



Quality Assurance (QA) Services RFP #01-2025

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Owner

CalSAWS Procurement Team

DATE

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Table of Contents

1	INTRODUCTION	8
1.1	Purpose	8
1.2	Contract Term	8
1.3	Eligible Contractors.....	8
1.4	Minimum Bidder Requirements.....	9
1.5	Average Annual Budget	9
1.6	Location of Work.....	9
1.7	Project Hardware, Software and Office Equipment.....	10
1.8	QA RFP/Proposal Contact	10
1.9	Procurement Library	10
1.10	Assistance to Bidders with a Disability	11
1.11	Procurement Timeline.....	11
1.12	Bidder's Conference	12
1.13	Questions Regarding the RFP.....	12
1.14	Proposal Submission SharePoint Site.....	13
1.15	Procurement Authority	13
2	SAWS BACKGROUND AND OVERVIEW	14
2.1	Statewide Automated Welfare System.....	14
2.2	California's Single System Strategy.....	15
2.3	CalSAWS Migration	15
2.4	BenefitsCal Portal.....	16
2.5	CalSAWS Governance	16
2.5.1	CalSAWS Collaboration Model Overview	20
2.6	CalSAWS Organization	20
2.6.1	Consortium Roles and Responsibilities	22
2.6.2	CalSAWS/BenefitsCal Contractor M&O Roles and Responsibilities.....	24
2.6.3	Quality Assurance Roles and Responsibilities.....	29
3	CURRENT SYSTEM DESCRIPTION	32
3.1	CalSAWS System	32
3.1.1	CalSAWS Systems Overview	33
3.2	BenefitsCal Portal Overview	35
3.2.1	BenefitsCal Portal Architecture Overview.....	36
3.3	Security	37
3.4	CalSAWS Maintenance and Operations Processes.....	38
3.4.1	Collaboration Model.....	38
3.4.2	User-Centered Design.....	41

3.4.3	System Change Request Process	42
3.4.4	Release Management.....	43
3.5	CalSAWS Service Desk Models	44
3.5.1	Central Service Desk Model	44
3.5.2	BenefitsCal Technical Service Desk	45
3.6	Technical Change Management Process	46
3.6.1	Integrated Environments Management.....	48
3.6.2	Security and Architecture Review	48
3.6.3	FinOps Management.....	48
3.6.4	Operations Tech CAB Review	49
4	VISION FOR QA SERVICES	50
4.1	QA Services Procurement Objectives.....	50
4.2	Procurement Scope	50
4.3	Vision.....	50
4.3.1	Integrated CalSAWS Organization	51
4.3.2	Application Change Process/Software Development Process	52
4.3.3	Enhance Communication and Outreach	53
4.3.4	Application/Architecture Evolution and Innovation	54
4.3.5	Evolve Application and Infrastructure Security.....	55
5	BIDDER REQUIREMENTS	56
5.1	General.....	56
5.2	QA Services Requirements.....	56
5.2.1	Firm Qualifications.....	56
5.2.1.1	Firm Mandatory Qualifications.....	57
5.2.1.2	Firm References.....	57
5.2.1.3	Firm Financial Qualifications	57
5.2.2	Staffing	58
5.2.2.1	Staffing Approach	58
5.2.2.2	Key Staff.....	60
5.2.3	Understanding and Approach	60
5.2.3.1	Understanding and Approach to Quality Assurance Staffing ..	61
5.2.3.2	Understanding and Approach to Quality Assurance Services – Integrated Multi-Contractor Environment.....	61
5.2.3.3	Understanding and Approach to Quality Assurance Services – Software Development Lifecycle	62
5.2.3.4	Understanding and Approach to Independent Test.....	63
5.2.4	Requirements Matrix	63
5.3	Price Requirements.....	63
5.3.1	General	63
5.3.2	QA Services Price Proposal Schedules	64
6	PROPOSAL STRUCTURE AND SUBMISSION.....	65

6.1	General.....	65
6.2	Proposal Submission.....	65
6.3	Proposal Format and Organization	66
6.3.1	Proposal Format	66
6.3.2	Proposal Organization	66
6.3.2.1	File Structure and File Name Conventions.....	68
6.3.3	Volume 1 – Business Proposal	69
6.3.3.1	Transmittal Letter	69
6.3.3.2	Table of Contents	70
6.3.3.3	Section 1 – Executive Summary	70
6.3.3.4	Section 2 – Firm Qualifications	70
6.3.3.5	Section 3 – Staffing Approach.....	71
6.3.3.6	Section 4 – Understanding and Approach to QA Services	72
6.3.3.7	Section 5 – Business Proposal Attachments	72
6.3.4	Volume 2 – Price Proposal	73
6.3.4.1	QA Services Price Summary (Schedule 1)	73
6.3.4.2	Deliverables (Schedule 2)	73
6.3.4.3	Transition-In Staff Loading: December 2026 - January 2027 (Schedule 3)	74
6.3.4.4	QA Services Price: February 2027 - January 2033 (Schedule 4)	74
6.3.4.5	Staff Loading: February 2027 - January 2033 (Schedule 5)	74
6.3.4.6	Optional Extension Years 1 - 4 (Schedules 6.1 - 6.4)	74
6.3.4.7	Hourly Rate Card (Schedule 7)	75
6.3.4.8	Change Order Rate Card (Schedule 8)	75
6.3.4.9	Other (Schedule 9)	75
6.3.5	Volume 3A and Volume 3B – Confidential or Proprietary Portions Redacted Proposals – Optional.....	75
7	PROPOSAL CONDITIONS AND CERTIFICATIONS	76
7.1	Authorized Signatures.....	76
7.2	Term of Offer	76
7.3	Required Review	76
7.4	Incurred Costs	76
7.5	Amendments/Addenda to RFP.....	76
7.6	Best Value Evaluation.....	76
7.7	Right of Rejection.....	77
7.8	Public Records Act	77
7.9	Debarment and Suspension	78
7.10	Subcontractors.....	78
7.11	Final Authority.....	78
8	EVALUATION	79
8.1	General.....	79
8.2	Evaluation Organization.....	79

8.3	Proposal Evaluation Methodology	80
8.3.1	Evaluation Methodology	81
8.4	Administrative Compliance Review and Firm Qualifications Evaluation	81
8.4.1	Administrative Compliance Review	82
8.4.1.1	Receipt of Proposals	82
8.4.1.2	Compliance Review	82
8.4.2	Firm Qualifications	82
8.4.3	Cure Process and Period	82
8.4.4	Completion of the Administrative Compliance and Firm Qualifications Phase	83
8.5	Business Proposal Evaluation	83
8.5.1	Business Proposal Evaluation Criteria	83
8.5.1.1	Firm Qualifications Client References	84
8.5.1.2	Staffing	84
8.5.1.3	Understanding and Approach	85
8.6	Price Proposal Evaluation	85
8.7	Evaluation of Final Proposals	86
8.7.1	Best and Final Offer	86
8.7.2	Final Proposal Scoring	86
8.8	Final Authority	87
9	NOTICE OF INTENT TO AWARD AND NEGOTIATIONS	88
9.1	Notice of Intent to Award	88
9.1.1	Confirmation of Information Prior to Issuance of NOIA	88
9.1.2	Posting of Information Upon Issuance of NOIA	88
9.2	Contract Negotiations	88
9.3	Appeals	89
9.3.1	Introduction	89
9.3.2	Grounds for Appeal	89
9.3.3	Initiating an Appeal	89
9.3.4	Appeal Review Panel and Its Responsibilities	90
9.3.5	Appeal Procedures	90
9.3.5.1	Requests for Additional Documentation	90
9.3.5.2	Submission of Issue(s) Statement	91
9.3.6	Submission of Briefs and Documentary Evidence	91
9.3.6.1	Summary Dismissal of Appeal	91
9.3.6.2	Hearing	92
9.3.6.3	Appeal Review Panel Decision	92
9.3.6.4	Summary of Appeal Schedule	92
10	AGREEMENT WITH SUCCESSFUL BIDDER	94
11	QA SERVICES ATTACHMENTS	95
11.1	Attachment 1 – Statement of Work	95

Table 12: QA Services Firm Financial Qualifications.....	58
Table 13: Staffing Approach.....	58
Table 14: Understanding and Approach to Quality Assurance Staffing.....	61
Table 15: Understanding and Approach to Quality Assurance Services – Integrated Multi-Contractor Environment.....	61
Table 16: Understanding and Approach to Quality Assurance Services – Software Development Lifecycle	62
Table 17: Understanding and Approach to Independent Test	63
Table 18: QA Services Proposal Submission	66
Table 19: QA Services Proposal Volumes Contents	66
Table 20: Evaluation Methodology	81
Table 21: Example QA Services Total Prices	86
Table 22: Example QA Services Contractor Price Proposal Scoring.....	86
Table 23: Summary of Appeal Schedule	92
Table 24: Consortium QA Services Responsibilities.....	95
Table 25: QA Project Manager Mandatory Qualifications.....	100
Table 26: QA Test Manager Mandatory Qualifications	101
Table 27: QA Functional Manager Mandatory Qualifications.....	102
Table 28: QA Technical Manager Mandatory Qualifications	103
Table 29: Deliverable Inventory	110
Table 30: Bidder Response Form.....	115
Table 31: Agreement Exceptions Form	118
Table 32: Firm Reference Form	121
Table 33: Key Staff Reference Form	126
Table 34: Attestation Form	131

TABLE OF FIGURES

Figure 1: The CalSAWS Journey	16
Figure 2: CalSAWS Governance Model.....	18
Figure 3: CalSAWS Governance Structure.....	19
Figure 4: CalSAWS Multi-Contractor Organization.....	21
Figure 5: ClearBest QA Services Team	31
Figure 6: CalSAWS Systems Overview	33
Figure 7: CalSAWS Business Architecture	34
Figure 8: BenefitsCal Architecture	36
Figure 9: Current Collaboration Process	38
Figure 10: Initiative Lifecycle for Public Facing Changes	40
Figure 11: User-Centered Design Process	41
Figure 12: SCR Lifecycle Process.....	42
Figure 13: SCR Process, CalSAWS Policy Implementation Timeline.....	43
Figure 14: Technical Change Management Process Workflow.....	47
Figure 15: Evaluation Team Structure and Process	80

Quality Assurance Services RFP #01-2025

1 INTRODUCTION

1.1 Purpose

The California Statewide Automated Welfare System (CalSAWS) Consortium, acting for the benefit of the 58 California Counties, requests Proposals from qualified contractors to perform Quality Assurance (QA) Services for the existing CalSAWS and BenefitsCal systems. The purpose of this procurement, and scope of this RFP, is to acquire a Contractor to transition the existing QA Services and provide ongoing QA Services for CalSAWS Maintenance and Operations (M&O) and BenefitsCal M&O.

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

1.2 Contract Term

The base contract term includes a two-month Transition-In period, plus six years for a total base term of six years and two months. The QA Agreement may be extended for up to four additional years in one-year increments at the discretion of the Consortium. The total contract term, if all extensions are exercised, would be ten years and two months. The base contract period is projected to begin December 1, 2026 and conclude January 31, 2033.

1.3 Eligible Contractors

The Contractor and its subcontractors must be free from conflicts resulting from different responsibilities for the Consortium. Without in any way limiting the generality of the foregoing statement, a conflict resulting from different responsibilities to the Consortium would include but would not be limited to a Contractor's involvement in other aspects of the CalSAWS Project that would prevent the Contractor from devoting the resources necessary to complete all Deliverables and Services required.

As further clarification regarding potential conflicts of interest, the Consortium will not disqualify any Bidder from submitting a Proposal in response to this Procurement notwithstanding the fact that the Bidder is involved in other Work relating to the CalSAWS System involving quality assurance, including but not limited to, Independent Verification and Validation activities on behalf of the State of California or other planning and oversight activities as those services relate to the CalSAWS System. In the event, however, that such a Bidder is identified as the successful Bidder on this Procurement, the Bidder will be required to cease and desist from all such Work as it

relates to the CalSAWS System as a condition for entering into the Contract to be awarded in this Procurement.

In addition, no Consortium employee, member of the Procurement Team, or Evaluator will participate in, aid, or abet the preparation of a proposal submitted in response to this RFP.

1.4 Minimum Bidder Requirements

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

1.5 Average Annual Budget

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

Table 1: CalSAWS QA Average Annual Cost

CalSAWS M&O QA Key Tasks	Annual Hours	Annual Fixed Price Deliverables
Project Management	2,548	\$392,392
PMO Support	4,816	\$535,259
Functional SCR Review & Analysis	2,573	\$328,272
Independent Test Management, Planning, Execution & Reporting	11,903	\$1,453,845
Technical Assessments and Monitoring	7,018	\$974,177
Total	28,858	\$3,683,945

In addition to the existing expenditures over the duration of the base contract term, the Consortium has established an allowance for potential changes to the Agreement, which are contemplated, but not yet defined. The QA Agreement will include approximately \$3.5M annually during the base contract term for this purpose.

1.6 Location of Work

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

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

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

- CalSAWS North: 11971 Foundation Place, 3rd Floor, Gold River, California 95670
- CalSAWS South: Exact Address To Be Determined, Norwalk, California

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

After the completion of the Transition-In period, the Consortium may change the location of one, or both, of the Project sites. There will continue to be a Project site in both the greater Sacramento area and the greater Los Angeles area.

1.7 Project Hardware, Software and Office Equipment

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

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

The Contractor must perform CalSAWS Work using CalSAWS approved software, such as email and Teams, in alignment with the CalSAWS policies.

1.8 QA RFP/Proposal Contact

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

CalSAWS Procurement Team
ProcurementTeam@CalSAWS.org
Subject: QA Services RFP #01-2025

1.9 Procurement Library

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

- CalSAWS Website – [CalSAWS Procurement Listings](#)
- SharePoint – [CalSAWS QA Services RFP 01-2025 Library](#)

1.10 Assistance to Bidders with a Disability

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

1.11 Procurement Timeline

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

Table 2: QA Services Procurement Timeline

	M&O PROCUREMENT EVENT	DUE DATE
1.	Release of RFP	08/11/25
2.	Conduct Bidder's Conference	08/14/25
3.	Bidder Question Period	08/12/25 - 09/02/25
4.	Consortium Releases Responses on a Flow Basis	08/19/25 - 09/09/25
5.	Consortium Releases Final Q&A and Addendum	09/16/25
6.	Bidders Request Proposal Response SharePoint Folder from OTSI	09/18/25
7.	Proposal Due Date	10/20/25
8.	Evaluate Administrative Compliance and Firm Qualifications	10/21/25 - 11/14/25
9.	Evaluate Business Proposals	11/18/25 - 03/10/26
10.	Conduct Oral Presentations and Key Staff Interviews	03/02/26 - 03/05/26
11.	Evaluate Price Proposals	03/11/26 - 03/26/26
12.	Contract Exceptions Discussions	04/01/26 - 04/02/26
13.	Conduct Confidential Vendor Discussions	04/15/26 - 04/16/26
14.	Issue Instructions for Best and Final Offers (BAFOs)	04/21/26

	M&O PROCUREMENT EVENT	DUE DATE
15.	BAFO Due Date	05/06/26
16.	Evaluate BAFO Business and Price Proposals	05/07/26 - 05/26/26
17.	Prepare Vendor Selection Report (VSR) and Secure Approvals	06/03/26 - 07/08/26
18.	Issue Notice of Intent to Award and VSR	07/09/26
19.	Agreement Negotiation Period	07/13/26 - 07/21/26
20.	State, Federal and Consortium JPA Board of Directors Contract Approvals of Agreement	07/24/26 - 11/20/26
21.	Tentative Contract Start Date	12/1/26
22.	Transition-In Period	12/1/26 - 01/29/27

1.12 Bidder's Conference

The Consortium will conduct a Bidder's Conference on Thursday, August 14, 2025, from 9:00 - 10:00 A.M., to be held remotely.

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

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

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

1.13 Questions Regarding the RFP

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

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

1.14 Proposal Submission SharePoint Site

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

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

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

1.15 Procurement Authority

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

2 SAWS BACKGROUND AND OVERVIEW

California, its Counties, and stakeholders have a long partnership and commitment to excellence in service delivery for its health and human services programs. This partnership is built on effective communication, transparency and a shared vision of service to millions of low-income and vulnerable Californians.

This section provides an overview of the State of California SAWS Background, CalSAWS Governance and the current CalSAWS Organization including the QA Team.

2.1 Statewide Automated Welfare System

The Statewide Automated Welfare System (SAWS) of California is comprised of the case management systems that support the delivery of services to applicants and beneficiaries of public assistance programs, including:

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

A California SAWS System automates the program enrollment, eligibility determination, benefits calculation, benefits distribution, correspondences, reporting, and other case management functions.

California had three (3) SAWS Systems – LEADER Replacement System (LRS), Consortium IV (C-IV) and CalWORKs Information Network (CalWIN) – designed to support the administration of human services and employment programs across 58 Counties and to provide users (i.e., the member Counties) with the ability to verify public assistance eligibility, compute benefits, distribute benefits, reduce administrative complexity, collect Data and management information, and provide accurate, timely and useful management and fiscal reports. At one point in time, the Counties were responsible for initiating and authorizing transactions in one of the SAWS Systems. Recording of the Data was performed by the respective SAWS System based upon the Data entered by the Counties. The SAWS System handled the processing of that information, including processing to generate reports. Reporting from the SAWS System was provided to the member Counties in the form of State-required reports and supporting detailed reports. Authorized member County users obtain reports generated by the SAWS System on demand via the reporting subsystem. Validation and submission of reports to the State for funding reimbursement were the responsibility of the member Counties.

2.2 California's Single System Strategy

In 2018, the Centers for Medicare and Medicaid Services (CMS) and the United States Department of Agriculture (USDA) Food and Nutrition Service (FNS) required that California implement a single statewide system by the end of 2023. Through consolidation of the existing SAWS systems, the Consortium identified the following objectives:

- Enable a consistent client experience across California.
- Consolidate systems for cost efficient operations.
- Scale infrastructure and architecture to allow for an easy expansion and inclusion of all Counties.
- Provide high-performance systems that are highly available with minimal downtimes.
- Secure systems for Data and workloads that comply with required regulations and policies.
- Confirm business continuity.
- Maximize reusability of the technology for future initiatives and business needs.
- Build sustainable business capability.
- Utilize architecture that allows flexibility and adaptability for changing business needs.
- Promote a competitive vendor environment to minimize locking into a specific vendor and enable ability to transition between Contractors.

2.3 CalSAWS Migration

The CalSAWS Migration Project was tasked to migrate all 58 California Counties to the CalSAWS System (CalSAWS) in alignment with State of California legislation and strategy and federal mandate to achieve a single SAWS. The goals for the CalSAWS Migration were:

- Transform the LRS into CalSAWS
- Migrate C-IV and CalWIN Counties to CalSAWS
- Run the CalSAWS in the AWS Cloud
- Migration End State: One System supporting 58 Counties

The execution of California's strategy to implement a single system began with the completion of the LRS Project for the County of Los Angeles. The CalSAWS Migration modified the LRS to support the statewide CalSAWS case management system. By leveraging the application software of the SAWS C-IV System as its code base, the LRS was designed and developed with new code and code revisions for enhanced automation, modularity and configurability using rules engine technology and task management functionality for business process flexibility, as well as an advanced, more scalable technical architecture and platform with Service Oriented Architecture (SOA) design and Enterprise Service Bus (ESB) technology. Such efforts created a strong foundation for SAWS consolidation, scalability and extensibility to support statewide capacity. The advancement in technologies, and respective investments made to the LRS solution, will be leveraged well into the future for unification, expansion, and longevity of applicable technologies through CalSAWS.

The transformation of LRS to CalSAWS was completed and the 39 C-IV Counties were converted to the CalSAWS in a single cutover event in September 2021. The CalWIN Migration DD&I Phase converted the eighteen (18) CalWIN counties in six waves over a 13-month period beginning in October 2022 through October 2023, followed by a 5-month stabilization period from November 2023 through March 2024.

The CalSAWS application is further described in Section 3.1. The following figure illustrates the CalSAWS journey from inception through final migration.

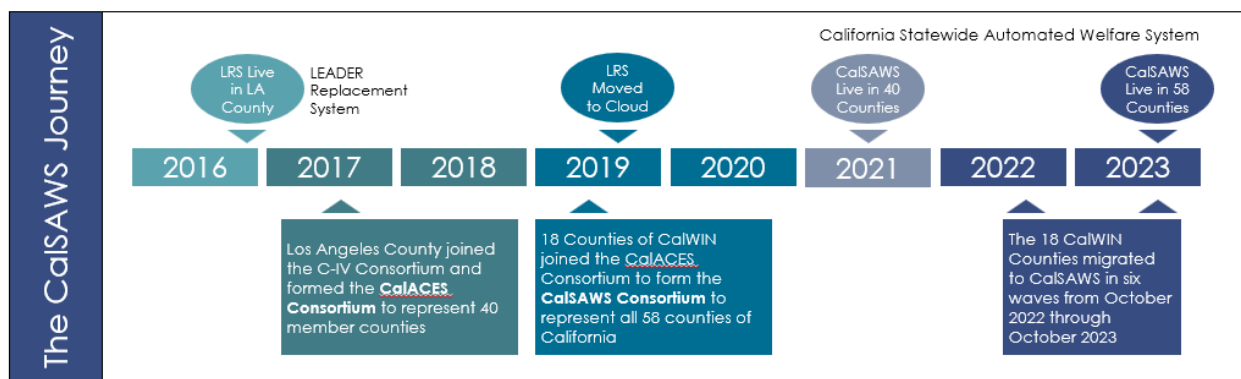


Figure 1: The CalSAWS Journey

2.4 BenefitsCal Portal

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

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

Since the initial release of BenefitsCal in September 2021, new features continue to be added to increase accessibility and engagement between the Counties and individuals needing assistance. The BenefitsCal application is further described in Section 3.2.

