



CALIFORNIA ACHIEVING A BETTER LIFE EXPERIENCE ACT BOARD

Achieving a Better Life Experience (“ABLE”) Act Board

Request for Proposals No. ABLE01-24 529A Program Consulting Services

Notice to Prospective Proposers

August 6, 2024

You are invited to review and respond to this Request for Proposals No. ABLE01-24 (“RFP”) for 529A Program Consulting Services.

Proposals for these Services must comply with the instructions included in the RFP. The RFP includes the Sample Standard Agreement the selected firm will be expected to execute. The agreement that will be entered into with the State of California (“State”) will include by reference the General Terms and Conditions and Contractor Certification Clauses which may be viewed and downloaded online at <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language>.

THE GENERAL TERMS AND CONDITIONS AND ALL EXHIBITS THAT ARE A PART OF THE SAMPLE STANDARD AGREEMENT ARE NOT NEGOTIABLE. By submitting a proposal, your firm agrees to the terms and conditions stated in this RFP. Any proposal submitted with proposed changes to the Standard Agreement’s Terms and Conditions may be considered nonresponsive and rejected by the ABLE Act Board. If you do not have Internet access, a hard copy of the RFP, which includes these Terms and Conditions and Certification Clauses, can be provided upon request by contacting the person listed below.

All responses to this RFP must be submitted in hard copy and received by the Board no later than **2:00 p.m. Pacific Time (PT) on August 30, 2024**. Email or faxed submissions will not be accepted. The ABLE Act Board does not accept any responsibility for any proposals that are not submitted to the Board by the indicated deadline. All proposals must be mailed or delivered to:

**ABLE Act Board
901 P Street, Suite 413
Sacramento, CA 95814
Attention: Thomas Martin, Executive Director**

In the opinion of the ABLE Act Board, this RFP is complete and without need of explanation. However, if you have questions, or should you need any clarifying information, contact Thomas Martin, Executive Director, by email at calable@treasurer.ca.gov. All questions must be submitted by email by 12:00 p.m. PT on August 16, 2024. Answers will be posted

MEMBERS

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State Treasurer

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LIGIA ZUNIGA
Chairperson, State Independent
Living Council

DEPUTY EXECUTIVE DIRECTOR
ANNE OSBORNE



CALIFORNIA ACHIEVING A BETTER LIFE EXPERIENCE ACT BOARD

on August 21, 2024, by close of business. Any questions or objections that are not submitted within the time and manner specified will be deemed waived.

Please note that no *verbal* information given will be binding upon the State unless such information is issued in writing as an official addendum.

PLEASE CAREFULLY READ THE RFP AND FOLLOW THE INSTRUCTIONS

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SAMPLE STANDARD AGREEMENT

Standard Agreement (STD 213 Form)

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1. PURPOSE AND DESCRIPTION OF SERVICES

1.1 Background

The California Legislature created the California ABLE Act Board, California ABLE Act Program, and California ABLE Program Trust in 2015 (Chapter 15 (commencing with Section 4875) of Division 4.5 of the Welfare and Institutions Code) (“Act”), intending it to be a qualified ABLE program as defined in Section 529A of the Internal Revenue Code of 1986, as amended (“IRC”). The Act authorizes Trust investments for a beneficiary’s savings for qualified disability expenses.

The Board was created to administer the state’s qualified ABLE program. The seven-member Board is also the state entity responsible for the effective and efficient administration of the Trust. Board meetings are held in accordance with the Bagley-Keene Open Meeting Act and are generally held in Sacramento at the State Treasurer’s Office, 901 P Street, but may be held at other locations.

1.2 Scope Overview

The California ABLE Act Board (“Board” or the “State”) is the administrator of California’s 529A Qualified ABLE Program as defined in Section 4875(k) of the Welfare and Institutions Code (“Program”), and the State agency responsible for the effective and efficient administration of the California ABLE Program Trust (“Trust”).

A qualified 529A program consultant is needed to assist the Board with the Program, including the Trust, development and implementation, including helping to review proposed regulations and requirements of the Act and consistent with IRC Section 529A and corresponding federal regulations; and providing the Board with subject-matter expertise on the 529A industry, including, among other things, trends, marketing and distribution strategies, and 529A program comparison analyses. More information about the Act can be found online at www.treasurer.ca.gov/able.

1.3 Sample Standard Agreement

This Request for Proposals No. ABLE01-24 (“RFP”) includes a Sample Standard Agreement for each firm’s review. The Sample Standard Agreement contains the language that the Board expects to utilize for this contract. All terms and conditions noted in the Standard Agreement are not negotiable. Proposals that do not accept all items included in the Standard Agreement may be deemed nonresponsive and excluded from evaluation.

1.4 Scope of Work

1. The 529A program consultant will assist the Board in the design and implementation of the Program, including the Trust, which includes the following:
 - The Contractor will make recommendations on Program design and structure. On an ongoing basis, the Contractor will provide informational updates and insight on the 529A industry. The Contractor will provide the Board and the Board's staff strategic consulting advice for the Program.
 - As needed, the Contractor will help to review proposed and existing regulations, both emergency and regular, to ensure conformity and alignment with federal and state statutes pertaining to the Trust. These regulations must adhere to requirements under Chapter 15 (commencing with Section 4875) of Division 4.5 of the Welfare and Institutions Code, Internal Revenue Code Section 529A, and Internal Revenue Service regulations. As needed, the Contractor will review proposed regulations and assist with any necessary changes requested by the Office of Administrative Law or as a result of public comments during the emergency and regular rulemaking period.
 - The Contractor will assist with public hearings and stakeholder meetings as requested by the Board. Approximately four to six public hearings and two to four stakeholder meetings will be held on an annual basis. The Contractor will assess comments from the public and other stakeholders as requested by the Board and provide recommendations for Program changes based on 529A industry best practices.
 - As needed, the Contractor will participate in the development of requests for proposals and the subsequent selection processes as a subject matter expert to procure various program services, such as an investment manager, a program administrator, and an investment consultant. The Contractor will provide drafts of the requests for proposals by a timeframe that is mutually agreed upon by both the Contractor and the Board and/or the Board's staff. The requests for proposals must comport with California state procurement laws.
 - The Contractor will assist the Board by providing 529A program trends and comparisons, including advising the Board of new or different strategies that could be employed to increase participation in the Program and offering opinion or strategy on Program name, branding, distribution, and marketing.
 - The Contractor will provide an analysis of the Program manager's performance, particularly in marketing and administrative areas, using

monthly, quarterly, and annual data. The Contractor will also assist in the development of marketing and administrative benchmarks.

- The Contractor will provide work product and materials that demonstrate cultural competence and are designed in compliance with the Americans with Disabilities Act (“ADA”), [Sections 7405](#) and [11135](#) of the [California Government Code, Web Content Accessibility Guidelines 2.1](#) including future updates (“WCAG”) for people with disabilities, and "People First" language.
 - The Contractor will review Program disclosure language and keep abreast of regulatory issues on the Board’s behalf.
 - The Contractor will work with the Board’s contractors, such as the investment consultant and program manager, as needed. If qualified to do so and as needed, the Contractor may also participate in the development of the Board’s Statement of Investment Policy (or Investment Policy Statement), Monitoring Procedures and Investment Performance Criteria, and Administrative Performance Criteria by reviewing and advising the Board and its staff and collaborating with the Board’s investment consultant and program manager toward a mutually agreed upon final work product.
 - The Contractor will attend all Board meetings unless notified otherwise by the Board. It is anticipated that the Board will meet approximately once every quarter. The Contractor will attend other meetings pertaining to the 529A industry (Internal Revenue Service, Securities and Exchange Commission, other states, or others) with or on behalf of the Board as requested.
 - The Contractor will be available to consult with Board members and the Executive Director from 8:00 a.m. to 5:00 p.m. Pacific Time, Monday through Friday.
 - The Contractor will respond to the need for telephone consultation within a 24-hour period and be available for meetings with the Board with no greater than 10 days’ notice.
2. The services shall be performed at the offices of the Contractor and at the offices of appropriate affiliates, related entities, subsidiaries and subcontractors; however there will be some mandatory meetings in or near Sacramento, California.
 3. Contractor is expected to ensure that the quality and availability of personnel assigned to perform services under the contract will be maintained over the term of the contract. Replacements must have substantially the same or better qualifications and experience than the original personnel. Any change

in assigned personnel must be pre-approved by the Board or the Executive Director.

4. The performance of the Contractor will be evaluated based on the criteria outlined below.
 - Responsiveness and timeliness in responding to inquiries made by the Board (members, Executive Director, and staff).
 - Availability to the Board for conference calls and board meetings, as needed.
 - Quality, completeness, and timeliness in providing reports, memos, analyses, and recommendations to the Board for review and consideration.
 - Quality and accuracy of information, data, and support included in all product submitted to the Board.
 - Ability to provide the Board with, or direct the Board to, appropriate resources for information.
 - Ability to provide the Board with up-to-date information on industry standards, changes in the law and state comparisons.
 - Availability of resources to adequately perform on contract requirements (staff, consultants, etc.).
 - Demonstrates working relationships with industry peers and organizations.
 - Demonstrates the ability to provide day-to-day management of tasks, coordination of support and administrative activities, and supervision of all Contractor employees.
 - Possesses the technical and functional skills and knowledge to direct all aspects of the contract.

1.5 Term of Agreement

The term of the Agreement entered into pursuant to this RFP, if any, will be for a two-year period beginning December 1, 2024, through November 30, 2026. The total cost of services for this two-year period shall not exceed \$310,000.00. At the Board's sole discretion, there will be one-year option to extend this agreement for up to one (1) year and an additional \$155,000.00, for a possible total term not to exceed three (3) years in the contractual amount of \$465,000.

The Agreement will require approval by the Department of General Services (“DGS”). In no event shall services be performed prior to approval by DGS.

2. MINIMUM QUALIFICATIONS

Proposer must complete Attachment 5 certifying that the firm meets the following minimum qualifications:

- Proposing firm (“Prosper” or “Firm”) must have a minimum of three years of experience providing 529A program consulting services to or on behalf of public or private entities (IRC Section 529 or Section 529A).
- Firm must be qualified to do business in the State of California and must provide either (i) evidence of registration from the California Secretary of State or (ii) certification that no impediments to registration exist.
- If applicable, Firm must hold and maintain all licenses and registrations required by applicable federal and state laws for businesses offering investment and municipal advisory services. All those licenses and registrations must be current and in good standing.

3. PROPOSAL REQUIREMENTS AND INFORMATION

3.1 Schedule (Key Action Dates)

All Proposers are hereby advised of the following schedule and will be expected to adhere to the required dates and times (all times listed are Pacific Time (PT)).

