APPENDIX A – STATEMENT OF WORK

Table of Contents

APPENDIX A – STATEMENT OF WORK I

A.A SECTION A – INTRODUCTION AND INSTRUCTIONS 2
A.A.1 Statement of Work Overview 2
A.A.2 Instructions 2

A.B SECTION B – PROJECT DELIVERABLES 4
A.B.1 Project Deliverables Overview 4
A.B.2 Acceptance 4
A.B.3 Deliverable Expectations Documents (DEDs) 4
A.B.4 Contractor Formal Transmittal of Deliverables 4
A.B.5 State Review Time for Contractor Document Deliverables 4
A.B.6 CDCR Approval of Deliverables 5
A.B.7 Rejection of Deliverables 5
A.B.8 Inspection of Work in Progress 5
A.B.9 List of Deliverables 6

A.C SECTION C – REQUIREMENTS AND BUSINESS SOLUTION RESPONSE DOCUMENTATION 12
A.C.1 Requirements Overview 12
A.C.2 Instructions 12

A.D SECTION D – INSPECTION AND ACCEPTANCE 20
A.D.1 General 20
A.D.2 Inspection and Acceptance 20
A.D.3 Acceptance Testing of Hardware 20
A.D.4 Acceptance Testing of Software (other than Operating System Software) 21
A.D.5 Implementation/Deployment Acceptance 21
A.D.6 CDCR Staff Training Acceptance 21
A.D.7 Documentation Acceptance 21

A.E SECTION E – PROJECT SCHEDULE 23
A.E.1 General 23
A.E.2 Instructions 23

A.F SECTION F – PROJECT PAYMENT SCHEDULE 25
A.F.1 General 25
A.F.2 Instructions 25

A.A SECTION A – INTRODUCTION AND INSTRUCTIONS

A.A.1 Statement of Work Overview

As described in RFP Section VIII, Proposal Format, the Bidder must submit the required number of copies of the completed Statement of Work (SOW). The table below presents the sections of the HCSS SOW to be incorporated from the Bidder's Proposal. This SOW will be incorporated as Exhibit A into the HCSS Contract.

Table A-1. Statement of Work

Section	Description
A	Introduction and Instructions
B	Project Deliverables
C	Requirements and Business Solution Response Documentation

A.A.2 Instructions

The Statement of Work is not a stand-alone document, but complemented by other requirements and results in the completed Agreement. The following sections are descriptions of goods/services to be provided and are defined herein. Instructions to complete each section of the SOW are detailed in the following pages.

- **Section A – Introduction and Instructions**

  No further input is required from the Bidder.

- **Section B – Project Deliverables**

  This element of the Statement of Work shall reflect a deliverables–based, phased approach to design, development, deployment, operation and maintenance of HCSS Proposed Solution. The Contractor must describe key phases, performance benchmarks, deliverables, responsibilities, tasks and delivery dates.

- **Section C – Requirements Documents**

  This element of the Statement of Work shall contain all Requirements Documents required by CDCR for the HCSS. The Contractor must insert the specified requirement documents following the title pages provided in Section C.

- **Section D – Inspection and Acceptance**

  This element of the Statement of Work shall contain all Inspection and Acceptance required by CDCR for the HCSS.

- **Section E – Project Schedule**

  The Contractor must insert their proposed HCSS Project Schedule into Section E.

- **Section F – Project Payment Schedule**

  The Contractor must insert their proposed Payment Schedule into Section F.

A.B SECTION B – PROJECT DELIVERABLES

A.B.1 Project Deliverables Overview

This section of the Statement of Work consists of all Project Deliverables for the HCSS Project.

A.B.2 Acceptance

Acceptance of CDCR deliverables will be governed by this Statement of Work. Acceptance is conditioned on compliance with all contract requirements.

A.B.3 Deliverable Expectations Documents (DEDs)

A Deliverable Expectations Document (DED) will be developed for each deliverable. As part of the project, the Contractor Project Manager will meet with the CPHCS Project Director representing CDCR (or designee) and other resources to develop DEDs for each project deliverable in advance of its preparation. This process will establish expectations on all sides regarding the appropriate standards, format, content, number of copies, and acceptance criteria for the deliverables. No work will be performed on any deliverable until the DED has been approved in writing.