2.5 CalSAWS Governance

The formal CalSAWS Joint Powers Authority (JPA) governance structure was established on June 28, 2019. The CalSAWS JPA is comprised of all 58 California Counties represented by each County's Welfare Department Director. The CalSAWS JPA Board of Directors has ultimate responsibility over the CalSAWS Project and System. A separate

CalSAWS Project Steering Committee, made up of County Human Services management resources, monitors the activities of the CalSAWS Executive Director and Project staff. The monthly JPA and PSC meetings are public, and calendars, agendas and briefing materials are published on the CalSAWS website:

<https://www.calsaws.org/>. The CalSAWS JPA constitutes a single legal entity for purposes of managing the CalSAWS Consortium, CalSAWS and BenefitsCal. The JPA also serves as the contracting authority for all procurements.

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

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

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

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

CDSS is responsible for the coordination of standing CalSAWS quarterly Stakeholder meetings with stakeholders and the public to confirm appropriate involvement and representation in applicable CalSAWS and BenefitsCal enhancements. Meeting dates and materials are published on the following CDSS website:

<https://cdss.ca.gov/inforesources/calsawstakeholderengagementworkgroup>.

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

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

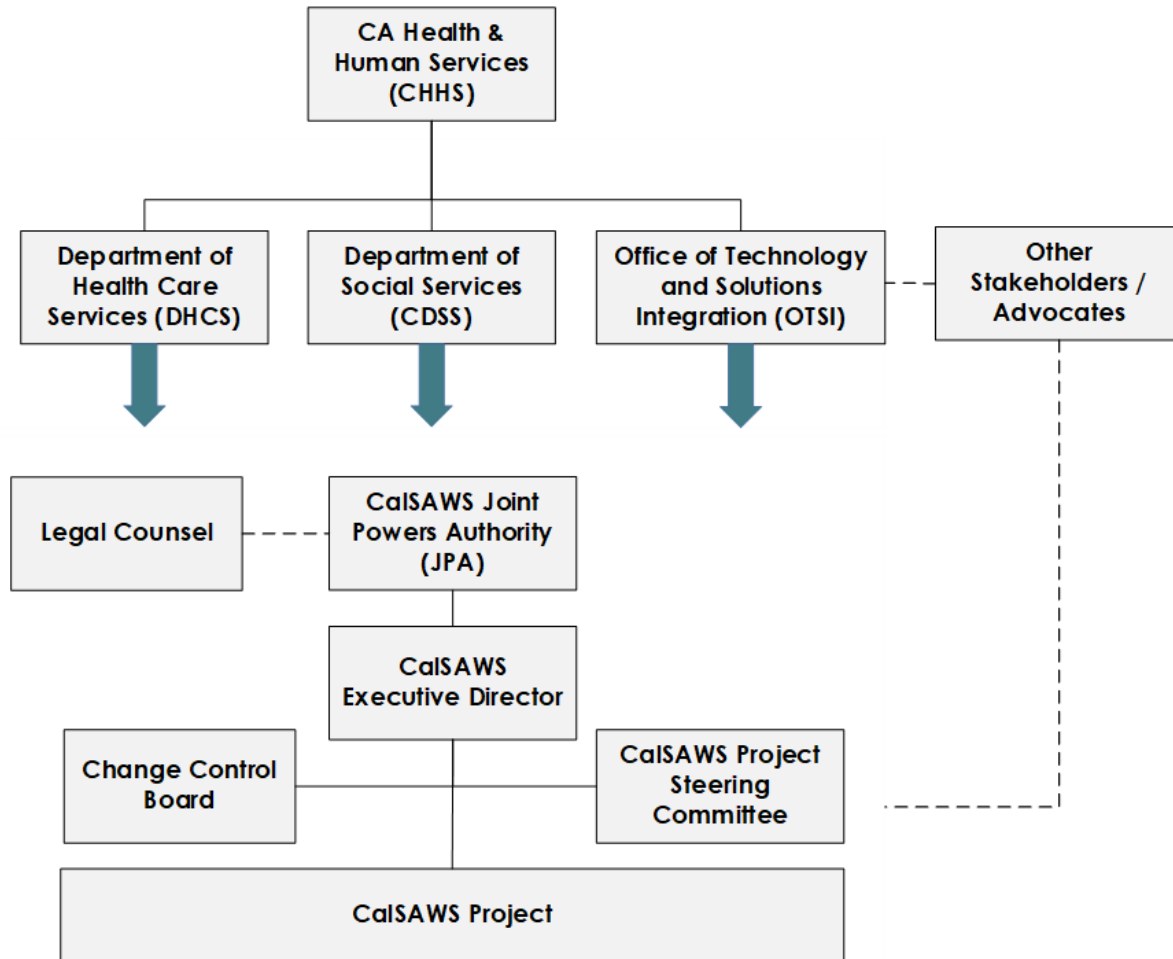


Figure 2: CalSAWS Governance Model

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

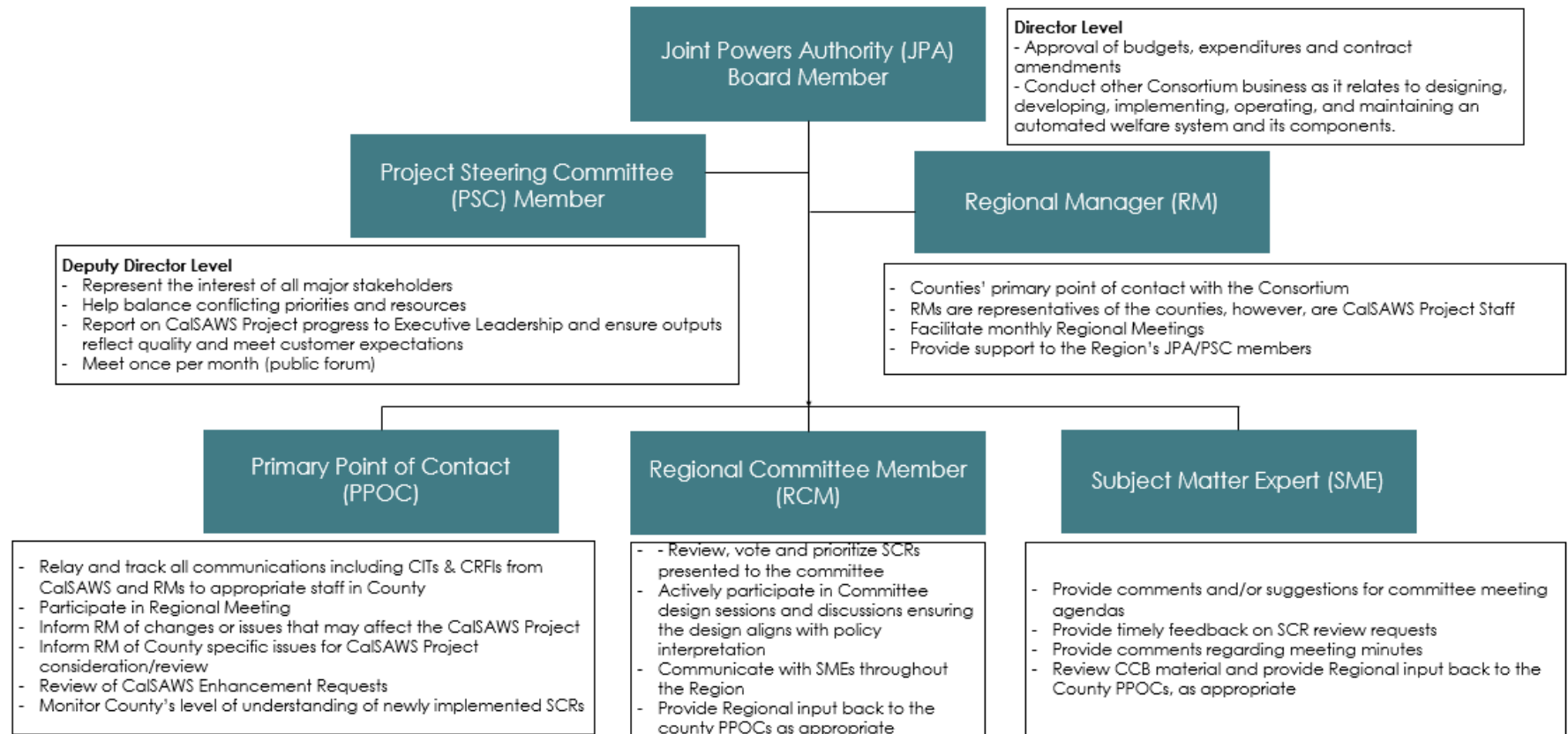


Figure 3: CalSAWS Governance Structure

2.5.1 CalSAWS Collaboration Model Overview

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

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

This is accomplished in the Collaboration Model through prioritizing enhancements to customer facing technology by a representative body made up of various stakeholders.

Please refer to Section 3.4.1 for more details regarding the Collaboration Model.

2.6 CalSAWS Organization

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

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

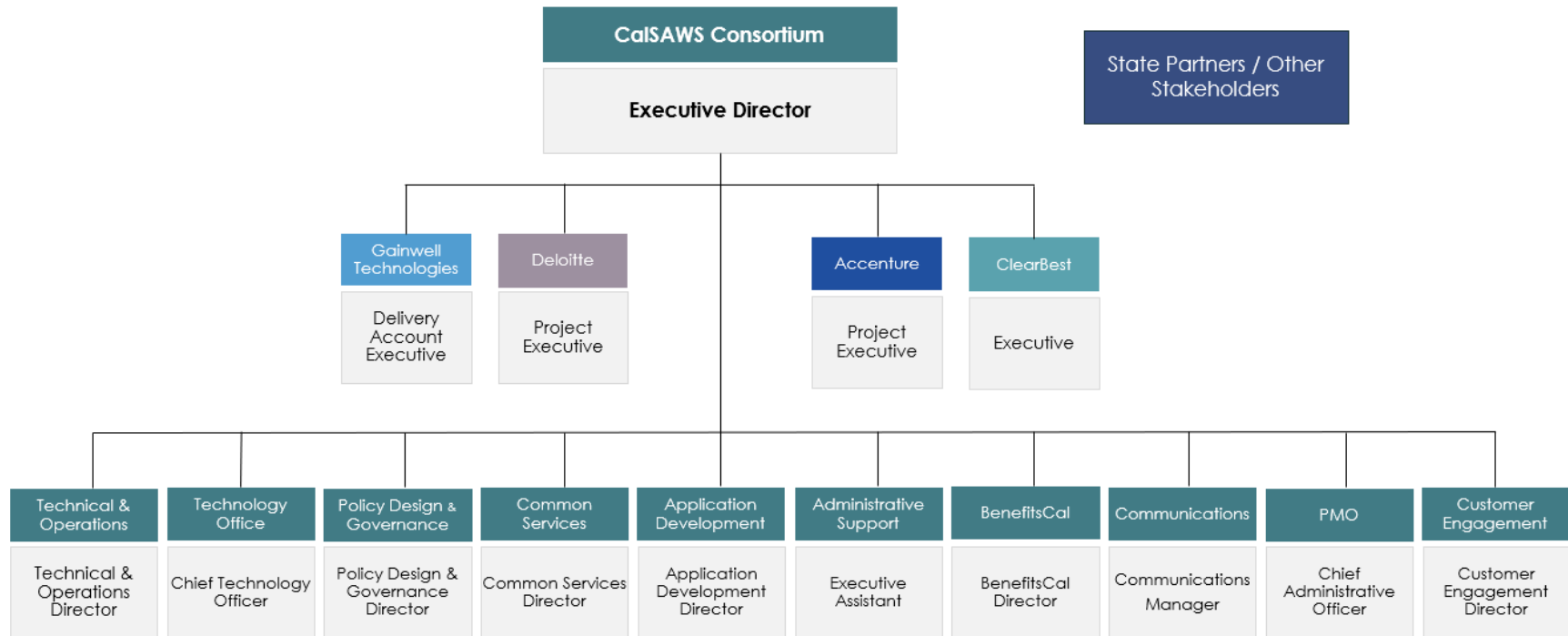


Figure 4: CalSAWS Multi-Contractor Organization

The following subsections describe the Roles and Responsibilities of the Consortium and Contractors in managing the CalSAWS and/or BenefitsCal systems, hereafter referred to as CalSAWS.

2.6.1 Consortium Roles and Responsibilities

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

Table 3: Consortium Roles and Responsibilities

CONSORTIUM M&O SERVICES ROLES AND RESPONSIBILITIES	
Project Management	<ul style="list-style-type: none"> ▪ Work with Contractors to research and resolve deviations and perform issue escalation and resolution ▪ Oversee Contractor Agreements and performance requirement commitments ▪ Oversee CalSAWS and Consortium business coordination ▪ Maintain and enhance CalSAWS Project Sponsor and Stakeholder relationships ▪ Maintain and evolve the Collaboration Model and Charter ▪ Manage expectations and communications for the JPA Board of Directors, Project Steering Committee, and other stakeholders for the CalSAWS Project ▪ Manage planning of Project funding
Change Control Board Process	<ul style="list-style-type: none"> ▪ Co-Facilitate CCB process ▪ Drive CCB priorities
Defect Management	<ul style="list-style-type: none"> ▪ Initiate and provide input into the business impact of defects ▪ Assist with the identification and communication of workarounds
Application Analysis	<ul style="list-style-type: none"> ▪ Create initial CalSAWS application requests ▪ Review and approve application requests and Proposals ▪ Review application Requests

CONSORTIUM M&O SERVICES ROLES AND RESPONSIBILITIES

Testing	<ul style="list-style-type: none"> ▪ Consult and provide expertise to contribute to the Contractor(s) test activities ▪ Conduct functional system testing in collaboration with the Contractor(s) including, Application Programming Interface (API), correspondence, reports, and converted Data system testing ▪ Conduct County Validation Test pre-planning, planning, execution, monitoring and close-out activities ▪ Complete planning activities, develop meeting materials and conduct the Green Light (Go or No-Go) meeting for each Major release
Performance Measurement, Monitoring and Reporting	<ul style="list-style-type: none"> ▪ Review performance requirement reporting and performance requirements compliance
Procurement of Hardware and Software	<ul style="list-style-type: none"> ▪ Provide Consortium Executive Director approval for new/change/removal of hardware and software purchases
Operations Management	<ul style="list-style-type: none"> ▪ Assist with the research and resolution of escalated issues ▪ Assist in the management of escalated defects and the notification of the necessary parties ▪ Review of semi-annual Disaster Recovery test results
Batch Support	<ul style="list-style-type: none"> ▪ Provide oversight of the research, resolution, and end-User management of escalated batch issues, such as batch job failure or exceptions ▪ Monitor escalated batch issues to confirm timely resolution ▪ Review service level reports
Maintenance (Architecture)	<ul style="list-style-type: none"> ▪ Monitor escalated issues to confirm timely resolution ▪ Manage communication and coordination of any impacts on the Consortium ▪ Participate in the Change Advisory Board (CAB) process
Security Management	<ul style="list-style-type: none"> ▪ Establish security policies and standards for the Consortium ▪ Assist with the research, resolution, and escalation of security breaches as necessary ▪ Report security incidents to external entities as necessary

2.6.2 CalSAWS/BenefitsCal Contractor M&O Roles and Responsibilities

There are two primary contractor agreements associated with maintenance and operations for the CalSAWS System: Infrastructure goods and services and Maintenance and Enhancement goods and services. BenefitsCal is managed in accordance with a separate Contractor agreement.

The Gainwell Technologies Project team provides Infrastructure services as defined in the current CalSAWS Infrastructure Agreement and Statement of Work provided in the QA Procurement Library. The Gainwell Project team oversees and performs the following:

Table 4: Infrastructure Roles and Responsibilities

INFRASTRUCTURE ROLES AND RESPONSIBILITIES	
Project Management	<ul style="list-style-type: none">▪ Oversee and perform the maintenance, operations, and enhancements for the CalSAWS infrastructure▪ Manage the Infrastructure Agreement, financials and Work Plan▪ Create and distribute the Infrastructure Project reporting
Change Control Process	<ul style="list-style-type: none">▪ Participate in the Change Advisory Board (CAB), Tech Business Change Request (TBCR) and FinOps processes
Infrastructure Analysis	<ul style="list-style-type: none">▪ Review Infrastructure requests and create estimates and proposals
Testing	<ul style="list-style-type: none">▪ Develop test plans and procedures required to execute testing of infrastructure changes as applicable▪ Conduct performance testing▪ Maintain testing environment infrastructure
Deployment	<ul style="list-style-type: none">▪ Provide software deployment services for the following CalSAWS environments:<ul style="list-style-type: none">• System test• Performance test• User Acceptance test• Production• Training
Performance Measurement Monitoring and Reporting	<ul style="list-style-type: none">▪ Manage and monitor the CalSAWS Infrastructure performance based on contract performance requirements▪ Provide required performance measurement reporting▪ Conduct infrastructure performance tuning activities as necessary to meet performance requirements
Procurement of CalSAWS Hardware and Software	<ul style="list-style-type: none">▪ Manage the procurement process

INFRASTRUCTURE ROLES AND RESPONSIBILITIES	
	<ul style="list-style-type: none"> ▪ Track and maintain the CalSAWS hardware and software inventories ▪ Perform renewal of software licenses and certificates
Operations Management	<ul style="list-style-type: none"> ▪ Provide the CalSAWS Service Desk and BenefitsCal Technical Service Desks ▪ Manage, operate, and monitor the CalSAWS infrastructure, perform backups and restoration as needed, disaster recovery, security and network monitoring, and alerting ▪ Perform operating system and software component patching and upgrades ▪ Manage and perform system database administration
Configuration Management	<ul style="list-style-type: none"> ▪ Maintain configuration database for infrastructure components
Architecture	<ul style="list-style-type: none"> ▪ In coordination with the Consortium, determine the strategic architecture and monitor change against the architectural goals
Network Management	<ul style="list-style-type: none"> ▪ Monitor and maintain the CalSAWS network and connectivity ▪ Coordinate and resolve network issues with telecommunications services providers ▪ Provide timely notification of network issues or outages to impacted stakeholders
Security Management	<ul style="list-style-type: none"> ▪ Implement Consortium policies and standards for security on CalSAWS ▪ Monitor system security for possible intrusions, such as the introduction of a virus or disabling device in CalSAWS and/or environments ▪ Create Disaster Recovery procedures and test ▪ Identify, resolve, notify, and report security incidents based on level of severity
Imaging	<ul style="list-style-type: none"> ▪ Manage the Imaging vendor SaaS ▪ Coordinate requests with Counties ▪ Provide Tier 2 imaging support services

The Deloitte Project team provides M&E services as defined in the current M&E Agreement and Statement of Work provided in the QA Procurement Library. The Deloitte Project team oversees and performs the following:

Table 5: M&E Roles and Responsibilities

M&E SERVICES ROLES AND RESPONSIBILITIES	
Project Management	<ul style="list-style-type: none"> Oversee and perform the maintenance, operations, and enhancements for the core CalSAWS Application Participant in the Collaboration Model and UCD process Manage the Agreement, financials, and Work Schedule Create and distribute the reporting Conduct warranty tracking and remediation
Change Control Board Process	<ul style="list-style-type: none"> Key contributor to the CCB process
Defect Management	<ul style="list-style-type: none"> Conduct triage and defect remediation planning Resolve and implement defect fixes Work with Consortium to identify acceptable workarounds
M&E Analysis	<ul style="list-style-type: none"> Review M&E requests and create M&E estimates and Proposals Provide usage and engagement trends/metrics Key participant in the Innovation and Application evolution processes
M&E Implementation Support	<ul style="list-style-type: none"> Prepare and maintain supporting training materials and on-line trainings Provide change management support
Performance Measurement Monitoring and Reporting	<ul style="list-style-type: none"> Manage and monitor the application performance based on contract performance requirements Provide required Performance Measurement reporting Conduct performance tuning activities as necessary to meet performance requirements
CalSAWS Software	<ul style="list-style-type: none"> Support the installation and configuration of core CalSAWS software and enhancements
Operations Management	<ul style="list-style-type: none"> Manage, operate, and monitor the application, business continuity/disaster recovery, security monitoring, and alerting Perform Software component patching and upgrades Provide CalSAWS Tier 3 support
API Interface Support	<ul style="list-style-type: none"> Manage API operations, monitoring, reporting, and escalation
Configuration Management	<ul style="list-style-type: none"> Maintain traceability of requirements within Project tools
Maintenance	<ul style="list-style-type: none"> Key Contributor to the CAB process

M&E SERVICES ROLES AND RESPONSIBILITIES	
	<ul style="list-style-type: none"> Manage and perform application database and required software enhancements
Network Management	<ul style="list-style-type: none"> Coordinate and resolve connectivity issues with Counties and public facing customers Provide timely notification of connectivity issues or outages to impacted stakeholders
Security Management	<ul style="list-style-type: none"> Implement Consortium policies and standards for security on the application Monitor security for possible intrusions, such as the introduction of a virus or disabling device in the application Create Disaster Recovery procedures and test Identify, resolve, notify, and report security incidents based on level of severity Conduct security assessments of the application, and related security controls

The Deloitte Project team provides BenefitsCal services as defined in the current BenefitsCal SOW. The Deloitte Project team oversees and performs the management, operations, maintenance, and enhancements for the BenefitsCal Application. Upon execution, expected in August or September 2025, the new Accenture BenefitsCal Agreement and Statement of Work will be provided in the QA Procurement Library.

