



# CALIFORNIA CORRECTIONAL HEALTH CARE SERVICES



## CALIFORNIA MULTIPLE AWARD SCHEDULE (CMAS)

STATE OF CALIFORNIA  
DEPARTMENT OF CORRECTIONS AND REHABILITATION

REQUEST FOR OFFER

LEVERAGED PROCUREMENT AGREEMENT  
INFORMATION TECHNOLOGY CONSULTING SERVICES  
IT CONSULTANT – DATABASE ADMINISTRATION  
RFO #12-055-ITS

June 18, 2013

The California Department of Corrections and Rehabilitation (CDCR), California Correctional Health Care Services (CCHCS), is requesting offers for Database Administrators (DBAs) to assist with the Enterprise Database Consolidation and Standardization Project. Contractors will report to CCHCS' Deputy Chief Information Officer (DCIO) Health Care Information Solutions (HCIS) or designee(s).

The proposed term of the ensuing Agreement is June 28, 2013 through June 28, 2014. CCHCS reserves the option to extend the Agreement for up to twenty-four (24) additional months at the same deliverable rate(s) and/or to add additional funds up to the maximum California Multiple Award Schedule (CMAS) threshold. The contract award is subject to availability of funds approved for this purpose.

All offers must be signed by an authorized officer of the company or firm who has legal and binding authority. By submitting an offer, your firm agrees to the terms and conditions stated in this Request for Offer (RFO) and in accordance with your authorized Leveraged Procurement Agreement (i.e. CMAS contract).

Offers are due by **2:00 p.m., Monday, June 24, 2013**. Responses and any required copies must be submitted by electronic mail and clearly labeled to the department contact noted below.

**Department Contact:**

California Correctional Health Care Services  
Attention: Dave Wynn, IT Acquisitions  
(916) 691-3529  
[dave.wynn@cdcr.ca.gov](mailto:dave.wynn@cdcr.ca.gov)

## RESPONSE GUIDELINES

This RFO, Offeror's response, the State's General Provisions-Information Technology CMAS, effective August 2010 (GSPD-401IT-CMAS), and applicable IT Services Special Provisions will be made part of the ordering department's Purchase Order and/or procurement contract file.

Offers must be submitted electronically to the departmental contact address noted on page 1. All pages of Offeror's response received prior to due date and time will be considered. CCHCS is not responsible for any e-mail loss and/or failure to receive an Offeror's response. CCHCS assumes no responsibility if Offeror cannot transmit their response electronically to the departmental e-mail address and/or if the entire response is not received prior to Request for Offer (RFO) due date.

The delivery of any offer via U.S. mail, private delivery service, and/or by personal service will not be accepted by CCHCS. In the event of such delivery, CCHCS may consider the offer as non-responsive.

Offers submitted in response to this RFO must include all of the following information:

1. Cover letter signed by the authorized officer of the company or firm who has legal and binding authority;
2. Full legal name of Offeror's organization or firm, mailing address, telephone and facsimile numbers;
3. Name, telephone number, and electronic mail (i.e., e-mail) address of Offeror's contact person;
4. Submission date of Offer;
5. A copy of Offeror's CMAS that includes the California Department of General Services (DGS) CMAS number, term and DGS' signature approval;
6. Copy of Liability Insurance Certificate;

Offeror must provide CCHCS with a Certificate of Insurance showing that there is liability insurance currently in effect for Offeror of not less than \$1,000,000, per occurrence, for bodily injury and property damage liability combined. The Certificate of Insurance must include the following provisions:

- a. The insurer will not cancel the insured's coverage without 30 days prior written notice to the State; and
  - b. The State of California is included as additional insured.
7. Proof of Worker's Compensation Insurance;

Offeror shall provide CCHCS with a Certificate of Insurance showing that there is current workers' compensation insurance coverage for its employees who will be engaged in performance of the requested services. The Certificate of Insurance must include provision that the insurer will not cancel the insured's coverage without 30 days prior written notice to the State.

8. Completed Rate Sheet (Exhibit B-1);

This Agreement will be invoiced and reimbursed on a deliverables basis subject to completion, and approval by CCHCS' Deputy Chief Information Officer, Health Care Information Solutions (DCIO HCIS) or designee, of tasks or deliverables performed by Contractor. Offer must include a completed rate sheet (Exhibit B-1).

- An example of Offeror's proposed Rate Sheet (Exhibit B-1) has been included.

9. Any modifications to the Statement of Work (SOW) of the ensuing Agreement will be defined, documented, and mutually agreed upon by Contractor and DCIO HCIS, or designee(s), and may be reimbursed on a fixed-cost basis as proposed via work authorization.
10. Offeror Declaration Form (GSPD-05-105);

Offerors must complete the Offeror Declaration and include it with response. When completing the declaration, Offerors must identify all subcontractors proposed for participation in the contract. Offerors awarded a contract are contractually obligated to use the subcontractors for requested services unless CCHCS agrees to a substitution via amendment to the Agreement.

The GSPD-05-105 can be found at <http://www.documents.dgs.ca.gov/pd/delegations/GSPD105.pdf>
11. Prior to award contractors may be requested to submit additional written clarifying information (e.g., STD. 843 – Disabled Veteran Business Enterprise Declaration, etc.). Failure to submit requested information may be grounds for rejection of offer.
12. Completed Payee Data Record (STD 204) <http://www.documents.dgs.ca.gov/pd/masters/debris/Std204.pdf>;
13. A detailed description of Contractor's approach for completing the services requested in Exhibit A (Statement of Work), Section C (Scope of Services) including, but not limited to, the functions, roles, and responsibilities of vendor personnel (i.e., individual consultant);
14. A description of Offeror's expertise and experience (e.g., type of services rendered, projects completed, etc.) providing IT direct services as requested in Exhibit A (Statement of Work);
15. Three (3) customer references for Offeror to verify engagement(s) similar in scope as requested in Exhibit A (Statement of Work);
  - a. Include a brief narrative of project description and Offeror's role for each reference provided.
16. Resumes of Contractor personnel must include all of the following:
  - a. All relevant work experience;
  - b. A start and end date for each job cited; and
  - c. Three (3) customer references.
17. Other Requirements:
  - a. Contractor shall be required to attend a CCHCS contract orientation session prior to performing IT consultative services; and
  - b. Contractor's staff may be required to complete the following documents.
    - Contractor Confidentiality Statement (Attachment C):

The Political Reform Act of 1974 (Government Code Sections 81000-91015) requires consultants to file a Contractor Confidentiality Statement certifying no personal or financial interest with the project or related projects, and agreeing to keep all information concerning the project confidential.
    - Non-Disclosure Agreement (Attachment D)
    - Statement of Economic Interests (Form 700), which can be found at <http://www.fppc.ca.gov/forms/700-12-13/Form700-12-13.pdf>.
18. Interested Offerors may submit questions and/or requests for clarification, via e-mail, to [dave.wynn@cdcr.ca.gov](mailto:dave.wynn@cdcr.ca.gov). CCHCS responses to Offeror questions that provide new or additional information will be provided to all Offerors.

**KEY DATES**

<b>Event</b>	<b>Date</b>	<b>Time</b>
Release of Request for Offer		
Questions or Clarifications Submittal (latest date)	June 20, 2013	4:00 p.m.
Offer Response Submission Due Date	June 24, 2013	2:00 p.m.
Comparison of Offers and Interview(s), if warranted.	June 25-26, 2013	
Best Value Determination – Selection of Vendor	June 26, 2013	4:00 p.m.
Proposed Contract Start Date	June 27, 2013	

## SELECTION PROCESS

All offers will be reviewed for responsiveness to requirements of the RFO. If a response is missing required information, it may be deemed non-responsive. Responsive offers will be scored on the “Best Value” criteria listed below. Further review is subject to CCHCS' discretion.

CCHCS' evaluation process is based on an industry best practice technique called progressive filtering. The process steps are as follows:

1. Review Offers to Administrative Criteria;
  - a. Responses are reviewed to ensure the submitted offer contains all administrative sections required for contract purposes (e.g. Cover Letter, Rate Sheet, Payee Data, etc.).
2. Evaluate Offers Based on Technical and Administrative Criteria;
  - a. Offers are scored against Technical and Administrative RFO requirements.
  - b. This step results in a Preliminary Technical Score and Preliminary Administrative Score.
3. Rank and Select Best Offers;
  - a. The Technical score (i.e., consultant qualifications, experience, etc.) and Administrative score are used to select the best two-to-four (2-4) offers.
4. Schedule and Perform Candidate Interviews (optional);
  - a. The candidate interviews are used to refine and validate assessed Technical and Administrative scores.
  - b. This step results in Final Technical and Administrative scores.
5. Review Offer's Proposed Cost; and
  - a. Lowest cost proposal will receive full cost points and each proposal with higher cost will receive a percentage of total points.
6. Determine Best Value.
  - a. Reference checks are performed at the discretion of the evaluation team.
  - b. CCHCS may enter into contract negotiations at this time including, but not limited to, rate/cost negotiation.

