



County of Los Angeles CHIEF EXECUTIVE OFFICE OPERATIONS CLUSTER

FESIA A. DAVENPORT
Chief Executive Officer

DATE: April 27, 2022
TIME: 2:00 p.m. – 4:00 p.m.
LOCATION: **TELECONFERENCE CALL-IN NUMBER: 1(323)776-6996**
TELECONFERENCE ID: 605696861#

To join via phone, dial 1(323)776-6996, then press 605696861#.

YOU CAN ALSO JOIN THIS MEETING BY CLICKING ON THE FOLLOWING LINK:

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**THIS MEETING WILL CONTINUE TO BE CONDUCTED VIRTUALLY TO ENSURE
THE SAFETY OF MEMBERS OF THE PUBLIC AND EMPLOYEES AS PERMITTED
UNDER STATE LAW**

AGENDA

Members of the Public may address the Operations Cluster on any agenda item after all Informational Items are presented.
Two (2) minutes are allowed for each item.

1. **Call to order – Kirk Shelton/Anthony Baker**

2. **INFORMATIONAL ITEM(S):**

A) Board Letter:

FIVE-YEAR LEASE PROBATION DEPARTMENT 5811 SOUTH SAN
PEDRO ST., LOS ANGELES
CEO/RE/PROBATION – Michael Navarro, Chief Program Specialist

B) Board Letter:

SEVEN-YEAR LEASE AMENDMENT DEPARTMENT OF PUBLIC
SOCIAL SERVICES 360 EAST MISSION BLVD., POMONA
CEO/RE/DPSS – Michael Navarro, Chief Program Specialist

CONTINUED ON PAGE 2

- C) Board Letter:
APPROVAL TO DELEGATE AUTHORITY TO AMEND AGREEMENT
H-705407 WITH CERNER CORPORATION ON A SOLE SOURCE
BASIS
DHS – Kevin Lynch, CIO;
Christopher Kinney, Contracts Section Manager; and
Lillian Anjargolian, Deputy County Counsel
- D) Board Letter:
REQUEST APPROVAL OF CONTRACT # 22-002 WITH THE CANTON
GROUP FOR ELECTION MANAGEMENT SYSTEM IMPLEMENTATION
AND SERVICES
RR/CC – Albert Navas, Assistant Registrar-Recorder/County Clerk
- E) Board Letter:
ISSUANCE AND SALE OF 2022-23 TAX AND REVENUE
ANTICIPATION NOTES (TRANS)
TTC – Keith Knox, Treasurer and Tax Collector;
Elizabeth Buenrostro Ginsberg, Chief Deputy Treasurer and Tax
Collector; and Daniel Wiles, Assistant Treasurer and Tax Collector

3. **PRESENTATION/DISCUSSION ITEMS:**

None available.

4. **Public Comment**
(2 minutes each speaker)

5. **Adjournment**

FUTURE AGENDA TOPICS

CALENDAR LOOKAHEAD:

None available.

BOARD LETTER/MEMO CLUSTER FACT SHEET

☒ Board Letter

☐ Board Memo

☐ Other

CLUSTER AGENDA REVIEW DATE	4/27/2022							
BOARD MEETING DATE	5/17/2022							
SUPERVISORIAL DISTRICT AFFECTED	<input type="checkbox"/> All <input type="checkbox"/> 1 st <input checked="" type="checkbox"/> 2 nd <input type="checkbox"/> 3 rd <input type="checkbox"/> 4 th <input type="checkbox"/> 5 th							
DEPARTMENT(S)	Probation Department							
SUBJECT	Approve a proposed 5-year lease for 16,237 square feet of office space and 88 parking spaces at 5811 South San Pedro Street, Los Angeles, CA 90011							
PROGRAM	Post-Release Supervised Person AB 109							
AUTHORIZES DELEGATED AUTHORITY TO DEPT	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No							
SOLE SOURCE CONTRACT	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please explain why: N/A							
DEADLINES/ TIME CONSTRAINTS	The existing leases have been on a month-to-month holdover with no holdover fee since June 2017 and January 2021.							
COST & FUNDING	<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;"> Total cost: \$3,056,000 over 5 year proposed lease term. </td><td style="width: 50%;"> Funding source: The rental costs will be funded 100 percent under a block grant received from the State of California that funds the State AB 109 program. </td></tr> <tr> <td colspan="2">TERMS (if applicable): 5-year term.</td></tr> <tr> <td colspan="2"> Explanation: Sufficient funding to cover the proposed rent for the first year of the proposed lease term is included in the Fiscal Year (FY) 2021-22 Rent Expense budget and will be billed back to Probation. Probation has sufficient funding in its FY 2021-22 Operating Budget to cover the proposed rent, parking, and utility costs for the first year. Beginning in FY 2022-23, ongoing funding for costs associated with the proposed lease will be part of the budget for the Probation. </td></tr> </table>		Total cost: \$3,056,000 over 5 year proposed lease term.	Funding source: The rental costs will be funded 100 percent under a block grant received from the State of California that funds the State AB 109 program.	TERMS (if applicable): 5-year term.		Explanation: Sufficient funding to cover the proposed rent for the first year of the proposed lease term is included in the Fiscal Year (FY) 2021-22 Rent Expense budget and will be billed back to Probation. Probation has sufficient funding in its FY 2021-22 Operating Budget to cover the proposed rent, parking, and utility costs for the first year. Beginning in FY 2022-23, ongoing funding for costs associated with the proposed lease will be part of the budget for the Probation.	
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PURPOSE OF REQUEST	Approval of the recommended actions will authorize and adequately provide the necessary office space for Probation.							
BACKGROUND (include internal/external issues that may exist including any related motions)	<p>The proposed lease will provide Probation the use of approximately 16,237 square feet of office space and 88 parking spaces for the Probation AB 109 office.</p> <p>The Landlord has provided a notice to terminate the lease. After the Landlord provided the notice, the Landlord agreed to enter into a new lease with the County subject to Board approval.</p>							
EQUITY INDEX OR LENS WAS UTILIZED	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please explain how:							
SUPPORTS ONE OF THE NINE BOARD PRIORITIES	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please state which one(s) and explain how:							
DEPARTMENTAL CONTACTS	Michael Navarro CEO Real Estate Division (213) 974-4364 mnavarro@ceo.lacounty.gov							



County of Los Angeles CHIEF EXECUTIVE OFFICE

Kenneth Hahn Hall of Administration
500 West Temple Street, Room 713, Los Angeles, California 90012
(213) 974-1101
<http://ceo.lacounty.gov>

FESIA A. DAVENPORT
Chief Executive Officer

Board of Supervisors
HILDA L. SOLIS
First District

HOLLY J. MITCHELL
Second District

SHEILA KUEHL
Third District

JANICE HAHN
Fourth District

KATHRYN BARGER
Fifth District

May 17, 2022

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, CA 90012

Dear Supervisors:

**FIVE-YEAR LEASE
PROBATION DEPARTMENT
5811 SOUTH SAN PEDRO STREET, LOS ANGELES
(SECOND DISTRICT) (3 VOTES)**

SUBJECT

Approval of a proposed five-year lease to replace two existing leases to provide the Probation Department (Probation) continued use of 16,237 square feet of office space and 88 parking spaces for the Probation, Post-Release Supervised Persons program.

IT IS RECOMMENDED THAT THE BOARD:

1. Find that the proposed lease is exempt from the California Environmental Quality Act (CEQA), for the reasons stated in this Board letter and in the record of the project.
2. Authorize the Chief Executive Officer, or her designee, to execute the proposed lease with 5811, LLC a California limited liability company (Landlord), for approximately 16,237 square feet of office space located at 5811 South San Pedro Street, Los Angeles, CA 90011 and 88 parking spaces (Property), to be occupied by Probation. The estimated maximum first year rental cost is \$448,142 plus parking costs of \$89,760, and utility costs of \$40,918 to be paid through the Internal Services Department (ISD), for a total first year estimated cost of \$578,820. The estimated total lease cost is \$3,056,000 over the five-year term. The rental and related costs will be funded 100 percent under a block grant received from the State of California that funds the State Assembly Bill (AB)109 program.

3. Authorize and direct the Chief Executive Officer, or her designee, to execute any other ancillary documentation necessary to effectuate the proposed lease, and to take actions necessary and appropriate to implement the proposed lease, including, without limitation, exercising early termination rights.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

Probation's Post Release Supervised Persons program provides orientation, assessment, and supervision of post release persons under AB109. This is a direct service program in conjunction with the Departments of Mental Health, Public Social Services and Public Health. This building is a public office and will be occupied by 75 employees. Probation has occupied the Property since 2012.

There are three Probation leases at this Property. Two of the leases expired on June 30, 2017 and January 31, 2021 respectively, and are on a month-to-month holdover basis with no increase in base rent during the holdover periods. The proposed lease will consolidate the two leases into one lease and add an additional 1,450 square feet of adjacent space.

The third Probation lease of 7,650 square feet at this Property is currently on a month to-month holdover basis with no holdover fee and will be terminated by May 12, 2022. This existing lease is for the Adult Day Reporting Center program funded by Senate Bill 678. This program will be relocating to the Martin Luther King Behavioral Health Center (MLK-BHC) at 12021 Wilmington Avenue, Los Angeles. After this relocation, Probation's space will be reduced from 22,750 square feet to 16,237 square feet.

The Landlord served the County with a 90-day notice to terminate the leases on July 26, 2021, however, thereafter the Landlord agreed to enter into a new lease with the County subject to Board approval. Probation has requested that the lease be renewed with an early termination right so it may continue to provide services at this location until a more suitable space for relocation can be identified, if possible. The proposed lease will provide time for a search of alternative space.

Teleworking was considered for the proposed lease, however during the pandemic, the department realized that teleworking for this program is not optimal. The staff needs to be on-site to access the California Justice Information Services databases, maintain and house confidential files, and meet with probationers. The program functions best with regular face-to-face contact in the office, and field contacts in the community. The office is near public transportation including Metro bus lines.

Approval of the recommended actions will find that the proposed lease is exempt from CEQA and will allow Probation to continue to operate at this location.

Implementation of Strategic Plan Goals

The Countywide Strategic Plan Goal 1 - Make Investments That Transform Lives - provides that we will aggressively address society's most complicated social, health, and public safety challenges. We want to be a highly responsive organization capable of responding to complex societal challenges – one person at a time.

The proposed lease is also consistent with the Strategic Asset Management Plan Goal 2 – Strengthen Connection between Service Priorities and Asset Decisions; and Key Objective 4 – Guide Strategic Decision-Making.

The proposed lease supports the above goals and objections by continuing to provide a centrally located facility that provides proper accommodations for office space with adequate space for employees, collaborators, and clients.

The proposed lease conforms with the Asset Management Principles as outlined in Enclosure A.

FISCAL IMPACT/FINANCING

The aggregate cost associated with the proposed lease over the entire term is \$3,056,000 as shown on Enclosure B-1. The rental and related costs will be funded 100 percent under a block grant received from the State of California that funds the AB 109 program.

Sufficient funding to cover the proposed rent for the first year of the proposed lease term is included in the Fiscal Year (FY) 2021-22 Rent Expense budget and will be billed back to Probation. Probation has sufficient funding in its FY 2021-22 Operating Budget to cover the proposed rent, parking, and utility costs for the first year. Beginning in FY 2022-23, ongoing funding for costs associated with the proposed lease will be part of the budget for Probation.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

In addition to the terms previously stated, the proposed lease also contains the following provisions:

- Upon commencement of the proposed lease, the annual rental rate will increase from \$25.59 to \$27.60 per square foot, per year. However, once the Adult Day Reporting Center program is relocated to the County-owned MLK-BHC, the total base rent that Probation will pay to this landlord will decrease from \$582,264 to \$448,142 per annum. Base rent is subject to annual increases based on the Consumer Price Index (CPI) and capped at 3 percent per annum.
- The Landlord is responsible for the operating and maintenance cost of the building, and the County is responsible for electrical costs.

- The current annual parking rate will increase from \$75 per parking space to \$85 per parking space and will remain at this rate for the entire term of the proposed lease. The proposed lease includes 88 parking spaces, with 48 on-site parking spaces and 40 off-site parking spaces at 221 East 58th Street, Los Angeles. The 88 parking spaces will cost \$89,760 per annum.
- The estimated \$40,918 annual cost of electricity is subject to change in utility rate, usage, and ISD overhead cost.
- A comparison of the existing lease and the proposed lease terms are shown on Enclosure B-2.
- A five-year term with no options to extend the term.
- The County has the right to terminate the lease at any time at or after 36 months following the Commencement Date with 90 days' prior written notice to the Landlord. There is no termination fee associated with the right to terminate.
- Holdover at the proposed lease expiration is permitted on the same terms and conditions for the first six months, thereafter, the base rent shall increase by 25 percent. Rent during the holdover period will still be subject to annual CPI increases capped at 3 percent. The holdover tenancy is terminable only upon 90 days' prior written notice from Landlord, or 30 days' written notice from the County.
- The proposed lease will be effective upon the first day of the calendar month following approval of this lease by the Board and full execution of the proposed lease.

The Chief Executive Office (CEO) conducted a market search of available office space for lease but was unable to identify any sites that could accommodate this requirement more economically. Based upon a review of available industry data, it has been established that the annual base rental range for a comparable lease in the area is between \$27.86 and \$31.80 per square foot, per year. The base annual rental rate of \$27.60 per square foot, per year, for the proposed lease represents a rate that is below the market range for the area. Further, relocation to a new building would require costly new tenant improvements and disrupt services. We recommend the proposed facility as the most suitable to meet the County's space requirements.

There are no co-working office space companies within this program's service area to accommodate the required space needs. Co-working facilities are typically for general office use, with shared common areas, and such use is not compatible with housing Probation due to necessary released probationer visitations.

Enclosure C shows County-owned or leased facilities within the surveyed area, and there are no suitable County-owned or leased facilities available for this space requirement.

The Department of Public Works has inspected this facility and found it suitable for the County's occupancy. The required notification letter to the City of Los Angeles has been sent in accordance with Government Code section 25351.

County Counsel has reviewed the proposed lease and approved it as to form. The proposed lease is authorized by Government Code section 25351, which allows the County to enter into leases and agreements for the leasing of buildings, as necessary, to carry out the work of the County government.

The proposed lease will continue to provide an appropriate location for the program, which is consistent with the County's Facility Location Policy, adopted by the Board on July 24, 2012, as outlined in Enclosure D.

ENVIRONMENTAL DOCUMENTATION

This project is exempt from CEQA, as specified in Class 1 of the Environmental Document Reporting Procedures and Guidelines adopted by the Board, and section 15301 of the State CEQA Guidelines (Existing Facilities). The proposed lease, which involves the leasing of existing office space within an existing building, with no expansion of the existing building, is within a class of projects that have been determined not to have a significant effect on the environment and meets the criteria set forth in section 15301 of the State CEQA Guidelines (Guidelines), and Class 1 of the County's Environmental Document Reporting Procedures and Guidelines, Appendix G. In addition, based on the proposed project records, it will comply with all applicable regulations, and there are no cumulative impacts, unusual circumstances, damage to scenic highways, listing on hazardous waste site lists compiled, pursuant to Government Code section 65962.5, or indications that it may cause a substantial adverse change in the significance of a historical resource that would make the exemption inapplicable.

Upon the Board's approval of the recommended actions, a Notice of Exemption will be filed with the Registrar-Recorder/County Clerk in accordance with section 21152 of the California Public Resources Code.

IMPACT ON CURRENT SERVICES (OR PROJECTS)

The proposed lease will adequately provide the necessary office space and parking for this County requirement. Probation concurs with the proposed lease and recommendations.

The Honorable Board of Supervisors
May 17, 2022
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CONCLUSION

It is requested that the Executive Office of the Board of Supervisors, return one certified copy of the Minute Order and an adopted stamped copy of this Board letter to the CEO, Real Estate Division at 320 West Temple Street, 7th Floor, Los Angeles, CA 90012, for further processing.

Respectfully submitted,

FESIA A. DAVENPORT
Chief Executive Officer

FAD:JMN:JTC
JLC:MN:CB:MT:gw

Enclosures

c: Executive Office, Board of Supervisors
County Counsel
Auditor-Controller
Probation

PROBATION DEPARTMENT
5811 SOUTH SAN PEDRO STREET, LOS ANGELES
Asset Management Principles Compliance Form¹

1.	<u>Occupancy</u>		Yes	No	N/A
	A	Does lease consolidate administrative functions?			X
	B	Does lease co-locate with other functions to better serve clients?	X		
	C	Does this lease centralize business support functions?			X
	D	Does this lease meet the guideline of 200 sq. ft. of space per person? ² No, due to lobby and conference room, the ratio is approximately 216.49 SF per person based on 75 people.		X	
	E	Does lease meet the 4/1000 sq. ft. parking ratio guideline? ² No, the parking ratio exceeds guidelines at 5.42/1,000 sq. ft. The lease includes 88 parking spaces and exceeds the guideline due to the need to include parking for 9 county cars.		X	
	F	Does public parking and mass-transit exist to facilitate employee, client and visitor access to the proposed lease location?	X		
2.	<u>Capital</u>				
	A	Is it a substantial net County cost (NCC) program? The rental costs will be funded 100 percent under a block grant received from the State of California that funds the AB109 program.		X	
	B	Is this a long-term County program?	X		
	C	If yes to 2 A or B; is it a capital lease or an operating lease with an option to buy?		X	
	D	If no, are there any suitable County-owned facilities available?		X	
	E	If yes, why is lease being recommended over occupancy in County-owned space?			X
	F	Is Building Description Report attached as Enclosure C?	X		
	G	Was build-to-suit or capital project considered? The County already occupies the facility and a capital project was not considered.		X	
3.	<u>Portfolio Management</u>				
	A	Did department utilize CEO Space Request Evaluation (SRE)?	X		
	B	Was the space need justified?	X		
	C	If a renewal lease, was co-location with other County departments considered?	X		
	D	Why was this program not co-located with other County departments?			X
		1. ____ The program clientele requires a "stand alone" facility.			
		2. ____ No suitable County occupied properties in project area.			
		3. ____ No County-owned facilities available for the project.			
		4. ____ Could not get City clearance or approval.			
		5. ____ The Program is being co-located.			
	E	Is lease a full-service lease? This is a modified gross lease whereby the County is responsible for electricity.		X	
	F	Has growth projection been considered in space request?	X		
G	¹ Has the Dept. of Public Works completed seismic review/approval?	X			
¹ As approved by the Board of Supervisors 11/17/98					

**COMPARISON OF THE PROPOSED LEASE TO EXISTING LEASES
PROBATION DEPARTMENT**

	Existing Leases: 5811 South San Pedro Street, Los Angeles	Proposed Lease 5811 South San Pedro Street, Los Angeles	Change
Area (Square Feet)	22,750 SF ⁽¹⁾	16,237 SF ⁽²⁾	-6,513
Term (years)	5 years	5 years	None
Annual Base Rent ⁽³⁾	\$582,264 ⁽⁴⁾ \$25.59 RSF annually	\$448,142 \$27.60 RSF annually	-134,122 +2.01 RSF annually
Annual Parking Cost	\$72,900 ⁽⁵⁾	\$89,760 ⁽⁶⁾	+16,860
Utilities Paid Through ISD	\$56,581	\$40,918	-15,663
Rental Rate Annual Adjustment	None	Annual CPI adjustments capped at 3 percent.	3 percent

- ⁽¹⁾ Probation currently leases three separate spaces containing approximately 12,000, 7,650, and 3,100 square feet respectively for a total of 22,750 square feet. Space will be reduced by a portion that is relocating to MLK-BHC.
- ⁽²⁾ Probation proposes to continue leasing 12,000 square feet, as well as 2,787 square feet (a portion of the current 3,100). An additional 1,450 square feet of adjacent space will also be included in the proposed lease. All will be consolidated into one new lease.
- ⁽³⁾ The propose lease is a modified gross lease whereby the Landlord is paying operating and maintenance costs related to the Property. The County is responsible for electrical costs subject to annual rate increases.
- ⁽⁴⁾ Annual Base Rent for Lease #77988 is \$24,000 per month; for Lease #76650 is \$18,942 per month; and for Lease #77751 is \$5,580 per year month.
- ⁽⁵⁾ Annual Parking Cost for Lease #77988 is \$75 per space per month for 81 total spaces, for Lease #76650 is at no cost for 23 parking spaces and for Lease #77751 is at no cost for 16 parking spaces. The total number of existing parking spaces is 120.
- ⁽⁶⁾ Annual Parking Cost is \$85 per space per month for the proposed 88 total parking spaces. The parking cost increased by \$10 per space per month and the number of County paid parking spaces increased by 7. The total number of parking spaces will be reduced from 120 to 88 spaces due to the reduction of square footage.

OVERVIEW OF THE PROPOSED BUDGETED LEASE AND RELATED COSTS

**Probation Department
5811 San Pedro Street, Los Angeles**

Basic Lease Assumptions

Leased Area (sq.ft.)	16,237	
Term (months)	60	
Annual Rent Adjustment	3.00%	
Base Rent	Cost Per RSF Per Month	Cost Per RSF Per Year
	\$2.30	\$27.60
Parking (88 Parking Spaces)	Cost Per Space Per Month	Cost Per Space Per Year
	\$85	\$1,020

	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	Total 5 Year Rental Costs
Annual Base Rent Costs ¹	448,142	461,586	475,433	489,696	504,387	2,380,000
Parking ²	89,760	89,760	89,760	89,760	89,760	449,000
Total Paid to Landlord	537,902	551,346	565,193	579,456	594,147	2,829,000
Utilities Paid through ISD ³	40,918	42,964	45,112	47,367	49,736	227,000
Total Annual Lease Costs	578,820	594,310	610,305	626,823	643,883	3,056,000

Footnotes

¹ Base rent includes CPI increases capped at 3 percent.

² Parking cost includes a monthly fee of \$85 per parking space.

³ Utility costs include a monthly fee of \$.21 per square foot with 5 percent increases per annum.

*Calculation note: All numbers are rounded up to ensure sufficient funds available to pay the specified expense.

**PROBATION DEPARTMENT
SPACE SEARCH – 5 MILE RADIUS FROM 5811 SOUTH SAN PEDRO STREET, LOS
ANGELES**

Property ID	Name	Address	Ownership Type	Property Use	Gross Sq Ft	Vacant
A643	South L.A. County Administration Building	8300 S. Vermont Ave. Los Angeles, CA 90044	Leased	Multiple Use Building – Office	210,000	None
Y150	Exposition Park Building & Parking Structure	1011 W Browning Blvd Los Angeles 90037, 3965 S Vermont Ave Los Angeles 90037	Owned	Multiple Use Building – Office	66,484	None
C740	DPSS – Florence AP District Office	1740 E Gage Ave. Los Angeles 90001	Owned	Multiple Use Building – Office	60,000	None
C741	DPSS – Food Stamps/Fiscal Services Office	6367 S Holmes Ave. Los Angeles 90001	Owned	Multiple Use Building – Office	5,220	None
Y264	Probation – Kenyon Justice Center Office	7672 S Central Ave. Los Angeles 90001	Owned	Multiple Use Building – Office	4,505	None

FACILITY LOCATION POLICY ANALYSIS

Proposed lease: Five-year lease for Probation – 5811 South San Pedro Street, Los Angeles, – Second District.

A. Establish Service Function Category – Probation Department, Post-Release Supervised Persons AB109.

B. Determination of the Service Area – The existing office space has been occupied since 2012. The proposed term will provide Probation with continued use of 16,237 square feet of office space, and 88 parking spaces.

C. Apply Location Selection Criteria to Service Area Data

- Need for proximity to service area and population: This location meets the needs of Probation and remains in an appropriate area.
- Need for proximity to existing County facilities: N/A
- Need for proximity to Los Angeles Civic Center: N/A
- Economic Development Potential: N/A
- Proximity to public transportation: The location is adequately served by local transit services, i.e., by various public transportation routes, including Metro bus lines.
- Availability of affordable housing for County employees: The surrounding area provides for affordable housing and rental opportunities.
- Use of historic buildings: N/A
- Availability and compatibility of existing buildings: There are no alternative buildings available to meet the Department's needs.
- Compatibility with local land use plans: The City of Los Angeles has been notified of the proposed County use which is consistent with its use and zoning for office space at this location.
- Estimated acquisition/construction and ongoing operational costs: The estimated aggregate cost associated with the proposed lease over the entire term is \$3,056,000.

D. Analyze results and identify location alternatives

The CEO conducted a market search of available office space for lease but was unable to identify any sites that could accommodate this requirement more economically. Based upon a review of available industry data, it has been established that the annual base rental range for a comparable lease in the area is between \$27.86 and \$31.80 per square foot, per year. The base annual rental rate of \$27.60 per square foot, per year, for the proposed lease represents a rate that is below the market range for the area. Further, relocation to a new building would require costly new tenant improvements and disrupt services. We recommend the proposed facility as the most suitable to meet the County's space requirements.

E. Determine benefits and drawbacks of each alternative based upon functional needs, service area, cost, and other Location Selection Criteria

The proposed lease will provide adequate and efficient office space for Probation employees consistent with the County's Facility Location Policy, adopted by the Board on July 24, 2012. There are no available buildings in the area that meet the Department's requirements.

**COUNTY OF LOS ANGELES
CHIEF EXECUTIVE OFFICE**

LEASE AGREEMENT

COUNTY OF LOS ANGELES - Tenant

5811, LLC - Landlord

236 EAST 58TH STREET

AKA: 5811 SAN PEDRO STREET

LOS ANGELES, CALIFORNIA

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EXHIBITS

- Exhibit A – Floor Plan of the Premises
- Exhibit B – Commencement Date Memorandum and Confirmation of Lease Terms
- Exhibit C – Heating, Ventilation, and Air Conditioning Standards
- Exhibit D – Cleaning and Maintenance Schedule
- Exhibit E – Subordination, Non-disturbance and Attornment Agreement
- Exhibit F – Tenant Estoppel Certificate
- Exhibit G – Community Business Enterprises Form
- Exhibit H – Memorandum of Lease Terms

COUNTY OF LOS ANGELES
CHIEF EXECUTIVE OFFICE

LEASE AGREEMENT

This LEASE AGREEMENT ("Lease") is entered into as of the _____ day of _____, 2022 between 5811, LLC, a California limited liability company ("Landlord"), and COUNTY OF LOS ANGELES, a body corporate and politic ("Tenant" or "County").

Landlord and Tenant agree:

1. BASIC LEASE INFORMATION

1.1 Terms

The following terms as used herein shall have the meanings provided in this Section 1, unless otherwise specifically modified by provisions of this Lease:

(a) Landlord's Address for Notices:	5811, LLC 333 South Central Avenue, 2nd Floor Los Angeles, California 90013 Email: steve.lee@steleeind.com
(b) Tenant's Address for Notices:	County of Los Angeles Chief Executive Office - Real Estate Division 320 West Temple Street, 7th Floor Los Angeles, CA 90012 Attention: Director of Real Estate With a copy to: County of Los Angeles Office of the County Counsel 648 Kenneth Hahn Hall of Administration 500 West Temple Street, Suite 648 Los Angeles, CA 90012-2713 Attention: Property Division
(c) Premises:	Approximately 16,237 rentable square feet in the Building (defined below), as shown on <u>Exhibit A</u> attached hereto.
(d) Building:	The Building located at 5811 San Pedro Street, Los Angeles, California, which is currently assessed by the County Assessor as APN 5101-021-001 (collectively, the "Property");
(e) Term:	Five years, commencing upon the first day of the first calendar month following approval of

	<p>this Lease by the Board of Supervisors and full execution of the Lease by both parties (the "Commencement Date"), and terminating at midnight on the day before the fifth annual anniversary of the Commencement Date (the "Termination Date"), subject to earlier termination by Tenant as provided herein. The phrase "Term of this Lease" or "the Term hereof" as used in this Lease, or words of similar import, shall refer to the initial Term of this Lease together with any additional Extension Term, if any, for which an option has been validly exercised.</p>
(f) Estimated Commencement Date:	June 1, 2022
(g) Irrevocable Offer Expiration Date: (see Section 33)	June 1, 2022
(h) Base Rent:	<p>\$2.30 per rentable square foot per month</p> <p>\$37,345.10 per month</p> <p>\$448,141.20 per year</p>
(i) Parking Rent:	<p>\$7,480 per month (which is based upon a rental rate of \$85.00 per parking space and 88 parking spaces)</p> <p>\$89,760 per year</p>
(j) Early Termination (see Section 4.4)	Ninety (90) days' notice on or after the 36th month of the lease
(k) Rentable Square Feet in the Premises:	16,237 rentable square feet
(l) Initial Departmental Use:	Probation Post Release Supervised Persons, subject to Section 6.
(m) Parking Spaces:	88 exclusive reserved spaces, 48 in the adjacent parking lot and 40 across the street at 221 East 58 th Street, Los Angeles
(n) Tenant's Hours of Operation:	6 a.m. to 8 p.m. Monday through Friday, and 9 a.m. to 2 p.m. on Saturdays

(o) Asbestos Report:	Not Applicable
(p) Seismic Report	A report dated April 9, 2008 prepared by the Department of Public Works.
(q) Disabled Access Survey	Not Applicable
1.2 <u>Exhibits to Lease</u>	Exhibit A - Floor Plan of Premises Exhibit B - Commencement Date Memorandum and Confirmation of Lease Terms Exhibit C - HVAC Standards Exhibit D - Cleaning and Maintenance Schedule Exhibit E - Subordination, Non-Disturbance and Attornment Agreement Exhibit F - Tenant Estoppel Certificate Exhibit G - Community Business Enterprises Form Exhibit H - Memorandum of Lease

2. PREMISES

2.1 Lease of Premises

Landlord does hereby lease to Tenant, and Tenant does hereby lease from Landlord, upon the terms and conditions herein set forth, the Premises described in Section 1.1 and depicted on Exhibit A attached hereto.

2.2 Measurement of Premises

Tenant shall have the right at any time during the Term of this Lease to field-measure and verify the exact footage of the Premises and/or the Building. All measurements shall be taken in accordance with the methods of measuring rentable area as described in the Standard Method for Measuring Floor Area in Office Buildings, ANSI/BOMA Z65.1-2010, as promulgated by the Building Owners and Management Association ("BOMA") International, except that no penthouse mechanical room space shall be included in the measurement.

3. COMMON AREAS

Tenant may use the following areas ("Common Areas") in common with Landlord and any other tenants of the Building: the entrances, lobbies, corridors and other public areas of the Building, walkways, landscaped areas, driveways necessary for access to the Premises, parking areas and other common facilities designated by Landlord from time to time for common use of all tenants of the Building. Tenant shall comply with all reasonable, non-discriminatory rules and regulations regarding the use of the Common Area established by Landlord.

4. COMMENCEMENT AND EXPIRATION DATES

4.1 Term

The term of this Lease shall be for a period of five years, commencing upon the first day of the first calendar month following approval of this Lease by the Board of Supervisors and full execution of the Lease by both parties, and ending sixty months thereafter.

4.2 Early Termination

Tenant shall have the right to terminate this Lease at any time after the Early Termination date specified in Section 1.1, by giving Landlord not less than ninety (90) days prior written notice, executed by Tenant's Chief Executive Officer or his/her designee.

4.3 Lease Expiration Notice

No later than one hundred eighty (180) days, nor earlier than eighteen (18) months, prior to the expiration of the Lease Term, Landlord shall provide a written notice to Tenant notifying Tenant of the Termination Date.

5. RENT

5.1 Base Rent

Tenant shall pay Landlord the Base Rent stated in Section 1.1 during the Term hereof within fifteen (15) days after (a) the Commencement Date, and (b) the first day of each calendar month thereafter, provided that at least fifteen (15) business days prior to the Commencement Date, Landlord must provide the Auditor of the County of Los Angeles with the following information: (i) name and address of Landlord or other party to whom Base Rent should be paid, (ii) Landlord's federal tax ID number; (iii) name of contact person and contact information (including phone number) for Landlord; (iv) a completed IRS form W-9, and (v) evidence of insurance in compliance with Section 20.2. If Landlord fails to timely provide the information required pursuant to this Section 5.1, or to provide updates for any changed information, then Tenant shall not be required to pay Base Rent to Landlord until fifteen (15) business days after Landlord provides such information. Base Rent for any partial calendar month during the Term shall be prorated in proportion to the number of days during the Term within such calendar month.

5.2. Base Rent Adjustments

(a) CPI. From and after the 1st anniversary of the Commencement Date, on the first day of the first full calendar month thereafter (the "Adjustment Date") and on every anniversary of the Adjustment Date thereafter, Base Rent shall be adjusted by applying the CPI Formula set forth below. The "Base Index" shall be the Index published for the month the Lease commences.

(b) CPI Formula. The Index means the Consumer Price Index for all Urban Consumers for the Los Angeles-Long Beach-Anaheim area, all items, published by the United States Department of Labor, Bureau of Labor Statistics (1982-84=100). The "CPI Formula" means Base Rent for the first full month after the Commencement Date multiplied by a fraction, the numerator being the Index published for the month immediately preceding the month in which the adjustment is to be effective (the "New Index"), and the denominator being the Base Index. If the Index is changed so that the Index differs from that used as of the Commencement Date of the Lease, the Index shall be converted in accordance with the conversion factor published by the United States Department of Labor, Bureau of Labor Statistics. If the Index is discontinued or revised during the Term of this Lease, such other governmental Index or computation with which it is replaced shall be used in order to obtain substantially the same results as would be obtained if the Index had not been discontinued or revised.

(c) Illustration of Formula. The formula for determining the new rent shall be as follows:

$$\frac{\text{New Index}}{\text{Base Index}} \times \text{Base Rent at the Commencement Date} = \text{Adjusted Base Rent}$$

(d) Limitations on CPI Adjustment. In no event shall the monthly Base Rent adjustment based upon the CPI Formula result in an increase greater than three percent (3%) per year of the Base Rent payable in the month preceding the applicable adjustment. In no event shall the Base Rent be adjusted by the CPI Formula to result in a lower monthly Base Rent than was payable during the previous year of the Lease.

6. USES

Landlord agrees that the demised Premises, together with all appurtenances thereto, shall be used by the Tenant for the government department set forth in Section 1.1, any other County Department the County designates, any other governmental purposes, or other lawful purposes that do not materially adversely interfere with other uses in the Building, during Tenant's Hours of Operation, after Tenant's Hours of Operation, and on weekends and holidays.

7. HOLDOVER

If Tenant remains in possession of the Premises or any part thereof after the expiration of the term of this Lease, such occupancy shall be a tenancy which is terminable only upon ninety (90) days written notice from Landlord or thirty (30) days written notice from Tenant's Chief Executive Officer or his/her designee at the last monthly Base Rent payable under this Lease for the first six months, plus any other charges payable under this Lease, and subject to all of the terms, covenants and conditions of this Lease. Thereafter, the Base Rent shall increase to 125% of the last monthly Base Rent payable under this Lease.