Table 6: BenefitsCal Roles and Responsibilities

BENEFITS-CAL SERVICES ROLES AND RESPONSIBILITIES	
Project Management	<ul style="list-style-type: none"> Oversee and perform the maintenance, operations, and enhancements for the Application Key participant in the Collaboration Model and UCD process Manage the Agreement, financials, and Work Schedule Create and distribute the reporting Conduct warranty tracking and remediation
Change Control Board Process	<ul style="list-style-type: none"> Key contributor to the CCB process
Defect Management	<ul style="list-style-type: none"> Conduct triage and defect remediation planning Resolve and implement defect fixes Work with Consortium to identify acceptable workarounds
M&O Analysis	<ul style="list-style-type: none"> Review M&O requests and create M&O estimates and Proposals

BENEFITS ^{CA} L SERVICES ROLES AND RESPONSIBILITIES	
	<ul style="list-style-type: none"> ▪ Provide usage and engagement trends/metrics ▪ Drive improvements to the UCD process and public usage monitoring and outreach
M&O Implementation Support	<ul style="list-style-type: none"> ▪ Prepare and maintain supporting training materials and on-line trainings ▪ Provide change management support
Performance Measurement Monitoring and Reporting	<ul style="list-style-type: none"> ▪ Manage and monitor the application performance based on contract performance requirements ▪ Provide required Performance Measurement reporting ▪ Conduct performance tuning activities as necessary to meet performance requirements
BenefitsCal Software	<ul style="list-style-type: none"> ▪ Support the installation and configuration of BenefitsCal System software and enhancements ▪ Track and maintain the BenefitsCal software inventories
Operations Management	<ul style="list-style-type: none"> ▪ Manage, operate, and monitor the application, business continuity/disaster recovery, security monitoring, and alerting ▪ Perform Software component patching and upgrades ▪ Provide BenefitsCal Tier 3 support
API Interface Support	<ul style="list-style-type: none"> ▪ Manage API operations, monitoring, reporting, and escalation
Configuration Management	<ul style="list-style-type: none"> ▪ Maintain traceability of requirements within Project tools
Maintenance	<ul style="list-style-type: none"> ▪ Key Contributor to the CAB process ▪ Manage and perform application database and required software enhancements
Network Management	<ul style="list-style-type: none"> ▪ Coordinate and resolve connectivity issues with Counties and public facing customers ▪ Provide timely notification of connectivity issues or outages to impacted stakeholders
Security Management	<ul style="list-style-type: none"> ▪ Implement Consortium policies and standards for security on the application ▪ Monitor security for possible intrusions, such as the introduction of a virus or disabling device in the application ▪ Create Disaster Recovery procedures and test ▪ Identify, resolve, notify, and report security incidents based on level of severity ▪ Conduct security assessments of the application, and related security controls

2.6.3 Quality Assurance Roles and Responsibilities

The ClearBest Project team provides Quality Assurance (QA) services as defined in the CalSAWS QA Services Agreement. The ClearBest Project team oversees and performs the management and delivery of QA Services for all systems and M&O business processes including CalSAWS and BenefitsCal.

Table 7: QA Roles and Responsibilities

QUALITY ASSURANCE ROLES AND RESPONSIBILITIES	
Project Management	<ul style="list-style-type: none">▪ Oversee and perform management operations and delivery of QA Services▪ Manage the Consortium QA Agreement, financials, and Work Schedule▪ Create and distribute the QA Services project reporting▪ Participate in the Collaboration Model and UCD processes▪ Conduct QA testing and monitor remediation
Change Control Board Process	<ul style="list-style-type: none">▪ Participate in the CCB process
Defect Management	<ul style="list-style-type: none">▪ Monitor production quality and contractor(s) defect remediation outcomes
Applications (CalSAWS and BenefitsCal) Analysis	<ul style="list-style-type: none">▪ Review change requests, contractor(s) estimates and proposals▪ Confirm quality requirements are met▪ Conduct production release and overall project process retrospectives, deliver improvement recommendations
Performance Measurement Monitoring and Reporting	<ul style="list-style-type: none">▪ Monitor contractor(s) System performance outcomes based on contract performance requirements▪ Evaluate contractor(s) required performance measurement reporting outcomes▪ Conduct performance reporting trend analysis to detect variances and anomalies, as necessary to meet performance requirements
Procurement of Hardware and Software	<ul style="list-style-type: none">▪ Evaluate hardware and software capabilities and make recommendations for CalSAWS potential procurement▪ Review contractor(s) purchase estimates for accuracy and cost savings
Operations Management	<ul style="list-style-type: none">▪ Monitor contractor(s) operations quality control methodologies for business continuity/disaster recovery, security, monitoring, and alerting; make improvement recommendations

QUALITY ASSURANCE ROLES AND RESPONSIBILITIES	
Batch Support	<ul style="list-style-type: none"> ▪ Evaluate contractor(s) batch operations, monitoring, reporting methodologies, escalation and remediation outcomes; make improvement recommendations
Configuration Management	<ul style="list-style-type: none"> ▪ Validate traceability of project requirements within Project tools
Architecture Management	<ul style="list-style-type: none"> ▪ Participate in the CAB process
Network Management	<ul style="list-style-type: none"> ▪ Evaluate contractor(s) network and connectivity reports; make improvement recommendations ▪ Monitor contractor(s) timely notification of network issues or outages to impacted stakeholders
Security Management	<ul style="list-style-type: none"> ▪ Review the implementation of Consortium policies and standards for security ▪ Review contractor(s) Disaster Recovery procedures and test plans ▪ Identify, resolve, notify, and report security incidents based on level of severity ▪ Review security assessments of the CalSAWS applications with respective Infrastructure, and related security controls

The QA Team operates within the CalSAWS multi-contractor environment, supporting the entire CalSAWS ecosystem. The following figure depicts the QA Services Team:

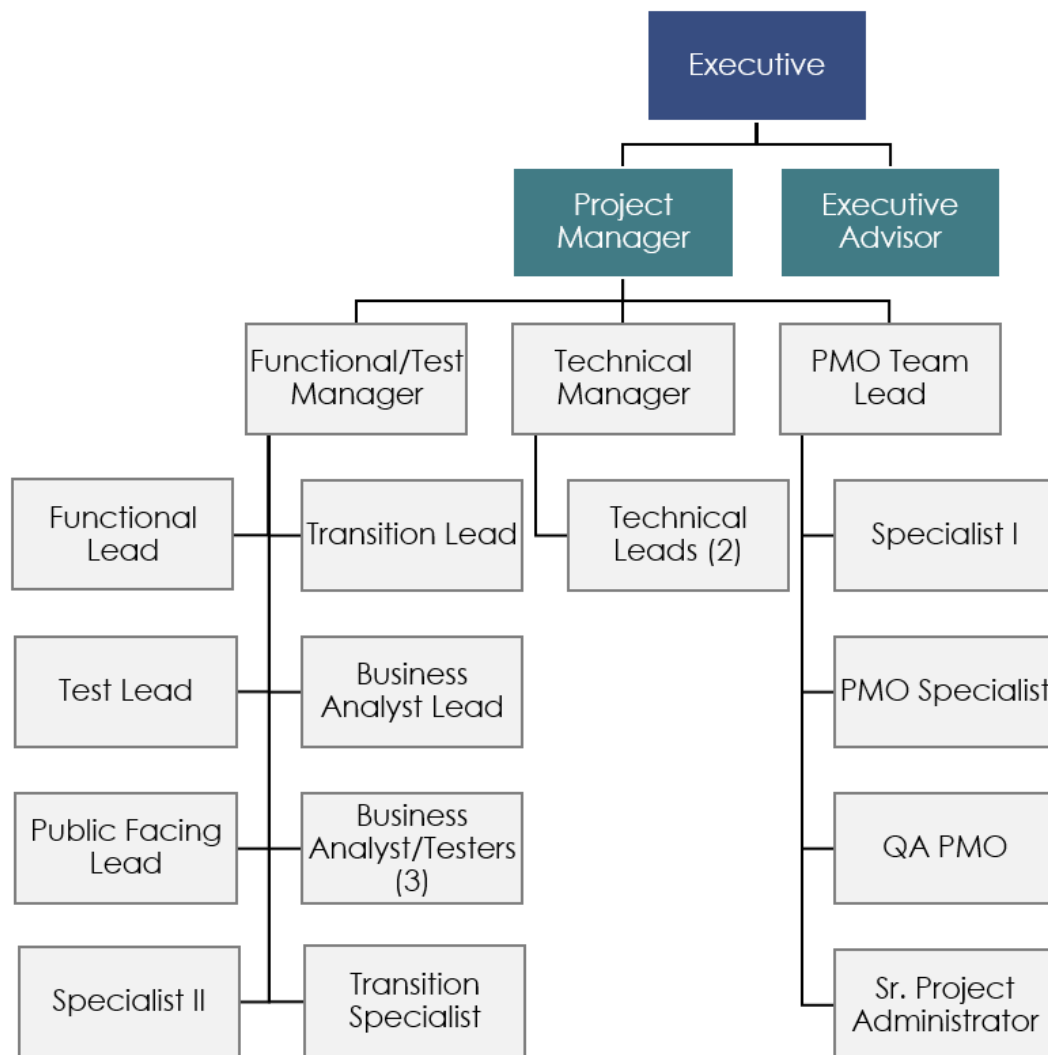


Figure 5: ClearBest QA Services Team

3 CURRENT SYSTEM DESCRIPTION

CalSAWS is the primary System for delivering health and human services benefits throughout California with BenefitsCal providing the public with access to their case information and to conduct business online.

This section provides an overview of the current CalSAWS System and BenefitsCal System, enterprise Security approach, key M&O process descriptions, Service Desk Model processes, and key technical support processes.

3.1 CalSAWS System

CalSAWS is the County-administered case management system of record which is operational in all 58 California counties and supports California's public assistance programs. Major components of the case management system include Data collection, eligibility determination, benefit calculation, forms and notices for the programs listed in Section 2.1. Users also manage such activities as employment services functions, childcare, fiscal recoupments, tasks, automated case assignment, and state and management reporting. State and federal policies/regulations were automated to support more efficient application processing, case maintenance and eligibility determinations. CalSAWS provides eligibility and ongoing management of federal, State and County programs, through its business processes and supports eligibility determination, benefit computation, benefit delivery, case management and information management.

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

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

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

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

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

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

In total, CalSAWS supports well over 21.7 million persons throughout California based on total Person Counts for all programs for State Fiscal Year (SFY) 2023/24. Additional key statistical information is provided in the table below.

Table 8: CalSAWS Person Counts, Users, Transaction and Benefits Statistics

CALSAWS PERSON COUNTS, USERS, TRANSACTIONS AND BENEFITS STATISTICS	
Total Person Counts (SFY 2023/24)	21,794,549
Average Daily Users: January through November 2024	35,135
Average Daily Transaction Volume: January through November 2024	20,947,645
Benefits Issued: January through November 2024	\$19,800,000,000

3.1.1 CalSAWS Systems Overview

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

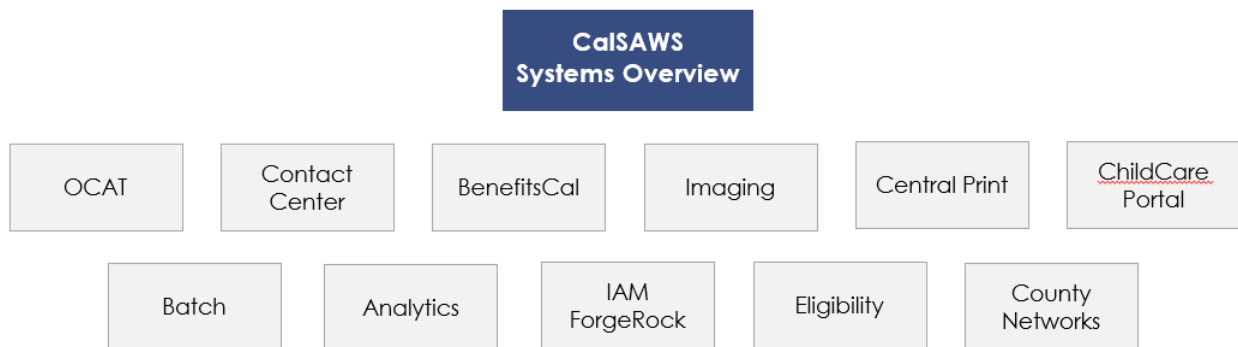


Figure 6: CalSAWS Systems Overview

The CalSAWS business areas with the business categories and processes that make up the Business Architecture Framework for CalSAWS is depicted in figure below.

The business functions and features that are common to BenefitsCal are shaded in yellow.

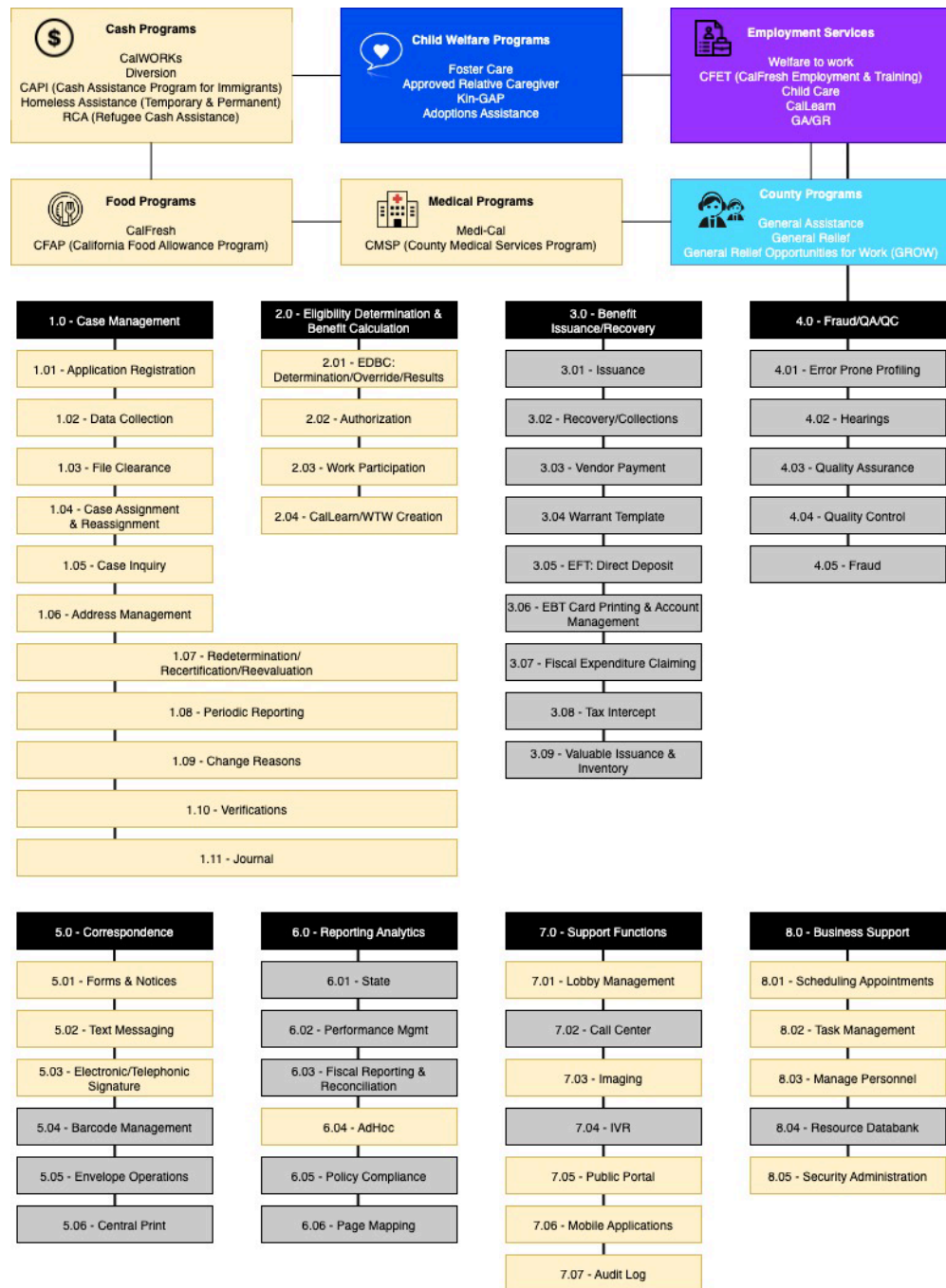


Figure 7: CalSAWS Business Architecture

3.2 BenefitsCal Portal Overview

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

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

In total, BenefitsCal supports over 5.1 million persons throughout California based on total Customer and County Based Organization (CBO) users as of December 2024. Effective October 31, 2023, all 58 counties were live on the BenefitsCal portal. The monthly operational and daily user activity metrics provided in the tables below reflect 58-County statewide usage.

Table 9: BenefitsCal 58-County Metrics

COUNTY METRIC	Q4 2024	Q1 2025
Applications Submitted	618,490	634,145
Documents Uploaded	7,143,132	7,565,494
Report a Change Submitted	148,079	171,231
SAR 7 Submitted	170,621	235,088
CF 37 Submitted	99,693	107,501
MC 210RV Submitted	22,784	22,516
MC 216 Submitted	72,404	79,884
MC 217 Submitted	8,536	9,392
CalWORKs Redetermination	2,529	2,406
CalWORKs and CalFresh Redetermination	25,970	23,075
Total Renewal	231,916	244,774
Number of Messages to a Worker	71,383	79,426
Student Application Submitted	103,450	100,276

3.2.1 BenefitsCal Portal Architecture Overview

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

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

The following figure presents the BenefitsCal portal architecture.

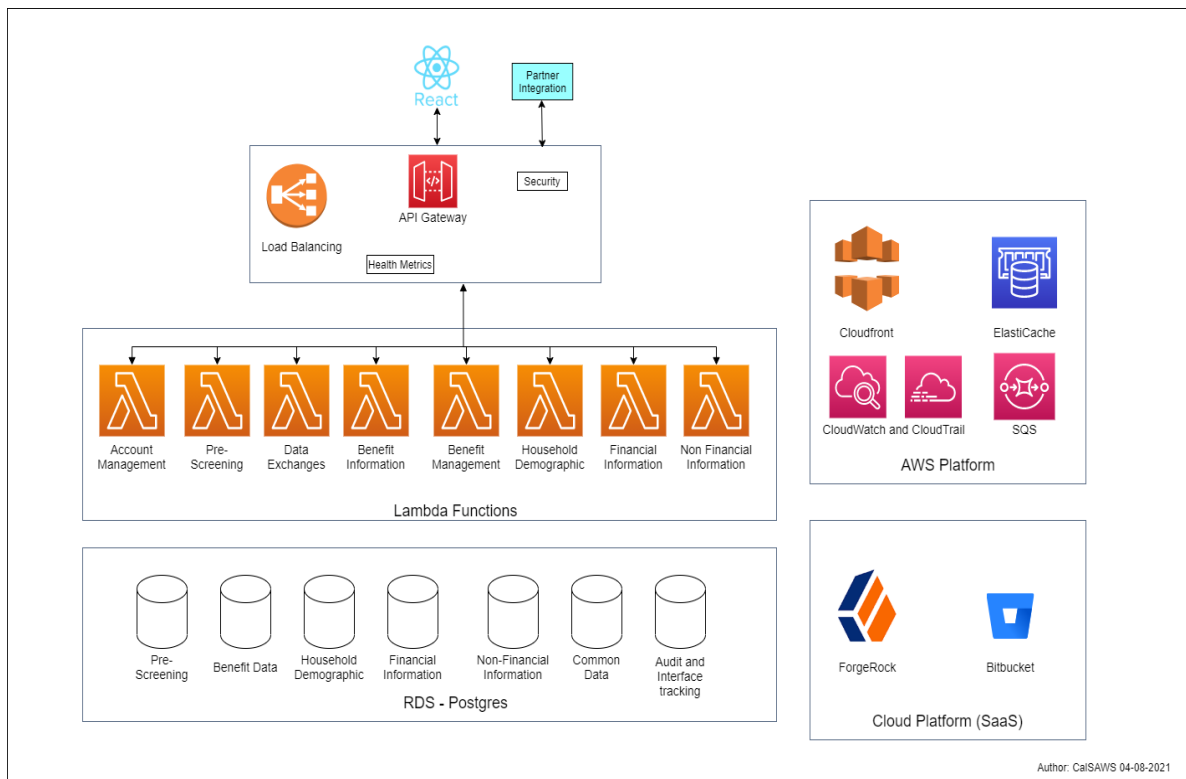


Figure 8: BenefitsCal Architecture

3.3 Security

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

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

The audits assess that:

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

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

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

Security services provided by the vendor for the System currently include:

- Access Control, including regular access control audits of users provisioned to roles and permissions assigned to roles.
- Specialized security role training for vendor and subcontractor personnel employed in security roles.
- Monitoring and alerting provided by a centralized Security Information and Event Monitoring system that is monitored 24/7, with ingestion from across the System and resources.
- Security assessment of all modifications, changes, and acquisitions for the System.
- Regular auditing of System configurations and changes, to confirm an accurate accounting of all System components and proper execution of Change Management processes.
- Security integration with contingency planning and disaster recovery activities and testing.