<b>Best Value Criteria</b>	
<b>Technical Criteria:</b>	<b>120 Points</b>
1. At least five (5) years experience as a database architect designing and implementing databases including complex multi-node clustering and disaster recovery;	0-20
2. At least five (5) years experience with relational and dimensional database modeling including logical and physical modeling;	0-15
3. At least five (5) years experience working with Oracle business applications and technologies (e.g., Oracle E-Business suite, Oracle Identity and Access Management, Oracle Application Server, Oracle Service Bus, Oracle Service-Oriented Architecture [SOA] suite, etc.);	0-15
4. At least five (5) years DBA experience working with the latest two versions of Oracle Database Management System (DBMS);	0-10
5. At least five (5) years of database development experience with tables, complex queries using Structured Query Language (SQL), Procedural Language/SQL or Transact-SQL), stored procedures, triggers, user defined functions and views;	0-10
6. A Bachelor's degree in Computer Science, Engineering or a related field;	0-5
7. At least five (5) years experience manipulating data using MS SQL Server Integration Services (SSIS);	0-5
8. At least five (5) years experience working with various health care open standards (e.g. Health Insurance Portability and Accountability Act, Health Level 7, National Council for Prescription Drug Program, etc.) and code sets (e.g. Current Procedural Terminology, International Classification of Diseases, Logical Observation Identifiers Names and Codes, etc.);	0-5
9. At least five (5) years experience working with HL7 reference models and standards;	0-5
10. At least five (5) years experience providing operational support to production MS SQL-Server databases that include, but are not limited to, debugging and resolving production issues, optimizing and tuning database performance, monitoring, identifying and taking preemptive actions to curb potential threats/failures;	0-5
11. At least five (5) years experience with stored procedures creation, debugging, optimization, database performance tuning and monitoring;	0-5
12. Knowledge and experience of the various phases of the System Development Life Cycle (SDLC);	0-5
13. MS technical certifications related to MS SQL-Server DBMS;	0-5
14. Oracle technical certifications related to Oracle DBMS; and	0-5
15. Experience developing and producing the following documents: requirements, system architecture, system design, interface design, data model, configuration management document, and procedures manuals.	0-5

<b>Administrative Criteria:</b>	<b>15 Points</b>
1. Completeness of response package;	0-5
2. Detailed resumes for proposed consultants describing work experience, start and end-date for job(s) cited, and professional qualification(s)/experience(s) performing IT services relative to Statement of Work (Exhibit A); and	0-5
3. Three (3) customer references for Offeror verifying engagements similar in scope to Exhibit A (Statement of work).	0-5
<b>Cost:</b>	<b>65 Points</b>
1. Lowest cost proposal will receive full cost points and each proposal with higher cost will receive a percentage of total points.	0-65

CCHCS reserves the sole right to reject any and all offers, and reissue this RFO. In the event CCHCS determines requested services would be best served by awarding multiple agreements for this RFO, CCHCS reserves the right to make this determination and negotiate with Offerors having “best value” to award more than one company and/or firm. The awarded Contractor(s) will be obligated to provide services at the deliverables-based rate offered in Exhibit B-1 (Rate Sheet), which under no circumstances may exceed the CMAS dollar threshold.

Please recognize that CCHCS will strictly adhere to the State Administration Manual (SAM) Section 3572, and shall not split orders to circumvent procurement methods. For example, should Contractor submit a response for, and be selected to fill two (2) positions identified in the Scope of Work of this RFO, CCHCS will execute one Agreement that shall not exceed the maximum allowable CMAS amount.

**EXHIBITS AND ATTACHMENTS:**

Exhibit A	Statement of Work
Exhibit B	Budget Detail and Payment Provisions
Exhibit B-1	Rate Sheet
Exhibit C	CCHCS Special Provisions
Attachment A	Deliverable Expectations Document
Attachment B	Deliverable Acceptance Document
Attachment C	Contractor Confidentiality Statement
Attachment D	Non-Disclosure Agreement
Attachment E	Statement of Economic Interests (Form 700)

## **EXHIBIT A STATEMENT OF WORK**

### **A. BACKGROUND AND PURPOSE**

The State of California's prison medical system was placed into Receivership by United States District Court Judge, Thelton E. Henderson, as a result of a 2001 class action lawsuit brought against the State of California over the quality of medical care in the State's prison system. The Court found that the medical care was a violation of the Eighth Amendment of the U.S. Constitution, which forbids cruel and unusual punishment of the incarcerated.

All activities of the Receivership have one common purpose: to create a collaborative environment where custody and health care staff improve upon the quality of medical services in California prisons in order to meet constitutional standards while reducing avoidable morbidity and mortality. The Receiver has adopted six goals that are necessary for the California Department of Corrections and Rehabilitation (CDCR) health care program to rise to constitutionally acceptable and sustainable levels. The goals are: 1) ensure timely access to health care services; 2) establish a prison medical program addressing the full continuum of health care services; 3) recruit, train and retain a professional quality medical workforce; 4) implement a quality assurance and continuous improvement program; 5) establish medical support infrastructure; and 6) provide for necessary clinical, administrative, and housing facilities.

The above goals encompass key aspects of the CDCR's health care delivery system and the Receiver has initiated organizational changes to improve medical, nursing, mental health, and dental programs. The California Correctional Health Care Services (CCHCS) has embarked on a number of informational technology (IT) projects to support the Receiver's efforts in raising the level of patient-inmate health care to constitutional standards.

CCHCS has more than fifty (50) applications using MS SQL Server databases. There are some Oracle databases as well. CCHCS applications are deployed to users at thirty-three (33) adult-correctional institutions and headquarters. The majority of databases run on standalone virtual servers, and a small number run on multi-node clustered configurations. There are a few clustered databases deployed directly on physical servers.

There are more than one-hundred (100) database servers deployed in four (4) environments: Production, Stage, Quality Assurance (QA), and Development. In addition, some may contain more than one database instance.

Most of servers are:

- Deployed using VMWare;
- Supported by HP c7000 blade chassis hardware; and
- Run MS Windows Server Operating System (OS) and MS SQL Server database.

The four environments are:

- Production, which may require 24x7 uptime and can house secured Health Insurance Portability and Accountability Act (HIPAA) data;
- Stage, serves as a replicated copy of Production and is used as a final pre-deployment Quality Assurance (QA) environment;
- QA, low volume environment used for functional testing and quality assurance; and
- Development, primary environment for application coding, development testing, and debugging.

CCHCS also uses the following Microsoft products and/or technologies that require MS SQL Server databases:

- MS .Net, Windows Communications Foundation (WCF);
- MS Internet Information Services (IIS);
- MS Customer Relationship Management (CRM) and SharePoint;
- MS System Center Operations Manager (SCOM);
- MS Access (integrated/synchronized with SQL Server);
- MS SQL Server Integration Services (SSIS);
- MS SQL Server Reporting Services (SSRS);
- MS Windows SharePoint Services (WSS); and
- MS Office for application integration, etc.

Most healthcare applications require data feeds from CDCT's Custody-based IT systems. These data feeds provide patient-inmate demographics, housing assignments, movements, etc. Strategic Offender Management System (SOMS) is the primary source of data feed to CCHCS' clinical applications. CCHCS strives to establish enterprise integration services that provide SOA services that facilitate sharing of data among applications. SOA services are based on Java technology and Oracle product stack. CCHCS uses Oracle Fusion Middleware Suite and Oracle DBMS.

Historically, applications were designed and developed independently to meet urgent business needs, this resulted in silos. Silo applications often contain data elements that are duplicated, outdated, inaccurate, or incomplete. When extracted and aggregated into a centralized enterprise solution (e.g. Enterprise Data Warehouse), data quality degrades exponentially and eventually the severity results in an insurmountable challenge to reconcile data. Providing quality health care is a life-and-death situation that depends on medical data presented by a healthcare application. Questionable data quality at the enterprise level is not acceptable.

HCIS is embarking on a comprehensive effort to obtain an enterprise-wide inventory of existing databases and data elements. This information will be consolidated when applicable. Practices and process will be established to standardize management of databases and their data.

There are five high-level objectives:

1. Application development and production support:
  - a. Production databases are priority and must be properly maintained to ensure business continuity.
  - b. Actively performing activities related to maintenance and support of production databases enables a Database Administrator (DBA) to gather, analyze, and accurately document relevant details necessary to achieve the other four objectives.
  - c. DBAs may be expected to participate in all phases of SDLC for active projects.
  - d. CCHCS business programs receive last-minute urgent requests from the Governor's Office or CCHCS Executives to generate reports based on production data. The DBA is expected to fulfill reporting needs by creating/generating ad-hoc reports.
  - e. About 10 projects are already, or soon will be, in active testing phases. The

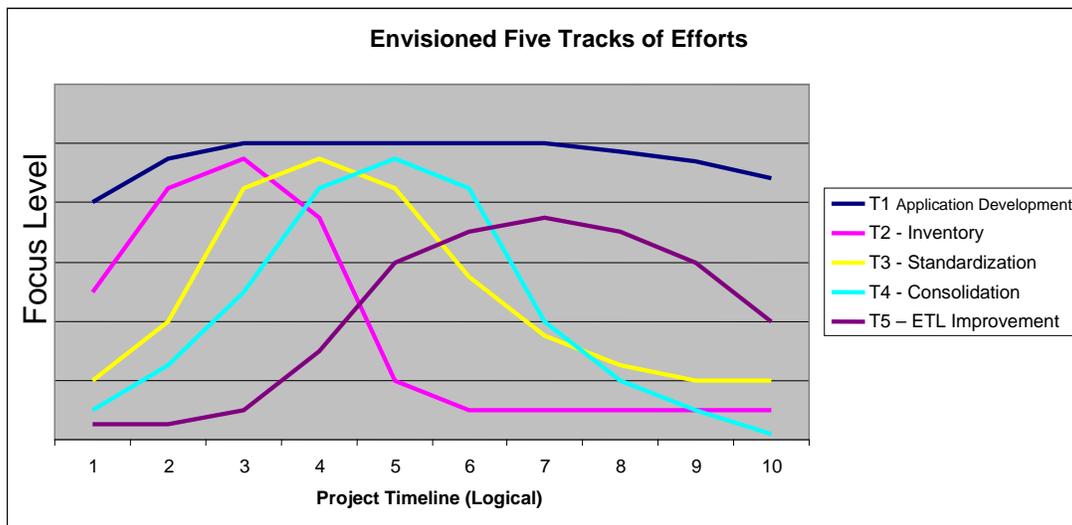
DBAs assigned to these projects are expected to provide testing support by including formulated test data (if applicable), loading/reloading/refreshing test data periodically, or on request from the project/test team.