8. COMPLIANCE WITH LAW

Tenant shall, at Tenant's expense, comply promptly with all applicable statutes, ordinances, rules, regulations, orders and requirements in effect during the term hereof regulating the use, occupancy or improvement of the Premises by Tenant. Landlord, not Tenant, shall, at its sole cost, at all times cause the Premises and the Building to comply with all applicable statutes, ordinances, rules, regulations, orders and requirements in effect and binding upon Tenant or Landlord during the term hereof, including but not limited to the Americans with Disabilities Act ("ADA"), except if such compliance is made necessary as a result of Tenant's particular use of or alterations or improvements to the Premises.

9. DAMAGE OR DESTRUCTION

9.1 Damage

If any portion of the Premises is damaged by fire or any other cause rendering the Premises totally or partially inaccessible or unusable, and the Premises may be restored to a complete architectural unit of the same value, condition and character that existed immediately prior to such casualty in less than one hundred eighty (180) days, then Landlord shall promptly, at Landlord's expense, repair such damage, and this Lease shall continue in full force and effect. If all or any portion of the Premises shall be made unusable by fire or other casualty, Landlord shall immediately secure the area to prevent injury to persons and/or vandalism to the improvements. Landlord shall promptly, but in any event within ten (10) days, cause an architect or general contractor selected by Landlord to provide Landlord and Tenant with a written estimate of the amount of time required to substantially complete the repair and restoration of the Premises and make the Premises leasable again using standard working methods. The failure to do so shall be a material default hereunder. Base Rent shall abate to the extent that the Premises are unusable by Tenant. Notwithstanding any language in this Section 9.1, Tenant shall be responsible for the cost of repairing any area

of the Property damaged by Tenant or by Tenant's agents, employees, invitees or visitors per Section 10.3.

9.2 Tenant Termination Right

If any portion of the Premises is damaged by fire or any other cause rendering the Premises totally or partially inaccessible or unusable, and the Premises will not be restored to a complete architectural unit of the same value, condition and character that existed immediately prior to such casualty in less than one hundred eighty (180) days for any reason, then Tenant may terminate this Lease by giving Landlord written notice within ten days after Tenant's receipt of written notice from Landlord or its agents specifying such time period of repair; and this Lease shall terminate and the Base Rent shall be abated from the date the Premises became unusable. If Tenant does not elect to terminate this Lease, then Landlord shall promptly commence and diligently prosecute to completion the repairs to the Building or Premises, provided that insurance proceeds are available to repair the damages.

9.3 Damage In Last Year

Notwithstanding the foregoing provisions, if any material destruction to the Premises occurs during the last year of the Term, then either Landlord or Tenant may terminate this Lease by giving written notice to the other not more than thirty (30) days after such destruction, in which case:

- (a) Landlord shall have no obligation to restore the Premises;
- (b) Landlord may retain all insurance proceeds relating to such destruction, and
- (c) This Lease shall terminate as of the date which is thirty (30) days after such written notice of termination.

9.4 Default By Landlord

If Landlord is required to repair and restore the Premises as provided for in this Section 9, and Landlord thereafter fails to diligently prosecute said repair and restoration work to completion, as determined by Tenant in its reasonable discretion, then Tenant may, at its sole election:

- (a) Declare a default hereunder, or
- (b) Perform or cause to be performed the restoration work and deduct the cost thereof, plus interest thereon at ten percent (10%) per annum, from the next installment(s) of Base Rent due as a charge against the Landlord.

10. REPAIRS AND MAINTENANCE

10.1 Landlord Representations

- (a) Landlord represents to Tenant that, as of the date hereof and on the Commencement Date:

- i. The Premises, the Building, and all Common Areas (including electrical, heating, ventilating, and air conditioning ("HVAC"), mechanical, plumbing, gas and fire/life safety systems in the Building and similar building service systems) comply with all current laws, codes, and ordinances, including but not limited to the Americans With Disabilities Act, and are in good working order and condition;
 - ii. The Building and the Premises comply with all covenants, conditions, restrictions and insurance underwriter's requirements;
 - iii. The Premises, the Building and the Common Areas are free of the presence of Hazardous Materials (as hereinafter defined); and
 - iv. Landlord has not received any notice from any governmental agency that the Building or the Premises are in violation of any law or regulation.
- (b) Landlord represents, based upon a professional inspection of the Premises and the Building and the Asbestos Report (as defined in Section 1.1) that the Premises and the Building contain no asbestos containing materials (other than as may be reflected in the Asbestos Report). Landlord shall, prior to Tenant's occupancy, abate, at Landlord's sole cost and expense, all asbestos-containing materials to the extent required by law and provide Tenant with an updated report from a licensed California Asbestos contractor to that effect.
- (c) CASp Inspection:

In accordance with California Civil Code Section 1938, Landlord hereby states that the Premises and the Common Areas:
[Check the appropriate box]

☐ Have undergone inspection by a Certified Access Specialist (a "CASp") and have been determined to meet all applicable construction related accessibility standards pursuant to California Civil Code Section 55.53. Landlord shall provide Tenant with a copy of the CASp inspection report and a current disability access inspection certificate for the Premises within seven (7) days after the execution of this Lease.

☐ Have undergone inspection by a Certified Access Specialist and have not been determined to meet all applicable construction related accessibility standards pursuant to California Civil Code Section 55.53. Landlord has provided Tenant with a copy of the CASp inspection report at least 48 hours prior to the execution of this Lease. A Certified Access Specialist (CASp) can inspect the subject premises and determine whether the subject premises comply with all of the applicable construction-related accessibility standards under state law. Although state law does not require a CASp inspection of the subject premises, the commercial property owner or lessor may not prohibit the lessee or tenant from obtaining a CASp inspection of the subject

premises for the occupancy or potential occupancy of the lessee or tenant, if requested by the lessee or tenant. The parties shall mutually agree on the arrangements for the time and manner of the CASp inspection, the payment of the fee for the CASp inspection, and the cost of making any repairs necessary to correct violations of construction-related accessibility standards within the premises.

☒ Have not undergone inspection by a Certified Access Specialist. A Certified Access Specialist (CASp) can inspect the subject premises and determine whether the subject premises comply with all of the applicable construction-related accessibility standards under state law. Although state law does not require a CASp inspection of the subject premises, the commercial property owner or lessor may not prohibit the lessee or tenant from obtaining a CASp inspection of the subject premises for the occupancy or potential occupancy of the lessee or tenant, if requested by the lessee or tenant. The parties shall mutually agree on the arrangements for the time and manner of the CASp inspection, the payment of the fee for the CASp inspection, and the cost of making any repairs necessary to correct violations of construction-related accessibility standards within the premises.

The foregoing statement is provided solely for the purpose of complying with California Civil Code Section 1938 and shall not affect the Landlord's and Tenant's respective responsibilities for compliance with any design and construction related accessibility obligations as provided under this Lease or any Work Letter.

- (d) Landlord agrees to indemnify and hold harmless Tenant from all damages, costs, and expenses, which result from a material breach of Landlord's representations contained in this Section 10.1.

10.2 Landlord Obligations

- (a) Landlord shall keep and maintain the Property in good condition and repair and promptly make repairs to and perform maintenance upon and replace as needed:
 - i. the structural elements of the Building, including without limitation, all permanent exterior and interior walls, floors and ceilings, foundations, roof, concealed plumbing, stairways, and concealed electrical systems;
 - ii. mechanical (including HVAC), electrical, plumbing and fire/life systems serving the Building;
 - iii. the Common Areas; and
 - iv. exterior windows of the Building.
- (b) Landlord, at its sole cost and expense, shall also perform all maintenance and repairs to the Premises, and shall keep the Premises in good condition and repair, reasonable wear and tear excepted. Landlord's

repair obligations include, without limitation, repairs to, or replacements of:

- i. the floor covering (if such floor covering is carpeting it shall be replaced as needed, but not less often than after five (5) years of use);

- ii. interior partitions;

- iii. doors, door frames and hardware;

- iv. the interior side of demising walls (which shall be repainted as needed but not less often than every five (5) years);

- v. signage;

- vi. emergency exit signage and battery replacement;

- vii. HVAC equipment dedicated to the mechanical rooms housing Tenant's computer servers and related equipment; and

- viii. Light fixtures, bulbs, tubes and ballasts.

(c) Landlord shall, to the best of its ability, provide all reports, maintenance records, or other documentation as may be requested from time to time.

10.3 Tenant Obligations

Without limiting Landlord's repair and maintenance obligations, and subject to Section 20.2(g) hereof, Tenant shall be responsible for (i) the cost of repairing any area of the Property damaged by Tenant or by Tenant's agents, employees, invitees or visitors, and (ii) the repair of low voltage electronic, phone and data cabling and related equipment that is installed by or for the exclusive benefit of Tenant. All repairs and replacements shall:

(a) be made and performed by contractors or mechanics approved by Landlord, which consent shall not be unreasonably withheld, conditioned or delayed;

(b) be at least equal in quality, value and utility to the original work or installation; and

(c) be in accordance with all applicable laws.

10.4 Tenant's Right to Repair

(a) If Tenant provides written notice (or oral notice in the event of an emergency, such as damage or destruction to or of any portion of the Building structure and/or the Building systems, and/or anything that could cause material disruption to Tenant's business) to Landlord of an event or circumstance which requires the action of Landlord with respect to repair and/or maintenance, and if Landlord fails to provide such action within a reasonable period of time given the circumstances after the giving of such

notice, but in any event not later than five (5) days after the giving of such notice, then Tenant may proceed to take the required action (provided, however, that no such notice shall be required in the event of an emergency which threatens life or where there is imminent danger to property or a possibility that a failure to take immediate action could cause a material disruption in Tenant's normal and customary business activities). Tenant shall have access to the Building to the extent necessary to perform the work contemplated by this provision. If such action was required under the terms of this Lease to have been taken by Landlord and was not taken by Landlord within such period (unless such notice was not required as provided above), and Tenant took such required action, then Tenant shall be entitled to prompt reimbursement by Landlord of Tenant's reasonable costs and expenses in having taken such action plus interest thereon at ten percent (10%) per annum. If not reimbursed by Landlord within ten (10) days after written notice, then Tenant shall be entitled to deduct from Base Rent payable by Tenant under this Lease the amount set forth in its invoice for such work. The remedies provided in this Section are in addition to the remedies provided in Section 15.

- (b) Notwithstanding any provisions of this Lease to the contrary, Tenant, acting through the Chief Executive Office, may request that Landlord perform, supply and administer repairs, maintenance, building services and/or alterations that are the responsibility of the Tenant, not to exceed \$5000 (provided that such request shall not exceed a total of \$1,000 per year), as part of a separate purchase order issued by the County on Tenant's behalf. Any improvements by Landlord shall be subject to compliance with County Internal Services Department Purchasing Policy and Procedure No. A-0300, effective November 22, 2016, delivered to Landlord and incorporated by reference herein. This Section shall not apply to Tenant Improvements, as defined in Section 24.

11. SERVICES AND UTILITIES

11.1 Services

- (a) Heating, Ventilation and Air Conditioning (HVAC)

Landlord shall furnish heating, ventilation and air conditioning ("HVAC"), during Tenant's Hours of Operations in amounts required for the use and occupancy of the Premises for normal office purposes to a standard comparable to other first-class buildings and not less than the standard set forth in Exhibit C attached hereto. In addition, Landlord shall furnish HVAC at all times (i.e., twenty-four (24) hours per day, seven (7) days per week, three hundred sixty-five (365) days per year) to the mechanical rooms housing Tenant's computer servers and related equipment.

- (b) Electricity

Landlord shall furnish to the Premises the amount of electric current provided for in the Landlord's Work Letter (if applicable) but in any event not less than seven (7) watts of electric current (connected load) per square foot of rentable square feet in the Premises, for power and lighting and

electric current for HVAC, and Landlord shall provide the existing or new transformers or sub-panels on each floor of the Premises necessary for Tenant to utilize such capacity in the Premises.

(c) Water

Landlord shall make available in the Premises warm and cold water for normal lavatory and kitchen purposes and potable water for drinking purposes, all of which shall meet applicable government standards.

(d) Janitorial

Landlord, at its sole cost and expense, shall provide janitorial service five (5) nights per week, generally consistent with that furnished in comparable office buildings in the County of Los Angeles, but not less than the services set forth in the specifications set forth in Exhibit D attached hereto.

(e) Access

Landlord shall furnish to Tenant's employees and agents access to the Building, Premises and Common Areas on a seven day per week, 24 hour per day basis, subject to compliance with such reasonable security measures as shall from time to time be in effect for the Building. If required, Landlord shall provide access cards or fobs to all Tenant employees for Building entry, elevators, and/or floor access, at Landlord's sole cost and expense.

(f) Pest Control

Landlord at its sole cost and expense shall provide any and all pest control services to the Premises per the specifications set forth in Exhibit D attached hereto.

11.2 Utilities

Landlord agrees to pay, at its sole cost, when due, all charges for the use of the sewer, effluent treatment (when and if imposed by any governmental authority), all water, sprinkler standby charges, , gas, heating and common area power and lighting, trash removal service, fire/life safety systems, charges associated with the HVAC, and other utility rents and charges accruing or payable in connection with the Premises and the Common Areas during the Term of this Lease or any renewal, extension, or holdover thereof, whether the same are pro-rated or measured by separate meters. In the event Landlord fails or refuses to pay any or all of such charges when due, Tenant may give Landlord ten (10) calendar days prior written notice and thereafter pay directly such charges and deduct the payments from the next installments of rent due as a charge against the Landlord.

Tenant agrees to pay for electricity separately from this Lease, at Tenant's sole cost. Tenant is responsible for all costs of electricity during tenancy.

12. TAXES

Landlord, at its sole cost and expense, shall pay, prior to delinquency, all real property taxes, assessments and special assessments which may be levied or assessed against the Premises or the Building during the term of this Lease or any renewal or holdover period thereof with the exception of unsecured property taxes.

In the event Landlord fails or refuses to pay any or all taxes or assessments when due, Tenant may, at its sole discretion, give Landlord thirty (30) calendar days prior written notice and thereafter pay such taxes and assessments and deduct the payments from the next installments of rent due as a charge against the Landlord.

13. LANDLORD ACCESS

Tenant shall permit Landlord and its agents to enter the Premises during Tenant's Hours of Operations upon prior written notice only for the purpose of inspecting the Premises for any reasonable purpose or for performing any required maintenance or repair work. If Landlord temporarily closes any portion of the Building or the Premises, Base Rent shall be prorated based upon the percentage of the Premises or the Building rendered unusable and not used by Tenant. Landlord shall have the right at any and all times to enter the Premises in the event of an emergency and notify Tenant immediately thereafter.

14. TENANT DEFAULT

14.1 Default

The occurrence of any one or more of the following events shall constitute a material default and breach of this Lease by Tenant ("Default"):

- (a) the failure by Tenant to make any payment of Base Rent or any other payment required to be made by Tenant hereunder (except to the extent an offset is expressly permitted hereunder) as and when due, and the failure continues for a period of ten (10) days after written notice to Tenant;
- (b) the failure by Tenant to observe or perform any of the other covenants, conditions or provisions of this Lease, where such failure shall continue for a period of thirty (30) days after written notice from Landlord specifying in detail the nature of the default; provided, however, if more than thirty (30) days are reasonably required for its cure then Tenant shall not be deemed to be in default if Tenant commences such cure, within said thirty (30)-day period and thereafter diligently prosecutes such cure to completion.

14.2 Termination

Tenant agrees that if a Default should occur and should not be cured within the time periods set forth above, it shall be lawful for Landlord to terminate this Lease upon the giving of written notice to Tenant. In addition thereto, Landlord shall have such other rights or remedies as may be provided by law.

14.3 No Effect on Indemnity

Nothing in this Article shall be deemed to affect either Landlord or Tenant's right to indemnification under any indemnification clause or clauses set forth in this Lease.

15. LANDLORD DEFAULT

15.1 Remedies

In addition to the provisions for Landlord's default provided by Sections 9.4, 10.4, 19, 21.2 and 32.3, Landlord shall be in default ("Landlord Default") in the performance of any obligation required to be performed by Landlord under this Lease if Landlord has failed to perform such obligation within five (5) days after the giving of written notice with respect thereto by Tenant (which notice shall be, if appropriate, the same notice given under Section 10.4); provided, however, that if the nature of the Landlord Default is such that the same cannot reasonably be cured within such five day period, Landlord shall not be deemed to be in Landlord Default if Landlord shall within such period commence such cure and thereafter diligently prosecute the same to completion. If the Landlord Default is of such a nature that it materially and substantially interferes with Tenant's occupancy and use of the Premises and if such Landlord Default is not cured within the foregoing cure period, then Tenant shall have the right, at its option, with or without further notice or demand of any kind to Landlord or any other person, to any one or more of the following described remedies in addition to all other rights and remedies provided at law or in equity or elsewhere herein:

- (a) to remedy such default or breach and deduct the costs thereof (including but not limited to attorney' fees) plus interest at the rate of ten percent (10%) per annum from the installments of Base Rent next falling due;
- (b) to pursue the remedy of specific performance;
- (c) to seek money damages for loss arising from Landlord's failure to discharge its obligations under this Lease or offset such damages against Base Rent next coming due; and/or
- (d) to terminate this Lease.

15.2 Waiver

Nothing herein contained shall relieve Landlord from its duty to effect the repair, replacement, correction or maintenance required to restore any affected services, or to perform any other obligations to the standard prescribed in this Lease, nor shall this Section be construed to obligate Tenant to undertake any such work.

15.3 Emergency

Notwithstanding the foregoing cure period, Tenant may cure any default where the failure promptly to cure such default would, in the reasonable opinion of Tenant, create or allow to persist an emergency condition, or materially and adversely affect the operation of Tenant's business in the Premises. In such cases, Tenant may perform the necessary work through its Internal Services Department and deduct the cost of said work from the Base Rent next due.

16. ASSIGNMENT AND SUBLETTING

16.1 Assignment and Subletting

Tenant may assign, mortgage, encumber or otherwise transfer this Lease or sublet the whole or any part of the Premises without first obtaining Landlord's prior consent; provided, however, no such assignment, subletting or other transfer shall relieve Tenant of any liability under this Lease unless Landlord has given its written consent thereto, which Landlord shall not unreasonably withhold if the assignee has a financial condition which is reasonably sufficient for it to be responsible for all future obligations under this Lease.

16.2 Sale

If Landlord sells or conveys the Property, then all liabilities and obligations of Landlord accruing under this Lease after the sale or conveyance shall be binding upon the new owner, and the transferor shall be released from all liability under this Lease accruing subsequent to such sale or conveyance, provided that the transferee assumes Landlord's remaining obligations hereunder in writing. Nothing in this Section 16.2 shall be deemed to release Landlord's successor in interest from responsibility for any condition (including but not limited to deferred maintenance) existing on the date of transfer.

Upon any sale or transfer of the Property by Landlord, Landlord shall provide thirty (30) days prior written notice of said sale or transfer to Tenant. In addition, Landlord shall provide the following information to Tenant, at Tenant's Address for Notice (set forth in Section 1.1 hereof), as a condition of Tenant's obligation to pay Base Rent to the new owner:

- (a) A letter from the Landlord confirming that the Property was transferred to the new owner, along with written evidence of the transfer of the Property (e.g., a recorded deed).
- (b) A signed letter from the new owner including the following information:
 - i. Name and address of new owner or other party to whom Base Rent should be paid
 - ii. Federal tax ID number for new owner
 - iii. Name of contact person and contact information (including phone number) for new owner
 - iv. Proof of insurance
- (c) A W-9 form for new owner.

Tenant shall not be obligated to pay any rental amounts to any party other than the Landlord named herein until such time as all the requirements of this Section 16.2 are satisfied.

17. ALTERATIONS AND ADDITIONS

17.1 Landlord Consent

Tenant shall not make any structural alterations, improvements, additions, or utility installations in or about the Premises (collectively, "Alterations") without first obtaining the written consent of Landlord, which consent shall not be unreasonably withheld, conditioned or delayed. If Landlord fails to respond in writing within thirty (30) days after Tenant's request, then Landlord shall be deemed to have approved the requested Alterations. However, Landlord's consent shall not be required for any Alteration that satisfies all of the following criteria (provided that Tenant immediately provides notice of Tenant's intention to make such Alteration to the Landlord prior to making such Alteration):

- (a) complies with all laws;
- (b) is not visible from the exterior of the Premises or Building;
- (c) will not materially affect the systems or structure of the Building; and
- (d) does not unreasonably interfere with the normal and customary business office operations of other tenants in the Building.

17.2 End of Term

Any Alterations not removed by Tenant shall become the property of Landlord and remain upon and be surrendered with the Premises at the expiration of the Term.

18. CONDEMNATION

18.1 Controlling Terms

If during the Term, or during the period of time between the execution of this Lease and the Commencement Date, there is any taking of all or any part of the Premises or any interest in this Lease by Condemnation (as defined below), this Section shall determine the rights and obligations of Tenant and Landlord. "Condemnation" shall mean the exercise of any governmental power to take title to any portion of the Premises, whether by legal proceedings or otherwise, by a Condemnor (as defined below) or a voluntary sale or transfer by Landlord to any Condemnor either under threat of a Condemnor's exercise of such power or while legal proceedings are pending for the exercise of such power. "Condemnor" shall mean any public or quasi-public authority, or private corporation or individual, having the power of Condemnation.

18.2 Total Taking

If the Premises are totally taken by Condemnation, this Lease shall terminate on the date the Condemnor has a right to possession of the Premises (the "Date of Taking").

18.3 Partial Taking

If any portion, but not all, of the Premises or the Common Areas is taken by Condemnation, this Lease shall remain in effect, except that Tenant may elect to

terminate this Lease if, in Tenant's reasonable judgment, the remaining portion of the Premises (including the space available for parking) is rendered unsuitable for Tenant's continued use of the Premises. If Tenant elects to so terminate this Lease, Tenant must exercise its right to terminate by giving notice to Landlord within thirty (30) days after the date that the nature and the extent of the Condemnation have been determined (the "Determination Date"), which notice shall set forth the date of termination. Such termination date shall not be earlier than thirty (30) days nor later than ninety (90) days after Tenant has notified Landlord of its election to terminate; except that this Lease shall terminate on the Date of Taking if the Date of Taking falls on a date before the termination date designated by Tenant. If Tenant does not so notify Landlord within thirty (30) days after the Determination Date, all obligations of Tenant under this Lease shall remain in effect, except that Base Rent shall be equitably abated in proportion to the degree to which Tenant's use of the Premises and the Common Areas is impaired by such Condemnation.

18.4 Restoration

Notwithstanding the preceding paragraph, if, within thirty (30) days after the Determination Date, Landlord notifies Tenant that Landlord, at its sole cost, will add to the remaining Premises and/or the Common Areas so that the Premises and the space available for parking, will be substantially the same (as reasonably determined by Tenant) after the Date of Taking as they were before the Date of Taking, and Landlord commences the restoration promptly and, subject to reasonable allowance for delays that are not caused by Landlord, completes it within ninety (90) days after Landlord so notifies Tenant, then this Lease shall continue in effect. In such event, all obligations of Tenant under this Lease shall remain in effect, except that Base Rent shall be equitably abated or reduced during the period from the Date of Taking until the completion of such restoration.

18.5 Award

The Award (as defined below) shall be divided between Landlord and Tenant as their respective interests may appear. "Award" shall mean all compensation, sums or anything of value awarded, paid or received on a total or partial Condemnation of the Premises. Tenant shall be entitled to any awards for relocation benefits or goodwill belonging to Tenant.

18.6 Waiver of Statute

Landlord and Tenant hereby waive the provision of California Code of Civil Procedure Section 1265.130 allowing Landlord or Tenant to petition the Superior Court to terminate this Lease in the event of a partial taking of the Premises.

19. INDEMNIFICATION

19.1 Landlord's Indemnity

The Landlord shall indemnify, defend and hold harmless the Tenant from and against any and all liability, loss, injury or damage including (but not limited to) demands, claims, actions, fees, costs and expenses (including attorney and expert witness fees), arising from or connected with the Landlord's repair,

maintenance and other acts and omissions arising from and/or relating to the Landlord's ownership of the Premises.

19.2 Tenant's Indemnity

The Tenant shall indemnify, defend and hold harmless the Landlord, from and against any and all liability, loss, injury or damage, including (but not limited to) demands, claims, actions, fees, costs and expenses (including attorney and expert witness fees) arising from or connected with the Tenant's repair, maintenance and other acts and omissions arising from and/or relating to the Tenant's use of the Premises.

20. **INSURANCE:** During the term of this Lease, the following insurance requirements will be in effect:

20.1 Waiver

Both the Tenant and Landlord each agree to release the other and waive their rights of recovery against the other for damage to their respective property arising from perils insured in the Causes-of-Loss Special Form (ISO form CP 10 30).

20.2 General Insurance Provisions – Landlord Requirements

Without limiting the Landlord's indemnification of Tenant and during the term of this Lease, and until all of its obligations pursuant to this Lease have been met, Landlord shall provide and maintain at its own expense insurance coverage satisfying the requirements specified in this Lease. These minimum insurance coverage terms, types and limits (the "Required Insurance") also are in addition to and separate from any other contractual obligation imposed upon Landlord pursuant to this Lease. The Tenant in no way warrants that the Required Insurance is sufficient to protect the Landlord for liabilities which may arise from or relate to this Lease.

(a) Evidence of Coverage and Notice to Tenant

- i. Certificate(s) of insurance coverage ("Certificate") satisfactory to Tenant, and a copy of an Additional Insured endorsement confirming that Tenant and its Agents (defined below) has been given insured status under the Landlord's General Liability policy, shall be delivered to Tenant at the address shown below and provided prior to the start day of this Lease.
- ii. Renewal Certificates shall be provided to Tenant not less than 10 days prior to Landlord's policy expiration dates. The Tenant reserves the right to obtain complete, certified copies of any required Landlord insurance policies at any time.
- iii. Certificates shall identify all Required Insurance coverage types and limits specified herein, reference this Lease by name or number, and be signed by an authorized representative of the insurer(s). The Insured party named on the Certificate shall match

the name of the Landlord identified in this Lease. Certificates shall provide the full name of each insurer providing coverage, its NAIC (National Association of Insurance Commissioners) identification number, its financial rating, the amounts of any policy deductibles or self-insured retentions exceeding twenty-five thousand (\$25,000.00) dollars, and list any Tenant-required endorsement forms.

- iv. Neither the Tenant's failure to obtain, nor the Tenant's receipt of, or failure to object to a non-complying insurance certificate or endorsement, or any other insurance documentation or information provided by the Landlord, its insurance broker(s) and/or insurer(s), shall be construed as a waiver of any of the Required Insurance provisions.
- v. Certificates and copies of any required endorsements, and/or notices of cancellation shall be delivered to:

County of Los Angeles
Chief Executive Office - Real Estate Division
320 West Temple Street, 7th Floor
Los Angeles, CA 90012
Attention: Director of Real Estate

Landlord also shall promptly notify Tenant of any third party claim or suit filed against Landlord which arises from or relates to this Lease, and could result in the filing of a claim or lawsuit against Landlord and/or Tenant.

(b) Additional Insured Status and Scope of Coverage

The Tenant, which is the County of Los Angeles, its Special Districts, Elected Officials, Officers, Agents, Employees and Volunteers (collectively, "Tenant and its Agents"), shall be provided additional insured status under Landlord's General Liability policy with respect to liability arising from or connected with the Landlord's acts, errors, and omissions arising from and/or relating to the Landlord's operations on and/or its ownership of the premises. Tenant's additional insured status shall apply with respect to liability and defense of suits arising out of the Landlord's acts or omissions, whether such liability is attributable to the Landlord or to the Tenant. The full policy limits and scope of protection also shall apply to the Tenant as an additional insured, even if they exceed the Tenant's minimum Required Insurance specifications herein. Use of an automatic additional insured endorsement form is acceptable providing it satisfies the Required Insurance provisions herein.

(c) Cancellation of or Changes in Insurance

Landlord shall provide the Tenant with, or Landlord's insurance policies shall contain a provision that the Tenant shall receive, written notice of cancellation or any change in Required Insurance, including insurer, limits of coverage, term of coverage or policy period. The written notice shall be provided to the Tenant at least ten (10) days in advance of

cancellation for non-payment of premium and thirty (30) days in advance for any other cancellation or policy change. Failure to provide written notice of cancellation or any change in Required Insurance may constitute a material breach of the Lease, in the sole discretion of the Tenant, upon which the Tenant may suspend or terminate this Lease.

(d) Failure to Maintain Insurance

Landlord's failure to maintain or to provide acceptable evidence that it maintains the Required Insurance shall constitute a material breach of the Lease, upon which County immediately may withhold payments due to Landlord, and/or suspend or terminate this Lease. County, at its sole discretion, may obtain damages from Landlord resulting from said breach. Alternatively, the County may purchase the Required Insurance, and without further notice to Landlord, deduct the premium cost from sums due to Landlord or pursue Landlord reimbursement.

(e) Insurer Financial Ratings

Insurance is to be provided by an insurance company authorized to do business in California and acceptable to the Tenant, with an A.M. Best rating of not less than A:VII, unless otherwise approved by the Tenant.

(f) Landlord's Insurance Shall Be Primary

Landlord's insurance policies, with respect to any claims related to this Lease, shall be primary with respect to all other sources of coverage available to Tenant. Any Landlord maintained insurance or self-insurance coverage shall be in excess of and not contribute to any Tenant coverage.

(g) Waiver of Subrogation

To the fullest extent permitted by law, the Landlord hereby waives its and its insurer(s) rights of recovery against Tenant under all required insurance policies for any loss arising from or related to this Lease. The Landlord shall require its insurers to execute any waiver of subrogation endorsements which may be necessary to affect such waiver.

(h) Deductibles and Self-Insured Retentions ("SIRs")

Landlord's policies shall not obligate the Tenant to pay any portion of any Landlord deductible or SIR. The Tenant retains the right to require Landlord to reduce or eliminate policy deductibles and SIRs as respects the Tenant, or to provide a bond guaranteeing Landlord's payment of all deductibles and SIRs, including all related claims investigation, administration and defense expenses. Such bond shall be executed by a corporate surety licensed to transact business in the State of California.

(i) Claims Made Coverage

If any part of the Required Insurance is written on claims made basis, any policy retroactive date shall precede the start date of this Lease.

Landlord understands and agrees it shall maintain such coverage for a period of not less than three (3) years following Lease expiration, termination or cancellation.

(j) Application of Excess Liability Coverage

Landlord may use a combination of primary and excess insurance policies which provide coverage as broad as ("follow form" over) the underlying primary policies, to satisfy the Required Insurance provisions.

(k) Separation of Insureds

All liability policies shall provide cross-liability coverage as would be afforded by the standard ISO (Insurance Services Office, Inc.) separation of insureds provision with no insured versus insured exclusions or limitations.

(l) Tenant Review and Approval of Insurance Requirements

The Tenant reserves the right to review and adjust the Required Insurance provisions, conditioned upon Tenant's determination of changes in risk exposures.

20.3 Insurance Coverage Types And Limits

(a) Tenant Requirements: During the term of this Lease, Tenant shall maintain a program of insurance coverage as described below:

- i. Commercial General Liability Insurance, providing scope of coverage equivalent to ISO policy form CG 00 01, naming Landlord and its Agents as an additional insured, with limits of not less than:

General Aggregate:	\$ 2 million
Products/Completed Operations Aggregate:	\$ 1 million
Personal and Advertising Injury:	\$ 1 million
Each Occurrence:	\$ 1 million

Tenant, at its sole option, may satisfy all or any part of this insurance requirement through use of a program of self-insurance (self-funding of its liabilities). Certificate evidencing coverage or letter evidencing self-funding will be provided to Landlord after execution of this Lease at Landlord's request.

20.4 Landlord Requirements: During the term of this Lease, Landlord shall provide and maintain the following programs of insurance coverage:

- (a) Commercial General Liability Insurance, providing scope of coverage equivalent to ISO policy form CG 00 01, naming Tenant and Tenant's Agents as an additional insured, with limits of not less than:

General Aggregate:	\$ 10 million
Products/Completed Operations Aggregate:	\$ 10 million
Personal and Advertising Injury:	\$ 5 million
Each Occurrence:	\$ 5 million

(b) Commercial Property Insurance. Such insurance shall:

- i. Provide coverage for Tenant's property and any tenant improvements and betterments to the Premises; this coverage shall be at least as broad as that provided by the Causes-of-Loss Special Form (ISO form CP 10 30), excluding earthquake and including flood and ordinance or law coverage.
- ii. Be written for the full replacement cost of the Property. Insurance proceeds shall be payable to the Landlord and Tenant, as their interests may appear.

21. PARKING

21.1 Tenant's Rights

Tenant shall have the right to the number of exclusive reserved parking spaces set forth in Section 1.1, at the charge of eighty-five dollars per space, for the Term of this Lease. No tandem parking shall be required or allowed, and Tenant shall be entitled to full in/out privileges at all times. Tenant's parking rights shall be subject to reasonable parking rules and regulations adopted by Landlord from time to time, provided that such procedures shall be uniformly applied to all tenants. Tenant acknowledges that all unreserved parking spaces are not for the exclusive use of Tenant, rather, all such parking spaces are to be used on a non-exclusive, first-come, first-served basis by Tenant and other tenants, occupants, licensees, invitees and permittees of the Building.

21.2 Remedies

Landlord acknowledges that it is a material term of this Lease that Tenant receives all of the parking spaces to which it is entitled under this Lease for the entire Term of this Lease and that it would be impracticable and extremely difficult to fix the actual damages for a breach of such provisions. It is therefore agreed that if, for any reason whatsoever, a material number of the parking spaces required above are not available to Tenant (in addition to the rights given to Tenant under Section 14 and Sections 9 and 17 in the event of casualty or condemnation), then Tenant may:

- (a) terminate this Lease by giving written notice of such termination to Landlord, which notice shall be effective thirty (30) days thereafter, or
- (b) deduct from the Base Rent thereafter accruing hereunder an amount each month equal to the Base Rent times the percentage of parking spaces not so provided times the number 1.5, but such deduction from Base Rent shall not be less than ten percent (10%) nor more than one hundred percent (100%) of the Base Rent.

22. ENVIRONMENTAL MATTERS

22.1 Hazardous Materials

Tenant shall not cause nor permit, nor allow any of Tenant's employees agents, customers, visitors, invitees, licensee, contractor, assignees or subtenants to cause or permit, any Hazardous Materials to be brought upon, stored, manufactured, generated, blended, handled, recycled, treated, disposed or used on, under or about the Premises, the Building or the Common Areas, except for routine office and janitorial supplies in usual and customary quantities stored, used and disposed of in accordance with all applicable Environmental Laws. As used herein, "Hazardous Materials" means any chemical, substance, material, controlled substance, object, condition, waste, living organism or combination thereof, whether solid, semi solid, liquid or gaseous, which is or may be hazardous to human health or safety or to the environment due to its radioactivity, ignitability, corrosivity, reactivity, explosivity, toxicity, carcinogenicity, mutagenicity, phytotoxicity, infectiousness or other harmful or potentially harmful properties or effects, including, without limitation, molds, toxic levels of bacteria, tobacco smoke within the Premises, petroleum and petroleum products, asbestos, radon, polychlorinated biphenyls (PCBs), refrigerants (including those substances defined in the Environmental Protection Agency's "Refrigerant Recycling Rule," as amended from time to time) and all of those chemicals, substances, materials, controlled substances, objects, conditions, wastes, living organisms or combinations thereof which are now or become in the future listed, defined or regulated in any manner by any Environmental Law based upon, directly or indirectly, such properties or effects. As used herein, "Environmental Laws" means any and all federal, state or local environmental, health and/or safety-related laws, regulations, standards, decisions of courts, ordinances, rules, codes, orders, decrees, directives, guidelines, permits or permit conditions, currently existing and as amended, enacted, issued or adopted in the future which are or become applicable to Tenant, the Premises, the Building or the Common Areas.