- Security incident response, including a 24/7 response capability to address security incidents based on severity and impact to the confidentiality, integrity, and availability of the System.
- Continuous security vulnerability scanning and remediation within required timeframes.

3.4 CalSAWS Maintenance and Operations Processes

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

- Collaboration Model
- User Centered Design
- System Change Request Process
- Release Management

3.4.1 Collaboration Model

Public input on the function and usability of the BenefitsCal System is paramount to its effectiveness and widespread public acceptance. To facilitate customer engagement the Consortium has created the BenefitsCal Collaboration Model (CM), supported by the CM members, comprised of customers, Counties, CBOs, State and advocate stakeholder groups, who validate and prioritize system changes. The Collaboration Model is currently specific to BenefitsCal but is intended to encompass Public Facing enhancements for core CalSAWS as it evolves.

The figure below depicts the current Collaboration process.

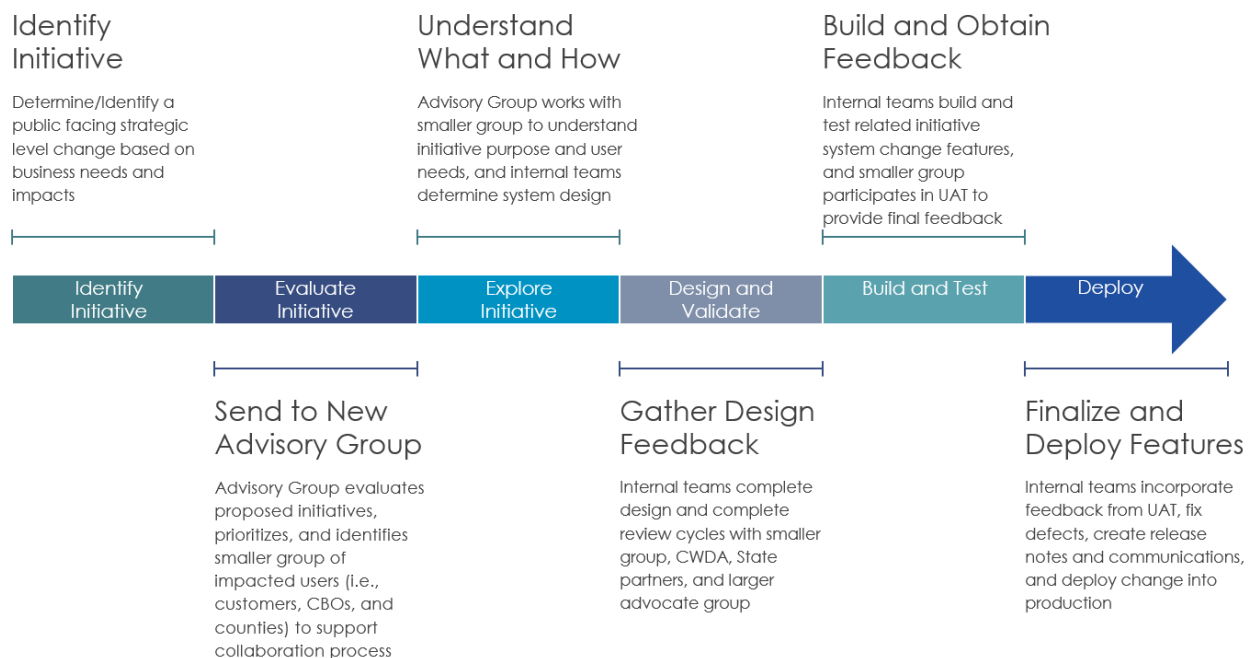


Figure 9: Current Collaboration Process

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

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

Enhancement/initiative requests will be collected annually from stakeholders, and subsequently reviewed and provided a prioritization score by stakeholder representatives participating in the Advisory Group. Figure 10 represents the Collaboration Model System Initiative Lifecycle for Public Facing Changes.

The public facing system initiative lifecycle has been designed to foster Stakeholder engagement through each stage.

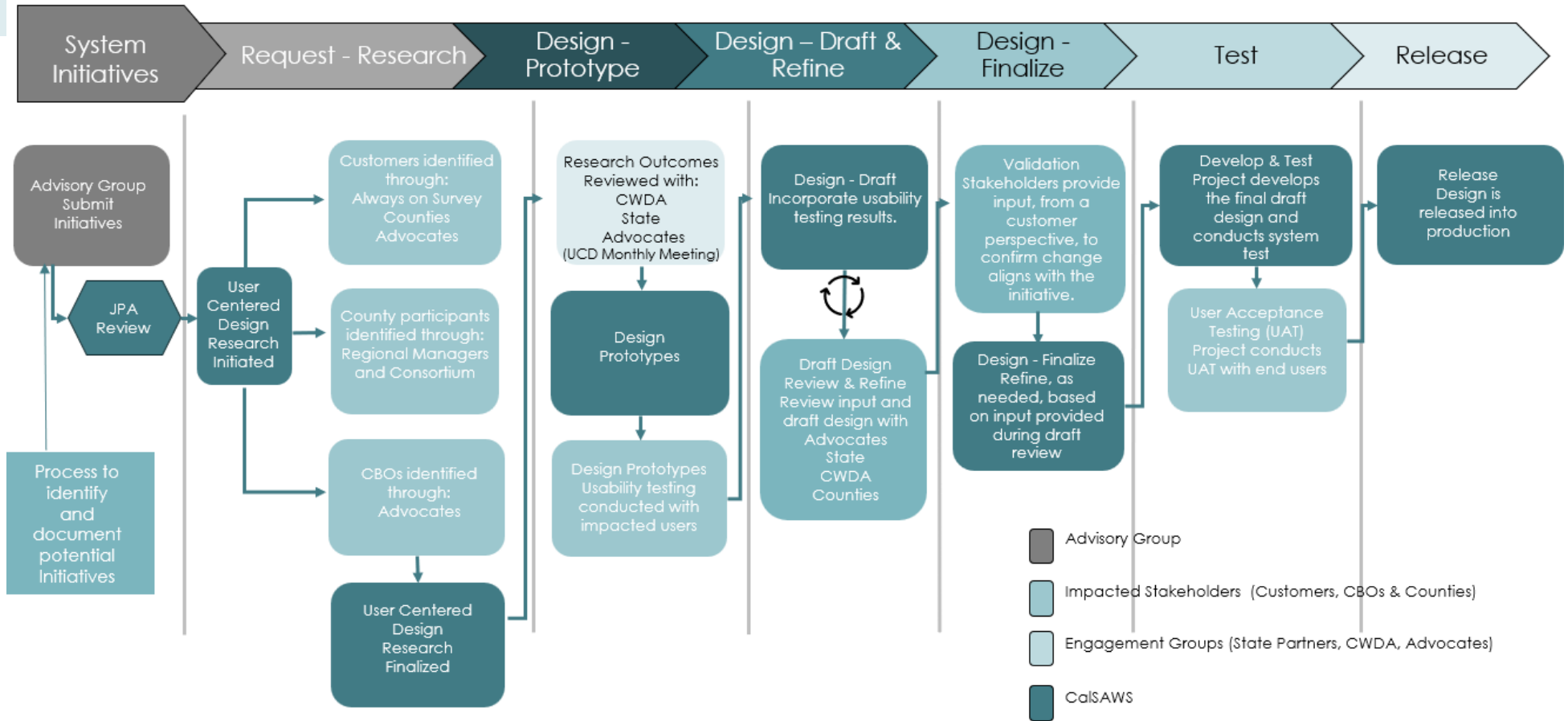


Figure 10: Initiative Lifecycle for Public Facing Changes

3.4.2 User-Centered Design

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

Key UCD activities include:

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

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

Approach to User-Centered Design

The User-Centered Design Process

A four-stage process that revolves around (1) understanding users needs, (2) analyzing and synthesizing their insights, (3) generating ideas to identify alternative solutions, prototyping and testing low fidelity solutions with users and (4) continuous user experience measurement.

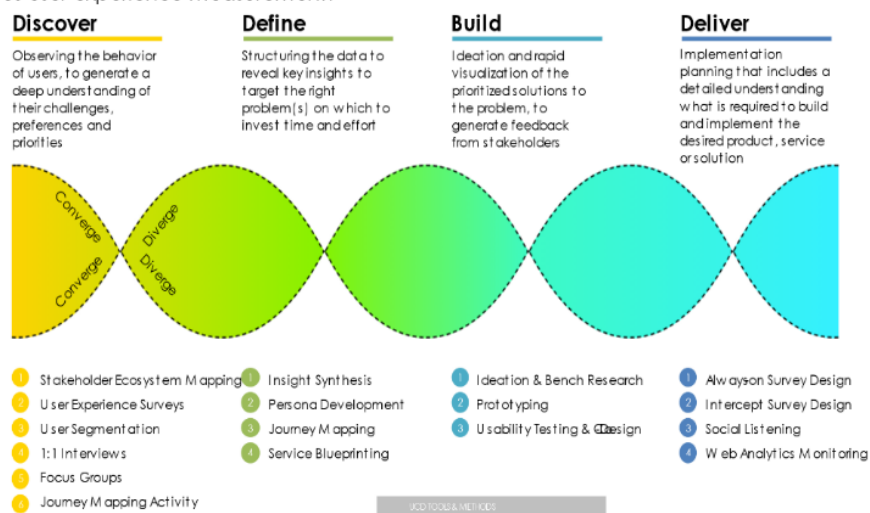


Figure 11: User-Centered Design Process

3.4.3 System Change Request Process

System Change Requests (SCRs) are the documentation used to track all functional changes to the System. The process follows a series of steps that include County committee and/or public input.

The requested change is typically identified through either a State policy letter, a request from a County or created by a CalSAWS team member. For customer/public facing technology, advocates, public or state stakeholders may provide suggested changes.

- State policy letter – CalSAWS team creates a new SCR.
- Non-State policy related enhancement – A CalSAWS Enhancement Request (CER) is submitted by the County. Since this is an enhancement, it is presented to the associated committee to determine if the committee wants an SCR created or whether they want to reject the CER outright. Once the CER approval is secured, the CalSAWS team creates the SCR.
- Single County operational request such as GA/GR rules, business reply mail address changes or EBT printer change – CalSAWS team creates SCR.

The SCR Lifecycle is depicted in the following figure.

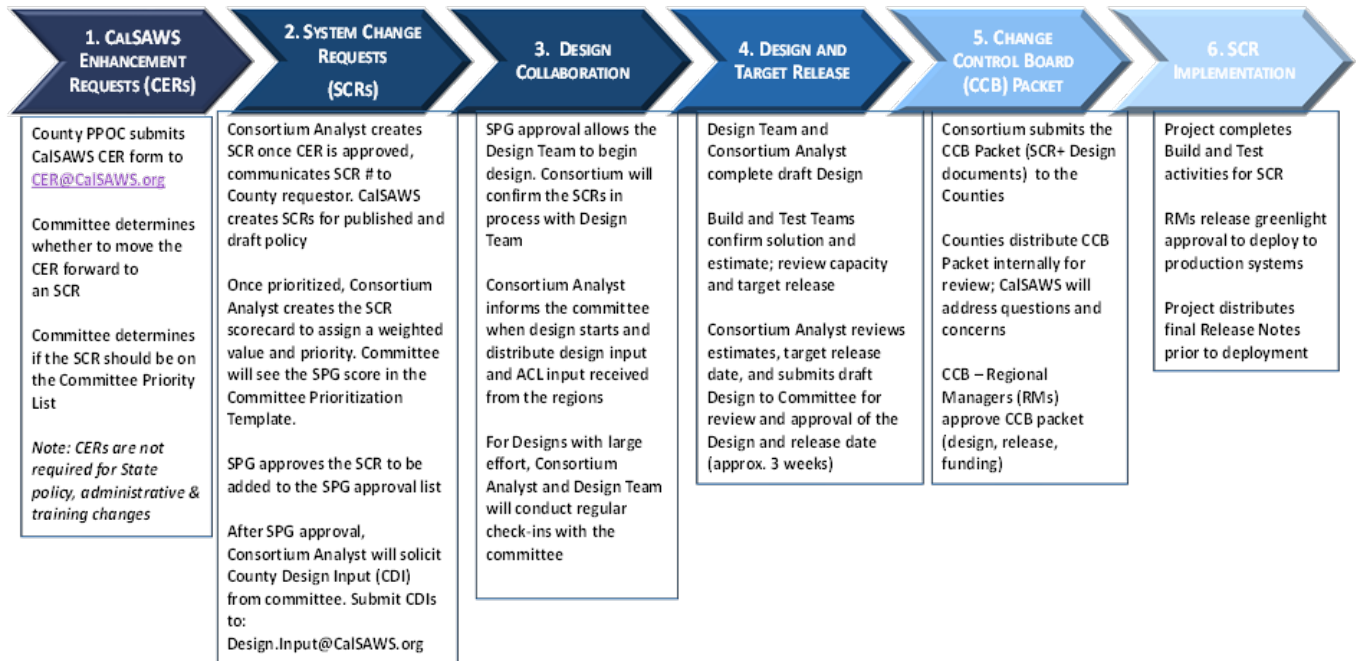


Figure 12: SCR Lifecycle Process

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

The current SCR process is evolving to align with a more agile development method focusing on collaborative decision-making, customer input and satisfaction, and development over multiple short cycles or sprints. Figure 13 depicts the SCR process and CalSAWS Policy Implementation Timeline.

CalSAWS Policy Implementation Timeline*

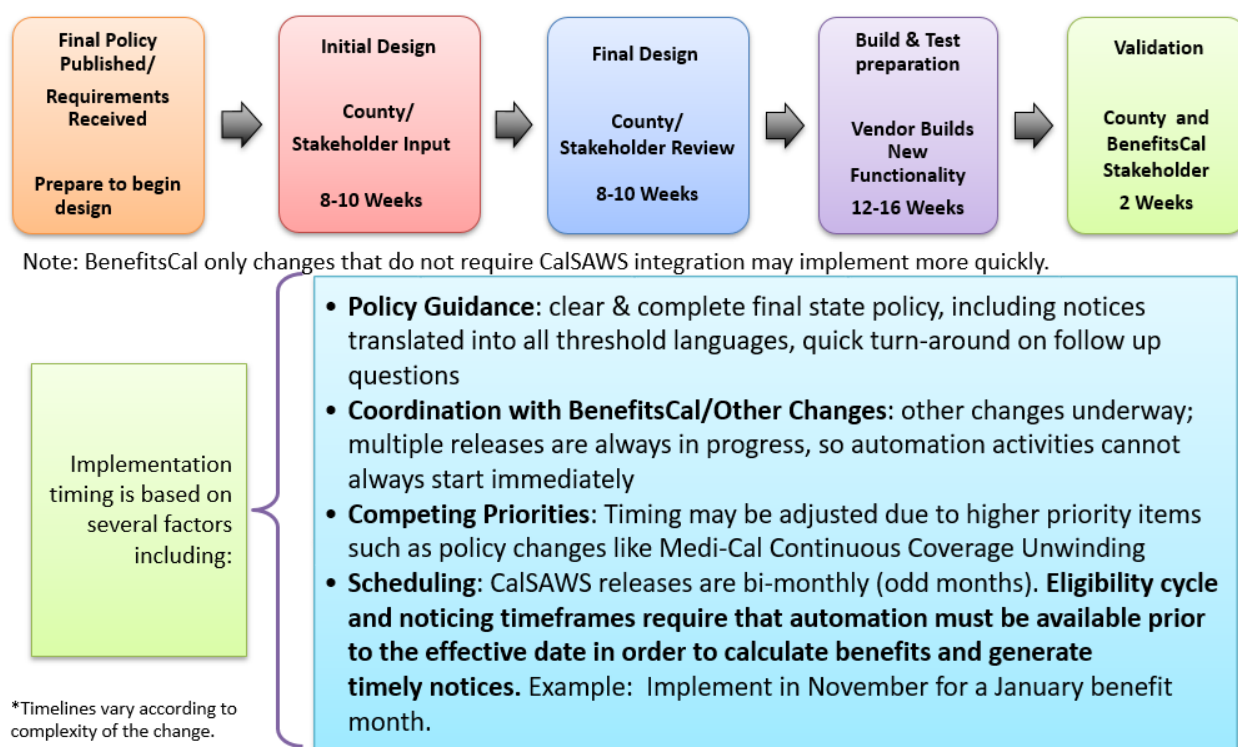


Figure 13: SCR Process, CalSAWS Policy Implementation Timeline

For additional details, please refer to the documents titled CalSAWS Monthly M&E Status Report in the Procurement Library.

3.4.4 Release Management

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

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

The Consortium plans for Major and priority Minor Releases. Major Releases typically add new features or deliver more complex changes. Minor Releases typically deliver priority items, warranty items or smaller, less impactful changes. CalSAWS Major Releases occur every other month. BenefitsCal Major Releases occur every month, are coordinated with the CalSAWS Major Release schedule and follow the CalSAWS green light processes. SCRs are typically bundled into releases, based on end-user priorities and developer efficiencies. Input from County experts and Project teams is used to manage any dependencies. The Consortium's SCR documentation and queue is stored in Jira.

If, after a release has been moved into Production, any defects are identified, corresponding documentation regarding severity, status and retest is also captured in Jira.

3.5 CalSAWS Service Desk Models

CalSAWS operates two (2) primary methods of Service support: the Central Service Desk and the BenefitsCal Technical Service Desk. The Infrastructure vendor is responsible for providing both of these service desks.

3.5.1 Central Service Desk Model

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

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

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

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

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

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

Table 10: County Help Desk Support

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

3.5.2 BenefitsCal Technical Service Desk

The 58 CalSAWS Counties receive calls from the public and CBOs related to the BenefitsCal application. The County Tier 1 Help Desks attempt to resolve the caller's issue; however, when the County is unable to resolve the caller's concern, the BenefitsCal Technical Help Desk serves as Tier 2 support. If the BenefitsCal Technical Help Desk cannot solve the issue, the problem is transferred to the BenefitsCal Contractor Tier 3 support.

The ongoing BenefitsCal Technical Help Desk is part of the CalSAWS M&O Service Desk and is the responsibility of the CalSAWS Infrastructure Contractor.

The Technical Help Desk staff have access to ServiceDesk and Jira, the CalSAWS Help Desk tool and Project Management issue tracking tool, respectively, as well as Frequently Asked Questions and short job aids. The Technical Help Desk staff also access the BenefitsCal "sandbox" or equivalent environment to research or test a possible resolution by viewing existing functionality and experiencing the expected correct processing. The scope of the Technical Help Desk does not include infrastructure software, hardware, and network upgrades or additions; those items remain the responsibility of the CalSAWS Infrastructure Contractor.

3.6 Technical Change Management Process

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

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

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

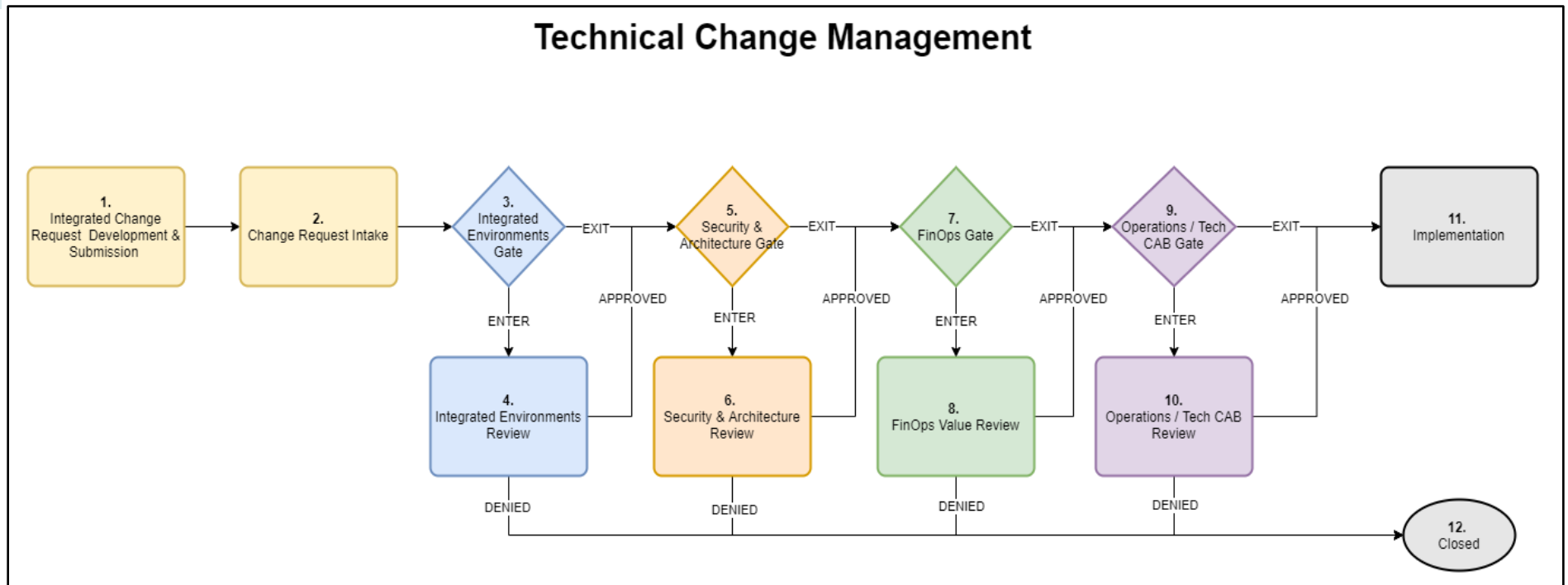


Figure 14: Technical Change Management Process Workflow

3.6.1 Integrated Environments Management

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

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

3.6.2 Security and Architecture Review

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

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

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

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

3.6.3 FinOps Management

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

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

- Teams need to collaborate.
- Decisions are driven by the business value of cloud.
- Everyone takes ownership of their cloud usage.

