REQUEST FOR OFFER

RFO #CRSB03-24

Employer Compliance Management Systems (ECMS) Application Development

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For: IT CONSULTING – SOFTWARE DEVELOPMENT

Date: March 21, 2025

You are invited to review and respond to this Request for Offer (RFO). To submit an offer for these services, you must comply with the instructions contained in this document as well as the requirements stated in Attachment A – Scope of Work and Attachment B – Cost Worksheet. By submitting an offer, your firm agrees to the terms and conditions stated in this RFO and your CMAS contract.

Read the attached document carefully. The RFO response due date is April 24, 2025 at 5:00 p.m. PT. Responses to this RFO must be submitted by email, clearly labeled to the department contact noted below.

Department Contact:

Niraj Sardana
State Treasurer's Office
Information Technology Division
901 P Street, Sacramento, CA 95814
Niraj.Sardana@treasurer.ca.gov | (916) 653-2686

General Information

1. Background and Purpose of the RFO

   CalSavers is one of the several Boards, Commissions, and Authorities (BCAs) under the purview of the State Treasurer's Office (STO). The CalSavers Program is a voluntary retirement savings program that enables employee participation through payroll contributions into a Roth or traditional IRA, with a Roth IRA as the default.

   Legislation mandates that all private sector employers with one or more employees in California that do not offer a payroll deduction retirement savings vehicle provide their employees access to the Program.

   To identify employers that are subject to the mandate, employer data is received from the Employment Development Department (EDD) quarterly, with each year's April file being the data that sets the mandated pool of employers for the current calendar year, based on the quarterly employee counts for the previous calendar year. The other quarterly files are used to update employer address and contact data and to keep a history of quarterly employee counts for enforcement purposes.

   When an employer does not register with the program or report an exemption before their mandated deadline2, they are out of compliance with the State mandate and are subject to penalties. When these employers have been identified by the program administrator (currently Ascensus), they enter our enforcement process.

   Enforcement consists of sending due process notices (currently through the Office of State Printing) to warn the employer of the pending penalty and attempt to get them to come into compliance in lieu of the fine, then referring employers that are still out of compliance to the Franchise Tax Board (FTB) for penalty assessment.

2. Description of Services

   CalSavers is releasing this RFO to select a firm with which it will enter into an Agreement to develop, test, and implement a web application "Employer Compliance Management Systems (ECMS)" to support the CalSavers Program.

   Attachment A – Scope of Work outlines the services to be provided by the selected offeror (Contractor) to CalSavers. The SOW is governed by and incorporates by reference the terms and conditions of the Contractor's California Multiple Award Schedule (CMAS) Agreement with the Department of General Services (DGS).

   This will be a deliverables-based contract and the offers is expected to provide a fixed fee offer.

3. Term of Agreement

   The Agreement Term will extend one (1) year from the date of the Agreement execution. CalSavers will have the right to exercise up to two (2) sixty (60) day options to extend the Agreement Term. CalSavers will provide the Contractor a fifteen (15) day notice of its intent to exercise an option to extend the Agreement Term. During the period of this contract, CalSavers reserves the right to change the deliverable due dates in the SOW as needed without incurring cost above the amount of the Agreement.

4. Key Dates

It must be understood that time is always of the essence, both for the RFO submittal and contract completion. Offeror's are advised of the key dates and times shown below and are expected to adhere to them.

Event	Date
Release of RFO	March 21, 2025
Last Day to Submit Questions	March 28, 2025 by 3:00 p.m. PT
Responses to Questions	April 2, 2025
RFO Response Submission Due Date	April 24, 2025 by 5:00 p.m. PT
Shortlisted Offerors' Presentation	May 1, 2025
Finalist Team Interviews	May 7, 2025
Anticipated Start Date	May 26, 2025

5. Written Questions

All written questions regarding the content of this RFO shall be submitted via email to the Department Contact, Niraj Sardana, at niraj.sardana@treasurer.ca.gov by March 28, 2025, at 3:00 p.m. PT.

6. RFO Response Requirements

This RFO and the offeror's response to this document will be made part of the procurement file.

Responses must contain all requested information and data and conform to the format described in this section. It is the offeror's responsibility to provide all necessary information for the State to evaluate the response, verify requested information, and determine the offeror's ability to perform the tasks and activities defined in Attachment A – Scope of Work and Attachment B – Cost Worksheet as required below.

The offeror must submit one (1) copy of their response to the department contact name and email address contained on the cover sheet to this RFO.

7. RFO Response Content

The majority of the information required to respond to this RFO is contained in Attachment A – Scope of Work and Attachment B – Cost Worksheet.

a) Response to Attachment A – Scope of Work.

The offeror's "Statement of Work" responds to the State's Scope of Work and will be used to evaluate responsiveness to requirements. This Statement of Work response must map each task/deliverable item back to the Attachments. The response must include any additional information that the offeror deems necessary to explain how the

Contractor intends to meet the State's requirements. The Statement of Work needs to contain the following as appropriate:

- Describe service offerings, differentiators, and intellectual property applicable to this project (not to exceed 10 pages).
- Provide statement of experience with specified technologies and the number of consultants available with the mentioned skillset.
- Provide examples of past projects and list the technologies involved, number of users impacted, and similarities to this project.
- Outline and describe your methodology and strategies to accomplish the project objectives including any proposed tools.
  - Describe the project management methodology you propose, including your approach to handling timelines, budgets, scope changes, and stakeholder engagement. Specify any tools that will be used to manage and track the project (if required, other than Azure DevOps).
  - Explain your approach to gathering, analyzing, and documenting project requirements, including any tools or templates you will use to ensure clarity and alignment with business goals. Specifically, describe your approach to translating functional requirements into Epics, Sprints, User Stories, Tasks within Azure DevOps Boards.
  - Provide details of your proposed changes, if any, to our proposed technical architecture and design. Include specifics about any changes/additions to the technology stack, azure services, etc.
  - Describe your development methodology and how you will ensure code quality, security, and continuous integration throughout the project lifecycle. Include details on version control and automated testing.
  - Describe your approach to security and compliance, including secure coding practices and vulnerability management.
  - Explain your approach to Quality Assurance and Testing, including automated testing strategy, if any.
  - Outline your approach to post-deployment support and maintenance, including support levels, and incident response procedures.
  - Describe your approach to project documentation and knowledge transfer, including how you will ensure that our team has the necessary resources to manage and maintain the application post-delivery.
  - Identify the key risks to the project and outline your strategies for mitigating them. Include both technical and operational risks.
  - Describe any innovative approaches, tools, or technologies you propose to enhance the project outcomes and provide added value to our organization.
- Provide a draft schedule (project tasks, deliverables, and milestones) organized into multiple Work Authorizations (WA). All required deliverables must be included in WAs.

- Include proposed staffing plan along with number of consultants proposed, their role and skills, and delivery location(s) of proposed consultants.

b) A minimum of three (3) references within past five (5) years for each Consultant proposed to perform under an Agreement resulting from this RFO.

c) Response to Attachment B – Cost Worksheet.

d) Response to Attachment C – Consultant Experience Worksheet for each Consultant proposed to perform under an Agreement resulting from this RFO.
(Note: the use of subcontractors is not allowed.)

e) Response to Attachment D – Generative Artificial Intelligence (GenAI) Disclosure Obligation

f) A resume for each Consultant proposed to perform under an Agreement resulting from this RFO.

g) Payee Data Record (STD. 204)

h) Bidder Declaration (GSPD-05-105)

8. Review of Offers for Award

Responses to this RFO will first be evaluated for compliance with all requirements. Responses missing required information may be deemed non-responsive.