Date	Action
August 6, 2024 by 5 p.m. PT	RFP Available to Prospective Proposers
August 16, 2024, at 12:00 p.m. PT	Deadline to Submit Written Questions
August 21, 2024 by 5 p.m. PT	Answers to Written Questions Distributed
August 30, 2024, at 2:00 p.m. PT	Deadline to Submit Proposals
September 3, 2024 – October 4, 2024	Evaluation of Proposals
October 7, 2024	Notice of Intent to Award Contract
December 1, 2024	Commencement of Contract (pending Board and DGS approval)

The Board reserves the right to change the above dates and times, and, if so, CalABLE may modify this RFP prior to the date fixed for submission of proposals by the issuance of an addendum. CalABLE will also provide post updates online

at www.treasurer.ca.gov/able and <https://caleprocure.ca.gov/pages/index.aspx>. CalABLE reserves the right to reject all proposals and not award an Agreement.

3.2 Questions and Answers

In the opinion of the Board, this RFP is complete and needs no further explanation. However, if you have questions, or should you need any clarifying information, you may submit written questions no later than 12:00 p.m. PT on August 16, 2024, by email to calable@treasurer.ca.gov.

Answers to all written questions received by 12:00 p.m. PT on August 16, 2024, will be available online at www.treasurer.ca.gov/able and on Cal eProcure at <https://caleprocure.ca.gov/pages/index.aspx> by close of business on August 21, 2024.

3.3 Content and Format of Proposals

a) Proposals should provide straightforward and concise descriptions of the Firm's ability to satisfy the requirements of this RFP. The proposal must be complete and accurate, answer the questions in numerical order, use 12 point font, have 1 inch margins, and be single spaced. The proposal's maximum page number is 50 pages, including resumes and attachments. Omissions, inaccuracies, or misstatements may be cause for rejection of a proposal.

b) In preparing proposals, Proposers must:

- Include a cover letter with the following information:
 - The name, address, email, phone numbers, and fax numbers of the principal contact responsible for the oversight of the agreement. Indicate the availability of this person for meetings with the Board.
 - The name, address, email, phone numbers, and fax numbers of the project representative who will be available to the Board on a day-to-day basis during the term of the agreement.
 - The name, address, email, phone numbers, fax numbers, and name of a key contact at each partner, if a consortium, and subcontractor and what the aforementioned would be responsible for under the agreement.

3.3.1 Background and Personnel Information (Maximum of twenty (20) points)

a) Provide an overview of the Proposer's firm, including mission statement and vision statement, number of years of experience providing

consultation, and what services Proposer's firm will bring to this contract.

- b) Provide a brief history of Proposer's firm. Describe the organizational structure and explain how this structure will be used to perform the requirements of this contract. Explain the advantages of this structure.
- c) Identify the personnel who will be providing the services if awarded the contract, including years and type of experience for each person. Experience should include the number of years at the current firm as well as all prior relevant employment. Please also include staff of subcontractors, if any. The contractor is expected to ensure that the quality and availability of personnel assigned to perform services under the contract will be maintained over the term of the contract. Replacements must have substantially the same or better qualifications and experience than the original personnel. Any change in assigned personnel must be pre-approved by the Board or the Executive Director.
 - i. Identify the role each person will serve in the contract and their title.
 - ii. Provide detailed resumes for the individuals that will be directly involved in providing the services under the contract including any proposed subcontractors and their employees, if any.
- d) Indicate who will have ultimate responsibility for this contract. Indicate the availability of this person for live or telephone meetings with the Board. Describe the Proposer's backup procedures if the primary person assigned to this account leaves the firm or is otherwise unavailable.

3.3.2 Experience in 529A Program Consulting Services (Maximum of forty-five (45) points)

- a) Describe the Proposer's experience in advising boards or other entities on 529 or 529A industry matters. Include the names of the boards/entities, the size of the plans (number of accounts), types of plans (savings or prepaid), the number of years that the Proposer has provided this service, the number of boards/entities to which the Proposer is currently providing 529 or 529A related advice and the approximate dollar value of the portfolios for which consultative services are provided. Explain how this experience will benefit the Board.
- b) Describe the Proposer's understanding of the objectives of the Program. What does the Proposer see as the biggest challenge for California and how would the Proposer address it? What special expertise does the Proposer bring to advising the Board?

- c) Explain your views on the 529A marketplace and what 529A programs need to consider to be competitive.
- d) Affirm the Proposer's ability to perform every item in Section 1.4, Scope of Work. List any items the Proposer would not be able to provide, and whether the Proposer would subcontract these items.
 - i. If Proposer has been involved with the development and/or implementation of another state's 529 or 529A program, please describe the experience in detail.
 - ii. Describe Proposer's ability to assist the Board in developing and implementing the Program. Describe Proposer's ability and commitment to make the needed resources available and to avoid any resource constraints as a result of competing client priorities or engagements.
- e) Provide at least two recent examples of client research or reports prepared by Proposer as they pertain to 529 or 529A industry strategies or analysis.
- f) Discuss any changes/material refinements in Proposer's advising philosophy that have occurred within the past three years. What prompted the changes/refinements?

3.3.3 Cost Proposal (Maximum of thirty (30) points)

Use Attachment 3 (Cost Proposal) as a guide in completing your cost proposal for each year of the contract term (including the optional extension year), which will be a full and final estimate. **The Board expects the total amount of the contract not to exceed \$465,000.00 for this potential three-year contract.** Review this section and the calculations in your Cost Proposal carefully. Mathematical errors may be corrected by the Board. **Do not make any modifications to the Cost Proposal form.**

- a) The cost proposal shall:
 - i. **Follow and complete the template outlined in Attachment 3 (Cost Proposal)**
 - a. Cost Proposal Detail (Year One)
 - b. Cost Proposal Detail (Year Two)
 - c. Cost Proposal Detail (Optional Year Three)
 - ii. Identify and include an hourly rate for each level of staff who will be assigned to work on the services outlined in this RFP. The hourly rates identified will be utilized in the contract awarded to the winning proposer for reimbursement for services performed. All-inclusive flat fees and/or retainer fees will not be accepted for consideration.

Travel costs are capped at \$10,000.00 per year. The rates for travel costs shall be set in accordance with the California Department of Human Resources (CalHR) rates for comparable classes and no travel outside the State of California shall be reimbursed unless prior written authorization is obtained from the Board.

3.3.4 References (Maximum of five (5) points)

- a) Using the format in Attachment 4, provide the name, address, telephone number, contact name, and title for five (5) firms you have served within the last five years, including a minimum of two (2) references from State Agencies. Provide three (3) references for any subcontractors you plan to use. **Submission of Attachment 4 is mandatory.** Proposals that fail to submit Attachment 4 shall be considered nonresponsive and rejected.

3.3.5 Legal, Disciplinary, and Conflicts of Interest Disclosures

- a) Advise if any partner, officer, investment officer, portfolio manager, research analyst, or trader of the Proposer's firm has been convicted or pleaded no contest in a case stemming from a felony indictment. Any such conviction or plea must be disclosed and must be accompanied by a full explanation of the circumstances surrounding it.
- b) Advise if the Proposer is or was a defendant in litigation relating to any services that it proposes to provide to the Board. Any final settlement, administrative decision, or judgment made in connection with this litigation shall be disclosed and shall be accompanied by a full explanation of the circumstances surrounding it.
- c) Advise if the Proposer, any partner, related company (parent, subsidiary, sister), affiliate or joint venture, or any owner, officer, director, principal, or management level employee of the Proposer has been involved in any enforcement action by the Securities and Exchange Commission or any other governmental regulatory agency or been named a defendant in litigation where there was an allegation of violation of fiduciary responsibility. If yes, explain in detail.
- d) Disclose any other legal or disciplinary event that is material to the Board's evaluation of the Proposer or the integrity of the Proposer's management or advisory personnel by either: (1) identifying the specific type of event and specifically referring to the relevant portions of the Proposer's most recent Forms MA or MA-I (and, if doing so, providing detailed information specifying where the Board may electronically access those forms), or (2) providing a writing that fully

and fairly discloses the information required to be disclosed under MSRB Rule G-42(c)(ii) and (b).

- e) Advise if the Proposer has ever been terminated for cause from any contract. If the answer is yes, cite the background of the contract, reason for the termination, and what the Proposer has done subsequently to change operations or personnel to preclude the circumstances regarding the termination from re-occurring.
- f) Disclose any business relationships that may be construed to be potential or actual conflicts of interest. The contractor will have a continuing requirement to disclose any business relationships that may be construed to be a potential or actual conflict. The disclosure shall be sufficiently detailed to inform the Board of the nature, implications, and potential consequences of each conflict and shall include an explanation of how the Proposer addresses, or intends to manage or mitigate, each conflict.
- g) The Board may reject a proposal due to any disclosure or conflict of interest (potential or actual) that is material in the sole opinion of the Board.

3.4 Submission of Proposal

- a) All proposals must be submitted in hard copy under sealed cover and received by the Board by **2:00 p.m. PT on August 30, 2024. Proposals received after this date and time will not be considered.** Proposals received by fax or email will be rejected.
- b) One (1) unbound original and two (2) copies, plus one (1) digital copy of the proposal must be mailed or delivered to the following address:

**ABLE Act Board
Attention: Thomas Martin, Executive Director
901 P Street, Suite 413
Sacramento, California 95814**

- c) The original proposal must be marked "**ORIGINAL COPY.**" All documents contained in the original proposal package must have **original signatures** and must be signed by a person who is authorized to bind the proposing firm. The digital copy of the proposal must be submitted via disc or USB as a non-encrypted PDF file. Proposals received by fax or email will be rejected.
- d) The proposal envelopes must be plainly marked with the RFP number and title, your firm name and address, and "**DO NOT OPEN,**" as shown in the following example:

**Request for Proposals No. ABLE01-24
529A Program Consulting Services**

Firm Name

Firm Address

Contact Person and Phone Number

“DO NOT OPEN”

- e) If the proposal is made under a fictitious name or business title, the actual legal name of Proposer must be provided.
- f) Proposals not submitted under sealed cover and marked as indicated may be rejected.
- g) Proposals that omit the Minimum Qualifications Certification that is included in Attachment 5 of Section 9 will not be considered. Proposals shall include each of the Attachments (if applicable) on the Required Attachment Check List in Section 9. Proposals that do not comply with the requirements of the RFP shall be deemed nonresponsive. A nonresponsive proposal is one that does not meet the basic proposal requirements and will be rejected.
- h) The Board reserves the right to reject all proposals and not to award a Contract pursuant to this RFP.
- i) Proposals must be submitted for the performance of all the services described herein. Any deviation from the work specifications will not be considered and will cause a proposal to be rejected.
- j) A proposal may be rejected if it is conditional or incomplete or if it contains any alterations of form or other irregularities of any kind. The Board may reject any or all proposals and may waive any immaterial deviation in a proposal. The Board’s waiver of immaterial defects shall in no way modify the RFP document or excuse the Proposer from full compliance with all requirements if awarded the Agreement.
- k) The Firm is solely responsible for the costs of developing proposals and costs incurred in anticipation of award of the Agreement. Those costs shall not be charged to the Board.
- l) An individual who is authorized to bind the Proposing Firm contractually shall sign Required Attachment 2 in Section 9, the Proposal/Proposer Certification Sheet. The signature must indicate the title or position that the individual holds in the Firm. An unsigned proposal may be rejected.
- m) A Firm may modify a proposal after its submission by withdrawing its original proposal and resubmitting a new proposal prior to the proposal submission deadline as set forth in the Schedule (Key Action Dates) in Section 3.1 of this RFP. The submission of a new proposal must comply with the requirements

in this section. Proposal modifications offered in any other manner, oral or written, will not be considered.