- FinOps reports should be accessible and timely.
- A centralized team drives FinOps.
- Take advantage of the variable cost model of the cloud.

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

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

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

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

3.6.4 Operations Tech CAB Review

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

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

4 VISION FOR QA SERVICES

This section describes the Consortium's vision for future QA Services as part of the CalSAWS enterprise and includes the expectations for the QA Services sought through this procurement process.

The Consortium wishes to partner with a Contractor who will assist in ensuring that CalSAWS continues to operate efficiently and effectively. The Consortium is seeking Bidders who share this commitment and can bring insight and thought leadership to the CalSAWS ecosystem. The selected vendor must demonstrate their capability to work as part of a collective team for the good of CalSAWS.

4.1 QA Services Procurement Objectives

The Consortium has adopted the following objectives it seeks to achieve through this procurement.

- Facilitate a seamless transition from the current QA contract to the new QA contract.
- Work cooperatively within the integrated multi-contractor environment.
- Proactively explore and recommend process, documentation and system improvements to enhance overall quality.

4.2 Procurement Scope

The QA vendor is responsible for the independent review and assessment of CalSAWS Deliverables, Work products, applications, infrastructure, processes, Service Level Agreements (SLAs) and services. As part of this scope, the Consortium expects the QA Contractor to conduct independent tests of the CalSAWS suite of applications prior to production release. The QA Contractor is responsible for the identification of situations, occurrences, and deficiencies where requirements, standards or SLAs are not met by the other Consortium Contractors. The QA vendor shall report any such concern or deficiency, along with proposed solutions to the Consortium. The QA vendor is expected to provide and deliver approaches and plans which complement and improve existing processes and documentation.

4.3 Vision

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

Key tenets of the vision for QA Services include a two-phased approach; first, the Consortium expects the QA Contractor to:

- Understand and adhere to established project processes including those for Consortium and project management, all phases of the software development lifecycle and FinOps management

- Fully integrate within the CalSAWS ecosystem to include other Contractors, Counties and stakeholders.

After gaining a thorough understanding of the CalSAWS environment, the Consortium envisions the QA vendor adding value by analyzing and making realistic and practical recommendations for improvements in the following areas:

- Project management, strategic planning and PMO
- All aspects of the software development lifecycle including: SCR, UCD, UX and DevSecOps
- FinOps management
- Application/architecture evolution and innovation
- Data analytics and reporting capabilities
- Infrastructure and application security
- Collaboration Model and stakeholder engagement processes
- Marketing and outreach for the public, Counties and CBOs

The remainder of this section presents the vision and expectations defined by the Consortium as part of recent prior procurements for CalSAWS and BenefitsCal Maintenance and Operations. This information is intended to assist potential QA Contractors in understanding the CalSAWS universe in the context of expected QA Services.

QA Bidders should refer to the following CalSAWS RFPs for the complete detail regarding Consortium expectations and vision for:

- CalSAWS M&O RFP, issued July 6, 2022
- CalSAWS BenefitsCal M&O RFP, issued May 29, 2024

Both RFPs are available in the QA Services Procurement Library and on the CalSAWS.org procurement website: <https://www.calsaws.org/procurement-listings/>

The following subsections summarize the vision described in these two recent procurement documents.

4.3.1 Integrated CalSAWS Organization

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

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

The Consortium recognizes that operating in an Integrated Multi-Contractor Environment is a complex endeavor. The Consortium has proactively set out to create and sustain an enterprise organization with multiple contractors.

The Consortium has also established a structured set of guidelines, practices and tools to oversee and manage the processes for the Integrated Multi-Contractor environment. This framework incorporates system engineering/system integration principles and best practices to:

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

Additionally, from a governance, decision making and issue escalation perspective, the Consortium has developed the CalSAWS Governance Plan for Contractors to consider when developing Proposals for this engagement; please refer to the Procurement Library for the CalSAWS Governance Plan.

4.3.2 Application Change Process/Software Development Process

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

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

The M&O Services Contractors are also expected to adhere to the CalSAWS Collaboration Model to identify, prioritize, develop and implement enhancements which improve the overall user experience.

BenefitsCal has been designed, developed, and enhanced following a User Centered Design (UCD) approach. UCD is founded on keeping the human experience at the center of system design. Going forward, the Consortium expects the Contractor to continue to apply UCD fundamentals and to identify and determine areas within BenefitsCal that could be restructured to improve the overall User Experience and ultimate delivery of services to those in need.

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

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

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

4.3.3 Enhance Communication and Outreach

Communication is a foundational element in any high-functioning organization.

In the CalSAWS environment today, outages occasionally happen. System outages can run the gamut from a local environment in a single county office to an issue that affects an entire County or even multiple Counties. Standard notifications and communication processes are initiated for all types of CalSAWS interruptions.

However, gaps in communications have occurred and Counties have not always been fully informed regarding the status of an outage, even when it has an impact on county business operations. In the future, the Consortium envisions a greater degree of transparency and information dissemination about CalSAWS outages to the Counties.

The Consortium seeks to improve communication with the public and with the BenefitsCal stakeholders including:

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

- Continue to refine the Collaboration Model.

4.3.4 Application/Architecture Evolution and Innovation

The Consortium expects the selected Contractors to keep the CalSAWS and BenefitsCal systems current from a technology perspective and, at the same time, provide additional operational benefits to the public users and the Counties.

The selected CalSAWS M&O Contractors will migrate CalSAWS from the current monolithic architecture to a modular, easy to maintain, technically advanced application. CalSAWS is expected to evolve to take advantage of native cloud microservices, new features to enable faster development and deployment cycles which results in lower cost of ownership and maintenance. The transition of the CalSAWS core databases and middleware components are a key part of this process. This technical progression of the architecture and databases will deliver application longevity, scalability performance optimization and cost efficiencies.

The intent is for the Contractors to implement processes that facilitate a more agile workflow to respond to change more quickly including expanding AWS native Services and other cloud native Services. This future state will leverage best practices from the AWS Well-Architected Framework to design, deliver and maintain AWS environments.

Part of this evolution includes moving to a serverless architecture. For the Consortium, there are several benefits to moving to a serverless environment: first, the overall Infrastructure cost is reduced and second, much of the burden of infrastructure and server maintenance is the responsibility of AWS, or other Cloud/SaaS vendors, rather than more expensive contracted technical experts. Additionally, availability, redundancy and systems stability are all improved by operating in a hosted, managed serverless infrastructure.

Maintaining and advancing the BenefitsCal infrastructure and application within the CalSAWS enterprise is a primary responsibility of the BenefitsCal Contractor. In particular, as part of ensuring the BenefitsCal subsystem remains technically relevant, the selected Contractor will:

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

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

4.3.5 Evolve Application and Infrastructure Security

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

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

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

5 BIDDER REQUIREMENTS

5.1 General

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

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

Requirements are contained within the following areas of this RFP.

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

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

5.2 QA Services Requirements

5.2.1 Firm Qualifications

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

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

5.2.1.1 Firm Mandatory Qualifications

Table 11: Firm Mandatory Qualifications

QA SERVICES FIRM MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualification
F1	At least three (3) years of Prime Contractor experience performing Quality Assurance services in the Health and Human Services arena. Experience must have been completed or ongoing within the last seven (7) years.
F2	At least three (3) years of experience performing Quality Assurance services in an environment applying UCD processes and/or User Experience (UX) activities on IT Projects.
F3	At least three (3) years of experience performing Quality Assurance services in an environment of similar size and complexity to CalSAWS with: 1) Real-time web-based application experience in JAVA <u>and</u> 2) AWS cloud architecture experience.

5.2.1.2 Firm References

The purpose of the Firm Reference requirements is to provide the Consortium with the ability to assess the Bidder's experience in supplying similar or relevant services to those identified in this solicitation. Firm References must be documented according to Section 6 – Proposal Structure and Submission. The Consortium may contact references listed to verify the information provided by the Bidder. In addition to the references provided by the Bidder, the Consortium may also request references from relevant public agencies with whom the Bidder has current or past Contracts similar in nature. For Bidders with whom the Consortium has current or past Agreements similar in nature, the Consortium may also complete one or more formal references. Any references received from other relevant public agencies and/or the Consortium will factor into the Business Proposal Evaluation as described in Section 8 – Evaluation. Proposals with forms that have alterations or changes to the original information will be considered nonresponsive. Any conflicting information may result in the Proposal being deemed nonresponsive.

5.2.1.3 Firm Financial Qualifications

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

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

Bidders will provide responses to:

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

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

Table 12: QA Services Firm Financial Qualifications

QA SERVICES FIRM FINANCIAL QUALIFICATIONS	
Req #	Qualification
F6	<p>a. The Bidder will provide financial statements for the past two (2) fiscal years for the Contractor and each subcontractor. These must be audited financial statements unless audited statements are not a part of the routine business practices of the firm. The Consortium will accept financial statements audited according to either Generally Accepted Accounting Principles (GAAP), Statutory Accounting Principles (SAP) of the National Association of Insurance Commissioners (NAIC) or the International Financial Reporting Standards (IFRS).</p> <p><u>Or</u></p> <p>b. If the Bidder does not produce audited financial statements or file corporate financial information such as a 10-K as part of its routine business practices, as included in point a. above, Bidders may provide unaudited financial information that includes information relating to liquidity, assets, liabilities, equity, working capital, current ratio and net revenue. Bidders must also provide a privately placed debt rating from the NAIC, or an equivalent nationally recognized credit rating agency.</p>
F7	The Bidder must also provide a copy of its Dun & Bradstreet (D&B) D-U-N-S number and Business Information Report, inclusive of its D&B viability and credit ratings.
F8	These financial statements must be accompanied by a signed statement from the Bidder's or its Parent Company's Chief Executive Officer, Chief Financial Officer and/or Designee(s), certifying the financial information is accurate and complete. Alternatively, financial statements that include a signed statement by the independent certified public accountant, made a part of the financial statement, will suffice for the certification letter.

5.2.2 Staffing

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

5.2.2.1 Staffing Approach

Table 13: Staffing Approach

QA SERVICES STAFFING APPROACH	
Req#	Mandatory Qualification
S1	The Bidder will provide a narrative describing the overall Staffing approach to QA Services addressing the Staffing subsections.

QA SERVICES STAFFING APPROACH

S2	The Bidder will complete Attachment 12 – Staff Loading Worksheets indicating the roles and level of effort (hours) to provide QA Services.
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5.2.2.1.1 General Contractor Staffing Responsibilities

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

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

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

The Bidder must include a description of which Key Staff member is responsible for each Subtask defined within the Attachment 2 – QA Requirements Matrix.

5.2.2.1.2 Staff Responsibilities

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

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

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

5.2.2.1.3 Contractor Staff Changes

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

For any unexpected Key Staff changes, the Contractor will provide the Consortium Executive Director a written notification within three (3) business days of knowledge and required Key Staff action. Within seven (7) calendar days of providing such written notice, the Contractor will provide the Consortium Executive Director with plans for

transition. All provisions in the preceding paragraph also apply to unexpected Key Staff changes, except for the 30-Day notice.

5.2.2.1.4 Staff Performance

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

5.2.2.2 Key Staff

Bidders submitting a Proposal must include the following four (4) Key Staff.

1. QA Project Manager
2. QA Test Manager
3. QA Functional Manager
4. QA Technical Manager

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

The Consortium will rely heavily on the presence and advice of the QA vendor and wants to mitigate any potential risks associated with outages of QA Key Staff. The QA vendor must designate back-up staff from within the QA team to be available and act on their behalf when QA Key Staff are unavailable for more than a single business day.

5.2.2.2.1 Key Staff Client References

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

5.2.3 Understanding and Approach

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

1. Quality Assurance Staffing
2. Quality Assurance Services – Integrated Multi-Contractor Environment
3. Quality Assurance Services – Software Development Lifecycle
4. Independent Test

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

5.2.3.1 Understanding and Approach to Quality Assurance Staffing

Table 14: Understanding and Approach to Quality Assurance Staffing

1. UNDERSTANDING AND APPROACH TO QUALITY ASSURANCE STAFFING	
Item #	Topic
UA1	<ul style="list-style-type: none"> ▪ The Consortium expects the CalSAWS Infrastructure, M&E and BenefitsCal contractors to provide ongoing innovation to the CalSAWS system processes, tools, applications and infrastructure. ▪ Describe how your staffing approach will uniquely prepare the QA team to adjust to future changes within the CalSAWS environment. ▪ Provide demonstrated examples from previous QA projects as applicable.
UA2	<ul style="list-style-type: none"> ▪ The CalSAWS project has historically required large, one-time system change initiatives due to legislative requirements or new technology requirements. ▪ Describe how your staffing approach will provide the capability and flexibility within the QA team to adjust to significant increases and/or changes within the CalSAWS System to accommodate new business functions or technology. ▪ Provide demonstrated examples from previous QA projects as applicable.

5.2.3.2 Understanding and Approach to Quality Assurance Services – Integrated Multi-Contractor Environment

Table 15: Understanding and Approach to Quality Assurance Services – Integrated Multi-Contractor Environment

2. UNDERSTANDING AND APPROACH TO QUALITY ASSURANCE SERVICES – INTEGRATED MULTI-CONTRACTOR ENVIRONMENT	
Item #	Topic
UA3	<ul style="list-style-type: none"> ▪ Describe your approach to managing your scope of work and how you will coordinate with the Consortium and other CalSAWS contractors to ensure understanding and collaborative agreement of the roles and responsibilities of the Consortium and each Contractor. ▪ Provide demonstrated examples from previous QA projects as applicable.

2. UNDERSTANDING AND APPROACH TO QUALITY ASSURANCE SERVICES – INTEGRATED MULTI-CONTRACTOR ENVIRONMENT

UA4	<ul style="list-style-type: none"> Describe your approach, tools, and/or techniques to detect high risk areas and/or high urgency areas to identify candidates for subsequent deeper QA analysis/risk assessment. Provide demonstrated examples from previous QA projects as applicable.
UA5	<ul style="list-style-type: none"> The Consortium has identified a number of key vision elements within its recent procurement documents. Describe the key factors within your QA approach that will support the evolution and advancement of the Customer Outreach and Communications approach within CalSAWS. Provide demonstrated examples from previous QA projects as applicable.

5.2.3.3 Understanding and Approach to Quality Assurance Services – Software Development Lifecycle

Table 16: Understanding and Approach to Quality Assurance Services – Software Development Lifecycle

3. UNDERSTANDING AND APPROACH TO QUALITY ASSURANCE SERVICES – SOFTWARE DEVELOPMENT LIFECYCLE	
Item #	Topic
UA6	<ul style="list-style-type: none"> The Consortium is seeking world-class contractors that can provide innovative solutions to more efficient and effective software development techniques and tools. Quality Assurance has historically been applied on the “back end” of Software Development lifecycles. Describe how your approach can enhance the overall impact of QA services on the full lifecycle timeline of software development by “pulling forward” the identification of risk areas. Provide demonstrated examples from previous QA projects as applicable.
UA7	<ul style="list-style-type: none"> The Consortium has identified a number of key vision elements within its recent procurement documents. Describe the key factors within your QA approach that will support the adoption and evolution of User Centered Design and the User Experience within CalSAWS. Provide demonstrated examples from previous QA projects as applicable.
UA8	<ul style="list-style-type: none"> The Consortium has identified a number of key vision elements within its recent procurement documents. Describe the key factors within your QA approach that will support the evolution and advancement of Automated Regression Testing within CalSAWS. Provide demonstrated examples from previous QA projects as applicable.
UA9	<ul style="list-style-type: none"> The Consortium has identified a number of key vision elements within its recent procurement documents.

3. UNDERSTANDING AND APPROACH TO QUALITY ASSURANCE SERVICES – SOFTWARE DEVELOPMENT LIFECYCLE

- Describe the key factors within your QA approach that will support the evolution and advancement of DevSecOps within CalSAWS.
- Provide demonstrated examples from previous QA projects as applicable.

5.2.3.4 Understanding and Approach to Independent Test

Table 17: Understanding and Approach to Independent Test

4. UNDERSTANDING AND APPROACH TO INDEPENDENT TEST	
Item #	Topic
UA10	<ul style="list-style-type: none"> ▪ Describe your approach and operational method(s) to establish the initial set of independent test cases and the requisite test Data. ▪ Provide demonstrated examples from previous QA projects as applicable.
UA11	<ul style="list-style-type: none"> ▪ Describe your approach to ensuring a continuously more effective set of independent tests without expanding the required CalSAWS resources. ▪ Describe, in detail, the tools and techniques within your approach that will illustrate ongoing improved confidence in the independent test results. ▪ Provide demonstrated examples from previous QA projects as applicable.

5.2.4 Requirements Matrix

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

5.3 Price Requirements

5.3.1 General

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

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

Bidders must document any changes to formulas or links for reasons other than to accommodate additional rows for staff or in sums and indicate any such changes as comments in the affected cells. It is solely the responsibility of the proposing Contractor

to confirm that all mathematical calculations are correct in their Proposal. Bidders are encouraged to request corrections to formulas through the Question-and-Answer (Q&A) processes defined in Section 1.13 to benefit the Consortium and all proposing Bidders.

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

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

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

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

5.3.2 QA Services Price Proposal Schedules

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

1. QA Services Summary by SFY (Schedule 1)
2. QA Services Deliverables (Schedule 2)
3. QA Services Transition-In Staff Loading (Schedule 3)
4. QA Services (Schedule 4)
5. QA Services Staff Loading (Schedule 5)
6. QA Services Optional Extension Years 1 - 4 (Schedules 6.1 - 6.4)
7. QA Services Hourly Rate Card (Schedule 7)
8. QA Services Change Order Rate Card (Schedule 8)
9. Other (Schedule 9)

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

6 PROPOSAL STRUCTURE AND SUBMISSION

6.1 General

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

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

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

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

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

6.2 Proposal Submission

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

Proposal delivery shall be accomplished according to the following instructions.