A.B.4 Contractor Formal Transmittal of Deliverables

Contractor shall submit for review and approval a formal transmittal letter from Contractor's Project Manager addressed to the CPHCS Project Director representing CDCR (or designee) for each deliverable for the purpose of acceptance. The deliverable must contain an Approval Page, which indicates the date submitted, to whom submitted, deliverable author, and title of the deliverable. The DED prepared for the specific deliverable approval must be attached to the transmittal.

Contractor should be aware that they are at risk for proceeding prior to formal acceptance of the preceding task or deliverable.

A.B.5 State Review Time for Contractor Document Deliverables

CDCR review time for document deliverables will be determined at the time the DED is developed and will be based on the type and complexity of said deliverable. The review time for each deliverable will be identified in the DED. In absence of defined review time in the DED, the CDCR will require 10 working days for review, comment and approval on a deliverable.

A.B.6 CDCR Approval of Deliverables

Detailed deliverable acceptance criteria will be developed in the DED based on the type of deliverable being reviewed in accordance with any applicable standards or the CDCR-approved equivalent for that deliverable.

The CDCR shall review each received deliverable in accordance with the agreed upon Acceptance Criteria documented within the approved DED. The CDCR shall perform its review within the associated review time unless otherwise amended.

Upon acceptance of a deliverable, the CDCR will issue a Notice of Accepted Deliverable.

A.B.7 Rejection of Deliverables

a. If Contractor submits a deliverable that does not conform to its acceptance criteria as specified in the approved DED, it may be deemed unsatisfactory and the CDCR may issue a Notice of Rejected Deliverable. The Notice shall be in writing, state the specific reason for the deficiency, and provide the timelines for correction of the deficiency.

b. Within the specified timeline in A.B.7, Contractor shall resubmit the corrected deliverable to the CPHCS Project Director representing CDCR. In the event that significant changes or corrections are required, Contractor may request, in writing, an extension to the specified timeline. Approval of the extension is at the sole discretion of the CPHCS Project Director representing CDCR.

c. If the resubmitted deliverable is not acceptable to the CDCR, a second Notice of Rejected Deliverable will be issued. Contractor shall correct and resubmit the deliverable within five (5) State business days of receipt of the second Notice, unless a longer period is approved by the CPHCS Project Director representing CDCR.

d. If the corrected deliverable is not submitted within the approved period for resubmission after receipt of the second Notice, or if the corrected deliverable is submitted but is not acceptable, the CPHCS Project Director representing CDCR shall exercise one of the following options:

    i. Issue a third Notice of Rejected Deliverable and allow the Contractor additional attempts to correct defects;

    ii. Issue a Notice of Conditional Accepted Deliverable thus allowing the Contractor to move forward with the Project. The Contractor will not be paid until the deliverable is unconditionally accepted.

    iii. Send a final Notice of Rejected Deliverable and initiate the CDCR Escalation Process. The Escalation Process is established for issues to be brought to the attention of the Project Executive first, then the CDCR Steering Committee and Independent Project Oversight for discussion and resolution.

A.B.8 Inspection of Work in Progress

Contractor agrees that the CDCR shall have the authority to inspect any and all of Contractor's work in progress. The purpose of such inspections will be to verify project progress as reported

by Contractor and to ensure that work products are in conformity with requirements or Agreement provisions. If, upon such inspection, the CDCR identifies significant deviations from progress reported by the Contractor, the CDCR Steering Committee may require the Contractor to submit a corrective action plan within five (5) business days for consideration and approval by the CDCR Steering Committee. The Chair of the CDCR Steering Committee may, at his or her sole discretion, order that project activities be suspended until the corrective action plan is approved and implemented.

A.B.9 List of Deliverables

Table A-2, HCSS Deliverables, identifies the individual Project Deliverables required as well as supporting information (e.g., frequency, review period) and the RFP requirement reference(s).

Contractors should not include any cost figures in the Contract submitted with their Final Proposals. All cost figures required for completion of the Contract will be transferred from the winning Contractor's cost sheets from Final Proposal Volume III, Cost Data.

The deliverables identified in Table A-2 are the same deliverable items identified by the Contractor in RFP Appendix D, Cost Workbook. The Contractor may add Project Deliverables to its Proposal. If the Contractor adds a Project Deliverable in the Cost Workbook, then they must update Table A-2 accordingly.