2. Develop accurate, up-to-date, and comprehensive documentation of all databases. The documentation must cover, but is not limited to:
  - a. Data model;
  - b. Data dictionary;
  - c. All access accounts and respective permissions;
  - d. Accurate sources of data values for all data elements, e.g. external data feeds, user inputs, derived, etc.;
  - e. Dynamic database aspects: recurring jobs or synchronizations/replications, manual and scheduled;
  - f. Periodic maintenance/administrative activities;
  - g. Historical utilization of databases and/or consumption of data contained within; and
  - h. DBA level of effort to maintain optimal performance of databases.
3. Assist in defining and establishing the enterprise-level architecture, best practices, standards, policies, and processes DBAs should follow for activities and tasks related to application development and production support.
4. Develop an inventory of databases. Use the inventory to develop standards, trim waste, promote sharing, and maximize use of valuable resources by exploring options to consolidate databases.
5. Parallel efforts will aim to design and build one or more enterprise data warehouses. Generally data used by data warehouses comes from transactional databases through data Extraction, Transformation, and Loading (ETL) mechanisms or processes. Currently DBAs are expected to participate and assist in the improvements of all data ETL mechanisms and processes to ensure consistent data quality across existing and new enterprise solutions.

CCHCS envisions five tracks of efforts aligning with the five objectives.

The following diagram depicts the timing of each track with respect to project timeline.

"Focus Level" is not the estimated levels of effort and the "Project Timeline" is divided into 10 logical time segments that do not represent actual calendar units (i.e. weeks, months, or years).



1. **Track 1 – Application Development Support:** Provide continual production application development support of all databases and actively participate in assigned application development projects. Production application development support may include fulfilling application enhancement requests and/or ad-hoc reports (from production data) requiring time and effort from the DBA supporting the database. In addition, some application development efforts require DBAs manipulate and manage sets of test data. This track is expected to run from the start to the end of the project.
2. **Track 2 – Enterprise Inventory:** Inventory all databases, their data elements, and interdependencies. The majority of inventories are expected to be complete during the first third of the project duration. Once complete, additional inventorying efforts should focus on cross validation and inventory updating. NOTE: Accurate inventory documentation should be obtained, cross validated, and updated through the Track 1 effort. In addition, inventory documentation produced by one DBA may be given to another DBA for cross validation and verification.
3. **Track 3 – Enterprise Standardization:** Standardize, promote, and enforce best practices, standards, policies, and processes that DBAs should follow consistently. This track is best achieved with a thorough understanding of what is in place through the comprehensive inventorying of all databases.
4. **Track 4 – Enterprise Consolidation:** Consolidate databases wherever possible and applicable. Consolidation of databases could take many forms. For example, a simpler consolidation may just move databases onto one hosting server; a more complex consolidation may mean finding ways to eliminate duplicated data publishers/subscribers, or eliminate duplicated data elements. This track is expected to start after there is a clear picture of the inventory from Track 2.
5. **Track 5 – Enterprise Data ETL:** Participate and/or assist in improving all data ETL mechanisms and processes to ensure data quality across existing and new enterprise solutions. This effort will set a solid ETL foundation for the upcoming enterprise data warehousing and Electronic Health Record System (EHRS).

**B. OFFEROR'S PROPOSED PERSONNEL QUALIFICATIONS**

Contractor's proposed personnel must meet all of the following Mandatory Qualifications to be considered for award. Contractors will be evaluated on expertise and experience stated in the resume against the mandatory qualifications. At the discretion of CCHCS, interviews may be a part of the selection process.

**Mandatory Qualifications:**

1. At least five (5) years experience as a database architect designing and implementing databases including complex multi-node clustering and disaster recovery;
2. At least five (5) years experience with relational and dimensional database modeling including logical and physical modeling;
3. At least five (5) years experience working with Oracle business applications and technologies (e.g., Oracle E-Business suite, OIAM, Oracle Application Server, OSB, Oracle SOA suite, etc.);
4. At least five (5) years DBA experience working with the latest two versions of Oracle Database Management System (DBMS);
5. At least five (5) years of database development experience with tables, complex queries using SQL, PL/SQL or TSQL), stored procedures, triggers, user defined functions and views;
6. A Bachelor's degree in Computer Science, Engineering or a related field;
7. At least five (5) years experience manipulating data using MS SQL SSIS;
8. At least five (5) years experience working with various health care open standards (e.g. HIPAA, HL7, NCPDP, etc.) and code sets (e.g. CPT, ICD, LOIN and Codes, etc.);
9. At least five (5) years experience working with HL7 reference models and standards;
10. At least five (5) years experience providing operational support to production MS SQL-Server databases that include, but are not limited to, debugging and resolving production issues, optimizing and tuning database performance, monitoring, identifying and taking preemptive actions to curb potential threats/failures;
11. At least five (5) years experience with stored procedures creation, debugging, optimization, database performance tuning and monitoring;
12. Knowledge and experience of the various phases of SDLC;
13. MS technical certifications related to MS SQL-Server DBMS;
14. Oracle technical certifications related to Oracle DBMS; and
15. Experience developing and producing the following documents: requirements, system architecture, system design, interface design, data model, configuration management document, and procedures manuals.

**Desirable Qualifications:**

1. Experience supporting enterprise technology solutions in a health care and/or correctional environment;
2. Experience as an enterprise architect, developing architecture baselines, performing architecture analyses, providing architecture recommendations and developing target architectures;

3. Ability to understand business requirements and translate them into requirements for solution capabilities;
4. Knowledge of state IT policy and governance processes;
5. Strong analytical skills to assess current applications and identify improvement opportunities;
6. Excellent written and verbal communication skills; and
7. Ability to work in a team environment as well as independently.

### **C. SCOPE OF SERVICES**

With prior approval from CCHCS' DCIO HCIS, or designee, Consultant shall perform all of the following tasks and deliverables:

1. Provide Application Development Support and/or Participate in Application Development;
  - a. When assigned, be a project team member and participate in an application development project to perform all activities and tasks related to an application development; and
  - b. Document all activities and tasks performed in weekly status reports.

#### Specific Deliverable(s)

1. Weekly written status reports, using CCHCS templates, level of detail to include:
  - Tasks performed;
  - Task description (e.g. purpose, frequency, application development, or production support, issues with root cause and resolution, etc.); and
  - Level of effort for each task (e.g. 30 minutes, 4 hours, etc.).
2. Fifty (50) business reports to include all of the following supplemental sub-deliverables for each report:
  - Reporting requirements document (approved and signed);
  - Report design and configuration specifications including details such as access control, scheduling/automation, distribution, or subscription, etc.;
  - Report layout mockup (approved and signed); and
  - Report test logs/results (showing quality checks and deployment promotions from development, QA, stage, to production).
2. Inventory Existing Databases;
  - a. Review existing database documentation;
  - b. Compare to actual databases to verify and validate;
  - c. Develop and/or update documentation to accurately reflect database information and dependencies; and
  - d. Document level of efforts on recurring DBA tasks required to keep production databases performing in optimal condition.

#### Specific Deliverable(s)

1. Database Design Document that will serve as the architectural and design inventory of existing databases and, if applicable, their respective applications. Architectural

details should include:

- Hosting server, allocated server resource, DB server cluster, environment, etc.;
  - Configurations such as clustering, storage drive layout, communication ports;
  - Access accounts, system and human, and their respective permissions; and
  - Additional technical details specified in HCIS Database Design Document template.
2. Interface Control Document, an inventory of all interface dependencies among databases, e.g. synchronization, replication, data publisher/subscriber, etc.;
  3. One data model for each of the identified databases;
  4. A data dictionary of all database, to include sources of data values (i.e. data owner) for all data elements, e.g. external data feeds, user inputs, derived, etc.;
  5. Documentation to include all of the following:
    - Manual and scheduled recurring jobs or periodic synchronizations, replications, archiving, for which a DBA is responsible;
    - Listing of periodic maintenance and administrative activities that keep a database performing optimally;
    - Historical utilization of databases and/or consumption of data contained within; and
    - DBA level of effort required maintain optimal performance.
3. Document Detailed Requirements and Technical Specifications;
- a. Solicit business and/or technical requirements from stakeholders (business users, application developers, report writers, or other database developers);
  - b. Document and validate business/technical requirements and technical specifications when working on an application development project, and/or working on enhancements to a production application; and
  - c. Coordinate review sessions with stakeholders for feedback and requirements approval.