22.2 Landlord Indemnity

Landlord shall indemnify, protect, defend (by counsel acceptable to Tenant) and hold harmless Tenant from and against any and all claims, judgments, causes of action, damage, penalties, fines, taxes, costs, liabilities, losses and expenses arising at any time during or after the Term as a result (directly or indirectly) of, or in connection with, the presence of Hazardous Materials on, under or about the Premises, Building or Common Areas or other violation of laws relating to Hazardous Materials other than those caused by Tenant. This indemnity shall include, without limitation, the cost of any required or necessary repair, cleanup or detoxification, and the preparation and implementation of any closure, monitoring or other required plans, as such action is required by local or state laws or any governmental agency. Landlord shall promptly deliver to Tenant a copy of any notice received from any governmental agency during the Term of this Lease concerning the presence of Hazardous Materials in the Building or the Premises. Landlord's obligations pursuant to the foregoing indemnity shall survive the expiration or termination of this Lease. A default by Landlord under this Section shall constitute a material default under this Lease.

23. ESTOPPEL CERTIFICATES

Tenant shall, within 30 business days after written request of Landlord, execute, acknowledge and deliver to Landlord or its designee a written statement in the form of Exhibit F attached hereto (properly completed) but shall have no other obligation to deliver any other form of estoppel certificate. It is intended that any such statement delivered pursuant to this Section may be relied upon by a prospective purchaser of Landlord's interest in the Premises or a holder of any mortgage upon Landlord's interest in the Premises.

24. TENANT IMPROVEMENTS

The Landlord, at its sole cost and expense, shall make the required fire and life safety code upgrades described in the "Fire / Life Safety Assessment, 5811 San Pedro St., Los Angeles, CA" report dated October 29, 2021 prepared by Public Works Los Angeles County and La Canada Design Group. Additionally, upon Tenants request, Landlord shall install a new door at Landlord's sole cost and expense, into the adjacent space, known as the former Sheriff's space, and provide improvements, if necessary, to separate the Tenant space from any proposed third party space. Such improvements should include construction of a demising wall, new door access, and HVAC into the Tenant space. Landlord shall coordinate any improvements with Tenant so Tenant's business is not interrupted.

25. LIENS

Tenant shall keep its interest in this Lease and the Premises free from any liens arising out of any work performed or materials ordered or obligations incurred by Tenant. Landlord shall keep its interest in this Lease and the Premises free from any liens which would impair the interest of Tenant hereunder and hereby indemnifies and holds Tenant harmless from any liability or loss from any such lien.

26. SUBORDINATION AND MORTGAGES

26.1 Subordination and Non-Disturbance

Tenant agrees, at Landlord's option, to subordinate this Lease to the lien of any mortgages or deeds of trust now or hereafter in force against the Building; provided, however, Tenant's obligation to subordinate this Lease is expressly conditioned upon Tenant receiving a written agreement in the form of Exhibit E attached hereto and provided further that no such subordination shall affect any option to extend the Term of this Lease, right of first offer to lease additional premises, option to purchase, or right of first offer to purchase the Property included herein.

26.2 Existing Deeds of Trust

The beneficiary under any existing deed of trust affecting the Building shall provide a written agreement to Tenant in the form of Exhibit E attached hereto, within 30 days after the execution of this Lease.

26.3 Notice of Default

If any mortgagee or beneficiary under a deed of trust affecting the Property gives written notice of its name and address to Tenant by registered mail and requests copies of any notice of default that Tenant serves upon Landlord, Tenant agrees

to use its best efforts (but without liability for failure to do so) to give such mortgagee or beneficiary a copy of any notice of default that Tenant serves upon Landlord which could permit Tenant to terminate this Lease, along with an additional ten days within which to cure such default.

27. SURRENDER OF POSSESSION

Subject to casualty, at the expiration of the Term of this Lease, whether by lapse of time or otherwise, Tenant shall promptly and peacefully surrender the Premises to Landlord in a "broom-clean" condition. Tenant may (but shall not be required to) remove, at its own expense, all fixtures, equipment and all other personal property placed or installed in or upon the Premises by Tenant, or under its authority (including any modular furniture).

28. SIGNAGE

Tenant shall be permitted to install signs at the Premises that conform with any and all applicable laws and ordinances.

29. QUIET ENJOYMENT

So long as Tenant is not in default hereunder, Tenant shall have the right to the peaceful and quiet enjoyment and possession of the Premises and the Common Areas during the Term of this Lease, subject to the terms and conditions of this Lease.

30. GENERAL

30.1 Headings

Titles to Sections of this Lease are not a part of this Lease and shall have no effect upon the construction or interpretation of any part hereof.

30.2 Successors and Assigns

All of the covenants, agreements, terms and conditions contained in this Lease shall inure to and be binding upon the Landlord and Tenant and their respective successors and assigns.

30.3 Brokers

Landlord and Tenant each represent and warrant to each other that it has not engaged any broker, finder or other person who would be entitled to any commission or fees in respect of the negotiation, execution or delivery of this Lease other than as disclosed to the other in writing and shall indemnify and hold harmless each other against any loss, cost, liability or expense incurred by the other party as a result of any claim asserted by any such broker, finder or other person on the basis of any arrangements or agreements made or alleged to have been made in variance with this representation.

30.4 Entire Agreement

This Lease (including all exhibits hereto and the Landlord's Work Letter) is the final and complete expression of Landlord and Tenant relating in any manner to

the leasing, use and occupancy of the Premises, to Tenant's use of the Building and other matters set forth in this Lease. No prior agreements or understanding pertaining to the same shall be valid or of any force or effect, and the covenants and agreements of this Lease shall not be altered, modified or added to except in writing signed by both Landlord and Tenant.

30.5 Severability

Any provision of this Lease which shall prove to be invalid, void or illegal shall in no way affect, impair or invalidate any other provision hereof, and the remaining provisions hereof shall nevertheless remain in full force and effect.

30.6 Notices

The parties shall give all notices in writing by (i) personal delivery, (ii) national-recognized, next-day courier service, or (iii) first-class registered or certified mail, postage prepaid, to the Landlord's Address for Notice and Tenant's Address for Notice as set forth in Section 1.1. Without limiting the generality of the foregoing, Landlord's notices to Tenant shall not be effective if they are delivered to the Premises or to another address that is not set forth in Section 1.1(b) hereof. Any notice given under this Lease shall be deemed effective upon the date of delivery (whether accepted or refused), which, for certified mail and courier service, shall be established by U.S. Post Office return receipt or the courier's proof of delivery, respectively.

30.7 Governing Law and Venue

This Lease shall be governed by and construed in accordance with the internal laws of the State of California. Any litigation with respect to this Lease shall be conducted in the County of Los Angeles, State of California.

30.8 Waivers

No waiver by Landlord or Tenant of any provision hereof shall be deemed a waiver of any other provision hereof or of any subsequent breach by Landlord or Tenant of the same or any other provision. Landlord's or Tenant's consent to or approval of any act shall not be deemed to render unnecessary the obtaining of Landlord's or Tenant's consent to or approval of any subsequent act by Landlord or Tenant.

30.9 Time of Essence

Time is of the essence for the performance of all of the obligations specified hereunder.

30.10 Consent

Whenever any consent is required by Landlord or Tenant hereunder, such consent shall not be unreasonably withheld, conditioned or delayed and, unless otherwise specifically provided herein, shall be deemed granted if not refused within ten (10) business days after written request is made therefore, together with all necessary information.

30.11 Community Business Enterprises

Landlord shall complete and deliver to Tenant concurrently with the execution hereof a Community Business Enterprises form set forth as Exhibit G attached hereto.

30.12 Memorandum of Lease

If requested by Tenant, Landlord and Tenant shall execute and acknowledge a Memorandum of Lease in the form of Exhibit H attached hereto, which Memorandum may be recorded by Tenant in the Official Records of Los Angeles County.

30.13 Counterparts; Electronic Signatures

This Lease and any other document necessary for the consummation of the transaction contemplated by this Lease may be executed in counterparts, including both counterparts that are executed on paper and counterparts that are in the form of electronic records and are executed electronically. An electronic signature means any electronic sound, symbol or process attached to or logically associated with a record and executed and adopted by a party with the intent to sign such record, including facsimile or e-mail electronic signatures. All executed counterparts shall constitute one agreement, and each counterpart shall be deemed an original. The parties hereby acknowledge and agree that electronic records and electronic signatures, as well as facsimile signatures, may be used in connection with the execution of this Lease and electronic signatures, facsimile signatures or signatures transmitted by electronic mail in so-called pdf format shall be legal and binding and shall have the same full force and effect as if a paper original of this Lease had been delivered had been signed using a handwritten signature. Landlord and Tenant (i) agree that an electronic signature, whether digital or encrypted, of a party to this Lease is intended to authenticate this writing and to have the same force and effect as a manual signature, (ii) intended to be bound by the signatures (whether original, faxed or electronic) on any document sent or delivered by facsimile or, electronic mail, or other electronic means, (iii) are aware that the other party will rely on such signatures, and (iv) hereby waive any defenses to the enforcement of the terms of this Lease based on the foregoing forms of signature. If this Lease has been executed by electronic signature, all parties executing this document are expressly consenting under the United States Federal Electronic Signatures in Global and National Commerce Act of 2000 ("E-SIGN") and California Uniform Electronic Transactions Act ("UETA")(Cal. Civ. Code § 1633.1, et seq.), that a signature by fax, email or other electronic means shall constitute an Electronic Signature to an Electronic Record under both E-SIGN and UETA with respect to this specific transaction.

31. AUTHORITY

Only the County's Board of Supervisors ("Board of Supervisors") has the authority, by formally approving and/or executing this Lease, to bind Tenant to the terms included herein. Landlord understands that no material terms of this Lease may be altered or deleted, nor may any new material terms be added to this Lease, without the express written approval of the Board of Supervisors, either through an amendment to the Lease or by other formal board action. No County officer, employee, agent or independent

contractor has any authority to alter, add or delete the material terms of this Lease, and Landlord may not rely upon any representations to the contrary. This limitation of authority applies to all material terms of the Lease including, without limitation, any monetary ceiling established for Tenant Improvements or other project costs of Landlord which are subject to reimbursement by Tenant. Tenant shall not reimburse Landlord for any expenses which exceed this ceiling. Notwithstanding the foregoing, the Chief Executive Office of the County (the "Chief Executive Office") may take any administrative act on behalf of Tenant hereunder which does not have the effect of increasing Base Rent or other financial obligations of Tenant under this Lease, including without limitation, granting any approvals, terminating this Lease in the manner provided herein by an early termination notice or otherwise, signing estoppel certificates, signing the Commencement Date Memorandum and Confirmation of Lease Terms or subordinating this Lease. Each individual executing this Lease on behalf of Landlord represents and warrants that he or she is duly authorized to execute and deliver this Lease on behalf of Landlord, and that this Lease is binding upon Landlord in accordance with its terms.

32. ACKNOWLEDGEMENT BY LANDLORD

Landlord acknowledges that it is aware of the following provisions:

32.1 Consideration of GAIN Program Participants

Should Landlord require additional or replacement personnel after the effective date of this Lease, Landlord shall give consideration for any such employment openings to participants in the County Department of Public Social Services' Greater Avenues for Independence ("GAIN") Program who meet Landlord's minimum qualifications for the open position. The County will refer GAIN participants by job category to Landlord.

32.2 Solicitation of Consideration

It is improper for any County officer, employee or agent to solicit consideration in any form from a landlord. A landlord shall not offer or give, either directly or through an intermediary, consideration in any form to a County officer, employee or agent who has had any involvement in the procurement, negotiation, consummation, administration or management of a lease.

Landlord shall immediately report any attempt by a County officer, employee or agent to solicit such improper consideration. The report shall be made to the County Auditor-Controller's Employee Fraud Hotline at (800) 544-6861.

Landlord hereby represents and warrants that it has not provided, and will not provide, any financial benefits to any County official, employee or agent who has had any involvement in the procurement, negotiation, consummation, administration or management of this Lease. Landlord hereby agrees that if it violates any of the terms of this Section 32.2, then the County may declare this Lease null and void, and the County reserves the right to exercise any and all other remedies available under applicable law.

32.3 Landlord Assignment

- (a) Landlord may assign, transfer, mortgage, hypothecate or encumber Landlord's right, title and interest in and to this Lease or any portion thereof (including the right to receive rental payments but excluding its duties and obligations hereunder), and Landlord may execute any and all instruments providing for the payment of Base Rent directly to an assignee or transferee, but only if the conditions set forth in this Section are met.
- (b) Any document or agreement purporting to assign, transfer, mortgage, hypothecate or encumber Landlord's right, title and interest in and to this Lease, or any portion thereof, as security for the Landlord's obligation to repay any monetary obligation, is hereinafter referred to as a "Security Agreement." Any Security Agreement which is executed without full compliance with the requirements of this Section shall be void.
- (c) Each assignee or transferee under the Security Agreement shall certify and agree in writing that such assignee or transferee has read and is familiar with the requirements of Sections 5950-5955 of California Government Code, which prohibits the offer or sale of any security constituting a fractional interest in this Lease or any portion thereof, without the prior written consent of the Tenant. Notwithstanding the foregoing, the Tenant hereby acknowledges and agrees that Landlord shall have the right to encumber the Property with CMBS (commercial mortgage backed securities) financing or other traditional real estate financing. However, Landlord may not encumber the Property through any type of bond financing vehicle, including but not limited to certificate of participation financing.
- (d) Violation by Landlord of the provisions of Section 5951 of the California Government Code will constitute a material breach of this Lease, upon which the Tenant may impose damages in an amount equal to the greater of \$500,000 or 10% of the aggregate principal portion of all rental payments payable by the Tenant during the entire Term of this Lease, it being expressly agreed that the aforesaid amount shall be imposed as liquidated damages, and not as a forfeiture or penalty. It is further specifically agreed that the aforesaid amount is presumed to be the amount of damages sustained by reason of any such violation, because from the circumstances and nature of the violation it would be impracticable and extremely difficult to fix actual damages. In addition, the Tenant may exercise or pursue any other right or remedy it may have under this Lease or applicable law.
- (e) Landlord shall give Tenant written notice and a copy of each and every assignment, transfer, hypothecation or encumbrance of Landlord's interest in this Lease and any instrument relating thereto (including, but not limited to, instruments providing for the payment of Base Rent directly to an assignee or transferee) at least thirty (30) days prior to the effective date thereof.
- (f) Landlord shall not furnish any information concerning Tenant or the subject matter of this Lease (including, but not limited to, offering memoranda, financial statements, economic and demographic

information, and legal opinions rendered by the office of counsel for the Tenant) to any person or entity, except with Tenant's prior written consent. Landlord shall indemnify, defend and hold Tenant and its officers, agents and employees harmless from and against all claims and liability alleged to arise from the inaccuracy or incompleteness of any information furnished by Landlord in violation of this Section 32.3.

- (g) The provisions of this Section 32.3 shall be binding upon and applicable to the parties hereto and their respective successors and assigns. Whenever in this Section Landlord is referred to, such reference shall be deemed to include Landlord's successors or assigns, and all covenants and agreements by or on behalf of Landlord herein shall bind and apply to Landlord's successors and assigns, whether so expressed or not.

32.4 Smoking in County Facilities.

The Surgeon General of the United States has concluded that passive smoke exposure is the third leading cause of preventable death in the United States. The United States Environmental Protection Agency has found second-hand smoke to be a known carcinogen. It is recognized that the County has a responsibility to establish, maintain and promote a healthful and safe working environment and to reduce health and safety risks of its employees and the public at large. Tobacco smoke is a hazard to the health of County employees and the general public and represents an annoyance which should be regulated and banned in all county facilities to the end that air quality in all such facilities be improved for the preservation and improvement of the health of all County employees and the public. Therefore, to the greatest extent possible, the rights and comfort of all employees shall be respected. Reasonable effort shall be made to provide smokers a place to smoke in areas open to the sky or otherwise located outside County facilities and, except as provided under Los Angeles County, California - Code of Ordinances Chapter 2.126 ("LAMC 2.126"), all portions of County-owned facilities and all portions of facilities leased by or from the County, which areas are not open to the sky, shall be designated as "no smoking" areas. Smoking, including the use of electronic smoking devices, shall be prohibited in the following areas of County facilities: (1) Within 50 feet of any operable entry or exit door or operable window of any County building and within 25 feet of any access ramp or handicap path; (2) Within any County parking lot, parking structure, or parking garage, whether enclosed or open to the sky; or (3) Within any driving range and eating area, including outdoor eating areas, of any County golf course. International no-smoking signs and other appropriate signs which designate no-smoking areas shall be clearly, sufficiently and conspicuously posted in every room, building or other place so covered by LAMC 2.126. The manner of such posting, including the wording, size, color and place of posting, whether on the walls, doors, tables, counters, stands or elsewhere, shall be at the discretion of the building proprietor so long as clarity, sufficiency and conspicuousness are

apparent in communicating the intent. (Los Angeles County, California - Code of Ordinances Chapter 2.126.)

32.5 COVID-19 VACCINATIONS OF COUNTY CONTRACTOR PERSONNEL.

- (a) At Landlord's sole cost, Landlord shall comply with Chapter 2.212 (COVID-19 Vaccinations of County Contractor Personnel) of County Code Title 2 - Administration, Division 4. All employees of Landlord and persons working on its behalf, including but not limited to, subcontractors of any tier (collectively, "Landlord Personnel"), must be fully vaccinated against the novel coronavirus 2019 ("COVID-19") prior to (1) interacting in person with County employees, interns, volunteers, and commissioners ("County workforce members"), (2) working on County owned or controlled property while performing services under this Lease, and/or (3) coming into contact with the public while performing services under this Lease (collectively, "In-Person Services").
- (b) Landlord Personnel are considered "fully vaccinated" against COVID-19 two (2) weeks or more after they have received (1) the second dose in a 2-dose COVID-19 vaccine series (e.g. Pfizer-BioNTech or Moderna), (2) a single-dose COVID-19 vaccine (e.g. Johnson and Johnson [J&J]/Janssen), or (3) the final dose of any COVID-19 vaccine authorized by the World Health Organization ("WHO").
- (c) Prior to assigning Landlord Personnel to perform In-Person Services, Landlord shall obtain proof that such Landlord Personnel have been fully vaccinated by confirming Landlord Personnel is vaccinated through any of the following documentation: (1) official COVID-19 Vaccination Record Card (issued by the Department of Health and Human Services, CDC or WHO Yellow Card), which includes the name of the person vaccinated, type of vaccine provided, and date of the last dose administered ("Vaccination Record Card"); (2) copy (including a photographic copy) of a Vaccination Record Card; (3) Documentation of vaccination from a licensed medical provider; (4) a digital record that includes a quick response ("QR") code that when scanned by a SMART HealthCard reader displays to the reader client name, date of birth, vaccine dates, and vaccine type, and the QR code confirms the vaccine record as an official record of the State of California; or (5) documentation of vaccination from Landlord who follow the CDPH vaccination records guidelines and standards. Landlord shall also provide written notice to County before the start of work under this Lease that its Landlord Personnel are in compliance with the requirements of this section. Landlord shall retain such proof of vaccination for the document retention period set forth in this Lease, and must provide such records to the County for audit purposes, when required by County.
- (d) Landlord shall evaluate any medical or sincerely held religious exemption request of its Landlord Personnel, as required by law. If Landlord has determined that Landlord Personnel is exempt pursuant to a medical or sincerely held religious reason, the Landlord must also maintain records of the Landlord Personnel's testing results. The Landlord must provide such records to the County for audit purposes, when required by County.

The unvaccinated exempt Landlord Personnel must meet the following requirements prior to (1) interacting in person with County workforce members, (2) working on County owned or controlled property while performing services under this Lease, and/or (3) coming into contact with the public while performing services under this Lease:

- (i) Test for COVID-19 with either a polymerase chain reaction (PCR) or antigen test has an Emergency Use Authorization (EUA) by the FDA or is operating per the Laboratory Developed Test requirements by the U.S. Centers for Medicare and Medicaid Services. Testing must occur at least weekly, or more frequently as required by County or other applicable law, regulation or order.
 - (ii) Wear a mask that is consistent with CDC recommendations at all times while on County controlled or owned property, and while engaging with members of the public and County workforce members.
 - (iii) Engage in proper physical distancing, as determined by the applicable County department that the Lease is with.
- (e) In addition to complying with the requirements of this section, Landlord shall also comply with all other applicable local, departmental, State, and federal laws, regulations and requirements for COVID-19."

33. IRREVOCABLE OFFER

In consideration for the time and expense that Tenant will invest in this Lease, including but not limited to preliminary space planning, legal review, and preparation and noticing for presentation to the Tenant Real Estate Management Commission of Los Angeles County, as necessary, in reliance on Landlord's agreement to lease the Premises to Tenant under the terms of this Lease, Landlord irrevocably offers to enter into this Lease and not to revoke this offer until the Irrevocable Offer Expiration Date, as defined in Section 1.1.

IN WITNESS WHEREOF this Lease has been executed the day and year first set forth above.

LANDLORD:

5811, LLC, a California limited liability company,

By: 
Steve Lee
Managing Member

TENANT:

COUNTY OF LOS ANGELES,
a body corporate and politic

FESIA A. DAVENPORT
Chief Executive Officer

By: _____
John T. Cooke
Assistant Chief Executive Officer

ATTEST:

DEAN C. LOGAN
Registrar-Recorder/County Clerk
of the County of Los Angeles

By: _____
Deputy

APPROVED AS TO FORM:
DAWYN R. HARRISON
Acting County Counsel

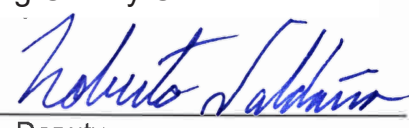
By: 
Deputy

EXHIBIT A

FLOOR PLAN OF PREMISES

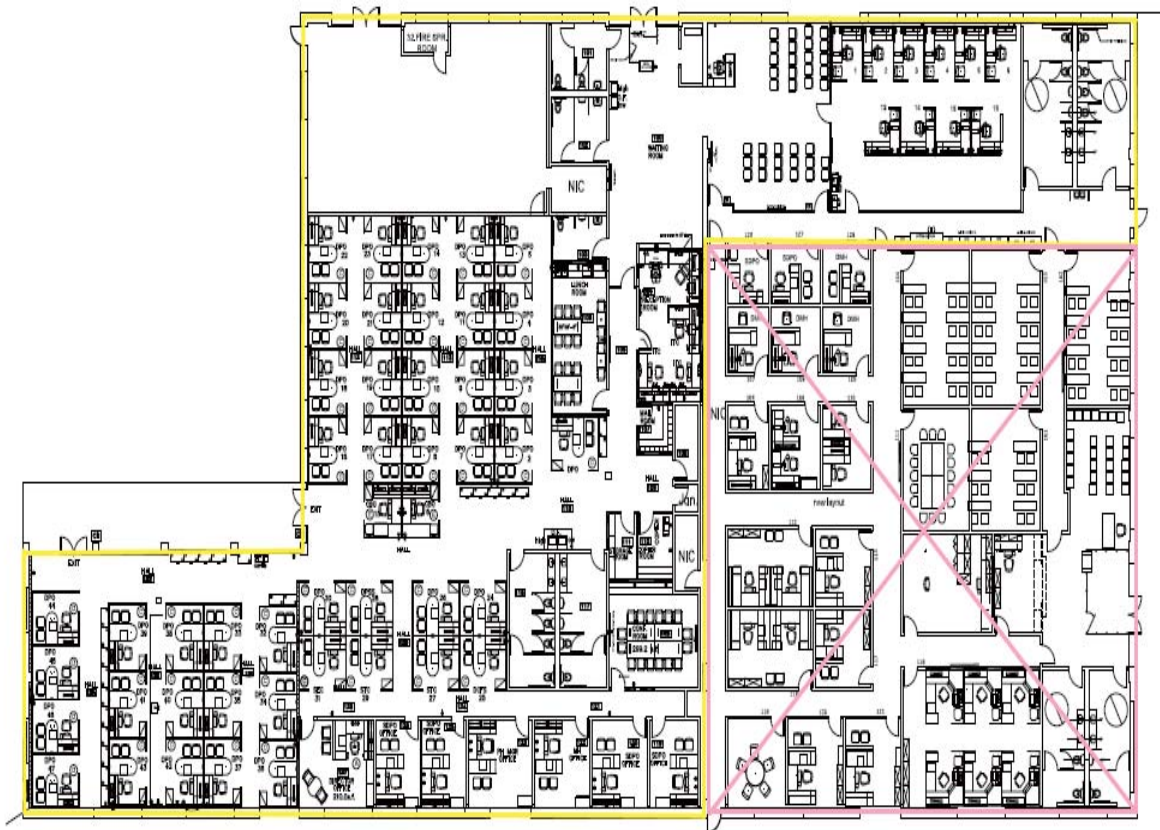


EXHIBIT B

COMMENCEMENT DATE MEMORANDUM AND CONFIRMATION OF LEASE TERMS

Reference is made to that certain Lease Agreement ("Lease") dated _____, 20____, between County of Los Angeles, a body corporate and politic ("Tenant"), and 5811, LLC, a California limited liability company ("Landlord"), whereby Landlord leased to Tenant and Tenant leased from Landlord certain premises in the building located at 5811 San Pedro Street, Los Angeles, California ("Premises"),

Landlord and Tenant hereby acknowledge as follow:

- 1) The Lease commenced on _____ ("Commencement Date");
and
- 2) The Premises contain _____ rentable square feet of space.

For clarification and the purpose of calculating future rental rate adjustments:

- 1) Base Rent per month is _____.
- 2) The Base Index month is _____.
- 3) The Base Index is _____.
- 4) The first New Index month is _____.

IN WITNESS WHEREOF, this memorandum is executed this _____ day of _____, 20____.

Tenant:

COUNTY OF LOS ANGELES,
a body corporate and politic

By:

Name _____
Its _____

Landlord:

5811, LLC, a California limited liability
company

By:

Steve Lee
Managing Member

EXHIBIT C

HEATING, VENTILATION AND AIR CONDITIONING

Landlord shall supply cooling, ventilating and heating with capacity to produce the following results effective during Tenant's Hours of Operation established by the Lease and within tolerances normal in comparable office buildings; maintenance of inside space conditions of not greater than 78 degrees Fahrenheit when the outside air temperature is not more than 93 degrees Fahrenheit dry bulb and 70 degrees Fahrenheit wet bulb, and not less than 70 degrees Fahrenheit when the outside air temperature is not lower than 42 degrees Fahrenheit dry bulb. Interior space is designated at a rate of one zone for approximately each 1,000 square feet and one diffuser for each 200 square feet of usable/net square footage within the Premises. If energy requirements prohibit Landlord from complying with these requirements, Tenant shall not unreasonably withhold its consent to temporary waivers or modifications.

EXHIBIT D

CLEANING AND MAINTENANCE SCHEDULE

A. DAILY (Monday through Friday)

1. Carpets vacuumed.
2. Composition floors dust-mopped.
3. Desks, desk accessories and office furniture dusted. Papers and folders left on desk not to be moved.
4. Waste baskets, other trash receptacles emptied.
5. Chairs and waste baskets returned to proper position.
6. Fingerprints removed from glass doors and partitions.
7. Drinking fountains cleaned, sanitized and polished.
8. Lavatories, toilets and toilet rooms cleaned and mopped. Toilet supplies replenished.
9. Bulb and tube replacements, as required.
10. Emergency exit signage and egress battery replacement (if applicable)
11. Graffiti expunged as needed within two working days after notice by Tenant
12. Floors washed as needed.
13. Standard kitchen/lunchroom/restroom supplies replenished, including, but, not limited to, paper supplies and soap.
14. Exclusive day porter service from ___ a.m. to ____ p.m. [*Fill in if applicable. If not applicable, delete.*]

B. WEEKLY

15. Low-reach areas, chair rungs, baseboards and insides of door jambs dusted.
16. Window sills, ledges and wood paneling and molding dusted.

C. MONTHLY

17. Floors washed and waxed in uncarpeted office area.
18. High-reach areas, door frames and tops of partitions dusted.
19. Upholstered furniture vacuumed, plastic and leather furniture wiped

- 20. Picture moldings and frames dusted.
- 21. Wall vents and ceiling vents vacuumed.
- 22. Carpet professionally spot cleaned as required to remove stains.
- 23. HVAC chiller water checked for bacteria, water conditioned as necessary.

D. QUARTERLY

- 24. Light fixtures cleaned and dusted, but not less frequently than quarterly.
- 25. Wood furniture polished.
- 26. Draperies or mini-blinds cleaned as required, but not less frequently than quarterly.
- 27. HVAC units serviced for preventative maintenance purposes, all filters changed.

E. SEMI-ANNUALLY

- 28. Windows washed as required inside and outside but not less frequently than twice annually.
- 29. All painted wall and door surfaces washed and stains removed.
- 30. All walls treated with vinyl covering washed and stains removed.

F. ANNUALLY

- 31. Furniture Systems and any other fabric or upholstered surfaces including chairs, couches, walls, etc., spot cleaned, or if determined to be necessary in Tenant's sole discretion, professionally cleaned in their entirety using a water extraction system.
- 32. Bathroom and any other ceramic tile surfaces professionally cleaned using a hand scrub process. All grout and porous surfaces resealed with a professional grade sealant.
- 33. Touch-up paint all interior painted surfaces in a color and finish to match existing.

G. AS NEEDED

- 34. Premises and the sidewalks, driveways, parking areas and all means of access and egress for the Premises should be maintained in good repair, and in clean and safe condition at all times.
- 35. All lawns, shrubbery and foliage on the grounds of the Premises should be maintained in good condition and neat in appearance. Grass and shrubbery must be replanted as needed to maintain the grounds in good appearance and condition.

36. Interior and exterior pest control inspections and remediation frequency is to be determined by a licensed exterminator.
37. Carpets to be cleaned using a non-detergent, low moisture, soil encapsulation system as recommended by the carpet manufacturer. The following schedule will be maintained for carpet cleaning:
- i. heavy traffic areas cleaned as needed, with a minimum frequency of bi-monthly [six (6) times per year];
 - ii. moderate traffic areas cleaned as needed, with a minimum of once every six (6) months [two (2) times per year]; and
 - iii. clean light traffic areas a minimum of once per year.

Landlord agrees that bonnet cleaning is not an acceptable method of cleaning carpets.

38. All walls repainted and wall coverings replaced throughout the Premises. The paint finish should be eggshell or semi-gloss as directed by Tenant and in a color acceptable to Tenant. In no event will Landlord be required to repaint or replace wall coverings more than one (1) time in a five (5) year period (the "Occurrence") except for touch-up paint as provided in Paragraph 6.C. of this Exhibit E. The initial tenant improvements completed prior to Tenant's occupancy or as a condition to the renewal of the Lease shall not constitute an Occurrence for the purpose of determining the frequency of this work.
39. All HVAC ducts cleaned as needed, but no less than every five (5) years.

H. GENERAL

Landlord shall, upon request of Tenant, produce written service contracts as evidence of compliance with the terms of this Cleaning and Maintenance Schedule.

EXHIBIT E

SUBORDINATION, NON-DISTURBANCE
AND ATTORNMENT AGREEMENT

RECORDING REQUESTED BY
AND WHEN RECORDED MAIL TO:

County of Los Angeles
Chief Executive Office
Real Estate Division
320 W. Temple Street
7th Floor
Los Angeles, California 90012

)
)
)
)
)
)
)

Space above for Recorder's Use

SUBORDINATION, NON-DISTURBANCE
AND ATTORNMENT AGREEMENT

NOTICE: THIS SUBORDINATION, NON-DISTURBANCE AND ATTORNMENT AGREEMENT RESULTS IN YOUR LEASEHOLD ESTATE BECOMING SUBJECT TO AND OF LOWER PRIORITY THAN THE LIEN OF SOME OTHER OR LATER SECURITY INSTRUMENT.

This Subordination, Non-disturbance and Attornment Agreement ("Agreement") is entered into as of the ____ day of _____, 20__ by and among COUNTY OF LOS ANGELES, a body corporate and politic ("Tenant"), [*Insert name of Landlord*], ("Borrower") and [*Insert name of Lender*], ("Lender").

Factual Background

A. Borrower owns certain real property more particularly described in the attached Exhibit A. The term "Property" herein means that real property together with all improvements (the "Improvements") located on it.

B. Lender has made or agreed to make a loan to Borrower. The Loan is or will be secured by a deed of trust or mortgage encumbering the Property (the "Deed of Trust").

C. Tenant and Borrower (as "Landlord") entered into a lease dated _____ (the "Lease") under which Borrower leased to Tenant a portion of the Improvements located within the Property and more particularly described in the Lease (the "Premises").

D. Tenant is willing to agree to subordinate certain of Tenant's rights under the Lease to the lien of the Deed of Trust and to attorn to Lender on the terms and conditions of this Agreement. Tenant is willing to agree to such subordination and attornment and other conditions, provided that Lender agrees to a non-disturbance provision, all as set forth more fully below.

Agreement

Therefore, the parties agree as follows:

1. Subordination. The lien of the Deed of Trust and all amendments, modifications and extensions thereto shall be and remain at all times a lien on the Property prior and superior to the Lease, except that if Tenant is granted any option to extend the Term of the Lease, right of first offer to lease additional premises or option to purchase the Property or right of first offer to purchase the Property in the Lease, such provisions shall not be affected or diminished by any such subordination.

2. Definitions of "Transfer of the Property" and "Purchaser". As used herein, the term "Transfer of the Property" means any transfer of Borrower's interest in the Property by foreclosure, trustee's sale or other action or proceeding for the enforcement of the Deed of Trust or by deed in lieu thereof. The term "Purchaser", as used herein, means any transferee, including Lender, of the interest of Borrower as a result of any such Transfer of the Property and also includes any and all successors and assigns, including Lender, of such transferee.

3. Non-disturbance. The enforcement of the Deed of Trust shall not terminate the Lease or disturb Tenant in the possession and use of the leasehold estate created thereby.

4. Attornment. Subject to Section 3 above, if any Transfer of the Property should occur, Tenant shall and hereby does attorn to Purchaser, including Lender if it should be the Purchaser, as the landlord under the Lease, and Tenant shall be bound to Purchaser under all of the terms, covenants and conditions of the Lease for the balance of the Lease term and any extensions or renewals of it which may then or later be in effect under any validly exercised extension or renewal option contained in the Lease, all with the same force and effect as if Purchaser had been the original landlord under the Lease. This attornment shall be effective and self-operative without the execution of any further instruments upon Purchaser's succeeding to the interest of the landlord under the Lease.