9. Shortlisted Offerors' Presentation

Shortlisted offerors, typically up to three, will be required to present their responses either in person or via video conferencing. During the presentation, the offerors and their proposed team members must demonstrate their understanding of the scope of work, describe their proposed solution, address potential risks and project challenges, and outline the key activities necessary to complete the work as detailed in their Statement of Work for this RFO.

10. Finalist Team Interviews

Proposed team members of the finalists will be interviewed via phone to assess their experience, expertise, and its relevance to the project.

11. Contract Award

Award of a contract resulting from this RFO will be based on a best value.

ATTACHMENT A – SCOPE OF WORK

1. Scope and Description

The Contractor shall develop, test and implement Employer Compliance Reporting System (ECMS), a web application, as described more fully herein.

2. Project Background

The current process followed by CalSavers staff is largely manual, involving data intake from multiple external sources, performing data quality and compliance checks, identifying non-compliant employers, initiating enforcement actions, and generating compliance-based reports and notifications.

This project initiates the modernization and digitization of these processes through the development of an automated Employer Compliance Management System (ECMS), designed to support CalSavers by:

- Ingesting data from various external sources, including business partners and publicly available data sources, and quarterly employer data from the Employment Development Department (EDD).
- Identifying mandated and categorically exempt employers and monitoring data quality and compliance.
- Generating reports and notifications based on compliance metrics.
- Providing a user interface for compliance officers, customer service, and operations staff to review and take actions.
- Handling enforcement actions for non-compliant employers.
- Provide the ability to email employers from the application and ability to upload emails received on other mediums

3. Consultant Resources

The contractor is granted the flexibility to define roles and determine the number of resources needed in each role to ensure successful project delivery. The anticipated key roles include, but are not limited to:

- UI/UX Developer
- Sr. Full Stack Developer
- Sr. Azure Data Engineer
- Power BI Developer
- Project Manager / Scrum Master

All Contractor staff providing work under this Agreement, including subcontractor staff, must be located within the continental United States and participate in JAD sessions and Scrum ceremonies via video call or in-person.

Following is the minimum and desired qualification for the anticipated roles.

Role	Minimum Qualification	Desired Qualifications
UI/UX Developer	• Minimum 8 years of experience in UI/UX design. • Must have designed web user interface for a minimum of 3 greenfield applications. • High level of proficiency in UI/UX design tools such as Figma.	• Demonstrable portfolio of delivered UI/UX development projects. • Demonstrable experience in Figma.
Full Stack Developer	• Minimum 8 years of experience in full-stack development. • Must have developed and delivered a minimum of 3 greenfield applications. • High level of proficiency in HTML, CSS, JavaScript, TypeScript, React, C#, .Net, SQL	• Demonstrable experience in cloud-native application development in Azure • Microsoft Certified: Azure Developer Associate
Sr. Data Engineer	• Solid experience as Azure data engineer • Proficiency in Azure storage & data technologies • Strong Experience with Azure Data Factory • Strong relational database foundations • Experience building Enterprise data warehouse/ data marts using SQL Server/Oracle • Familiarity with BI reporting tools like Power BI, Tableau	• Demonstrable experience architecting ETL applications in Azure. • Microsoft Certified: Azure Data Engineer • Strong Problem Solving and root cause analysis skills
Power BI Developer	• Solid experience working with Power BI • Experience with SQL, .Net and/or other programming languages • Design and Develop schema for Power BI projects • Querying and analyzing large datasets to extract meaningful insights • Strong database and SQL skills • Experience working in cloud environments	• Demonstrable experience architecting Self-service reporting • Microsoft Certified: Azure Power BI developer • Strong Problem Solving and root cause analysis skills

4. Project Management

<u>JAD Sessions</u>: Contractor shall plan for Joint Application Design (JAD) sessions at the beginning of the project () involving the key stakeholders and translating the requirements into prioritized product backlog in Azure DevOps Boards (epics, sprints, user stories, tasks, acceptance criteria, etc.)

<u>Agile Scrum</u>: Project must adhere to incremental delivery following the Agile Scrum methodology, with 2-week sprint cycles.

<u>Scrum Ceremonies</u>: Scrum ceremonies are critical components of the project delivery providing structured opportunities for the team to plan work, address issues, and improve processes. Following ceremonies will be held:

- **Sprint Planning** at the start of each sprint.
- **Daily Scrum** for the team members to discuss what they worked on the previous day, plan for the current day, and identify any impediments to progress. Mandatory participation of the entire development team is expected.
- **Sprint Review** at the end of each sprint to review the work that was completed and the work that was not completed.
- **Sprint Retrospective** after the Sprint Review for the team to discuss what went well, what could be improved, and how to incorporate the learnings into the next sprint planning.

5. Technical Requirements

This project aims to modernize the current manual processes used by CalSavers, leveraging a modern technology stack, a cloud-native architecture, and a new hosting model via Azure PaaS.

The following technical requirements are within the scope of the SOW and outline the standards and expectations that the Contractor must adhere to for this project. These requirements are mandatory for successful project completion.

A. <u>Technology Stack</u>

The following technologies are approved for use in this project. Any technologies not listed here will require a formal approval process.

Category	Technologies
Front-end technologies	• HTML, CSS, Bootstrap, JavaScript/TypeScript, and React for building user interfaces
Back-end technologies	• C# Serverless Azure Functions with .Net framework for server-side logic. SQL Database for relational data storage. • **Azure Function App:** A serverless Azure Function App using C# will be developed for custom processing tasks and workflows. It will handle business logic such as triggering notifications, managing compliance workflows, and processing user requests.

Azure Platform as a Service (PaaS) Components	• Utilization of Azure PaaS services including Static WebApp, API Management Service, App Service, Function App, SQL Database, Blob Storage, Key Vault, App Config, Traffic Manager, Azure Application Gateway, Azure Web Application Firewall, Azure DevOps Pipelines, Bicep Templates, Microsoft Entra ID, App Registration, Enterprise Apps, Azure Monitor, and Application Insights.
	
	The system will leverage various Azure components to ensure a scalable, secure, and efficient architecture. The following Azure services will be used:
	• **ETL Orchestration:** Azure Data Factory (ADF) will be used to orchestrate the ETL (Extract, Transform, Load) processes, enabling data ingestion from multiple sources, transforming the data, and loading it into Azure Data Lake Storage.
	• **Data Storage:**
	  • Azure Data Lake Storage Gen 2 will be used for storing raw Employer data in order to provide scalable, high-performance storage for ingested data. This storage solution allows for easy data access and management, supporting downstream analytics and reporting needs.
	  • Azure SQL Server will be used for storing transformed data for operational reporting and compliance tracking purposes. The SQL Server will store employer compliance records, logs, and historical data.
	• **API Management:** API Gateway to route and manage requests between the frontend and backend services.
	• **Authentication and Security:** Azure Active Directory (Azure AD) for secure authentication, along with data encryption at rest and in transit.

Reporting and Analytics	• **Power BI** will be used for data visualization, reporting and advanced analytics. It will handle business logic such as triggering notifications, managing compliance workflows, and processing user requests.

B. <u>Architecture</u>

Below are the key architectural requirements that will guide the development and deployment processes:

Category	Requirements
Cloud-native Design	A well-architected, secure, robust, and scalable application leveraging PaaS solutions and serverless functions
API-First Approach	All functionalities must be accessible via APIs, facilitating integration with other systems and applications.
Disaster Recovery (DR)	The design must ensure resilience, with the ability to recover in an alternate Azure region. This includes replication of all data stores and a controlled manual switchover capability.
Isolation in a VNet	Azure PaaS services must be secured within a Virtual Network (VNet) to provide enhanced security through isolation and to ensure that data does not traverse the public internet.