Specific Deliverable(s)

1. Business and Technical Requirements Document for new application development projects using CCHCS template;
  2. Database Design Document for new application development projects using CCHCS template;
  3. Logical and Physical Data Model for new application development projects using CCHCS template; and
  4. Data Conversion Plan for new application development projects using CCHCS template.
4. Develop Enterprise Standardization;
- a. Work with HCIS managers, architects, developers, and DBAs to develop standards, policies, guidelines, processes, and best practices for DB support, management, and development;
  - b. Propose recommendation for organizational structure and governance;

- c. Update and communicate the new standards, best practices, policies, or processes to all interested parties; and
- d. Coordinate review sessions for feedback and approval from DBAs and interested parties (i.e. application developers, report writers, etc.).

Specific Deliverable(s)

1. Written standards and best practices (new or refined) pertinent and relevant to:
  - Sharing of servers and environments;
  - Database configurations and capacity planning;
  - Naming standards; and
  - Access control to database and data in various environments, i.e. Development, QA, Stage, Production.
2. Written standards, and best practices pertinent and relevant to:
  - Data modeling;
  - Data dictionary;
  - Optimal setup of database objects such as indexes;
  - Security configurations for data protection and security compliance;
  - Promotional processes from Development, to QA, to Stage, and Production based on maturity of codes; and
  - Governance processes to ensure standards, best practices, and processes are followed consistently.
3. Written procedures, policies, best practices, and processes relevant to:
  - Application Development tasks including monitoring, archiving, and logging;
  - Enhancement requests and/or troubleshooting assistance;
  - Performance tuning; and
  - Effective sharing of common duties among DBAs
5. Develop Database Application Development Manual:
  - a. Document application development support tasks and procedures for each database; and
  - b. Coordinate review sessions to obtain feedback and cross-validate Application Development information with DBAs.

Specific Deliverable(s)

1. Written Application Development Procedures Manual for each database

6. DBA Training:

- a. Classroom training for State DBA staff.

Specific Deliverable(s)

1. Training manual containing all documents developed under this solicitation; and
2. Twelve (12) one-hour training sessions in a classroom setting. Written report of subjects covered, attendees, action items.

7. Develop Consolidation Architecture;

- a. Work with CCHCS architects, developers, and DBAs to identify databases that can be consolidated/migrated and options to consolidate them; and
- b. Coordinate review sessions for consolidation architecture and options from interested parties.

Specific Deliverable(s)

1. DB consolidation architecture specification and implementation options using CCHCS template; and
2. Written Data Conversion and Migration Plan.

8. Develop Enterprise Health Care Data Model;

- a. Work with analysts and SMEs to gather data requirements;
- b. Use modeling tool to create health care data model based on industry health care reference models such as HL7 functional model;
- c. Develop Entity-Relationship Diagram (ERD) from the logical data model; and
- d. Coordinate review sessions to obtain feedback and approval for data model from the stakeholders.

Specific Deliverable(s)

1. Enterprise Health Care Data Model including ERD using CCHCS template.

9. Develop Enterprise Health Care Data Dictionary;

- a. Document data elements, data definition, data type, data value and business rules for the Enterprise Health Care Data Model;
- b. Follow industry health care standards (e.g. HL7, ICD-9) for data dictionary; and
- c. Coordinate review sessions to obtain feedback and approval for data dictionary from the stakeholders.

Specific Deliverable(s)

1. Enterprise Health Care Data Dictionary using CCHCS template.

10. Develop Interface Design to Data Mart and/or Data Warehouse;

- a. Gather and document requirements for each interface between any two components in the Data Warehouse Architecture;
- b. Develop the interface design, the data model for the data source and the data dictionary. If an interface is with an external partner or agency, develop the Data Use Agreement; and
- c. Coordinate review sessions for feedback and approval for Interface Design from the stakeholders.

Specific Deliverable(s)

1. Interface Requirements Document using CCHCS template;
2. Interface Control/Design Document using CCHCS template;
3. Data Model for the Interface's data source using CCHCS template;
4. Data Dictionary for the Interface's data source using CCHCS template; and
5. Data Use Agreement.

11. Develop Data Extract, Transform and Load (ETL) Logic for Operational Data Platform;

- a. Develop code to perform ETL on data from original data sources into Operational Data;
- b. Follow CCHCS process to release code through four (4) environments; and
- c. Perform code review and have the code checked into CCHCS repository.

Specific Deliverable(s)

1. CCHCS sign off of successful automation of ETL of original data into Operational Data platform.

12. Develop Data ETL Logic for Data Mart Platform;

- a. Develop the code to perform ETL on data from Data Warehouse into Data Marts platform;
- b. Follow CCHCS process to release code through four (4) environments; and
- c. Perform code review and have code checked into CCHCS repository.

Specific Deliverable(s)

1. CCHCS sign off of successful automation of ETL from Data Warehouse to Data Marts.

13. Develop Business Intelligence Ad Hoc Query, Analytical, and Reporting Capabilities;

- a. Work with the program and IT Business Analysts, Architects and SMEs to develop prototypes for ad hoc query, analytical, and reporting capabilities;
- b. Refine capabilities to ensure they meet requirements and comply with architecture standards;
- c. Follow CCHCS process to release code or configuration through four (4) environments; and
- d. Perform code review and have code checked into CCHCS repository.

Specific Deliverable(s)

1. CCHCS sign off of successful implementation of ad hoc query, analytical, and reporting capabilities

14. Knowledge Transfer; and

- a. Fifty-two (52) one-hour informal knowledge transfer sessions;
- b. Twelve (12) one-hour formal knowledge transfer sessions;
- c. Support CCHCS staff at meetings, via email or personal inquiries; and
- d. Incorporate information into technical requirements and analysis artifacts.

Specific Deliverable(s)

1. Monthly (12) report of informal knowledge transfer sessions provided during the preceding month, which shall include attendees, and any action items; and
2. Written report of formal knowledge transfer sessions to include attendees, time and date, and any action items.

**15. Administrative Tasks:**

Contractor shall perform administrative tasks as requested and approved by CCHCS' DCIO HCIS or designee. Administrative tasks shall be defined in a Deliverable Expectations Document (DED) that includes estimated number of hours and costs, and is mutually agreeable to both parties.

**Specific Deliverable(s)**

1. Completed Deliverables.

**C. DELIVERABLE ACCEPTANCE CRITERIA**

Contractors shall complete all Deliverables and perform all Services in conformance with the term of this Agreement.

CCHCS will notify Contractor of any deficiency of any Deliverable or Service found during the performance of this Agreement, and Contractor shall have the opportunity to cure such a deficiency or error(s) in accordance with the process herein.

1. Prior to starting work on each Deliverable or Service, Contractor and CCHCS' DCIO HCIS, or designee, shall agree on the acceptance criteria that will be used for each Deliverable, and may complete a Deliverable Expectations Document (DED) (Attachment A) that shall specify each Deliverable or Service. Contractor is responsible for ensuring that the DED is signed by CCHCS' DCIO HCIS, or designee, prior to initiating development of the Deliverable or Service.
2. After Contractor has completed a Deliverable or Service under this Agreement, the Contractor shall submit to CCHCS' DCIO HCIS, or designee, for approval such completed Deliverable along with a Deliverable Acceptance Document (DAD) (Attachment B) and a signed copy of the agreed upon DED.
3. CCHCS' DCIO HCIS, or designee, shall have up to ten (10) business days following the receipt of each Deliverable or Service to review said Deliverable and return a completed DAD to Contractor.
4. Upon verification that the Deliverable is, or is not, in conformity with the DED, CCHCS shall complete a DAD, which provides CCHCS the opportunity to:
  - a. Accept the Deliverable,
  - b. Accept the Deliverable with changes noted; or
  - c. Reject the Deliverable.
5. If the Deliverable provided by Contractor is acceptable to CCHCS' DCIO HCIS, or designee, CCHCS shall notify Contractor by returning the approved and signed DAD within ten (10) business working days or an otherwise mutually agreed upon number of working days of receipt of the Deliverable from Contractor.
6. If a Deliverable or any portion thereof is unacceptable to CCHCS' DCIO HCIS, or designee, they shall notify the Contractor by returning the rejected and signed DAD within ten (10) business days of receipt of the Deliverable from Contractor. The Contractor shall, within ten (10) business days of receipt of notification of rejection, correct the deficiency or deficiencies and bring the Deliverable into compliance with the DED at no additional cost to CCHCS. Failure to correct the deficiency or deficiencies may result in termination of the Agreement.
7. All documents, analyses, reports, recommendations, white papers, and diagrams will be submitted to CCHCS' DCIO HCIS, or designee, and produced using the following Microsoft Office products Project; Word; PowerPoint; Visio; Excel or Outlook.

