

CalSAWS Consortium

Maintenance and Enhancements

Exhibit A - Statement of Work

DOCUMENT HISTORY

This document is controlled through the Project Control Process.

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1.1 M&E STATEMENT OF WORK

The M&E Statement of Work (SOW) defines the Services required to maintain and operate the CalSAWS Application. The M&E Contractor will provide Services as contained in this SOW for the duration of the Agreement.

1.1.1 Consortium Responsibilities

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

Table 1 - Consortium M&E Responsibilities

M&O SERVICES ROLES AND RESPONSIBILITIES	
CALSAWS CONSORTIUM	
TASK 1 - M&E TRANSITION-IN	<ul style="list-style-type: none">▪ 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▪ Review and approve Deliverables

M&O SERVICES ROLES AND RESPONSIBILITIES	
CALSAWS CONSORTIUM	
TASK 2 - PROJECT MANAGEMENT	<ul style="list-style-type: none"> ▪ Maintain M&O Project standards, policies and procedures ▪ Maintain the CalSAWS 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 ▪ 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 ▪ Provide Consortium approval for new or change to existing System changes ▪ 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	<ul style="list-style-type: none"> ▪ Create initial System Change Requests ▪ Review and approve M&E requests and Proposals ▪ Review M&E Requests report ▪ Participate in and support System Change Request (SCR) and SCR related meetings ▪ Manage communication and coordination of any impacts on the Consortium and stakeholders ▪ Provide timely review and approval of Contractor Work products and Deliverables
TASK 4 - M&E SUPPORT SERVICES	<ul style="list-style-type: none"> ▪ Support the Contractor in the evaluation and impacts of statutory and/or regulatory changes to CalSAWS, including SCERFRA or other stakeholder estimate requests ▪ Provide Consortium Staff to participate in training in the use of the Consortium's performance monitoring, automated regression and ADA test tools

M&O SERVICES ROLES AND RESPONSIBILITIES	
CALSAWS CONSORTIUM	
TASK 5- APPLICATION/ARCHITECTURE EVOLUTION	<ul style="list-style-type: none"> Participate in and support Application/Architecture Evolution meetings Provide Consortium Staff to participate in Proofs of Concepts assessments Provide timely review and approval of Contractor Work products and Deliverables
TASK 6 – INNOVATION SERVICES	<ul style="list-style-type: none"> Participate in and support Innovation-related planning and Architecture Evolution meetings Provide timely review and approval of Contractor Work products and Deliverables
TASK 7 - PRODUCTION OPERATIONS	<ul style="list-style-type: none"> Participate in and support Production Operations meetings Validate batch run results and exceptions Validate interface inbound and outbound files and exceptions Assist in the management of escalated Severity 1 defects and the notification of the necessary parties Provide oversight of the research, resolution, and end-User management of escalated batch issues, such as batch job failure or exceptions Monitor escalated issues to confirm timely resolution Review service level reports Manage communication and coordination of any impacts on the Consortium
TASK 8 – TECHNOLOGY RECOVERY	<ul style="list-style-type: none"> Participate in and support Technical Recovery meetings Participate in Contractor's retrospective of Technical Recovery execution and results
TASK 9 – SECURITY	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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
TASK 11 – ADDITIONAL SUPPORT SERVICES	<ul style="list-style-type: none"> Provide activities tied to tasks 4, 7 and 10 for virtual assistant, robotic process automation-related bots and time on aid functionality.

1.1.2 M&E Contractor Responsibilities

The M&E 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 – M&E Requirements Matrix**.
- Produce and deliver the Contract Deliverables specified in **Attachment 1 – M&E Deliverable Inventory**.
- Apply CalSAWS standardized business processes and leverage mandatory tools as contained in RFP **Attachment G1 - Software Inventory** to manage Project activities and satisfy infrastructure reporting requirements.
- Comply with all applicable Consortium policies and procedures.
- Coordinate and collaborate with the Consortium and other CalSAWS contractors in application and infrastructure activities and associated issue and risk management activities.

1.1.3 M&E Contractor Staffing

1.1.3.1 Project Location and Core Hours

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

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

After the successful completion of the Transition-In period, Key Staff and other Staff may be required to work on-site as directed by the Consortium. The Consortium assumes up to of 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.

1.1.3.2 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 CalSAWS Consortium.

The Contractor is responsible for ensuring all Contractor Staff clearly understand both initial and ongoing roles and responsibilities, how the team and assignments relate to the Project and the overall CalSAWS status and plans. The Consortium operates in a multi-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 M&E Contractor minimizes Staff turnover to the extent possible, particularly for Key Staff as detailed below.

1.1.3.3 Contractor Staff Changes

For any expected M&E Key Staff changes, the Contractor will provide a 30-calendar Day notice to the Executive Director regarding the change and plans for transition. The M&E Contractor will provide the Consortium 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.

1.1.3.4 Staff Performance

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

1.1.3.5 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. If the Consortium requires the removal of a member of Contractor's Staff, Contractor must replace that Staff member within two (2) weeks of the Consortium's request. 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.

1.1.3.6 M&E Key Staff

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

M&E Key Staff include the following:

1. M&E Project Manager
2. M&E PMO Lead
3. M&E Delivery Integration Manager
4. M&E Transition Manager
5. M&E Innovation Lead
6. M&E Enterprise Architect

7. M&E Technical Manager
8. M&E Application Manager
9. M&E Security Manager
10. M&E Testing Manager
11. M&E Release Manager
12. M&E Project Scheduler

M&E Key Staff roles descriptions and MQs follow.

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

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

1.1.3.6.1 M&E Project Manager

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

- Responsible for the execution and overall management of the contract and the Contractor's Team.
- Engage with the Consortium Management Team on a day-to-day basis to confirm the Project receives required Consortium commitment and support.
- Proactively collaborate and coordinate with other Consortium CalSAWS contractors.
- Possess signature authority to commit the Contractor to CalSAWS Contracts, Amendments and Change Notices with the Consortium.
- Communicate and report on Project progress, risks, and issues on an ongoing basis.
- Act as a liaison with the Consortium Executive Director to confirm Consortium expectations are met.

- Confirm all requirements are fulfilled by the Contractor including performance and SLAs.
- Provide executive level reporting and communications to Consortium Management, the Executive Director, 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, CalSAWS enhancements, and any other issue that requires executive management attention.
- Identify and bring forward technology options and innovation recommendations that will provide the highest value to the Consortium and county business operations.
- Work with the Contractor's Technical Manager, Innovations Manager, Enterprise Architect, the Consortium Management Team, and others as needed, lead an annual strategic planning initiative focused on technology improvements and innovations.

Table 2 – M&E Project Manager Mandatory Qualifications

M&E PROJECT MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S3	A minimum of three (3) years of experience within the past ten (10) years, on a large and complex IT health and human services or health care system that is in Production.
ME-S4	A minimum of five (5) years of experience as a Project Manager or Project Director within the past (10) years being directly responsible for activities in the following Project Management knowledge areas: scope, time, cost, human resource, risk, quality, integration, and communication.
ME-S5	A minimum of five (5) years of experience within the past ten (10) years, supervising teams of 50 people or greater on Projects that involved large and complex IT systems.
ME-S6	A minimum of five (5) years of experience within the past ten (10) years building and maintaining strong working relationships with clients and key internal and external stakeholders; conveying relevant information to an executive-level audience, ensuring client is aware of progress/service status; and building credibility and fostering business-partnering relationships.
ME-S7	Possess and maintain a valid Project Management Institute (PMI) Project Management Professional (PMP) certification throughout the term of this Agreement.