5. Lender Not Obligated. Lender, if it becomes the Purchaser or if it takes possession under the Deed of Trust, and any other Purchaser shall not:

(a) be liable for any damages or other relief attributable to any act or omission of any prior Landlord under the Lease, including Borrower, unless such act or omission continues after the date that Lender or Purchaser succeeds to the interest of such prior landlord; or

(b) be subject to any offset or defense not specifically provided for in the Lease which Tenant may have against any prior landlord under the Lease, unless resulting from a default or breach by such prior landlord which continues after Lender or Purchaser succeeds to the interest of such prior landlord; and provided that any offsets deducted by Tenant prior to the date that Lender or Purchaser succeeds to the interest of such prior landlord shall not be subject to challenge; or

(c) be bound by any prepayment by Tenant of more than one (1) month's installment of rent, unless the Lease expressly requires such prepayment; or

(d) be obligated for any security deposit not actually delivered to Purchaser; or

(e) be bound by any modification or amendment of or to the Lease which materially increases Landlord's obligations under the Lease or materially decreases Tenant's obligation under the Lease, unless Lender has approved such modification or amendment in writing, which approval shall not be unreasonably withheld, conditioned or delayed.

6. Notices. All notices given under this Agreement shall be in writing and shall be given by personal delivery, overnight receipted courier or by registered or certified United States mail, postage prepaid, sent to the party at its address appearing below. Notices shall be effective upon receipt (or on the date when proper delivery is refused). Addresses for notices may be changed by any party by notice to all other parties in accordance with this Section.

To Lender: _____

To Borrower: _____

To Tenant: County of Los Angeles
Chief Executive Office
Real Estate Division
320 W. Temple Street, 7th Floor
Los Angeles, California 90012
Attention: Director of Real Estate

7. Miscellaneous Provisions. This Agreement shall inure to the benefit of and be binding upon the parties and their respective successors and assigns. This Agreement is governed by the laws of the State of California without regard to the choice of law rules of that State.

TENANT: COUNTY OF LOS ANGELES,
a body corporate and politic

By: _____
Name: _____
Title: _____

BORROWER: *[Insert name of Landlord]*

By: _____
Name: _____
Title: _____

LENDER: *[Insert name of Lender],*

By: _____
Name: _____
Title: _____

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

STATE OF CALIFORNIA)
) SS.
COUNTY OF _____)

On _____, before me, _____
Date Name And Title Of Officer (e.g. "Jane Doe, Notary Public")

personally appeared _____,
Name of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature (Seal)

EXHIBIT F

TENANT ESTOPPEL CERTIFICATE

To: [Insert name of party to rely on document]

Attn: _____

Re: Date of Certificate: _____
 Lease Dated: _____
 Current Landlord: _____
 Located at: _____
 Premises: _____
 Commencement Date of Term: _____
 Expiration Date: _____
 Current Rent: _____

County of Los Angeles ("Tenant") hereby certifies that, to its actual knowledge, as of the date hereof:

1. Tenant is the present holder of the tenant's interest under the lease described above, as it may be amended to date (the "Lease"). The Lease covers the premises described above (the "Premises") in the building (the "Building") at the address set forth above.

2. (a) A true, correct and complete copy of the Lease (including all modifications, amendments, supplements, side letters, addenda and riders of and to it) is attached to this Certificate as Exhibit A.

 (b) The current Rent is set forth above.

 (c) The term of the Lease commenced on the Commencement Date set forth above and will expire on the Expiration Date set forth above, including any presently exercised option or renewal term. Tenant has no option or right to renew, extend or cancel the Lease, or to lease additional space in the Premises or Building, or to use any parking other than that specified in the Lease.

 (d) Except as specified in the Lease, Tenant has no option or preferential right to purchase all or any part of the Premises (or the land of which the Premises are a part).

 (e) Tenant has made no agreement with Landlord or any agent, representative or employee of Landlord concerning free rent, partial rent, rebate of rental payments or any other similar rent concession except as expressly set forth in the Lease.

3. (a) The Lease constitutes the entire agreement between Tenant and Landlord with respect to the Premises, has not been modified changed, altered or amended, except as set forth in Exhibit A, and is in full force and effect. There are no other agreements, written or oral, which affect Tenant's occupancy of the Premises.

(b) To the knowledge of Tenant, Tenant has not given Landlord written notice of a material default under the Lease which has not been cured.]

(c) Tenant's interest in the Lease has not been assigned or encumbered.

(d) Tenant is not entitled to any credit against any rent or other charge or rent concession under the Lease, except as set forth in the Lease.

(e) No rental payments have been made more than one (1) month in advance.

4. All contributions required to be paid by Landlord to date for improvements to the Premises have been paid in full, and all of Landlord's obligations with respect to tenant improvements have been fully performed, except: _____.

IN WITNESS WHEREOF, the Tenant has executed this Tenant Estoppel Certificate as of the day set forth above.

COUNTY OF LOS ANGELES,
a body corporate and politic

By: _____
Name: _____
Title: _____

EXHIBIT G

COMMUNITY BUSINESS ENTERPRISE FORM

INSTRUCTIONS: All Landlords shall submit this form on an annual basis on or before December 30th of each year of the term of this agreement as evidence of MBE/WBE participation. The information requested below is for statistical purposes only. The final analysis and consideration of the lease will be determined without regard to race, creed, color or gender. (Categories listed below are based on those described in 49 CFR Section 23.5)

I. Minority/Women Participation in Firm (Partners, Associate Partners, Managers, Staff, etc.)						
1. Firm Name: _____			3. Contact Person/Telephone Number: _____			
2. Address: _____						
			4. Total number of employees in the firm: _____			
5. Provide the number of all minority employees and women in each category.	Owners, Partners and Associate Partners		Managers		Staff	
	All O,P & AP	Women	All Managers	Women	All Staff	Women
Black/African American						
Hispanic/Latin American						
Asian American						
Portuguese American						
American Indian/Alaskan Native						
All Others						

II. PERCENTAGE OF MINORITY/WOMEN OWNERSHIP IN FIRM			
1. Type of Business Structure: (Corporation, Partnership, Sole Proprietorship, Etc.) _____			

III. MINORITY/WOMEN-OWNED FIRM CERTIFICATION		
2. Total Number of Ownership/Partners, Etc.: _____	Is your firm currently certified as a minority owned business firm by the:	
3. Provide the percentage of ownership in each	All Employee	Women
Black/African American		
Hispanic/Latin American		
Asian American		
Portuguese American		
American Indian/Alaskan Native		
All Others		

Section D. OPTION TO PROVIDE REQUESTED INFORMATION	
<input type="checkbox"/> We do not wish to provide the information required in this form.	
Firm Name: _____	
Signature/Title: _____	
Date: _____	

EXHIBIT H

MEMORANDUM OF LEASE

RECORDING REQUESTED BY AND WHEN RECORDED MAIL TO:

County of Los Angeles
Chief Executive Office
Real Estate Division
320 W. Temple Street, 7th Floor
Los Angeles, California 90012
Attention: Director of Real Estate

This document is recorded for the benefit of the County of Los Angeles and recording is exempt from recording fees pursuant to California Government Code Section 27383. This transaction is exempt from documentary transfer tax pursuant to California Revenue and Taxation Code Section 11922.

MEMORANDUM OF LEASE

This Memorandum of Lease ("Memorandum") is made and entered into by and between _____, a _____ (the "Landlord"), and the COUNTY OF LOS ANGELES, a public body corporate and politic, duly organized and existing under the laws of the State of California (the "Tenant"), who agree as follows:

Landlord and Tenant have entered into an unrecorded lease dated _____, 20__ (the "Lease") of certain real property located in the County of Los Angeles, State of California, described in Exhibit A attached hereto and incorporated herein by reference, for a term commencing on _____, 20__, and ending on a date _____ years after the commencement date, unless such term is extended or sooner terminated pursuant to the terms and conditions set forth in the Lease.

This Memorandum has been prepared for the purpose of giving notice of the Lease and of its terms, covenants, and conditions, and for no other purposes. The provisions of this Memorandum shall not in any way change or affect the provisions of the Lease, the terms of which remain in full force and effect.

Dated: _____, 20__.

LANDLORD:

By: _____
Its: _____

By: _____
Its: _____

TENANT:

COUNTY OF LOS ANGELES,
a body corporate and politic

FESIA A. DAVENPORT
Chief Executive Officer

By: _____
John T. Cooke
Assistant Chief Executive Officer

ATTEST:

DEAN C. LOGAN
Registrar-Recorder/County Clerk
of the County of Los Angeles

By: _____
Deputy

APPROVED AS TO FORM:

DAWYN R. HARRISON
Acting County Counsel

By: _____
Deputy

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

STATE OF CALIFORNIA)
) SS.
COUNTY OF _____)

On _____, before me,

_____ Date Name And Title Of Officer (e.g. "Jane Doe, Notary Public")
personally appeared _____,
Name of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature (Seal)

BOARD LETTER/MEMO CLUSTER FACT SHEET

☒ Board Letter

☐ Board Memo

☐ Other

CLUSTER AGENDA REVIEW DATE	4/27/2022							
BOARD MEETING DATE	5/17/2022							
SUPERVISORIAL DISTRICT AFFECTED	<input type="checkbox"/> All <input checked="" type="checkbox"/> 1 st <input type="checkbox"/> 2 nd <input type="checkbox"/> 3 rd <input type="checkbox"/> 4 th <input type="checkbox"/> 5 th							
DEPARTMENT(S)	Department of Public and Social Services (DPSS)							
SUBJECT	Approve a proposed 7-year amendment for the continued use of 15,750 square feet of existing office space and 75 on-site parking spaces at 360 East Mission Boulevard, Pomona, CA 91766							
PROGRAM	In-Home Supportive Services Program (IHSS)							
AUTHORIZES DELEGATED AUTHORITY TO DEPT	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No							
SOLE SOURCE CONTRACT	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please explain why: N/A							
DEADLINES/ TIME CONSTRAINTS	The existing lease has been on a month-to-month holdover with a 20% holdover fee since April 1, 2018.							
COST & FUNDING	<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;"> Total cost: \$3,305,000 for rental cost over 7-year term. </td><td style="width: 50%;"> Funding source: The rental costs will be funded 81.48 percent with state and federal funds and 18.52 percent net County costs. </td></tr> <tr> <td colspan="2"> TERMS (if applicable): The proposed lease is subject to annual increases based on the Consumer Price Index (CPI) and shall not be less than 2% or greater than 3% per annum. Total tenant improvement cost is estimated at \$260,000. The Landlord will pay the first \$200,000, and the County would pay the remaining \$60,000, but if the tenant improvement costs exceed \$260,000, the County's share is capped at \$60,000. </td></tr> <tr> <td colspan="2"> Explanation: Sufficient funding to cover the proposed rent, for the first year of the proposed lease term is included in the Fiscal Year (FY) 2021-22 Rent Expense budget and will be billed back to DPSS. DPSS has sufficient funding in its FY 2021-22 operating budget to cover the proposed rent for the first year. Beginning in FY 2022-23, ongoing funding for costs associated with the proposed lease will be part of the budget for DPSS. </td></tr> </table>		Total cost: \$3,305,000 for rental cost over 7-year term.	Funding source: The rental costs will be funded 81.48 percent with state and federal funds and 18.52 percent net County costs.	TERMS (if applicable): The proposed lease is subject to annual increases based on the Consumer Price Index (CPI) and shall not be less than 2% or greater than 3% per annum. Total tenant improvement cost is estimated at \$260,000. The Landlord will pay the first \$200,000, and the County would pay the remaining \$60,000, but if the tenant improvement costs exceed \$260,000, the County's share is capped at \$60,000.		Explanation: Sufficient funding to cover the proposed rent, for the first year of the proposed lease term is included in the Fiscal Year (FY) 2021-22 Rent Expense budget and will be billed back to DPSS. DPSS has sufficient funding in its FY 2021-22 operating budget to cover the proposed rent for the first year. Beginning in FY 2022-23, ongoing funding for costs associated with the proposed lease will be part of the budget for DPSS.	
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PURPOSE OF REQUEST	Approval of the recommended actions will authorize and adequately provide the necessary office space for DPSS.							
BACKGROUND (include internal/external issues that may exist including any related motions)	<p>The proposed amendment will provide DPSS the continued use of 15,750 square feet of office space and 75 parking spaces for the DPSS IHSS office.</p> <p>The County has the right to terminate the proposed amendment any time following the fifth anniversary of the commence date, with nine months prior written notice, and the payment of a termination fee. The termination fee shall be equal to the Landlord's unamortized \$200,000 tenant improvement costs. The Landlord's tenant improvement costs shall be amortized over the term of the amendment, on a straight-line basis, without interest.</p>							
EQUITY INDEX OR LENS WAS UTILIZED	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please explain how:							
SUPPORTS ONE OF THE NINE BOARD PRIORITIES	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please state which one(s) and explain how:							
DEPARTMENTAL CONTACTS	Michael Navarro CEO- Real Estate Division 213-974-4364 mnavarro@ceo.lacounty.gov							



County of Los Angeles CHIEF EXECUTIVE OFFICE

Kenneth Hahn Hall of Administration
500 West Temple Street, Room 713, Los Angeles, California 90012
(213) 974-1101
<http://ceo.lacounty.gov>

FESIA A. DAVENPORT
Chief Executive Officer

Board of Supervisors
HILDA L. SOLIS
First District

HOLLY J. MITCHELL
Second District

SHEILA KUEHL
Third District

JANICE HAHN
Fourth District

KATHRYN BARGER
Fifth District

May 17, 2022

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, CA 90012

Dear Supervisors:

**SEVEN-YEAR LEASE AMENDMENT
DEPARTMENT OF PUBLIC SOCIAL SERVICES
360 EAST MISSION BOULEVARD, POMONA
(FIRST DISTRICT) (3 VOTES)**

SUBJECT

Approval of a proposed seven-year amendment to an existing lease to provide the Department of Public Social Services (DPSS) continued use of 15,750 square feet of office space and 75 on-site parking spaces for the In-Home Supportive Services (IHSS) program.

IT IS RECOMMENDED THAT THE BOARD:

1. Find that the proposed amendment is exempt from the California Environmental Quality Act (CEQA), for the reasons stated in this Board letter and in the record of the project.
2. Authorize the Chief Executive Officer, or her designee, to execute the proposed amendment with Gardena Memorial Medical Plaza, LLC (Landlord), for approximately 15,750 square feet of office space and 75 on-site parking spaces located at 360 East Mission Boulevard, Pomona, CA 91766, to be occupied by DPSS. The estimated maximum first year rental cost is \$424,219 plus a lump sum payment for tenant improvements of \$60,000 and deducting a rent abatement of up to and no greater than \$5,884, for a total first year estimated cost of \$478,335. The estimated total amendment cost is \$3,305,000 over the seven-year term. The rental costs will be funded 81.48 percent with State and federal funds and 18.52 percent with net County cost.

3. Authorize and direct the Chief Executive Officer, or her designee, to execute any other ancillary documentation necessary to effectuate the proposed amendment, and to take actions necessary and appropriate to implement the proposed amendment, including, without limitation, exercising any early termination rights and any options to extend. If the two-year option to extend is exercised, the estimated maximum first year rental cost in the option term is \$516,670 and the estimated total lease cost would be \$4,349,000 over the nine-year term.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

The IHSS has occupied the subject facility since 2008. IHSS is a direct service program and helps pay for services provided to low-income elderly, blind, or disabled individuals. This facility will allow DPSS to continue to provide services to residents in Pomona, San Dimas, La Verne, Diamond Bar, Chino, Montclair, and Claremont. An average of 63 clients visit this IHSS office daily. This public office is occupied by 92 employees including six co-located employees and one security guard.

Teleworking options were expanded in the department in response to the COVID pandemic, however, DPSS re-opened its public offices as of October 1, 2021. While DPSS has reached very high levels of teleworking during the pandemic, those levels have been reduced since more staff have returned to the office in response to recommendations made by the Centers for Disease Control, the Department of Public Health, and Cal OSHA. Currently, 65 staff telework at least one day a week. DPSS recognizes that a disciplined telework program improves the County's fiscal and sustainability goals, therefore, DPSS will continue to make every effort to maintain a level of telework that allows for future consolidation of leased facilities.

The existing lease expired on March 31, 2018 and has been on a month-to-month holdover basis with a 20 percent holdover fee. DPSS has requested that the lease be renewed so that it may continue to provide services at this location.

The existing facility is near public transportation including Amtrak Pomona station, Metrolink Pomona station, and Foothill Transit bus lines.

Approval of the recommended actions will find that the proposed amendment is exempt from CEQA and will allow DPSS to continue to operate at the subject facility.

Implementation of Strategic Plan Goals

The Countywide Strategic Plan Goal 1 - *"Make Investments That Transform Lives"* - provides that we will aggressively address society's most complicated social, health, and public safety challenges. We want to be a highly responsive organization capable of responding to complex societal challenges – one person at a time.

The proposed amendment is also consistent with the Strategic Asset Management Plan Goal 2 – Strengthen Connection between Service Priorities and Asset Decisions; and Key Objective 4 – Guide Strategic Decision-Making.

The proposed amendment supports the above goals and objective by continuing to provide a centrally located office within the DPSS service area for participants to receive services.

The proposed amendment conforms with the Asset Management Principles outlined in Enclosure A.

FISCAL IMPACT/FINANCING

The aggregate cost associated with the proposed amendment over the entire seven-year term is \$3,305,000 and if the option to extend the term for two years is exercised, the cost for the option term is \$1,044,000 and the estimated total lease cost is \$4,349,000 over the nine-year term as shown on Enclosure B-1. The rental costs will be funded by 81.48 percent State and federal funds and 18.52 percent with net County cost.

Sufficient funding to cover the proposed rent, for the first year of the proposed amendment term is included in the Fiscal Year (FY) 2021-22 Rent Expense budget and will be billed back to DPSS. DPSS has sufficient funding in its FY 2021-22 Operating Budget to cover the proposed rent for the first year. Beginning in FY 2022-23, ongoing funding for costs associated with the proposed amendment will be part of the budget for DPSS. The costs for Low Voltage Items will be paid by DPSS directly to ISD and are not part of the proposed amendment costs. DPSS will contract and pay for furniture separately from the proposed amendment.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

In addition to the terms previously stated, the proposed amendment also contains the following provisions:

- Upon commencement of the proposed amendment, the annual rental rate will decrease from \$32.50 per square foot per year to \$26.93 per square foot, per year, including parking. With the holdover fee, the County has been paying \$39.00 per square foot per year prior to the April Consumer Price Index (CPI) adjustment. Base rent is subject to annual increases based on the CPI and shall not be less than 2 percent or greater than 3 percent per annum.
- The estimated maximum first year rental cost of \$424,219 including parking, is adjusted to \$478,335 after including a lump sum payment for tenant improvements of \$60,000 and deducting a rent abatement of up to and no greater than \$5,884 which represents the maximum number of days for the construction period for the lobby area.

- The Landlord will perform tenant improvement work, which is estimated to be approximately \$260,000 (\$16.51 per square foot). The County will pay the Landlord for any tenant improvement costs in excess of \$200,000, but the County contribution shall not exceed \$60,000. The tenant improvement work includes, but is not limited to, remodeling the building lobby to include the reconfiguration of receptionist office, conference room, administrative office, painting the entire premises, new carpet, vinyl tiles and base throughout the premises, and minor American with Disabilities Act work.
- If the County initiates a change to the Landlord's base improvement work, the Landlord will provide a maximum change order allowance of up to \$5,000, which shall be paid by the County to the Landlord in a lump sum payment.
- The Landlord is responsible for all operating and maintenance costs of the building including all utilities and janitorial services. The County has no responsibility for any operating and maintenance costs. The County is not subject to property tax increases.
- The 75 on-site parking spaces are included at no additional cost.
- The County has been in holdover since April 1, 2018, with a 20 percent holdover fee. By June 30, 2022, the total holdover fee paid by the County will be \$420,039.
- The County will be credited an amount up to and no greater than \$5,884, applied at the beginning of the term, as a rent abatement for existing leased space that would be rendered unusable during the tenant improvement work conducted by the Landlord. The rent abatement is \$65.38 per day multiplied by the number of days of construction by Landlord, not to exceed ninety (90) days.
- A seven-year initial term with an option to extend the amendment for an additional two years with written notice of its election to do so, no later than 180 days, nor earlier than 365 days, prior to the end of the initial term. The base rent shall increase annually at a fixed rate of 2 percent. Staff seeks authority to exercise the option to extend which will only be exercised if the department desires to remain in this space at the end of the seven-year term, the department completes the space request evaluation process and is approved by CEO real estate and budget, and an analysis has been performed to confirm the option rent is below or within market. If all options are exercised, the total term of the proposed amendment would be nine years.

- The County has the right to terminate the proposed amendment any time following the fifth anniversary of the commencement date, with nine months prior written notice, and the payment of a termination fee. The termination fee shall be equal to the Landlord's unamortized \$200,000 tenant improvement costs. The Landlord's tenant improvement costs shall be amortized over the term of the amendment, on a straight-line basis, without interest.
- Holdover at the proposed amendment expiration shall be the same base rent as at the time of expiration. Tenancy following the expiration of the amendment term is terminatable by either party upon 90 days written notice.
- The proposed amendment will be effective upon the first day of the first calendar month following approval by the Board and full execution of the proposed amendment.

The Chief Executive Office (CEO) conducted a market search of available office space for lease but was unable to identify any sites that could accommodate this requirement more economically. Based upon a review of available industry data, it has been established that the annual rental range for a comparable lease in the area is between \$27 and \$30 per square foot, per year. The base annual rental rate of \$26.93 per square foot, per year for the proposed amendment represents a rate that is below the market range for the area. Further, relocation to a new building would require costly improvements. We recommend the proposed facility as the most suitable to meet the County's space requirements.

There are no co-working office space companies in Pomona to accommodate the required space needs.

Enclosure C shows County-owned or leased facilities within the surveyed area, and there are no suitable County-owned or leased facilities available for this space requirement.

The Department of Public Works has inspected this facility and found it suitable for the County's occupancy. The required notification letter to the City of Pomona has been sent in accordance with Government Code section 25351.

County Counsel has reviewed the proposed amendment and approved it as to form. The amendment is authorized by Government Code section 25351, which allows the County to enter into leases and agreements for the leasing of buildings, as necessary, to carry out the work of the County government.

The proposed amendment will continue to provide an appropriate location for the program, which is consistent with the County's Facility Location Policy, adopted by the Board on July 24, 2012, as outlined in Enclosure D.

ENVIRONMENTAL DOCUMENTATION

This project is exempt from the California Environmental Quality Act (CEQA), as specified in Class 1 of the Environmental Document Reporting Procedures and Guidelines adopted by the Board, and section 15301 of the State CEQA Guidelines (Existing Facilities). The proposed amendment, which involves the leasing of existing office space with minor tenant improvements within an existing building, with no expansion of the existing building, is within a class of projects that have been determined not to have a significant effect on the environment and meets the criteria set forth in section 15301 of the State CEQA Guidelines (Guidelines), and Class 1 of the County's Environmental Document Reporting Procedures and Guidelines, Appendix G. In addition, based on the proposed project records, it will comply with all applicable regulations, and there are no cumulative impacts, unusual circumstances, damage to scenic highways, listing on hazardous waste site lists compiled, pursuant to Government Code section 65962.5, or indications that it may cause a substantial adverse change in the significance of a historical resource that would make the exemption inapplicable.

Upon the Board's approval of the recommended actions, a Notice of Exemption will be filed with the Registrar-Recorder/County Clerk in accordance with section 21152 of the California Public Resources Code.

IMPACT ON CURRENT SERVICES (OR PROJECTS)

The proposed amendment will adequately provide the necessary office space for this County requirement. DPSS concurs with the proposed amendment and recommendations.

The Honorable Board of Supervisors
May 17, 2022
Page 7

CONCLUSION

It is requested that the Executive Office of the Board of Supervisors, return one certified copy of the Minute Order and the adopted stamped Board letter to the CEO, Real Estate Division at 320 West Temple Street, 7th Floor, Los Angeles, CA 90012, for further processing.

Respectfully submitted,

FESIA A. DAVENPORT
Chief Executive Officer

FAD:JMN:JTC
JLC:MN:MT:gw

Enclosures

c: Executive Office, Board of Supervisors
County Counsel
Auditor-Controller
Public Social Services

**DEPARTMENT OF PUBLIC SOCIAL SERVICES
360 EAST MISSION BOULEVARD, POMONA
Asset Management Principles Compliance Form¹**

1.	<u>Occupancy</u>		Yes	No	N/A
A	Does lease consolidate administrative functions?		X		
B	Does lease co-locate with other functions to better serve clients?				X
C	Does this lease centralize business support functions?		X		
D	Does this lease meet the guideline of 200 sq. ft of space per person? ² The amendment represents 171 sq. ft. per person for office space due to a higher number of persons per office space.			X	
E	Does lease meet the 4/1000 sq. ft. parking ratio guideline? ² The amendment is above the guideline ratio at 4.76/1,000 as it includes 75 parking spaces to accommodate staff and public.			X	
F	Does public parking and mass-transit exist to facilitate employee, client and visitor access to the proposed lease location?		X		
2.	<u>Capital</u>				
A	Is it a substantial net County cost (NCC) program? The rental costs will be funded by 81.48 percent with State and federal funds and 18.52 percent net County cost.			X	
B	Is this a long-term County program?		X		
C	If yes to 2 A or B; is it a capital lease or an operating lease with an option to buy?			X	
D	If no, are there any suitable County-owned facilities available?			X	
E	If yes, why is lease being recommended over occupancy in County-owned space?				X
F	Is Building Description Report attached as Enclosure C?		X		
G	Was build-to-suit or capital project considered? ² The County already occupies the facility and a capital project was not considered.			X	
3.	<u>Portfolio Management</u>				
A	Did department utilize CEO Space Request Evaluation (SRE)?		X		
B	Was the space need justified?		X		
C	If a renewal lease, was co-location with other County departments considered?		X		
D	Why was this program not co-located?				X
	1. ____ The program clientele requires a "stand alone" facility.				
	2. ____ No suitable County occupied properties in project area.				
	3. ____ No County-owned facilities available for the project.				
	4. ____ Could not get City clearance or approval.				
	5. ____ The Program is being co-located.				
E	Is lease a full-service lease? ²		X		
F	Has growth projection been considered in space request?		X		
G	¹ Has the Dept. of Public Works completed seismic review/approval?		X		
¹ As approved by the Board of Supervisors 11/17/98					

ENCLOSURE B-1

OVERVIEW OF THE BUDGETED LEASE AMENDMENT AND RELATED COSTS

Department of Public Social Services (DPSS)
360 East Mission Boulevard, Pomona

Basic Lease Assumptions

Leased Area (sq.ft.)	15,750	
Term (months)	84	
Annual Rent Adjustment	3.00%	
	Cost Per RSF Per Month	Cost Per RSF Per Year
Base Rent ¹	\$2.24	\$26.93

Option 1 Basic Lease Assumptions

Leased Area (sq.ft.)	15,750	
Term (months)	24	
Annual Rent Adjustment	2.00%	
	Cost Per RSF Per Month	Cost Per RSF Per Year
Base Rent	\$2.73	\$32.80

7 Year Term	1 st Year	2 nd Year	3 rd Year	4 th Year	5 th Year	6 th Year	7 th Year	Total 7 Year Rental Costs
Annual Base Rent Costs ^{2,3}	424,219	436,946	450,054	463,555	477,462	491,786	506,540	3,251,000
Lump Sum Payment for Tenant Improvements ⁴	60,000							60,000
Rent Abatement ⁵	(5,884)							(6,000)
Total Paid to Landlord	478,335	436,946	450,054	463,555	477,462	491,786	506,540	3,305,000
Total Annual Lease Costs	478,335	436,946	450,054	463,555	477,462	491,786	506,540	3,305,000

Option 1	1 st Year	2 nd Year	Total 2 Year Rental Costs	Total 9 Year Rental Costs
Annual Base Rent Costs ⁶	516,670	527,004	1,044,000	4,349,000
Total Annual Lease Costs	516,670	527,004	1,044,000	4,349,000

Footnotes

¹ The Cost Per RSF calculations are based on the rent stated in the lease as \$35,351.54. For example the cost per RSF per month is calculated by \$35,351.54/15,750sf=\$2.24 and cost per RSF per year is \$424,219/15,750sf=\$26.93.

² Base rent for the office space includes annual adjustments based on CPI with minimum of 2 percent and cap of 3 percent. This schedule assumes the 3 percent cap per year.

³ A total of 75 on-site parking spaces are included in the rent.

⁴ Lump Sum Payment for Tenant Improvements. The estimated tenant improvement costs are \$260,000. Landlord agreed to pay \$200,000 and the County agreed to pay up to \$60,000 in a lump sum.

⁵ Landlord will provide a rent abatement for existing leased space that would be rendered unusable during the Tenant Improvement work for up to 90 days. The per day cost of the unusable space is \$65.38.

⁶ Base rent under Option 2 increases 2 percent per annum.

*Calculation note: All numbers are rounded up to ensure sufficient funds available to pay the specified expense.

7 Year Term	Option 1	Total Costs
3,305,000	1,044,000	4,349,000

COMPARISON OF THE PROPOSED AMENDMENT TO EXISTING LEASE

	Existing Lease: 360 East Mission Boulevard, Pomona	Proposed Amendment 360 East Mission Boulevard, Pomona	Change
Area (Square Feet)	15,750 sq. ft.	15,750 sq. ft.	No Change
Term (years)	10 years	7 years plus 2-year option to renew	3 years with one 2-year option to renew
Annual Base Rent (Base rent includes 75 parking spaces)	\$614,265 ⁽¹⁾	\$424,219 (\$26.93 per sq. ft. annually)	-\$190,046 annually
Lump Sum Payment for Tenant Improvements	N/A	\$60,000	+\$60,000
Rent Abatement	N/A	-\$5,884 ⁽²⁾	-\$5,884
Total Annual Lease Costs payable to Landlord	\$614,265	\$478,335 ⁽³⁾	-\$135,930 annually
Rental rate adjustment	Annual CPI adjustments capped at 6 percent with 4 percent minimum.	Annual CPI adjustments capped at 3 percent with 2 percent minimum.	-3 percent

⁽¹⁾ \$39.00 per sq. ft. annually based on base rent of \$32.50 per sq. ft. plus 20% holdover fee since April 1, 2021. The 20% holdover fee has been charged since April 1, 2018. By June 30, 2022, the total holdover fee paid by the County will be \$420,039.

⁽²⁾ The County will be credited \$5,884, applied at the beginning of the term, as a rent abatement for the tenant improvement work conducted by the Landlord. The rent abatement is \$65.38 per day multiplied by the number of days of construction by Landlord, not to exceed ninety (90) days.

⁽³⁾ Rent for the subsequent years will increase. See Enclosure B-1.

DEPARTMENT OF PUBLIC SOCIAL SERVICES

SPACE SEARCH – 3 MILE RADIUS FROM 360 EAST MISSION BOULEVARD, POMONA

LACO	Name	Address	Ownership Type	Gross Sq Ft	Vacant
A036	Probation – Pomona Valley Area Office	1660 W. Mission Blvd., Pomona 91766	Leased	21,680	None
A359	DPSS – Pomona GAIN Region III Sub-Office	2255 N Garey Ave. Pomona 91766	Leased	19,500	None
A300	District Attorney – Pomona Intervally Office Building	300 S. Park Ave. Pomona 91766	Leased	16,757	None
A019	Air Operations 24 - Hr Multi - Mission Squad	1889 Mckinley Ave La Verne 91750	Leased	9,600	None
4135	Brackett Field - Administration Building - 1	1615 W Mckinley Ave La Verne 91750	Owned	9,393	None
A370	DPSS – Pomona (GROW)	416 N. Garey Ave, Pomona 91768	Leased	5,000	None
10208	BOS 1 st District Field Office	2245 N. Garey Ave, Pomona 91767	Leased	1,257	None
A686	Sheriff – Metrolink Unit (Pomona)	2558 Supply St., Pomona 91767	Contract	1,200	None

FACILITY LOCATION POLICY ANALYSIS

Proposed amendment: Seven-year amendment for the DPSS Services – 360 East Mission Boulevard, Pomona – First District.

A. Establish Service Function Category – In-Home Support Services (IHSS) Program

B. Determination of the Service Area – The proposed amendment will allow DPSS to continue to provide services to residents in the Pomona, San Dimas, La Verne, Diamond Bar, Chino, Montclair and Claremont. IHSS is a direct service program and helps pay for services provided to low-income elderly, blind or disabled individuals.

C. Apply Location Selection Criteria to Service Area Data

- Need for proximity to service area and population: This location meets the needs of DPSS and remains in an appropriate area.
- Need for proximity to existing County facilities: N/A
- Need for proximity to Los Angeles Civic Center: N/A
- Economic Development Potential: N/A
- Proximity to public transportation: The location is adequately served by local transit services including the Amtrak Pomona station, Metrolink Pomona station and Foothill Transit bus lines.
- Availability of affordable housing for County employees: The surrounding area provides for affordable housing and rental opportunities.
- Use of historic buildings: N/A
- Availability and compatibility of existing buildings: There is no space available in existing County-owned buildings to meet the departments service needs.
- Compatibility with local land use plans: The City of Pomona has been notified of the proposed County use which is consistent with its use and zoning for office space at this location.
- Estimated acquisition/construction and ongoing operational costs: The aggregate cost associate with the proposed amendment over the entire term is approximately \$3,305,000.

D. Analyze results and identify location alternatives

The CEO conducted a market search of available office space for lease but was unable to identify any sites that could accommodate this requirement more economically. Based upon a review of available industry data, it has been established that the annual rental range for a comparable lease in the area is between \$27 and \$30 per square foot, per year. The base annual rental rate of \$26.93 per square foot, per year, for the proposed amendment represents a rate that is below the market range for the area. Further, relocation to a new building would require costly improvements. We recommend the proposed facility as the most suitable to meet the County's space requirements.

E. Determine benefits and drawbacks of each alternative based upon functional needs, service area, cost, and other Location Selection Criteria

The proposed amendment will provide adequate and efficient office space for DPSS employees and clients consistent with the County's Facility Location Policy, adopted by the Board on July 24, 2012. There are no available buildings in the area that meet Department requirements.

**AMENDMENT NO. 2 TO COUNTY LEASE NO. L-75968
360 EAST MISSION BOULEVARD, POMONA**

This Amendment No. 2 to Lease No. L-75968 ("Amendment No. 2") is made and entered into this _____ day of _____, 2022 ("Effective Date"), by and between Gardena Memorial Medical Plaza, LLC, a California limited liability company, hereinafter referred to as "Landlord," and the County of Los Angeles, a body corporate and politic, hereinafter referred to as "Tenant."

RECITALS:

WHEREAS, Landlord and Tenant entered into that certain Lease No. L-75968 dated December 19, 2006 ("Original Lease"), for approximately 17,616 rentable square feet of office space located at 360 East Mission Avenue, Pomona, California ("Premises").