C. User Interface

Category	Requirements
UI/UX Design	UI/UX design using a tool such as Figma
Responsive Interface	Use responsive web design principles to ensure application adapts to different screen sizes and devices.
Visual Design	Visual design should align with CA state web standards (https://template.webstandards.ca.gov/visual-design/typography.html)
Performance	The loading time of the web pages should be less than 3 seconds.
ADA Compliance	Web applications must adhere to ADA (Americans with Disabilities Act) compliance standards, ensuring accessibility for all users

D. Role-based Access

Define two user categories: Authenticated Uses and Privileged Users, with appropriate authentication and authorization mechanisms.

Type of Access	Details
Authenticated Users	Access to the application will be managed through the Azure Entra ID. A user ID/password plus MFA (Multi-Factor Authentication) will be required to access application functionalities.
Role-based Access Control (RBAC)	Roles for Authenticated Users and Administrative/Privileged Users should be defined within the application, with authorization managed through the application's administrative interface.

E. Software Delivery

Category	Requirement
Code Repository	Store all components, including application code, DDL scripts, IaC templates, seed data (DML), etc., within the code repository.
IaC (Infrastructure as Code)	Create IaC templates to spin-up and tear-down the environments. This task will be handled by the STO staff. Not in scope for the Contractor.
DDL Scripts	Create DDL scripts / DACPAC (Data-tier Application Component Package) deployments to provision/update databases. This task will be handled by the STO staff. Not in scope for the Contractor.
DML Scripts	Create DML scripts to populate seed data in Dev and QA environments, DML scripts to copy, sanitize and populate data from production to UAT environment. This task will be handled by the STO staff. Not in scope for the Contractor.
Configuration Management	Separation of configuration from code, utilizing Azure Key Vault, App Configuration, etc., for externalized configuration.
Deployment Pipeline	Implement a robust CI/CD pipeline using Azure DevOps for automated zero-touch environment provision and deployment of application, infrastructure, and database updates. This task will be handled by the STO staff. Not in scope for the Contractor.
Environment Strategy	Each application should have 4 distinct environments aligned with the SDLC stages of Dev, QA, UAT, Prod in the primary Azure region and a DR environment in the Azure secondary region. This task will be handled by the STO staff. No in scope for the Contractor.

Testing	Rolling user acceptance testing by the business team throughout the sprint, before the sprint concludes.

F. Security

Category	Requirement
Encryption	Encrypt all data at rest and in transit.
Vault	Utilize Azure Key vault for all secrets, certificate and sensitive information.
Web Application Firewall (WAF)	Utilize Azure WAF (Web Application Firewall) for protection against DDoS (Distributed Denial of Service). This will be implemented by the STO staff. Not in scope for the Contractor
Anti-bot Measures	Implement solutions such as Captcha or Honeypots (invisible form fields designed to trap bots without impacting human users). Not in scope for the project.

G. Maintenance & Support

Category	Requirement
Logging	Comprehensive logging of exceptions, errors, business/application events, business/application user actions, etc. and integration with Azure's native monitoring and logging services.
Application Insights	Use Azure Monitor and Azure Application Insights to gain insights into the performance and health of the application.

H. Migration & Cutover

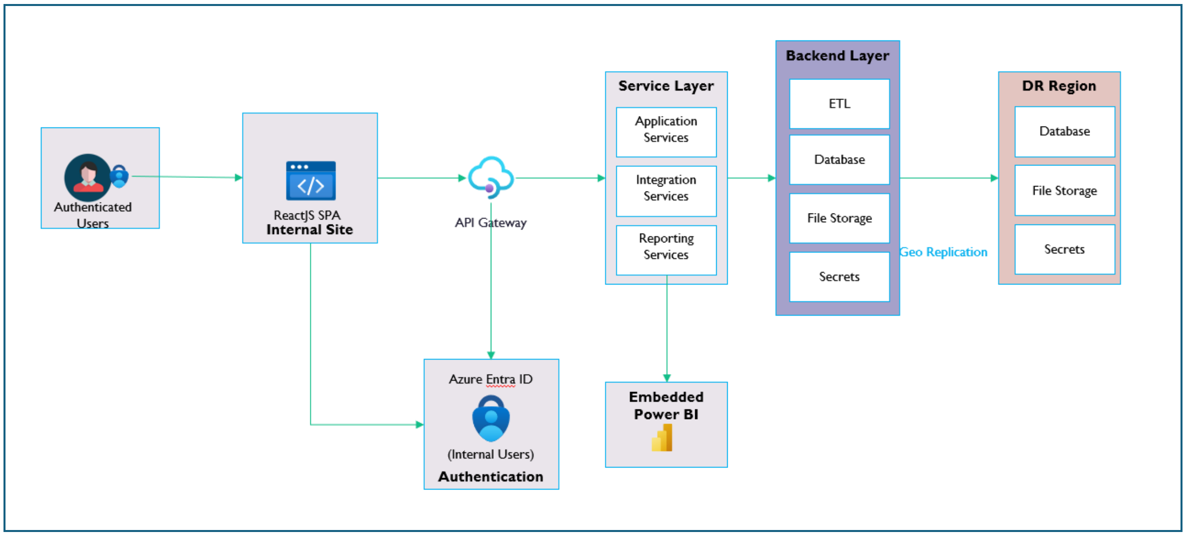
Category	Requirement
Disaster Recovery	Develop a DR plan, including data replication/backups and failover strategies, application recovery procedures, etc. This will be implemented by the STO staff. Not in scope for the Contractor.
DR Testing	A DR test must be conducted following the cutover to the new application(s)

I. Miscellaneous Requirements

Category	Requirement
External Dependencies	Minimize and scrutinize the use of third-party packages to avoid security and maintenance issues.
PDF Document Generation	Certain features of the application require the generation of PDF documents using predefined forms/formats.
Outbound Email Communications	Certain workflows require sending outbound email communications/notifications to users. This would be implemented using the Azure Communication Services. The centralized Azure Communication Services will be provisioned and configured by the STO staff.

J. <u>Logical View:</u>

Below is a depiction of a sample logical view of the application.



The system will adopt an event-driven architecture to ensure modularity, scalability, and ease of maintenance. The components will be designed as independent services that communicate through APIs, allowing for better scalability and flexibility in deployment.

1. **UI Layer:** The user interface will be built using React, providing a responsive and interactive experience for users. It will communicate with the backend services through RESTful APIs.
2. **API Gateway**: An API Gateway will be implemented to manage and route requests from the UI to the appropriate backend Azure function. This will provide a single-entry point for all client requests, enabling better security, logging, and throttling of requests. The centralized API Gateway (Azure API Management Service) will be provisioned and configured by the STO staff.
3. **Azure Entra ID:** Azure Entra ID, a comprehensive identity and access management service within the Azure ecosystem will be used to provide secure access to applications and data by enabling authentication, authorization, and single sign-on (SSO) capabilities. Azure Entra ID will be configured by the STO staff for use by this application. Application configuration/integration to use Entra ID is in scope for the vendor.
4. **Services Layer:** The Services Layer will play a pivotal role between the user interface and data access layers. It typically will include three main components:
   - **Application Service:** Manage the business logic, orchestrating operations, validating input, and enforcing business rules to ensure consistent and secure data processing.

- **Integration Service:** Handle communication with external systems, APIs, and third-party services, facilitating seamless data exchange and interoperability between various platforms.

- **Reporting Service**: Aggregates, processes, and delivers data insights, generating reports and visualizations to support decision-making and provide actionable information to stakeholders.