1.1.3.6.2 M&E Project Management Office (PMO) Lead

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

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

Table 3 – M&E PMO Lead Mandatory Qualifications

M&E PMO MANDATORY QUALIFICATIONS	
Req #	Mandatory Qualifications
ME-S8	A minimum of three (3) years of experience within the past five (5) years leading a PMO in a systems integrator organization, Federal, State, County, or Consortium organization.
ME-S9	A minimum of three (3) years of experience directly responsible for supporting activities in the following Project Management knowledge areas: scope, time, cost, human resource, risk, quality, integration, and communication.
ME-10	Possess and maintain a valid Project Management Institute (PMI) Project Management Professional (PMP) certification throughout the term of this Agreement.

1.1.3.6.3 M&E Delivery Integration Manager

The M&E Delivery Integration Manager will be an active member and participant of the Delivery Integration Office. The manager is responsible to jointly lead and actively engage with the Consortium and other CalSAWS contractors to facilitate the administration of the Delivery Integration Model, and to enable overall coordination and effective integration between and across CalSAWS contractors. This Manager will work closely with the CalSAWS Chief Deputy Director and CalSAWS PMO who will oversee the Delivery Integration Office and processes. The duties and responsibilities of the Infrastructure Delivery Integration Manager include:

- Participate with the Integration Delivery Office in the creation and execution of plans and processes to govern multiple contractors working collectively in the CalSAWS environment.
- Monitor effectiveness of contractor interactions.
- Monitor and clarify lines of delineation between and among contractors.
- Serve as the first entity to resolve disputes between or among contractors.
- Proactively collaborate and coordinate with other CalSAWS contractors.
- Provide coordination services to confirm the various CalSAWS contractor team are aligned with Project goals, schedules, and strategic initiatives.
- 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.
- Will provide input to the development of the CalSAWS Master Work Plan and identify and resolve any conflicting Tasks, priorities and resources.
- Provide input to discussions to determine SCR priorities with consideration of committee decisions.
- Provide input to testing efforts.
- Serve as the first point of contact to resolve disputes between and/or among contractors.
- Provide reports and metrics regarding the effectiveness and timeliness of contractor interactions.
- Communicate and report on Project matters on an ongoing basis.

Table 4 – M&E Delivery Integration Manager Mandatory Qualifications

M&E DELIVERY INTEGRATION MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualification
ME-S11	A minimum of two (2) years of experience coordinating multidisciplinary teams over various functional and technical areas in a leadership capacity on Projects that involved large and complex IT systems.
ME-S12	A minimum of two (2) years of experience coordinating integration services on a Project similar in size and scale to the CalSAWS.
ME-S13	At least two (2) years of Full-Time Equivalent (FTE) experience utilizing traditional and iterative solution delivery methodologies.
ME-S14	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.

1.1.3.6.4 M&E Transition Manager

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

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

Table 5 – M&E Transition Project Manager

M&E TRANSITION MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S15	A minimum of 18 months of experience within the past ten (10) years, performing operational transition activities on Projects involving large and complex IT systems.
ME-S16	Experience within the past ten (10) years, managing the successful transition of large and complex IT systems from one (1) company or contract to another on at least two (2) separate Projects. The Transition Manager's experience will have been for a minimum duration of three (3) months for each Project.

1.1.3.6.5 M&E Innovation Lead

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

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

Table 6 – M&E Innovation Lead

M&E INNOVATION LEAD MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S17	A minimum of five (5) years of experience working in a leadership capacity on a health and human or health care Project involving large and complex IT systems.
ME-S18	A minimum of five (5) years of experience working in a technical capacity responsible for evaluating technology improvements and innovations.
ME-S19	A minimum of two (2) years of experience developing and delivering technology Proofs of Concept or Pilot Projects.

1.1.3.6.6 M&E Enterprise Architect

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

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

- Conduct research and provide recommendations on appropriate technologies to address CalSAWS needs and improve efficiency.

Table 7 – M&E Enterprise Architect Mandatory Qualifications

M&E ENTERPRISE ARCHITECT MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S20	A minimum of five (5) years of experience within the past ten (10) years as an Enterprise Architect on Projects involving large and complex IT systems.
ME-S21	A minimum of five (5) years of experience within the past ten (10) years in architecting and building high performance systems and/or in architecting and building enterprise-scale, distributed systems on Projects involving large and complex IT systems; a portion of this experience must have been with human services systems and programs.
ME-S22	<p>A minimum of five (5) years of experience within the past ten (10) years of advanced technical expertise in at least five (5) of the following technologies and technical/architecture areas:</p> <ul style="list-style-type: none"> • Web and Application Servers • Cloud • Customer Relationship Management (CRM) • Customized Off-the-shelf Software (COTS) • Service Oriented Architecture (SOA) • Modeling skills/Unified Modeling Language (UML) • SharePoint, Data Architecture • Data Warehousing • Security/Identity Management • Mobile • Desktop/Client Server • Network solutions
ME-S23	Hold and maintain for the duration of the contract a current certification: AWS Certified Solutions Architect.

1.1.3.6.7 M&E Technical Manager

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

Duties of the M&E Technical Manager include:

- Manage the day-to-day activities of the Contractor Technical Staff.
- Lead the technical disciplines of the Project, establish, update, and execute technical policies, processes, and procedures.

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

Table 8 – M&E Technical Manager Mandatory Qualifications

M&E TECHNICAL MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S24	A minimum of five (5) years of experience within the past ten (10) years, managing a technical team of at least 20 members on a large and complex IT systems development Project.
ME-S25	A minimum of five (5) years of experience within the past ten (10) years, managing the system development life cycle (SDLC) on maintenance and enhancement Projects that involved large and complex IT systems.
ME-S26	A minimum of five (5) years of experience within the past ten (10) years in the development, implementation, and management of information technology systems, including Oracle technologies, cloud architectures, business systems, server technologies, and communication technologies.
ME-S27	A minimum of one (1) year of experience within the past ten (10) years, on a large and complex IT System using Information Technology Infrastructure Library (ITIL) standards and framework.

1.1.3.6.8 M&E Application Manager

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

- Manage the day-to-day activities and all aspects of the Contractor's Application Staff.
- Oversee the requirements management processes, including monitoring and assessing issues that relate to requirement changes.
- Support stakeholder and program sponsor sessions in the development of public-facing application functionality.
- Apply UCD and User Experience (UX) principles, where applicable to improve the User experience for both customers and County Staff.
- Confirm that design sessions and walkthroughs are planned, executed, and delivered on schedule.
- 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 SCR backlog, service requests, third-party applications and/or other CalSAWS components.
- Communicate plans for key application changes.
- Deliver timely CalSAWS changes, enhancements, associated deliverables, and defect fixes.
- Assess proposed CalSAWS enhancements for design alternatives based on all identified constraints, such as cost, schedule, usability, maintainability, and reliability.
- Work with the Infrastructure Operations Service Desk Lead and manage Tier 3 support for application tickets that occur in non-production and Production environments.
- Responsible for continuous improvement efforts for the SCR process to enable rapid releases into Production and to the end users.
- Evaluate CalSAWS Software and performance, evaluate AWS Services, and formulate recommendations to adopt native cloud Services.