WHEREAS, Amendment No. 1 to Lease No. L-75968 executed on November 21, 2007 ("Amendment No. 1"), among other things, amended the terms of the Original Lease to reduce the Premises to 15,750 rentable square feet to reflect measurements and adjust the projected commencement date. As used in this Amendment No. 2, the term "Lease" shall mean the Original Lease as amended by Amendment No. 1 and this Amendment No. 2. Each capitalized term used in this Amendment No. 2, but not defined herein, shall have the meaning ascribed to it in the Original Lease.

WHEREAS, Landlord and Tenant now wish to amend the Lease to provide for among other matters, an extension of the Term and adjustment to the rent, all upon and subject to each of the terms, conditions, and provisions set forth herein.

NOW, THEREFORE, in consideration of the mutual covenants and agreements herein contained and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Landlord and Tenant agree and amend the Lease as follows:

AGREEMENTS

1. **ADDRESSES FOR NOTICE**. Sections 1.1(a) and (b) of the Original Lease are hereby deleted in their entirety, and the following language is inserted in substitution thereof:

“(a) Landlord’s Address for Notice:	Gardena Memorial Medical Plaza, LLC 3191 Casitas Avenue, Suite 200 Los Angeles, CA 90039 Attn: Property Manager
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“(b) Tenant’s Address for Notice:	County of Los Angeles Chief Executive Office Real Estate Division Hall of Records 320 West Temple Street, 7th Floor Los Angeles, California 90012 Attention: Director of Real Estate
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2. ASBESTOS REPORT. Section 1.1(o) of the Original Lease is hereby amended by adding the following language:

"An updated report dated May 27, 2006 prepared by Environmental Monitoring Group, a licensed California Asbestos contractor."

3. DISABLED ACCESS SURVEY. A new lease Section 1.1(p) is hereby added to the Lease as follows:

"(p) Disabled Access Survey: A report dated February 11, 2021, prepared by CASp Experts LLC."

4. EXTENSION OF THE TERM. Landlord and Tenant acknowledge that the Term of the Original Lease expired on March 31, 2018, and that the Lease is currently valid and in holdover on a month-to-month basis, pursuant to Section 7 of the Original Lease. Notwithstanding anything to the contrary in the Lease, the Lease is hereby amended to extend the Lease term for an additional seven (7) years commencing on the first day of the month following approval of the County Board of Supervisors and mutual execution and delivery of this Amendment No. 2 ("Extension Commencement Date"), and terminating at midnight on the day before the seventh (7) anniversary of the Extension Commencement Date ("Lease Expiration Date"). The period of time commencing on the Extension Commencement Date and terminating on the Lease Expiration Date shall be referred herein as the "Extension Term."

5. MONTHLY PAYMENT (RENT).

(a) As of the Extension Commencement Date, the amount of Base Rent set forth in Section 1.1(h) of the Original Lease is amended to be **thirty-five thousand three hundred fifty-one dollars and fifty-three cents (\$35,351.54) per month (i.e. \$2.24 per rentable square foot per month)**. The Base Rent shall increase annually based on the Consumer Price Index for all Urban Consumers for the Los Angeles-Riverside-Orange County Area pursuant to Section 5 of the Original Lease, except that Section 5(d) of the Original Lease is amended so that the Base Rent adjustment shall not be less than 2% or greater than 3% per year.

(b) Provided that Tenant is not in Default prior to the date (the "Completion Date") on which Landlord substantially completes the Extension Term Tenant Improvements (as defined below), Tenant shall receive a conditional abatement of a portion of the monthly Base Rent in the amount of sixty-five and 38/100 dollars (\$65.38) per day payable during the period beginning on the date on which Landlord commences the Extension Term Tenant Improvements and ending on the Completion Date; provided however, in no event shall the total number of days during which Base Rent is partially abated exceed ninety (90) days. The conditional Base Rent abatement provided in this Section ("Concession") shall be conditioned upon Tenant's strict compliance with all of the terms of the Lease. If Tenant shall be in Default at any time prior to the Completion Date, then the Concession shall immediately become null and void, Base Rent shall not be abated and shall immediately revert back to the amount that would be due under the Lease but for the Concession, and Tenant shall immediately become liable to Landlord for any and all amounts theretofore unpaid as a result of the Concession, as well as for the late charges and interest thereon to the extent late charges and interest are due under the Lease in the event of a delinquency (i.e., all conditionally abated amounts shall be deemed to have been delinquent).

6. EARLY TERMINATION. Sections 4(b) and 4(c) of the Original Lease are hereby deleted in their entirety. Sections 1.1(i) and 4(d) of the Original Lease are hereby deleted in their entirety, and the following language is inserted in substitution thereof:

"1.1(i) Early Termination Date: The fifth anniversary of the Extension Commencement Date."

"4(d) Early Termination. Tenant shall have the right to terminate this Lease at any time after the Early Termination Date specified in Section 1.1(i), by giving Landlord nine (9) months prior written notice, executed by Tenant's Chief Executive Officer or his/her designee ("Termination Notice"). If the Lease is terminated pursuant to this Section, Tenant shall reimburse Landlord for the unamortized amount of the Tenant Improvement Allowance ("Termination Fee"). As used in this Amendment No. 2, the phrase "Tenant Improvement Allowance" shall mean \$200,000, and for purposes of this Section 4(d) the Tenant Improvement Allowance shall be amortized on a straight-line basis with no interest factor. The Termination Fee shall be paid thirty (30) days in advance of the effective early termination date."

7. HOLDOVER. Section 7 of the Original Lease is hereby deleted in its entirety, and the following language is inserted in substitution thereof:

"7. HOLDOVER. If Tenant remains in possession of the Premises or any part thereof after the expiration of the Extension Term, such occupancy shall be a tenancy which is terminable by either party only upon ninety (90) days written notice to the other party. The Base Rent for any holdover period shall be the last monthly Base Rent payable under this Lease, plus any other charges payable under this Lease, and subject to all of the terms, covenants and conditions of this Lease."

8. SERVICES AND UTILITIES.

a. Section 11(f) of the Original Lease is hereby deleted in its entirety, and the following language is inserted in substitution thereof:

"(f) Pest Control. Landlord at its sole cost and expense shall provide any and all pest control services to the Premises on as needed basis as determined by a licensed exterminator."

b. A new Section 11(h) is hereby added to the Lease as follows:

"(h) Access. Landlord shall furnish to Tenant's employees and agents access to the Premises on a seven day per week, 24 hour per day basis, subject to compliance with such reasonable security measures as shall from time to time be in effect for the Premises."

c. A new Section 11(i) is hereby added to the Lease as follows:

"(i) Landlord agrees to pay, at its sole cost, when due, all charges for the use of the sewer, effluent treatment (when and if imposed by any governmental authority), water, sprinkler standby charges, electricity, gas, heating and common area power and lighting, trash removal service, fire/life safety

systems, charges associated with the HVAC, and other utility rents and charges accruing or payable in connection with the Premises during the Extension Term of this Lease or any further renewal, extension, or holdover thereof, whether the same are pro-rated or measured by separate meters. In the event Landlord fails or refuses to pay any or all of such charges when due, Tenant may give Landlord ten (10) calendar days prior written notice and thereafter pay directly such charges and deduct the payments from the next installments of rent due as a charge against the Landlord. "

9. ENVIRONMENTAL MATTERS. The Original Lease is amended to insert as a new Section 21(c) the following paragraph:

"(c) Landlord Representations and Warranties. Except for (i) any Hazardous Materials brought onto the Premises by Tenant and (ii) as set forth in the report described in Section 1.1(o) of the Lease, Landlord represents and warrants that the Building and Premises are free of Hazardous Materials as of August 31, 2020."

10. ASSIGNMENT BY TENANT. Section 29(b) of the Original Lease is amended by adding the following sentence at the end thereof: "Notwithstanding the foregoing, Tenant shall not assign the Lease or sublet any portion of the Premises without Landlord's prior written consent, which consent shall not be unreasonably withheld, conditioned, delayed or denied."

11. OPTION TO EXTEND. The Original Lease is amended to insert as a new Section 34 the following paragraphs:

"34. OPTION TO EXTEND.

(a) Option Term. Provided that no Default has occurred and is continuing under the Lease at the time the option is exercised, Tenant shall have one (1) option (the "Option to Extend") to renew this Lease for an additional period of two (2) years (the "Option Extension Term").

(b) Exercise of Option. Tenant must exercise its Option to Extend this Lease by giving Landlord written notice of its election to do so no later than one hundred eighty (180) days, nor earlier than three hundred sixty-five (365) days, prior to the end of the initial Term. If Tenant fails to give such written notice to Landlord, then the Option to Extend shall terminate, and without any further notice, act, or agreement, this Lease will terminate as of the then-applicable expiration date, and neither Landlord nor Tenant will have any further obligation or liability under this Lease arising or continuing from and after such expiration date, subject, however, to the provisions that expressly survive termination of this Lease.

(c) Terms and Conditions of Option Extension Term. The Option Extension Term shall be on all the terms and conditions of this Lease, except that Base Rent shall increase at the commencement of the Option Extension Term and will increase on each anniversary of the commencement of the Option Extension Term at a fixed rate of two percent (2%).

12. EXTENSION TERM TENANT IMPROVEMENTS. The Original Lease is amended to insert as a new Section 35 the following paragraphs:

"35. EXTENSION TERM TENANT IMPROVEMENTS.

(a) Landlord Obligations and Construction Schedule. Landlord, at Landlord's sole cost and expense, shall perform the modifications to the Premises listed in Exhibit "I" to the Lease ("Extension Term Tenant Improvements") to Tenant's satisfaction. Landlord shall complete the Extension Term Tenant Improvements in accordance with the construction schedule listed in Exhibit "I" to the Lease ("Construction Schedule").

(b) As-Built Drawings. Within sixty (60) days after completion of the Extension Term Tenant Improvements, Landlord shall furnish the Chief Executive Office with one (1) complete set of reproducible as-built drawings of the Extension Term Tenant Improvements on a CAD system basis.

(c) Code Compliance. The Premises shall meet all applicable City, County, State and Federal building codes, regulations and ordinances required for beneficial occupancy. **Without limiting the generality of the foregoing, construction of the Extension Term Tenant Improvements shall comply with all applicable laws and regulations, including but not limited to the provisions of the California Labor Code relating to the payment of prevailing wages on public works projects, unless the work is otherwise exempt therefrom pursuant to the California Labor Code. Under the provisions of the Labor Code, the State Department of Industrial Relations will ascertain the prevailing hourly wage rate and details pertinent thereto for each craft, classification, or type of workman or mechanic needed for the construction of the tenant improvements. Particulars of the current prevailing wage scale, as approved by the Board of Supervisors, which are applicable to the work, are filed with the Clerk of the Board of Supervisors and must be posted at the site.** Any work, including construction, that Landlord must undertake to obtain the necessary jurisdictional approvals for occupancy shall be at Landlord's sole cost and expense. Any work undertaken to meet applicable code requirements necessitated by Tenant's special requirements shall be at Landlord's sole cost and expense.

(d) Completion. The parties agree that the estimated time for completion of said Extension Term Tenant Improvements is ninety (90) days from the date of issuance of the building permit based on the Construction Schedule. Landlord shall file for a building permit, if applicable, to construct the Extension Term Tenant Improvements as set forth on the Construction Schedule and Landlord shall diligently pursue the issuance of such permit through completion as soon as possible. All work related to the Extension Term Tenant Improvements shall be performed during non-business hours of Tenant. To the extent that such work cannot be completed during non-business hours, Landlord shall use its best efforts to perform the work in a manner so as to minimize any disruption of Tenant's use of the Premises.

(e) Delay. Completion of the Extension Term Tenant Improvements may be delayed by:

(i) Acts or omissions of Tenant or its employees or agents (including any change orders requested by Tenant), or

(ii) Any act of God or other force majeure event (including, without limitation, the existence and continuation of the coronavirus (Covid-19) pandemic) which Landlord could not have reasonably foreseen and provided for, or

(iii) Any strikes, boycotts or like obstructive acts by employees or labor organizations which Landlord cannot overcome with reasonable effort and which Landlord

could not have reasonably foreseen and provided for, or

(iv) Any war or declaration of a state of national emergency, or

(v) The temporary closure or reduction in regular hours or services of any governmental agency, or the imposition by government action or authority of restrictions upon the procurement of labor or materials necessary for the completion of the tenant improvements.

(f) Change Requests. All Tenant-initiated and approved change requests shall not exceed a total cost of Five Thousand Dollars (\$5,000), and Landlord shall not be required to accept any particular change request if the total cost of prior Tenant-initiated change requests exceeds Five Thousand Dollars (\$5,000). The Chief Executive Officer or his/her designee is hereby authorized to approve change requests on behalf of Tenant. Tenant shall pay for change request costs in a lump sum within ten (10) days after completion of the Extension Term Tenant Improvements. Landlord, or Landlord's contractor, shall submit to the Chief Executive Officer or his/her designee with each change request (a) the specific cost of the requested change; (b) the cumulative net total cost of all change requests previously approved; and (c) an estimate of the number of days by which construction time will be increased or shortened if the change request is approved. Each change request must be signed and dated by the Chief Executive Officer or his/her designee in order to be considered approved. Unless request by Tenant in writing, Landlord shall not be required to suspend work on the Extension Term Tenant Improvements between the time Tenant initiates a change request and the date on which the Chief Executive Officer or his/her designee signs the same, and if Tenant so requests a suspension, the period of time that work is suspended shall delay the date for completion of the Extension Term Tenant Improvements. Tenant shall have the right to audit the cost of the changes within ninety (90) days after the completion of the Extension Term Tenant Improvements. If Tenant requests a rent reduction due to its audit of these costs, Tenant shall provide Landlord with a copy of the audit summary as part of its request.

(g) Construction. Construction of the Extension Term Tenant Improvements will be subject to the following terms and conditions:

(i) Notice of Nonresponsibility. Landlord and its contractors and subcontractors shall cooperate with Tenant in posting a notice or notices of nonresponsibility by Tenant in compliance with California Civil Code Section 8444.

(ii) Warranties. Landlord warrants that the Extension Term Tenant Improvements shall be free from any defects in workmanship and materials for a period of not less than two (2) years from the date of Substantial Completion. Landlord shall use reasonable efforts to cause each contractor and subcontractor to provide warranties of like duration (but in no event less than one (1) year) in all construction contracts relating to the Extension Term Tenant Improvements and, upon Tenant's request, Landlord shall assign to Tenant any such warranties relating to the Extension Term Tenant Improvements. Patent defects in the Extension Term Tenant Improvements shall be brought to Landlord's attention promptly. Latent or hidden defects in the Extension Term Tenant Improvements shall be brought to Landlord's attention promptly upon Tenant's becoming aware of such defects. Landlord, at Landlord's sole cost and expense, shall promptly cause such defects to be repaired following receipt of notice thereof, and Tenant shall have the same rights with respect thereto as set forth herein for all other punch-list items.

(iii) Clean-Up and Substandard Work. Landlord will be responsible for all clean-up with respect to the Extension Term Tenant Improvements, whether in the Premises or in other areas utilized by Landlord or its contractors. Tenant shall deliver to Landlord written notice detailing substandard work in connection with the Extension Term Tenant Improvements. If Landlord fails to correct such substandard work within thirty (30) days after Tenant's notice (or if such substandard work cannot reasonably be corrected within thirty (30) days, then such additional time as is reasonably necessary so long as Landlord commences within such thirty (30) day period, and thereafter diligently prosecutes, correction of such substandard work), then Landlord agrees to reimburse Tenant for any and all expenses incurred by Tenant by reason of substandard work performed by Landlord's contractor or contractors (as reasonably determined by Tenant according to the usual standards of work in the Building) or as a result of inadequate clean-up.

(h) Tenant Remedies. If the Extension Term Tenant Improvements have not been completed within sixty (60) days from the estimated time of completion, which period shall be extended for the periods of time resulting from delays enumerated above, then Tenant may, upon thirty (30) days written notice to Landlord, assume the responsibility for constructing or completing the Extension Term Tenant Improvements itself. If Tenant elects to construct or complete the Extension Term Tenant Improvements itself, then rent shall be reduced by Tenant's total expense in making the Extension Term Tenant Improvements, including any financing charges for capital and a reasonable amount for Tenant's administrative costs, and including interest at the rate of 10% per annum ("Tenant's Total Expense"). The rent reduction schedule shall be as mutually agreed to between the parties or, if no such agreement is made, Tenant's Total Expense shall be fully amortized in equal monthly amounts over the Extension Term and deducted from the Base Rent.

(i) Tenant's Extension Term Tenant Improvement Contribution and Method of Payment. Tenant shall pay Landlord the amount by which the cost of the Extension Term Tenant Improvements exceeds two hundred thousand dollars (\$200,000), not to exceed sixty thousand dollars (\$60,000), as Tenant's "Extension Term Tenant Improvement Contribution," which payment shall be made within thirty (30) calendar days after all of the following conditions have been met: (i) the Extension Term Tenant Improvements are Substantially Complete (as defined in the Original Lease); (ii) Landlord has provided Tenant with documentation substantiating all Extension Term Tenant Improvement costs, including without limitation, receipts, invoices, proof of payment, unconditional lien releases and approved changed orders; and (iii) Tenant has reconciled all Extension Term Tenant Improvement costs to determine and confirm the total amount spent to construct the Extension Term Tenant Improvements and the amount of the Tenant's Extension Term Tenant Improvement Contribution owed to Landlord, which reconciliation shall be commenced promptly after Landlord delivers to Tenant the documentation described in clause (ii) above and shall be diligently prosecuted to completion.

13. CASp INSPECTION. The Original Lease is amended to insert as a new Section 36 the following paragraphs:

"36. CASp INSPECTION. In accordance with California Civil Code Section 1938, Landlord hereby states that the Premises: [Check the appropriate box]

☐ Have undergone inspection by a Certified Access Specialist (a "CASp") and have been determined to meet all applicable construction related accessibility standards pursuant to California Civil Code Section 55.53. Landlord

shall provide Tenant with a copy of the CASp inspection report and a current disability access inspection certificate for the Premises within seven (7) days after the execution of this Lease.

☒ Have undergone inspection by a Certified Access Specialist and have not been determined to meet all applicable construction related accessibility standards pursuant to California Civil Code Section 55.53. Landlord has provided Tenant with a copy of the CASp inspection report at least 48 hours prior to the execution of this Lease. A Certified Access Specialist (CASp) can inspect the subject premises and determine whether the subject premises comply with all of the applicable construction-related accessibility standards under state law. Although state law does not require a CASp inspection of the subject premises, the commercial property owner or lessor may not prohibit the lessee or tenant from obtaining a CASp inspection of the subject premises for the occupancy or potential occupancy of the lessee or tenant, if requested by the lessee or tenant. The parties shall mutually agree on the arrangements for the time and manner of the CASp inspection, the payment of the fee for the CASp inspection, and the cost of making any repairs necessary to correct violations of construction-related accessibility standards within the premises.

☐ Has not undergone inspection by a Certified Access Specialist. A Certified Access Specialist (CASp) can inspect the subject premises and determine whether the subject premises comply with all of the applicable construction-related accessibility standards under state law. Although state law does not require a CASp inspection of the subject premises, the commercial property owner or lessor may not prohibit the lessee or tenant from obtaining a CASp inspection of the subject premises for the occupancy or potential occupancy of the lessee or tenant, if requested by the lessee or tenant. The parties shall mutually agree on the arrangements for the time and manner of the CASp inspection, the payment of the fee for the CASp inspection, and the cost of making any repairs necessary to correct violations of construction-related accessibility standards within the premises.

The foregoing statement is provided solely for the purpose of complying with California Civil Code Section 1938 and shall not affect the Landlord's and Tenant's respective responsibilities for compliance with any design and construction related accessibility obligations as provided under this Lease.

14. COVID-19 VACCINATIONS OF COUNTY CONTRACTOR PERSONNEL.
The Original Lease is amended to insert as a new Section 37 the following paragraph:

"37. COVID-19 VACCINATIONS OF COUNTY CONTRACTOR PERSONNEL. At Landlord's sole cost, Landlord shall comply with Chapter 2.212 (COVID-19 Vaccinations of County Contractor Personnel) of County Code Title 2 - Administration, Division 4."

15. COUNTERPARTS: The Original Lease is amended to insert as a new Section 38 the following paragraph:

"38. COUNTERPARTS. This Lease and any amendments or other document necessary for the consummation of the transaction

contemplated by this Lease may be executed in counterparts, including both counterparts that are executed on paper and counterparts that are in the form of electronic records and are executed electronically. All executed counterparts shall constitute one agreement, and each counterpart shall be deemed an original."

16. ELECTRONIC SIGNATURE: The Original Lease is amended to insert as a new Section 39 the following paragraph:

"39. ELECTRONIC SIGNATURE. The parties hereby acknowledge and agree that electronic records and electronic signatures, as well as facsimile signatures, may be used in connection with the execution of this Lease and any amendments or other document necessary for the consummation of the transaction contemplated by this Lease, and electronic signatures, facsimile signatures or signatures transmitted by electronic mail in so-called pdf format shall be legal and binding and shall have the same full force and effect as if a paper original of this Lease and any amendments or other document necessary for the consummation of the transaction contemplated by this Lease had been delivered and had been signed using a handwritten signature. Landlord and Tenant (i) agree that an electronic signature, whether digital or encrypted, of a party to this Lease or any amendment or other document necessary for the consummation of the transaction contemplated by this Lease is intended to authenticate this writing and to have the same force and effect as a manual signature, (ii) intended to be bound by the signatures (whether original, faxed or electronic) on any document sent or delivered by facsimile or, electronic mail, or other electronic means, (iii) are aware that the other party will rely on such signatures, and (iv) hereby waive any defenses to the enforcement of the terms of this Lease based on the foregoing forms of signature. If this Lease or any amendment or other document necessary for the consummation of the transaction contemplated by this Lease has been executed by electronic signature, all parties executing this document are expressly consenting under the United States Federal Electronic Signatures in Global and National Commerce Act of 2000 ("E-SIGN") and California Uniform Electronic Transactions Act ("UETA")(Cal. Civ. Code § 1633.1, et seq.), that a signature by fax, email or other electronic means shall constitute an Electronic Signature to an Electronic Record under both E-SIGN and UETA with respect to this specific transaction."

17. ACKNOWLEDGEMENT BY LANDLORD. Section 31(b) of the Original Lease is hereby deleted in its entirety and substituting in its place the following:

"31(b) Solicitation of Consideration. It is improper for any County officer, employee or agent to solicit consideration in any form from a landlord. A landlord shall not offer or give, either directly or through an intermediary, consideration in any form to a County officer, employee or agent who has had any involvement in the procurement, negotiation, consummation, administration or management of a lease.

Landlord shall immediately report any attempt by a County officer, employee or agent to solicit such improper consideration. The report shall be made to the

County Auditor-Controller's Employee Fraud Hotline at (800) 544-6861. Failure to report such solicitation may result in the Landlord's submission being eliminated from consideration.

Landlord hereby represents and warrants that it has not provided, and will not provide, any financial benefits to any County official, employee or agent who has had any involvement in the procurement, negotiation, consummation, administration or management of this Lease. Landlord hereby agrees that if it violates any of the terms of this Section 31(b), then the County may declare this Lease null and void, and the County reserves the right to exercise any and all other remedies available under applicable law."

18. EXHIBITS. The Original Lease is hereby amended by adding Exhibit "I" attached to this Amendment No. 2.

19. BROKERS. Except for Jones Lang LaSalle Brokerage, Inc., Landlord and Tenant each represent and warrant to each other that it has not engaged any broker, finder or other person who would be entitled to any commission or fees in respect of the negotiation, execution or delivery of this Lease other than as disclosed to the other in writing and shall indemnify and hold harmless each other against any loss, cost, liability or expense incurred by the other party as a result of any claim asserted by any such broker, finder or other person on the basis of any arrangements or agreements made or alleged to have been made in variance with this representation. Landlord shall pay Jones Lang LaSalle Brokerage, Inc. a commission pursuant to that certain Commission Agreement, dated April 1, 2020.

20. RATIFICATION AND CONFIRMATION OF LEASE. Except as modified herein, all other terms and conditions of the Lease remain in full force and effect. In the event that the terms and conditions of this Amendment No. 2 conflict with the terms and of the Original Lease or Amendment No. 1, then the terms and conditions of this Amendment No. 2 shall prevail and control.

21. FULL FORCE AND EFFECT. Landlord and Tenant each represent and warrant to the other that the Lease is in full force and effect and has not been assigned, modified, supplemented or further amended in any way. As an essential inducement to Landlord to execute this Amendment No. 2, Tenant certifies and warrants to and agrees with Landlord that (a) no event of default by Landlord under the Lease exists as of the date hereof, nor has any event occurred which, with the passage of time or the giving of notice, or both, would constitute an event of default, (b) Landlord is not in any manner in default in the performance or observance of any obligation or duty owed to Tenant, under the Lease or otherwise, and (c) Tenant has no defenses, offsets, claims or counterclaims to the observance and performance by Landlord of any provision of the Lease, or, if any such defenses, offsets, claims or counterclaims exist, they are hereby forever waived, released and settled as a material consideration for this Amendment No. 2.

22. ENTIRE AGREEMENT. The Lease contains the entire agreement of the parties hereto with respect to the subject matter hereof. No representations, inducements, or agreements, oral or otherwise, between the parties not contained in the Lease shall be of any force or effect. The Lease may not be modified, changed or terminated, in whole or in part, in any manner other than by an agreement in writing signed by duly authorized representatives of the parties hereto.

IN WITNESS WHEREOF, Landlord has executed this Amendment No. 2 or caused it to be duly executed and this Amendment No. 2 has been executed on behalf of the County by the Chief Executive Officer of the Chief Executive Office of the County the day, month, and year first above written.

LANDLORD:

GARDENA MEMORIAL MEDICAL PLAZA, LLC
a California limited liability company

By: 

Name: Jeff Stauffer_____
Its: Authorized Signatory

TENANT:

COUNTY OF LOS ANGELES,
a body corporate and politic

FESIA A. DAVENPORT
Chief Executive Officer

By: _____
John T. Cooke
Assistant Chief Executive Officer

ATTEST:

DEAN C. LOGAN
Registrar Recorder/County Clerk

By: _____
Deputy

APPROVED AS TO FORM:

RODRIGO A. CASTRO-SILVA
County Counsel

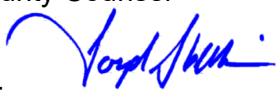
By: _____
Deputy

EXHIBIT "I"

EXTENSION TERM TENANT IMPROVEMENTS AND CONSTRUCTION SCHEDULE

Landlord, at Landlord's sole cost and expense shall deliver a "Turn-Key" improvement installation of the following modifications to the Building to Tenant's satisfaction:

REMODEL OF ENTRY LOBBY AND OFFICES– Lobby remodel and turnkey office space improvements including new walls, flooring, paint, electrical outlets and data outlets, ceiling, lights and HVAC. See Attachment A for space configuration. See Attachment B for material specifications.

- A. Administrative Office – Turnkey office space including closure of wall, electrical and data outlets, paint, flooring, door. Ceiling, lights and HVAC shall be existing. Furniture by Tenant.
- B. Receptionist office – Turnkey office space including window security glass, transaction slot and voice box and paint and flooring. Electrical outlets, data outlets, ceiling, lights and HVAC shall be existing. Furniture by Tenant.
- C. Two interview booths – Walls, flooring, paint, lights, electrical outlets, data outlets, ceiling. Furniture by Tenant.
- D. ADA Booth- Walls, flooring, paint, lights, electrical outlets, data outlets, ceiling. Furniture by Tenant.
- E. Print Station- Walls, flooring, paint, lights, electrical outlets, data outlets, ceiling. Furniture by Tenant.
- F. Security Desk- Walls, flooring, paint, lights, electrical outlets, data outlet. Furniture by Tenant.
- G. Computer Resource - Walls, flooring, paint, lights, electrical outlets, data outlets. Furniture by Tenant.
- H. 14 Seat Lobby – Flooring and paint. Furniture by Tenant.

PAINT AND FLOORING – New paint throughout the Premises. New flooring and baseboard throughout the Premises, including lifting of furniture and furniture systems.

CHAIR RAILS AT LARGE CONFERENCE ROOM – Install chair rails at large conference room.

PUBLIC REAR AREA CORRIDOR DOOR – Install door with viewing glass at public rear area corridor

WOMENS RESTROOM COUNTERTOP – Repair countertop at employee women's restroom.

ADA COMPLIANCE WORK - Compliance work agreed upon by Landlord, listed below in A thru D, and referenced in Accessibility Survey Report dated February 11, 2021. See Accessibility Survey Report.

- A. Tow-Away Warning Signs. Remove and replace tow signs with a Caltrans R100B warning sign.
- B. Parking Lot. Seal cracks in parking lot.
- C. Pedestrian Gate. Install a smooth kick plate, a minimum 10" high across the full width of the gate, at the bottom of the push side. Mount a tactile exit sign next to the gate at the latch side, centered 56" above the walkway. Sign shall have grade 2 contracted Braille beneath raised text stating "EXIT"

- D. Site Arrival Points. Provide a directional sign on the fence at the intersection of Mission and Elm with an arrow pointing to the pedestrian gate. Sign shall have a dark blue background display a white arrow and white ISA.

Construction Schedule

1. Within fifteen (15) days following mutual execution and delivery of the Amendment No. 2 to County Lease, Landlord shall provide the Tenant's designated representative, Edgar Pejoro, with paint and material specifications, in accordance with the specifications set forth in Attachment "B", for approval by Tenant.
2. Within fifteen (15) days following receipt of Tenant's written approval of the paint and material specifications, Landlord shall provide Tenant a construction schedule which details the schedule for the carpet, paint and construction.
3. Promptly after Tenant's written approval of the construction schedule, Landlord shall apply for, and diligently pursue the issuance of, all applicable building permits. Construction shall commence within five (5) business days following issuance of building permits.
4. Subject to Delays pursuant to Section 35(e) of the Lease, Landlord shall complete the Tenant Improvements set forth in Attachment "A" and "B" within ninety (90) days of commencement of construction.

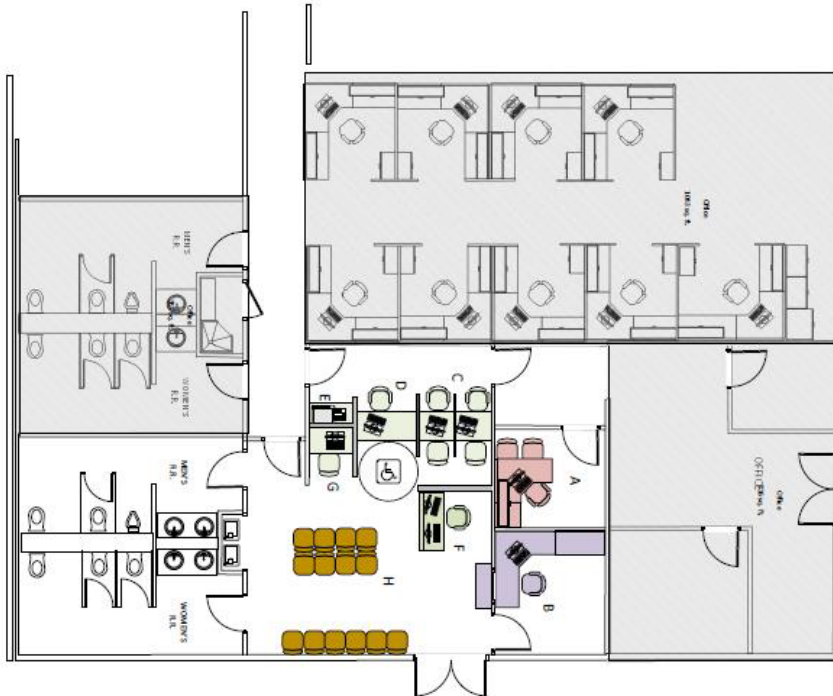
ATTACHMENT "A" PRELIMINARY PLAN

I. Partial Reconfiguration of Conference Room and Administration Space:

- A. Administrative Office @9'3"x8'4" 73 sq. ft.
- B. Receptionist Office @ 9'3"x10'4" 92 sq. ft.
- C. 2 Interview Booths @ 3' x11'10" 34 sq. ft.
- D. 1 ADA Booth @5'x11'10" 56 sq. ft.
- E. 1 Print Station
- F. Security Desk @ 60"x32"
- G. Computer Resource @3'9"x4'7"½ 26 sq. ft.
- H. 14 Seat Lobby @ 20'9"x13'10" 300 sq. ft.



Not in Scope of Work



ATTACHMENT "B"
EXTENSION TERM TENANT IMPROVEMENT SPECIFICATIONS

GENERAL

1. Extension Term Tenant Improvements shall conform to the requirements of all governing building, plumbing, mechanical, and electrical codes, and any and all other applicable requirements including State of California Administrative Code and The Americans With Disabilities Act. Landlord shall be responsible for obtaining all necessary permits, the cost of which will be paid by Landlord.
2. Scope of work shall include all labor, materials, supplies, equipment, services, specialties, transportation, and the cost thereof, required to complete Extension Term Tenant Improvements for said project.

DOORS, FRAMES, and HARDWARE

1. New interior doors shall be solid-core and shall match existing finish.
2. New interior door frames shall be aluminum and shall match existing finish.
3. Provide fire-rated assemblies as required by code.
4. Levers and locks shall be "Heavy-Duty Commercial" type, Schlage "D" series minimum, "Sparta" or approved equal and shall match existing finish.
5. Provide panic door hardware as required by code.
6. Doors and door hardware shall comply with the accessibility requirements of the California Administrative Code and the Americans with Disabilities Act.

FINISHES

1. **Carpet:**
 - a. Install new carpet tile throughout the Premises including corridors where carpet is currently installed.
 - b. Carpet tile shall be Interface Cubic Honor Roll 50cm x50cm or equal quality, weight, and size. Three options of color to be provided to the County for their final selection. The final selection will be provided to Landlord within 15 days or Landlord shall select same.
 - c. Landlord will be responsible for the furniture lift for carpet replacement, including moving any furniture, fixtures, (including the disconnection of electrical equipment), and other property which Landlord or its contractor may require be moved to perform the work, provided however, that upon prior notice from Landlord or its contractor, Tenant shall arrange for all appropriate telephone, communication, photo copy machines and computer wires or cables to be disconnected in advance of the moving of such equipment, and shall empty out, and remove any items from on top of, all filing cabinets and desks. Landlord and Tenant hereby agree to cooperate with the other party and exercise reasonable, good faith efforts to coordinate the timing and planning of the Tenant Improvements.

2. Ceramic Tile:

- a. New ceramic tile in construction area shall match existing in size, quality and finish.

3. Topset Base:

- a. Install 4" topset base at all carpet installation areas with new and existing walls and cabinet bases.
- b. Specify Roppe, Burke, Johnsonite or approved equal with color selection by County of Los Angeles.

4. Paint:

- a. Paint all new and existing interior spaces throughout the Premises, but not limited to walls and hard-lid ceilings. Provide one primer coat and two finish coats.
 - i. Office Areas: eggshell low-sheen finish.
 - ii. Lunchroom and Bathrooms: semi-gloss finish.
- b. Specify Dunn Edwards or approved equal.
- c. In the case that furniture systems are not replaced, then walls that are behind cubicles, fixed cabinets or millwork shall not be painted. Tenant will remove all items from walls prior to painting including memos, tape, pictures and personal property, but Landlord will remove and reinstall bulletin boards, white boards and similar wall items.