- n) A Firm may withdraw its proposal by submitting a written withdrawal request to the Board, signed by the Proposer or an agent authorized in accordance with subsection (p) in this Section 3.3 above. A Proposer may thereafter submit a new proposal prior to the proposal submission deadline. Proposals may not be withdrawn without cause subsequent to the proposal submission deadline.
- o) The Board may modify this RFP prior to the date fixed for the submission of proposals by the issuance of an addendum to all interested Proposers providing contact information, including an email address and phone number. The contact information should be provided to Thomas Martin at calable@treasurer.ca.gov by August 21, 2024, when the Board will provide answers to any questions submitted in accordance with Section 3.2 of this RFP. The Board will also provide updates on Cal eProcure at <https://caleprocure.ca.gov/pages/index.aspx>, on its website at <https://www.treasurer.ca.gov/able>, and also by email to all Proposers who have expressed interest and provided contact information.
- p) Upon the announcement and release of this RFP and until selection of the winning Proposal (and notice of intent to award the agreement), Proposers are not permitted to communicate with the Board, its staff, or its Consultants with respect to the RFP except in connection with the process and procedures related to the RFP. Any communication must be directed to CalABLE at calable@treasurer.ca.gov.
- q) Firms are cautioned to not rely on the Board to discover and report to Firms any defects and errors in the submitted documents. Before submitting their proposals, Firms should carefully review them, correct all errors, and confirm compliance with all of the RFP requirements.
- r) More than one proposal from any firm, organization, partnership, corporation, or association under the same or different names will not be considered. Reasonable grounds for believing that any Firm has submitted more than one proposal for the work contemplated herein will cause the rejection of all proposals submitted by that Firm. If there is reason for believing that collusion exists among the Firms, none of the participants in that collusion will be considered in this or future procurements.
- s) Where applicable, Firms should carefully examine work sites and specifications. Additions or increases to the agreement amount shall not be made due to a lack of careful examination of work sites and specifications.
- t) Oral understanding or agreement shall not be binding on either party.

3.5 Evaluation Process

- a) All proposals will be reviewed by an evaluation committee. The initial review of the proposals will confirm that all information has been submitted in conformity with the requirements of the RFP. The absence of required information may cause a proposal to be deemed nonresponsive and may result in the proposal's disqualification. Responsive proposals will then be scored according to the criteria listed in the RFP.
- b) The evaluation committee will allot points for each scored category of the RFP, up to 110 points. The scoring will be done in two phases. The first phase will be worth 100 points, with all items being scored with the exception of the Interview portion. In this first phase a minimum score of 85 out of 100 is required to be eligible for the second phase, the Interview. The Proposers with the top three highest scoring proposals after the first phase is completed may be contacted for an interview.
- c) Optional Interview (maximum of 7 additional points)

Answers provided to questions during the interview will be the basis for awarding up to 7 points. Only Proposers with the top three highest scoring proposals, scoring a minimum of 85 points in the first phase of the evaluation process, may be interviewed. CalABLE reserves the right to not conduct interviews if deemed unnecessary to the selection of a 529A Program Consulting Services (e.g., only one proposal scored a minimum of 85 points in the first phase).

- d) Proposers' second phase score will be added to the first phase score, and the responsive and responsible proposal earning the highest total score will be announced as the winner. The weighting of the Cost Proposal evaluation will be adjusted to 33 points if an interview is granted, to retain the necessary 30-percent weighting margin for cost.
- e) The scored categories and the corresponding weighting of each scored category is as follows:

Evaluation Criteria	Weighting
Background and Personnel Information	20 points
Experience in 529A Program Consulting Services	45 points
References	5 points
Cost Proposal	30 points [33 points if interviews are held]
Total	100 points
Optional Interview	Additional 7 points
Total Possible Points	110 points

- f) The following point scale will be used to score the responses to each scored category except with regard to costs.

Percent of Maximum Score Allotted to Particular Weighted Criterion

- 100% Excellent response backed by demonstrated ability.
85% Good response backed by demonstrated ability.
75% Fair response backed by demonstrated ability.
60% Poor response.
0% Firm does not demonstrate ability.

The lowest cost proposal, based on the estimated Total Cost for a Three-Year Contract Term (two years and an optional one-year extension) from Attachment 3, is awarded the maximum cost points. Other proposals are awarded cost points based on the following calculation:

$$\begin{aligned} &(\text{Lowest Cost Proposal} / \text{Other Cost Proposal}) = (\text{Factor}) \\ &\text{Cost Points for Other Cost Proposal} = (\text{Factor}) \times (\text{Maximum Cost Points}) \end{aligned}$$

EXAMPLE (when a maximum of 30 points is available):

$$\begin{aligned} \text{Lowest Cost Proposal} &= \$348,750.00 \\ \text{Other Cost Proposal} &= \$465,000.00 \end{aligned}$$

$$\begin{aligned} &\$348,750.00 / \$465,000.00 = 0.75 \\ &(\text{Lowest Cost Proposal} / \text{Other Cost Proposal}) = (\text{Factor}) \end{aligned}$$

$$\begin{aligned} &\text{Cost Points awarded to Other Cost Proposal:} \\ &0.75 (\text{Factor}) \times 30 (\text{Maximum Cost Points}) = 22.50 \text{ Cost Points} \end{aligned}$$

- e) Tiebreaker – In the event two (2) or more responsive and responsible proposers earn the highest score, the contract will be awarded to the responsive and responsible firm earning the higher score for Cost Proposal. If the scores for Cost Proposal are the same, the contract will be awarded to the responsive and responsible firm earning the higher score in Experience in 529A Program Consulting Services.
- f) Proposals that contain false or misleading statements, or that provide references that do not support an attribute or condition claimed by the Firm, may be rejected. If, in the opinion of the Board, that information was intended to mislead the Board in its 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.
- g) The contract will be awarded to the responsible and responsive Firm with the highest total score.
- h) The Board is not required to award an Agreement.

3.6 Award and Protest

- a) Notice of the proposed award shall be posted in a public place at the Office of the ABLE Act Board located at 901 P Street, Suite 413, Sacramento, CA 95814, and online at www.treasurer.ca.gov/able for five (5) working days prior to awarding the agreement.
- b) If any proposing firm, prior to the award of the agreement, files a protest with the Board and DGS on the grounds that they would have been awarded an Agreement had ABLE correctly applied the evaluation standard in Section 3.5 of the RFP, or had ABLE followed the evaluation and scoring methods, the agreement shall not be awarded until either the protest has been withdrawn or DGS has decided the matter.
- c) An initial written statement of protest, including the RFP Number, the name of the State Agency, and the contact person listed within the RFP, should be submitted to:

State Treasurer's Office
California ABLE Act Board
Attention: Thomas Martin, Executive Director
901 P Street, Suite 413
Sacramento, CA 95814
Email Address: calable@treasurer.ca.gov

Department of General Services
Office of Legal Services
Attention: Protest Coordinator
707 Third Street, 7th Floor, Suite 7-330
West Sacramento, CA 95605
Email Address: OLSProtests@dgs.ca.gov

If submitting the initial written statement of protest via mail, it is suggested that the firm do so by certified or registered mail.

- d) Within five (5) days after filing the initial protest, the protesting firm shall file with the Board and the DGS Office of Legal Services a detailed written statement specifying the grounds for the protest.
- e) If the protest is based on permissible grounds, DGS will decide the protest and prepare a written decision within 30 days of the final submission of evidence.

3.7 Disposition of Proposals

- a) Upon proposal opening, all documents submitted in response to this RFP will become the property of the Board and the State and will be regarded as

public records under the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the Government Code) and subject to review by the public.

- b) Proposal packages may be returned only at the Firms' expense, unless that expense is waived by the Board.
- c) The Board has the right to use any or all ideas or concepts presented in any proposal. The selection or rejection of the proposal does not affect this right.

3.8 Agreement Execution and Performance

- a) Performance shall start on the contract start date, or on the express date set by the awarding agency and the Contractor, after all approvals have been obtained and the agreement is fully executed. If the Contractor fails to commence work at the agreed upon time, the awarding agency, upon five (5) days written notice to the Contractor, reserves the right to terminate the agreement. In addition, the Contractor shall be liable to the State for the difference between Contractor's proposal price and the actual cost of performing work by another contractor.
- b) All performance under the agreement shall be completed on or before the termination date of the agreement.

4. PREFERENCE AND INCENTIVE PROGRAMS

4.1 Small Business or Microbusiness Preference (if applicable)

(If there are any inconsistencies herein with the applicable statutes, regulations, and State Contracting Manual, the statutes, regulations, and State Contracting Manual shall supersede.)

A five percent (5%) preference will be applied to certified small businesses submitting proposals for this RFP. To obtain the preference, Proposer must either be certified as a small business and submit a copy of their certification approval letter from DGS/Office of Small Business and DVBE Services ("OSDS") or submit a complete application for certification to DGS/OSDS by 5:00 p.m. PT on the proposal due date. However, the proposed winning Proposer must be a certified small business at the time of Contract award. The 5% preference is used only for computation purposes to determine the winning Proposer and does not alter the amounts of the resulting contract.

Once each proposal has been scored, if the highest scored proposal is from a non-certified small business, then 5% of the highest scoring proposal is added to the total "earned" points for each proposal submitted by a certified small business. These final numbers, with the 5% included, are then used to determine the highest scoring proposal.

Questions regarding the small business certification or preference approval should be directed to the OSDS at (916) 375-4940 or can be found online at <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Certify-or-Re-apply-as-Small-Business-Disabled-Veteran-Business-Enterprise>.

4.2 Non-Small Business or Microbusiness Preference (if applicable)

(If there are any inconsistencies herein with the applicable statutes, regulations, and State Contracting Manual, the statutes, regulations, and State Contracting Manual shall supersede.)

A five percent (5%) preference is available to a non-small business claiming twenty-five percent (25%) California certified small business subcontractor participation. If claiming the non-small business subcontractor preference, the proposal must include a list of the small business(es) with which the Proposer commits to subcontract in an amount of at least 25% of the net proposal price with one or more California certified small businesses. Each listed certified small business must perform a “commercially useful function” in the performance of the Contract as defined in Section 14837(d)(4) of the Government Code.

The required list of California certified small business subcontractors must be attached to the proposal and must include the following: 1) subcontractor name, 2) address, 3) phone number, 4) a description of the work to be performed and/or products supplied, 5) and the dollar amount or percentage of the net proposal price (as specified in the solicitation) per subcontractor.