Table 9 – M&E Application Manager Mandatory Qualifications

M&E APPLICATION MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S28	A minimum of five (5) years of experience within the past ten (10) years, as the application manager or lead on Projects involving large and complex IT systems in a health and human services or health care services Project.
ME-S29	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 large and complex IT systems.
ME-S30	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.

1.1.3.6.9 M&E Security Manager

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

- Plan, implement, manage, monitor, and upgrade security solutions to defend against hacking, malware, ransomware, and other threats to Data, CalSAWS, and networks.
- Maintain, enforce, and document M&E security policies and procedures that align with current industry standards and Privacy and Security Agreements (PSAs) among CalSAWS, California State agencies, and other CalSAWS contractors.
- Serve as a resource regarding matters of information security and reports status of ongoing information security activities to CalSAWS Executive Director or designee(s).
- Support the development/adoption and enforcement of Information Security policies, procedures, and standards.
- Provide timely notification to the Consortium and Project sponsors of security breaches.
- Coordinate with the Consortium and other CalSAWS contractors in responding to information security data calls, audit requests, and reporting.
- Work with the Consortium to implement, monitor, and maintain appropriate security measures, best practices, controls, and mechanisms to guard against unauthorized access to electronically stored and/or transmitted Data and protect against reasonably anticipated threats and hazards.
- Perform ongoing security monitoring of Systems.
- Identify and mitigate all security weaknesses, threats, and vulnerabilities in all operational entities including Operations and Network Management.

- Conduct penetration testing, exercises, analyses and simulation on security incidents and response capabilities to determine effectiveness; document results.
- Implement and enforce policies and procedures, which include standards for incident handling (FTI, PHI, etc.).
- Respond to security breaches.
- Provide root cause analysis and remediation of security issues.

Table 10 – M&E Security Manager Mandatory Qualifications

M&E SECURITY MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S31	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.
ME-S32	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 large and complex IT systems and/or AWS cloud environment.
ME-S33	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 on Projects involving large and complex IT systems.
ME-S34	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.
ME-S35	A minimum of three (3) years of experience with systems that comply with NIST 800-53 moderate baseline.
ME-S36	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.

1.1.3.6.10 M&E Test Manager

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

- Manage the day-to-day activities of the Contractor's Test Team.
- Oversee planning, development, and execution of M&E testing.

- Lead and coordinate with the development, business, and technical teams to execute all testing activities.
- Coordinate and support the Consortium-provided UAT and County Validation Testers.
- Track all test defects.
- Assist the Consortium in determining defect severity levels for all defects.
- Track all defects through retest and timely resolution.

Table 11 – M&E Test Manager Mandatory Qualifications

M&E TEST MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S37	A minimum of five (5) years of experience within the past ten (10) years as Test Manager or Lead on Projects involving large and complex IT systems in a health and human services or health care services Project.
ME-S38	A minimum of five (5) years of experience planning, preparing for, and executing system test, UAT, and/or regression tests in compliance with a recognized standard, such as IEEE or ISO.
ME-S39	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.
ME-S40	A minimum of three (3) years of experience overseeing or testing applications with multiple stakeholders/customers with varied business priorities and varying levels of experience with automation systems.
ME-S41	Experience testing in waterfall, agile and iterative SDLC models and mixed models (i.e., multiple SDLCs occurring concurrently).

1.1.3.6.11 M&E Release Manager

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

- Manage the day-to-day activities of the Contractor's Release Team.
- Plan, develop, review, and maintain the release schedule in conjunction with the Consortium.
- Oversee and conduct Release Readiness reviews.
- Collaborate with the Consortium to improve and mature release processes on a regular basis.
- Manage risks and resolve issues that affect release scope, schedule, and quality.
- Coordinate work among different Project teams to create and manage releases.

- Negotiate, plan, and manage all release activities.
- Lead and coordinate the readiness activities including the execution of the deployment plans.
- Oversee and confirm the Documentation of key information such as build and release procedures, dependencies, defect fixes, and SCRs is reflected and documented accurately in the appropriate Deliverable.
- Present readiness status and issues to Consortium Management, Project Steering Committee, Project sponsors and stakeholders.
- Identify and proactively bring forward options that will provide the highest value to the Consortium.

Table 12 – M&E Release Manager Mandatory Qualifications

M&E RELEASE MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S42	A minimum of five (5) years of experience within the past ten (10) years as the release manager or lead on Projects involving large and complex IT systems in a health and human services or health care services Project.
ME-S43	A minimum of five (5) years of experience within the past ten (10) years, on Projects involving large and complex IT systems, where the Project scope included managing, planning, scheduling, and controlling Software builds through different stages and environments; including testing and deploying Software releases.

1.1.3.6.12 M&E Project Scheduler

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

- Develop, monitor, analyze, and update the M&E Work Plan using Microsoft Project.
- Facilitate Work Plan development activities, Work Plan tracking, Work Plan analysis, Work Plan reporting, and all supporting Work Plan Documentation.
- Coordinate and manage Work Plan inputs to the level of detail defined in the CalSAWS Master Work Plan.
- Coordinate the collection and distribution of Work Plan-related task information (i.e., status, assignments, and Work completed by Staff), and Work completed.
- Confirm all deliverables, Tasks, milestones, resources, risks, and dependencies (predecessors/successors) are tracked in the Work Plan.
- Perform risk analysis and identify and resolve critical path and network impact concerns.

- Collaborate with the M&E team and the Consortium to compare status, identify disparities, and provide input to the resolution of potential Work Plan and resource conflicts.
- Prepare Work Plans that can integrate into a Master CalSAWS Work Plan, identifying clear integration and coordination points with other contractor Work Plans.
- Prepare as-needed Work Plan reports, and report on Project delays, risks, and issues that prevent adherence to scheduled activities.

Table 13 – M&E Project Scheduler Mandatory Qualifications

M&E PROJECT SCHEDULER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualifications
ME-S44	At minimum of three (3) years of experience using Microsoft Project 2013 or later versions to plan, develop, maintain, and report on highly complex integrated master schedules and Work Plans for a large and complex IT System Project.
ME-S45	A minimum of two (2) years of experience managing highly complex, integrated master schedules and Work Plans using industry best practices and standards (e.g., Institute of Electrical and Electronic Engineers, Project Management Body of Knowledge, and/or Software Engineering Institute).
ME-S46	A minimum of two (2) years of experience with integrated and highly detailed Work Plans, utilizing Project management best practice techniques and one or more of the following technology tools to incorporate different levels of progress in customized reports: Gantt, PERT, or milestone charts.

1.1.4 M&E Requirements

The Contractor will perform the Services and produce the Deliverables specified in the M&E Requirements contained in **Exhibit B – Statement of Requirements**, and **Attachment 1 – M&E Deliverable Inventory**. A brief description of each task area is provided below.

