquidated Damages** | $10,000.00 Per Day |
| **Performance Measures** | The percentage of availability shall be determined in accordance with the following formula:   * Availability % = 100 X ([A – B] / A) * A = the measurement period which is Hours for a Day expressed in minutes * B = the number of the minutes in the measurement period that the BenefitsCal is not available. |

Table 43 - BenefitsCal Monthly Hours Availability, Non-Production Environment

| **BenefitsCal Performance Requirement #2 – Monthly Hours Availability, Non-Production Environments** | |
| --- | --- |
| **Performance Requirement** | All non-production environments, specifically System Test and UAT, shall be available 99 percent (99%) of the time during each calendar month. |
| Any planned downtime for System Test and UAT would require approval from the Consortium Technical and Operations Director (or designee). |
| Change Requests for non-production Services outside the Project Hours will receive appropriate notice and be scheduled at appropriate times based on the impact of the change and the impact of delaying the change. |
| **Liquidated Damages** | $10,000.00 Per Day |
| **Performance Measures** | The percentage of availability shall be determined in accordance with the following formula:   * Availability % = 100 X [(A– B] / A) * A = the measurement period which is Hours for each Day in the calendar month expressed in minutes * B = the number of the minutes in the measurement period that any non-production environment was not available (these are unduplicated minutes, if two [2] non-production environments were not available for the same five [5] minutes, then that time period would count as five [5] minutes). |

Table 44 - BenefitsCal Monthly Deficiency Notification Response Time

| **BenefitsCal Performance Requirement #3 – Monthly Deficiency Notification Response Time** | |
| --- | --- |
| **Performance Requirement** | The Contractor shall, within one (1) hour of discovery, notify the Consortium Executive Director and other Consortium Staff of any Non-Cosmetic High Priority Deficiency that may have an adverse effect on the operation or performance of BenefitsCal, 99.5 percent (99.5%) of the time each calendar month. |
| **Liquidated Damages** | $500.00 Per Month |
| **Performance Measures** | The Monthly Deficiency Notification Response Time percentage shall be determined in accordance with the following formula:   * Monthly Deficiency Notification Response Time % = 100 X ([A – B] / A) * A = the number of Non-Cosmetic High Priority Deficiencies discovered in the calendar month * B = the number of Non-Cosmetic High Priority Deficiencies discovered in the calendar month where the notification to Consortium Executive Director exceeded one (1) hour |
| **Reporting** | At the sole discretion of the Consortium Executive Director, a written report on the Non-Cosmetic High Priority Deficiency, and a corrective action plan may be required to be provided by the Contractor to the Consortium within two (2) working days. |

Table 45 – BenefitsCal Monthly Service Desk Diagnosis Time, Tier 3

| **BenefitsCal Performance Requirement #4 – Monthly Service Desk Diagnosis Time, Tier 3** | |
| --- | --- |
| **Performance Requirement** | Monthly Service Desk Diagnosis Time for Tier 3 shall be within one of the time periods below, 98 percent (98%) of the time each calendar month:   * Less than or equal to 8 hours for tickets classified System-Wide High or County High (Impact: System/County; Urgency: High). * Less than or equal to 30 hours for tickets classified as either System-Wide Medium, County Medium, or Individual High. * Less than or equal to 60 hours for tickets classified as either System-Wide Low, County Low, Individual Medium, or Individual Low. |
| **Liquidated Damages** | $5,000.00 Per Month |
| **Performance Measures** | * Contractor will diagnose help desk tickets during Service Desk Business Hours. For tickets received outside of Service Desk Business Hours, time (Diagnosis Time) will be calculated assuming the ticket was created at 8:00 am the same BenefitsCal Business Day, excluding Saturdays, for tickets logged between 6:00 am – 8:00 am. * If the ticket was received between 5:00 pm – 9:00 pm, time will be calculated assuming the ticket was created at 8:00 am the next BenefitsCal Business Day, excluding Saturdays. |

Table 46 - BenefitsCal Daily Prime Business Hours Screen to Screen Navigation Response Time

| **BenefitsCal Performance Requirement #5 – Daily Screen-to-Screen Navigation Response Time** | |
| --- | --- |
| **Performance Requirement** | BenefitsCal shall have a response time for 99 percent (99%) of screen-to-screen navigation transactions of two (2) seconds or less during each Day. |
| **Liquidated Damages** | $10,000.00 Per Day |
| **Performance Measures** | The response time shall be determined by the transactional methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:   * Transaction Response Time % = 100 X ((A – B) / A) * A = the number of transactions * B = the number of transactions that exceeded two (2) seconds (e.g., moving from one screen and viewing data, with or without data update, to another screen). |