5. Ceiling Tiles

- a. New ceiling tiles in construction area shall match existing in size, quality and finish.

6. Lighting

- a. New lighting in construction area shall match existing in output, size, quality, and finish.

7. New Construction/Millwork

- a. New construction shall include full height walls between interview workstations and shall be constructed per code.
- b. New construction shall include millwork consisting of laminate worksurfaces/counters.
- c. Specify Wilsonart laminate or approved equal with color selection by County of Los Angeles.
- d. All Fixtures, Furniture and Equipment to be provided by County of Los Angeles.

BOARD LETTER/MEMO CLUSTER FACT SHEET

☒ Board Letter

☐ Board Memo

☐ Other

CLUSTER AGENDA REVIEW DATE	4/27/2022	
BOARD MEETING DATE	5/17/2022	
SUPERVISORIAL DISTRICT AFFECTED	<input checked="" type="checkbox"/> All <input type="checkbox"/> 1 st <input type="checkbox"/> 2 nd <input type="checkbox"/> 3 rd <input type="checkbox"/> 4 th <input type="checkbox"/> 5 th	
DEPARTMENT(S)	Department of Health Services (DHS)	
SUBJECT	Approval of delegated authority to the Director of DHS to execute an amendment to Agreement No. H-705407 with Cerner Corporation (Cerner) for the provision of Patient Transaction Services (PTS) for DHS and to address payment stream and price changes for certain items.	
PROGRAM	Not Applicable	
AUTHORIZES DELEGATED AUTHORITY TO DEPT	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
SOLE SOURCE CONTRACT	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please explain why: It is in the best economic interest and operational interest of the County to obtain PTS from Cerner because this module is part of the financial hub product that was included as part of the deployment of DHS's electronic health record, Online Real-time Computerized Healthcare System (ORCHID).	
DEADLINES/ TIME CONSTRAINTS	The provision of PTS will be included in the current Agreement with Cerner, (expires on 12/31/2032).	
COST & FUNDING	Total cost: The Maximum Agreement Sum of the Agreement will be increased by \$22,100,000.	Funding source: Funding for the increase to the agreement is included in DHS' Fiscal Year 2021-22 Final Budget and will be requested in future fiscal years as needed.
	TERMS (if applicable): Effective upon execution through December 31, 2032.	
	Explanation:	
PURPOSE OF REQUEST	Purchase PTS and related implementation, hosting, support and training services from Cerner and increase the Maximum Contract Sum and address payment stream and price changes for certain items.	
BACKGROUND (include internal/external issues that may exist including any related motions)	PTS is a suite of new revenue cycle modules that are integrated with DHS' electronic health record system, allowing DHS to use new/enhanced workflows for patient financial clearance, from pre-registration to financial settlement. The modules enable DHS to verify patient eligibility/benefit information real-time and/or in batch through eligibility (270/271) transaction sets from ORCHID, route eligibility/benefits information from the payer back into ORCHID where the electronic data is available for consumption to the patient record, and access healthcare coverage/eligibility information for Medicaid, Medicare, and other commercial insurers/payors. The Board approved the provision of an acuity, scheduling, and time system and related services and leases from Cerner, now named Acuity, Scheduling & Time Employee Resources (ASTER) in November 2020. The first phase was deployed at adult critical care units at LAC+USC Medical Center (LAC+USC MC). Due to extenuating circumstances, design decisions for the "go-live" at LAC+USC MC have been delayed. The next "go-live" will include all inpatient areas/select areas impacted by the coronavirus at LAC+USC MC and Health Services Administration. Therefore, the payment stream may need to be amended to reflect the actual "go-live". Also, certain limited hardware items were included as part of ORCHID when it was approved in 2012. The Board then granted DHS the authority to purchase additional units of the Hardware in 2016. Unfortunately, Cerner will no longer sell additional units at the current price, so DHS needs a new price list, and negotiate/agree to an updated price schedule. Finally, recent federal regulations that apply to Cerner require them to uniformly apply fees for certain services/products related to electronic health information exchange. These regulations were issued in connection with the 21st Century Cures Act of 2016. Therefore, Cerner is not legally permitted to charge fees for certain software/related professional services that differ from the published fees, even if they previously contracted.	
EQUITY INDEX OR LENS WAS UTILIZED	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please explain how:	
SUPPORTS ONE OF THE NINE BOARD PRIORITIES	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please state which one(s) and explain how:	
DEPARTMENTAL CONTACTS	Name, Title, Phone # & Email: <ul style="list-style-type: none"> Kevin Lynch, CIO, (213) 288-8128, KLynch@dhs.lacounty.gov Christopher Kinney, Contracts Section Manager, (213) 288-8862, CKinney@dhs.lacounty.gov Lillian Anjargolian, Deputy County Counsel, (213) 288-8124, LANjargolian@counsel.lacounty.gov 	

May 17, 2022

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, CA 90012

Dear Supervisors:

**APPROVAL TO DELEGATE AUTHORITY TO AMEND AGREEMENT H-705407 WITH
CERNER CORPORATION ON A SOLE SOURCE BASIS**

**(ALL SUPERVISORIAL DISTRICTS)
(3 VOTES)**

CIO RECOMMENDATION: APPROVE [X]

SUBJECT

Approval of delegated authority to the Director of the Department of Health Services to execute amendments to Agreement No. H-705407 with Cerner Corporation for the provision of Patient Transaction Services for the Department of Health Services and to address payment stream and price changes for certain items.

IT IS RECOMMENDED THAT YOUR BOARD:

1. Delegate authority to the Director of the Department of Health Services (Director), or designee, to: (i) execute an amendment to Agreement H- 705407 (Agreement) with Cerner Corporation (Cerner), effective upon execution through December 31, 2032, if all extensions are exercised, for the provision of patient Transaction services, as described below, on a sole source basis, and increase the Maximum Contract Sum in an amount not to exceed \$22,100,000, including for the extension periods if exercised, as follows: (a) \$16,400,000 for the provision of a patient transaction services system (Patient Transaction Services), with the option to reallocate any unspent amounts to Pool Dollars; and (b) \$5,700,000 in Pool Dollars for Optional Work, with Optional Work to be authorized by the Director, or designee, through the issuance of Amendments or Change Orders, as applicable, and (ii) grant the Director delegated authority to amend the Agreement to address changes to the payment stream for DHS' purchase of the acuity, scheduling and time system, price changes in response to market conditions and product improvements for certain hardware, and price changes required to comply with laws and regulations related to patient information sharing from an electronic health record system.

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTIONS

Patient Transaction Services

Approval of the recommended action will delegate authority to execute an amendment to the Agreement, substantially similar to Exhibit I, to purchase Patient Transaction Services and related implementation, hosting, support and training services from Cerner, and increase the Maximum Contract Sum accordingly.

Patient Transaction Services is a suite of new revenue cycle modules that are integrated with DHS' electronic health record system, referred to as Online Real-time Computerized Healthcare System (ORCHID), allowing DHS to use new and enhanced workflows for patient financial clearance, from pre-registration to financial settlement. The Patient Transaction Services modules enable DHS to, among other features, verify patient eligibility and benefit information real-time and/or in batch through eligibility (270/271) transaction sets from within ORCHID, route eligibility and benefits information from the payer back into ORCHID where the electronic data is available for consumption to the patient record, and access healthcare coverage and eligibility information for Medicaid, Medicare, and other commercial insurers/payors. Healthcare coverage details are then automatically attached to a patient encounter from within ORCHID. In addition, automations (e.g., rules and reports) allow DHS to identify registration inaccuracies, which in turn enable DHS staff to address the issues before the encounter. Finally, Patient Transaction Services provides a tool for researching potential healthcare coverage where staff have been unable to obtain information from the patient.

Over the last several years, DHS has focused heavily on improving the care experience for Los Angeles County patients while working to reduce uncompensated care. A significant part of this effort includes using technology to streamline patient access processes. The purchase and deployment of Patient Transaction Services will enhance the ability of DHS staff to focus on assisting patients directly instead of spending time manually verifying a patient's healthcare coverage for every outpatient encounter.

Patient Transaction Services consists of a hub, with various transaction services, purchased and used on an as-needed basis, integrated with the registration workflow in ORCHID. While parts of the financial hub were included as part of the deployment of ORCHID, this purchase will increase the Cerner modules available to DHS to include a more complete suite of patient access functionality, utilizing modules provided by Cerner and a Cerner subcontractor.

Further, using the technology available through Patient Transaction Services to streamline and automate financial clearance (i.e., confirming the patient's healthcare coverage is appropriate for DHS) will allow DHS to prioritize resolving discrepancies in health care coverage prior to the patients' appointments for the bulk of approximately 2 million annual outpatient encounters (pre-COVID 19). In addition to better serving

patients, Patient Transaction Services offers features that will assist DHS in improving the quality of the information on a patient's coverage, thereby facilitating more timely billing and reporting encounter data to health plans, resulting in enhanced revenue recovery.

DHS currently uses manual processes, and multiple smaller systems and software suites to manage its various coverage verification and financial clearance functions. Many of these systems are not connected to each other or to ORCHID, and manual processes to obtain the necessary data are time consuming and subject to human error. For example, while a current contractor also provides eligibility (270/271) information, the information is accessed via a separate request for each patient that must be manually "pulled" for every patient encounter daily. The information received back in the request does not allow DHS staff to electronically "copy" the coverage information, requiring DHS staff to manually note and enter the relevant information in the patient record. Finally, the current contractor has minimal service levels for the provision of these requests.

Patient Transaction Services is integrated with ORCHID and, more importantly, the patient record on a per encounter basis. The integration of these modules within ORCHID is one of the key benefits of Patient Transaction Services. By purchasing an integrated system, users will be able to address patient needs in a single system and record. In addition, Patient Transaction Services are provided in accordance with services levels that account for the importance of the eligibility information in providing services to patients. As of February 2022, an average ORCHID day included 13,831 unique users, 103,483 patient orders, and an average daily inpatient census of 1,121 across all of DHS.

Implementation and deployment activities are projected to take approximately one (1) year. The cost for the purchase of Patient Transaction Services and related services will not exceed \$22,100,000, which includes no more than \$16,400,000 for the provision of Patient Transaction Services and approximately \$5,700,000 in Pool Dollars for Optional Work. The Optional Work includes additional modules which DHS may purchase and deploy later. For example, Pool Dollars may be used to purchase the authorizations module which will facilitate the submission of prior authorization for care and automate the inquiry process for approvals/denials. In addition, Pool Dollars may be used for per transaction fees. The exact cost of each module will be based on the number of transactions. DHS estimated its use of each module, but DHS also expects demand to grow as users realize the benefits and ease of use of the new modules. To account for anticipated growth, DHS is asking for increased Pool Dollars. While DHS used its best efforts to estimate future use, DHS may be required to return to the Board in the future in order to request additional Pool Dollars if use of the modules exceeds estimates.

ASTER Payment Stream Updates and Other Price Changes

In November 2020, the Board approved the provision of an acuity, scheduling, and time system and related services and leases from Cerner, now named Acuity, Scheduling & Time Employee Resources (ASTER). ASTER provides a wide range of functions,

including: (i) patient acuity calculation in accordance with law and using ORCHID data; (ii) staff scheduling using ORCHID data and information about competencies and skills; (iii) system supported scheduling for lunches and breaks; (iv) vacation request tracking and notification of overtime opportunities; (v) a new time system, consisting of new clocks and automatic time entry for a 24/7 workforce; (vi) streamlined timesheet submission to the Auditor-Controller for payroll processing; and (vii) the ability for clinical staff to request shifts/time more efficiently. The first phase of ASTER was deployed at adult critical care units at LAC+USC Medical Center (LAC+USC MC) as planned. Initially, the plan was to deploy ASTER in additional waves, beginning with all of LAC+USC MC and Health Services Administration (HSA). Due to extenuating circumstances, including patient care needs and staffing issues, design decisions for the "go-live" at LAC+USC MC have been delayed, resulting in unavoidable changes to "go-live" plans. The next "go-live" will include all inpatient areas and select areas impacted by the coronavirus (e.g., emergency department) at LAC+USC MC, and HSA. As a result of these changes, the payment stream for ASTER may need to be amended to reflect the actual "go-live". For example, if fewer users will be using the system after this "go-live", the payment schedules will be updated to correctly reflect actual use. DHS does not anticipate an increase in the fees for ASTER as a result of these changes.

When the Board approved the Agreement in 2012, certain limited hardware items were included as part of ORCHID. In 2016, the Board granted DHS the authority to purchase additional units of the Hardware as-needed. For example, the Hardware includes the "Cerner Connectivity Engine" which is hardware that connects medical devices to ORCHID, and related items (e.g., connection cords and docks). While Cerner has been able to maintain the price for the Hardware since 2016, in light of improvements to the features and functions of the Hardware and changes to supply chain and parts costs, Cerner will no longer sell additional units of the Hardware to County at the current price. In the intervening years, the components for the Hardware have been updated, including modernization of the housing and chip updates. Approval of the recommendation will allow DHS to both to amend the Agreement to reflect a new price list for current use, and the ability to negotiate and agree to an updated price schedule for the Term of the Agreement, assuming any future increase results from enhancements to the Hardware.

Finally, recent federal regulations that apply to Cerner require that Cerner uniformly apply fees for certain services and products related to electronic health information (EHI) exchange. The Office of the National Coordinator for Health IT (ONC) issued these regulations in connection with the 21st Century Cures Act of 2016 (Cures Act). Regarding fees that can be charged for EHI-related professional services and certain software, the regulations under the Cures Act say, in part, that the fees charged by an entity such as Cerner for access, exchange, or use of EHI must be based on objective and verifiable criteria uniformly applied across similarly situated classes of persons or entities making requests and must be reasonably allocated among all similarly situated persons or entities to whom the healthcare information technology is provided or for whom the healthcare information technology is supported. As a result of this uniformity requirement, Cerner is not legally permitted to charge fees for certain software and related professional services

that differ from the published fees, even if Cerner had previously contracted with a client such as DHS to provide a particular fee or to provide a discount on certain charges. Therefore, approval of the recommendation will allow DHS to amend certain software and related professional services fees in accordance with law, upon confirmation by County Counsel and outside counsel to comply with laws and regulations related to patient information sharing from an electronic health record system.

Implementation of Strategic Plan Goals

The recommended action supports Strategy III.2, "Embrace Digital Government for the Benefit of Our Internal Customers and Communities," Strategy II.2, "Support the Wellness of Our Communities," and III.3, "Pursue Operational Effectiveness, Fiscal Responsibility and Accountability" of the County's Strategic Plan.

FISCAL IMPACT/FINANCING

The current Contract Sum for the Cerner Agreement is \$762,651,850. If approved, the recommended action herein will increase the Contract Sum by \$22,100,000 to \$784,751,850. Funding for the increase to the agreement is included in DHS' Fiscal Year 2021-22 Final Budget and will be requested in future fiscal years as needed. There will be no net County cost impact.

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

The requested action includes amending the Agreement, which was originally awarded as a result of an extensive and unprotested competitive solicitation. In accordance with the Board's policy of engaging outside counsel for certain information technology agreements, County Counsel retained the law firm of Foley & Larder, LLP to assist in all aspects of these negotiations. Accordingly, Foley & Lardner, in conjunction with County Counsel, assisted DHS and drafted and negotiated the recommended Amendment. The amendment for Patient Transaction Services includes certain variances from County standards. These include variances to the County's subcontracting terms to address differences in the contractual relationship between Cerner and its subcontractor, revised service levels and support terms that are more appropriate for Patient Transaction Services, and hosting and information security terms that reflect Cerner's use of a subcontractor. DHS has reviewed these variances and believes it is in the best interest of the County to proceed.

County Counsel has approved Exhibit I as to form. In compliance with Board Policy 6.020 "Chief Information Office Board Letter Approval", the Office of the Chief Information Officer (OCIO) reviewed the information technology (IT) components of this request and recommends approval. The OCIO concurs with the Department's recommendation and that office's analysis is attached (Attachment A).

The Department has evaluated and determined that the Living Wage Program (County Code Chapter 2.201) does not apply to the recommended amendment, and the Agreement, and are exempt from Proposition A (County Code Chapter 2.121).

CONTRACTING PROCESS

On April 5, 2018, DHS notified the Board via Attachment B of its intent to commence negotiations with Cerner for the sole source Amendment with Cerner in accordance with Board Policy No. 5.100. In light of the delays caused by the coronavirus and higher priority projects, the negotiations for Patient Transaction Services were deferred for long periods. DHS recently validated that the statements made in the foregoing sole source notification remain true and accurate. The Sole Source checklist is attached as Attachment C in compliance with the revised Board Policy 5.100, Sole Source Contracts. DHS believes that it is in the best economic interest and operational interest of the County to obtain Patient Transaction Services from Cerner on a sole source basis. Considering the fact that this is module is part of the financial hub product that was included as part of the deployment of ORCHID, there is little opportunity to procure a similar system from another vendor.

IMPACT ON CURRENT SERVICES (OR PROJECTS)

Approval of the recommendation will enable DHS to continue to improve patient access to medical experience, achieve efficiency across departmental operations, and increase financial revenue.

Respectfully submitted,

Reviewed by:

Christina R. Ghaly, M.D.
Director

Peter Loo
Acting Chief Information Officer

CRG:az

Enclosures

c: Chief Executive Office
County Counsel
Executive Office, Board of Supervisors



AMENDMENT No. 19

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

BY AND BETWEEN

THE COUNTY OF LOS ANGELES

AND

CERNER CORPORATION

, 2022

**AMENDMENT 19 TO THE ELECTRONIC HEALTH RECORDS SYSTEM
AND SERVICES AGREEMENT**

The Electronic Health Records System and Services Agreement, Agreement No. H-705407, (the “**Agreement**”) effective as of December 21, 2012 (“**Effective Date**”), by and between the County of Los Angeles, a political subdivision of the State of California (“**County**”) and Cerner Corporation, with its principal place of business at 2800 Rockcreek Parkway, North Kansas City, MO 64117 (“**Contractor**”), as amended by the Parties pursuant to:

- | | | |
|--|--|---|
| ▪ Amendment 1, dated Jun. 20, 2014, | ▪ Change Notice 11, dated Apr. 27, 2021, | ▪ Change Order Z, dated Dec. 31, 2018, |
| ▪ Amendment 2, dated Oct. 8, 2014, | ▪ Change Notice 12, dated Oct. 21, 2021, | ▪ Change Order AA, dated Mar. 8, 2019, |
| ▪ Amendment 3, dated Oct. 31, 2015, | ▪ Change Notice 13, dated Jan. 4, 2022, | ▪ Change Order AB, dated Mar. 8, 2019, |
| ▪ Amendment 4, dated Jun. 30, 2016, | ▪ Change Order A, dated Oct. 1, 2015, | ▪ Change Order AC, dated Apr. 12, 2019, |
| ▪ Amendment 5, dated Jun. 30, 2016, | ▪ Change Order B, dated Oct. 15, 2015, | ▪ Change Order AD, dated Oct. 11, 2019, |
| ▪ Amendment 6, dated Jun. 30, 2016, | ▪ Change Order C, dated Nov. 4, 2015, | ▪ Change Order AE, dated Nov. 1, 2019, |
| ▪ Amendment 7, dated Dec. 1, 2016, | ▪ Change Order D, dated May 27, 2016, | ▪ Change Order AF, dated Feb. 1, 2020, |
| ▪ Amendment 8, dated Dec. 31, 2016, | ▪ Change Order E, dated Sep. 30, 2016, | ▪ Change Order AG, dated Mar. 23, 2020, |
| ▪ Amendment 9, dated Feb. 21, 2017, | ▪ Change Order F, dated Dec. 15, 2016, | ▪ Change Order AH, dated Apr. 7, 2020, |
| ▪ Amendment 10, dated May 31, 2017, | ▪ Change Order G, dated Jan. 26, 2017, | ▪ Change Order AI, dated Jun. 30, 2020, |
| ▪ Amendment 11, dated Sep. 28, 2018, | ▪ Change Order H, dated May 8, 2017, | ▪ Change Order AJ, dated Aug. 4, 2020, |
| ▪ Amendment 12, dated Dec. 27, 2019, | ▪ Change Order I, dated May 8, 2017, | ▪ Change Order AK, dated Aug. 4, 2020, |
| ▪ Amendment 13, dated Aug. 4, 2020, | ▪ Change Order J, dated May 31, 2017, | ▪ Change Order AL, dated Aug. 4, 2020, |
| ▪ Amendment 14, dated Dec. 4, 2020, | ▪ Change Order K, dated Jun. 9, 2017, | ▪ Change Order AM, dated Sep. 4, 2020, |
| ▪ Amendment 15, dated Dec. 4, 2020, | ▪ Change Order L, dated Jun. 12, 2017, | ▪ Change Order AN, dated Nov. 6, 2020, |
| ▪ Amendment 16, dated Dec. 4, 2020, | ▪ Change Order M, dated Jun. 30, 2017, | ▪ Change Order AO, dated Dec. 11, 2020, |
| ▪ Amendment 17, dated Dec. 14, 2020, | ▪ Change Order N, dated Jul. 14, 2017, | ▪ Change Order AP, dated Dec. 11, 2020, |
| ▪ Amendment 18, dated Mar. 24, 2021, | ▪ Change Order O, dated Nov. 1, 2017, | ▪ Change Order AQ, dated May 4, 2021, |
| ▪ Change Notice 1, dated Jan. 29, 2015, | ▪ Change Order P, dated Dec. 1, 2017, | ▪ Change Order AR, dated Jun. 30, 2021, |
| ▪ Change Notice 2, dated Feb. 9, 2015, | ▪ Change Order Q, dated Mar. 28, 2018, | ▪ Change Order AS, dated Aug. 11, 2021, |
| ▪ Change Notice 3, dated Mar. 27, 2015, | ▪ Change Order R, dated Mar. 29, 2018, | ▪ Change Order AT, dated Aug. 11, 2021, |
| ▪ Change Notice 4, dated Mar. 30, 2015, | ▪ Change Order S, dated Jun. 12, 2018, | ▪ Change Order AU, dated Oct. 14, 2021, |
| ▪ Change Notice 5, dated May 28, 2015, | ▪ Change Order T, dated Jun. 28, 2018, | ▪ Change Order AV, dated Oct. 15, 2021, |
| ▪ Change Notice 6, dated Aug. 1, 2016, | ▪ Change Order U, dated Sep. 6, 2018, | ▪ Change Order AW, dated Oct. 18, 2021, |
| ▪ Change Notice 7, dated Dec. 1, 2016, | ▪ Change Order V, dated Sep. 12, 2018, | ▪ Change Order AX, dated Dec. 23, 2021, and |
| ▪ Change Notice 8, dated Sep. 6, 2018, | ▪ Change Order W, dated Oct. 4, 2018, | ▪ [**] |
| ▪ Change Notice 9, dated Oct. 5, 2018, | ▪ Change Order X, dated Oct. 5, 2018, | |
| ▪ Change Notice 10, dated Jun. 30, 2020, | ▪ Change Order Y, dated Oct. 26, 2018, | |

is hereby changed by the Parties pursuant to Section 13 (Changes to Agreement) of the Agreement by this Amendment No. 19 to the Electronic Health Records System and Services Agreement (“**Amendment 19**”), effective as of [REDACTED], 2022 (“**Amendment 19 Date**”). The capitalized terms in this Amendment 19 shall have the meaning ascribed in the Agreement unless expressly otherwise defined herein. In the event of a conflict between the body of this Amendment 19 and the Agreement, any Statement of Work, Exhibit, Attachment, Schedule, or incorporated material, the Agreement shall govern. Contractor and County may be referred to in this Amendment 19 individually as a “**Party**” and together as the “**Parties**.”

CHANGES

In consideration of the mutual covenants and agreements contained herein, the Parties agree as follows:

1. CHANGE TRACKING

The Parties agree that each Amendment to the Agreement shall be identified numerically in sequence, beginning with Amendment No. 1 and including any subsequent Amendments. Changes to Exhibits shall be referred to in the body of the Amendment and implemented through the deletion of the prior Exhibit (or lowest affected numbered subpart thereof) in its entirety and replacing it with the changed Exhibit. All changes to the changed Exhibit must be highlighted or other means shall be used to clearly identify the changes made to the prior Exhibit. The changed Exhibit is to also have its title modified to correspond to the Amendment number under which the change was made. For example, a change to Exhibit A made under this Amendment 19 would include on the title of the Exhibit the following “Amendment 19 to Exhibit A.”

2. PURPOSE OF AMENDMENT 19

Pursuant to this Amendment 19, Contractor shall provide Services, including New Software, EHR System changes, and Professional Services, to implement and maintain the Modules set forth in Exhibit B. (Patient Transaction Services Software Components) within the County's existing financial hub; to design, implement, test, and maintain functionality to automatically Interface with and integrate data from various data sources; and to transmit and validate patient healthcare coverage and eligibility benefits into the EHR System, in accordance with the Specifications described in Exhibit A. (Patient Transaction Services Statement of Work), Exhibit A.26. (Patient Transaction Services Functional Requirements), and otherwise under the Agreement, to enable users of the EHR System to determine and maintain current information regarding patient insurance coverage and services eligibility.

3. CHARACTERIZATION OF SERVICES UNDER THIS AMENDMENT 19

The characterization of the individual Services and the collective Services provided under this Amendment 19 as Optional Work: (1) is specific to this Amendment 19 only and will not create a precedent for future Change Orders; (2) will apply with respect to (and only with respect to) the specific Services provided under this Amendment 19 and as to all other Services shall not be construed as a waiver of any rights of the County or obligations of the Contractor under the Agreement; and (3) does not indicate an understanding or intent by the Parties for any future Services to be characterized as Optional Work instead of Support Services or any other subset or grouping of the Services that is included within the Recurring Monthly Fees.

4. ALTERNATIVE AGREEMENT TERMS APPLICABLE TO THE PATIENT TRANSACTION SERVICES MODULES

4.1. Terms Adopted From Amendment 15

For purposes of the Licensed Software and Third-Party Products identified in Exhibit B. (Patient Transaction Services Software Components) as "Patient Transaction Services Modules" (the "**Patient Transaction Services Modules**") only, and for no other purposes, each of the following Sections of Amendment 15 to the Agreement shall apply, except that (a) all references to the Amendment 15 Date in such Sections, including in the amended Agreement language in such Sections, shall instead refer to the Amendment 19 Date; and (b) all references to the WorkForce Modules in such Sections, including in the amended Agreement language in such Sections, shall instead refer to the Patient Transaction Services Modules:

- Section 5.1 (Section 3.1.1 (Scope of License))
- Section 5.2 (Section 3.2 (Revisions))
- Section 5.3 (Section 4 (Escrow of Source Materials))
- Section 5.4 (Section 5 (Bankruptcy and Liquidation))
- Section 5.6 (Section 29.6 (Termination for Convenience))
- Section 5.7 (Section 29.7 (Effect of Termination))

4.2. Exhibit E.TS (Patient Transaction Services Modules Service Levels and Performance Standards)

Solely for the Patient Transaction Services Modules, Exhibit E (Service Levels and Performance Standards) is amended by deleting it in its entirety and replacing it with the attached "Exhibit E.TS (Patient Transaction Services Modules Service Levels and Performance Standards)."

5. AMENDMENTS TO THE AGREEMENT

5.1. Section 14.1 (Maximum Contract Sum)

Section 14.1 (Maximum Contract Sum) of the Agreement is amended by deleting it in its entirety and replacing it with the language below:

"14.1 Maximum Contract Sum

The Contract Sum under this Agreement shall be the total monetary amount payable by County to Contractor for supplying all the tasks, subtasks, Deliverables, goods, and Services required or requested by

County under and during the Term of this Agreement. If County does not Approve work in writing, no payment shall be due Contractor for those Services. The Contract Sum, including all applicable taxes, authorized by County hereunder shall not exceed [**] as further detailed in Exhibit C (Fees; Contractor Professional Services Rates), unless the Contract Sum is modified pursuant to a duly Approved Amendment to this Agreement by the Board and Contractor's authorized representative(s) pursuant to Section 13 (Changes to Agreement). The Contract Sum under this Agreement shall cover the authorized payments for all elements of the EHR System, including the Licensed Software, Third-Party Products, Hosting Software, Hardware, and Services including, Implementation Services, Hosting Services, Support Services, and any Optional Work. The Contract Sum shall not be adjusted for any costs or expenses whatsoever of Contractor."

6. ALTERNATIVE AGREEMENT EXHIBITS APPLICABLE TO THE EXPERIAN MODULES

6.1. Exhibit K.EX (Experian Modules Information Security Requirements)

Solely for the Third-Party Products identified in Exhibit B. (Patient Transaction Services Software Components) as "Experian Modules" (the "**Experian Modules**"), Exhibit K (Information Security Requirements) is amended by deleting it in its entirety and replacing it with the attached "Exhibit K.EX (Experian Modules Information Security Requirements)."

6.2. Exhibit N.EX (Experian Modules Additional Hosting Services Terms and Conditions)

Solely for the Experian Modules, Exhibit N (Additional Hosting Services Terms and Conditions) is amended by deleting it in its entirety and replacing it with the attached "Exhibit N.EX (Experian Modules Additional Hosting Services Terms and Conditions)."

6.3. Exhibit N.1.EX (Experian Modules Hosting Services)

Solely for the Experian Modules, Exhibit N.1 (Hosting Services) is amended by deleting it in its entirety and replacing it with the attached "Exhibit N.1.EX (Experian Modules Hosting Services)."

6.4. Exhibit N.2.EX (Experian Modules Disaster Recovery Plan and Business Continuity Plan Summary)

Solely for the Experian Modules, Exhibit N.2 (Disaster Recovery Plan and Business Continuity Plan) is amended by deleting it in its entirety and replacing it with the attached "Exhibit N.2.EX (Experian Modules Disaster Recovery Plan and Business Continuity Plan Summary)."

6.5. Exhibit N.3.EX (Experian Modules Business Continuity Guidelines)

Solely for the Experian Modules, Exhibit N.3 (Business Continuity Guidelines) is amended by deleting it in its entirety and replacing it with the attached "Exhibit N.3.EX (Experian Modules Business Continuity Guidelines)."

6.6. Exhibit CC.EX (Experian Modules Enterprise Back-Up Policy)

Solely for the Experian Modules, Exhibit CC (Enterprise Back-Up Policy) is amended by deleting it in its entirety and replacing it with the attached "Exhibit CC.EX (Experian Modules Enterprise Back-Up Policy)."

6.7. Exhibit Y.EX (Experian Modules SaaS Vendor Security Privacy Assessment)

Solely for the Experian Modules, Exhibit Y (Contractor Diligence - Information Security Questionnaire) is amended by deleting it in its entirety and replacing it with the attached "Exhibit Y.EX (Experian Modules SaaS Vendor Security Privacy Assessment)."

7. EXHIBIT A.24.3 (PATIENT TRANSACTION SERVICES SUPPORT SERVICES, MAINTENANCE, AND OPERATIONS STATEMENT OF WORK)

Exhibit A.24 (Support Services, Maintenance, and Operations Statement of Work) is amended by the inclusion of "Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance, and Operations)," which shall be included in all references to "Exhibit A.24 (Support Services, Maintenance, and Operations Statement of Work)."

8. EXHIBIT A.25. (PATIENT TRANSACTION SERVICES PROJECT WORK PLAN)

Exhibit A.25.1 (Project Work Plan) is amended by the inclusion of “Exhibit A.25. (Patient Transaction Services Project Work Plan),” which shall be included in all references to “Exhibit A.25.1 (Project Work Plan).”

9. EXHIBIT A.26. (PATIENT TRANSACTION SERVICES FUNCTIONAL REQUIREMENTS)

Exhibit A.26 (Licensed Software Requirements) is amended by the inclusion of “Exhibit A.26. (Patient Transaction Services Functional Requirements),” including the Exhibits attached thereto listed below, which shall be included in all references to “Exhibit A.26 (Licensed Software Requirements)”:

- Exhibit A.26.1 (Sample Eligibility Verification Report)

10. EXHIBIT A. (PATIENT TRANSACTION SERVICES STATEMENT OF WORK)

Exhibit A (Statements of Work) is amended by the inclusion of “Exhibit A. (Patient Transaction Services Statement of Work),” including the Exhibits attached thereto listed below, which shall be included in all references to “Exhibit A (Statements of Work)”:

- Exhibit A.1 (Coverage Verification and Health Coverage Options Guide)
- Exhibit A.2 (Patient Transaction Services Go-Live Reports)

11. EXHIBIT B. (PATIENT TRANSACTION SERVICES SOFTWARE COMPONENTS)

Exhibit B (EHR System Software Components) is amended by the inclusion of “Exhibit B. (Patient Transaction Services Software Components),” which shall be included in all references to “Exhibit B (EHR System Software Components).”

12. EXHIBIT C (AMENDMENT 19 TO EXHIBIT C (FEES, CONTRACTOR PROFESSIONAL SERVICES RATES))

Exhibit C (Fees; Contractor Professional Services Rates) is amended by deleting it in its entirety and replacing it with the attached “Amendment 19 to Exhibit C (Fees; Contractor Professional Services Rates)”.

13. EXHIBIT C.1.18 (PATIENT TRANSACTION SERVICES OPTIONAL WORK)

Exhibit C.1 (Optional Work) is amended by the inclusion of “Exhibit C.1.18 (Patient Transaction Services Optional Work),” which shall be included in all references to “Exhibit C.1 (Optional Work).”

14. EXHIBIT C.9.15 (PATIENT TRANSACTION SERVICES DETAILED PRICING SUMMARY)

Exhibit C.9 (Detailed Pricing Summary) is amended by the inclusion of “Exhibit C.9.15 (Patient Transaction Services Detailed Pricing Summary),” which shall be included in all references to “Exhibit C.9 (Detailed Pricing Summary).”

15. EXHIBIT C. (PATIENT TRANSACTION SERVICES KEY MILESTONES AND KEY DELIVERABLES TABLE)

Exhibit C (Fees; Contractor Professional Services Rates) is amended by the inclusion of “Exhibit C. (Patient Transaction Services Key Milestones and Key Deliverables Table),” which shall be included in all references to “Exhibit C (Fees; Contractor Professional Services Rates).”

16. EXHIBIT C. (PATIENT TRANSACTION SERVICES MILESTONES AND PAYMENTS TABLE)

Exhibit C (Fees; Contractor Professional Services Rates) is amended by the inclusion of “Exhibit C. (Patient Transaction Services Milestones and Payments Table),” which shall be included in all references to “Exhibit C (Fees; Contractor Professional Services Rates).”

17. EXHIBIT Z (PRE-APPROVED SUBCONTRACTORS)

Exhibit Z (Pre-Approved Subcontractors) is amended by deleting it in its entirety and replacing it with the attached “Exhibit Z (Amendment 19 to Exhibit Z (Pre-Approved Subcontractors)).”