Together, these services enable modular, scalable, and maintainable systems by isolating business logic and integration concerns.

5. **Backend Layer:** The backend will be composed of multiple APIs/Azure functions developed using C#. These will handle different functions, such as data ingestion, compliance monitoring, notification management, and reporting.

   - **ETL**: ADF (Azure Data Factory) orchestrates the data ingestion from external sources (e.g., EDD) and from file uploads by compliance officers. The data is ingested into Azure Data Lake Storage Gen 2.

   - **Data Storage**: Azure Data Factory (ADF) processes the ingested data, performing transformations such as data standardization, validation, and duplicate removal. The transformed data is then stored in Azure SQL Server and used for operational use.

   - **File Storage**: Azure services like Azure Blob Storage and Azure File Storage will be used to store and manage large volumes of unstructured data, such as documents, images, and backups.

   - **Secrets**: Azure Key Vault service will be used to securely manage sensitive information like API keys, passwords, certificates, and connection strings.

6. **DR Region:** A Disaster Recovery (DR) system will be implemented within Azure to ensure high availability and business continuity for the primary application. In the event of a failure, application will be manually switched over to the the DR setup, minimizing downtime and data loss. This Azure-based DR solution will enable failover to a secondary system, ensuring that operations continue with minimal interruption. It will provide robust resilience and safeguard against potential disruptions, maintaining service reliability even in adverse scenarios. The DR setup will be performed by the STO staff and not in scope for the Contractor.

6. Functional Requirements

A. <u>User Roles</u>

ECMS will have the following user roles:

- **Technical Support User (ecms_tech_support):** A registered technical support user from CalSavers who is authorized to provide assistance to compliance officers and administrators. (These users are authenticated via. Azure Entra ID)

    - They navigate to the Audit Trail Screen to identify issues reported by users, ensuring that any technical errors are logged and addressed.
    - The tech support user also uses the Notification Management Screen to verify that notifications are being sent properly and troubleshoot any issues reported by users.

- **Customer Service User (ecms_cust_service):** A registered customer service user from CalSavers who is authorized to provide assistance to employers who have contacted the program. (These users are authenticated via. Azure Entra ID)
    - They navigate the Employer Details Screen to view the employer details and compliance status.
    - They use the Employer Contacts Screen to log the type of interaction with the employer and outcome of interaction.
    - They use the Reports Screen to generate reports regarding employer contact with the program and request updates to the employer records.
    - They use the File Upload Screen to manually upload program administrator files and monitor data ingestion progress.
    - They use the Penalty Payments Screen to assess employer penalty payment status including monies due and paid, monies refunded, and compliance rates before payment.
- **ECMS Operation User (ecms_oprn_user):** A registered operation user from CalSavers who is authorized to provide assistance to CalSavers staff in conducting accounting of enforcement notifications (These users are authenticated via. Azure Entra ID)
    - They navigate the Employer Details Screen to view the employer details and compliance status.
    - They use the Penalty Payments Screen to assess employer penalty payment status including monies due and paid, monies refunded, and compliance rates before payment.
    - They use the Notification Management Screen to account for notifications that are proposed to be sent and filter notifications by specified metrics.
    - They use the Compliance Alerts Screen to account for compliance issues and current status of employers.
    - The operations user uses the Reports Screen to generate reports related to compliance rates, enforcement notifications, and employer information for accounting purposes.
- **ECMS Staff (aka Compliance Officer User) (ecms_staff):** A member of the CalSavers team who is authorized to perform all actions in the Administrative Interface except managing Role-Based Access Control (RBAC). (These users are authenticated via Azure Entra ID).
    - A compliance officer logs in and accesses the dashboard to review the compliance status of employers.

- They navigate to the Compliance Alerts Screen to identify non-compliant employers, view detailed violations, and initiate follow-up notices.
- They navigate to the Employer Details Screen to view employer details and validate compliance and exemption status.
- They navigate to the Notification Management System to view notifications that have been or will be sent to employers.
- They navigate to the Penalty Payment Screen to view penalty payment information including monies due and paid, monies refunded, and compliance rates before payment.
- The officer then uses the Reports Screen to generate a summary report of compliance rates.

- **ECMS Admin (ecms_admin):** A member of the CalSavers team who is authorized to perform all actions in the Administrative Interface excluding managing Role-Based Access Control (RBAC). (These users are authenticated via Azure Entra ID).

B. ECMS Functional Requirements

ECMS application will involve building an User Interface and application functionality for CalSavers Staff, that will enable them to perform various CRUD operations via various modules like Login, File Upload, Employer Module, Non-Compliance Module, Reports Module, and Admin Module.

#	Functional Requirements
1.1 Login Module **Note:** *Additional interface design requirements for the Login and Dashboard sub modules , along with dashboard metric details, will be provided in a separate document at the start of the project*	
1.1.1	**Login Page:** Develop a user-friendly interface (UI) for ECMS staff to log into the ECMS system. The interface should support automatic login for users authenticated through Single Sign-On (SSO) via Entra ID integration..
1.1.2	**Dashboard Page:** Create a comprehensive user interface (UI) for the Dashboard page, accessible after a successful login by an authorized user. The dashboard should provide a summarized overview of key metrics and compliance status, featuring visual indicators, charts, and direct links to detailed reports. It should also display options under various modules which include File Upload, Employer, Non-Compliance, Reports and Admin. **Note**: *The Admin module should be visible/active ONLY if the user logging in has the **ecms_manager** role*

<table>
<tr><th colspan="2">1.2 File Upload Module</th></tr>
<tr><td>1.2.1</td><td>Develop a user interface (UI) that enables authorized users to upload the following datasets (only one dataset at a time)

Employment Development Department (EDD) Quarterly Data
Form 5500 Datasets
OAG Exemption Data
IRS Exemption Data
NAICS Codes
DCAS387380 Calsavers Employer Registration Report
DCAS387335 Registered Employers and Payrolls
DCAS451182 Enforcement Report
FTB Penalty Notice Processing Status Report
FTP Penalty Payment Extract Report
OSP NCOA Moves Report
OSP NCOA Errors Report

Following constraints need to be kept in mind before uploading the dataset:

File Format: The interface should accept multiple file formats, including CSV and Excel.
Pre-upload validations checks: Following checks need to be made for each dataset prior to uploading into the database.

Data Standardization:

Remove duplicates
Standardize address formats
Handle missing/null values
Maintain correct formats (e.g., retain leading zeros in FEIN and SEIN)

Validation Checks:

Verify data completeness, format accuracy, and logical consistency
Use error-handling to flag invalid data for review

Data Updates

Quarterly Employer Data Synchronization: Refresh the employer database with new quarterly data from EDD to ensure accurate and up-to-date employer details. Maintain historical records for each employer, supporting tracking and reporting on compliance trends.
Employer Mandate Identification: Automate the process to identify employers meeting the mandate criteria (employers with one or more employees that provide a retirement savings option, or categorically exempt employers). Use April EDD employer data as the baseline and update the mandated pool quarterly. Track the history of each employer’s employee count to enforce historical compliance.