**D. ASSUMPTIONS AND CONSTRAINTS**

1. Work hours for this Agreement must be consistent with CCHCS's normal business hours 8:00 a.m. to 5:00 p.m., Monday through Friday, excluding State holidays.
2. Contractor shall ensure availability of staff to perform the requirements of the ensuing Agreement at all times during the period described in the preceding item 1 above.
3. The work location will be at CCHCS' Headquarters located in Elk Grove, California, or at another designated location within the greater Sacramento area.
4. Any modifications to the SOW of the ensuing Agreement will be defined, documented and mutually agreed upon by Contractor and CCHCS' DCIO HCIS, or designee.
5. Services not specified in Scope may only be performed pursuant to a Work Authorization signed by CCHCS.
6. Contractor must submit, in advance, a resume of all personnel substitutions. All Contractor personnel substitutions must be approved by CCHCS DCIO HCIS, or designee, prior to substituted personnel commencing work.
7. CCHCS, in its sole discretion, reserves the right to require Contractor to substitute personnel, reduce, or cancel a consultant's performance of services at any time.
8. CCHCS reserves the right to renegotiate services deemed necessary to meet the needs of the project according to State priorities. CCHCS and Contractor shall mutually agree to all changes. Renegotiated services outside the scope of original contract may require control agency approval prior to commencement of work.
  - Work Authorization

Either party may at any time propose a change to Scope. If Contractor believes that such change will increase Contractor's costs or delay completion, the parties will negotiate in good faith to try to accommodate such requests. Contractor will price any additional fees, at CCHCS' option, based on fixed cost per deliverable. Contractor will disclose and explain to CCHCS its method of pricing a change order. At CCHCS' request, the parties will use project estimation tools to aid in determining pricing and to ensure that it is competitive in the marketplace. No change will be effective unless and until set forth in a written amendment to the Agreement, which is approved and signed by the parties. Any agreed upon modifications will be performed by Contractor in accordance with the amendment and Agreement provisions. Any failure to agree to a proposed change will not impair the enforceability of other Agreement terms or in Scope.
9. CCHCS and Contractor are mutually obligated to keep open channels of communications to ensure successful performance of the ensuing Agreement. Both parties are responsible for communicating any potential problem(s) or issue(s) to CCHCS' DCIO HCIS, or designee, and the Contractor, respectively, within one (1) business day of becoming aware of said problem(s).
10. Contractor certifies that it has appropriate systems and controls in place to ensure that State funds will not be used in performance of this Agreement for the acquisition, operation, or maintenance of computer software in violation of copyright laws.

**E. CCHCS ROLES AND RESPONSIBILITIES**

1. CCHCS will provide cubicle accommodations at CCHCS Headquarters in Elk Grove, California, or at another designated location in the greater Sacramento area. Accommodations may include a desk, telephone, computer hardware, and software necessary for performance of the work.
2. CCHCS will not provide consultant(s) with smart phones, cell phones, etc.
3. CCHCS will be responsible to monitor and review services as invoiced.
4. CCHCS will help resolve and escalate issues within the organization, as necessary.
5. CCHCS may provide Contractor access to applicable files, reports, contracts, documents, and other relevant information.
6. CCHCS will provide staff availability for consultation meetings.
7. Provision of clerical or other support services is strictly at the option of CCHCS. Contractor should assume that CCHCS will not provide any assistance of a clerical nature for documents or telephone support.

**F. CONTRACTOR ROLES AND RESPONSIBILITIES**

In addition to Scope of Services specified in Item C, above, Contractor is required to do all of the following:

1. Work with CCHCS' DCIO HCIS and/or designee(s) to ensure that any issue(s) are addressed.
2. Participate in information gathering meetings, fact-finding meetings, working sessions, status reporting (both written and verbal), presentations, and general communication(s) to ensure success of consultant activity performance.
3. Comply with all applicable State and Agency policies and procedures, including those enumerated in Exhibit C (Special Provisions).
  - By accepting Agreement, Contractor (including personnel) acknowledges that he/she has read and agrees to the provisions of Exhibit C;
4. Return all State property including security badges, computer laptop, work products, etc., prior to termination of Agreement;
5. Be tested for Tuberculosis and certified to be free of tuberculosis on the TB Infectious Free Staff Certification in order to gain entrance to the Institutions;
6. Complete a Request for Gate Clearance Form, Application for Identification Card, and/or Emergency Notification form in order to gain entrance to the institutions;
7. Agree to abide by the Digest of Laws Related to Association with Prison Inmates; and
8. Perform any other duties as requested by CCHCS's DCIO HCIS, or designee.

**G. PERIOD OF PERFORMANCE**

It is anticipated that the ensuing Agreement will be June 28, 2013 through June 28, 2014. CCHCS reserves the option to extend Agreement for up to twenty four (24) additional months at the same rate of award, and/or to add additional funds up to the maximum CMAS threshold.

**H. EVALUATION OF CONTRACTOR**

The DCIO HCIS, or designee, will complete a written evaluation of Contractor's performance under the ensuing Agreement within sixty (60) days following the term end date. The evaluation shall be prepared on the Contract/Contractor Evaluation Form (STD 4) and maintained in the Agreement file for three (3) years. If Contractor's performance is deemed unsatisfactory, a copy of the evaluation shall be sent to the California Department of General Services (DGS), Office of Legal Services (OLS), within five (5) days, and to Contractor within fifteen (15) days, following completion of the evaluation.

"Days" means calendar days unless otherwise specified.

**I. TERMINATION**

Notwithstanding provisions #21, #22, and #23 of the State's General Provisions – IT (GSPD 401-IT CMAS, effective August 2010), CCHCS reserves the right to terminate the ensuing Agreement immediately with or without cause.

**J. CCHCS CONTRACT MANAGER**

California Correctional Health Care Services  
Attn: Deputy Chief Information Officer, HCIS - Building C  
P.O. Box 588500  
Elk Grove, California 95758

**EXHIBIT B**  
**BUDGET DETAIL AND PAYMENT PROVISIONS**

**A. INVOICING AND PAYMENT**

1. Contractor shall submit to CCHCS, a written invoice for all accepted Deliverables in accordance with Exhibit B-1 (Rate Sheet) of this Agreement. No invoice shall be approved by CCHCS unless and until prior acceptance is obtained pursuant to Exhibit A (Statement of Work), Item D (Deliverable Acceptance Criteria), of this Agreement for service(s) rendered on said invoice.
  - a. During execution of each task, which involves delivery of identified deliverables, and upon CCHCS' approval<sup>2</sup>, Contractor may submit periodically to CCHCS, invoices reflecting a pro-rata cost of the task based on the following:
    - i. Signed acceptance of a Deliverable Expectations Document (DED) and/or Deliverable Acceptance Document (DAD) for tasks(S) performed by Contractor from CCHCS' DCIO HCIS, or designee, that clearly identifies/quantified stages of deliverable progress (e.g., completed task[s] as reflected in written status reports, if required, submitted with invoices.

For example, if Deliverable #1 requires a high-level solution design for Requirements Management, and has (3) tasks to fully complete said deliverable; and contractor offered one-hundred dollars (\$100) for each (or \$300.00 total of Deliverable #1) and completed a portion of that task, to CCHCS's satisfaction, contractor may be reimbursed a partial payment of \$200.00 for completing tasks 1 and 2, with submittal of an invoice and supporting documentation (e.g., a DAD).
    - ii. If Offeror is not able to reimburse consultant(s) for services rendered prior to full completion a deliverable, Contractor may consider not submitting an Offer as CCHCS is not obligated to reimburse Contractor on pro-rated basis.
      - Contractor should have the financial means to reimburse the proposed consultant(s) for services rendered without reliance on pro-rata payments.
  - b. Upon completion of a deliverable in accordance with the acceptance criteria set forth in Exhibit A (Statement of Work), the full charge for such deliverable, less a ten-percent (10%) withhold and amount(s) previously invoiced to CCHCS, may be submitted for payment.
    - i. A DAD must be approved by CCHCS' DCIO HCIS or designee, before approval of Contractor's invoice for payment.
2. Contractor invoices shall not be submitted more frequently than monthly to the CCHCS.
3. Invoices reflecting progress payments shall not exceed ninety percent (90%) of the total amount of this Agreement, with the balance to be invoiced upon successful completion of all deliverables.
  - a. It is CCHCS' sole determination as to whether all deliverables have been successfully completed and are acceptable to CCHCS.
  - b. Payment of Contractor's total 10% withhold is subject to completion of all deliverables and submittal of final written report to the satisfaction of CCHCS.

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<sup>2</sup> Partial progress payments for services rendered is not a right, but is a privilege subject to CCHCS prior approval.

4. All invoices shall be submitted in triplicate on Contractor's letterhead and include the CCHCS Purchase Order and Agreement numbers, consultant's name, task title and number, task and/or deliverable title, and invoice total.
  - a. Any invoices submitted without the above referenced information may be returned to Contractor for revision(s).
5. Contractor shall address and submit all invoices to:

California Correctional Health Care Services  
Attn: Josie Proverbs, IT Acquisitions, Building D  
P.O. Box 588500  
Elk Grove, California, 95758

**B. BUDGET CONTINGENCY CLAUSE**

1. It is mutually agreed that if the California State Budget Act for the current fiscal year and/or any subsequent fiscal years covered under this Agreement does not appropriate sufficient funds for the project, this Agreement shall be of no further force and effect. In this event, the State shall have no liability to pay any funds whatsoever to Contractor, or to furnish any other considerations under this Agreement and Contractor shall not be obligated to perform any provisions of the Agreement.
2. If funding for purposes of this project is reduced or deleted for any fiscal year by the California State Budget Act, the State shall have the option to either cancel the Agreement with no liability occurring to the State, or offer an Agreement amendment to Contractor to reflect the reduced amount.