1.1.4.1 Task 1 – M&E Management

The Contractor will manage all Contractor Work performed under this Agreement, including Project management, Work Plan management, strategic planning, application and technical management, M&E related 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 M&E Services Plan and the associated Operational Working Documents (OWDs) that provide the detailed procedures for the activities and processes contained in the M&E Services Plan.

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

1.1.4.2 Task 2 – M&E Transition-In Services

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.

The 12-month M&E Transition-in Period will be used to verify volumes, metrics and other key information to confirm and refine the selected Contractor's Statement of Work, Requirements, Software, and purchase/maintenance timing.

Based on the results of the Transition-In Period, changes to the M&E Agreement may be made, as appropriate, to update the Statement of Work, Requirements, Software and Price Schedules.

During this period, the incumbent contractor and the successor Contractor will work in parallel. Successful transition results in the successor Contractor establishing a post transition operational baseline and assuming responsibility for providing M&E support as required under the Agreement. The successor Contractor must complete all Transition-In Services within 12 months from the Agreement Start Date.

Transition-In major activities include:

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

1.1.4.3 Task 3 – M&E System Change Requests

The Contractor will perform a range of SCR activities, including:

- Providing to the Consortium an SDLC methodology recommendation that reduces overall CalSAWS change development and delivery timelines, while maintaining high-quality.
- Providing a focus on UCD, that reduces the overall time and effort for the development and delivery of CalSAWS changes, while maintaining high quality and usability.
- Performing requirements capture and validation activities and delivering and maintaining the Requirements Traceability Matrix (RTM).
- Adhering to the Consortium's Core Automation Principles and SCR development and delivery processes.
- Providing to the Consortium Test Team ongoing test planning and execution support Services.
- Performing Implementation, Change Management, and Training activities related to SCR(s) Production delivery.
- Participating in Production readiness activities, performing Production release activities, and Production certification and post-deployment activities.

1.1.4.4 Task 4 – M&E Support Services

The Contractor will support the Consortium in:

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

1.1.4.5 Task 5 – M&E Application / Architecture Evolution

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

- Creating and delivering to the Consortium, an approach to evolve the CalSAWS application and architecture, migrating it from its current monolithic architecture to a secure, scalable and dynamic, cloud-native application architecture.
- Managing the evolution and migration of CalSAWS from the existing Oracle stack to the new architecture, including dividing the application into feature modules, decoupling the database, and refactoring the application while providing a secure processing environment that promotes data privacy.
- Managing and maintaining the existing architecture and application during evolution and keeping platforms in sync including core System functionality and operational support tools.

1.1.4.6 Task 6 – M&E Innovation Services

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

- Evaluating emerging technologies for opportunities to increase benefits to the Consortium.
- Engaging and preparing the Consortium Innovation Teams for Innovation activities.
- Managing POCs and Initiative Pilots.

The M&E Contractor will also support the Consortium and the CalSAWS Infrastructure Contractor in the evaluation of Infrastructure Innovation initiatives.

1.1.4.7 Task 7 – M&E Production Operations

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

- Maintaining Production application availability, providing support for automated deployments, and providing 24 hours a Day, 7 days per week and 365 days per year monitoring (excluding CalSAWS holidays).
- Providing Tier 3 support for Managed Lobby Management devices, including creating and maintaining associated workstation images.
- Providing Tier 3 Contact Center application Services including support of the AWS Connect-based contact center CalSAWS Software, centralized and County unique IVR call flows and third-party applications for reporting, work force management and quality assurance.
- Performing batch processing support, including monitoring, troubleshooting, reporting, and escalating issues related to batch and interface processing.
- Providing Tier 3 Service Desk Services for CalSAWS Users (excluding BenefitsCal except for issues with APIs that support BenefitsCal), including coordinating with Tier 1 and Tier 2 Service Desk.
- Support the Consortium and the CalSAWS Infrastructure Contract in the performing Configuration Management, Capacity Planning, Technology Replacement Management and Technical Change Management activities related to CalSAWS.
- Monitoring CalSAWS Production availability and performance to verify and report performance and availability compliance with SLAs.
- Monitoring CalSAWS Production to confirm a secure processing environment that protects improper or unauthorized access, while maintaining integrity of Data and support availability of CalSAWS.

1.1.4.8 Task 8 – M&E Technology Recovery

The Contractor will support the development of the CalSAWS Technology Recovery Plan; support the CalSAWS Infrastructure Contractor and CalSAWS AWS provider, as necessary, to re-establish the CalSAWS AWS environments and connected Services;

and restore and/or perform testing to validate CalSAWS application components. The CalSAWS Infrastructure Contractor will lead the Technology Recovery activities.

1.1.4.9 Task 9 – M&E Security Requirements

The Contractor will perform security-related activities (administrative, technical, and physical) to protect the CalSAWS M&E assets and Data from loss, misuse, unauthorized access, disclosure, alteration, destruction and will adhere to the Consortium's security policies and procedures.

1.1.4.10 Task 10 – M&E Transition-Out

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

Transition-Out major activities include:

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

1.1.4.11 Task 11 – Additional Support Services

Additional support services span activities tied to maintaining/supporting time on aid (WDTIP replacement system) functionality, virtual assistants, robotic process automation-related bots and workload.

1.1.5 M&E Deliverables

1.1.5.1 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 1 – M&E Deliverable Inventory contains the inventory of M&E Deliverables required by this Agreement.

1.2 ATTACHMENT 1 – M&E DELIVERABLE INVENTORY

Table 14 – M&E Deliverable Inventory

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
ME-D01	M&E Transition-In Master Plan (M&E TIMP)	<p>The M&E TIMP will include:</p> <p>Approach Section</p> <ol style="list-style-type: none">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):<ol style="list-style-type: none">a. 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.b. 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.	New	As needed when changes occur	Contract Start + 10 Business Days	ME-1.1-01

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<p>c. Procedures the Contractor will use to work with the incumbent Contractor to transfer all CalSAWS Hardware and CalSAWS Software license maintenance agreements as identified in the incumbent Contractor's Closeout Plan.</p> <p>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</p> <p>6. Entry and Exit Criteria for the beginning and completion of transition phases, including use of Readiness and Checklists, criteria and metrics.</p> <p>7. A plan of the timing, audience, media and message for communication events.</p> <p>8. The identification and approach for the Quality Assurance that will be used to confirm that Transition-In activities are being accomplished.</p> <p>9. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution.</p> <p>10. Definition of contingency plans to troubleshoot high risk transition activities.</p> <p>11. A Transition-In Milestone Schedule Summary from the Transition-In Work Schedule, including Identification of cutover activities and the target cutover dates.</p> <p>Organizational Change Management</p> <p>1. Approach and Schedule</p>				

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>2. Roles and Responsibilities of the Contractor and the Consortium.</div> <div>3. Process and role gap analysis of existing workflow for roles that will be impacted by the transition.</div> <div>4. Gap Analysis between the existing environments and the new CalSAWS environment.</div> <div>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.</div> <div>6. Communications Strategies.</div> <div>Communication Management</div> <div>1. The communication approach and processes for communicating transition information to the Consortium, Counties, business partners, and incumbent Contractor.</div> <div>2. The methods used to confirm timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of transitions information.</div> <div>3. Provisions for Contractor resources to attend meetings and provide status updates regarding the transition.</div> <div>4. A matrix of planned communications, which includes communication event, frequency, method, audience, sender, and author.</div> <div>SCR Service and Function Migration</div> <div>1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor.</div>				