Table 47 - BenefitsCal Daily Unbounded Search Response Time

| **BenefitsCal Performance Requirement #6 Daily Unbounded Search Response Time** | |
| --- | --- |
| **Performance Requirement** | BenefitsCal shall have a response time for 95 percent (95%) of transactions to display a record or records of an unbounded search result set of six (6) seconds or less each Day |
| **Liquidated Damages** | $500.00 Per Day |
| **Performance Measures** | The Transaction Response Time percentage shall be determined in accordance with the following formula:   * Transaction Response Time % = 100 X ([A – B] / A) * The response time percentage shall be determined by transactional methodology. * A = the number of transactions * B = the number of transactions that exceeded six (6) seconds (e.g., a non-specific indexed search for a person by last name). |

Table 48 - BenefitsCal Daily Prime Business Hours Standard Report Response Time

| **BenefitsCal Performance Requirement #7 –** **Daily Standard Report Response Time** | |
| --- | --- |
| **Performance Requirement** | BenefitsCal shall have a response time for 98 percent (98%) of standard report transactions of ten (10) seconds or less during each Day. |
| **Liquidated Damages** | $500.00 Per Day |
| **Performance Measures** | The response time percentage shall be determined by transactional methodology.   * The Transaction Response Time percentage shall be determined in accordance with the following formula: * Transaction Response Time % = 100 X ([A – B] / A) * A = the number of transactions * B = the number of transactions that exceeded ten (10) seconds. |

Table 49 - BenefitsCal Disaster Recovery Response Time

| **BenefitsCal Performance Requirement #8 – Disaster Recovery Response Time** | |
| --- | --- |
| **Performance Requirement** | In the event a disaster is declared in the primary cloud Services region, a failover of BenefitsCal will be completed within 24 hours to the pre-defined alternate region. |
| **Liquidated Damages** | $5,000.00 Per Incident |
| **Performance Measures** | 24-hour time period begins with BenefitsCal Executive Director declaring a disaster. |

Table 50 - BenefitsCal Failure to Complete Access Control Audits

| **BenefitsCal Performance Requirement #9 – Failure to Complete Access Control Audits** | |
| --- | --- |
| **Performance Requirement** | Contractor shall complete access control audits in each calendar quarter, in accordance with the BenefitsCal Access Control Policy. |
| **Liquidated Damages** | $5,000.00 |
| **Performance Measures** | Penalty assessed for each failure to complete within the quarter.   * Per occurrence of failure penalty * Reporting quarterly by the 15th of the following month. |

Table 51 - Security Information and Event Management System Update

| **BenefitsCal Performance Requirement #10 – Security Information and Event Management System Uptime** | |
| --- | --- |
| **Performance Requirement** | Contractor shall maintain 99% uptime availability for real time audit processing and alerting in the Security Information Event Management System (SIEM) as stated in the BenefitsCal Audit and Accountability Policy. |
| **Liquidated Damages** | $10,000.00 Per Day |
| **Performance Measures** | The percentage of availability shall be determined in accordance with the following formula:   * Availability % = 100 X ([A – B] / A) * A = minutes the measurement period * B = the number of the minutes in the measurement period that the SIEM is not available. |

Table 52 - BenefitsCal Completion of Root Cause Analysis

| **BenefitsCal Performance Requirement #11 – Completion of Root Cause Analysis** | |
| --- | --- |
| **Performance Requirement** | Contractor shall complete a Root Cause Analysis (RCA) within 14 calendar days of the incident creation date of a critical operation incident resulting in system operational impact. |
| **Liquidated Damages** | $5,000.00 Per Incident |
| **Performance Measures** | The percentage of the Root Cause Analysis provided within 14 calendar days of the incident creation date of a critical operation incident resulting in system operational impact.   * Percentage of RCA within 14 calendar days = RCA within 14 days / Total RCAs completed |