Proposers claiming the 5% preference must commit to subcontract for at least 25% of the net proposal price with one or more California certified small businesses. Completed certification applications and required support documents must be submitted to the OSDS no later than 5:00 pm PT on the proposal due date. Questions regarding certification should be directed to the OSDS at (916) 375-4940 or can be found online at <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Certify-or-Re-apply-as-Small-Business-Disabled-Veteran-Business-Enterprise>.

The preference to a non-small business firm that commits to California certified small business subcontractor participation of 25% of its net proposal price shall be 5% of the highest scoring proposal. A non-small business, which qualifies for this preference, may not take an award away from a certified small business.

4.3 Target Area Contract Preference Act (“TACPA”) (if applicable)

(If there are any inconsistencies herein with the applicable statutes, regulations, and State Contracting Manual, the statutes, regulations, and State Contracting Manual shall supersede.)

This solicitation provides for an optional TACPA preference. The TACPA program was established to stimulate business investments in distressed areas of the State and create job opportunities for Californians. Proposing companies are not required to apply for this preference. Both the TACPA workplace and workforce preferences will be evaluated for this solicitation.

Workplace preference - TACPA provides a 5 percent (5%) preference for a California business that is located in a qualified zone.

Workforce preference - TACPA provides a 1 to 4 percent (1-4%) preference for a California business that employs persons with a high risk of unemployment (Government Code Section 4532)

1% for 5-9% of workforce
2% for 10-14% of workforce
3% for 15-19% of workforce
4% for 20% or more of workforce

Proposing companies wishing to take advantage of the TACPA preference will need to review the following website and submit the appropriate documents with the proposal response:

<https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference>

TACPA Preference Request (STD 830)
Bidder's Summary of Contract Activities and Labor Hours (TACPA Form 526)

ABLE will send the applicable TACPA request documents to the Department of General Services, Procurement Division, Dispute Resolution Unit. TACPA preference requests are typically reviewed and processed by DGS within five (5) business days. If an award of this agreement is made based on the TACPA preference, DGS will monitor compliance directly with the Contractor throughout the life of the contract.

4.4 Disabled Veteran Business Enterprise (DVBE) Incentive

(If there are any inconsistencies herein with the applicable statutes, regulations, and State Contracting Manual, the statutes, regulations, and State Contracting Manual shall supersede.)

This RFP does not include a minimum DVBE participation requirement. However, a DVBE incentive will be applied as provided in Attachment 14.

DGS established a DVBE incentive pursuant to Senate Bill 115 (Chapter 451, Statutes of 2005) and the Section 999.5(a) of the Military and Veterans Code. The regulations apply to all competitive solicitations for public works, services, goods, and information technology goods and services posted or released after October 9, 2007. The DVBE incentive is required in solicitations that include DVBE program requirements and may be offered in other competitive

solicitations. DGS' policy implements this program by rewarding prime proposers for increased DVBE participation: the more DVBE participation, the greater the incentive. This incentive program helps State agencies to meet their annual DVBE participation goals.

Attachment 14 outlines the DVBE Incentive Program. Companies who have been certified by the State of California as a DVBE must submit a completed DGS PD 843 (Disabled Veteran Business Enterprise Declaration) form. All disabled veteran owners and disabled veteran managers of the DVBE must sign the form. DVBE Incentive participation is optional and at the discretion of the proposing company.

NOTE: For this RFP, the Incentive application is based on the High Score Method and shall not exceed five percent (5%) nor be less than one percent (1%) of the total score (see table in Attachment 14).

Any contract awarded to a company committing to subcontract with a certified DVBE will follow requirements as provided in MVC 999.7 including permanent withholds and deductions for non-compliance with the Std. 817 reporting process.

5. REQUIRED ATTACHMENTS

Refer to the following pages for additional Required Attachments.

ATTACHMENT 1

REQUIRED ATTACHMENT CHECKLIST

Complete this checklist to confirm the attachments. Place a check mark or “X” next to each item that you are submitting to the State. **For your electronic proposal to be deemed responsive, each of the following required attachments must be submitted with your proposal package.** Upon award, the Board will require the winning Firm to provide Required Attachments with original signatures.

This checklist should be returned with your proposal package.

<u>ATTACHMENT</u>	<u>ATTACHMENT NAME/DESCRIPTION</u>
<input type="checkbox"/> Attachment 1	Required Attachment Checklist
<input type="checkbox"/> Attachment 2	Proposal/Proposer Certification Sheet
<input type="checkbox"/> Attachment 3	Cost Proposal Worksheet
<input type="checkbox"/> Attachment 4	Proposer References
<input type="checkbox"/> Attachment 5	Minimum Qualifications Certification
<input type="checkbox"/> Attachment 6	Payee Data Record (STD. 204)
<input type="checkbox"/> Attachment 7	Contractor Certification Clauses (CCC 04/2017)
<input type="checkbox"/> Attachment 8	Darfur Contracting Act Certification
<input type="checkbox"/> Attachment 9	California Civil Rights Laws Certification
<input type="checkbox"/> Attachment 10	Generative AI Reporting and Factsheet (STD. 1000)
<input type="checkbox"/> Attachment 11	Bidder Declaration (GSPD-05-105)
<input type="checkbox"/> Attachment 12	Small Business or Microbusiness Preference (if applicable)
<input type="checkbox"/> Attachment 13	Non-Small Business or Microbusiness Preference (if applicable)
<input type="checkbox"/> Attachment 14	Target Area Contract Preference Act (TACPA) (if applicable)
<input type="checkbox"/> Attachment 15	California Disabled Veteran Business Enterprise (DVBE) Program Participation Instructions (if applicable)

ATTACHMENT 2

PROPOSAL/PROPOSER CERTIFICATION SHEET

This Proposal/Proposer Certification Sheet must be signed and returned along with all the "required attachments" as part of the Proposer's electronic proposal submission. Upon award, the highest scoring Proposer will be required to submit this Sheet to the Board with original signatures.

- A. Place all required attachments behind this certification sheet.
- B. The signature affixed hereon and dated certifies compliance with all the requirements of this proposal document. The signature below authorizes the verification of this certification.
- C. The signature below certifies to the best of your knowledge that the information provided on this document is true and complete.

An Unsigned Proposal/Proposer Certification Sheet May Be Cause For Rejection

1. Company Name	2. Telephone Number ()	2a. Fax Number ()
3. Address		
Indicate your organization type:		
4. <input type="checkbox"/> Sole Proprietorship	5. <input type="checkbox"/> Partnership	6. <input type="checkbox"/> Corporation
Indicate the applicable employee and/or corporation number:		
7. Federal Employee ID No. (FEIN)	8. California Corporation No.	
9. Indicate applicable license and/or certification information:		
10. Proposer's Name (Print)	11. Title	
12. Signature	13. Date	
14. Are you certified with the Department of General Services, Office of Small Business and Disabled Veteran Business Enterprise Services (OSDS) as:		
a. California Small Business Yes <input type="checkbox"/> No <input type="checkbox"/> b. Disabled Veteran Business Enterprise Yes <input type="checkbox"/> No <input type="checkbox"/>		
If yes, enter certification number: _____ If yes, enter your service code below: _____		
NOTE: A copy of your Certification is required to be included if either of the above items is checked "Yes".		
Date application was submitted to OSDS, if an application is pending:		

Completion Instructions for Proposal/Proposer Certification Sheet

Complete the numbered items on the Proposal/Proposer Certification Sheet by following the instructions below.

Item Numbers	Instructions
1, 2, 2a, 3	Must be completed. These items are self-explanatory.
4	Check if your firm is a sole proprietorship. A sole proprietorship is a form of business in which one person owns all the assets of the business in contrast to a partnership and corporation. The sole proprietor is solely liable for all the debts of the business.
5	Check if your firm is a partnership. A partnership is a voluntary agreement between two or more competent persons to place their money, effects, labor, and skill, or some or all of them in lawful commerce or business, with the understanding that there shall be a proportional sharing of the profits and losses between them. An association of two or more persons to carry on, as co-owners, a business for profit.
6	Check if your firm is a corporation. A corporation is an artificial person or legal entity created by or under the authority of the laws of a state or nation, composed, in some rare instances, of a single person and his successors, being the incumbents of a particular office, but ordinarily consisting of an association of numerous individuals.
7	Enter your federal employee tax identification number.
8	Enter your corporation number assigned by the California Secretary of State's Office. This information is used for checking if a corporation is in good standing and qualified to conduct business in California.
9	Complete, if applicable, by indicating the type of license and/or certification that your firm possesses and that is required for the type of services being procured.
10, 11, 12, 13	Must be completed. These items are self-explanatory.
14	If certified as a California Small Business, place a check in the "yes" box, and enter your certification number on the line. If certified as a Disabled Veterans Business Enterprise, place a check in the "Yes" box and enter your service code on the line. If you are not certified to one or both, place a check in the "No" box. If your certification is pending, enter the date your application was submitted to OSDS.

ATTACHMENT 3

COST PROPOSAL WORKSHEET

All specifications outlined in Section 3 of the RFP shall be met or the Firm's proposal will be considered **nonresponsive** and will be rejected.

Do not make any modifications to these Cost Proposal forms, including the **\$10,000 annual travel costs**.

See Section 3 of the RFP for more details. Review the RFP and the calculations in this Cost Proposal carefully. Mathematical errors may be corrected by the Board.

Total Cost for Three-Year Contract Term shall be the sum of the "Total Annual Cost" for Year One, Year Two, and Optional Year Three, and shall not exceed \$465,000 for the potential three-year contract term.

Cost Proposal Detail

YEAR ONE

DIRECT LABOR (Staff Level/Title)	HOURS	MULTIPLY	HOURLY RATE	EQUALS	YEAR ONE TOTAL	<u>YEAR ONE TOTALS</u>
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
<i>TOTAL DIRECT LABOR</i>						\$ (A)
INDIRECT COSTS (OVERHEAD & FRINGE BENEFITS)			%		TOTAL	
Overhead Rate				%	\$	
Fringe Benefits				%	\$	
					<i>TOTAL INDIRECT COSTS</i>	\$ (B)
TRAVEL COSTS					TOTAL	
Travel Costs					\$10,000	
					<i>TOTAL TRAVEL COSTS</i>	\$ 10,000 ¹ (C)
DIRECT COSTS (EXCEPT LABOR)					TOTAL	
Equipment and Supplies (Itemized)					\$	
Other Direct Costs (Itemized)					\$	
					<i>TOTAL DIRECT COSTS (EXCEPT LABOR)</i>	\$ (D)
<i>TOTAL ANNUAL COST FOR YEAR ONE</i> ²					\$	

¹ Travel costs at \$10,000 per year are included in this Attachment 3 – Cost Proposal and may not be modified.

² Total shall be the sum of the totals for A-D.