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover.</div> <div>3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).</div> <div>Production Operations Services and Functions</div> <div>1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor.</div> <div>2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover.</div> <div>3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).</div> <div>Security Services and Functions</div> <div>1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor.</div>				

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover.</div> <div>3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).</div> <div>Technology Recovery Services and Functions</div> <div>1. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor.</div> <div>2. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover.</div> <div>3. Identification of what technical assistance the Contractor will require from the incumbent Contractor (e.g., number of hours, position expertise).</div> <div>Transition-In Training and Knowledge Transfer</div> <div>1. Identification of training and knowledge transfer expectations during planning, and for the transition period.</div>				

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>2. The knowledge transfer activities that Contractor Staff will require from the incumbent Contractor to prepare for the assumption of Services.</div> <div>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 ITIMP.</div> <div>4. Training of Consortium Staff regarding the Contractor's transition approach, processes, activities, and tools for managing the transition effort and reporting status.</div> <div>5. Training of Consortium Staff regarding changes to Services/functions and to service delivery means.</div> <div>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 ITIMP.</div> <div>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.</div>				
ME-D02	M&E Services Plan and Operational Working Documents	<div>The M&E Services Plan will serve as the master plan for the Services being delivered under the Agreement, and will include:</div> <div>1. Project Management Support</div> <div> a. Documentation Maintenance Plan</div>	New (using existing as base)	As needed when changes occur	Month 4 - 1 st Business Day	ME-1.1-04

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>b. Annual Strategic Plan</div> <div>2. Systems M&E</div> <div>a. SDLC Plan and OCM Plan</div> <div>b. Cost Estimation Methodology</div> <div>c. Production Release Management Plan</div> <div>d. System Requirements and Design Validation Plan</div> <div>e. General Test Plan</div> <div>f. Test Support Plan</div> <div>g. Change Management / Training Plan</div> <div>3. Application Evolution Plan</div> <div>4. Approach to Innovation Plan</div> <div>5. Production Operations</div> <div>a. Technical Operations Support Plan</div> <div>b. Batch and Interface Support Plan</div> <div>c. Service Desk Support Plan</div> <div>d. Contact Center Support Plan</div> <div>e. Performance Monitoring and Reporting Plan</div> <div>6. Technology Recovery Plan</div> <div>7. Security Plan</div> <div>8. Transition Out Plan</div>				
ME-D03	M&E Transition-In Work Schedule	<div>The M&E Transition-In Work Schedule will be developed in MS Project and will include:</div> <div>1. All Transition-In activities and Tasks which are expected to be completed by Contractor, Consortium, County, and incumbent Contractor Staff to meet the estimated Transition-In</div>	New	As needed when changes occur	Contract Start + 10 Business Days	ME-1.2-01

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<p>schedule required by the M&E TIMP to allow for successful cutover to the Agreement.</p> <p>2. Start and completion dates for all Tasks.</p> <p>3. Predecessor and successor dependencies for Tasks without subtasks, and predecessor and successor dependencies for subtasks.</p> <p>4. Resource assignments for Tasks without subtasks, and resource assignments for subtasks. Resource assignments will include appropriate Contractor, Consortium, County, and incumbent Contractor resource assignments and estimated hours.</p> <p>5. Estimated hours and durations for Tasks without subtasks and estimated hours and durations for subtasks.</p>				
ME-D04	M&E Transition-In Test and Validation Plan	<p>The M&E Transition-In Test and Validation Plan will contain a separate section for each Service and Function Area.</p> <p>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.</p> <p>2. Description of how to determine what transition components require formal testing versus validation.</p> <p>3. Identification and Documentation of the approach and methods to be used to validate such as checklists or demonstrations.</p>	New	As needed when changes occur	Month 2 - 1 st Business Day	ME-1.7-01

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		4. A test and validation Work Schedule to schedule, monitor, and report the progress of all test and validation activities.				
ME-D05	M&E Project Control Document	<p>The M&E Project Control Document will align with and support the CalSAWS Enterprise Project Control Document (PCD) and will include:</p> <ol style="list-style-type: none">1. Introduction<ol style="list-style-type: none">a. Document Terms and Definitions2. Document Purpose<ol style="list-style-type: none">a. Scopeb. Triggers for Changec. Executing Change3. Roles and Responsibilities4. Key Staff5. Project Work Plan<ol style="list-style-type: none">a. Roles and Responsibilitiesb. Schedule Management Processc. Schedule Analysis and Reportingd. Cost Estimating Methodology6. Project Management Plans (PMP Appendices):<ol style="list-style-type: none">a. Communications Management Planb. Contract Management Planc. Deficiency Management Pland. Quality Management Plane. Risk and Issue Management Planf. Staff Management Plan	New	In accordance with PCD Change Control	Month 3 - 1 st Business Day	ME-2.1-04

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		7. Project Action Items and Decision Management Tracking 8. Project Status Reporting 9. Operational Working Documents				
ME-D06	M&E Work Schedule	The M&E Work Schedule will be developed and updated in MS Project in accordance with the M&E PCD and the M&E 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 - 1 st Business Day	ME-2.1-07
ME-D07	CalSAWS Annual Strategic Plan	The CalSAWS Annual Strategic Plan documents a “Future Vision” approach that will encompass a five (5) year planning window and will include Capacity Planning for future System changes, the approach to optimizing resources, and keeping CalSAWS relevant over the life of the contract, utilizing a comprehensive and collaborative planning of CalSAWS service modifications.	New	Annually	Month 7 - 1 st Business Day	ME-2.2-01
ME-D08	Requirements Traceability Matrix (RTM) and Report	The 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		ME-3.2-04
ME-D09	M&E General Design	The M&E GDD describes the features and functions of CalSAWS behavior as seen by an external observer, and	Existing	As needed when changes occur		ME-3.3-02

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
	Document (GDD)	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.				
ME-D10	M&E Interface Control Document (ICD)	The M&E ICD defines and specifies the interface requirements to be met by the participating systems. *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		ME-3.3-04
ME-D11	M&E Interface Agreement	The M&E Interface Agreement documents file layouts, transactions frequencies, test procedures, security, and file transfer protocols between exchanging partners. *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		ME-3.3-05
ME-D12	M&E Performance Test Materials Packet (Online/Batch)	The Performance Test Materials Packet (Online/Batch) provides the detailed manual and automated test activities which will be executed to validate performance will meet all performance requirements and contractual SLAs, and will include: 1. Test Schedule and Resourcing 2. Test Case Detail List: a. Test Case ID	New	No later than ten (10) Business Days prior to the performance test execution date		ME-3.4-12

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>b. Test Case Name</div> <div>c. Test Case Version</div> <div>d. Test Scenario Inventory</div> <div>e. Test Data, documents, and/or files to be used to meet test pre and post conditions.</div> <div>f. Interfaces to be tested (if applicable)</div> <div>g. Batch Jobs to be tested (if applicable)</div> <div>h. Untestable Items</div> <div>i. Test Materials Metrics:</div> <div>j. Total number of planned test cases</div> <div>k. Total number of requirements tested</div> <div>l. Total number of untestable requirements</div> <div>m. Expected Result(s)</div> <div>n. Tester ID(s)</div> <div>*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.</div>				
ME-D13	Certification of Successful Production Release	<div>The Certification of Successful Production Release provides the Contractor's verification and certification that the CalSAWS Software was successfully promoted and installed into Production and will operate as designed.</div> <div>*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.</div>	New	As needed when changes occur		ME-3.8-02
ME-D14	Approach to Application and	The Approach to Application and Architecture Evolution will include:	New	Annually	Month 13 - 1 st Business Day	ME-5.1-02