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

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

- One (1) Signed Electronic submission to SharePoint

Table 18: QA Services Proposal Submission

QA SERVICES PROPOSAL – 2 OR 4 VOLUMES	
1.	Vol 1 QA Services Business Proposal – Required
2.	Vol 2 QA Services Price Proposal – Required
3.	Vol 3A QA Services Business Proposal Redacted – Optional
4.	Vol 3B QA Services Price Proposal Redacted – Optional

6.3 Proposal Format and Organization

6.3.1 Proposal Format

The Bidder shall format the Proposal as follows:

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

6.3.2 Proposal Organization

The applicable Proposal volumes shall contain the following:

Table 19: QA Services Proposal Volumes Contents

QA SERVICES PROPOSAL VOLUMES CONTENTS	
Volume 1 – Business Proposal	
1.	Cover Page
2.	Transmittal Letter
3.	Section 1 Executive Summary with a Table of Contents
4.	Section 2 Firm Qualifications with a Table of Contents

QA SERVICES PROPOSAL VOLUMES CONTENTS

5. Section 3 Staffing Approach with a Table of Contents
6. Section 4 Understanding and Approach with a Table of Contents
7. Section 5 Required Attachments
 - Attachment 4 – Statement of Compliance with Requirements
 - Attachment 7 – Exceptions to the Agreement
 - Attachment 8 – Firm Mandatory Qualifications
 - Attachment 9 – Firm References
 - Attachment 10 – Key Staff Qualifications
 - Attachment 11 – Key Staff Reference Forms
 - Attachment 12 – Staff Loading Worksheets
 - Attachment 13 – Iran Contracting Act Certification
 - Attachment 14 – Certificate of Firm Status

Volume 2 – Price Proposal

1. Cover Page
2. Attachment 5 – Price Proposal Schedules

Volume 3A* – Business Proposal with Confidential or Proprietary Portions Redacted – Optional

0. Justification to Redact Letter
1. Cover Page
2. Transmittal Letter
3. Section 1 Executive Summary with a Table of Contents
4. Section 2 Firm Qualifications with a Table of Contents
5. Section 3 Staffing Approach with a Table of Contents
6. Section 4 Understanding and Approach with a Table of Contents
7. Section 5 Required Attachments
 - Attachment 4 – Statement of Compliance with Requirements
 - Attachment 7 – Exceptions to the Agreement
 - Attachment 8 – Firm Mandatory Qualifications
 - Attachment 9 – Firm References
 - Attachment 10 – Key Staff Qualifications
 - Attachment 11 – Key Staff Reference Forms
 - Attachment 12 – Staff Loading Worksheets
 - Attachment 13 – Iran Contracting Act Certification
 - Attachment 14 – Certificate of Firm Status

Volume 3B* – Price Proposal with Confidential or Proprietary Portions Redacted – Optional

0. Justification to Redact Letter

QA SERVICES PROPOSAL VOLUMES CONTENTS

1. Cover Page
2. Attachment 5 – Price Proposal Schedules

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

6.3.2.1 File Structure and File Name Conventions

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

Vol 1 QA Services Business Proposal – Bidder Name

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

Vol 2 QA Services Price Proposal – Bidder Name

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

Vol 3A QA Services Business Proposal Redacted – Bidder Name (Optional)

1. Vol 3A Justification to Redact Letter – Bidder Name
2. Vol 3A Cover Page – Bidder Name
3. Vol 3A Transmittal Letter – Bidder Name
4. Vol 3A Sect 1 Executive Summary – Bidder Name

5. Vol 3A Sect 2 Firm Qualifications – Bidder Name
6. Vol 3A Sect 3 Staffing Approach – Bidder Name
7. Vol 3A Sect 4 Understanding & Approach – Bidder Name
8. Vol 3A Sect 5 Att 4 Statement of Compliance w Requirements – Bidder Name
9. Vol 3A Sect 5 Att 7 Exceptions to the Agreement – Bidder Name
10. Vol 3A Sect 5 Att 8 Firm Mandatory Qualifications – Bidder Name
11. Vol 3A Sect 5 Att 9 Firm References – Bidder Name
12. Vol 3A Sect 5 Att 10 Key Staff Resumes and Quals – Bidder Name Staff Name (First Last)
13. Vol 3A Sect 5 Att 11 Key Staff Reference Forms – Bidder Name Staff Name (First Last)
14. Vol 3A Sect 5 Att 12 Staff Loading Worksheets – Bidder Name
15. Vol 3A Sect 5 Att 13 Iran Contracting Act Certification – Bidder Name
16. Vol 3A Sect 5 Att 14 Certificate of Firm Status – Bidder Name
17. Vol 3A Sect 5 Att 15 Relevant Public Agency Projects – Bidder Name

Vol 3B QA Services Price Proposal Redacted – Bidder Name (Optional)

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

6.3.3 Volume 1 – Business Proposal

6.3.3.1 Transmittal Letter

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

1. The Contractor's business name and address;
2. The nature of the Contractor's business organization, such as: corporation, partnership or other entity;
3. The Contractor's Primary Business Contact including name, title, phone number and email address;
4. A statement certifying that neither the organization, proposed subcontractor organizations, nor any of their principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal, State or County department or agency;
5. A reference to all RFP Addenda received by the Contractor; if none have been received, a statement to that effect must be included;
6. A statement indicating whether the Contractor has had any contracts terminated within the last five (5) years. If any such terminations exist, the Contractor must include details regarding the contract, the reason for termination, date of termination, and client contact information;
7. A statement indicating whether the Contractor is or has been involved in litigation regarding any contracts to which the Contractor is a party, within the previous five (5) years. If any such litigation exists, the Contractor must include details regarding the contract, the reason for litigation, date of litigation, and client contact information;

8. A description of any Prime or subcontractor formal relationships with the Consortium or Counties over the last twenty-four (24) months;
9. A description and associated contract number(s) of any existing contracts between the Contractor's organization, or any party named in the Contractor's response to this RFP, with the Consortium or any California County(ies). If no such contracts exist, so declare;
10. A description of how the Contractor will address any potential conflicts between the Work underway on current contracts and QA Services;
11. A statement certifying that the Contractor has not directly or indirectly entered into any agreement or participated in any collusion or otherwise taken any action in restraint of free competition; that this proposal has been independently arrived at without collusion with any other Contractor, competitor or potential competitor; that this proposal has not been knowingly disclosed prior to the opening of proposals;
12. A statement certifying that the Contractor's Proposal as submitted will remain in full force and effect for a specified period, which must be at least twelve (12) months from the Proposal due date specified in Section 1 or through the Agreement start date, whichever is later;
13. The letter shall be signed by an officer or agent of the Contractor's organization who is authorized to negotiate on behalf of the Contractor and commit the organization to the terms and conditions of the Agreement resulting from this procurement. The Contractor shall include the job title of the individual who signs the letter.

The Transmittal Letter must not contain price information.

6.3.3.2 Table of Contents

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

6.3.3.3 Section 1 – Executive Summary

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

The Executive Summary must not contain price information.

6.3.3.4 Section 2 – Firm Qualifications

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

6.3.3.4.1 Firm Experience Details

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

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

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

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

6.3.3.4.2 Firm Financial Resources

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

6.3.3.4.3 Subcontractor Additional Details

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

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

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

6.3.3.5 Section 3 – Staffing Approach

6.3.3.5.1 Staffing Approach Narrative

The Bidder shall provide a narrative describing the overall staffing approach to the QA Services team including responding to staffing Approach and Requirements contained

in Section 5 – Requirements. The Bidder shall describe the criteria used to fill the Key Staff positions and should discuss the planned interaction between these individuals and Consortium's Project staff in similar roles. The Bidder must include an organization chart displaying the relationships of the QA Services team and include the relationships of the QA Services team to the CalSAWS Project, Consortium and other Consortium Contractors. The narrative response for the Staffing Approach should not exceed 30 pages.

6.3.3.5.2 Staffing Experience Details

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

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

6.3.3.6 Section 4 – Understanding and Approach to QA Services

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

- Sub-Section 5.2.3.1 – Quality Assurance Staffing
- Sub-Section 5.2.3.2 – Integrated Multi-Contractor Environment
- Sub-Section 5.2.3.3 – Software Development Lifecycle
- Sub-Section 5.2.3.4 – Approach to Independent Test

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

6.3.3.7 Section 5 – Business Proposal Attachments

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

- Attachment 4 – Statement of Compliance with Requirements
- Attachment 7 – Exceptions to the Agreement
- Attachment 8 – Firm Qualifications
- Attachment 9 – Firm References
- Attachment 10 – Key Staff Qualifications
- Attachment 11 – Key Staff Reference Forms
- Attachment 12 – Staff Loading Worksheets
- Attachment 13 – Iran Contracting Act Certification
- Attachment 14 – Certificate of Firm Status¹

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

6.3.4 Volume 2 – Price Proposal

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

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

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

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

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

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

6.3.4.1 QA Services Price Summary (Schedule 1)

Schedule 1 – QA Services Price Summary by SFY, shall present the Contractor's total firm fixed maximum price to perform all requirements of the RFP for the 2-month Transition-In period, the 6-Year Base Agreement Term, the four additional Optional Yearly Extensions, and the Total Maximum Price inclusive of the optional extensions. Schedule 1 summarizes the price details provided in other schedules contained in the workbook. This schedule contains formulas that automatically populate the summary price information.

6.3.4.2 Deliverables (Schedule 2)

Schedule 2 – Deliverables shall present the Contractor's total firm fixed maximum price for the Deliverables defined within this RFP. The Proposer must indicate the proposed Deliverable Due Dates, Target Invoice Dates and Payment Dates. Contractors are

required to manually enter information for Columns D through F, and H. Payment for the Transition-In Period will be deliverables-based only. Following the initial Deliverable submission, effort and payment for ongoing monthly and annual Deliverables should be incorporated into Schedule 5 – QA Services Price.

6.3.4.3 Transition-In Staff Loading: December 2026 - January 2027 (Schedule 3)

Schedule 3 – Transition-In Staff Loading: December 2026 - January 2027, shall present the Contractor's key Tasks, positions, FTEs, hours and hourly rates for the two-month Transition-In Services for the period December 2026 through January 2027. Bidders should define additional Tasks as needed. The Staff Loading worksheet should generally reflect the level of effort associated with all Work during the Transition-In period, even though payment will not be based on the Staff Loading.

6.3.4.4 QA Services Price: February 2027 - January 2033 (Schedule 4)

Schedule 4 – QA Services Price: February 2027 - January 2033, shall present the Contractor's total firm fixed maximum price for Services for the Base Contract Period February 2027 - January 2033. This worksheet derives Data from and is linked to Schedule 5 – Staff Loading. Bidders should not modify any of the cells on this worksheet. Schedule 4 defines price by SFY. All indirect costs associated with QA Services must be encompassed within this set of line items.

6.3.4.5 Staff Loading: February 2027 - January 2033 (Schedule 5)

Schedule 5 – Staff Loading: February 2027 - January 2033, shall present the Contractor's key Tasks, positions, FTEs, hours and hourly for the QA Services for the period February 2027 through January 2033. Bidders should define additional Tasks as needed.

Contractors are directed to bid the 28,858 fixed annual hours allocated for QA Services (per Section 1.5). The Staff Loading should generally relate to the ongoing monthly fixed price Deliverables reflected in Schedule 2 – Deliverables. This worksheet provides Data and is linked to Schedule 4 – QA Services Price.

Bidders must reflect actual staff hours per year for that period in columns E through J. The information from this worksheet will automatically populate the average annual hours in Schedule 4.

6.3.4.6 Optional Extension Years 1 - 4 (Schedules 6.1 - 6.4)

Schedules 6.1 - 6.4, Optional Extensions, Years 1 - 4, shall each present the Contractor's total firm fixed maximum price for Services and any other line items. The Tasks and Staff information in Schedule 6.1 – Optional Extension Year 1, is linked to the Schedule 4 – Services Price Schedule. Each subsequent optional year is linked to the prior optional year. Bidders must manually enter percentage increases that apply to the Services and Other line items. Annual increases must not exceed 10%. A one-time Services increase is permitted only for the Year 1 Optional Extension; increases are not permitted for subsequent optional years. The Contractor's total firm fixed maximum price for Services must be the same for all four Optional Extension Years.

Schedules 6.1 - 6.4 define price by SFY. Bidders may adjust the source information as needed. Prices for all line items are structured to split across the two applicable State

Fiscal Years. Bidders may adjust those splits as applicable with supporting assumptions. All indirect costs associated with all Services must be encompassed within this set of line items.

6.3.4.7 Hourly Rate Card (Schedule 7)

Schedule 7 – Hourly Rate Card shall present the Contractor's hourly rates for each position during the Transition-In Period and the Base Contract Term. Hourly rates must remain flat for the Transition-In Period and the Base Contract term combined. Schedule 7 must include hourly rates for all Key Staff positions and non-Key Staff positions. The Contractor hourly rates must include all direct and indirect charges for each position.

6.3.4.8 Change Order Rate Card (Schedule 8)

Schedule 8 – Change Order Rate Card shall present the Contractor's hourly rates for each position for any future potential Agreement Change Orders, Change Notices and Amendments. Schedule 8 must include hourly rates for all Key Staff positions and non-Key Staff positions. The Contractor hourly rates must include all direct and indirect charges for each position. Change Order rates must be within 10% of the hourly rates documented in the Hourly Rate Card for the Transition-In Period and the Base Contract Term.

6.3.4.9 Other (Schedule 9)

Schedule 9 – Other shall present the Contractor's total firm fixed maximum price for Other goods and Services. This schedule captures prices for those items which do not directly correspond to other defined price schedules, including but not limited to third party services. Schedule 9 defines price by SFY. All indirect costs associated with Other goods and Services must be encompassed within this set of line items.

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

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

7 PROPOSAL CONDITIONS AND CERTIFICATIONS

7.1 Authorized Signatures

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

7.2 Term of Offer

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

7.3 Required Review

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

7.4 Incurred Costs

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

7.5 Amendments/Addenda to RFP

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

7.6 Best Value Evaluation

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

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

7.7 Right of Rejection

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

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

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

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

7.8 Public Records Act

All Proposals and other material submitted become the property of the Consortium and are subject to release according to the California Public Records Act ("CPRA," Government Code 7920.000, et seq.). All Proposal information, including price information, will be held in confidence during the evaluation process. Upon issuance of the Notice of Intent to Award (NOIA) pursuant to Section 9, the Consortium will post all Proposals to its website.

If a Bidder believes that any portion of its Proposal is exempt from public disclosure, it may redact the portion(s) regarded as "Confidential" or "Proprietary" and submit separately as Volume 3A Business Proposal and Volume 3B Price Proposal. Refer to Section 6.3.2 Proposal Organization. The Bidder also must include a separate statement setting forth the Bidder's justification for identifying portions of its Proposal as "Confidential" or "Proprietary." If a Bidder fails to submit a separate statement justifying its identification of portions of its Proposal as "Confidential" or "Proprietary," the Bidder's Proposal will be treated as public information and subject to disclosure under the CPRA regardless of whether the Bidder has marked certain portions of its Proposal "Confidential" or "Proprietary." If, on the other hand, a Bidder submits Volume 3A Business Proposal and Volume 3B Price Proposal with a separate statement setting forth the Bidder's justification for the redactions contained in those two volumes, the Consortium will post only Volumes 3A and 3B at the time of the posting of the NOIA. The Consortium reserves the right, however, particularly during the period leading up to the posting of the NOIA, to challenge Bidder's designation of Proposal material as "Confidential" or "Proprietary" and request reduction or elimination of certain redactions. (See Section 9.1.1.)

In the event the Consortium receives a CPRA request for production of Bidders' Proposals, the Consortium initially will produce only Volumes 3A and 3B assuming the redactions contained in those volumes are supported by a separate statement justifying the redactions. The Consortium also will notify Bidders that production of their Proposals has been requested under the CPRA and of the fact that the Consortium initially is producing only the redacted versions of the Business and Price Proposals

contained in Volumes 3A and 3B. In the event a person or entity making a CPRA request for Bidder Proposals objects to receiving only the redacted Volumes 3A and 3B, the Consortium will notify Bidders of this fact and of the Consortium's intent to produce the entire unredacted version of Bidders' Proposals. The Consortium will provide Bidders with a reasonable period prior to producing the full unredacted version of the Bidders' Proposals to take whatever steps Bidders feel necessary to protect their confidential or proprietary information. In no event will the Consortium be responsible for protecting the purported confidentiality of a Bidder's information regardless of its designation by a Bidder as "Confidential" or "Proprietary." If a Bidder fails to obtain relief from a CPRA request for its confidential or proprietary information after the reasonable period provided by the Consortium, the Consortium will produce the entirety of the Bidder's Proposal. In no event will Consortium be liable for disclosure of a Bidder's confidential or proprietary information whether inadvertent or following the reasonable period granted by the Consortium for obtaining relief from such disclosure.

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

7.9 Debarment and Suspension

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

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

7.10 Subcontractors

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

7.11 Final Authority

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

8 EVALUATION

8.1 General

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

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

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

8.2 Evaluation Organization

The Consortium will conduct the evaluation using the following approach:

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

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

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

The following figure depicts the teams and processes.

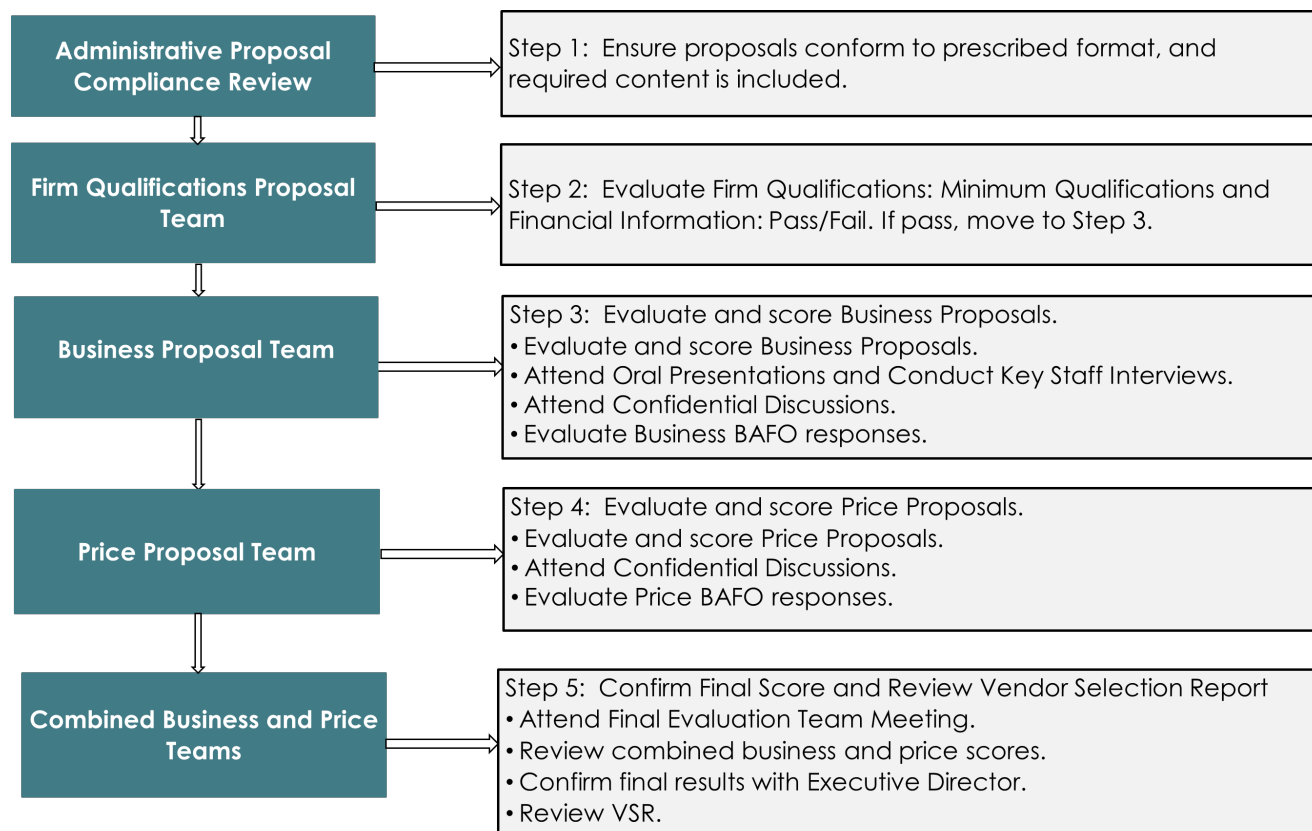


Figure 15: Evaluation Team Structure and Process

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

8.3 Proposal Evaluation Methodology

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

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

8.3.1 Evaluation Methodology

Table 20: Evaluation Methodology

PROPOSAL EVALUATION METHODOLOGY				
	CATEGORY/SUBCATEGORY	SUBCATEGORY WEIGHT	OVERALL WEIGHT	TOTAL POINTS POSSIBLE
	BUSINESS PROPOSAL		70.0%	700.0
1.	Firm Qualifications: Firm References	5.0%		
2.	Staffing	25.0%		
	▪ Staff Qualifications and Experience	10.0%		
	▪ Oral Presentations	5.0%		
	▪ Key Staff Interviews	10.0%		
3.	Understanding and Approach	40.0%		
	▪ Approach to QA Staffing	10.0%		
	▪ Approach to QA Services – Integrated Multi-Contractor Environment	10.0%		
	▪ Approach to QA Services – Software Development Lifecycle	10.0%		
	▪ Approach to Independent Test	10.0%		
	Total Business Proposal Scores			700.0
	PRICE PROPOSAL		30.0%	300.0
4.	Six Year Base Contract Term (Excluding 2-Month Transition-In Period)	30.0%		
	Total Price Proposal Scores			300.0
	BUSINESS PROPOSAL + PRICE PROPOSAL TOTAL		100.0%	1,000.0

8.4 Administrative Compliance Review and Firm Qualifications Evaluation

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

8.4.1 Administrative Compliance Review

8.4.1.1 Receipt of Proposals

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

8.4.1.2 Compliance Review

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

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

8.4.2 Firm Qualifications

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

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

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

8.4.3 Cure Process and Period

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

If, after the Bidder has had the opportunity to cure, and has not corrected the irregularities, defects or variations, the Consortium will eliminate the Proposal from further consideration. The Contractor will be notified as soon as is reasonably possible if

their Proposal has been eliminated due to failure to meet mandatory form and content requirements after having had the opportunity to cure.

8.4.4 Completion of the Administrative Compliance and Firm Qualifications Phase

For those Proposals that pass the Administrative compliance review and Firm Qualifications phase, they will move into the next phase: the Business Proposal Evaluation.

8.5 Business Proposal Evaluation

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

1. **Firm References:** The Evaluation Team will review, discuss and confirm the scores for the Firm References for each Bidder.
2. **U&A Requirements:** Each individual Evaluation Team member will review and score the U&A requirements for each Business Proposal. Once the individual team member U&A scores are completed, the Evaluation Team will meet to review and discuss the rationale for the scores. The Evaluation Team will discuss the Proposals and reach consensus on the team score for each U&A requirement.
3. **Staffing:**
 - The Evaluation Team will review and discuss the Staff Qualifications and Experience information and confirm the team scores for each proposed Key Staff person.
 - The Oral Presentations and Key Staff Interviews will be rated on a 1-10 scale.
 - Once the Oral Presentations and Key Staff Interviews are completed, the Evaluation Team will reach consensus on the total score for the Staff Qualifications, Oral Presentations and Key Staff Interviews.
4. The resultant points for each subsection will be multiplied by the subcategory weight and totaled to create a weighted or normalized Business Proposal score.
5. The Bidder with the highest Business Proposal score will receive the maximum possible score (700 points).
6. The scores of the other Bidders will be normalized as follows: $(\text{Business Proposal Score} / \text{Highest Business Proposal Score}) * 700 = \text{Normalized Business Proposal Score}$

8.5.1 Business Proposal Evaluation Criteria

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

8.5.1.1 Firm Qualifications Client References

Client references, including but not limited to those obtained from relevant public agencies, provided by the Bidder will be reviewed. The scores of all references will be averaged to produce the overall Firm Qualifications Client References Average Score.