Table 53 - BenefitsCal Privileged Access Audits

| **BenefitsCal Performance Requirement #12 –** **Privileged Access Audits** | |
| --- | --- |
| **Performance Requirement** | Contractor shall complete quarterly privileged access audits for all privileged access to the system as stated in the BenefitsCal Privileged Access Policy. |
| **Liquidated Damages** | $5,000.00 Per Incident |
| **Performance Measures** | The number of failures to complete scheduled privileged access audit within a quarter.   * Per instance of failure to complete a quarterly privileged access audit. * Reported quarterly on the 15th of the following month. |

Table 54 - BenefitsCal Application Security Scans

| **BenefitsCal Performance Requirement #13 – Application Security Scans** | |
| --- | --- |
| **Performance Requirement** | Contractor shall complete application security scans for all components included in every major release as defined in the M&O Services Plan. |
| **Liquidated Damages** | $5,000.00 Monthly |
| **Performance Measures** | The number of failures to complete application security scans per major release.   * Per instance of failure to complete application security scans per major release. * Completed within (2) two weeks of every major release. |

Table 55 - BenefitsCal Security Incident Notification

| **BenefitsCal Performance Requirement #14 – Security Incident Notification** | |
| --- | --- |
| **Performance Requirement** | * Contractor shall notify Consortium Chief Information Security Officer and other Consortium-specified persons within one (1) hour following the identification of any potential or actual security incident, including any breach, any attack, or the introduction of any Disabling Device, related to BenefitsCal. * Contractor shall take corrective action within two (2) hours following the identification of each potential or actual security incident. * For each and every occasion that Contractor fails to meet this Performance Requirement, as determined by Consortium Executive Director, Contractor shall pay Consortium Liquidated Damages. |
| **Liquidated Damages** | $10,000.00 Per Incident |
| **Performance Measures** | * LDs will take effect for any notification of the potential or actual security incident that is reported after one hour of identification. * LDs will take effect if corrective action is taken after two hour following identification of each potential or actual security incident. |

Table 56 - BenefitsCal Security Incident Reporting

| **BenefitsCal Performance Requirement #15 –** **Security Incident Reporting** | |
| --- | --- |
| **Performance Requirement** | * Contractor shall provide a written report and assessment regarding all actions taken concerning each identified security incident, including any breach, any attack, or the introduction of any Disabling Device, the current status, and any potential impact(s) to Consortium of the security incident. Each security incident shall be categorized according to criticality as either minor or major. * For a minor security incident, which causes limited loss of confidentiality, integrity, protection, and/or availability of BenefitsCal to organizational operations, organizational assets, or individuals and which does not result in a failure of Contractor to comply with BenefitsCal Security Policy, this report and assessment shall be provided within twelve (12) hours following the identification of the minor security incident. * For a major security incident, which causes serious or catastrophic loss of confidentiality, integrity, protection, and/or availability of BenefitsCal to organizational operations, organizational assets, or individuals and which may result in a failure of Contractor to comply with the BenefitsCal Security Policy, this report and assessment shall be provided within two (2) hours following the identification of the major security incident. * Consortium Executive Director, in his sole discretion, may require Contractor to update this report and assessment on an hourly or daily basis depending on criticality, status, and possible impact to Consortium. For each and every occasion that Contractor fails to meet this Performance Requirement, as determined by the Consortium Executive Director, Contractor shall pay Consortium Liquidated Damages as documented below for each hour and each fraction of an hour that this report and assessment is late. |
| **Liquidated Damages** | $2,500.00 Per Incident Per Hour |
| **Performance Measures** | * LDs will take effect if the written report and assessment for a minor security incident is not delivered within twelve (12) hours following the identification of the minor security incident. * LDs will take effect if the written report and assessment for a major security incident is not delivered within two (2) hours following the identification of the minor security incident. |

Table 57 - BenefitsCal Security Incident Negligence

| **BenefitsCal Performance Requirement #16 – Security Incident Negligence** | |
| --- | --- |
| **Performance Requirement** | If due to a security incident, including any breach, any attack, or the introduction of any Disabling Device, BenefitsCal is unable to operate safely and Consortium Executive Director determines that such inoperability was caused by any active or passive negligence, recklessness, or intentional wrongful acts of Contractor, Contractor shall pay to Consortium Liquidated Damages as documented below for each hour and each fraction of an hour that BenefitsCal is unable to operate safely, as determined by Consortium Executive Director. |
| **Liquidated Damages** | $10,000.00 Per Hour |
| **Performance Measures** | Hourly calculations begin from onset of the security incident. |

### Reporting Process

A Monthly Performance Report will include the BenefitsCal System Performance SLAs and application performance toward those.