Historical evidence uploads:

Accept emails, documents linked to employer to be accepted and to

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	be stored **Note**: *While general validation checks are outlined above, any specific dataset-level validation checks will be provided in a separate document at the start of the project. This document will also include criteria for identifying employers during data updates.*
1.2.1.1	• **Employment Development Department (EDD) Quarterly Data:** Create a functionality to upload Employment Development Department (EDD) quarterly data, which includes employee records, monthly employee counts, and other relevant details. This data will be ingested quarterly to identify mandated employers. *Refer to **Appendix – a) ECMS Flow** for further details*
1.2.1.2	• **Form 5500 Datasets:** Create a functionality to upload the Form 5500 Datasets file. Form 5500 and 5500 Short Form annual data sets are the primary source of information used to verify an employer already offers a retirement savings option for their employees and are in compliance with the CalSavers mandate.
1.2.1.3	• **OAG Exemption Data**: Create a functionality to upload the OAG Exemption Data. The California Department of Justice, Office of the Attorney General provides data sets that have data regarding charitable organizations and their tax-exempt status. This data is used to identify exempt religious organizations that are categorically exempt from the CalSavers Mandate.
1.2.1.4	• **IRS Exemption Data**: Create a functionality to upload the IRS Exemption Data. The Internal Revenue Service provides data sets that have data regarding tax exempt organizations. This data is used to identify exempt religious organizations that are categorically exempt from the CalSavers Mandate.
1.2.1.5	• **NAICS Codes**: Create a functionality to upload the NAICS Codes Dataset. The United States Census Bureau provides data sets that describe the North American Industry Classification System (NAICS) used to cross-reference with NAICS codes included in employer data from the EDD. This data is used to identify categorically exempt employers who are not subject to the CalSavers Mandate.
1.2.1.6	• **DCAS387380 Calsavers Employer Registration Report**: Create a functionality to upload the DCAS387380 Calsavers Employer Registration Report Dataset. This report is generated by the program administrator and identifies the current registration and exemption status for mandated employers. This data is used when preparing data for enforcement notifications. The report is downloaded through the secure file transfer site, Documentum.
1.2.1.7	• **DCAS387335 Registered Employers and Payrolls**: Create a functionality to upload the DCAS387335 Registered Employers And Payrolls Dataset. This report is generated by the program administrator and identifies the current registration and exemption status for mandated employers. This data is used when preparing data for enforcement notifications. The report

	is available through the secure file transfer site, Documentum.
1.2.1.8	• **DCAS451182 ENFORCEMENT REPORT**: Create a functionality to upload the DCAS451182 Enforcement Report dataset. This report is generated by the program administrator and identifies the current registration and exemption status for mandated employers. This data is the main source of data used when preparing data for enforcement notifications. The report is available through the secure file transfer site, Documentum.DCAS418710 - SFRP CalSavers County Summary: This report is generated by the program administrator and contains employer and saver data by county. The report is available through the secure file transfer site, Documentum.
1.2.1.9	• **FTB Penalty Notice Processing Status Report**: Create a functionality to upload the FTB Penalty Notice Processing Status Report dataset. This report is generated by FTB after CalSavers uploads files. This report includes the Process Status of each employer record uploaded. The report is emailed to CalSavers compliance staff through FTB's secure email system.
1.2.1.10	• **FTP Penalty Payment Extract Report**: Create a functionality to upload the FTP Penalty Payment Extract Report dataset. This report is generated by FTB each Monday and includes the payment details for any penalty payments received and processed by FTB in the past 7 days. The report is uploaded by FTB to their SWIFT file exchange system. The report is then downloaded and used to determine the payment status for each employer in the report.
1.2.1.11	• **OSP NCOA Moves Report**: Create a functionality to upload the OSP NCOA Moves Report dataset. This report is generated by OSP after the Due Process Notice Upload Data Report has been received and the employer address data has been compared to the US Postal Services National Change of Address database. The report contains the data for any employers that have a new address registered with the US Postal Service. The new addresses are used when creating notices.
1.2.1.12	• **OSP NCOA Errors Report:** Create a functionality to upload the OSP NCOA Errors Report dataset. This report is generated by OSP after the Due Process Notice Upload Data Report has been received and the employer address data has been compared to the US Postal Services National Change of Address database. The report contains the data for any employers whose address is undeliverable, including the error code and error reason.
1.3 Employer Module **Note:** *Additional interface design requirements for the following two sub modules under the Employer Module will be provided in a separate document at the start of the project*	
1.3.1	**View Details:** Develop a user interface (UI) that enables authorized users to see a detailed view of individual employer records, including contact information, compliance history, business status (open, closed, and reopen dates), program exemption status and reason, enforcement status, and current and historical employee counts. Screen should also provide users with the

	opportunity to view employer detail history (name changes, FEIN, address changes).
1.3.2	**Log Interaction:** Develop a user interface (UI) that enables authorized users to display a list of employers and allow them to log interaction information and contact information. Users should be able to export interaction history with time and date information for each interaction.
1.4 Non-Compliance Module **Note:** *Additional interface design requirement for each of the sub modules under the Non-Compliance Module be provided in a separate document at the start of the project*	
1.4.1	**Audit Trails**: Design a functionality to log all changes mentioned below (action taken by authorized users on Compliance Alerts, Final Enforcement, Threshold alerts) made to employer records, including updates to contact information, status changes (e.g., compliance status), and all notices sent and referrals to the FTB. Ensure audit logs are accessible and can be exported for reporting.
1.4.2	**Compliance Alerts**: Design a user interface (UI) that enables authorized users to view and manage a list of employers flagged for non-compliance based on predetermined criteria, such as missing contributions, overdue filings, or discrepancies in reported data. This UI should allow users to review detailed rule violations and take necessary actions. • **Notification Generation:** The system should automatically trigger notifications when non-compliance is detected. • **Notice Integration:** Integrate with the Office of State Printing or program administrator to issue Due Process notices directly from the screen. • **Notification Engine**: The system should be able to provide the ability to send email or SMS alerts to employers when data discrepancies are found, or deadlines are approaching. • **Notice Logs and Follow-up:** Maintain a log of all sent notices, recording details such as the date sent, notice type, and employer ID. Automatically generate follow-up notices if employers fail to respond within a specified timeframe. **Internal Compliance Rules Engine:** To effectively manage compliance, the system must include an Internal Compliance Rules Engine to assess employer status based on the following rules: • **Rule 1:** Employers must facilitate contributions or report exemptions by the mandated deadline. • **Rule 2:** Employers in the mandated pool must maintain compliance in subsequent years. If an employer violates these rules, the system should mark them as non-compliant. **Note**: *Additional details on the criteria to be used for flagging employers for non-compliance as well as the Internal Compliance Rules Engine will be provided in a separate document at the start of the project*
1.4.3	**Final Enforcement:** Develop a user interface (UI) that enables authorized users to view and manage a list of employers who remain non-compliant after

	receiving **three Due Process notices**. • **Automatic Referral to FTB:** Non-compliant employers should be automatically referred to the Franchise Tax Board (FTB) upon exceeding the notification threshold. • **Referral File Generation:** The system must generate a referral file containing all required information for the FTB, including employer details, Due Process notification history, and penalty assessment data. • **Audit Record:** Maintain a comprehensive log of all FTB referrals for audit and tracking purposes.
1.4.4	**Threshold Alerts:** Develop a user interface (UI) that enables authorized users to generate automatic alerts based on **threshold values for different metrics,** notifying relevant teams when compliance issues are detected. **Note:** *Additional details on the threshold values to be used for generating automatic alerts will be provided in a separate document at the start of the project*
1.4.5	**Notification Management:** Develop a user interface (UI) that enables authorized users to view and manage notices sent to employers, including logs of all communications and follow-up actions.
1.4.6	**Penalty Payments**: Develop a user interface (UI) that enables authorized users to view the penalty payment history of employers across all years that employers have been in business. Displays penalty metrics including total penalty payments due and received, monies refunded, and compliance rates before penalty payment.
1.4.7	**View Logs:** Develop a user interface (UI) that enables authorized users to view a log of all changes made to employer records, actions taken by compliance officers, and system-generated alerts.
1.5 Reports Module **Note**: *Detailed requirements for each report listed below, including display fields, logic, and other specifications, will be provided in a separate document at the start of the project*	
1.5.1	**Closed Employers Report**: This report is generated once each quarter after the EDD employer data has been cleaned and normalized. The report is uploaded to the program administrator through their secure file transfer site, Documentum.
1.5.2	**EDD Data Analysis Report:** This report is generated after the April EDD Employer data has been cleaned and normalized then combined with categorically exempt data. This file has been used in the past to identify mandated and exempt employers by manually reviewing data. This report ideally would assign statuses to employers based on the data available.
1.5.3	**Ascensus Upload Data Report**: This report is generated after the EDD Analysis Report is completed. This report contains the EDD employer data, employee count data, exemption updates, and mandated status updates. The report is uploaded to the program administrator through their secure file transfer site, Documentum.
1.5.4	**Due Process Notice Upload Data Report:** This report is generated when due process notices are scheduled to be mailed. Currently, this report is transmitted