Cost Proposal Detail

YEAR TWO

DIRECT LABOR (Staff Level/Title)	HOURS	MULTIPLY	HOURLY RATE	EQUALS	YEAR TWO TOTAL	<u>YEAR TWO TOTALS</u>
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
<i>TOTAL DIRECT LABOR</i>						\$ (A)
INDIRECT COSTS (OVERHEAD & FRINGE BENEFITS)			%		TOTAL	
Overhead Rate				%	\$	
Fringe Benefits				%	\$	
					<i>TOTAL INDIRECT COSTS</i>	\$ (B)
TRAVEL COSTS					TOTAL	
Travel Costs					\$10,000	
					<i>TOTAL TRAVEL COSTS</i>	\$ 10,000 ¹ (C)
DIRECT COSTS (EXCEPT LABOR)					TOTAL	
Equipment and Supplies (Itemized)					\$	
Other Direct Costs (Itemized)					\$	
					<i>TOTAL DIRECT COSTS (EXCEPT LABOR)</i>	\$ (D)
					<i>TOTAL ANNUAL COST FOR YEAR TWO</i> ²	\$

¹ Travel costs at \$10,000 per year are included in this Attachment 3 – Cost Proposal and may not be modified.

² Total shall be the sum of the totals for A-D.

Cost Proposal Detail

YEAR THREE – OPTIONAL EXTENSION YEAR

DIRECT LABOR (Staff Level/Title)	HOURS	MULTIPLY	HOURLY RATE	EQUALS	YEAR THREE TOTAL	<u>YEAR THREE TOTALS</u>
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
		X	\$	=	\$	
TOTAL DIRECT LABOR						\$ (A)
INDIRECT COSTS (OVERHEAD & FRINGE BENEFITS)			%		TOTAL	
Overhead Rate				%	\$	
Fringe Benefits				%	\$	
TOTAL INDIRECT COSTS						\$ (B)
TRAVEL COSTS					TOTAL	
Travel Costs					\$10,000	
TOTAL TRAVEL COSTS						\$ 10,000 ¹ (C)
DIRECT COSTS (EXCEPT LABOR)					TOTAL	
Equipment and Supplies (Itemized)					\$	
Other Direct Costs (Itemized)					\$	
TOTAL DIRECT COSTS (EXCEPT LABOR)						\$ (D)
TOTAL ANNUAL COST FOR OPTIONAL YEAR THREE EXTENSION ²						\$

¹ Travel costs at \$10,000 per year are included in this Attachment 3 – Cost Proposal and may not be modified.

² Total shall be the sum of the totals for A-D.

ATTACHMENT 4

PROPOSER REFERENCES

Submission of this attachment is mandatory. Failure to complete and return this attachment with your proposal will cause your proposal to be rejected and deemed nonresponsive.

List below five references for services performed within the last five years, which are similar to the scope of work to be performed in this contract. If five references cannot be provided, provide an explanation on an attached sheet of paper.

REFERENCE 1			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	
Brief Description of Service Provided			

REFERENCE 2			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	
Brief Description of Service Provided			

REFERENCE 3			
Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	
Brief Description of Service Provided			

REFERENCE 4

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	

Brief Description of Service Provided

REFERENCE 5

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	

Brief Description of Service Provided

SUBCONTRACTOR REFERENCES (if applicable)

List below three references for services performed by your subcontractor(s) within the last five years, which are similar to the scope of work to be performed in this contract. If three references cannot be provided, provide an explanation on an attached sheet of paper.

REFERENCE 1

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	
Brief Description of Service Provided			

REFERENCE 2

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	
Brief Description of Service Provided			

REFERENCE 3

Name of Firm			
Street Address	City	State	Zip Code
Contact Person		Telephone Number	
Dates of Service		Email	
Brief Description of Service Provided			

ATTACHMENT 5

MINIMUM QUALIFICATIONS CERTIFICATION

The firm certifies that it fulfills the minimum qualifications outlined in Section 2 of Request for Proposals No. ABLE01-24 (the "RFP").

On behalf of _____, I certify
(Firm Name)

that said firm complies with the Minimum Qualifications set forth in Section 2 of the RFP.

(Authorized Signature of Firm)

(Firm Name)

(Print Name)

(Date)

(Title)

ATTACHMENT 6

PAYEE DATA RECORD (STD. 204)

Contractor must provide a taxpayer identification number (TIN) that has been assigned by the Federal Government. The TIN is entered on the Payee Data Record (STD. 204) and retained in our accounting department.

Click here to access the Payee Data Record (STD. 204) form:
<http://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>

ATTACHMENT 7

CONTRACTOR'S CERTIFICATION CLAUSES (CCC 04/2017)

CERTIFICATION

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor to the clause(s) listed below. This certification is made under the laws of the State of California.

<i>Contractor/Bidder Firm Name (Printed)</i>		<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County of</i>	

CONTRACTOR CERTIFICATION CLAUSES

1. STATEMENT OF COMPLIANCE: Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 11102) (Not applicable to public entities.)

2. DRUG-FREE WORKPLACE REQUIREMENTS: Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:

a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.

b. Establish a Drug-Free Awareness Program to inform employees about:

- 1) the dangers of drug abuse in the workplace;
- 2) the person's or organization's policy of maintaining a drug-free workplace;
- 3) any available counseling, rehabilitation and employee assistance programs; and,
- 4) penalties that may be imposed upon employees for drug abuse violations.

c. Every employee who works on the proposed Agreement will:

- 1) receive a copy of the company's drug-free workplace policy statement; and,
- 2) agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION: Contractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a Federal court, which orders Contractor to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)

4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT: Contractor hereby certifies that Contractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Contractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the contract equal to the lessor of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its contract with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services, and may be taken into account when determining the award of future contracts with the State for legal services.

5. EXPATRIATE CORPORATIONS: Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.

6. SWEATFREE CODE OF CONDUCT:

a. All Contractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor,

forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at www.dir.ca.gov, and Public Contract Code Section 6108.

b. The contractor agrees to cooperate fully in providing reasonable access to the contractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).

7. DOMESTIC PARTNERS: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.3.

8. GENDER IDENTITY: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.35.

DOING BUSINESS WITH THE STATE OF CALIFORNIA

The following laws apply to persons or entities doing business with the State of California.

1. CONFLICT OF INTEREST: Contractor needs to be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Pub. Contract Code §10410):

1). No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.

2). No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

Former State Employees (Pub. Contract Code §10411):

1). For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.

2). For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. LABOR CODE/WORKERS' COMPENSATION: Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. AMERICANS WITH DISABILITIES ACT: Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)

4. CONTRACTOR NAME CHANGE: An amendment is required to change the Contractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:

a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the contractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.

b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate contractor performing within the state not be subject to the franchise tax.

c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.

6. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing

body which by law has authority to enter into an agreement, authorizing execution of the agreement.

7. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the Contractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

8. PAYEE DATA RECORD FORM STD. 204: This form must be completed by all contractors that are not another state agency or other governmental entity.

ATTACHMENT 8

DARFUR CONTRACTING ACT CERTIFICATION

Pursuant to Public Contract Code section 10478, if a bidder or proposer 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 insert your company name and Federal ID Number and complete only one of the following three paragraphs (via initials for Paragraph # 1 or Paragraph # 2, or via initials and certification for Paragraph # 3):

<i>Company/Vendor Name (Printed)</i>	<i>Federal ID Number</i>
<i>Printed Name and Title of Person Initialing (for Options 1 or 2)</i>	

1. _____
Initials We do not currently have, and have not had within the previous three years, business activities or other operations outside of the United States.

OR
2. _____
Initials 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 or proposal.

OR
3. _____
Initials
+certification
below 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 proposer/bidder to the clause listed above in # 3. This certification is made under the laws of the State of California.

<i>By (Authorized Signature)</i>	
<i>Printed Name and Title of Person Signing</i>	
<i>Date Executed</i>	<i>Executed in the County and State of</i>

ATTACHMENT 9

CALIFORNIA CIVIL RIGHTS LAWS CERTIFICATION

Pursuant to Public Contract Code section 2010, if a bidder or proposer executes or renews a contract over \$100,000 on or after January 1, 2017, the bidder or proposer hereby certifies compliance with the following:

1. **CALIFORNIA CIVIL RIGHTS LAWS**: For contracts over \$100,000 executed or renewed after January 1, 2017, the contractor certifies compliance with the Unruh Civil Rights Act (Section 51 of the Civil Code) and the Fair Employment and Housing Act (Section 12960 of the Government Code); and
2. **EMPLOYER DISCRIMINATORY POLICIES**: For contracts over \$100,000 executed or renewed after January 1, 2017, if a Contractor has an internal policy against a sovereign nation or peoples recognized by the United States government, the Contractor certifies that such policies are not used in violation of the Unruh Civil Rights Act (Section 51 of the Civil Code) or the Fair Employment and Housing Act (Section 12960 of the Government Code).

CERTIFICATION

I, the official named below, certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.		<i>Federal ID Number</i>
<i>Proposer/Bidder Firm Name (Printed)</i>		
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County and State of</i>	

ATTACHMENT 10

GENERATIVE ARTIFICIAL INTELLIGENCE REPORTING AND FACTSHEET (STD. 1000)

The State of California seeks to realize the potential benefits of Generative Artificial Intelligence (GenAI), through the development and deployment of GenAI tools, while balancing the risks of these new technologies. Proposer must notify the State in writing if their solution or service includes, or makes available, any GenAI, including GenAI from third parties or subcontractors.

The State has developed a GenAI Reporting and Factsheet (STD. 1000) to be completed by the Proposer.

Failure to report GenAI to the State may void any resulting contract. The State reserves its right to seek any and all relief it may be entitled to as a result of such non-disclosure.

Upon receipt of a Proposer's GenAI Reporting and Factsheet (STD. 1000), the State reserves the right to incorporate GenAI Special Provisions into the final contract or reject proposals that present an unacceptable level of risk to the state.

Click here to access the most recent version of the GenAI Reporting and Factsheet (STD. 1000) form: <https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std1000.pdf>

ATTACHMENT 11

BIDDER DECLARATION (GSPD-05-105)

Complete the Bidder Declaration (GSPD 05-105) form and identify if your company is a Small Business, Micro-Business, and/or Disabled Veteran Business Enterprise. Also indicate any subcontractors, if applicable.

Click here to access the most recent version of the Bidder Declaration (GSPD 05-105) form:
<https://www.documents.dgs.ca.gov/dgs/fmc/gspd/gspd05-105.pdf>

ATTACHMENTS 12 & 13

PREFERENCE PROGRAMS (IF APPLICABLE)

Attach proof in claiming Small Business or Microbusiness Preference, or Non-Small Business or Microbusiness Preference, if applicable.

Small Business or Microbusiness Preference

<https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>.

Non-Small Business Preference

<https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>.

ATTACHMENT 14

TARGET AREA CONTRACT PREFERENCE ACT (TACPA)

<https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference> .

This solicitation provides for an optional TACPA preference. The TACPA program was established to stimulate business investments in distressed areas of the State and create job opportunities for Californians. Proposing companies are not required to apply for this preference. Both the TACPA workplace and workforce preferences will be evaluated for this solicitation.

Workplace preference - TACPA provides a 5 percent (5%) preference for a California business that is located in a qualified zone.