**C. PROMPT PAYMENT CLAUSE**

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927. Payment to small/micro businesses shall be made in accordance with and within the time specified in Chapter 4.5, Government Code 927 et seq.

**D. TRAVEL AND MISCELLANEOUS EXPENSES**

Any reimbursable travel and/or other expenses must be approved in advance by CCHCS' DCIO HCIS or designee and itemized in Contractor's invoice. Travel reimbursement may not exceed the rates, terms, and conditions that apply to comparable State employees, in accordance with travel rules and regulations, as specified in California Code of Regulations (CCR), Title 2, Division 1, Chapter 3, and/or the California Department of Personnel Administration (DPA), Sections 599.619 through 599.631. Travel expenses shall be submitted on a State of California Travel Expense Claim, Std. 262, and are to be submitted with Contractor's Monthly (12) invoice for the applicable time period.

For purposes of this RFO, there is no travel anticipated.

**EXHIBIT B-1  
RATE SHEET**

Contractor hereby agrees to provide all labor and transportation necessary to perform the services required in accordance with the Statement of Work and Terms and Conditions of the ensuing Agreement.

Upon completion of deliverables to the satisfaction of CCHCS, Contractor services shall be billed and reimbursed on a deliverable basis (i.e., fixed-cost), unless otherwise specified.

DELIVERABLE	COST
<b>1. Provide Application Development Support and/or Participate in Application Development</b>	
1.1. Weekly Status Reports	
1.2. Fifty (50) Business Reports	
<b>Deliverable 1 Total:</b>	
<b>2. Inventory Existing Databases</b>	
2.1. Database Design Document	
2.2. Interface Control Document	
2.3. Data Models for identified databases	
2.4. Data Dictionary for all of the databases	
2.5. Database documentation	
<b>Deliverable 2 Total:</b>	
<b>3. Document Detailed Requirements and Technical Specifications</b>	
3.1. Business and Technical Requirements Document	
3.2. Database Design Document	
3.3. Logical and Physical Data Models	
3.4. Data Conversion Plan	
<b>Deliverable 3 Total:</b>	
<b>4. Develop Enterprise Standardization</b>	
4.1. Written Standards and Best Practices	
4.2. Written Standards and Best Practices (data modeling, etc.)	
4.3. Procedures, Policies, Best Practices, and Processes	
<b>Deliverable 4 Total:</b>	
<b>5. Develop Database Application Development Manuals</b>	
5.1. One Manual per Database	
<b>Deliverable 5 Total:</b>	
<b>6. Conduct DBA Training</b>	
6.1. Training Materials for Each Training Session	
6.2. Twelve (12) one-hour Training Sessions	
<b>Deliverable 6 Total:</b>	

DELIVERABLE	COST
7. Develop Database Consolidation Architecture	
7.1. DB Consolidation Architecture Specification	
7.2. Data Conversion and Migration Plan	
<b>Deliverable 7 Total:</b>	
8. Develop Enterprise Health Care Data Model	
8.1. Enterprise Health Care Data Model including ERD	
<b>Deliverable 8 Total:</b>	
9. Develop Enterprise Health Care Data Dictionary	
9.1. Enterprise Health Care Data Dictionary	
<b>Deliverable 9 Total:</b>	
10. Develop Interface Design to Data Mart and/or Data Warehouse	
10.1. Interface Requirements Document	
10.2. Interface Control/Design Document	
10.3. Data Model (for Interface's data source)	
10.4. Data Dictionary (for Interfaces' data source)	
10.5. Data Use Agreement	
<b>Deliverable 10 Total:</b>	
11. Develop Data ETL Logic for Operation Data Platform	
11.1. Signoff of successful automation of ETL	
<b>Deliverable 11 Total:</b>	
12. Develop Data ETL Logic for Data Mart Platform	
12.1. Sign off of successful automaton of ETL into Data Mart Platform	
<b>Deliverable 12 Total:</b>	
13. Develop BI Ad-Hoc Query, Analytical and Reporting Capabilities	
13.1. Sign off of successful implementation of query, etc.	
<b>Deliverable 13 Total:</b>	
14. Knowledge Transfer	
14.1. Monthly Report of 52 informal knowledge transfer	
14.2. Written report of formal knowledge transfer	
<b>Deliverable 14 Total:</b>	
15. Administrative Tasks	
15.1. Completed Deliverables	
<b>Deliverable 15 Total:</b>	
<b>TOTAL OF DELIVERABLES 1-15:</b>	

**EXHIBIT C**  
**CCHCS SPECIAL PROVISIONS**

**1. ACCOUNTING PRINCIPLES**

The Contractor will adhere to generally accepted accounting principles as outlined by the American Institute of Certified Public Accountants. Dual compensation is not allowed; a Contractor cannot receive simultaneous compensation from two or more funding sources for the same services performed even though both funding sources could benefit.

**2. SUBCONTRACTOR/CONSULTANT INFORMATION**

Contractor is required to identify all subcontractors who will perform labor or render services in the performance of the Agreement. Additionally, the Contractor shall notify the CCHCS, DCIO, within ten (10) working days, of any changes to the subcontractor and/or consultant information.

**3. EMPLOYMENT OF EX-OFFENDERS**

a. Contractor cannot and will not either directly, or via a subcontracted consultant and/or firm, employ in connection with this Agreement:

- (1) Ex-Offenders on active parole or probation;
- (2) Ex-Offenders at any time if they are required to register as a sex offender pursuant to Penal Code Section 290 or if such ex-offender has an offense history involving a “violent felony” as defined in subparagraph (c) of Penal Code Section 667.5; or
- (3) Any ex-felon in a position which provides direct supervision of parolees.

b. Ex-Offenders who can provide written evidence of having satisfactorily completed parole or probation may be considered for employment by the Contractor subject to the following limitations:

- (1) Contractor shall obtain the prior written approval to employ any such ex-offender from the Authorized Administrator; and
- (2) Any ex-offender whose assigned duties are to involve administrative or policy decision-making; accounting, procurement, cashiering, auditing, or any other business-related administrative function shall be fully bonded to cover any potential loss to the State of California.

**4. LICENSES AND PERMITS**

The Contractor shall be an individual or firm licensed to do business in California and shall obtain at Contractor’s expense all license(s) and permit(s) required by law for accomplishing any work required in connection with this Agreement.

In the event any license(s) and/or permit(s) expire at any time during the term of this Agreement, Contractor agrees to provide the CCHCS with a copy of the renewed license(s) and/or permit(s) within thirty (30) days following the expiration date. In the event the

Contractor fails to keep in effect at all times all required license(s) and permit(s), the State may, in addition to any other remedies it may have, terminate this Agreement upon occurrence of such event.

**5. CONFLICT OF INTEREST**

The Contractor and their employees shall abide by the provisions of Government Code (GC) Sections 1090, 81000 et seq., 82000 et seq., 87100 et seq., and 87300 et seq., Public

Contract Code (PCC) Sections 10335 et seq. and 10410 et seq., California Code of Regulations (CCR), Title 2, Section 18700 et seq. and Title 15, Section 3409, and the Department Operations Manual (DOM) Section 31100 et seq. regarding conflicts of interest.

**a. Contractors and Their Employees**

Consultant Contractors shall file a Statement of Economic Interests, Fair Political Practices Commission (FPPC) Form 700 prior to commencing services under the Agreement, annually during the life of the Agreement, and within thirty (30) days after the expiration of the Agreement. Other service Contractors and/or certain of their employees may be required to file a Form 700 if so requested by the CCHCS or whenever it appears that a conflict of interest may be at issue. Generally, service Contractors (other than consultant Contractors required to file as above) and their employees shall be required to file an FPPC Form 700 if one of the following exists:

- (1) The Agreement service has been identified by the CDCR as one where there is a greater likelihood that a conflict of interest may occur;
- (2) The Contractor and/or Contractor's employee(s), pursuant to the Agreement, makes or influences a governmental decision; or
- (3) The Contractor and/or Contractor's employee(s) serves in a staff capacity with the CDCR and in that capacity participates in making a governmental decision or performs the same or substantially all the same duties for the CDCR that would otherwise be performed by an individual holding a position specified in the CDCR's Conflict of Interest Code.

**b. Current State Employees**

- (1) No officer or employee shall engage in any employment, activity or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity or enterprise is required as a condition of regular state employment.
- (2) No officer or employee shall contract on his or her own behalf as an independent Contractor with any state agency to provide goods or services.
- (3) In addition to the above, CDCR officials and employees shall also avoid actions resulting in or creating an appearance of:
  - (a) Using an official position for private gain;
  - (b) Giving preferential treatment to any particular person;
  - (c) Losing independence or impartiality;
  - (d) Making a decision outside of official channels; and
  - (e) Affecting adversely the confidence of the public or local officials in the integrity of the program.
- (4) Officers and employees of the Department must not solicit, accept or receive, directly or indirectly, any fee, commission, gratuity or gift from any person or business organization doing or seeking to do business with the State.

**c. Former State Employees**

- (1) For the two year (2-year) period from the date he or she left state employment, no former state officer or employee may enter into an Agreement in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the Agreement while employed in any capacity by any state agency.