	to the Office of State Printing through their secure file transfer site, OSPUpload. The report contains employer address and penalty information that is used in a mail merge document that is provided by CalSavers to create due process notices.
1.5.5	**FTB Penalty Notice Upload Data Report:** The report is generated when penalty notices are scheduled to be mailed by FTB. Currently, the report is transmitted to FTB by uploading to their SWIFT file exchange system. The report contains employer address and penalty information. .
1.5.6	**FTB Penalty Payments Report:** This report is generated for updating senior management on the status of penalty payments and refunds. This report may also be used by the administrative operations group to reconcile accounting data regarding payments.
1.5.7	**FTB Penalty Appeal Report**: This report would be generated for updating senior management with the details for any pending or resolved appeal requests. The report contains key dates, details of the request, and the outcome.
1.5.8	**Customer Service Employer Interactions Report:** This report is generated weekly by the customer service team and submitted to the Executive Director. The report contains statistics regarding the interactions the outreach team has with employers throughout the week including the number, type, and outcome of the interactions.
1.5.9	**Customer Service Caseload Report**: This report is generated quarterly by the customer service team and presented to the Board as part of their meeting materials. The report includes the number of employer contact cases referred to CalSavers customer service staff by the program call center for assistance.
1.5.10	**FTB Compliance Report:** This report is generated bi-weekly for updating FTB on the compliance status of employers that have been referred for penalty notices. The report contains identifying information and the status for any employers that have come into compliance since being referred to FTB.
1.5.11	**Executive Office Program Data Report**: This report would be generated on an ad-hoc basis, as requested by the STO Executive Office for speaking engagements. The report contains data about the number of registered employers, the number of funded accounts, the sum of contributions, and the total assets for a county or city.
1.6 Admin Module	
1.6.1	Integrate with Azure Entra ID to authenticate the user
1.6.2	Develop the capability to fetch the list of users from Azure Entra ID.
1.6.3	Develop the UI and functionality to list the pre-defined user roles in the application and offer the ability to display the list of Entra ID users and groups assigned to any selected role and add/remove Entra ID users and groups from that selected user role.

7. Non-Functional Requirements

A. Scalability

The system should support an increasing number of employer records without a decline in performance, ensuring scalability to accommodate CalSavers' growth.

B. Performance

The ECMS should process employer data submissions and validation within 2 minutes to ensure timely feedback for compliance.

C. Reliability

Ensure high availability with a minimum uptime of 99.9%. Implement backup and disaster recovery mechanisms to prevent data loss.

D. Usability

Provide an intuitive user interface with clear workflows for users to easily navigate through different modules and actions.

8. Compliance Requirements

- The system must adhere to regulatory standards for employer data protection, including applicable state and federal data protection laws.
- Comply with CalSavers' guidelines for data retention and access control.

9. Deliverable Ownership

The contractor will collaborate closely with the STO IT team to execute the following tasks at various stages of the project, with clear ownership assignments. The contractor has the flexibility to determine the optimal timing for each task, aligning them with project milestones.

Project Stage	Contractor	STO
Kickoff and Planning	• Translating the requirements into prioritized product backlog in Azure DevOps Boards (epics, user stories, tasks, etc.) • Collaborate with business stakeholders to develop/refine acceptance criteria. • Develop a sprint plan • Develop a project schedule including start and end dates for all tasks and due dates for individual deliverables.	• Conduct design sessions at the beginning of the project explaining approach and development approach
Design & Development	• Define and develop application interfaces, integrations, and APIs. • Establish a testing framework. Define and develop unit tests for all APIs. Unit tests may be implemented using	• Logical Solution Design • Application architecture • Logical and Physical Data Models • Infrastructure Setup

	the Test-Driven Development (TDD) technique. Additionally, unit tests and automated tests should be developed for other relevant features of the application.
	• Unit tests and other automated tests should be seamlessly integrated into the CI/CD pipeline. Upon any code commit, the pipeline is to automatically execute these tests, verifying that both the API and additional covered program features and functions are operating correctly.
	• Implement proper API versioning from the outset to maintain compatibility and ensure smooth future expansions.
	• Incrementally deliver application functionality following the Agile Scrum methodology, with 2-week sprint cycles.
	• Receive approval after successfully conducting ongoing User Acceptance Testing (UAT) throughout the sprint, before the sprint concludes.
		• Bicep Templates for automated provisioning and decommissioning of Dev, QA, UAT, Prod, and DR environments in Azure
		• User roles and user journeys
		• Database Scripts:
		  • DDL Scripts and DACPAC packages for provisioning and updating databases
		  • DML Scripts to seed data in Dev and QA environments
		  • DML Scripts for copying, sanitizing, and populating production data in UAT environments"
		• Disaster Recovery (DR) Setup
		• Event Logging Specifications
		• Coding Standards
		• Naming conventions

Deployment & Cutover	• A successful DR exercise for each in-scope application. • Deployment details • Release Runbook • Application Cutover Plan (including data migration and conversion/transformation, if applicable)	• Deploy a software delivery pipeline for the application in Azure DevOps.

Post-launch	• Early-life support for 4 weeks after production cutover.
	• Update all documentation to current state.
	  • Interface definitions
	  • UI/UX Designs in a tool such as Figma
	  • A codebase that passes code scanning and quality checks.
	  • Knowledge Transfer Document
	  • User Training Sessions
	• Confirm sign-off on all deliverables.	

10. ECMS Flow

	Q1	Q2	Q3	Q4
Year#1		• Annual Employer Data arrives • Apply transformations & confirm non-compliant Employers • Send mandated employer data to Program Administrator (Ascensus)	• Ascensus Process records into their database • Ascensus notifies employers of approaching deadline	• Ascensus notifies employers of approaching deadline • Employers either comply or are determined as out of compliance
Year#2	• **Enforcement report** is updated with noncompliant Employers	• Annual Employer Data arrives • **Confirm the noncompliant employers in Enforcement report** • Send **updated** mandated employer data to Ascensus	• Ascensus Process records into their database. **Enforcement Report => Enforcement Pool for current Year** • Enforcement Pool data is transferred to **OSP** for mailing **due process notices** • Notices are sent at 30 days, 60 days and 90 days that they are out of compliance	• Employers can come into compliance by providing exemption documents or by beginning contributions to CalSavers program • Enforcement pool uploaded to FTB. Penalty payments received by FTP are tracked by CalSavers • Still noncompliant Employers transferred to OSP for 45-day due notices for increased penalty
Year#3	• **Enforcement report** is updated with noncompliant Employers • Increased penalty assessed and due notices sent • Employers can come into compliance by providing exemption documents or by beginning contributions to CalSavers program	• Annual Employer Data arrives • **Confirm the noncompliant employers in Enforcement report** • Send **updated** mandated employer data to Ascensus	• Ascensus Process records into their database. **Enforcement Report => Enforcement Pool for current Year** • Enforcement Pool data is transferred to **OSP** for mailing **due process notices** • Notices are sent at 30 days, 60 days and 90 days that they are out of compliance	• Employers can come into compliance by providing exemption documents or by beginning contributions to CalSavers program • Enforcement pool uploaded to FTB. Penalty payments received by FTP are tracked by CalSavers • Still noncompliant Employers transferred to OSP for 45-day due notices for increased penalty
Year#n	...	...	...	...