Workforce preference - TACPA provides a 1 to 4 percent (1-4%) preference for a California business that employs persons with a high risk of unemployment (Government Code Section 4532)

1% for 5-9% of workforce

2% for 10-14% of workforce

3% for 15-19% of workforce

4% for 20% or more of workforce

Proposing companies wishing to take advantage of the TACPA preference will need to review the following website and submit the appropriate documents with the proposal response: <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference>

TACPA Preference Request (STD 830)

Bidder's Summary of Contract Activities and Labor Hours (TACPA Form 526)

ABLE will send the applicable TACPA request documents to the Department of General Services, Procurement Division, Dispute Resolution Unit. TACPA preference requests are typically reviewed and processed by DGS within five (5) business days. If an award of this agreement is made based on the TACPA preference, DGS will monitor compliance directly with the Contractor throughout the life of the contract.

ATTACHMENT 15

CALIFORNIA DISABLED VETERAN BUSINESS ENTERPRISE (DVBE) PROGRAM PARTICIPATION INSTRUCTIONS

DVBE PARTICIPATION REQUIREMENT. The Disabled Veteran Business Enterprise (DVBE) Participation Goal Program for State contracts is established in Public Contract Code (PCC) section 10115 et seq., Military and Veterans Code (MVC) section 999 et seq., and California Code of Regulations (CCR), title 2, section 1896.60 et seq. **This RFP DOES NOT include a minimum DVBE participation requirement. DVBE participation is NOT required in the bid or proposal. However, a DVBE incentive will be applied as provided below.**

DVBE INCENTIVE. The State will apply a DVBE incentive for responsive bids or proposals (herein “bid” or “bids”) from responsible bidders that propose DVBE participation. The DVBE incentive will vary in relation to the percentage of confirmed DVBE participation. The following percentages shall apply.

Confirmed DVBE Participation of	DVBE Incentive
5% and above	5%
4% to 4.99% inclusive	4%
3% to 3.99% inclusive	3%
2% to 2.99% inclusive	2%
1% to 1.99% inclusive	1%

As applicable: (1) Awards based on low price – The DVBE incentive is applied by reducing the bid price by the amount of DVBE incentive as computed from the lowest responsive bid price submitted by a responsible bidder. The DVBE incentive is for evaluation purposes only. Application of the DVBE incentive shall not displace an award to a small business with a non-small business.

(2) Awards based on high score – The DVBE incentive is a percentage of the total possible available points, not including points for socioeconomic incentives or preferences. The DVBE incentive points are included in the sum of non-cost points. The DVBE incentive points cannot be used to achieve any applicable minimum point requirements.

Bidders who have been certified by California as a DVBE (or who are bidding rental equipment and have obtained the participation of subcontractors certified by California as a DVBE) must also submit a completed form **DGS PD 843 (Disabled Veteran Business Enterprise Declaration)**. All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the form(s). Should the form not be included with the solicitation, contact the State contracting official or obtain a copy at the following website: https://www.documents.dgs.ca.gov/dgs/fmc/gp/pd/pd_843.pdf. The completed form should be included with the bid response.

At the State’s option prior to award, bidders may be required to submit additional written clarifying information. Failure to submit the requested written information as specified may be grounds for bid rejection.

RESOURCES AND INFORMATION*

U.S. Small Business Administration:

Central Contractor Registration online database
<https://www.sba.gov/>

FOR:

Service-Disabled Veteran-
Owned Businesses in California

Local Organizations:

DVBE local contacts
<https://caleprocure.ca.gov/pages/PublicSearch/supplier-search.aspx>

FOR:

List of Potential DVBE
Subcontractors

**Department of General Services, Procurement
Division (DGS-PD) eProcurement:**

Website: <https://caleprocure.ca.gov/pages/index.aspx>
Phone: (916) 375-2000
Email: eprocure@dgs.ca.gov

FOR:

- SB/DVBE Search
- CSCR Advertisements
- Training Modules

**DGS-PD Office of Small Business and DVBE
Services (OSDS):**

707 Third Street, Room 1-400
West Sacramento, CA 95605

Website: <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Certify-or-Re-apply-as-Small-Business-Disabled-Veteran-Business-Enterprise>

OSDS Receptionist: (916) 375-4940
PD Receptionist: (800) 559-5529
Fax: (916) 375-4950
Email: OSDSHelp@dgs.ca.gov

FOR:

- Directory of OSDS Certified DVBEs
- Certification Applications
- Certification Information
- Certification Status, Concerns
- General DVBE Program Information
- DVBE Business Utilization Plan
- SB/DVBE Advocates
- Lists of Trade and Focus Publications
-

Commercially Useful Function Definition

Military and Veterans Code section 999(b)
California Code of Regulations, title 2, section 1896.62(l)

SCO ID:

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

STANDARD AGREEMENT

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER	PURCHASING AUTHORITY NUMBER (If Applicable)
SAMPLE	

1. This Agreement is entered into between the Contracting Agency and the Contractor named below:

CONTRACTING AGENCY NAME
 California ABLE Act Board

CONTRACTOR NAME
 TBD

2. The term of this Agreement is:

START DATE
 December 1, 2024 (or upon approval by the Department of General Services, whichever is later)

THROUGH END DATE
 November 30, 2026

3. The maximum amount of this Agreement is:

\$310,000.00 (three hundred ten thousand dollars and zero cents)

4. The parties agree to comply with the terms and conditions of the following exhibits, which are by this reference made a part of the Agreement.

Exhibits	Title	Pages
Exhibit A	Standard Agreement	4
Exhibit A, Attachment 1	Resumes Of Key Personnel	1
Exhibit B	Budget Details and Payment Provisions	2
Exhibit B, Attachment 1	Cost Proposal	1
Exhibit C	General Terms and Conditions (GTC 04-2017)	1
Exhibit D	Special Terms and Conditions	10
	RFP and Contractor's response are hereby incorporated by reference and made part of this agreement	

Items shown with an asterisk (), are hereby incorporated by reference and made part of this agreement as if attached hereto.
 These documents can be viewed at <https://www.dgs.ca.gov/OLS/Resources>*

IN WITNESS WHEREOF, THIS AGREEMENT HAS BEEN EXECUTED BY THE PARTIES HERETO.

CONTRACTOR

CONTRACTOR NAME (if other than an individual, state whether a corporation, partnership, etc.)
 TBD

CONTRACTOR BUSINESS ADDRESS	CITY	STATE	ZIP
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PRINTED NAME OF PERSON SIGNING	TITLE
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CONTRACTOR AUTHORIZED SIGNATURE	DATE SIGNED
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SCO ID:

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

STANDARD AGREEMENT

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER	PURCHASING AUTHORITY NUMBER (If Applicable)
ABLE01-24	

STATE OF CALIFORNIA

CONTRACTING AGENCY NAME				
California ABLE Act Board				
CONTRACTING AGENCY ADDRESS		CITY	STATE	ZIP
901 P Street, Suite 413		Sacramento	CA	95814
PRINTED NAME OF PERSON SIGNING		TITLE		
Thomas Martin		Executive Director		
CONTRACTING AGENCY AUTHORIZED SIGNATURE		DATE SIGNED		
CALIFORNIA DEPARTMENT OF GENERAL SERVICES APPROVAL		EXEMPTION (If Applicable)		

EXHIBIT A
(Standard Agreement)

The Scope of Work is comprised of this Section of Exhibit A and the Contractor's Proposal submitted in response to the RFP. The following Scope of Work details the Board's services expectations for the Contractor.

1. The 529A program consultant will assist the Board in the design and implementation of the Program, including the Trust, which include the following:
 - The Contractor will make recommendations on Program design and structure. On an ongoing basis, the Contractor will provide informational updates and insight on the 529A industry. The Contractor will provide the Board and the Board's staff strategic consulting advice for the Program.
 - As needed, the Contractor will help to review proposed and existing regulations, both emergency and regular, to ensure conformity and alignment with federal and state statutes pertaining to the Trust. These regulations must adhere to requirements under Chapter 15 (commencing with Section 4875) of Division 4.5 of the Welfare and Institutions Code, Internal Revenue Code Section 529A, and Internal Revenue Service regulations. As needed, the Contractor will review and edit draft regulations, and assist with any necessary changes requested by the Office of Administrative Law ("OAL") or as a result of public comments during the emergency and regular rulemaking period.
 - The Contractor will assist with public hearings and stakeholder meetings as requested by the Board. Approximately four to six public hearings and two to four stakeholder meetings will be held on an annual basis. The Contractor will assess comments from the public and other stakeholders as requested by the Board and provide recommendations for Program changes based on 529A industry best practices.
 - The Contractor will assist the Board by providing 529A program trends and comparisons, including advising the Board of new or different strategies that could be employed to increase participation in the Program and offering opinion or strategy on Program name, branding, distribution, and marketing.
 - The Contractor will provide an analysis of the program manager's performance, particularly in marketing and administrative areas using monthly, quarterly and annual data. The Contractor will also assist in the development of marketing and administrative benchmarks.
 - The Contractor will provide work product and materials that demonstrate cultural competence and designed in compliance with Sections [7405](#) and [11135 of the Government Code](#), and [Web Content Accessibility Guidelines](#) for people with disabilities using "People-first" language.

EXHIBIT A
(Standard Agreement)

- The Contractor will review Program disclosure language and keep abreast of regulatory issues on the Board's behalf.
 - The Contractor will work with the Board's contractors, such as the investment consultant and program manager, as needed. If qualified to do so and as needed, the Contractor may also participate in the development of the Board's Statement of Investment Policy (or Investment Policy Statement), Monitoring Procedures and Investment Performance Criteria, and Administrative Performance Criteria by reviewing and advising the Board and its staff, and collaborating with the Board's investment consultant and program manager towards a mutually agreed upon final work product.
 - The Contractor will attend all Board meetings unless notified otherwise by the Board. It is anticipated that the Board will meet approximately once every quarter. The Contractor will attend other meetings pertaining to the 529A industry (Internal Revenue Service, Securities and Exchange Commission, other states, or others) with or on behalf of the Board as requested.
 - The Contractor will be available to consult with Board members and the Executive Director from 8:00 a.m. to 5:00 p.m. Pacific Time, Monday through Friday.
 - The Contractor will respond to the need for telephone consultation within a 24-hour period and be available for meetings with the Board with no greater than 10 days' notice.
2. The services shall be performed at the offices of the Contractor and at the offices of appropriate affiliates, related entities, subsidiaries and subcontractors; however there will be some mandatory meetings in or near Sacramento, California.
 3. Contractor is expected to ensure that the quality and availability of personnel assigned to perform services under the contract will be maintained over the term of the contract. Replacements must have substantially the same or better qualifications and experience than the original personnel. Any change in assigned personnel must be pre-approved by the Board.
 4. The performance of the Contractor will be evaluated based on the criteria outlined below.
 - Responsiveness and timeliness in responding to inquiries made by the Board (members, Executive Director, and staff).
 - Availability to the Board for conference calls and board meetings, as needed.