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

In addition to the above, the Contractor shall avoid any conflict of interest whatsoever with respect to any financial dealings, employment services, or opportunities offered to inmates or parolees. The Contractor shall not itself employ or offer to employ inmates or parolees either directly or indirectly through an affiliated company, person or business unless specifically authorized in writing by the CDCR. In addition, the Contractor shall not (either directly, or indirectly through an affiliated company, person or business) engage in financial dealings with inmates or parolees, except to the extent that such financial dealings create no actual or potential conflict of interest, are available on the same terms to the general public, and have been approved in advance in writing by the CDCR. For the purposes of this paragraph, “affiliated company, person or business” means any company, business, corporation, nonprofit corporation, partnership, limited partnership, sole proprietorship, or other person or business entity of any kind which has any ownership or control interest whatsoever in the Contractor, or which is wholly or partially owned (more than 5% ownership) or controlled (any percentage) by the Contractor or by the Contractor’s owners, officers, principals, directors and/or shareholders, either directly or indirectly. “Affiliated companies, persons or businesses” include, but are not limited to, subsidiary, parent, or sister companies or corporations, and any company, corporation, nonprofit corporation, partnership, limited partnership, sole proprietorship, or other person or business entity of any kind that is wholly or partially owned or controlled, either directly or indirectly, by the Contractor or by the Contractor’s owners, officers, principals, directors and/or shareholders.

The Contractor shall have a continuing duty to disclose to the State, in writing, all interests and activities that create an actual or potential conflict of interest in performance of the Agreement.

The Contractor shall have a continuing duty to keep the State timely and fully apprised in writing of any material changes in the Contractor’s business structure and/or status. This includes any changes in business form, such as a change from sole proprietorship or partnership into a corporation or vice-versa; any changes in company ownership; any dissolution of the business; any change of the name of the business; any filing in bankruptcy; any revocation of corporate status by the Secretary of State; and any other material changes in the Contractor’s business status or structure that could affect the performance of the Contractor’s duties under the Agreement.

If the Contractor violates any provision of the above paragraphs, such action by the Contractor shall render this Agreement void.

Members of boards and commissions are exempt from this section if they do not receive payment other than payment for each meeting of the board or commission, payment for preparatory time and payment for per diem.

## **6. DISCLOSURE**

Neither the State nor any State employee will be liable to the Contractor or its staff for injuries inflicted by inmates or parolees of the State. The State agrees to disclose to the Contractor any statement(s) known to State staff made by any inmate or parolee which indicates violence may result in any specific situation, and the same responsibility will be shared by the Contractor in disclosing such statement(s) to the State.

**7. SECURITY CLEARANCE/FINGERPRINTING**

The State reserves the right to conduct fingerprinting and/or security clearance through the California Department of Justice, Bureau of Criminal Identification and Information (BCII), prior to award and at any time during the term of the Agreement, in order to permit Contractor and/or Contractor's employees' access to State premises. The State further reserves the right to terminate the Agreement should a threat to security be determined.

**8. NOTIFICATION OF PERSONNEL CHANGES**

Contractor must notify the State, in writing, of any changes of those personnel allowed access to State premises for the purpose of providing services under this Agreement. In addition, Contractor must recover and return any State-issued identification card provided to Contractor's employee(s) upon their departure or termination.

**9. NON ELIGIBLE ALIEN CERTIFICATION**

By signing this Agreement Contractor certifies, under penalty of perjury, that Contractor, if a sole proprietor, is not a nonqualified alien as that term is defined by the United States Code (U.S.C.) Title 8, Chapter 14, Section 1621 et seq.

***The following provisions apply to services provided on departmental and/or institution grounds:***

**10. BLOODBORNE PATHOGENS**

Provider shall adhere to California Division of Occupational Safety and Health (CAL-OSHA) regulations and guidelines pertaining to bloodborne pathogens.

**11. TUBERCULOSIS (TB) TESTING**

In the event that the services required under this Agreement will be performed within a CDCR institution/parole office/community based program, prior to the performance of contracted duties, Contractors and their employees who are assigned to work with inmates/parolees on a regular basis shall be required to be examined or tested or medically evaluated for TB in an infectious or contagious stage, and at least once a year thereafter or more often as directed by CDCR. Regular contact is defined as having contact with inmates/parolees in confined quarters more than once a week.

Contractors and their employees shall be required to furnish to CDCR, at no cost to CDCR, a form CDCR 7336, "Employee Tuberculin Skin Test (TST) and Evaluation," prior to assuming their contracted duties and annually thereafter, showing that the Contractor and their employees have been examined and found free of TB in an infectious stage. The form CDCR 7336 will be provided by CDCR upon Contractor's request.

**12. PRIMARY LAWS, RULES, AND REGULATIONS REGARDING CONDUCT AND ASSOCIATION WITH STATE PRISON INMATES**

Individuals who are not employees of the California Department of Corrections and Rehabilitation (CDCR), but who are working in and around inmates who are incarcerated within California's institutions/facilities or camps, are to be apprised of the laws, rules and regulations governing conduct in associating with prison inmates. The following is a summation of pertinent information when non-departmental employees come in contact with prison inmates.

By signing this contract, the Contractor agrees that if the provisions of the contract require the Contractor to enter an institution/facility or camp, the Contractor and any employee(s) and/or subcontractor(s) shall be made aware of and shall abide by the following laws, rules and regulations governing conduct in associating with prison inmates:

- a. Persons who are not employed by CDCR, but are engaged in work at any institution/facility or camp must observe and abide by all laws, rules and regulations governing the conduct of their behavior in associating with prison inmates. Failure to comply with these guidelines may lead to expulsion from CDCR institutions/facilities or camps.

*SOURCE: California Penal Code (PC) Sections 5054 and 5058; California Code of Regulations (CCR), Title 15, Sections 3285 and 3415*

- b. CDCR does not recognize hostages for bargaining purposes. CDCR has a “NO HOSTAGE” policy and all prison inmates, visitors, and employees shall be made aware of this.

*SOURCE: PC Sections 5054 and 5058; CCR, Title 15, Section 3304*

- c. All persons entering onto institution/facility or camp grounds consent to search of their person, property or vehicle at any time. Refusal by individuals to submit to a search of their person, property, or vehicle may be cause for denial of access to the premises.

*SOURCE: PC Sections 2601, 5054 and 5058; CCR, Title 15, Sections 3173, 3177, and 3288*

- d. Persons normally permitted to enter an institution/facility or camp may be barred, for cause, by the CDCR Director, Warden, and/or Regional Parole Administrator.

*SOURCE: PC Sections 5054 and 5058; CCR, Title 15, Section 3176 (a)*

- e. It is illegal for an individual who has been previously convicted of a felony offense to enter into CDCR institutions/facilities or camps without the prior approval of the Warden. It is also illegal for an individual to enter onto these premises for unauthorized purposes or to refuse to leave said premises when requested to do so. Failure to comply with this provision could lead to prosecution.

*SOURCE: PC Sections 602, 4570.5 and 4571; CCR, Title 15, Sections 3173 and 3289*

- f. Encouraging and/or assisting prison inmates to escape are a crime. It is illegal to bring firearms, deadly weapons, explosives, tear gas, drugs or drug paraphernalia on CDCR institutions/facilities or camp premises. It is illegal to give prison inmates firearms, explosives, alcoholic beverages, narcotics, or any drug or drug paraphernalia, including cocaine or marijuana.

*SOURCE: PC Sections 2772, 2790, 4533, 4535, 4550, 4573, 4573.5, 4573.6 and 4574*

- g. It is illegal to give or take letters from inmates without the authorization of the Warden. It is also illegal to give or receive any type of gift and/or gratuities from prison inmates.

*SOURCE: PC Sections 2540, 2541 and 4570; CCR, Title 15, Sections 3010, 3399, 3401, 3424 and 3425*

- h. In an emergency situation the visiting program and other program activities may be suspended.

*SOURCE: PC Section 2601; CCR, Title 15, Section 3383*

- i. For security reasons, visitors must not wear clothing that in any way resembles state issued prison inmate clothing (blue denim shirts, blue denim pants).

*SOURCE: CCR, Title 15, Section 3171 (b) (3)*

- j. Interviews with SPECIFIC INMATES are not permitted. Conspiring with an inmate to circumvent policy and/or regulations constitutes a rule violation that may result in appropriate legal action.

*SOURCE: CCR, Title 15, Sections 3261.5, 3315 (3) (W), and 3177*

**13. CLOTHING RESTRICTIONS**

While on institution grounds, Contractor and all its agents, employees, and/or representatives shall be professionally and appropriately dressed in clothing distinct from that worn by inmates at the institution. Specifically, blue denim pants and blue chambray shirts, orange/red/yellow/white/chartreuse jumpsuits and/or yellow rainwear shall not be worn onto institution grounds, as this is inmate attire. The Contractor should contact the institution regarding clothing restrictions prior to requiring access to the institution to assure the Contractor and their employees are in compliance.

**14. TOBACCO-FREE ENVIRONMENT**

Pursuant to Penal Code Section 5030.1, the use of tobacco products by any person on the grounds of any institution or facility under the jurisdiction of the Department of Corrections and Rehabilitation is prohibited.