11. Contractor Tasks and Responsibilities

The Contractor shall provide the following services:

A. Requirements Gathering

- Conduct workshops, interviews, and meetings with stakeholders to gather functional and non-functional requirements.
- Document the requirements into a detailed Project Backlog using Agile tools (Azure DevOps)

B. Acceptance Criteria Development

- Collaborate with stakeholders to define clear and testable acceptance criteria for all user stories and tasks.
- Ensure that acceptance criteria align with project goals and stakeholder expectations.

C. Agile Project Execution

- Manage the project using Agile Scrum methodology and ensure adherence to the following ceremonies: Sprint Planning, Daily Stand-ups, Sprint Reviews & Retrospectives.
- Create and manage sprint plans, timelines, and deliverables.
- Track progress, identify risks, and provide timely updates to stakeholders.

D. Application Development

- Develop the ECMS web application according to the technical design provided by the CalSavers.
- Ensure the use of modern development frameworks, tools, and technologies as described.
- Integrate the web application with existing systems, as applicable.
- Follow coding standards and best practices for scalability, security, and performance.

E. Documentation

- Create and maintain technical documentation for the developed application, including architecture diagrams, deployment guides, and user manuals

F. Test Planning and Execution

- Develop a comprehensive test plan to ensure application quality.
- Conduct various levels of testing: Unit, Integration/System, Security, and User Acceptance Testing.
- Track, document, and resolve bugs or issues identified during testing.
- Work with stakeholders to verify defect resolution.
- Remediation based on results of security testing performed by the STO and identified vulnerabilities and remediation.

G. Deployment and Implementation

- Use the development, testing, UAT and production environment provisioned by the STO.
- Use the application deployment pipelines and tools provided by the STO.
- Develop a detailed Go-Live Plan and conduct deployment rehearsals.
- Implement the application in the production environment.
- Offer a defined period (6 weeks) of post-implementation support and knowledge transfer to the STO teams.

H. Communication & Reporting

- Provide bi-weekly project status reports detailing progress, risks, and blockers.
- Conduct demos at the end of each sprint to showcase completed functionality.

I. Training and Handover

- Conduct training sessions for business users.
- Develop training materials such as user manuals, videos, or quick reference guides.
- Provide a comprehensive handover of project artifacts, source code, and technical documentation to the client’s support or operations team.
- Support knowledge transfer to ensure a smooth transition for ongoing maintenance.

12. Deliverables

The Contractor shall provide the following deliverables:

A. Project Backlog

- Documented business, functional, and technical requirements gathered during requirement workshops.
- Detailed list of user stories, tasks, and features based on gathered requirements.
- Organized and prioritized using Agile tools (Azure DevOps).

B. Acceptance Criteria Document

- Defined and agreed-upon acceptance criteria for each user story/task to ensure clarity and quality.

C. Project Schedule/Sprint Plans
- Timelines for sprint cycles, deliverables, and milestones.

D. Status Reports

- Bi-weekly progress reports outlining completed tasks, upcoming tasks, risks, blockers, and mitigation plan.

E. ECMS Web Application

- Fully developed and functional ECMS application in compliance with the provided technical design.
- Application code adhering to industry best practices and coding standards.

F. Technical Design Enhancements (if required)

- Any adjustments or enhancements to the initial technical design based on requirements or constraints.

G. Technical Documentation

- System architecture diagrams
- API documentation (if applicable)
- Configuration documentation

H. Test Plan and Test Results

- Results from all testing phases, including defect logs and resolution records.

I. Deployment Artifacts

- Codebase, build packages, and deployment scripts.

J. Training and Knowledge Transfer Deliverables

- User manuals, quick reference guides, or video tutorials for application end-users and administrators.
- Recorded sessions (if required) for future reference.
- Transition documentation for support/operations teams, including system architecture, dependencies, and troubleshooting guidelines.
- Signoff from the STO confirming knowledge transfer and transition completion.

13. Acceptance Criteria

The CalSavers and the Contractor will develop a deliverable expectation document (DED), based on the sample provided in Attachment A-1 for each Deliverable after the Agreement has been executed. After the DEDs have been developed and agreed upon by both the CalSavers and the Contractor, the DEDs will be signed as an agreement of what will be provided with each Deliverable. The DEDs will detail specific requirements for each Deliverable, such as:

- The number and title of the Deliverable.
- A description of the Deliverable.
- The acceptance criteria to include specific details of what will be contained or provided when the Deliverable is provided for acceptance.
- Estimated due date.
- The Contractor is responsible for ensuring that the DED is signed by the CalSavers Project Coordinator and the Contractor prior to initiating the deliverable.
- CalSavers will be responsible for reviewing each Deliverable. Each Deliverable's review shall be included in the project's work plan.
- When the Deliverable is completed and submitted for review and acceptance by the CalSavers, it will include a Deliverable Acceptance Coversheet (DAC). A sample of a DAC can be found as Attachment A-2. The DAC is used to track the review and acceptance of each deliverable. The DAC will identify the review period for the CalSavers to determine if the Contractor has complied with the DED Acceptance Criteria. If not, the CalSavers will reject the deliverable and annotate on the coversheet the reasons why the deliverable was rejected. The Contractor will make appropriate corrections to the deliverable and resubmit, with a new DAC, to the CalSavers for acceptance review. Once the Deliverable is accepted and signed by both the CalSavers and the Contractor, the Contractor will submit the deliverable invoice. The Contractor will attach a copy of the signed coversheet to the invoice and submit for payment.

It shall be the State's sole determination as to whether a deliverable has been successfully completed and acceptable to the State. There must be a signed acceptance document for each deliverable before invoices can be processed for payment.

Deliverable Rejection: CalSavers, is the final judge of the acceptability of all work performed and all work products produced by the Contractor under this Agreement. If the Contractor is unable to cure any issues reported, CalSavers may terminate this contract in accordance with Section 23 of the CMAS IT General Provisions.

Final Acceptance: CalSavers will accept the final product only after it has been reviewed by CalSavers and CalSavers and determined to meet the DED criteria.

CalSavers will provide the Contractor written notice of acceptance or non-acceptance within the ten (10) business days following the receipt of the report/deliverables. If a deliverable is disapproved, the Contractor shall receive written notification of said correction/changes and shall reflect them in the deliverable within five (5) business days of receiving the notification. If the modification needs longer than five (5) business days, or at the CalSavers's request, the Contractor shall provide a corrective action plan ("CAP") within two (2) business days of receiving the disapproval notice. The CalSavers Project Manager will review the CAP and if approved, the Contractor shall execute the CAP and conduct another deliverable review at the end of that process.

Through the use of the DAC, all deliverables shall be considered complete and delivered upon after written acknowledgement of acceptance by the CalSavers Director or designee. Acceptance of a deliverable by the CalSavers Project Manager indicates only that the CalSavers has reviewed the deliverable and detected no deficiencies at the time of review. Acceptance does not constitute a waiver of any contract requirements or waiver of obligation to correct any later discovered deficiencies.