18. EXHIBIT DD.5 (FORM OF SUBCONTRACTOR AGREEMENT BETWEEN CONTRACTOR AND EXPERIAN)

Solely for the subcontractor agreement between Contractor and Experian Health, Inc., Exhibit DD (Form Subcontractor Agreement) is amended by deleting it in its entirety and replacing it with the attached “Exhibit DD.5

(Form of Subcontractor Agreement Between Contractor and Experian),” which shall be included in all references to “Exhibit DD (Form Subcontractor Agreement).”

19. EXHIBIT NN (TRANSACTION-BASED PRODUCT REPORTS)

The Agreement is amended by the inclusion of Exhibit NN (Transaction-Based Product Reports).

20. NO FURTHER CHANGES

Except as modified by this Amendment 19 the terms and conditions of the Agreement shall remain in full force and effect.

[Signatures provided on the following page]

IN WITNESS WHEREOF, the Board of Supervisors of the County of Los Angeles has caused this Amendment 19 to be executed by the County's Director of Health Services, or authorized designee, and Contractor has caused this Amendment 19 to be executed on its behalf by its duly authorized officer(s), as of the Amendment 19 Date.

COUNTY OF LOS ANGELES ("County")

By: _____ for
DIRECTOR OF THE LOS ANGELES COUNTY DEPARTMENT OF
HEALTH SERVICES

CERNER CORPORATION ("Contractor")

By: _____
TERESA WALLER
SR. DIRECTOR, CONTRACT MANAGEMENT

APPROVED AS TO FORM:

RODRIGO A. CASTRO-SILVA
COUNTY COUNSEL

By: _____
Deputy



Exhibit A.24.3 (Patient Transaction Services Support Services,
Maintenance, and Operations Statement of Work)
to the
Electronic Health Records System and Services Agreement

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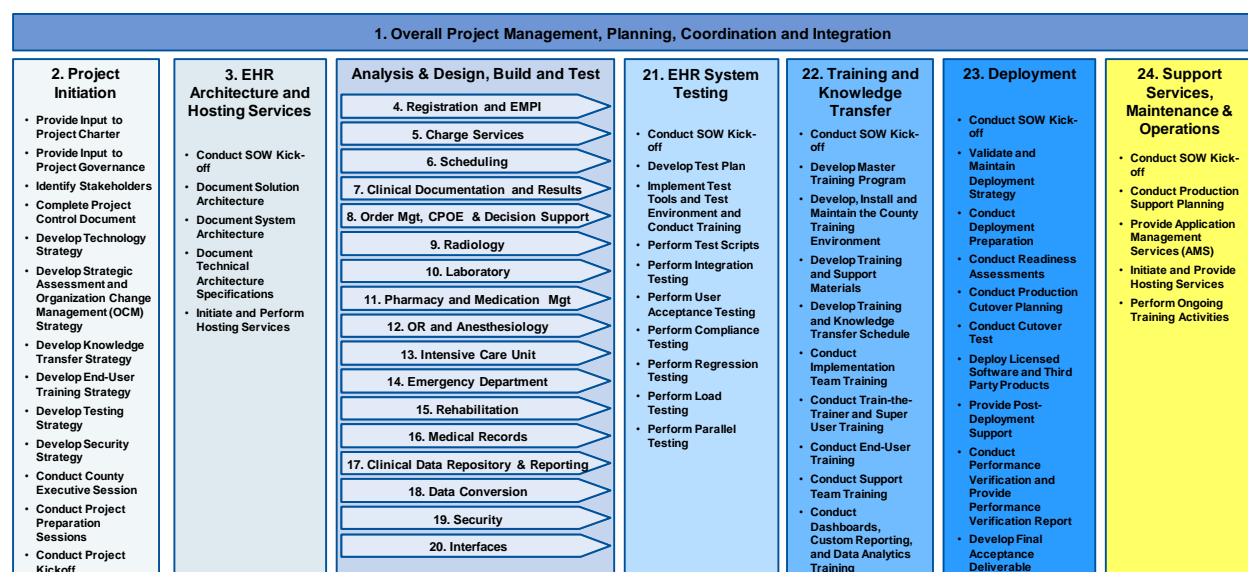
1. Introduction

This Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance, and Operations Statement of Work (sometimes referred to in this Exhibit as “**this SOW**”) is an attachment and addition to the Electronic Health Records System and Services Agreement dated December 21, 2012 (hereinafter “**Agreement**”) entered into by and between the County of Los Angeles (“**County**”) and Cerner Corporation (“**Contractor**”) and is incorporated into the Agreement by reference hereof. In the event of conflicting terms between the Agreement and this SOW, the terms of the Agreement shall prevail and nothing in this SOW shall modify or amend any provisions of the Agreement (including all components such as Statements of Work, Service Level Agreements, Exhibits, etc.) unless such modifications or amendments and the provisions of the Agreement which they modify or amend are specifically identified in this SOW and are Approved. This SOW includes any attachments hereto. Any capitalized terms not defined in this SOW shall have the same meanings as used in the Agreement.

All of the all the tasks, subtasks, Deliverables, goods, and other services required or requested by County below are included as part of the Services. This SOW aggregates tasks and subtasks that are a subset of both the broad definition of Services set forth in Exhibit G (Glossary) of the Agreement, and the specific Services associated with this SOW. Whether or not additional Services, not specifically included in any SOW, are needed to successfully deliver the EHR System as required under the Agreement, such Services are required to be delivered by Contractor and are included in the Contract Sum.

This SOW provides a description of the nature of the work required, but does not provide an exhaustive list of every task or subtask necessary for completion of this Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance, and Operations Statement of Work). The completion of any phase in a period of time shorter or longer that that specified below shall not increase the Contract Sum.

This is Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance, and Operations Statement of Work. It is one of a series of twenty four (24) SOWs, which describe all of the key work elements and Deliverables of the Project. The twenty four (24) SOWs are as follows:



2. Business Objectives Supported

This SOW will describe the Services to be delivered and provide the framework which will be used to perform Support Services, Maintenance and Operations for the EHR System.

3. SOW Summary

3.1 Overview

This SOW describes the Support Services, Maintenance, and Operations tasks, subtasks, and Deliverables required to successfully support, maintain and operate the EHR System. It describes the sub-Project Work Plan and initiation session for this sub-Project; production support planning, including Documentation and notification processes; provision of Application Management Services (“AMS”); initiation of Hosting Services and management of the Hosting Environment; and ongoing training activities to support the EHR System.

3.2 SOW Team Structure and Resources

Contractor will provide a Project Staffing and Resource Management Plan. This plan will be utilized to establish fully loaded (identification of FTE equivalent or hours for all resources by Key Milestone) Contractor resource staffing commitments and to detail specific County resources which will guide County on how best to allocate and deploy personnel to this Project. Notwithstanding the foregoing, this is a fixed fee engagement and the Contractor resources identified in the Project Staffing and Resource Management Plan do not limit the resources that may be required by Contractor.

3.3 Dependencies with Other SOWs

Contractor acknowledges and accepts that this SOW is one in a series of SOWs, all of which are inter-related, and the performance of which is integral to the overall success of this Project. Deliverables are created in other SOWs, which provide the foundation for this SOW, including but not limited to:

- Exhibit A.1 (Overall Project Management, Planning, Coordination and Integration Statement of Work) provides the framework that will be used to manage the overall Project, including this SOW.
- Exhibit A.2 (Project Initiation Statement of Work) provides Deliverables which create the foundation for all SOWs, including this SOW.
- Exhibits A.4 – A.20, the Analysis and Design, Build and Test domains Statements of Work produce the development/build and test environments that are required for this SOW.

3.4 Critical Success Factors

A number of factors are deemed critical to overall Project success. The Parties acknowledge that the following factors are critical to the success of this Project:

Strong Project Management – Effectively managing the Services provided under the Agreement to the Project Schedule and results to be achieved and managing issues, driving decisions, risk, dependencies, and resources in a manner to achieve the Project Schedule and the results.

Open Communication and Governance Structure Clearly Defined – Good and open communication must be established early. Governance, committee structure, and committee members must be defined early. Meeting schedules must also be established for the length of the Project.

Executive Leadership Involvement – It is imperative that executive leadership from Contractor, DHS, and the DHS CIO be involved in the Project governance and meet at regular intervals to discuss the Project’s progress and reach agreement on any key decisions that have been escalated to their level.

County Managed Level 1 Help Desk– It is required that County provides an internal Client help desk that serves as the initial point of contact for end users. This function: answers basic system questions, routes service request to the appropriate parties, and gathers relevant contact information to be logged with the service request.

3.5 Schedule

The commencement date for this Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance, and Operations Statement of Work) will begin upon completion of Exhibit A.2 (Project Initiation Statement of Work) and will continue throughout the Support Term.

Scheduled commencement dates, scheduled completion dates, and anticipated durations for Milestones, including a Key Milestone table, will be developed as part of the Project Control Document. The durations for tasks and subtasks are in the detailed Project Work Plan.

4. General Responsibilities

For the Services described in this SOW:

- (1) The Services will be performed by Contractor on-site at sites designated by County and at off-site location(s) as agreed by the Parties in writing for specific activities.
- (2) Contractor will provide designated resources to deliver the Services 7x24x365.
- (3) Contractor will utilize its “Consulting Framework” (or such other name as Contractor assigns to its project management methodology Best Practices from time to time) implementation methodology, templates, and other tools as required to support the efficient and cost effective execution of the Services defined in this SOW to the extent the Consulting Framework is not inconsistent with the Agreement. This includes use of Contractor’s knowledge capital databases and other repositories of deliverables and intellectual capital from previous client experiences. Nevertheless, Contractor may permit the Subcontractor that provides the Experian Modules to use its own implementation methodology, templates, and other tools as required to support the efficient and cost effective execution of the Services defined in this SOW to the extent such implementation methodology, templates, and other tools are not inconsistent with the Agreement, in which case Contractor shall be responsible for all coordination with the Subcontractor that provides the Experian Modules regarding implementation methodologies, templates, and other tools to support the efficient and cost effective execution of the Services defined in this SOW consistent with the terms of the Agreement.
- (4) Contractor will provide all Services in English.

4.1 Contractor Delivery Consultant Responsibilities

Contractor will designate a Contractor Delivery Consultant for this SOW (referred to in this Exhibit as the “**Support Services, Maintenance and Operations Delivery Consultant**” or “**Contractor Delivery Consultant**”) to whom all County communications may be addressed and

who has the authority to represent and commit Contractor in connection with all aspects of this SOW.

The Contractor Delivery Consultant's obligations include:

- (1) Establish and maintain communications through the County SOW Lead and Project governance structure;
- (2) Manage the delivery of Services and service interdependencies;
- (3) Notify County of any Contractor focal point or contacts for specific activities or tasks;
- (4) Manage and maintain the sub-Project Work Plan for this SOW which lists, as appropriate, the activities, tasks, assignments, service interdependencies, Key Milestones and Deliverables, and schedule;
- (5) Measure, track and evaluate progress against the Project Schedule;
- (6) Work with the County SOW Lead to resolve deviations, if any, from the Project Schedule;
- (7) Coordinate and manage the activities of Contractor Personnel;
- (8) Report to the County SOW Lead problems and issues impacting Contractor's provision of the Services that require County's attention and resolution;
- (9) Coordinate resolution of all Service issues including those raised by the County SOW Lead and, as necessary, escalate such issues within the Contractor organization;
- (10) Administer the Project Control Document with the County SOW Lead;
- (11) Conduct regularly scheduled Project Status Meetings and prepare weekly Status Reports for the Services defined in this SOW; and
- (12) Assist in the preparation and conduct of monthly steering committee updates.

Contractor will perform these activities throughout the provision of the Services.

4.2 Specific County Tasks

4.2.1 County SOW Lead Responsibilities

County will assign a lead for this SOW (referred to in this Exhibit as the **"Support Services, Maintenance, and Operations SOW Lead"** or **"County SOW Lead"**). The County SOW Lead will:

- (1) Serve as the primary interface between the Contractor Delivery Consultant and County for the tasks and Deliverables set forth in this SOW;
- (2) Review this SOW and the responsibilities of both County and Contractor with the Contractor Delivery Consultant;
- (3) Coordinate, manage, and be responsible for the control of the activities of County personnel for this SOW;
- (4) Communicate to the Contractor Delivery Consultant any changes that may materially affect Contractor's provision of the Services set forth in this SOW;
- (5) Coordinate with Contractor Delivery Consultant on Contractor's efforts to resolve problems and issues related to the Services set forth in this SOW;

-
- (6) Work with the Contractor Delivery Consultant to resolve deviations, if any, from the Project Work Plan related to this SOW;
 - (7) Coordinate resolution of issues raised by the Contractor Delivery Consultant pertaining to this SOW and, as necessary, escalate such issues within the County organization;
 - (8) Serve as the interface between Contractor's Project team and all County departments participating in activities for the Services set forth in this SOW;
 - (9) Notify Contractor of any County focal point or contacts for specific activities or tasks related to this SOW;
 - (10) Ensure that tasks related to this SOW assigned to personnel within the County organization will be completed according to the timetable in the Project Schedule;
 - (11) Participate in selected Project Status Meetings with Contractor Project team members and schedule and coordinate attendance and participation of County personnel for interviews, meetings and work sessions related to the completion of this SOW.

County may change the County SOW Lead by providing notification to the Contractor Delivery Consultant with an introduction and handoff meeting to establish plans for a smooth transition.

4.2.2 Other County Responsibilities

County agrees to comply with its responsibilities as described in this SOW. Such obligations are to be performed at no charge to Contractor.

County will:

- (1) Provide County standard and available office space, basic office furniture, and access to the Internet supporting VPN for Contractor personnel while working at County's facilities;
- (2) Locate Contractor Personnel in an area near County subject matter experts and technical personnel;
- (3) Provide necessary security badges and clearances for Contractor Personnel working at County's facilities;
- (4) Make available staff with appropriate skills and experience to deliver County tasks as specifically set forth in this SOW.

5. Services and Deliverables

The Services and Deliverables to be provided under this SOW include:

Task/Subtask Name		Deliverables
Task 1 Conduct SOW Kick-off		
Subtask 1.1 Develop Sub-Project Work Plan for Support Services, Maintenance, and Operations	Deliverable 1.1 Sub-Project Work Plan for Support Services, Maintenance, and Operations	

Task/Subtask Name	Deliverables
Subtask 1.2 Conduct Initiation Session for Support Services, Maintenance, and Operations Workgroup	Deliverable 1.2 Support Services, Maintenance, and Operations Initiation Session
Task 2 Conduct Production Support Planning	
Subtask 2.1 Develop and Maintain Production Support Plan	Deliverable 2.1 Production Support Plan
Subtask 2.2 Compile EHR System and User Documentation for Handover to Production Support	Deliverable 2.2 EHR System and User Documentation
Subtask 2.3 Define Contractor Process for Notifying County of Security Issues	Deliverable 2.3 Contractor Notification Process for Security Issues
Subtask 2.4 Define Contractor Process for Notifying County of Issues and Events impacting Operations	Deliverable 2.4 Contractor Process for Notifying County of Issues and Events Impacting Operations
Subtask 2.5 Define Requirements for Systems, Tools and Interfaces for IT Service Management	Deliverable 2.5 Requirements for Systems, Tools and Interfaces for IT Service Management (Key Deliverable)
Task 3 Provide Application Management Services	
Subtask 3.1 Establish AMS Delivery Model for County	Deliverable 3.1 AMS Delivery Model for County (Key Deliverable)
Subtask 3.2 Provide Application Monitoring and Management	Deliverable 3.2 Application Monitoring
Subtask 3.3 Provide 24x7x365 Application Support	Deliverable 3.3 24x7x365 Application Support
Subtask 3.4 Provide Operations Management	Deliverable 3.4 Operations Management
Subtask 3.5 Provide Report Creation and Maintenance	Deliverable 3.5 Report Creation and Maintenance
Subtask 3.6 Conduct Maintenance Checks	Deliverable 3.6 Maintenance Checks
Subtask 3.7 Implement Licensed Software Configuration Requests	Deliverable 3.7 Implemented Licensed Software Configuration Requests
Subtask 3.8 Provide Incident/Problem Management and Resolution	Deliverable 3.8 Incident/Problem Management Report
Subtask 3.9 Implement New Releases and Licensed Software Upgrades	Deliverable 3.9 New Releases and Licensed Software Upgrades
Subtask 3.10 Provide Content Management	Deliverable 3.10 Content Management

Task/Subtask Name	Deliverables
Subtask 3.11 Conduct Service Level Monitoring and Reporting	Deliverable 3.11 Service Level Monitoring and Reporting
Subtask 3.12 Provide Technology Change Management	Deliverable 3.12 Technology Change Management
Subtask 3.13 Provide Configuration Management	Deliverable 3.13 Configuration Management
Subtask 3.14 Provide Interface Support	Deliverable 3.14 Interface Support
Subtask 3.15 Maintain Security and Manage Authorization Controls and Processes	Deliverable 3.15 Security Services and Authorization Controls
Task 4 Initiate and Provide Hosting Services	
Subtask 4.1 Prepare Hosting Services delivery document	Deliverable 4.1 Hosting Services delivery document (Key Deliverable)
Subtask 4.2 Provide Hosting Services	Deliverable 4.2 Hosting Services
Subtask 4.3 Conduct Service Level Monitoring and Reporting	Deliverable 4.3 Service Level Reports
Subtask 4.4 Respond to Support Service Requests	Deliverable 4.4 Support Services
Subtask 4.5 Maintain Security	Deliverable 4.5 Security Services
Subtask 4.6 Conduct Backups and Restores	Deliverable 4.6 Backups Validation Report
Subtask 4.7 Provide Business Continuity and Disaster Recovery Services	Deliverable 4.7 Business Continuity and Disaster Recovery
Task 5 Conduct Ongoing Training Activities	
Subtask 5.1 Support Training on Revisions	Deliverable 5.1 Training Support on Revisions
Subtask 5.2 Maintain Learning Environment and Provide Training	Deliverable 5.2 Learning Environment and Training

5.1 Deliverable Development and Approval Process

This section specifies a repeating process for developing Deliverables for this SOW. Each Deliverable shall be developed in accordance with the following Contractor obligations, which shall be sub-tasks to each individual task:

- (1) All Deliverables must be developed in the form and format agreed to by County and Contractor using a Deliverable Expectations Document (also referred to as a “DED”) Approved by County. No work will be performed on any Deliverable associated with a payment Milestone until the DED has been Approved by County. As each Project Deliverable is submitted, Contractor must include a copy of the Project DED as the cover sheet. A template to be used for each DED during this Project can be found in

Section 5.3 (Project Deliverable Expectations Document Template)the Appendix of this SOW.

- (2) Develop agendas, and coordinate scheduling with County, for all necessary events (e.g., workshops, meetings) for the production of the Deliverables.
- (3) Facilitate events (e.g., workshops, meetings) as required for the development of each Deliverable.
- (4) Record and analyze the input received from all events (e.g., workshops, meetings) and distribute results or minutes for review to event participants.
- (5) Prepare drafts of the Deliverable for County for review.
- (6) Provide a structured process for County to provide feedback on drafts, including events, as appropriate.
- (7) Compile and incorporate County feedback to the draft Deliverable and prepare a revised Deliverable.
- (8) Distribute the revised Deliverable to County for review; obtain and analyze County feedback as above, and repeat if necessary.
- (9) Complete a final version of the Deliverable including, prior to distribution for Approval by County, validation by Contractor that the Deliverable conforms to the Specifications and meets the Acceptance Criteria.
- (10) Provide both the clinical and workflow subject matter expertise to support the completion of Deliverables.

After receipt of a Deliverable from Contractor, the County SOW Lead or designee shall notify Contractor Delivery Consultant and assigned Project team resources in writing as to any specific changes requested (together with a reasonably detailed explanation of the reasons why the Deliverable should be modified) in as expeditious a time frame as possible given the nature of the Deliverable and the schedule. Unless a change is disputed, Contractor shall make the changes described in a timely manner so as to not adversely impact the schedule under the Project Work Plan. Upon completion of such changes, the Deliverable shall be provided to County with a request for Acceptance. County shall notify Contractor of its Acceptance or rejection in a timeframe that is practical and reasonable given the nature, criticality, and complexity associated with the Acceptance Testing/review.

5.2 Tasks

Contractor shall be responsible for performing the following tasks as to the Services to be provided under this SOW.

Task 1 Conduct SOW Kick-off
Task Description
The team members from Contractor, County, and external stakeholders will be introduced and their specific roles will be described. Support Services, Maintenance, and Operations-specific training on the Licensed Software and Third-Party Products, as used in conjunction with the Licensed Software and EHR System, will be provided for the County personnel working on this SOW (referred to in this Exhibit as the “County Support Services, Maintenance, and Operations Workgroup” or “County Workgroup” and the County Support Services, Maintenance, and Operations Workgroup will be introduced to various

Task 1 Conduct SOW Kick-off

Contractor tools, existing Support Services, Maintenance, and Operations-related artifacts, Support Services, Maintenance, and Operations methodologies, and Best Practices that will be used throughout this SOW.

Subtasks/Deliverables**Subtask 1.1 Develop Sub-Project Work Plan for Support Services, Maintenance, and Operations**

As part of the Project Control Document, Contractor will develop and maintain an overall Project Work Plan. The Project Work Plan will include a Support Services, Maintenance, and Operations-specific section. The overall Project Work Plan will include a Project Schedule, and will be developed in the Consulting Framework compatible version of Microsoft Project, which will include:

- Deliverables, tasks, and subtasks;
- Associated dependencies among Deliverables, tasks, and subtasks both within this SOW and across all related SOWs and work streams;
- Resources (effort hours and roles) required for each Deliverable, task, and subtask;
- Start date and date of completion for each Deliverable, task, and subtask;
- County review period for each Deliverable;
- Acceptance Criteria for each Deliverable; and
- Milestones and Key Milestones.

Contractor will adapt the Support Services, Maintenance, and Operations-specific section of the Project Work Plan to create a specific sub-Project Work Plan which includes timelines, activities, Deliverables, and milestones specific to this Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance, and Operations Statement of Work) and subject to County Approval.

Subtask 1.2 Conduct Initiation Session for Support Services, Maintenance, and Operations Workgroup**Deliverable 1.1 Sub-Project Work Plan for Support Services, Maintenance, and Operations**

- Support Services, Maintenance, and Operations-specific section of Project Work Plan.
- Sub-Project Plan for Support Services, Maintenance, and Operations.

Acceptance Criteria:

- The Support Services, Maintenance, and Operations-specific section of the Project Work Plan incorporates, and is consistent with, County-provided input.
- The Support Services, Maintenance, and Operations-specific section of the Project Work Plan addresses all elements described in subtask 1.1 (Develop Sub-Project Work Plan for Support Services, Maintenance, and Operations).
- The Support Services, Maintenance, and Operations-specific section of the Project Work Plan has been Approved by County.
- Timelines detailed in the Support Services, Maintenance, and Operations-specific section of the Project Work Plan and sub-Project Work Plan are realistically achievable with reasonable effort as determined by County.
- Elements of the Support Services, Maintenance, and Operations-specific section of the Project Work Plan are consistent with tasks, subtasks, and Deliverables as outlined in this and other SOWs.
- Confirmed availability of Contractor resources required to implement the Support Services, Maintenance, and Operations sub-Project Work Plan.

Deliverable 1.2 Support Services, Maintenance, and Operations Initiation Session

- Support Services, Maintenance, and

Task 1 Conduct SOW Kick-off

Contractor will conduct a Support Services, Maintenance, and Operations Initiation Session to provide an introduction to the County Workgroup to the Services covered by this SOW, including the timelines and nature of work effort that will be required to implement this SOW.

Before the Support Services, Maintenance, and Operations Initiation Session, Contractor will:

- Work with County to identify all Contractor and County resources required to complete the tasks outlined in this SOW;
- Provide County with a roster of Support Services, Maintenance, and Operations Initiation Session participants; and
- Develop a written agenda/schedule for the Support Services, Maintenance, and Operations Initiation Session.

The Support Services, Maintenance, and Operations Initiation Session will include the following:

- Review and document Support Services, Maintenance, and Operations Services, including Hosting Services and AMS (among others), and Licensed Software Modules and Third Party Products, Domains, Venues, and Locations for which Support Services, Maintenance, and Operations capabilities must be delivered within County.
- Review tasks, Deliverables, and Milestones for the planning and initiation of Support Services, Maintenance, and Operations.

After the Support Services, Maintenance, and Operations Initiation Session, Contractor will prepare a Support Services, Maintenance, and Operations Initiation Session Event Summary Report for review and Approval by County.

Operations Initiation Session Materials for County.

- Initial list of County Domains, Venues, and Locations for which Support Services, Maintenance, and Operations capabilities must be delivered.
- Report documenting Support Services, Maintenance, and Operations SOW dependencies.
- List of County Workgroup members who attended the Support Services, Maintenance, and Operations Initiation Session.
- List of Assignments and roles associated with those assignments for members of the County Workgroup.
- Support Services, Maintenance, and Operations Initiation Session Event Activity Report.
- Support Services, Maintenance, and Operations Support Services, Maintenance, and Operations Initiation Session presentation materials.
- Support Services, Maintenance, and Operations SOW Initiation Session Event Summary Report.

Acceptance Criteria:

- The Support Services, Maintenance, and Operations Initiation Session Event Summary Report from Contractor documenting that Initiation Session (a) has been completed and (b) includes accurate documentation of the content, outcomes, and next steps agreed upon at the Support Services, Maintenance, and Operations Initiation Session Event.
- The Support Services, Maintenance, and Operations Initiation Session Event Summary Report has been Approved by County.
- Report documenting Support Services, Maintenance, and Operations SOW dependencies and a plan to identify and address all others as described in subtask 1.2 (Conduct Initiation Session for Support

Task 1 Conduct SOW Kick-off	
	<p>Services, Maintenance, and Operations Workgroup).</p> <ul style="list-style-type: none"> Report documenting Support Services, Maintenance, and Operations SOW dependencies has been Approved by County.

Task 2 Conduct Production Support Planning	
Task Description	
Contractor will prepare production support planning documents, including development of a Production Support Plan, definition of Support Services, Maintenance, and Operations Services, communication methods, and delivery of Support Services, Maintenance, and Operations Services.	
Subtasks/Deliverables	
<p>Subtask 2.1 Develop and Maintain Production Support Plan</p> <p>Contractor will develop a Production Support Plan that includes a detailed description of:</p> <ul style="list-style-type: none"> Contractor-provided Support Services; AMS Delivery Model; Hosting Services Delivery Model; Maintenance of EHR System and user documentation; and Maintenance of Production Support Plan. <p>Contractor will update the Production Support Plan as required to provide for new Releases, Upgrades, and Revisions.</p> <p>Contractor will review the initial and updated Production Support Plan with County.</p> <p>Contractor will incorporate County feedback and proposed changes into the initial and updated Production Support Plan and submit a final version to County for Approval.</p>	<p>Deliverable 2.1 Production Support Plan</p> <ul style="list-style-type: none"> Production Support Plan. <p>Acceptance Criteria:</p> <ul style="list-style-type: none"> Production Support Plan addresses all elements described in subtask 2.1 (Develop and Maintain Production Support Plan). County-Approved Production Support Plan.
<p>Subtask 2.2 Compile EHR System and User Documentation for Handover to Production Support</p> <p>Contractor will develop EHR System and User Documentation that is compatible with County systems and applications, including:</p> <ul style="list-style-type: none"> EHR System solution architecture and design documents; Training materials and user guides as developed in Exhibit A.22 (Training and 	<p>Deliverable 2.2 EHR System and User Documentation</p> <ul style="list-style-type: none"> EHR System and User Documentation. <p>Acceptance Criteria:</p> <ul style="list-style-type: none"> EHR System and User Documentation addresses all elements described in subtask 2.2 (Compile EHR System and User Documentation for Handover to Production Support).

Task 2 Conduct Production Support Planning

<p>Knowledge Transfer);</p> <ul style="list-style-type: none">• Production Support Plan; and• Help Desk procedures and scripts as developed in Subtask 9.1 (Provide Post Go-Live Support) of Exhibit A.23 (Deployment). <p>Contractor will maintain an archive of the EHR System and user documentation in a shared location accessible to County.</p> <p>Contractor will update the EHR System and User Documentation as needed to ensure complete documentation of all Revisions and other changes.</p> <p>Contractor will review the initial and updated EHR System and User Documentation with County.</p> <p>Contractor will incorporate County feedback and proposed changes into the EHR System and User Documentation and submit a final version to County for Approval.</p>	<ul style="list-style-type: none">• County-Approved EHR System and User Documentation.
<p>Subtask 2.3 Define Contractor Process for Notifying County of Security Issues</p> <p>Contractor will define the Contractor process for notifying County of security issues and incidents in accordance with Exhibit K (Information Security Requirements) and Section 20 (Security) of the Agreement, including:</p> <ul style="list-style-type: none">• Breaches of Licensed Software, and Contractor systems and databases;• Unauthorized exposure or transmission of County Data held by Contractor; and• Unauthorized physical access to Contractor facilities where County Data is held. <p>Contractor's process for notifying County will include:</p> <ul style="list-style-type: none">• Timeline for notifying County of the security issue;• Method of notifying County;• County recipient of Contractor notifications; and• Contractor Personnel responsible for notifying County. <p>Contractor will, with input from County, define levels of severity for security issues and incidents.</p> <p>Contractor will review the Security Issues and</p>	<p>Deliverable 2.3 Contractor Notification Process for Security Issues</p> <ul style="list-style-type: none">• Contractor Security Issues and Incidents Notification Processes. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Contractor Security Issues and Incidents Notification Processes address all elements described in subtask 2.1 (Define Contractor Process for Notifying County of Security Issues).• Contractor Security Issues and Incidents Notification Processes have been Approved by County.

Task 2 Conduct Production Support Planning

Incidents Notification Processes with County.
Contractor will incorporate County feedback and proposed changes into the Security Issues and Incidents Notification Processes and submit a final version to County for Approval.

Subtask 2.4 Define Contractor Process for Notifying County of Issues and Events Impacting Operations

Contractor will define Contractor processes for notifying County of issues, events, incidents, and problems impacting operations, including:

- Issue, event, incident, and problem types and severity definitions;
- Contractor required maintenance windows and downtimes, including Contractor's scheduled outages in accordance with Section 7.1 (Scheduled Outages) of Exhibit E (Service Levels and Performance Standards);
- County required maintenance windows and downtimes;
- Timeline for notifying County of issues, events, incidents, and problems based on severity;
- Method of notifying County;
- County recipient of notification; and
- Contractor Personnel responsible for notifying County.

Contractor will review with County the Contractor processes for notifying County of issues, events, incidents, and problems impacting operations.

Contractor will incorporate County feedback and proposed changes into Contractor's processes for notifying County of issues, events, incidents, and problems impacting operations and submit a final version to County for Approval.

Deliverable 2.4 Contractor Process for Notifying County of Issues and Events Impacting Operations

- Contractor processes for notifying County of issues, events, incidents, and problems impacting operations.

Acceptance Criteria:

- County-Approved Contractor processes for notifying County of issues, events, incidents, and problems impacting operations.

Subtask 2.5 Define Requirements for Systems, Tools, and Interfaces for IT Service Management

Contractor will work with County to define and document Requirements for Systems, Tools, and Interfaces for IT Service Management, including:

- Help Desk Ticketing system to be use by County and AMS for issues and requests (current County system is Cherwell);

Deliverable 2.5 Requirements for Systems, Tools and Interfaces for IT Service Management

- Requirements for Systems, Tools, and Interfaces for IT Service Management.

Acceptance Criteria:

- County-Approved Requirements for Systems, Tools and Interfaces for IT Service

Task 2 Conduct Production Support Planning	
<ul style="list-style-type: none"> Tools, methods, and/or reports for County to access and view performance data related to AMS and Hosting Services; Interface requirements necessary to intercommunicate between County service management and monitoring systems and Contractor service management and monitoring systems; and Technical specifications which County can use to interface County service management and reporting tools to Contractor service management tools if they are distinct and this is necessary. <p>Where applicable, Contractor will provide County with recommendations for tools.</p> <p>Contractor will review and incorporate County feedback and proposed changes into Requirements for Systems, Tools and Interfaces for IT Service Management and submit a final version to County for Approval.</p>	Management.

Task 3 Provide Application and System Management Services	
Task Description	
<p>Contractor will provide Application Management Services ("AMS") for the Term of the Agreement. Contractor will provide AMS Services as provided in the Agreement, including, as applicable, the SOWs. Contractor will establish an AMS delivery model ("AMS Delivery Model") for County and deliver AMS in accordance with the Agreement and this Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance and Operations). County use of and requests for AMS Services, including those described in this Exhibit A.24.3 (Patient Transaction Services Support Services, Maintenance, and Operations Statement of Work) will be unlimited in nature and County's use of the AMS Services will not affect the Contract Sum.</p>	
Subtasks/Deliverables	
<p>Subtask 3.1 Establish AMS Delivery Model for County</p> <p>Contractor will develop an AMS Delivery Model, including:</p> <ul style="list-style-type: none"> Description of AMS Services as listed in subtasks 3.2 – 3.15 of this SOW; Develop, provide, and update Contractor staffing model for each AMS service, Licensed Software Module, and Third-Party Product; Contractor and County roles and 	<p>Deliverable 3.1 AMS Delivery Model for County</p> <ul style="list-style-type: none"> AMS Delivery Model. <p>Acceptance Criteria:</p> <ul style="list-style-type: none"> AMS Delivery Model addresses all elements described in subtask 3.1 (Establish AMS Delivery Model for County). AMS Delivery Model has been Approved by County.

Task 3 Provide Application and System Management Services

<ul style="list-style-type: none">responsibilities for AMS Services;○ AMS Services governance model for interaction with County;○ Approach to ensure continuity and knowledge transfer as AMS Services resources change;○ Service Level requirements;○ Reporting frequency and method, including approach for updating changes as metrics, requirements, and applications evolve;○ Scheduling approach and County review for maintenance windows;○ Approach for Regression Testing, including:<ul style="list-style-type: none">○ Selection/development of Regression Test scripts;○ Testing process; and○ Testing exit criteria;● Methodology for review and updating AMS Delivery Model; and● Process for issue resolution. <p>Throughout the Term, Contractor will maintain, and may update, the AMS Delivery Model.</p> <p>Contractor will review the AMS Delivery Model with County.</p> <p>Contractor will incorporate County feedback and proposed changes into the County-specific AMS Delivery Model and submit a final version to County for Approval.</p>	
<p>Subtask 3.2 Provide Application Monitoring and Management</p> <p>Contractor will provide application monitoring and management services, including:</p> <ul style="list-style-type: none">● Monitoring and managing all Licensed Software and Third-Party Products used in the EHR System;● Proactively and reactively notifying County help desk of issues, incidents, and problems found by Contractor that affect or may affect the Service, and of any required County intervention to avoid or resolve the issue, incident, or problem;● Removing or deactivating non-current items monitored or managed by AMS, after obtaining	<p>Deliverable 3.2 Application Monitoring</p> <ul style="list-style-type: none">● Application monitoring and management services.● Weekly calls and monthly reports. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">● Application monitoring and management services addresses all elements described in subtask 3.2 (Provide Application Monitoring and Management).