**EXHIBIT A
(Standard Agreement)**

- Quality, completeness, and timeliness in providing reports, memos, analyses, and recommendations to the Board for review and consideration.
- Quality and accuracy of information, data, and support included in all product submitted to the Board.
- Ability to provide the Board with, or direct the Board to, appropriate resources for information.
- Ability to provide the Board with up-to-date information on industry standards, changes in the law and state comparisons.
- Availability of resources to adequately perform on contract requirements (staff, consultants, etc.).
- Demonstrates working relationships with industry peers and organizations.
- Demonstrates the ability to provide day-to-day management of tasks, coordination of support and administrative activities, and supervision of all Contractor employees.
- Possesses the technical and functional skills and knowledge to direct all aspects of the contract.

5. The project representatives during the term of this agreement will be:

State Agency: California ABLE Act Board	Contractor: TBD
Name: Thomas Martin, Executive Director	Name: TBD
Address: 901 P St. Suite 413 Sacramento, CA 95814	Address: TBD
Phone: (916) 653-4046	Phone: TBD
Email: calable@treasurer.ca.gov	Email: TBD

Direct all inquiries to:

State Agency: California ABLE Act Board	Contractor:
Attention: Thomas Martin	Attention:
Address: 901 P St. Suite 413 Sacramento, CA 95814	Address:
Phone: 916-653-4046	Phone:
Email: calable@treasurer.ca.gov	Email:

EXHIBIT A
(Standard Agreement)

6. Distribution/Ownership/Confidentiality of Data

The distribution of all data produced by the Contractor is restricted to the Board. This data becomes property of the Board, and the Board reserves exclusive rights to its further dissemination. In addition, Contractor shall keep confidential any information which identifies, or may identify, ABLE Act Program account holders consistent with state and federal laws.

7. Conflict of Interest

In the event that during the term of the agreement, the Contractor begins a contractual or other business relationship with any investment management services contractor that provides services for the Trust or any investment manager directing funds in the ABLE Act Program portfolio, either on its own or in partnership, with other entities, it shall provide prior notification to the Board.

Should the Contractor begin such a relationship, the agreement may be terminated immediately by the Board on the ground of conflict of interest and any payments made subsequent to the creation of the conflict shall be disgorged by the agreement. Also, the Contractor may continue to perform and receive payment under this agreement only if the Board executes a written waiver of conflict, which waiver may not be given retroactive effect.

This section applies to any subcontractors the Contractor may utilize for this agreement. Ownership of an ABLE Act Program account does not constitute a business relationship.

8. Agreement Extension

This Agreement may be extended for one additional one-year term, which will be exercisable at the sole discretion of CalABLE. The Contractor will be evaluated based on the criteria outlined in Section 4 of Exhibit A to determine the quality of work and if renewal of the agreement is warranted. The amendments to extend the agreement for up to one year will be subject to the approval of the Board and the Department of General Services.

If the agreement is extended for one (1) year, all rates, as stated in Contractor's Cost Proposal for Year Three. Travel costs for a one year extension are capped at \$10,000.

**EXHIBIT A, ATTACHMENT 1
(Standard Agreement)**

RESUMES OF KEY PERSONNEL

RESUMES FROM CONTRACTOR'S RFP SUBMISSION

**EXHIBIT B
(Standard Agreement)**

BUDGET DETAIL AND PAYMENT PROVISIONS

1. Invoicing and Payment

- A. For services satisfactorily rendered, and upon receipt and approval of the invoices, the State agrees to compensate the Contractor for actual expenditures incurred in accordance with the rate specified herein, which is attached hereto as Attachment 1 to Exhibit B and made part of this agreement. It shall be the State's sole determination as to whether services have been satisfactorily rendered. Travel costs are capped at \$10,000 per year. The rates for necessary traveling expenses and per diem shall be set in accordance with the rates of the California Department of Human Resources (CalHR) for comparable classes and no travel outside the State of California shall be reimbursed unless prior written authorization is obtained from CalABLE.
- B. Invoices shall include the Agreement No. ABLE01-24 and shall be submitted not more frequently than monthly in arrears to:

ABLE Act Board
901 P St. Suite 413
Sacramento, CA 95814
Attention: Thomas Martin, Executive Director

In consideration for the satisfactory completion of the services described herein, CalABLE agrees to pay Contractor, in arrears, upon receipt of an invoice, for services rendered under this Agreement. The invoice shall be submitted by Contractor in sufficient scope and detail to define the actual work performed, including a description of the activities of Contractor and subcontractors, if any, and the hours allocated to those activities. The hourly rate for services rendered shall not exceed those as set forth herein or as attached hereto.

2. Budget Contingency Clause

- A. It is mutually agreed that if the Budget Act of the current year and/or any subsequent years covered under this Agreement does not appropriate sufficient funds for the program, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor or to furnish any other considerations under this Agreement and Contractor shall not be obligated to perform any provisions of this Agreement.

EXHIBIT B
(Standard Agreement)

B. If funding for any fiscal year is reduced or deleted by the Budget Act for purposes of this program, the State shall have the option to either cancel this Agreement with no liability occurring to the State, or offer an agreement amendment to Contractor to reflect the reduced amount.

3. Prompt Payment Clause

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

**EXHIBIT B, ATTACHMENT 1
(Standard Agreement)**

COST PROPOSAL

COST PROPOSAL FROM CONTRACTOR'S RFP SUBMISSION

**EXHIBIT C
(Standard Agreement)**

GENERAL TERMS AND CONDITIONS

Exhibit C to this Agreement, the General Terms and Conditions (GTC 04/2017), is hereby incorporated by reference and made part of this agreement as if attached hereto. The General Terms and Conditions can be viewed at <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language>

**EXHIBIT D
(Standard Agreement)**

SPECIAL TERMS AND CONDITIONS

1. Excise Tax

The State of California is exempt from federal excise taxes, and no payment will be made for any taxes levied on employees' wages. The State will pay for any applicable State of California or local sales or use taxes on the services rendered or equipment or parts supplied pursuant to this Agreement. California may pay any applicable sales and use tax imposed by another state.

2. Settlement of Disputes

In the event of a dispute, Contractor shall file a "Notice of Dispute" with a Deputy Treasurer of the California State Treasurer's Office within ten (10) days of discovery of the problem. Within ten (10) days, the Deputy Treasurer shall meet with the representatives of Contractor and the State identified in Exhibit A for purposes of resolving the dispute. The decision of the Deputy Treasurer shall be final.

3. Evaluation of Contractor

Pursuant to Public Contract Code sections 10367 and 10369 within sixty (60) days after the completion of this Agreement, the State shall complete a written evaluation of Contractor's performance under this Agreement. If this Agreement is a contract for consultant services and if Contractor did not satisfactorily perform the work, a copy of the evaluation will be sent to the Department of General Services (DGS), Office of Legal Services, and to the Contractor within fifteen (15) working days of the completion of the evaluation in accordance with Public Contract Code section 10371.

4. No Agency Liability

The Contractor warrants by execution of this Agreement that no person or selling agency has been employed or retained to solicit or secure this Agreement upon agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the State shall, in addition to other remedies provided by law, have the right to annul this Agreement without liability, paying only for the value of the work actually performed, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

**EXHIBIT D
(Standard Agreement)**

5. Potential Subcontractors

Nothing contained in this Agreement or otherwise, shall create any contractual relationship between the State and any subcontractors, and no subcontract shall relieve the Contractor of his responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the obligation of the State to make payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

6. Force Majeure

Neither party to this Agreement shall be liable for damages resulting from delayed or defective performance when such delays arise out of causes beyond the control and without the fault or negligence of the offending party. Such causes may include, but are not restricted to, acts of God or of the public enemy, acts of the State in its sovereign capacity, fires, floods, power failure, disabling strikes, epidemics, quarantine restrictions, and freight embargoes.

7. Waivers

No delay on the part of any party in exercising any right, power or privilege hereunder shall operate as a waiver thereof, nor shall any waiver on the part of any party of any right, power or privilege hereunder, nor any single or partial exercise of any right, power or privilege hereunder, preclude any other or further exercise thereof or the exercise of any other right, power or privilege hereunder.

8. Incorporation of Amendments to Applicable Laws

Any references to sections of federal or state statutes or regulations shall be deemed to include a reference to any amendments thereof and any successor provisions thereto.

9. Confidentiality

All financial, statistical, personal, technical and other data and information relating to the operations of the State which are designated confidential by the State and become available to Contractor shall be protected by Contractor from unauthorized use and disclosure.

**EXHIBIT D
(Standard Agreement)**

10. Titles/Section Headings

Titles and headings are for convenience of reference only, and shall have no effect on the construction or legal effect of this Agreement.

11. Choice of Law

Notwithstanding Paragraph 14 of Exhibit C (General Terms and Conditions), this Agreement shall be administered, construed, and enforced according to the laws of the State of California (without regard to any conflict of laws provisions) to the extent such laws have not been preempted by applicable federal law. Any suit brought hereunder, including any action to compel arbitration or to enforce any award or judgment rendered thereby, shall be brought in state court sitting in Sacramento, California, the parties hereby waiving any claim or defense that such forum is not convenient or proper. Each party agrees that any such court shall have in personam jurisdiction over it and consents to service of process in any manner authorized by California law.

12. Notices

The parties agree that to avoid unreasonable delay in the progress of the services performed hereunder, Contractor and the State have designated in Exhibit A specific staff representatives for the purpose of communication between the parties. Any notice or other written communication required or which may be given hereunder shall be deemed given when delivered personally, or by mail three (3) days after the date of mailing, unless by express mail then upon the date of confirmed receipt, to the representatives named in Exhibit A.

Either party hereto may, from time to time by notice in writing served upon the other as aforesaid, designate a different address or a different or additional person to which all such notices or demands thereafter are to be addressed.

13. Permits and Licenses

Contractor shall carry out its duties and responsibilities herein in accordance with, be limited in the exercise of its rights by, and observe and comply with, all federal, state, city and county laws, rules or regulations affecting services under this Agreement. Contractor shall procure and keep in full force and effect during the term of this Agreement all permits and licenses necessary to accomplish the work contemplated in this Agreement.

14. Books and Records

Contractor shall keep accurate books and records connected with the performance of this Agreement for a period of at least three (3) years. Contractor shall ensure

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that books and records of subcontractors, suppliers, and other providers shall also be accurately maintained. Such books and records shall be kept in a secure location and shall be available for inspection and copying by the State and its representatives at any time.

15. Key Personnel

- a. A resume for each member of Contractor's staff who will exercise a significant administrative, policy, or consulting role under this Agreement is attached to this Agreement and incorporated herein. These members of Contractor's staff shall be hereafter referred to (both individually and collectively) as "Key Personnel."
- b. Contractor shall not substitute, replace or reassign Key Personnel without the prior approval of the State and an amendment to this Agreement.
- c. This Agreement may be terminated immediately, in the sole discretion of the State and upon written notice from the State to Contractor, because of any change in or departure of any of the Key Personnel.