**15. SECURITY REGULATIONS**

- a. Unless otherwise directed by the entrance gate officer and/or Contract Manager, the Contractor, Contractor's employees and subcontractors shall enter the institution through the main entrance gate and park private and nonessential vehicles in the designated visitor's parking lot. Contractor, Contractor's employees and subcontractors shall remove the keys from the ignition when outside the vehicle and all unattended vehicles shall be locked and secured while on institution grounds.
- b. Any State- and Contractor-owned equipment used by the Contractor for the provision of contract services, shall be rendered temporarily inoperative by the Contractor when not in use, by locking or other means unless specified otherwise.
- c. In order to maintain institution safety and security, periodic fire prevention inspections and site searches may become necessary and Contractor must furnish keys to institutional authorities to access all locked areas on the worksite. The State shall in no way be responsible for Contractor's loss due to fire.
- d. Due to security procedures, the Contractor, Contractor's employees and subcontractors may be delayed at the institution vehicle/pedestrian gates and sally ports. Any loss of time checking in and out of the institution gates and sally ports shall be borne by the Contractor.
- e. Contractor, Contractor's employees and subcontractors shall observe all security rules and regulations and comply with all instructions given by institutional authorities.
- f. Electronic and communicative devices such as pagers, cell phones and cameras/microcameras are not permitted on institution grounds.
- g. Contractor, Contractor's employees and subcontractors shall not cause undue interference with the operations of the institution.
- h. No picketing is allowed on State property.

**16. GATE CLEARANCE**

Contractor and Contractor's employee(s) and/or subcontractors(s) must be cleared prior to providing services. The Contractor will be required to complete a Request for Gate Clearance for all persons entering the facility a minimum of ten (10) working days prior to commencement of service. The Request for Gate Clearance must include the person's name, social security number, valid state driver's license number or state identification card number and date of birth. Information shall be submitted to the Contract Liaison or his/her designee. CDCR uses the Request for Gate Clearance to run a California Law Enforcement Telecommunications System (CLETS) check. The check will include a California Department of Motor Vehicles check, Wants and Warrants check, and Criminal History check.

Gate clearance may be denied for the following reasons: Individual's presence in the institution presents a serious threat to security, individual has been charged with a serious crime committed on institution property, inadequate information is available to establish positive identity of prospective individual, and/or individual has deliberately falsified his/her identity.

All persons entering the facilities must have a valid state driver's license or photo identification card on their person.

#### **17. BUSINESS ASSOCIATE AGREEMENT**

The awarded Contractor will be required meet provisions of the Health Insurance Portability and Accountability Act of 1996, Pub. L. No. 104-191 ("HIPAA") and the regulations promulgated thereunder. The Business Associate Agreement can be located at the link below:

[http://www.cdcr.ca.gov/Divisions\\_Boards/Plata/HIPPA\\_ExhibitG.pdf](http://www.cdcr.ca.gov/Divisions_Boards/Plata/HIPPA_ExhibitG.pdf).

#### **18. ELECTRONIC WASTE RECYCLING**

The Provider certifies that it complies with the requirements of the Electronic Waste Recycling Act of 2003, Chapter 8.5, Part 3 of division 30, commencing with Section 42460 of the Public Resources Code, relating to hazardous and solid waste. Provider shall maintain documentation and provide reasonable access to its records and documents that evidence compliance. CCHCS electronic data stored upon any Provider device must be returned to the CCHCS immediately and the vendor must certify that CCHCS data is either removed from the Providers devices by degaussing or shredding per National Institute of Standards and Technology (NIST) Special Publication Series 800-88 and National Industrial Security Program (NISP) Operating Manual (DOD 5220.22-M) and Clearing and Sanitization Matrix (C&SM) based on NSA/CSS Policy Manual 9-12, "Storage Device Declassification Manual".

**ATTACHMENT A  
DELIVERABLE EXPECTATIONS DOCUMENT (DED)**

<b>Contract Information:</b>		
Vendor:	Contract #:	Project:
Deliverable #:	Deliverable Name:	
Deliverable Description from SOW:		

<b>Deliverable Expectations:</b>	
<b>Specific Component of Deliverable:</b>	<b>Acceptance Criteria:</b>

<b>Required Signatures:</b>	
<b>The above Deliverable Expectations have been agreed upon by:</b>	
<b>CCHCS Representative:</b>	
_____	_____
Name, Title	Date
<b>Contractor:</b>	
_____	_____
Name, Title	Date

**ATTACHMENT B  
DELIVERABLE ACCEPTANCE DOCUMENT (DAD)**

<b>Contract Information</b>		
Vendor:	Contract #:	Project:
Deliverable #:	Deliverable Name:	
State Sponsor:	Date Submitted:	
<b>Deliverable Expectations Document:</b>		
Date Approved:	State Approver:	
<b>Deliverable Acceptance Status:</b>		
<input type="checkbox"/> Accept that the Deliverable is in conformance with the approved DED		
<input type="checkbox"/> Accept with changes noted		
<input type="checkbox"/> Reject		
Date Accepted/Rejected:		
<b>Reason for Rejection, if Applicable:</b>		
<b>Remarks:</b>		
<b>Required Signatures:</b>		
<b>CCHCS Representative:</b>		
_____	_____	
Name, Title	Date	
<b>Contractor:</b>		
_____	_____	
Name, Title	Date	

**ATTACHMENT C  
CONTRACTOR CONFIDENTIALITY STATEMENT**

I understand that Consultant can be categorized as a public official for purposes of adherence to Conflict of Interest laws and the filing of a Statement of Economic Interests (Form 700). I certify that I have read and understand Conflict of Interest provisions identified in the online presentation “Ethics Orientation for State Officials” sponsored by the State of California Department of Justice, Office of the Attorney General and the Fair Political Practices Commission located at <http://caag.state.ca.us/ethics/index.htm>.

I certify that I have no personal or financial interest and no present or past employment or activity which would be incompatible with my participation in any activity related to the planning or procurement processes for the EHRS Integration Project (RFO #12-050-ITS). For the duration of my involvement in this Project, I agree not to accept any gift, benefit, gratuity or consideration, or begin a personal or financial interest in a party who is offering, or associated with a business, on the Project.

I certify that I will keep confidential and secure and will not copy, give or otherwise disclose to any other party who has not signed a copy of this confidentiality Agreement, all information concerning the planning, processes, development or procedures of the Project and all bids, proposals, correspondence, etc. which I learn in the course of my duties on the Project. I understand that the information to be kept confidential includes, but is not limited to, specifications, administrative requirements, terms and conditions, any aspect of any supplier’s response or potential response to the solicitation, and includes concepts and discussions as well as written or electronic materials. I understand that if I leave this Project before it ends, I must still keep all Project information confidential. I understand that following completion of this project that I must still maintain confidentiality should the Project and/or my organization be subject to follow-on contracting criteria per Public Contract Code §10365.5. I agree to follow any instructions provided related to the Project regarding the confidentiality of Project information.

I fully understand that any unauthorized disclosure I make may be grounds for civil or criminal penalties and/or contract termination. I agree to advise CCHCS’ Chief Information Officer immediately in the event that I either learn or have reason to believe that any person who has access to Project confidential information has or intends to disclose that information in violation of this Agreement. I also agree that any questions or inquiries from bidders, potential bidders or third parties shall not be answered by me and that I will direct them to CCHCS’ Office of the Chief Information Officer.

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 Signature:

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 Date:

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 Printed Name:

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 Title:

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 Organization:

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 Telephone Number:

---

 Email Address:

**ATTACHMENT D  
NON-DISCLOSURE AGREEMENT**

I certify that I will hold in confidence all discussions, bids, proposals, correspondence, memoranda, working papers, procurement of goods and services, or any other information on any media, which has any bearing on or discloses any aspect of the EHRS Integration Project (the project). Based on my involvement with the project, where applicable, I certify that I have no personal or financial interest and no present employment or activity, which would be incompatible with my participation in the discussions, review and or participation in the procurement process for the project and related initiative(s)/procurement(s)/trainings thereof.

At all times during and after the process by which the California Correctional Health Care Services (CCHCS) and/or the California Department of Corrections and Rehabilitation (CDCR) procures goods and services to create the Project, CCHCS' and/or CDCR's employees, CCHCS' prospective bidders, and/or CCHCS and/or CDCR's vendors will keep confidential, and will not disclose to any third party or use, such confidential information, except in the course of their employment by or contractual relationship with the Department, and for the benefit of CDCR. The parties will protect CCHCS' and/or CDCR's confidential information using the same degree of care, but no less than a reasonable degree of care, as such party uses to protect his/her/its own confidential information. The parties will carefully restrict access to CCHCS' confidential information, and they may disclose it only to their employees, contractors, and/or other State agencies that have a need to know it and are bound by obligations of confidentiality.

I certify that I am fully able to provide fair and impartial consideration and contribution to all aspects of this project in which I am directly involved. I fully understand that any such disclosure by an employee of the State of California may be considered as a basis for disciplinary action.

\_\_\_\_\_  
Signature:

\_\_\_\_\_  
Date:

\_\_\_\_\_  
Printed Name:

\_\_\_\_\_  
Title:

\_\_\_\_\_  
Organization:

\_\_\_\_\_  
Telephone Number:

\_\_\_\_\_  
Email Address:

**ATTACHMENT E**  
**STATEMENT OF ECONOMIC INTERESTS (FORM 700)**

The Statement of Economic Interests (Form 700) can be located at the link below:

<http://www.fppc.ca.gov/forms/700-10-11/Form700-10-11.pdf>