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
	Architecture Evolution	<div>1. Expected Outcomes and Improvements<div>a. Applicationb. Processing timeframesc. Performance d. Maintenance</div></div> <div>2. Phasing Strategy</div> <div>3. Timeframes</div> <div>4. Roll-back Approach</div> <div>5. Definition of how each service or function, being performed by the incumbent Contractor, will be operationalized and cutover to the Contractor.</div> <div>6. Identification of the activities and Tasks that must be accomplished to allow for a successful transition of operational control of a service or function, such as preparatory actions being taken to establish and prepare facilities, obtain service Contracts, establish capabilities, prepare for testing/validation, and those actions taken after successful testing/validation, needed to implement cutover.</div> <div>7. Definition of the roles and responsibilities for completing defined activities and tasks.</div> <div>8. A plan of the timing, audience, media, and message for communication events.</div> <div>9. Definition of the measurements to validate or test the completion of transition of Services or functions.</div> <div>10. A plan for the Readiness Reviews in coordination with the Consortium and the incumbent Contractor's Project Closeout Plan.</div>				

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		11. Identification of cutover activities and the target cutover date. 12. Identification of risks and issues tied to the transition and planned mitigation measures/issues resolution.				
ME-D15	M&E 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. a. Usability b. Error Reduction c. Costs / Costs Savings d. Data Analytics and Reporting 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. Enhancement and Maintenance 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 14 - 1 st Business Day	ME-5.1-06
ME-D16	System Application Recovery Plan	The System Application Recovery Plan will include:	New	Semi-Annually	Month 5 - 1 st Business Day	ME-8.1-01

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>1. Roles and responsibilities of Contractor, Consortium, Counties, and other CalSAWS contractors as applicable.</div> <div>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.</div> <div>3. Backup and Offsite Storage Procedures – Backup and retention schedules and procedures.</div> <div>4. System Application Recovery Procedures – Operational procedures that will allow recovery to be achieved in a timely and orderly way.</div> <div>5. Testing – description of annual System Application recovery test(s) planning and execution methodology including:<div>a. Test Overview and Scope</div><div>b. Roles and responsibilities of the Contractor, Consortium, and other CalSAWS Contractors as applicable.</div><div>c.</div><div>d. Test Objectives</div><div>e. Test Requirements</div><div>f. Test Activities and Schedule</div><div>g. Test Reporting Metrics to be collected</div></div> <div>6. Communication approach and Contact List(s) including Counties, Consortium and State entities.</div>				
ME-D17	M&E System Security Plan	The System Security Plan will be completed by providing responses to each of the NIST 800-53 controls contained	New	As needed when changes occur	Month 5 - 1 st Business Day	ME-9.1-03

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		in the System Security Plan template (from the NIST 800-53 moderate baseline).				
ME-D18	M&E Transition-Out Master Plan	<p>The M&E Transition-Out Master Plan will include:</p> <ol style="list-style-type: none">1. A detailed Maintenance and Enhancement Transition-Out Work Schedule reflecting all Tasks and Deliverables to be completed.2. Narrative describing each task and Deliverable.3. Contractor, Consortium Staff, and successor Contractor roles and responsibilities.4. Narrative describing how the Contractor will plan, organize, communicate, implement, monitor, and report the status of all Transition-Out activities.5. Provisions for supporting transition and cutover of Services and functions to a successor Contractor or the Consortium.6. A Transition-Out Knowledge Transfer and Training Plan detailing the approaches and methodologies the Contractor will employ to transfer knowledge to Consortium Staff and/or a prospective successor Contractor.<ol style="list-style-type: none">a. Schedule of planned knowledge transfer sessions and demonstrations.b. Number of Staff to be included in knowledge transfer sessions per topic area.c. Knowledge transfer topics with knowledge transfer objective descriptions and summaries for each topic.d. Length and location of each knowledge transfer session.	New	As needed when changes occur	As specified in the M&E PCD and Work Schedule	ME-10.1-07

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<p>7. Narrative of applicable lessons learned from the Transition-In activities.</p> <p>a. A M&E Transition-Out Documentation and Deliverables Assessment that identifies the results of a complete and comprehensive review and evaluation of all M&E Documentation to identify Documentation that requires updates or revisions. The Assessment will include:</p> <p>i. All Contractor Deliverables</p> <p>ii. All policies and procedures related to the provision of Services under this Agreement.</p> <p>iii. Any other Documentation that would facilitate successor Contractors' understanding of overall application development, technical batch and on-line operations and Services, application baseline code and coding standards, Configuration Management technical practices, and CalSAWS Software needs to maintain and operate the current CalSAWS.</p> <p>b. The archiving, central storing, and file location listing of all Documentation included in the inventory and assessment.</p>				
ME-D19	M&E Transition-Out Work Schedule	<p>The M&E Transition-Out Work Schedule will be developed in MS Project and will include:</p> <p>1. All Transition-Out activities and Tasks which are expected to be completed by Contractor, Consortium, County, and incumbent Contractor Staff to meet the estimated Transition-In</p>	New	As needed when changes occur	As specified in the M&E Transition-Out Work Schedule	ME-10.2-01

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<p>schedule required by the TIMP to allow for successful cutover to the Agreement.</p> <p>2. Start and completion dates for all Tasks.</p> <p>3. Predecessor and successor dependencies for Tasks without subtasks, and predecessor and successor dependencies for subtasks.</p> <p>4. Resource assignments for Tasks without subtasks, and resource assignments for subtasks. Resource assignments will include appropriate Contractor, Consortium, County, and incumbent Contractor resource assignments and estimated hours.</p> <p>5. Estimated hours and durations for Tasks without subtasks and estimated hours and durations for subtasks.</p>				
ME-D20	M&E Agreement Closeout Plan	<p>The M&E Agreement Closeout Plan will include:</p> <p>1. The overall strategy for closing out the Agreement.</p> <p>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.</p> <p>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.</p> <p>4. A list of outstanding action items or Tasks from meeting minutes or other Management tracking systems.</p>	New	As needed when changes occur	As specified in the M&E PCD and Work Schedule	ME-10.4-01

DEL ID	M&E DELIVERABLE NAME	M&E DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<div>5. A list of outstanding actions for the Consortium to resolve for the Contractor to complete the Agreement closeout.</div> <div>6. A list of all outstanding Tasks and Work required per the approved M&E Work Schedule.</div> <div>7. A timeline (schedule) for completing Agreement Closeout activities.</div> <div>8. Any other items deemed relevant to the clarification of expectations for Contractor closeout.</div>				
ME-D21	M&E Final Project Closeout Report	<div>The M&E Final Project Closeout Report will include:</div> <div>1. Executive Summary: Scope, Schedule, Budget: Plan vs. Actuals</div> <div>2. Summaries by SOW Task Area: Management, System Change Request, Support Services, Application / Architecture Evolution, Innovation Services, Production Operations, Technology Recovery, and Security.</div> <div>3. Key Best Practices and Lessons Learned.</div> <div>4. Administrative Closure</div> <div>5. Agreement Closure</div>	New	One time submission	As specified in the M&E Transition-Out Work Schedule	ME-10.4-03