8.5.1.2 Staffing

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

- The extent to which the minimum Key Staff qualifications were met and/or exceeded;
- Experience of proposed staff providing QA Services or other like Services, including Independent Verification and Validation Services (IV&V);
- The justification of staff types and levels proposed;
- Key Staff client references;
- Performance in Oral Presentations; and
- Performance in Key Staff interviews.

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

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

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

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

8.5.1.3 Understanding and Approach

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

- QA Staffing
- QA Services – Integrated Multi-Contractor Environment
- QA Services – Software Development Lifecycle
- Independent Test

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

8.6 Price Proposal Evaluation

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

The Price Proposal Schedules will be evaluated based on the total price of the six-year Base Contract period (excluding the two-month Transition-In Period). The Contractor's total price will be considered; individual cost elements will not be considered. All Price Proposals will be ranked from lowest price to highest price. Each Contractor will receive a score for the Base Period based on a proration of 300 points, with the lowest Price Proposal allocated the maximum available 300 points and each higher Price Proposal receiving a normalized (reduced) score based on the lowest Price Proposal divided by each of the higher Price Proposals.

To simplify, the Price Proposal evaluation formula is:

Contractor Price Score = (Lowest Price / Contractor Price) * 300.

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

Table 21: Example QA Services Total Prices

CONTRACTOR	TOTAL PRICE
A	\$35,000,000
B	\$27,000,000
C	\$30,000,000
D	\$37,000,000

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

Table 22: Example QA Services Contractor Price Proposal Scoring

CONTRACTOR	CONTRACTOR PRICE	LOWEST CONTRACTOR PRICE	LOWEST PRICE / CONTRACTOR PRICE	TOTAL POSSIBLE PRICE POINTS	CONTRACTOR PRICE SCORE
B	\$27,000,000	\$27,000,000	1.00	300.0	300.0
C	\$30,000,000	\$27,000,000	0.90	300.0	270.0
A	\$35,000,000	\$27,000,000	0.77	300.0	231.4
D	\$37,000,000	\$27,000,000	0.73	300.0	218.9

8.7 Evaluation of Final Proposals

The Business Proposal Evaluation Team will rank and score each Business Proposal using the evaluation criteria as established in Section 8.5.1 – Business Proposal Evaluation Criteria. A separate Price Proposal Evaluation Team will rank and score Price Proposals using the evaluation criteria as established in Section 8.6.

8.7.1 Best and Final Offer

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

8.7.2 Final Proposal Scoring

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

8.8 Final Authority

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

9 NOTICE OF INTENT TO AWARD AND NEGOTIATIONS

9.1 Notice of Intent to Award

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

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

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

9.1.1 Confirmation of Information Prior to Issuance of NOIA

No later than thirty (30) days prior to the issuance of the VSR and NOIA, the Consortium will inform Bidders of any disagreements the Consortium has with respect to the Bidders' redaction of materials submitted as part of their Proposals based on the claim such material constitute confidential or proprietary Data. Bidders will then have fifteen (15) days in which to unredact those materials or provide further justification for the redactions. In the event, that any challenge is raised before any court or before the Appeal Review Panel described in Section 9.3 to any claims that redacted material in a Proposal constitutes confidential or proprietary Data, the Consortium will inform the Bidder whose redactions are at issue to enable the Bidder to take whatever steps it deems appropriate to defend its redactions. In no event, however, will the Consortium be responsible for defending those redactions.

If Bidders do not comply with the Consortium direction regarding the redactions, Bidders assume the risk that the Consortium will publish the unredacted versions of Bidders' Proposal Volumes 1 and 2.

9.1.2 Posting of Information Upon Issuance of NOIA

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

9.2 Contract Negotiations

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

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

If the selected Bidder,

- fails to provide the information required to begin negotiations in a timely manner; or
- fails to negotiate in good faith; or
- indicates it cannot perform the contract within the budgeted funds available for the Project; or
- if the Bidder and Consortium, after a good faith effort, simply cannot come to terms, then the Consortium may terminate negotiations with the Bidder initially selected and commence negotiations with the next highest rated Bidder.

9.3 Appeals

9.3.1 Introduction

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

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

9.3.2 Grounds for Appeal

Appeals are limited strictly to the following grounds:

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

Appeals will not be accepted for any other reason.

9.3.3 Initiating an Appeal

An appeal is initiated by submitting a Notice of Appeal in writing (by e-mail, or First-Class mail) to the Consortium's Executive Director within five (5) business days of the date of the public posting of the NOIA per section 9.1 above.

The Notice of Appeal must contain the following information:

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

The Executive Director is Julia Erdkamp:

Address: 11971 Foundation Place, 3rd Floor, Gold River, CA 95670

Email: Erdkampj@CalSAWS.org

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

9.3.4 Appeal Review Panel and Its Responsibilities

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

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

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

9.3.5 Appeal Procedures

9.3.5.1 Requests for Additional Documentation

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

direct the parties to file letter briefs of no more than five (5) pages setting forth their position on the disputed document production requests and/or hold a hearing on said issues and shall advise the parties of the due date for the letter briefs and/or the date for the hearing. If the Appeal Review Panel directs the filing of letter briefs and/or conducts a hearing, the matter will not be deemed submitted to the Appeal Review Panel until such letter briefs are filed and/or the hearing is closed. The Appeal Review Panel's determination of whether the disputed documents should be produced shall be made no later than ten (10) calendar days following the final submission of the matter to it.

9.3.5.2 Submission of Issue(s) Statement

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

9.3.6 Submission of Briefs and Documentary Evidence

No later than twenty (20) calendar days from notice to the parties by the Appeal Review Panel of the issues deemed to be within the proper scope of the appeal, the appealing Bidder shall submit to the Appeal Review Panel, and serve upon the Consortium, its letter brief setting forth its position on the factual and legal issues raised by the appeal. The appealing Bidder's letter briefs shall be accompanied by all documentary evidence on which the Bidder intends to rely in support of their position and (ii) a list of the individuals who will participate in the hearing described below.

Twenty (20) calendar days after the appealing Bidder provides its brief to the Appeal Review Panel, the Consortium will submit to the Appeal Review Panel, and serve upon the appealing Bidder, its response to the appealing Bidder's brief. The Consortium's response shall be accompanied by all documentary evidence on which it intends to rely in support of its respective position. The Consortium will also provide a list of the individuals who will participate in the hearing.

A reply brief by the appealing Bidder is expressly not permitted.

9.3.6.1 Summary Dismissal of Appeal

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

9.3.6.2 Hearing

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

9.3.6.3 Appeal Review Panel Decision

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

9.3.6.4 Summary of Appeal Schedule

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

Table 23: Summary of Appeal Schedule

EVENT	DUE DATE
Notice of Appeal	Five (5) business days from the NOIA.
Executive Director's acknowledgement of appeal	Two (2) business days from Notice of Appeal
Executive Director's notification to Consortium Board of Directors re appeal	Two (2) business days from Notice of Appeal
Executive Director's notification to appealing Bidder of formation of Appeal Review Panel	Two (2) business days following Consortium Board Chair's formation of Appeal Review Panel
Request(s) for Additional Documentation	Ten (10) calendar days from filing Notice of Appeal
Executive Director's Objection(s) to Request(s) for Additional Documentation	Ten (10) calendar days from service of Request(s) for Additional Documentation

EVENT	DUE DATE
Appeal Review Panel's determination of disputed document production requests	Ten (10) calendar days from final submission to it of disputed document production requests
Appealing Bidder's Issue Statement	Fifteen (15) calendar days from the Notice of Appeal of the Appeal Review Panel's determination of disputed document production requests, whichever is later.
Executive Director's response to Issue Statement	Ten (10) calendar days from service of Issue Statement
Appeal Review Panel's notification to parties of issues properly within scope of appeal	Ten (10) calendar days from service of Executive Director's response to Issue Statement
Appealing Bidder submission of hearing brief, all documentary evidence on which it relies, and list of hearing participants	Twenty (20) calendar days from notification by Appeal Review Panel of issues deemed to be within proper scope of appeal
Consortium's response to appealing Bidder's hearing briefs, all documentary evidence on which it relies, and list of hearing participants	Twenty (20) calendar days from submission of appealing Bidder's hearing briefs
Hearing	No later than forty-five (45) days from submission of Consortium's response to appealing Bidder's hearing briefs
Notification by Appeal Review Panel of amount of time for oral presentations	No later than ten (10) calendar days prior to the hearing.
Appeal Review Panel decision	Twenty (20) calendar days from hearing.

10 AGREEMENT WITH SUCCESSFUL BIDDER

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

11 QA SERVICES ATTACHMENTS

11.1 Attachment 1 – Statement of Work

The QA Services Contractor will provide Services as contained in the Statement of Work (SOW) for the duration of the Agreement.

11.1.1 Consortium Responsibilities

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

Table 24: Consortium QA Services Responsibilities

CALSAWS CONSORTIUM ROLES AND RESPONSIBILITIES	
Transition-In	<ul style="list-style-type: none">▪ Participate in and support Transition-In meetings▪ Confirm Consortium staff are familiar with QA services and new or revised processes
Project Management	<ul style="list-style-type: none">▪ Maintain Project standards, policies and procedures▪ Maintain the Enterprise PCD▪ Develop and maintain the CalSAWS Master Work Schedule▪ Oversee Contractor Agreements and performance requirement commitments▪ Provide facilities for Contractor personnel▪ Provide timely review and approval of Contractor Work products and Deliverables▪ Maintain and evolve the Collaboration Model and Charter▪ Provide Consortium staff to work with the Contractor▪ Provide access to Project information including technical, program and policy documentation▪ Work with Contractors to perform issue escalation and resolution, and ongoing risk management▪ Participate and support corrective action planning and execution activities▪ Manage expectations and communications for the JPA Board of Directors, Project Steering Committee, and other stakeholders▪ Manage planning and administration of Project funding
System Change Request	<ul style="list-style-type: none">▪ Participate in and support System Change Request (SCR) and enhancement meetings▪ Provide approval for SCR and enhancement application changes▪ Support the User Centered Design, customer experience and public marketing and outreach processes and activities.

CALSAWS CONSORTIUM ROLES AND RESPONSIBILITIES	
	<ul style="list-style-type: none"> Participate in the Change Control Board (CCB) and System Change Request Board (SCRB) process
Marketing and Public Communications	<ul style="list-style-type: none"> Provide oversight of the approach to public outreach and marketing Participate and support Marketing and Public Communications planning and implementation of outreach activities
Support Services	<ul style="list-style-type: none"> Participate in and support Technical meetings Participate in the Change Advisory Board (CAB) process
Enhancement and Innovation	<ul style="list-style-type: none"> Participate in and support Innovation-related planning and implementation meetings Provide Consortium staff to participate in Proofs of Concepts Drive Consortium and Contractor improvements to the Collaboration Model, User Centered Design, and Public outreach
Production Operations	<ul style="list-style-type: none"> Participate in and support Technical and Production Operations meetings Provide approval for new/change/removal of software purchases Participate in the Change Advisory Board (CAB) process Assist in the management of escalated defects and the notification of the necessary parties Monitor escalated issues to confirm timely resolution Review Service Level Agreement (SLA) and performance reports Manage communication and coordination of any impacts on the Consortium and stakeholders
Technology Recovery	<ul style="list-style-type: none"> Participate in and support the Technical Change Management Process and Technical Recovery meetings Participate in Contractor's retrospective of Technical Recovery execution and results
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
Transition-Out	<ul style="list-style-type: none"> Participate in and support Transition-Out meetings and activities

11.1.2 Contractor Responsibilities

The Contractor responsibilities include the following general items:

- Perform the Services required under this Agreement in a manner that will not disrupt the CalSAWS operations.
- Deliver the Services specified in this SOW and included in Attachment 2 – Requirements Matrix.
- Produce and deliver the Contract Deliverables specified in Attachment 3 – Deliverable Inventory.
- Apply CalSAWS standardized business processes and leverage CalSAWS tools to manage Project activities and satisfy QA Services reporting requirements.
- Comply with all applicable Consortium policies and procedures.
- Coordinate and collaborate with the Consortium and other CalSAWS Contractors in CalSAWS issue and risk management activities.

11.1.3 Contractor Staffing

11.1.3.1 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 CalSAWS Executive Director. The Consortium requires that Contractor Key Staff are dedicated on a full-time basis during the base contract term. 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 QA Services 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.

After the successful completion of the Transition-In period, Key Staff and other staff may be required to work on-site per Consortium direction. The Consortium assumes four (4) Key Staff will work full-time on-site with an additional 20% of staff working on-site periodically. The Consortium's long-term expectation is to support a remote staff model.

11.1.3.2 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 Contractor staff, and State staff/Project Sponsors.

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 overall Project. 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 QA Services Contractor minimizes staff turnover to the extent possible, particularly for Key Staff as detailed below.

11.1.3.3 Contractor Staff Changes

For any expected QA Services Key Staff changes, the Contractor will provide a 30-calendar day notice to the Executive Director regarding the change and plans for transition. The QA Services Contractor will provide the Consortium at least two resumes with proof of experience that meet or exceed 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.

11.1.3.4 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 QA Project Manager as soon as is reasonably possible. If the Executive Director requests removal of any staff person, the Contractor will immediately remove such staff from the Project.

11.1.3.5 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. 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.

11.1.3.6 Key Staff

Bidders submitting a Proposal will include the following Key Staff. This Section defines the Key Staff Mandatory Qualification (MQ) requirements for the Contractor's leadership team who will work alongside the Consortium's leadership team for the duration of the Agreement.

Key Staff include the following:

1. QA Project Manager
2. QA Test Manager
3. QA Functional Manager
4. QA Technical Manager

Key Staff role descriptions and mandatory qualifications follow.

11.1.3.6.1 QA Project Manager

The QA Project Manager is responsible for managing the overall QA scope of services and team, administering the QA Agreement, ensuring resource availability, project management, System and process analyses, identifying emerging trends, independent testing, and required reporting. The QA Project Manager is responsible for ensuring the CalSAWS Project receives company support, commitment, and oversight to meet or exceed all contractual requirements. The QA Project Manager must have the decision-making authority to bind the QA vendor contractually to all terms and conditions in the QA Agreement throughout the Agreement term. The QA Project Manager is accountable for QA staff performance.

In addition to the above, the QA Project Manager responsibilities include:

- Ensuring the QA team understands the scope of the QA Agreement and the QA role in the "big picture" of the CalSAWS Project, including how to work in concert with the Consortium, the Counties, State sponsors, federal partners and other CalSAWS Contractors.
- Managing and leading the QA team.
- Reviewing other CalSAWS Contractor Deliverables and Work products.
- Adhering to Project Management processes and procedures documented in the CalSAWS Enterprise PCD and other CalSAWS Contractor Service Plans.
- Managing the development and delivery of all QA deliverables, Work products, tasks and services and ensuring they are of the highest quality.
- Recommending issue resolution and risk mitigation strategies.

- Providing as-needed support to the Consortium management team in the form of development and delivery of presentation materials, general advice and recommendations and assistance in remediating concerns and solving problems.
- Participating in ongoing communications and status updates to the CalSAWS JPA Board of Directors, Project Steering Committee (PSC), State and federal Stakeholders as directed by the Executive Director.
- Participating as a key resource in the Consortium's Production release green light/go, no-go process, providing the Consortium with the QA Go/No-Go recommendation.
- Proactively identifying process improvements.

Table 25: QA Project Manager Mandatory Qualifications

QA PROJECT MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualification
S3	A minimum of eight (8) years of experience leading QA services in the information system projects (health and human services systems preferred).
S4	A minimum of five (5) years of Project Management experience in project planning, scheduling, budgeting, and resource management, and risk and issue management.
S5	A minimum of five (5) years of experience building and maintaining strong working relationships with clients, and key internal and external stakeholders and other contractors; conveying relevant information to an executive-level audience, ensuring client is aware of progress/service status; and building credibility and fostering business-partnering relationships.
S6	Possess and maintain a valid Project Management Institute (PMI) Project Management Professional (PMP) certification throughout the term of this Agreement.

11.1.3.6.2 QA Test Manager

The QA Test Manager is responsible for the planning and execution of all QA Independent test efforts, including management and oversight of the QA Independent test team. The QA Test Manager is responsible for the Independent Test Plan deliverable and Work products consistent with the Quality Assurance Services Plan and OWDs. The QA Test Manager will coordinate with the Consortium's Policy Design and Application Managers to determine which SCRs will be tested by the QA team based on priority and complexity. The QA Test Manager will work closely with the QA Project Manager to ensure that QA of the other CalSAWS Contractor test activities are coordinated and communicated across the QA teams and with the other CalSAWS Contractors and the Consortium. The QA Test Manager responsibilities include:

- Reviewing other CalSAWS Contractor Deliverables and Work products.
- Ensuring adherence to the applicable Test Management processes and procedures documented in the other CalSAWS Contractor Service Plans and OWDs.
- Leading the effort to develop and execute the Independent Test Plan.
- Ensuring the SCRs prioritized for the Independent tests are approved by the Consortium.
- Managing QA test resources necessary for executing the Independent test activities and determining specific test assignments for each release.

- Ensuring on-schedule performance of all independent test planning, execution, re-test and reporting activities.
- Coordinating code releases and batch processing with other CalSAWS Contractors.
- Managing Independent regression test activities.
- Ensuring the accuracy and effectiveness of the Independent Test scripts.
- Providing the Consortium with evidence of the successful completion of the Independent test activities and participating as a key resource in the Consortium's Production release green light/go, no-go process.
- Reviewing and providing recommendations for improvements and innovation to other CalSAWS Contractor testing activities, including System, A/B, manual and automated Regression and User Experience Testing.
- Escalating code quality deficiencies or test procedure issues, as appropriate.
- Report on deviations in other CalSAWS Contractor test plans.
- Managing QA testers providing as needed test support services to the Consortium Test Team and the County Validation Test effort.

Table 26: QA Test Manager Mandatory Qualifications

QA TEST MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualification
S7	A minimum of two (2) years of experience in a test leadership role on information system projects and knowledge of test methodologies and industry standards.
S8	A minimum of five (5) years of experience developing and executing test plans and work schedules, in compliance with a recognized standard, such as IEEE or ISO.
S9	A minimum of two (2) years of experience with Health and Human Services systems projects.

11.1.3.6.3 QA Functional Manager

The QA Functional Manager is responsible for assisting with the review of SCR requirements and design documentation, release notes and other materials and communications related to Production releases, participating in the Collaboration Model process, conducting independent analysis of application requirements at the request of the Consortium, and supporting the QA Independent test and other Consortium test support activities.

The QA Functional Manager activities include:

- Reviewing and analyzing the SCRs and associated application development Work products to determine the viability of the scope, level of effort, resources, schedule, budget, impacts to the enterprise of CalSAWS applications and functions, and impact to county business operations.
- Participating in requirements gathering and design sessions to provide input and support for the Consortium.
- Reviewing other CalSAWS Contractor Deliverables and Work products.
- Ensuring adherence to SCR processes and procedures documented in the other CalSAWS Contractor Service Plans and OWDs.

- Tracking changes and corresponding requirements across multiple programs and reviewing Requirements Traceability Matrices.
- Updating QA and Consortium management on deviations from other CalSAWS Contractor requirements.
- Reviewing the Independent Test scripts, with a focus on complex System changes.
- Supporting or reviewing Independent Test results.
- Providing recommendations regarding the readiness of releases for production.
- Reviewing release notes and other release documentation or training materials.
- Participating as a key resource in the Consortium's Production release green light/go, no-go process.
- Analyzing and/or developing business process solutions, sometimes in the absence of an automated solution, to support Consortium and County business operations.
- Participating in process improvement initiatives.

Table 27: QA Functional Manager Mandatory Qualifications

QA FUNCTIONAL MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualification
S10	A minimum of five (5) years of experience working with Health and Human Services program policy and requirements as related to eligibility determination, outcomes, noticing and reporting.
S11	A minimum of four (4) years of experience in design and testing of eligibility systems in a systems integrator or QA role.
S12	A minimum of four (4) years of experience developing and/or reviewing and tracking requirements through Production release.

11.1.3.6.4 QA Technical Manager

The QA Technical Manager will provide technical support and advice to the Consortium, evaluate performance metrics, collaborate with technical teams, evaluate performance metrics, and provide management and oversight of the QA Technical Team.

The QA Technical Manager activities include:

- Reviewing other CalSAWS Contractor Deliverables and Work products.
- Ensuring adherence to the technical processes and procedures documented in the other CalSAWS Contractor Service Plans and OWDs.
- Updating QA and Consortium management on deviations from other CalSAWS Contractor technical requirements.
- Identifying, recording and escalating risks and issues as appropriate, and making recommendations for issue resolution/escalation tracking.
- Reviewing the strategies and proposed innovation Proofs of Concepts to improve the CalSAWS technical infrastructure and applications and making recommendations for improvements.

- Periodically reviewing CalSAWS architecture including infrastructure, cloud environment, configuration management, Data management, networks, and applications to ensure adherence to requirements.
- Analyzing other Contractor code review results.
- Reviewing system performance metrics and providing recommendations for improvement.
- Reviewing Production releases involving technical, network or configuration changes.
- Reviewing and recommending improvements to system security processes.
- Recommending process changes or potential upgrades to ensure performance remains within defined Service Level Agreement parameters.
- Overseeing the QA review of System performance monitoring, availability and capacity planning.