Table A-2. HCSS Deliverables

Deliv. #	Deliverable	Req. #	Acceptance Criteria	Frequency of Deliverable
Project Management				
1.	Project Management Plan	M-3	M-4, M-5	
2.	Communications Management Plan	M-8		
3.	Project Charter	M-4		
4.	Change Management Plan	M-6		
5.	Weekly Written Progress Reports	M-15	M-13	
6.	Monthly Status Reports	M-16		
7.	Contract Close-out Action List and Deliverables	M-18		
Environment Installation and Configuration				
8.	Specifications for all necessary hardware, software and tools	M-19		
9.	Technical Infrastructure Description (including hardware and system software and tools) for each of the five environments	M-20	M-22, M-23	
10.	Environment Configuration Manual	M-21		
11.	Source code and object (executable) code	M-24	M-25	
Business Process Change Management				
12.	Business Process Management Plan	M-26		
13.	Business Process Management Activities and Outcomes	M-27		
Knowledge Transfer and Training				
14.	Knowledge Transfer and Training Plan	M-29	M-30	
15.	Training Documentation	M-31		
16.	Training Course Outline	M-32		

Deliv. #	Deliverable	Req. #	Acceptance Criteria	Frequency of Deliverable
17.	Training Packages	M-33		
18.	Training Manuals	M-34	M-35, M36,	
19.	Updated Training Documentation	M-37		
20.	Knowledge Transfer and Training Activities	M-40	M-38, M-39, M-40, M41, M-42, M-43, M-44, M-45, M-46, M-47, M-48, M-49	
System Design, Development and Customization				
21.	Systems Engineering Management Plan	M-52		
22.	Design and Development Plan (Software Development Plan)	M-55	M-50, M-56, M-57, M-58,	
23.	Business Continuity Plan	M-51		
24.	Test Plan	M-60	M-61, M-63, M-64, M-65	
25.	Testing Tools, Test Configurations, and Related Documentation	M-66		
26.	Test Scripts, Test Results and Quality Reports	M-71	M-67, M-68, M-69, M-70, M-73, M-74, M-75	
27.	Problem Resolution Management Plan	M-76		
28.	Problem Resolution Tracking System	M-77	M-78	
Implementation and Testing				
29.	Implementation Plan	M-80	M-81	
30.	Performance and Capacity Plan	M-82		
31.	Operational Recovery Plan	M-83		
32.	Interface Management Plan / Design Description	M-85	M-86	
33.	Interfaces Outcomes	M-87		
34.	Software Configuration Management Plan and System	M-89, M-90	M-91, M-92	
35.	Requirements Management Plan	M-94		
36.	Requirements Traceability Matrix	M-94, M-97		

Deliv. #	Deliverable	Req. #	Acceptance Criteria	Frequency of Deliverable
37.	On-site Implementation Support Plan	M-95		
38.	Pre-Implementation Readiness Assessment	M-103		
39.	Production Release Plans	M-104		
40.	Pilot Plan	M-106	M-107	
41.	Lessons Learned Document (Pilot completed)	M-108		
Deployment				
42.	HCSS Deployment at CDCR Headquarters			
43.	HCSS Deployment at CDCR Pilot Institution(s)			
44.	HCSS Deployment at CDCR Institution(s) Stage 1			
45.	HCSS Deployment at CDCR Institution(s) Stage 2			
46.	HCSS Deployment at CDCR Institution(s) Stage 3			
47.	:			
48.	:			
49.	:			
50.	HCSS Deployment at CDCR Institution(s) Stage n			
Security				
51.	System Security Plan	M-110	M-111	
Quality Management				
52.	Quality Management Plan	M-112	M-113, M-114	
Production Environment				
53.	Production Support and Transition Plan	M-116		

Deliv. #	Deliverable	Req. #	Acceptance Criteria	Frequency of Deliverable
54.	Maintenance Activity Report	M-125	M-117, M-118, M-119, M120, M-121, M-122, M-123, M-124	
55.	System Operation Manual	M-126		
56.	System Documentation	M-127		
57.	Disaster Recovery Plan	M-128		
58.	System Administration Procedures	M-129		
59.	Help Desk Plan (Business and technical)	M-130		
60.	Help Desk Scripts and Decision Trees	M-131		
61.	System Acceptance Document	M-142	M-132, M-133, M134, M136, M137, M-139, M-140, M-141	
62.	Maintenance and Operations (M&O) Plan	M-143		
Interfaces				
63.	SOMS Interface	T-25		
64.	BIS Interface	T-26		
65.	CDR Interface	T-27		

Per project requirements, the Contractor must develop Project Deliverables in the form and format agreed to by the CDCR and Contractor using deliverable specification sheets approved by the CDCR. As each Project Deliverable is submitted to the CDCR, the Contractor must include a copy of the Project Deliverable's specification sheet as the cover sheet. See Figure A-1 for a template to be used for deliverable specification sheets during the project.