14. Other Reporting Requirements

- The contractor will develop and provide ad hoc reports as deemed appropriate and necessary by the State.

15. State Responsibilities

The STO/CalSavers team shall be responsible for the following:

A. Project Governance and Oversight

- Provide the finalized and approved technical design that the contractor will use as the basis for development.
- Clarify any ambiguities or design changes in a timely manner.
- Assign a Project Manager/Lead to oversee the contractor's progress and provide overall project direction.
- Review and approve project artifacts, deliverables, and timelines.
- Ensure key stakeholders (business, technical, and decision-makers) are available for requirement workshops, sprint reviews and approvals, and UAT planning and execution.
- Provide access to any tools, systems, or environments required by the contractor, including MS Teams, Code repositories, CI/CD pipelines, or deployment tools.

B. Requirement Validation and Feedback

- Participate in requirement workshops to clarify business and functional requirements.
- Approve the finalized requirements document and project backlog.
- Review and approve acceptance criteria to ensure alignment with project goals
- Provide feedback promptly during backlog refinement sessions.
- Actively participate in sprint reviews to validate the completed work.
- Provide timely feedback and approve work items as they meet acceptance criteria.

C. <u>Testing and User Acceptance</u>

- Develop UAT test scenarios in collaboration with the contractor.
- Provide users for conducting and validating UAT.
- Review UAT results and provide sign-off for Go-Live readiness.
- Collaborate with the contractor during testing to prioritize and validate defect resolutions.

D. <u>Environment and Resource Support</u>

- Ensure the contractor has appropriate access and permissions to systems, environments, and tools.
- Provision and manage development, testing, and production environments.
- Provide any necessary data, test cases, or content for development, testing, and UAT phases.
- Ensure the availability of sample production data (anonymized, if required) for performance and integration testing.

E. <u>Post-Implementation and Support Readiness</u>

- Prepare internal support teams for handover by reviewing knowledge transfer materials and conducting readiness sessions.
- Attend training sessions and workshops conducted by the contractor.
- Ensure end-users are available to participate in training sessions.
- Provide final approval for the Go-Live plan and deployment readiness.

16. Travel

Travel reimbursement is NOT allowed.

ATTACHMENT A-1 – SAMPLE DELIVERABLE EXPECTATION DOCUMENT

<DELIVERABLE # AND TITLE>

The purpose of this document is to ensure that the content of this referenced deliverable meets the requirements documented in the contractual agreement between the CalSavers and *<Contractor's name>*. This document will be developed at the beginning of the project to ensure that CalSavers and *<Contractor's name>* agree to what will be provided and accepted for this deliverable. The signatures below indicate that the CalSavers and *<Contractor's name>* agree to the detailed deliverable description and the acceptance criteria listed below. The sections below are based on the Agreement's Deliverable requirements and the activities/tasks required in order for *<Contractor's name>* to provide the completed Deliverable.

DELIVERABLE IDENTIFICATION		
Deliverable ID	**Deliverable Name**	**Agreement Reference**
#	*Title*	*Contract reference*
DELIVERABLE DESCRIPTION		
This area will be the description of the deliverable.		
ACCEPTANCE CRITERIA		
Deliverable Scope: *The specific details of what will be contained or provided with the deliverable will be listed and specifically detailed in this section.*		
Deliverable Schedule: **Planned Delivery Date:** *<date according to the schedule>* **Actual Delivery Date:** *<date actually delivered>*		

Accepted:

CalSavers | *<Contractor's name>*

By: ______________________ By: ______________________

Name (Type or Print): ______________________ Name (Type or Print): ______________________

<AGREEMENT #XXXXXXXX-XX>

CalSavers Address:
State Treasurer's Office
Information Technology Division
901 P Street, Suite 145, Sacramento, CA 95814

Contractor's Address:

ATTACHMENT A-2 – SAMPLE DELIVERABLE ACCEPTANCE COVERSHEET

<DELIVERABLE # AND TITLE>

Deliverable Acceptance Coversheet

CalSavers has a review time of 5 business days. Longer review durations are acceptable if mutually agreed upon by both CalSavers and *<Contractor's name>.* The review period begins the 1st business day after the date *<Contractor's name>* has delivered the deliverable and this form. <Contractor's name>*<Contractor's name>* will facilitate a walkthrough to describe the deliverable and address CalSavers's questions or concerns.

Please return signed copy to *<Contractor's name>* Project Manager, who after signing will provide the signed copy to the CalSavers Project Manager.

*NOTE – Deliverables will be sent to the CalSavers Project Manager. An email will be sent to *<Contractor's name>* Project Manager for proof of receipt of delivery and initiating the review process.

The CalSavers has reviewed the following deliverable: *<Deliverable Number, Name, and version>*

Date Delivered to the CalSavers: *<Date Delivered>* **Received by:** *<Person Delivered To>*

Date of Walkthrough: *<Date Scheduled>* **Accepted** ☐

Agreed Review Period: 5 days

Date Accepted / Not Accepted: ____________________ **Not Accepted** ☐

If the deliverable was not accepted by the CalSavers, the reason(s) for not accepting it must either be documented in the space below or on an attached document(s).

Accepted / Not Accepted:

CalSavers *<Contractor's name>*

By: ______________________________ By: ______________________________

Name (Type or Print): ________________ Name (Type or Print): ________________

<AGREEMENT #XXXXXXXX-XX>

CalSavers Address:
State Treasurer's Office
901 P Street, Suite 145
Sacramento, CA 95814

Contractor's Address:

ATTACHMENT B – COST WORKSHEET

Submit a detailed breakdown of the fixed fee offer using the following format.

Job Title or Classification	Task	Hours	Rate Per Hour	Extended Total	Name of Employee

Total Fixed Cost **$**_________________

ATTACHMENT C – CONSULTANT EXPERIENCE WORKSHEET

Attach additional sheets as necessary to validate and support fulfillment of the mandatory qualifications, skills and experience defined in the SOW and as stated in staff resumes; include desirable qualifications, if applicable. See example below:

Qualifications, Skills and Experience	Proposed Consultant Name	Resume Reference	Brief Description of Specific Duties, Activities, Tasks performed
A minimum of three (3) years' experience developing Windows based applications using Power Builder 12.5 or higher	John Smith	Page 3, ABC, Inc. engagement	Employed by ABC Inc as <TITLE> from <Month DD, YYYY> to <Month DD, YYYY>; Reported to Jane Doe, <TITLE> for <XXX Project>. Performed <XXX duties and tasks>.

ATTACHMENT D – GENERATIVE ARTIFICIAL INTELLIGENCE DISCLOSURE OBLIGATION

The State of California seeks to realize the potential benefits of GenAI, through the development and deployment of GenAI tools, while balancing the risks of these new technologies. Government Code 11549.64 defines Generative Artificial Intelligence (GenAI) as an artificial intelligence system that can generate derived synthetic content, including text, images, video, and audio that emulates the structure and characteristics of the system's training data.

Offeror must notify the State in writing if it: (1) intends to provide GenAI as a deliverable to the State; or (2) intends to utilize GenAI, including GenAI from third parties, to complete all or a portion of any deliverable that materially impacts: (i) functionality of a State system, (ii) risk to the State, or (iii) contract performance. For avoidance of doubt, the term "materially impacts" shall have the meaning set forth in State Administrative Manual (SAM) §4986.2 – Definitions for GenAI.

Failure to report GenAI to the State may result in disqualification. The State reserves the right to seek any and all relief to which it may be entitled to as a result of such non-disclosure. Upon notification by a Offeror of GenAI as required, the State reserves the right to incorporate GenAI Special Provisions into the final contract or reject offers that present an unacceptable level of risk to the State.