1.3 ATTACHMENT 2 – M&E SERVICE LEVEL AGREEMENTS

Table 15 - M&E Daily Prime Business Hours Availability

M&E Performance Requirement #1 – Daily Prime Business Hours Availability	
PERFORMANCE REQUIREMENT	CalSAWS shall be available ninety-nine percent (99%) of the time during Daily Prime Business Hours, as defined in the Agreement, each Day.
LIQUIDATED DAMAGES	\$20,000.00 Per Day
PERFORMANCE MEASURES	<p>The percentage of availability shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> ▪ Availability % = 100 X ([A – B] / A) ▪ A = the measurement period which is Daily Prime Business Hours for a Day expressed in minutes ▪ B = the number of the minutes in the measurement period that the CalSAWS is not available.

Table 16 - M&E Monthly Prime Business Hours Availability, Non-Production Environment

M&E Performance Requirement #2- Monthly Prime Business Hours Availability, Non-Production Environments	
PERFORMANCE REQUIREMENT	All non-production environments, specifically System Test and UAT, shall be available ninety-nine percent (99%) of the time during each calendar month.
	Any planned downtime for System Test and UAT would require approval from the Technical and Operations Director (or designee).
	Change Requests for non-production Services outside the Project Hours will receive appropriate notice and be scheduled at appropriate times based on the impact of the change and the impact of delaying the change.
LIQUIDATED DAMAGES	\$20,000.00 Per Day
PERFORMANCE MEASURES	<p>The percentage of availability shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> ▪ Availability % = 100 X [(A– B) / A] ▪ A = the measurement period which is Daily Prime Business 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

M&E Performance Requirement #2- Monthly Prime Business Hours Availability, Non-Production Environments

not available for the same five [5] minutes, then that time period would count as five [5] minutes).

Table 17 - M&E Monthly Off-Prime Business Hours Availability

M&E Performance Requirement 3 - Monthly Off Prime Business Hours Availability

PERFORMANCE REQUIREMENT	CalSAWS shall be available ninety-nine percent (99%) of the time during Off Prime Business Hours, as defined in the Agreement, each calendar month.
LIQUIDATED DAMAGES	\$1,000.00 Per Day
PERFORMANCE MEASURES	<p>The percentage of availability shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> Availability % = $100 \times ([A - B] / A)$ A = the measurement period which is Off Prime Business Hours for each Day in the calendar month expressed in minutes B = the number of the minutes in the measurement period that the CalSAWS Production environment, is not available (e.g., simulation or e-Learning functions may be supported from an environment other than Production).

Table 18 - M&E Monthly Deficiency Notification Response Time

M&E Performance Requirement # 4 - 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 CalSAWS, ninety-nine-point five percent (99.5%) of the time each calendar month.
LIQUIDATED DAMAGES	\$1,000.00 Per Month
PERFORMANCE MEASURES	<p>The Monthly Deficiency Notification Response Time percentage shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> Monthly Deficiency Notification Response Time % = $100 \times ([A - B] / A)$ A = the number of Non-Cosmetic High Priority Deficiencies discovered in the calendar month

M&E Performance Requirement # 4 - Monthly Deficiency Notification Response Time	
	<ul style="list-style-type: none"> 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 19 – M&E Monthly Service Desk Diagnosis Time, Tier 3

M&E Performance Requirement #5 – Monthly Service Desk Diagnosis Time, Tier 3	
PERFORMANCE REQUIREMENT	<p>Monthly Service Desk Diagnosis Time for Tier 3 shall be within one of the time periods below, ninety-eight percent (98%) of the time each calendar month:</p> <ul style="list-style-type: none"> 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	\$10,000.00 Per Month
PERFORMANCE MEASURES	<ul style="list-style-type: none"> Contractor will diagnose helpdesk 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 CalSAWS 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 CalSAWS Business Day, excluding Saturdays.

Table 20 – M&E Daily Prime Business Hours ED/BC Response Time

M&E Performance Requirement #6 – Daily Prime Business Hours ED/BC Response Time	
PERFORMANCE REQUIREMENT	CalSAWS shall have a response time for ninety-eight percent (98%) of ED/BC transactions of three (3) seconds or less during Daily Prime Business Hours, as defined in the Agreement, each Day.
LIQUIDATED DAMAGES	\$20,000.00 Per Day

M&E Performance Requirement #6 – Daily Prime Business Hours ED/BC Response Time

PERFORMANCE MEASURES	<p>The response time shall be determined by transactional methodology. Each ED/BC transaction shall be up to four (4) months of eligibility calculations, and each additional four (4) months (or less than four (4) months for the final transaction) of eligibility calculations shall be a separate ED/BC transaction.</p> <p>The Transaction Response Time percentage shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> ▪ Transaction Response Time % = $100 \times ([A - B] / A)$ ▪ A = the number of actual transactions in the Transaction. ▪ B = the number of transactions that exceeded three (3) seconds (e.g., an eleven (11) month ED/BC eligibility calculation would count as three (3) ED/BC transactions).
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Table 21 – Daily Off Prime Business Hours ED/BC Response Time

M&E Performance Requirement #7 – Daily Off Prime Business Hours ED/BC Response Time

PERFORMANCE REQUIREMENT	<p>CalSAWS shall have a response time for ninety-five percent (95%) of ED/BC transactions of five (5) seconds or less during Off Prime Business Hours, as defined in Section 2.74 of the M&E Agreement.</p>
LIQUIDATED DAMAGES	<p>\$1,000.00 Per Day</p>
PERFORMANCE MEASURES	<p>The response time shall be determined by transactional methodology. Each ED/BC transaction shall be up to four (4) months of eligibility calculations, and each additional four (4) months (or less than four (4) months for the final transaction) of eligibility calculations shall be a separate ED/BC transaction.</p> <p>The Transaction Response Time percentage shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> • Transaction Response Time % = $100 \times ([A - B] / A)$ • A = the number of actual transactions in the Transaction. <p>B = the number of transactions that exceeded five (5) seconds (e.g., an eleven (11) month ED/BC eligibility calculation would count as three (3) ED/BC transactions).</p>

Table 22 – M&E Daily Prime Business Hours Screen to Screen Navigation Response Time

M&E Performance Requirement #8 – Daily Prime Business Hours Screen to Screen Navigation Response Time	
PERFORMANCE REQUIREMENT	CalSAWS shall have a response time for ninety-nine percent (99%) of screen-to-screen navigation transactions of two (2) seconds or less during Daily Prime Business Hours, as defined the Agreement, each Day.
LIQUIDATED DAMAGES	\$20,000.00 Per Day
PERFORMANCE MEASURES	<p>The response time shall be determined by the transactional methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> Transaction Response Time % = $100 \times ((A - B) / A)$ 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 233 – Daily Off Prime Business Hours Screen to Screen Navigation Response Time

M&E Performance Requirement #9 – Daily Prime Business Hours Screen to Screen Navigation Response Time	
PERFORMANCE REQUIREMENT	CalSAWS shall have a response time for ninety-five percent (95%) of screen-to-screen navigation transactions of three (3) seconds or less during Off Prime Business Hours as defined in Section 2.74 of the M&E Agreement.
LIQUIDATED DAMAGES	\$1,000.00 Per Day
PERFORMANCE MEASURES	<p>The response time shall be determined by the transactional methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> Transaction Response Time % = $100 \times ((A - B) / A)$ 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 24 - M&E Daily Unbounded Search Response Time

M&E Performance Requirement #10 Daily Unbounded Search Response Time	
PERFORMANCE REQUIREMENT	CalSAWS shall have a response time for ninety-five 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	\$1,000.00 Per Day
PERFORMANCE MEASURES	<p>The Transaction Response Time percentage shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> Transaction Response Time % = $100 \times ([A - B] / A)$ 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 his last name).