Figure A - 1. Template of Project Deliverable Specification Sheet

Project Deliverable Specification Sheet	
Project Deliverable Number:	**Title of Deliverable:**
RFP Reference:	**Contract Reference:**
Frequency:	**Draft Submission Due:**
CDCR's Draft Review and Comment Period: **XX Days**	**Final Submission Due:** **XX Days after receipt of draft comments**
Approval Required: **Yes/No**	**Distribution:** **CDCR PM – one hard copy and one soft copy** **IV&V Contractor – one soft copy**
Contractor: Complete shaded area below	
Prepared by (please print):	**Date Submitted:**
Date Submitted 2:	**Date Submitted 3:**
Phone Number:	**FAX:**
E-mail:	
CDCR Approval/Comments	
Approved by:	**Date:**
Signature:	
Comments:	

Deliverable Requirements:

<< include agreed-upon requirements (e.g., format, contents) related to deliverable >>

A.C SECTION C – REQUIREMENTS AND BUSINESS SOLUTION RESPONSE DOCUMENTATION

A.C.1 Requirements Overview

This section of the Statement of Work consists of all Requirements and Bidder Approach Documentation for the HCSS.

A.C.2 Instructions

The Contractor *must* insert the following specified Requirements Documents following the title pages provided in Section C. Each of the title pages refers to the specific requirement for that document as specified in the RFP and provided in the Contractor's Final Proposal.

(1) Responses to every requirement in RFP Appendix B, Response to System Requirements. Supplemented with:
   (a) All of the detailed use case content provided in RFP Appendix E, Use Cases
   (b) All of the detailed interface content as provided in RFP Appendix F, Interfaces

(2) Responses to every requirement in RFP Section V, Administrative Requirements, including all completed forms contained in Appendix C, Bid Response Forms

(3) Responses to every bidder experience response requirement in RFP Section VI.3.1, Bidder Experience

(4) Responses to every project staff and project organization response requirement in RFP Section VI.3.2, Project Staff and Project Organization

(5) Responses to every functional, technical, implementation and service support approach response requirement in RFP Section VI.4, Business Solution Response Requirements

System Requirements

System Requirements – Use Cases Supplement

System Requirements – Interfaces Supplement

Administrative Requirements

Bidder Experience Response

Project Staff and Project Organization Response

Business Solution Response

A.D SECTION D – INSPECTION AND ACCEPTANCE

A.D.1 General

This section of the Statement of Work is intended to contain all Inspection and Acceptance required by CDCR for the HCSS.

A.D.2 Inspection and Acceptance

System acceptance (including all Hardware and Software) of the HCSS is defined as the time period the CDCR uses to verify the Contractor has implemented a system that reflects the CDCR requirements for hardware, software, training, implementation and documentation.

The CDCR system acceptance period is a ninety-day (90) period. The CDCR system acceptance period shall commence on the first CDCR workday following the installation (and certified as ready for use) of the HCSS production environment, and shall end when the system has met the standards of performance as provided in Attachment 2 – IT General Provisions and Attachment 5 - IT Purchase Special Provisions of the Contract, for a period of ninety (90) consecutive days without failure due to system design, integration, equipment design, manufacturing, and software design or when the CDCR has signed off on system acceptance, whichever comes first.

The CDCR system acceptance components are:

- Acceptance Testing of Hardware
- Acceptance Testing of Software (other than Operating System Software)
- Stage Implementation Acceptance
- CDCR Staff Training Acceptance
- Documentation Acceptance

A.D.3 Acceptance Testing of Hardware

The intent is to ensure that all HCSS hardware meets the requirements of the CDCR and specifications proposed by the Contractor. Specifically, hardware must operate at a satisfactory level of performance reliability prior to acceptance by the CDCR. Acceptance testing is required of all hardware to satisfy the CDCR requirements and needs. This testing will be performed in a CDCR approved test environment in accordance with the approved Test Plan project deliverable.