16. Changes in Control, Organization or Key Personnel

Contractor shall promptly, and in any case within five (5) days, notify the State in writing: (i) if any of Contractor's representations and warranties, as set forth in this Agreement, cease to be true at any time during the term of this Agreement; (ii) of any change in Contractor's staff who exercises a significant administrative, policy, or consulting role under this Agreement, including without limitation any Key Personnel; (iii) of any change in the majority ownership, control, or business structure of Contractor; or (iv) of any other material change in Contractor's business, partnership or corporate organization. All written notices from Contractor under this provision shall contain sufficient information to permit the State to evaluate the changes within Contractor's staff or organization under the same criteria as was used by the State in its award of this Agreement to Contractor.

17. Insurance Requirements

Contractor warrants that it carries adequate liability, worker's compensation and other necessary insurance and shall maintain such insurance at levels acceptable to the State in full force and effect during the term of this Agreement. Contractor agrees to furnish satisfactory evidence of this insurance coverage to the State upon request.

18. Subcontractors

- a. Contractor shall perform the work contemplated by this Agreement with resources available within its own organization except for subcontracted work

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identified in this Agreement or other attachment incorporated hereto. No other portion of the work pertinent to this Agreement shall be subcontracted without written authorization by the State. The subcontractor must be mutually agreed upon in advance by both parties.

- b. Contractor shall require that any subcontractor agree to be bound by all provisions of this Agreement, as applicable.

19. Notice of Proceedings

Contractor shall promptly notify the State in writing of any investigation, examination or other proceeding involving Contractor, including any Key Personnel, commenced by any regulatory agency, which proceeding is not conducted in the ordinary course of Contractor's business.

20. Cumulative Remedies

The rights and remedies provided herein are cumulative and are not exclusive of any rights or remedies that any party may otherwise have at law or in equity.

21. Binding Effect

This Agreement, any instrument or agreement executed pursuant to this Agreement, and the rights, covenants, conditions and obligations of Contractor and the State contained therein, shall be binding upon the parties and their successors, assigns and legal representatives.

22. Publicity

No publicity release or announcement concerning this Agreement or the transactions contemplated herein shall be issued by Contractor without advance written approval by the State.

23. Services or Procurement Resulting from Agreement

Neither Contractor, nor any of its subsidiaries, officers or directors, may submit a bid or be awarded a contract for the provision of services, procurement of goods or supplies, or any other related action which is required, suggested, or otherwise deemed to be an outgrowth of the advice or recommendations that Contractor provides under this Agreement.

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24. Agreement Does Not Violate Law

Contractor represents and warrants that neither the execution of this Agreement nor the acts contemplated hereby nor compliance by Contractor with any provisions hereof will:

- a. Violate any provision of the charter documents of Contractor;
- b. Violate any statute or law or ordinance or any judgment, decree, order, regulation or rule of any court or governmental authority applicable to Contractor; or
- c. Violate, or be in conflict with, or constitute a default under, or permit the termination of, or require the consent of any person under, any agreement to which Contractor may be bound, the violation of which in the aggregate would have a material adverse effect on the properties, business, prospects, earnings, assets, liabilities or condition (financial or otherwise) of Contractor.

25. Power and Authority

Contractor represents and warrants that it has the power and authority to enter into this Agreement and to carry out its obligations hereunder. The execution of this Agreement has been duly authorized by Contractor and no other proceeding on the part of Contractor is necessary to authorize this Agreement. Contractor has completed, obtained and performed all registrations, filings, approvals, authorizations, consents or examinations required by any government or governmental authority for its acts contemplated by this Agreement.

26. Signature Authorization

The person signing this Agreement warrants that he/she is an agent of Contractor and is duly authorized to enter into this Agreement on behalf of Contractor.

27. Entire Agreement; Order of Precedence

- a. This Agreement, including documents that have been incorporated in this Agreement by reference, contains all representations and the entire understanding between the parties hereto with respect to the subject matter hereof. Any prior correspondence, memoranda or agreements are replaced in total by this Agreement.
- b. In the event there are any inconsistencies or ambiguities among the terms of this Agreement and incorporated documents, the following order of precedence

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shall be used: (i) applicable laws; (ii) the terms and conditions of this Agreement, including exhibits and attachments (excluding any Request for Proposal (RFP) or Invitation for Bid (IFB) and Contractor's proposal or bid); (iii) RFP or IFB if any; (iv) Contractor's proposal or bid if any; and (v) any other provisions, terms, or materials incorporated herein.

28. Termination at Option of the State

In addition to the provisions of Paragraph 7 of Exhibit C (General Terms and Conditions), this Agreement may be terminated in whole or in part at any time upon thirty (30) days' written notice by the State, for any reason. Upon receipt of a termination notice, Contractor shall promptly discontinue all services affected unless the notice specifies otherwise. In the event the State terminates all or a portion of this Agreement for any reason, it is understood that the State will provide payment to Contractor for satisfactory services rendered prior to the termination, but not in excess of the maximum amount of this Agreement.

29. Termination for Insolvency

Contractor shall notify the State immediately in writing in the event that Contractor files any federal bankruptcy action or state receivership action, any federal bankruptcy or state receivership action is commenced against Contractor, Contractor is adjudged bankrupt, or a receiver is appointed and qualifies. In the event of any of the foregoing events, or if the State determines, based on reliable information, that there is a substantial probability that Contractor will be financially unable to continue performance under this Agreement, the State may terminate this Agreement and all further rights and obligations immediately.

30. Completion

In the event of termination for default, the State reserves the right to take over and complete the work by contract or other means. In such case, Contractor will be liable to the State for any additional cost incurred by the State to complete the work whether reimbursed or not.

31. Effect of Termination

All duties and obligations of the State and Contractor shall cease upon termination of this Agreement, except that:

- a. Each party shall remain liable for any rights, obligations, or liabilities arising from activities carried on by it under this Agreement prior to the effective date of termination; and

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- b. Contractor shall provide for the return of all records of the State to the State or its designee and shall cooperate fully to effect an orderly transfer of services.

32. Termination for Expatriation

Contractor shall notify the State immediately in writing in the event that Contractor or its parent files any notice with the Securities and Exchange Commission that Contractor intends to reincorporate offshore. In the event of such notice, the State may terminate this Agreement and all further rights and obligations immediately by giving five (5) days' notice in writing in the manner specified herein.

33. Compliance With Political Reform Act

Contractor acknowledges that the State is subject to the provisions of the Political Reform Act (Government Code section 81000 et seq. and all regulations adopted thereunder, including, but not limited to, California Code of Regulations, title 2, section 18700 et. seq.) and Contractor shall comply promptly with any requirement thereunder. If required by law, Contractor shall require its personnel, including without limitation, its Key Personnel all later substitutions therefore, to file Statements of Economic Interests in compliance with the Conflict of Interest Code for the Office of the State Treasurer and the various boards, authorities, commissions, and committees chaired by the State Treasurer (California Code of Regulations, title 2, section 1897). All such reports shall be filed simultaneously with the State.

34. Darfur Contracting Act

Effective January 1, 2009, all Invitations for Bids (IFB) or Requests for Proposals (RFP) for goods or services must address the requirements of the Darfur Contracting Act of 2008 (Act). (Public Contract Code section 10475 et seq.) The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with "scrutinized" companies that do business in the African nation of Sudan of which the Darfur region is a part, for the reasons described in Public Contract Code section 10475.

A scrutinized company is a company doing business in Sudan as defined in Public Contract Code section 10476. Scrutinized companies are ineligible to, and cannot, bid on or submit a proposal for a contract with a State agency for goods or services. (Public Contract Code section 10477(a).)

Therefore, Public Contract Code section 10478(a) requires a company that currently has (or within the previous three years has had) business activities or other operations outside of the United States to certify that it is not a "scrutinized"

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company when it submits a bid or proposal to a State agency. A scrutinized company may still, however, submit a bid or proposal for a contract with a State agency for goods or services if the company first obtains permission from DGS according to the criteria set forth in Public Contract Code section 10477(b).

35. Labor Neutrality Policy

ABLE recognizes the value of labor organizing and encourages the entities with which it contracts to demonstrate that they also value this principle by encouraging management neutrality in labor organizing activities.

To remain "neutral" means not to take any action or make any statement that will directly or indirectly state or imply any support for or opposition to the selection by the Contractor's employees of a collective bargaining agent, or preference or opposition to any particular union as a bargaining agent. Nothing in this section obligates or prohibits the Contractor from entering into private neutrality, labor peace or other lawful agreements with a labor organization seeking to represent or who currently represents the Contractor's employees.

36. Executive Order N-6-22 Russia Sanctions

The Contractor shall comply with Executive Order N-6-22 (the EO) regarding Economic Sanctions against Russia and Russian entities and individuals. "Economic Sanctions" refers to sanctions imposed by the U.S. government in response to Russia's actions in Ukraine, as well as any sanctions imposed under state law. The EO directs state agencies to terminate contracts with, and to refrain from entering any new contracts with, individuals or entities that are determined to be a target of Economic Sanctions. Accordingly, should the State determine the Contractor is a target of Economic Sanctions or is conducting prohibited transactions with sanctioned individuals or entities, that shall be grounds for termination of this agreement. The State shall provide the Contractor advance written notice of such termination, allowing the Contractor at least 30 calendar days to provide a written response. Termination shall be at the sole discretion of the State.

37. Generative Artificial Intelligence (GenAI) Technology Use & Reporting

During the term of the contract, Contractor must notify the State in writing if their services or any work under this contract includes, or makes available, any previously unreported GenAI technology, including GenAI from third parties or subcontractors. Contractor shall immediately complete the GenAI Reporting and Factsheet (STD 1000) to notify the State of any new or previously unreported GenAI technology. At the direction of the State, Contractor shall discontinue the use of any new or previously undisclosed GenAI technology that materially impacts

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functionality, risk or contract performance, until use of such GenAI technology has been approved by the State.

Failure to disclose GenAI use to the State and submit the GenAI Reporting and Factsheet (STD 1000) may be considered a breach of the contract by the State at its sole discretion and the State may consider such failure to disclose GenAI and/or failure to submit the GenAI Reporting and Factsheet (STD 1000) as grounds for the immediate termination of the contract. The State is entitled to seek any and all relief it may be entitled to as a result of such non-disclosure.

The State reserves the right to amend the contract, without additional cost, to incorporate GenAI Special Provisions into the contract at its sole discretion and/or terminate any contract that presents an unacceptable level of risk to the State.

38. Conflict of Interest; No Profit

- a. Contractor certifies that its employees and the officers of its governing body shall avoid any actual or potential conflicts of interest, and that no officer or employee who exercises any functions or responsibilities in connection with this Agreement shall have any personal financial interest or benefit which either directly or indirectly arises from this Agreement.
- b. Contractor shall establish safeguards to prohibit its employees or its officers from using their positions for a purpose which could result in private gain or which gives the appearance of being motivated for private gain for themselves or others, particularly those with whom they have family, business, or other ties.