Table 25 - M&E Daily Prime Business Hours Standard Report Response Time

M&E Performance Requirement #11 Daily Prime Business Hours Standard Report Response Time	
PERFORMANCE REQUIREMENT	CalSAWS shall have a response time for ninety-eight percent (98%) of standard report transactions of ten (10) seconds or less during Daily Prime Business Hours, as defined in the Agreement, each Day.
LIQUIDATED DAMAGES	\$1,000.00 Per Day
PERFORMANCE MEASURES	<p>The response time percentage shall be determined by transactional methodology.</p> <ul style="list-style-type: none"> The Transaction Response Time percentage shall be determined in accordance with the following formula: Transaction Response Time % = $100 \times ([A - B] / A)$ A = the number of transactions B = the number of transactions that exceeded ten (10) seconds.

Table 266 - M&E Daily Batch Production Jobs Completion

M&E Performance Requirement #12 – Daily Batch Production Jobs Completion	
PERFORMANCE REQUIREMENT	CalSAWS shall have ninety-nine percent (99%) of the daily core Batch Production Jobs completed by 6:00 a.m., Pacific Time, the next business

M&E Performance Requirement #12 – Daily Batch Production Jobs Completion	
	Day. Batch Production Jobs that do not complete due to files not being returned by interface partners are excluded from this calculation.
LIQUIDATED DAMAGES	\$20,000.00 Per Day
PERFORMANCE MEASURES	<p>The daily core Batch Production Jobs completion percentage shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> ▪ Daily core Batch Production Jobs Completion % = $100 \times ([A - B] / A)$ ▪ A = the number of normal daily core Batch Production Jobs scheduled ▪ B = the number of normal daily core Batch Production Jobs that failed to successfully complete on time.

Table 27 - M&E Disaster Recovery Response Time

M&E Performance Requirement #13 Disaster Recovery Response Time	
PERFORMANCE REQUIREMENT	In the event a disaster is declared in the primary cloud Services region, a failover of CalSAWS will be completed within 24 hours to the pre-defined alternate region.
LIQUIDATED DAMAGES	\$10,000.00 Per Incident
PERFORMANCE MEASURES	24-hour time period begins with CalSAWS Executive Director declaring a disaster.

Table 28 - M&E Failure to Complete Access Control Audits

M&E Performance Requirement #14 Failure to Complete Access Control Audits	
PERFORMANCE REQUIREMENT	Contractor shall complete access control audits in each calendar quarter, in accordance with the CalSAWS Access Control Policy.
LIQUIDATED DAMAGES	\$10,000.00
PERFORMANCE MEASURES	<p>Penalty assessed for each failure to complete within the quarter.</p> <ul style="list-style-type: none"> ▪ Per occurrence of failure penalty ▪ Reporting quarterly by the 15th of the following month.

Table 29 - Security Information and Event Management System Update

M&E Performance Requirement #15 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 CalSAWS Audit and Accountability Policy.
LIQUIDATED DAMAGES PER DAY	\$20,000.00 Per Day
PERFORMANCE MEASURES	<p>The percentage of availability shall be determined in accordance with the following formula:</p> <ul style="list-style-type: none"> - Availability % = $100 \times ([A - B] / A)$ - A = minutes the measurement period - B = the number of the minutes in the measurement period that the SIEM is not available.

Table 30 - M&E Completion of Root Cause Analyses

M&E Performance Requirement #16 Completion of Root Cause Analyses	
PERFORMANCE REQUIREMENT	Contractor shall complete root cause analyses within 14 calendar days of the incident creation date of a critical operation incident resulting in system operational impact.
LIQUIDATED DAMAGES	\$10,000.00 Per Incident
PERFORMANCE MEASURES	<p>The percentage of root cause analyses provided within 14 calendar days of the incident creation date of a critical operation incident resulting in system operational impact.</p> <ul style="list-style-type: none"> Percentage of RCAs within 14 calendar days = RCAs within 14 days / Total RCAs completed

Table 31 - M&E Privileged Access Audits

M&E Performance Requirement #17 Privileged Access Audits	
PERFORMANCE REQUIREMENT	Contractor shall complete quarterly privileged access audits for all privileged access to the system as stated in the CalSAWS Privileged Access Policy.
LIQUIDATED DAMAGES	\$10,000.00 Per Incident
PERFORMANCE MEASURES	The number of failures to complete scheduled privileged access audit within a quarter.

M&E Performance Requirement #17 Privileged Access Audits

- Per instance of failure to complete a quarterly privileged access audit.
- Reported quarterly on the 15th of the following month.

Table 30 - M&E Application Security Scans

M&E Performance Requirement #18 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	\$10,000.00 Monthly
PERFORMANCE MEASURES	<p>The number of failures to complete application security scans per major release.</p> <ul style="list-style-type: none"> ▪ Per instance of failure to complete application security scans per major release. ▪ Completed within (2) two weeks of every major release.

Table 31 - M&E Security Incident Notification

M&E Performance Requirement #19 Security Incident Notification

PERFORMANCE REQUIREMENT	<ul style="list-style-type: none"> ▪ 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 CalSAWS. ▪ 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	\$20,000.00 Per Incident
PERFORMANCE MEASURES	<ul style="list-style-type: none"> ▪ 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 32 - M&E Security Incident Reporting

M&E Performance Requirement #20 Security Incident Reporting	
PERFORMANCE REQUIREMENT	<ul style="list-style-type: none"> 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 CalSAWS to organizational operations, organizational assets, or individuals and which does not result in a failure of Contractor to comply with CalSAWS 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 CalSAWS to organizational operations, organizational assets, or individuals and which may result in a failure of Contractor to comply with the CalSAWS 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	\$5,000.00 Per Incident Per Hour
PERFORMANCE MEASURES	<ul style="list-style-type: none"> 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 33 - M&E Security Incident Negligence

M&E Performance Requirement #21 Security Incident Negligence	
PERFORMANCE REQUIREMENT	If due to a security incident, including any breach, any attack, or the introduction of any Disabling Device, CalSAWS is unable to operate safely

M&E Performance Requirement #21 Security Incident Negligence	
	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 CalSAWS is unable to operate safely, as determined by Consortium Executive Director.
LIQUIDATED DAMAGES	\$20,000.00 Per Hour
PERFORMANCE MEASURES	Hourly calculations begin from onset of the security incident.