The Contractor shall certify in writing to the CDCR when the hardware and the CDCR approved testing environment are installed and ready for use. Acceptance testing shall commence on the first CDCR workday following certification, and shall end after successful completion of the acceptance testing. The Contractor must coordinate resolution with the CDCR for any areas that do not pass testing and coordinate re-testing of all related and affected areas of the system, as determined by the CDCR. A complete end-to-end test of the system must be performed without failures before the acceptance testing will be considered completed.

A.D.4 Acceptance Testing of Software (other than Operating System Software)

The intent is to ensure that all Contractor-provided HCSS application software meets the requirements of the CDCR and specifications proposed by the Contractor. Specifically, the application software must operate at a satisfactory level of performance reliability prior to acceptance by the CDCR. Acceptance testing is required of all software, including software initially installed, improved versions (new releases) of the software, and any software which has been modified by the Contractor to satisfy the CDCR' requirements and needs. This testing will be performed in a CDCR approved test environment in accordance with the approved Test Plan project deliverable.

The Contractor shall certify in writing to the CDCR when the software and the CDCR approved testing environment are installed and ready for use. Acceptance testing shall commence on the first CDCR workday following certification, and shall end after successful completion of the acceptance testing. Any areas that do not pass the testing must be corrected by the Contractor and all related and affected areas of the system re-tested, as determined by the CDCR. A complete end-to-end test of the system must be performed without failures before the acceptance testing will be considered completed.

A.D.5 Implementation/Deployment Acceptance

Implementation/Deployment Acceptance is the full deployment of the HCSS. Implementation/Deployment Acceptance is necessary to determine the reliability of the system and to ensure it performs and operates as specified by the CDCR' requirements and Contractors specifications.

This acceptance period shall commence on the first CDCR workday following deployment into production operations at the CDCR and each county, and shall end when the system has met the standards of performance as provided in Attachment 2 – IT General Provisions and Attachment 5 - IT Purchase Special Provisions of the Contract, for a period of ninety (90) consecutive days without failure due to system design, integration, equipment design, manufacturing, and software design.

A.D.6 CDCR Staff Training Acceptance

The Contractor shall be responsible for training identified staff on all aspects of the delivered system.

The CDCR training acceptance period shall not be considered concluded until all identified staff are successfully trained and the system knowledge transfer and system operations transition has occurred as defined by the Contractor in their Knowledge Transfer and Training Plan submitted and is approved by the CDCR in accordance with the requirements of the Knowledge Transfer and Training Plan deliverable.

A.D.7 Documentation Acceptance

The Contractor shall be responsible for providing the CDCR with the various types of documentation as defined in Section B of this Statement of Work.

The CDCR's documentation acceptance period shall not be considered concluded until all specified documentation is delivered by the Contractor and reviewed and accepted by the CDCR.

A.E SECTION E – PROJECT SCHEDULE

A.E.1 General

This section of the Statement of Work contains the project schedule required by CDCR for the HCSS Project.

A.E.2 Instructions

The Contractor *must* insert the proposed project schedule as developed in response to RFP Section VI.4.3.1, paragraph (b), and provided in the Contractor's Final Proposal.

Project Schedule

A.F SECTION F – PROJECT PAYMENT SCHEDULE

A.F.1 General

This section of the Statement of Work contains the Project Payment Schedule required by CDCR for the HCSS Project.

A.F.2 Instructions

The Contractor must propose a payment schedule that can be severed by stages, to match its implementation approach. The proposed payment schedule must not include actual dollar amounts, only percentages of total work.

The CDCR will hold back 15% of each deliverable submitted for payment; the total holdback amount will be paid upon final system acceptance.

The Contractor's must propose a payment schedule for the project stages and project deliverables within each project stage as identified in RFP Appendix C, Form VII-8, Payment Schedule, and in the Contractor's proposal that meets the following payment guidelines:

(1) The CDCR will make only one (1) payment per month to the Contractor, upon CDCR approval of the deliverable(s).

(2) The total of the deliverable payment percentage (%) must not exceed the total deliverable group payment percentage (%)

Payment Schedule