Table 28: QA Technical Manager Mandatory Qualifications

QA TECHNICAL MANAGER MANDATORY QUALIFICATIONS	
Req#	Mandatory Qualification
S13	A minimum of five (5) years of experience in a technical leadership role.
S14	A minimum of two (2) years of experience with Health and Human Services systems.
S15	A minimum of five (5) years of experience with similar technical architecture infrastructure areas including AWS cloud, system interoperability, APIs and interfaces.
S16	A minimum of one (1) year of experience on a large and complex IT System using Information Technology Infrastructure Library (ITIL) standards and framework.

11.1.4 Requirements

11.1.4.1 Task 1 – Transition-In Requirements

The successor Contractor has the overall responsibility for providing an orderly transition from the current contract. During this period, the incumbent contractor and the successor Contractor will work in parallel. The successor Contractor will complete transition and assume responsibility for all CalSAWS Quality Assurance (QA) Services and functions included in this Agreement within two (2) months of the Agreement Effective Date.

The successor Contractor Transition-In activities include:

- Maintaining and updating QA Transition-In activities within the Quality Assurance Work Schedule, in accordance with the Quality Assurance Services Plan.
- Advising the Consortium when the Transition-In activities have been successfully completed and confirm Consortium staff are familiar with the Contractor's QA Services and any new processes used by the Contractor upon transition from the incumbent Contractor.

11.1.4.2 Task 2 – Management Requirements

The successor Contractor has the overall responsibility for providing effective management of the QA team. The successor Contractor will perform a range of management requirements activities in cooperation and coordination with the Consortium and other CalSAWS Contractors.

11.1.4.2.1 Subtask: 2.1 Quality Assurance Management

The successor Contractor will perform a range of QA management activities in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

- The Contractor will manage the Work performed under this Agreement, including Project management, Work Schedule management, strategic planning, application and technical management, contract management, budget management, Deliverable management, and staff management.
- The Contractor will comply with the CalSAWS Enterprise PCD processes and procedures and will adhere to the Consortium's operating policies and procedures.
- The Contractor will execute QA Services in accordance with the approved Quality Assurance Services Plan and the associated Operational Working Documents (OWDs) that provide the detailed procedures for the activities and processes contained in the Quality Assurance Services Plan.
- The Contractor will execute a QA strategy to enhance overall Project efficiency, quality and delivery.

11.1.4.2.2 Subtask: 2.2 Project Management Support

The Contractor will perform a range of CalSAWS project management support activities in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

- The Contractor will provide Project Management support activities, including general assistance to the Consortium PMO.
- The Contractor will support the Consortium's contract management activities, fiscal planning and execution activities, and federal and State audit activities.
- The Contractor will provide QA of Project Management activities of other CalSAWS Contractors, including conducting Deliverable reviews, analyzing SCR cost estimates and impacts, performing as-needed special assessments, and providing recommendations for improvement and innovation to the CalSAWS processes and technologies.

11.1.4.3 Task 3 – Quality Assurance Requirements

The Contractor has the overall responsibility for providing QA of all activities defined within the other CalSAWS Contractor agreements to include:

- Reviewing and recommending improvements to other CalSAWS Contractor processes, activities and OWDs.
- Reviewing and documenting findings associated with other Contractor Project Deliverables and Work products, including project management, SCR and SCR-

related, marketing and public communications, enhancement and innovation, operations and security.

11.1.4.3.1 Subtask: 3.1 Project Management

The Contractor will perform a range of QA project management activities in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

- Providing QA of other CalSAWS Contractors Project Management activities, consistent with the Quality Assurance Services Plan and the associated OWDs.
- Ongoing evaluations of statutory and/or regulatory changes impacting program eligibility and related benefits, including business implications, schedules, and costs.
- Performing as needed special assessments, as requested by the Consortium, including examining Project practices, technologies and processes for performance and potential improvements, and validating other CalSAWS Contractors' performance outcomes.
- Supporting the development and execution of supportive activities including assessments of proposed new tools and conducting manual code reviews.
- Supporting the CalSAWS Infrastructure Contractor and other CalSAWS Contractors as necessary with the technology recovery in the event the primary production environment becomes unavailable.

11.1.4.3.2 Subtasks: 3.2 - 3.8 SCR Process

The Contractor will perform a range of QA SCR process activities in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

- Providing QA of other CalSAWS Contractor SCR and related activities, consistent with the Quality Assurance Services Plan and the associated OWDs.
- Participating in User Centered Design activities and Collaboration Model meetings and providing the Consortium with recommendations for improvements.
- Reviewing and recommending improvements and/or efficiencies associated with the Consortium's annual Production release schedule and bi-monthly releases.
- Confirming System modifications adhere to the Consortium's DevSecOps practice, and to the American with Disabilities Act (ADA) Standards for Accessible Design, Section 508 of the Rehabilitation Act.
- Reviewing and providing recommendations for improvements and innovation to System requirements and design activities.
- Reviewing and providing recommendations for improvements and innovation to other CalSAWS Contractor testing methodologies and processes.
- Supporting the Consortium's Test Team and the Consortium's County Validation Test efforts at the request of the Consortium.
- Providing incident analysis and evaluating other CalSAWS Contractor test results trends to detect patterns and to provide the Consortium with recommendations for test process improvements.
- Reviewing and providing recommendations for improvements and innovation to Change Management and Training activities, production readiness, green light/go, no-go, and deployment and post-deployment activities.

11.1.4.3.3 Subtask: 3.9 Marketing and Public Communications Support

The Contractor will perform a range of QA marketing and public communication activities in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

- Confirming the other CalSAWS Contractors' maintenance of standards and quality control of CalSAWS internal and external communications is conducted in accordance with the CalSAWS Enterprise PCD.
- Supporting marketing and public communications activities including making process improvement recommendations for the enhancement of public communications and marketing materials.
- Reviewing and providing improvement recommendations for the use of electronic and web-based communication, graphic arts initiatives and informational and promotional materials for public consumption.

11.1.4.3.4 Subtask: 3.10 Enhancement and Innovation

The Contractor will perform a range of QA enhancement and innovation activities in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

- Reviewing and recommending improvements to the Consortium's approach to using, enhancing, maintaining, and deploying automation, Artificial Intelligence and Machine Learning.
- Assessing proposed CalSAWS innovation initiatives for business impact, schedule and cost.
- Reviewing and recommending improvements to the other CalSAWS Contractor key performance and operational metrics, dashboard and reporting activities and Work products.

11.1.4.3.5 Subtask: 3.11 Operations

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

- Supporting operational activities, including performing assessments of the CalSAWS Tier 1, Tier 2 and Tier 3 Service Desks and the BenefitsCal Technical Help Desk processes for improvements and providing recommendations.
- Reviewing performance results submitted to the Consortium, identifying emerging trends and providing associated recommendations.
- Reviewing AWS infrastructure designs and changes, identifying potential vulnerabilities and recommending mitigation strategies to the Consortium.
- Identifying risks associated with CalSAWS security and compliance controls, including compliance with the FedRAMP and NIST standards and recommending mitigation and remediation strategies.
- Conducting and reporting outcomes of Operations related SLA assessments.

11.1.4.3.6 Subtask 3.12 – Security

The Contractor will perform a range of QA security and privacy activities in cooperation and coordination with the Consortium and other CalSAWS Contractors to include:

- Reviewing and recommending improvements to the CalSAWS Contractor approach to security requirements.
- Conducting and reporting outcomes of security and privacy related assessments.
- Supporting security and privacy activities at the request of the Consortium Information Security Office and the Privacy Office.

11.1.4.4 Task 4 – Independent Test Planning, Executing and Reporting

The Contractor will perform a range of QA independent test activities in cooperation and coordination with the Consortium and other CalSAWS Contractors as applicable, consistent with the Quality Assurance Services Plan and the associated OWDs to include:

- Performing functional and non-functional integration, system, batch, sanity, interface and API, ADA, and automated and manual regression testing of releases prior to production deployment.
- Maintaining test plans and scripts necessary to conduct comprehensive testing of system changes.
- Coordinating with other CalSAWS Contractors to align test activities, environments and schedules, as necessary.
- Providing progress reporting to the Consortium and other CalSAWS Contractors.
- Trending test results and recommending test process improvements and providing recommendations to the Consortium.

11.1.4.5 Task 5 – Transition-Out Requirements

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

- Maintaining and updating QA Transition-Out activities within the Quality Assurance Work Schedule.
- Advising the Consortium when the Transition-Out activities have been successfully completed and confirm concurrence with both the successor Contractor and the Consortium.
- Developing the QA Final Project Closeout Report to provide evidence that all Agreement terms and conditions have been fulfilled.

11.1.5 Deliverables

11.1.5.1 Deliverable Process

The Contractor will perform Deliverable Management activities in accordance with the Consortium's Enterprise 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 Enterprise PCD also defines the acceptance and rejection processes and the roles of the Consortium and Contractor.

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

11.2 Attachment 2 – Requirements Matrix

This page intentionally left blank. See separate document attachment.

11.3 Attachment 3 – Deliverable Inventory

Table 29: Deliverable Inventory

DEL ID	DELIVERABLE NAME	DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
QA-D01	Quality Assurance Services Plan and Operational Working Documents	<p>The Quality Assurance Services Plan will include:</p> <ol style="list-style-type: none">1. Introduction2. Document Purpose3. Roles and Responsibilities4. Key Staff5. Project Work Schedule<ol style="list-style-type: none">a. Roles and Responsibilitiesb. Schedule Management Processc. Schedule Analysis and Reportingd. Cost Estimating Methodology6. Project Management<ol style="list-style-type: none">a. QA Invoice Managementb. QA Agreement Change Managementc. QA Project Status Reporting7. Approach to other CalSAWS Contractor deliverable and Work product reviews.8. Approach to project metrics identification, tracking and reporting.9. Approach to conducting and reporting outcomes of recurring SLA assessments and operational process reviews.10. Approach to conducting security reviews and supporting Consortium Information Security Office activities.11. Approach to conducting and reporting outcomes of recurring technical process and operational process reviews, and identification of process vulnerabilities, efficiencies and redundancies.12. Approach to Independent Test activities.	New	As needed when changes occur, however, no less frequently than annually	Contract Start + 30 Days	QA-2.1-02

DEL ID	DELIVERABLE NAME	DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		13. Approach to leading QA activities. 14. Approach to Project Close-Out. 15. Operational Working Documents and associated Templates.				
QA-D02	Quality Assurance Work Schedule	The Quality Assurance Work Schedule will be developed and updated in MS Project in accordance with the CalSAWS Enterprise PCD and the Quality Assurance Services Plan and will include: <ol style="list-style-type: none"> 1. All tasks and subtasks which are expected to be completed by Contractor. 2. Start and completion dates for all tasks and subtasks. 3. Predecessor and successor dependencies for all tasks and subtasks. 4. Resource assignments for all tasks and subtasks. 5. Estimated hours for all tasks and subtasks. 6. Actual hours worked by Contractor staff for all tasks and subtasks. 	New	Monthly	Contract Start + 15 Days	QA-2.1-04
QA-D03	Quality Assurance Monthly Status Report	The Quality Assurance Monthly Status Report will provide updates to the Consortium of what has been accomplished since the prior status report and will include: <ol style="list-style-type: none"> 1. Brief Project overview with a summary of the CalSAWS objectives and scope and the corresponding QA objectives and scope. 2. A detailed account of key achievements and milestones reached, critical path timelines, and a description of tasks completed and in-progress. 3. Detailed description of special initiatives or assessments completed and in-progress with 	New	Monthly, within 5 business days following the end of the prior month	Month 2 + 5 business days	QA-2.1-06

DEL ID	DELIVERABLE NAME	DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<p>results and recommendations for remediation and future improvements.</p> <ol style="list-style-type: none"> Risks and issues identified by and/or assigned to the QA Contractor outlining any ongoing problems or challenges, and potential risks with corresponding recommended mitigation strategies. Description of planned/upcoming QA tasks with associated timelines. Description of other Contractor CalSAWS Deliverable reviews completed and in-progress, providing insights into the quality of project deliverables including a summary of defects documented and recommendations made, and areas that require improvement. Description of QA action items assigned to QA team members and the expected and actual timelines for completing each action item. 				
QA-D04	Quality Assurance Independent Test Plan and Operational Working Documents	<p>The Quality Assurance Independent Test Plan will include:</p> <ol style="list-style-type: none"> Independent Test Strategy and Management – The overall approach to testing, including types of testing to be performed. Independent Test Objectives – Clear, measurable goals for the testing process. Approach to Communication – Alignment with CalSAWS communication processes and expectations. Approach to Scope, Priority Assessments and Obtaining Consortium Validation – What will and will not be tested, including how the scope of testing efforts will be determined, and Consortium approvals will be obtained. 	New	As needed when changes occur, however, no less frequently than annually	Month 2 - 1 st Business Day	QA-4.1-02

DEL ID	DELIVERABLE NAME	DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		5. Approach to Scheduling in Cooperation with the other CalSAWS Contractors – How timelines for testing activities, including milestones, deadlines and testing efficiencies will be established. 6. Approach to Resource Allocation – How team assignments, tools and environments will be determined. 7. Definition of Entrance and Exit Criteria – What conditions must be met to begin testing and to consider testing complete. 8. Inventory of Test Work Products with purpose, layout, content, reporting, maintenance – What metrics will be produced during and after testing, for example test cases, results, defect reports, and traceability materials. 9. Incident Management – How incidents will be tracked to a satisfactory disposition or escalated, when required. 10. Risk, Issue and Contingency Management – How potential challenges will be identified and addressed or mitigated. 11. Operational Working Documents and Associated Templates.				
QA-D05	Quality Assurance Monthly Test Report	The Quality Assurance Monthly Test Report will include: 1. Summary of test activities performed. 2. Metrics on test case execution and defects. 3. Overview of open and resolved defects. 4. Overview of any unresolved defects at the time of production release and the agreed upon mitigation plan.	New	Monthly	As specified in the Quality Assurance Work Schedule	QA-4.1.04

DEL ID	DELIVERABLE NAME	DELIVERABLE DESCRIPTION	NEW OR EXISTING	SUBMISSION FREQUENCY	DATE OF FIRST SUBMISSION	REQ ID
		<ul style="list-style-type: none">5. Description of any test challenges or issues encountered.6. Assessment of test progress against the testing schedule.7. Recommendations for further testing and quality improvements.				
QA-D06	Quality Assurance Final Project Closeout Report	<p>The Quality Assurance Final Project Closeout Report will include:</p> <ul style="list-style-type: none">1. Executive Summary: Scope, Schedule, Budget.2. Summaries by SOW Task Area: Management, Quality Assurance, and Independent Test.3. Key Best Practices and Lessons Learned.4. Administrative Closure.5. Agreement Closure.	New	One time submission	As specified in the Quality Assurance Work Schedule	QA-5.1-07

11.4 Attachment 4 – Statement of Compliance with Requirements

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

- Read the individual QA Services, Attachment 2 – Requirements Matrix.
- Understands each individual QA Services Requirement.
- Agrees to comply with each individual QA Services Requirement.

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

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

Table 30: Bidder Response Form

SIGNATURE & DATE	
NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
COMPANY NAME	
COMPANY ADDRESS	

11.5 Attachment 5 – Price Proposal Schedules

This page left intentionally blank. Please see the separate Excel attachment.

11.6 Attachment 6 – QA Services Agreement

This page intentionally left blank. Please see the separate Word document attachment.

11.7 Attachment 7 – Exceptions to the Agreement

CONTRACTOR NAME_____

ADDRESS_____

TELEPHONE# ()_____ Email_____

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

Table 31: Agreement Exceptions Form

#	SECTION	PAGE #	ORIGINAL LANGUAGE	PROPOSED LANGUAGE	ANTICIPATED IMPACT TO STAFFING AND COST, AS APPLICABLE

Name of Authorized Representative_____

Signature of Authorized Representative_____

Date_____

11.8 Attachment 8 – Firm Mandatory Qualifications

This page intentionally left blank. See the separate document attachment.

11.9 Attachment 9 – Firm Reference Form

Instructions:

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

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

References:

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

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

Table 32: Firm Reference Form

FIRM REFERENCE FORM	
CONTRACTOR NAME:	
PART 1 – REFERENCE’S INFORMATION	
THIS INFORMATION SHOULD MATCH THE INFORMATION PROVIDED IN ATTACHMENT 8 – FIRM MANDATORY QUALIFICATIONS .	
Customer/Client Reference Name:	
Customer/Client Reference Title:	
Agency, Department, Organization or Company where staff member performed:	
Project Title on which staff member performed:	
Reference Phone Number:	
Reference E-mail Address:	

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

- Step 1:** Complete Columns 1-2 in Part 2 by marking “yes” or “no” and providing an explanation if needed.
- Step 2:** Complete Part 3 and provide your performance ratings.
- Step 3:** At the bottom of the page, print your name, your company's name, then sign and date.
- Step 4:** Return the completed, signed Staff Reference Form to Contractor.

PART 2 – THE REFERENCE MUST COMPLETE THIS TABLE.	
COLUMN 1	COLUMN 2
Did the Contractor provide you with a copy of the completed Attachment 8 – Firm Mandatory Qualifications ?	Did this Firm perform the services described in Attachment 8 – Firm Mandatory Qualifications , including the functions as described and the time period provided on the project(s) that lists you as a contact?
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No (If “No” checked, explain here.)
PART 3 – THE REFERENCE MUST COMPLETE THIS TABLE.	
THE REFERENCE SHALL COMPLETE PERFORMANCE AND ABILITIES STATEMENTS FOR THE PROPOSED FIRM AND OVERALL PERFORMANCE RATING.	
Performance and Ability Statements	
1. Describe the services provided:	

2. Did the Contractor produce deliverable reviews that met both the project specifications and the agency's expectations? Please describe briefly.

3. If there were changes in the project, did the Contractor adapt to those changes and work through issues during all stages of the Project?

4. Was communication between the Contractor and your organization's staff open, timely, complete and effective? Please briefly summarize.

5. Were any subcontractors used by this Contractor? If so, for what purpose/major tasks? How well did the Contractor manage its subcontractors and did your organization ever have to mediate?

6. Was the Project a success?
7. Would you rehire/recommend this Contractor? If not, why not?
8. Optional Comments:
On a scale of 1-10, with 1 being the lowest and 10 being the highest, how would you rate this Contractor's overall performance?

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

Name of Reference (print)

Name of Company Reference (print)

Signature of Reference

Date

11.10 Attachment 10 – Key Staff Qualifications

This page intentionally left blank. See the separate document attachment.

11.11 Attachment 11 – Key Staff Reference Form

Instructions:

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

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

References:

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

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

Table 33: Key Staff Reference Form

KEY STAFF REFERENCE FORM	
KEY STAFF NAME:	
PART 1 – REFERENCE’S INFORMATION	
THIS INFORMATION SHOULD MATCH THE INFORMATION PROVIDED IN ATTACHMENT 10 – KEY STAFF QUALIFICATIONS .	
Customer/Client Reference Name:	
Customer/Client Reference Title:	
Agency, Department, Organization or Company where staff member performed:	
Project Title on which staff member performed:	
Reference Phone Number:	
Reference E-mail Address:	

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

- Step 1:** Complete Columns 1-2 in Part 2 by marking “yes” or “no” and providing an explanation if needed.
- Step 2:** Complete Part 3 and provide your performance ratings.
- Step 3:** At the bottom of the page, print your name, your company's name, then sign and date.
- Step 4:** Return the completed, signed staff Reference Form to Contractor.

PART 2 – THE REFERENCE MUST COMPLETE THIS TABLE.	
COLUMN 1	COLUMN 2
Did the Contractor provide you with a copy of the completed Attachment 10 – Key Staff Qualifications for the Contractor's staff named at the top of this page prior to your completion of this form?	Did the Contractor's staff named at the top of this page perform the services described in Attachment 10 – Key Staff Qualifications , including the functions as described and the time period provided on the project(s) that lists you as a contact?
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No (If “No” checked, explain here.)
PART 3 – THE REFERENCE MUST COMPLETE THIS TABLE.	
THE REFERENCE SHALL COMPLETE PERFORMANCE AND ABILITIES STATEMENTS FOR THE PROPOSED CANDIDATE AND OVERALL PERFORMANCE RATING.	
Performance and Ability Statements	
1. Describe the performance of the Contractor's staff during this engagement.	

2. Describe the ability of the Contractor's staff to perform the contractually, required Work in a timely manner.

3. Describe the verbal and written communication skills of the Contractor's staff.

4. Describe the ability of the Contractor's staff to engage in positive working relationships with other coworkers.

5. Describe the knowledge of the Contractor's staff in the required areas of expertise.

6. How well did the Contractor handled engagement with end users and User input.

7. Would you rehire this person?

8. Optional Comments:

On a scale of 1-10, with 1 being the lowest and 10 being the highest, how would you rate this individual's overall performance?

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

Name of Reference (print)

Name of Company Reference (print)

Signature of Reference

Date

11.12 Attachment 12 – Staff Loading Worksheets

This page left intentionally blank. Please refer to the separate Excel file entitled Attachment 12 – Staff Loading Worksheets.

11.13 Attachment 13 – Iran Contracting Act Certification

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

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

Iran Contracting Act Certification

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

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

Table 34: Attestation Form

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

CERTIFICATION For # 3

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

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

11.14 Attachment 14 – Certificate of Firm Status

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