* + - Reporting process: Monthly Performance Report, a section of the Monthly M&O Report.
    - Reporting frequency: Monthly, one week following the calendar month, included as a section of the Monthly M&O report. SLA measurement is at a daily frequency, and the report is produced monthly.
    - Reporting format: The report will include the content from applicable tables including actual transactions. If the system performance does not meet the SLAs, the report will include a description of the root cause and remediation steps to improve the system performance.
    - Corrective Actions/Remediations: This section will list each deviation from the SLAs, including a description of the corrective action(s) that will address or improve the measurement for future reports.

### Roles and Responsibilities

The roles and responsibilities are defined below to monitor and report on system performance toward SLAs:

Table 58 - SLA Roles and Responsibilities

| Roles and Responsibilities | R | A | C | I |
| --- | --- | --- | --- | --- |
| System monitoring against SLAs | BenefitsCal | BenefitsCal | n/a | Consortium, QA |
| Development and submission of monthly performance report | BenefitsCal | BenefitsCal | n/a | Consortium, QA |
| Development of mitigation strategies if performance does not meet SLA | BenefitsCal | BenefitsCal | Consortium, QA | Consortium, QA |
| Procurement of tools, licenses, and product upgrades as needed to monitor performance | Consortium | BenefitsCal | QA | QA |

## Attachment 13 – Staff Loading Worksheets

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## Attachment 14 – DARFUR Contracting Act Certification

In accordance with Public Contract Code section 2204(a), the Bidder certifies that at the time the Proposal is submitted, the Bidder signing the Proposal is not identified on a list created pursuant to subdivision (b) of Public Contract Code section 2203 (<http://www>.dgs.ca.gov/pd/Resources/PDLegislation.aspx) as a person (as defined in Public Contract Code section 2202I) engaging in investment activities in Iran described in subdivision (a) of Public Contract Code section 2202.5, or as a person described in subdivision (b) of Public Contract Code section 2202.5, as applicable.

Bidders are cautioned that making a false certification may subject the Bidder to civil penalties, termination of existing contract, and ineligibility to bid on a contract for a period of three (3) years in accordance with Public Contract Code section 2205. Bidder agrees that signing the DARFUR Contracting Act Certification Form shall constitute signature of this Certification.

**Darfur Contracting Act Certification**

Pursuant to Public Contract Code section 10478, if a Bidder or Contractor currently or within the previous three years has had business activities or other operations outside of the United States, it must certify that it is not a “scrutinized” company as defined in Public Contract Code section 10476.

Therefore, to be eligible to submit a bid or Proposal, please complete only one of the following three paragraphs (via initials for Paragraph # 1 or Paragraph # 2, or via initials and certification for Paragraph # 3):

Table 59 - Attestation Form

|  |  |  |
| --- | --- | --- |
|  | **Initial** | **Attestation** |
| 1. |  | We do not currently have, or we have not had within the previous three years, business activities or other operations outside of the United States. |
| 2. |  | We are a scrutinized company as defined in Public Contract Code section 10476, but we have received written permission from the Department of General Services (DGS) to submit a bid or Proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid. |
| 3. |  | We currently have, or we have had within the previous three years, business activities or other operations outside of the United States, but we certify below that we are not a scrutinized company as defined in Public Contract Code section 10476. |

CERTIFICATION For # 3

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor/Bidder to the clause listed above in # 3. This certification is made under the laws of the State of California.

|  |  |  |  |
| --- | --- | --- | --- |
| Contractor/ Firm Name |  | | |
| By (Authorized Signature) |  | | |
| Printed Name and Title of Person Signing |  | | |
| Date Executed |  | Executed in County of |  |

## Attachment 15 – Certificate of Firm Status

The Bidder shall attach either a copy of the Certificate of Status issued by California’s Office of the Secretary of State, or a copy of the firm’s active on-line status information downloaded from the California Business Portal Website. If the required documentation cannot be supplied, the Contractor must document an explanation.

1. The Contractor shall attach either a copy of the Certificate of Firm Status issued by California’s Office of the Secretary of State, or a copy of the firm’s active on-line status information downloaded from the California Business Portal Website. Provide an explanation if the required documentation cannot be supplied. [↑](#footnote-ref-1)