Task 3 Provide Application and System Management Services

<p>County Approval;</p> <ul style="list-style-type: none">• Monitoring and managing the following activities related to Interfaces: outbound Interface queue counts, status and settings, and inbound Interface status and settings; and• Review and provide feedback on County proposed changes to County's Interface engine. <p>Contractor will conduct weekly calls with County to discuss applications monitoring and management activities and related issues.</p> <p>Contractor will report monthly on applications monitoring and management, including the tracking and reporting of any issues.</p>	
<p>Subtask 3.3 Provide 24x7x365 Application Support</p> <p>Contractor will provide 24x7x365 application support for all Licensed Software and Third Party Product issues and County support requests.</p> <p>Contractor will:</p> <ul style="list-style-type: none">• Develop and maintain the Interface to County's ticket system as between both Contractor and County systems. County will cooperate and support, as appropriate, the Contractor activities to build and maintain the Interface. In the event Contractor is precluded from fulfilling its responsibilities by a third-party, County is responsible for obtaining the cooperation of a third-party. To the extent fees are to be paid to the County's ticket system vendor in connection with the Interface, County shall be responsible for such fees;• Integrate with the County help desk and ticketing system to ensure tracking and resolution of tickets routed to Contractor AMS team for resolution;• Address issues escalated from County help desk related to Licensed Software and Third Party Products;• Provide a single point of contact for application support issues;• Support County help desk incident resolution as needed;• Participate in the process for "hand off" from the County help desk to Contractor;	<p>Deliverable 3.3 24x7x365 Application Support</p> <ul style="list-style-type: none">• 24x7x365 application support.• Weekly calls and monthly reports. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• 24x7x365 application support addresses all elements described in subtask 3.3 (Provide 24x7x365 Application Support).

Task 3 Provide Application and System Management Services

- Maintain a record of incidents handed off from County help desk;
- Monitor County help desk tickets to identify patterns and improve services;
- Electronically document resolution through an Interface to County's help desk and ticketing system (currently Cherwell);
- Conduct root cause analysis on frequently recurring calls on the same topic;
- Provide monthly service reports that include:
 - Number of service requests;
 - Description of issues;
 - Root cause analysis; and
 - Resolutions implemented;
- Identify recurring issues, proactively recommend solutions, and implement based on County's request;
- Support County in addressing recurring issues as needed and agreed upon;
- Perform Daylight Saving Time management activities for the Licensed Software and Third Party Products;
- Troubleshoot and resolve foreign system Interface errors that originate in Contractor systems;
- Participate in the resolution of Interface errors that originate in County systems or third-party systems with respect to the Interfaces referenced in Subtask 3.1 (Document Interface Requirements) of Exhibit A. (Patient Transaction Services Statement of Work);
- Develop and maintain workflow documentation;
- Review and provide input to help desk scripts as necessary to improve the efficiency and effectiveness of incident resolution processes; and
- Build and maintain reference database elements.

Contractor will conduct weekly calls with County to discuss application support activities and related issues.

Task 3 Provide Application and System Management Services

Contractor will report monthly on application support activities, including the tracking and reporting of any issues.	
<p>Subtask 3.4 Provide Operations Management</p> <p>Contractor will provide operations management services, including:</p> <ul style="list-style-type: none">• Monitoring scheduled operations jobs to ensure scheduled tasks start and process without error;• Detection of abnormal conditions or alarms;• Logging of failed operations jobs, and corrective action taken;• Restarting operations jobs as required;• Documenting and reporting operations job issues;• Monitoring purge job activity to ensure purges are completed successfully;• Assist County in developing purge retention criteria;• Setting County-defined purge retention criteria and scheduling purge jobs in accordance with subtask 3.12 (Provide Technology Change Management); and• Adding and removing operations jobs. <p>Contractor will conduct weekly calls with County to discuss operations management services activities and related issues.</p> <p>Contractor will report monthly on Operations management services, including the tracking and reporting of any issues.</p>	<p>Deliverable 3.4 Operations Management</p> <ul style="list-style-type: none">• Operations management services.• Weekly calls and monthly reports. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Operations management services address all elements described in subtask 3.4 (Provide Operations Management).
<p>Subtask 3.5 Provide Report Creation and Maintenance</p> <p>Contractor will implement County requests for custom report creation and maintenance, including:</p> <ul style="list-style-type: none">• Providing an inventory of all custom and Contractor standard reports used in County's production system;• Modifications to existing production reports or rules to address County requests;• Changes required for release upgrades and content updates in accordance with subtask	<p>Deliverable 3.5 Report Creation and Maintenance</p> <ul style="list-style-type: none">• Report creation and maintenance.• Weekly calls. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Report creation and maintenance addresses all elements described in subtask 3.5 (Provide Report Creation and Maintenance).

Task 3 Provide Application and System Management Services

3.12 (Provide Technology Change Management), if applicable;

- In the event that a Revision or other change to the System causes an Error to County's custom reports, Contractor will provide Support Services to identify the issue, troubleshoot with County, provide remediation advice and guidance to County, and ensure that the System's reporting capabilities are still operating;
- Troubleshooting issues with custom reports in production;
- Managing requests using a tracking tool;
- Reporting status of custom report requests to County; and
- Modifying and testing reports and rules.

For each custom report request, Contractor will work with County to prioritize requests and provide County with an estimated time to implementation.

Contractor will support County in the development of reports, including review and validation of County-created reports.

Contractor will report weekly on the status of requests and alert County of any issues affecting report creation or maintenance.

Contractor will submit reports to County for validation and signoff on Reports, ensuring that the report meets requested intent.

Subtask 3.6 Conduct Maintenance Checks

Contractor will conduct Licensed Software Maintenance check activities, including:

- Monitor Licensed Software and Third-Party Product notifications (i.e., flashes, advisories, the Cerner Knowledge Network (for Modules other than the Experian Modules), and one or more dashboards (for the Experian Modules)) and take necessary action;
- Perform service package/software change certification as needed, including:
 - Review of service package certification guidelines released with each package;
 - Test service packages and fixes in non-

Deliverable 3.6 Maintenance Checks

- Maintenance checks.
- Weekly calls and monthly reports.

Acceptance Criteria:

- Maintenance checks address all elements described in subtask 3.6 (Conduct Maintenance Checks).

Task 3 Provide Application and System Management Services

<ul style="list-style-type: none">production domain; and○ Validation of code packages upon the install of the package testing to verify a software change;● Implement service package in accordance with subtask 3.9 (Implement New Releases and Licensed Software Upgrades); and● Validate service packages/application enhancements and fixes. <p>Contractor will conduct weekly calls with County to discuss maintenance check activities and related issues.</p> <p>Contractor will report monthly on maintenance check activities, including the tracking and reporting of any issues.</p>	
<p>Subtask 3.7 Implement Licensed Software and Third-Party Product Configuration Requests</p> <p>Contractor will implement County Licensed Software and Third-Party Product configuration and other approved non-source code requests in accordance with change management processes developed in subtask 3.12 (Provide Technology Change Management) as requested by County, including:</p> <ul style="list-style-type: none">● Modification to existing orders, tasks, preferences, users, etc.; and● Bundled Licensed Software configuration requests resulting from changes to County Domains, Venues, or Locations and which require multiple configuration modifications (e.g., remodeling a floor in a County facility). <p>Contractor will provide County with a detailed requirements document for requested configuration changes and other non-source code changes that are requested to the Licensed Software and Third-Party Products. The design document will include:</p> <ul style="list-style-type: none">● Design considerations;● Build steps;● Integration points; and● Steps to validate the change, including training, and communication needs. <p>Contractor will analyze each request and provide</p>	<p>Deliverable 3.7 Implemented Licensed Software and Third-Party Configuration Requests</p> <ul style="list-style-type: none">● Implemented Licensed Software and Third-Party Product configuration requests.● Weekly calls and monthly reports. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">● Licensed Software configuration requests are implemented as described in subtask 3.7 (Implement Licensed Software Configuration Requests).

Task 3 Provide Application and System Management Services

County with a proposed implementation schedule. Contractor will implement requests based on County-Approved prioritization and implementation schedule, and work with County to coordinate the move to production. Contractor will provide a centralized tracking system to track requests. Contractor will conduct weekly calls with County to discuss configuration request activities and related issues. Contractor will report monthly on configuration requests, including the tracking and reporting of any issues.

Subtask 3.8 Provide Incident/Problem Management and Resolution

Contractor will provide incident/problem management and resolution services using a structured IT service management methodology, including:

- Response to Contractor or County-identified incident/problems;
- Assessment of impact on County operations;
- Triaging;
- Tracking;
- Escalation;
- Notification; and
- Resolution.

In providing the incident/problem management and resolution services, Contractor will:

- Provide a single point of contact for incident reporting, resolution, and escalation;
- Provide multiple channels for problem or incident reporting (e.g., online, email, telephone) to single point of contact;
- Maintain ownership of all problems through resolution and closure;
- Perform root cause analysis on problems;
- Notify County help desk of incidents or problems found by Contractor;
- Staff operations and provide on-call incident and problem management and resolution staff

Deliverable 3.8 Incident/Problem Management Report

- Incident/ problem management and resolution services.
- Weekly calls.
- Monthly Incident/Problem Management Report.

Acceptance Criteria:

- Incidents and problems are resolved as described in subtask 3.8 (Provide Incident/Problem Management and Resolution).

Task 3 Provide Application and System Management Services

24x7x365; and

- Ensure notification and escalation of incidents in accordance with the production support plan, service level agreements, and Section 9.7 (Support Services) of the Agreement.

Contractor will provide County with a monthly report on incident/problem management, including:

- Number of incidents;
- List of all open problems;
- Priority of problems;
- Owner of problems;
- Progress on open problems;
- Estimated time to resolution of open problems; and
- Root cause analysis for resolved problems as requested by County.

Contractor will conduct weekly calls with County to discuss configuration request activities and related issues.

Subtask 3.9 Implement New Releases and Licensed Software Upgrades

As to the Experian Modules:

Contractor will manage and implement Licensed Software and Third-Party Product Revisions.

Contractor will install Revisions to all relevant Domains as described below and sync all Domains as necessary:

- Contractor will install such Revision pursuant to Section 9.7.2 (Contractor's Revisions) of the Agreement, and in the event that County determines that the Revision is likely to cause a material adverse effect on the functionality or operation of the Licensed Software, County may escalate such issue as provided in Section 9.7.2 (Contractor's Revisions) of the Agreement.

Contractor will conduct Regression Testing.

County will conduct Integration Testing with remote support from Contractor.

Contractor will resolve problems/incidents found in

Deliverable 3.9 New Releases and Licensed Software Upgrades

- Revision Management Plan (as to all Modules except the Experian Modules).
- New releases, Licensed Software Upgrades and other Revisions.
- Regression Testing.

Acceptance Criteria:

- New Releases, Licensed Software Upgrades, and other Revisions are implemented as described in subtask 3.9 (Implement New Releases and Licensed Software Upgrades).

Task 3 Provide Application and System Management Services

Regression or Integration Testing.

Contractor will provide a list of changes that may require County to update its training in accordance with Subtask 5.1 (Support Training on Revisions).

As to all Modules other than the Experian

Modules:

Contractor will manage and implement Licensed Software and Third-Party Product Revisions.

Contractor will create Revision Plans, including:

- Revision Management Plan;
- Technical assessment of all Domains, Venues, and Locations affected by Revision;
- Functional assessment of all Domains, Venues, and Locations affected by Revision;
- Impact of the change, including required County workflow changes and training needs;
- Test plan;
- Back out plan;
- Test Scripts; and
- Validation of code packages upon the install of the package.

Contractor and County will jointly determine Revision schedule and time of implementation.

Contractor will install Revisions to all relevant Domains with County Approval and sync all Domains as necessary.

Contractor will conduct Regression Testing.

County will conduct Integration Testing with remote support from Contractor.

Contractor will resolve problems/incidents found in Regression or Integration Testing.

Contractor will provide a list of changes that may require County to update its training in accordance with subtask 5.1 (Support Training on Revisions).

Contractor will provide a dedicated Revision team (upgrade center) to manage all Contractor processes and activities related to the Revision.

Subtask 3.10 Provide Content Management

Contractor will update content according to

Deliverable 3.10 Content Management

- Content management.

Task 3 Provide Application and System Management Services

<p>industry guidelines and applicable laws/rules/regulations.</p> <p>Contractor will provide services required for updates to content, including:</p> <ul style="list-style-type: none">• Standard content (e.g., payor data, including insurance eligibility data). <p>Contractor will provide content management services, including:</p> <ul style="list-style-type: none">• Maintaining standard content updates;• Installing content updates and performing technical special instructions;• Testing content updates in non-production domain;• Installing content updates; and• Validating content updates and application enhancements/fixes.	<p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Content is updated as described in Subtask 3.10 (Provide Content Management).
<p>Subtask 3.11 Conduct Service Level Monitoring and Reporting</p> <p>Contractor will conduct Service Level monitoring and reporting in accordance with Exhibit E (Service Levels and Performance Standard) of the Agreement. Service Level monitoring and reporting will include:</p> <ul style="list-style-type: none">• Ongoing monitoring of Contractor adherence to Service Levels;• Any issues that could impact an agreed-upon Service Level;• Resolution of any root-causes impacting Contractor's ability to meet agreed-upon Service Levels; and• Providing monthly statistics and management reports to County on Service Level attainment. <p>Contractor will conduct weekly calls with County to discuss Service Levels and related issues.</p>	<p>Deliverable 3.11 Service Level Monitoring and Reporting</p> <ul style="list-style-type: none">• Service Level monitoring and reporting.• Weekly calls. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Service Level monitoring and reporting addresses all elements described in subtask 3.11 (Conduct Service Level Monitoring and Reporting).
<p>Subtask 3.12 Provide Technology Change Management</p> <p>Contractor will design and implement a formal process for managing configuration and technology changes made to Licensed Software and Third-Party Products, including:</p> <ul style="list-style-type: none">• Coordination of configuration and technology changes with build and deployment teams	<p>Deliverable 3.12 Technology Change Management</p> <ul style="list-style-type: none">• Configuration and technology change management.• Weekly calls and monthly reports.• Configuration and Technology Change Control Board.

Task 3 Provide Application and System Management Services

<p>during the Project;</p> <ul style="list-style-type: none">• Communication between AMS and Project team during deployment;• Criteria and processes for “hand off” of configuration and technology change management procedures from Contractor’s Project team to Contractor’s AMS team;• Production Environment Change Authorization (“PECA”) process;• Configuration and technology change management procedure including submission, analysis and prioritization of requests;• Weekly configuration and technology change Approval meetings;• Execution of configuration and technology change; and• Validation of configuration and technology change. <p>Contractor will assist County in establishing a Configuration and Technology Change Control Board, including:</p> <ul style="list-style-type: none">• Criteria for identifying representatives to comprise County’s Configuration and Technology Change Control Board and County responsibilities; and• Recommendations for governance structure and processes to support configuration and technology change management activities and meetings. <p>Contractor will work with County to establish and mutually agree upon configuration and technology change control process.</p> <p>Contractor will provide Configuration and technology change management services, including:</p> <ul style="list-style-type: none">• Participating on Configuration and Technology Change Control Board to provide advice and direction to change requests;• Providing and maintaining an automated change management system to report and track changes made by Contractor;• Providing ongoing management, including	<p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Configuration and technology change Management addresses all elements described in subtask 3.12 (Provide Technology Change Management).
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Task 3 Provide Application and System Management Services

<p>Project plans and transition plan;</p> <ul style="list-style-type: none">• Providing reporting to County on change management;• Developing a production change schedule and review with County;• Providing risk management analysis, mitigation, and remediation;• Testing all changes to Licensed Software prior to moving them to production in accordance with the requirements of Exhibit A.21 (EHR System Testing Statement of Work);• Testing application Enhancements, Error Corrections, Upgrades and other Revisions in accordance with the requirements of Exhibit A.21 (EHR System Testing Statement of Work);• Developing test scripts and test data in accordance with the requirements of Exhibit A.22 (EHR System Testing Statement of Work); and• Developing training materials as specified in subtask 5.1 (Support Training on Revisions). <p>Contractor will develop communication and processes for Approval of Production Environment Change Authorization.</p> <p>Contractor will submit PECA process for County Approval.</p> <p>Contractor will manage PECA process for Licensed Software. Contractor affirms that PECA forms relate to technical changes only and are not an authorization for Optional Work that would impact the Contract Sum.</p> <p>Contractor will conduct weekly calls with County to discuss configuration and technology change management activities and related issues.</p> <p>Contractor will report monthly on configuration and technology change management, including the tracking and reporting of any issues.</p>	
<p>Subtask 3.13 Provide Configuration Management</p> <p>Contractor will provide configuration management of the EHR System, including:</p> <ul style="list-style-type: none">• Identifying, controlling, maintaining, and verifying installed Licensed Software and Third-	<p>Deliverable 3.13 Configuration Management</p> <ul style="list-style-type: none">• Configuration management.• Configuration Management Reports.• Weekly calls and monthly reports.

Task 3 Provide Application and System Management Services

<p>Party Products;</p> <ul style="list-style-type: none">• Verifying configuration records against the infrastructure and correcting any exceptions, and provide configuration records in centralized location;• Developing and maintaining configuration management policies, and procedures;• Establishing and maintaining process for tracking configuration changes;• Establishing and maintaining guidelines for physical and logical separation between development, test, and production domains;• Establishing and maintaining process for deploying and backing out of configuration items;• Establishing and maintaining configuration baselines as reference points for rebuilds;• Providing ability to revert to stable configuration states;• Establishing and maintaining process for verifying the accuracy of configuration items, adherence to configuration management processes and identifying process deficiencies; and• Providing County Configuration Management Reports as required and defined by County configuration management. <p>Contractor will conduct weekly calls with County to discuss configuration management activities and related issues.</p> <p>Contractor will report monthly on configuration management activities, including the tracking and reporting of any issues.</p>	<p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Configuration Management addresses all elements described in subtask 3.13 (Provide Configuration Management).
<p>Subtask 3.14 Provide Interface Support</p> <p>Contractor will provide County with Interface support for the EHR System, including:</p> <ul style="list-style-type: none">• Monitoring outbound Interface queue counts and status to ensure active outbound Interfaces are operational;• Monitoring inbound Interfaces status to ensure active inbound Interfaces are operational;• Maintaining and updating Interfaces;	<p>Deliverable 3.14 Interface Support</p> <ul style="list-style-type: none">• Interface support.• Weekly calls and monthly reports. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Interface Support addresses all elements described in Subtask 3.14 (Provide Interface Support).

Task 3 Provide Application and System Management Services

- Developing Interface Documentation including diagrams and schematics;
- Providing feedback on Interface specifications for new Interfaces and Supporting County with development of project plan for new Interface support.

Contractor will conduct weekly calls with County to discuss Interface management activities and related issues.

Contractor will report monthly on Interface management, including the tracking and reporting of any issues.

Subtask 3.15 Maintain Security and Manage Authorization Controls and Processes

Contractor will provide application specific security services based on County guidelines in accordance with Exhibit K (Information Security Requirements) and Section 20 (Security) of the Agreement, including;

- Provide and maintain virus protection;
- Monitor for EHR System security errors, exceptions, and attempted violations;
- Report security violations to County per County policies; and
- Monitor legal and regulatory requirements, and provide and test Revisions to the Licensed Software to enable compliance with legal and regulatory requirements as provided in the Agreement.

Contractor will provide Security services in compliance with applicable federal, state, County, and payor requirements as set forth in this Agreement.

Contractor will manage and implement authorization controls and processes, including:

- Maintaining and updating security technology architecture;
- Providing and maintaining a user database for application-specific security including task access, positions, and roles (e.g., build form); and
- Creating and managing Contractor's user accounts.

Deliverable 3.15 Security Services and Authorization Controls

- Security services and authorization controls.
- Weekly calls and monthly reports.

Acceptance Criteria:

- Security services contain all elements required by Subtask 3.15 (Maintain Security and Manage Authorization Controls and Processes).

Task 3 Provide Application and System Management Services

Contractor will develop a change control process for the creation and modification of Contractor user accounts, and submit it for County Approval.

Contractor will conduct weekly calls with County to discuss security and authorization management activities and related issues.

Contractor will report monthly on security and authorization management, including the tracking and reporting of any issues.

Task 4 Initiate and Provide Hosting Services

Task Description

Contractor will initiate and provide the Hosting Services, and manage, monitor, and maintain the Hosting Environment in accordance with the requirements of Exhibit N (Required Remote Hosted Software Terms and Conditions), Exhibit N.1 (Hosting Services), Exhibit E (Service Levels and Performance Standards), Exhibit K (Information Security Requirements), the Agreement, and applicable SOWs. The Hosting Services will include documentation of account management, operations and administration, database administration, change management, capacity management, performance management, and Service Level monitoring and reporting.

Subtasks/Deliverables

Subtask 4.1 Prepare Hosting Services Delivery Document

Contractor will develop, maintain, and update a Hosting Services Delivery Document in accordance with Exhibit A.3 (EHR Architecture and Hosting Services Statement of Work) which includes Contractor's approach to the following:

- Transition of Licensed Software from responsibility of Contractor Project implementation team to Contractor Support Services team;
- Access management in accordance with Subtask 3.14 (Provide Interface Support), including:
 - County user accounts; and
 - Contractor Personnel accounts;
- Operations and Administration, including:
 - Contractor infrastructure;
 - As to all Modules that are not Experian Modules, initial and ongoing evaluation and monitoring of County infrastructure

Deliverable 4.1 Hosting Services Delivery Document

- Hosting Services Delivery Document.

Acceptance Criteria:

- The Hosting Services Delivery Document incorporates, and is consistent with, County-provided input;
- The Hosting Services Delivery Document address all elements described in Subtask 4.1 (Prepare Hosting Services Delivery Document).
- The Hosting Services Delivery Document has been Approved by County.

Task 4 Initiate and Provide Hosting Services

- and operations;
- As to all Modules that are not Experian Modules, at County's request, diagnostics and validation of County infrastructure and operations;
- As to all Modules that are not Experian Modules, recommendations for improvements to County infrastructure; and
- Contractor and County roles and responsibilities;
- Capacity planning and management, including:
 - Storage, network, and processing capabilities; and
 - Monitoring performance;
- Management of Contractor-provided servers; including:
 - Monitoring;
 - Updating; and
 - Optimizing performance;
- Maintaining Service Levels
- Defining and developing alerts (network latency alert, saturation alert, etc.);
- Service Level monitoring and reporting, including:
 - Alerts;
 - Service metrics;
 - Monitoring tools;
 - Service request tracking system;
 - Audits;
 - Weekly Contractor meetings with County; and
 - Processes for communicating scheduled outages;
- Maintaining or otherwise providing for security, including:
 - Physical security; and
 - Logical security;
- Preventative maintenance for the Hosting Services environment, including technology refreshes to remain current with applicable

Task 4 Initiate and Provide Hosting Services

<p>industry standards;</p> <ul style="list-style-type: none">• Defining procedures for backups and restores, including:<ul style="list-style-type: none">○ Frequency;○ Method;○ Validation; and○ Defining restore checkpoints; and• Providing business continuity and disaster recovery services. <p>Contractor will review the draft Hosting Services Delivery Document with County.</p> <p>Contractor will incorporate County feedback and proposed changes as appropriate into the County Hosting Services Delivery Document and submit a final version to County for Approval.</p>	
<p>Subtask 4.2 Provide Hosting Services</p> <p>Throughout the Term of the Agreement, Contractor will provide Hosting Services in accordance with the Production Support Plan developed pursuant to Subtask 8.1 (Update and Maintain Patient Transaction Services Modules Production Support Plan) of Exhibit A. (Patient Transaction Services Statement of Work).</p> <p>The Hosting Services will comply with the requirements of Exhibit N (Required Remote Hosted Software Terms and Conditions), Exhibit N.1 (Hosting Services), Exhibit E (Service Levels and Performance Standards), Exhibit K (Information Security Requirements), the Agreement, and applicable SOWs.</p> <p>Contractor will:</p> <ul style="list-style-type: none">• Operate the Licensed Software and the Hosting Services on a 24x7x365 basis;• Provide County with access to the Licensed Software and Hosting Services over (i) Approved dedicated network or (ii) secure Internet connections (as required under the Agreement) from the Hosting Environment on a 24x7x365 basis;• Provide, monitor, and maintain Hosting Services hardware, software, and communications infrastructure, including:<ul style="list-style-type: none">○ Physical infrastructure for data center (e.g.,	<p>Deliverable 4.2 Hosting Services</p> <ul style="list-style-type: none">• Hosting Services.• Weekly calls and monthly reports. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• The Hosting Services comply with the Specifications.• The Hosting Services address all elements described in subtask 4.2 (Provide Hosting Services).

Task 4 Initiate and Provide Hosting Services

<ul style="list-style-type: none">facility, environment, power);○ Shared networking and application infrastructure; and○ Computer systems, network equipment, and Contractor WAN;• Manage, monitor, and maintain Contractor-owned equipment in County facilities;• In coordination with AMS, monitor all inbound and outbound Interfaces and provide County with notice of inactive Interfaces or other potential connectivity issues; and• In coordination with AMS, provide and maintain all Licensed Software, Hosting Software, and Third-Party Product licenses and sublicenses, and Documentation required to provide the Hosting Services. <p>Contractor will conduct weekly calls with County to discuss Hosting Services activities and related issues.</p> <p>Contractor will report monthly on Hosting Services activities, including the tracking and reporting of any issues.</p>	
<p>Subtask 4.3 Conduct Service Level Monitoring and Reporting</p> <p>Contractor will conduct monitoring and reporting of Service Levels to County, including:</p> <ul style="list-style-type: none">• Continuously monitoring the Hosting Environment in accordance with Section 2 (Service Monitoring and Management) of Exhibit E (Service Levels and Performance Standards);• Developing and delivering to County monthly reports showing Service Level performance in accordance with Section 4.6 (Reporting Service Level) of Exhibit E (Service Levels and Performance Standards); and• Providing County with tools, methods, and/or reports to measure Licensed Software and Hosting Services response time. <p>Contractor will provide Service Level reports (e.g., performance metrics and system accounting information) to the designated County representatives in a format agreed to by County.</p>	<p>Deliverable 4.3 Service Level Reports</p> <ul style="list-style-type: none">• Weekly calls.• Monthly Service Level Reports.• Response time measurement tool. <p>Acceptance Criteria:</p> <ul style="list-style-type: none">• Monthly Service Level Reports include sufficient detail to verify compliance with Service Levels and are County Approved.

Task 4 Initiate and Provide Hosting Services

Contractor will conduct weekly calls with County to discuss Service Level monitoring activities and related issues.

Subtask 4.4 Respond to Support Service Requests

In coordination with AMS, Contractor will provide Support Services as required in the Agreement.

Contractor will:

- Participate in weekly meetings with County to discuss status of, and improvement of response time to, service requests;
- Provide technical guidance to County on configuration of County internal network and workstations, peripheral devices, and other County hardware to enable connectivity to Hosting Services;
- Provide recommendations to County for issue identification and resolution procedures, including steps to diagnose whether issues originate in County-owned or Contractor-hosted systems;
- Notify County of any issues Contractor discovers that may adversely impact the Hosted Services;
- Notify County of any planned outages within the timeframes specified in Exhibit N (Required Remote Hosting Software Terms and Conditions), and the Agreement;
- Provide, manage, and maintain a method for proper notification and escalation of issues;
- Log all incidents and problems; and
- Provide incident and management reports and statistics to County as requested by County but in no event less than once per month.

Contractor will set up a Service Request Tracking System as required by Section 4.1 (Service Request Tracking System) of Exhibit E (Service Levels and Performance Standards).

Contractor will conduct weekly calls with County to discuss service requests and related issues.

Contractor will report monthly on service requests, including the tracking and reporting of any issues.

Subtask 4.5 Maintain Security**Deliverable 4.4 Support Services**

- Support Services.
- Weekly calls and monthly reports.
- Service Report Tracking System.

Acceptance Criteria:

- Support Services contain all elements required by Subtask 4.4 (Respond to Support Service Requests), and are County Approved.

Deliverable 4.5 Security Services

Task 4 Initiate and Provide Hosting Services

Contractor will provide security management services in accordance with Exhibit A.20 (Security Statement of Work), Exhibit K (Information Security Requirements), and Section 3 (Hosting Environment) of Exhibit N.1 (Hosting Services).

Contractor will:

- On an ongoing basis, provide input and written recommendations into County security plan.
- Provide data center physical security measures and controls;
- Govern physical access to Contractor facilities with access entitlement control;
- Utilize encryption in storing and transmitting County Data;
- Provide physical and logical security of all service components (hardware and software) and data;
- Monitor for EHR System security errors, exceptions, and attempted violations;
- Implement and monitor network intrusion and virus detection systems throughout Hosting Services network and computing infrastructure;
- Provide and maintain virus protection;
- Provide dedicated security manager to enforce security procedures and resolve issues;
- Provide and manage URL access to Internet sites approved for appropriate business purposes;
- Provide Hosting Environment security plan and infrastructure based on security requirements, standards, procedures, policies, County, federal, state, and local requirements and risks;
- Implement physical and logical security plans for all Hosting Environment components consistent with Contractor (and as applicable, Subcontractor) security policies and industry standards;
- Implement logical security plans for all Hosting Environment components consistent with applicable County security policies as it relates to the EHR System;

- Security management services.
- Input to update County security plan.
- Weekly and monthly reports.

Acceptance Criteria:

- Security Management Services contain all elements required by subtask 4.5 (Maintain Security).

Task 4 Initiate and Provide Hosting Services

- Report security violations to County per County policies and in accordance with subtask 2.3 (Define Contractor Process for Notifying County of Security Issues); and
- Provide and maintain all documentation required for security audits and internal control and control testing.

Contractor will provide all Security Management Services in compliance with all applicable federal, state, County, and payor requirements.

Contractor will conduct weekly calls with County to discuss security activities and related issues.

Contractor will report monthly on security activities and alert County of any issues.

Subtask 4.6 Conduct Backups and Restores

Contractor will conduct the backups and restores required by subtask 4.1 (Prepare Hosting Services Delivery Document) and Section 3 (Backups) of Exhibit E (Service Levels and Performance Standards), including:

- Regular backups of all County Data;
- Backups of Licensed Software and Third-Party Products in accordance with the Hosting Services Delivery Document; and
- Backup validation.

Contractor will conduct weekly calls with County to discuss backup and restore activities and related issues.

Contractor will provide County with monthly reports certifying successful backup validation.

Deliverable 4.6 Backups Validation Report

- Backups validation report.
- Weekly calls and monthly reports.

Acceptance Criteria:

- The Backups validation report address all elements described in subtask 4.6 (Conduct Backups and Restores).

Subtask 4.7 Provide Business Continuity and Disaster Recovery Services

Contractor will provide prioritized business continuity and disaster recovery services for the Hosting Services and associated infrastructure (e.g., servers, network connection) in accordance with Section 22 (Disaster Recovery/Business Continuity) of the Agreement.

Contractor will:

- Develop and maintain detailed Business Continuity Plan and Disaster Recovery Plan;
- As to all Modules that are not Experian

Deliverable 4.7 Business Continuity and Disaster Recovery

- Contractor's current Business Continuity Plan and Disaster Recovery Plan.
- Report of Business Continuity Plan and Disaster Recovery Plan test results.
- Updated Business Continuity Plan and Disaster Recovery Plan.
- Weekly calls and monthly reports.

Acceptance Criteria:

- County-Approved Business Continuity Plan and

Task 4 Initiate and Provide Hosting Services

<p>Modules, provide County with a copy of Contractor's current Business Continuity Plan and Disaster Recovery Plans;</p> <ul style="list-style-type: none">• As to the Experian Modules, provide County with a summary of Contractor's current Business Continuity Plan and Disaster Recovery Plans;• Review and update the Business Continuity Plan and Disaster Recovery Plans on at least an annual basis;• Develop action plan to mitigate risks and issues discovered during the Business Continuity Plan and Disaster Recovery Plan review;• Notify County if Contractor conducts fail over; and• As to all Modules that are not Experian Modules, provide County with copies of all updates to the Business Continuity Plan and Contractor's standard Disaster Recovery Plan. <p>Contractor will initiate the Disaster Recovery Plan in the event of a Contractor disaster recovery situation and notify County per the Agreement and disaster recovery policies and procedures.</p> <p>Contractor will coordinate with County during a Contractor disaster recovery situation per the Agreement and disaster recovery policies and procedures.</p> <p>Contractor will conduct weekly calls with County to discuss business continuity and disaster recovery activities and related issues.</p> <p>Contractor will report monthly on business continuity and disaster recovery activities and alert County of any issues.</p>	<p>Disaster Recovery Plans.</p> <ul style="list-style-type: none">• County-Approved Business Continuity Plan and Disaster Recovery Plan test results.
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Task 5 Conduct Ongoing Training Activities

Task Description	
Contractor will conduct ongoing training activities necessary to support County in maintaining and operating the EHR System.	
Subtasks/Deliverables	
Subtask 5.1 Support Training on Revisions In preparation for Revisions that are a Version, that	Deliverable 5.1 Training on Revisions <ul style="list-style-type: none">• Training on Revisions as described in Subtask

Task 5 Conduct Ongoing Training Activities

will cause a material impact to County's operations, that will disrupt County's workflows, or that require formal training in order for County to use the Revision, Contractor will conduct training for County support personnel and trainers on Revisions, including:

- For each such Revision, develop a training plan, including:
 - Content;
 - Tools; and
 - Delivery methods;
- Provide County with sample training materials and sample help desk scripts;
- Provide guidance to the County in developing training materials, including County help desk scripts as they relate to the EHR System;
- Review County training materials for completeness and accuracy;
- Provide any existing WBTs to County support staff and trainers; and
- Provide County with training resources for training of County support personnel and trainers, as requested by County and mutually agreed on as per governance structure identified in Exhibit A.2 (Project Initiation Statement of Work).

5.1 (Support Training on Revisions).

- Sample training materials for such Revisions.
- Review and validation of County developed training materials for such Revisions.

Acceptance Criteria:

- The training on Revisions support addresses all elements described in Subtask 5.1 (Support Training on Revisions).

Subtask 5.2 Maintain Learning Environment and Provide Training

As to all Modules that are not Experian Modules:

Contractor will maintain the LearningLIVE environment for County, including:

- Hosting the LearningLIVE environment;
- Providing County personnel with access to LearningLIVE environment;
- Providing periodic updates to LearningLIVE code; and
- Providing periodic web-based training for County personnel on new features and functionality of the LearningLIVE environment; and
- Providing ongoing support via the uLearn

Deliverable 5.2 Learning Environment and Training

- LearningLIVE environment.
- LearningLIVE training.
- Training on Experian Modules.

Acceptance Criteria:

- The LearningLIVE Environment and training support address all elements described in Subtask 5.2 (Maintain Learning Environments).

Task 5 Conduct Ongoing Training Activities

portal.

As to the Experian Modules:

Contractor shall provide a customized training deck for the Experian Modules that includes the product overview details, associated screenshots, and integration slides for Contractor workflows.

Contractor shall also provide product specific user guides and job aids. Contractor shall also provide recordings (via .MP4 files) of customized training sessions for County for reference purposes.

Contractor shall provide ten (10) two-hour virtual classes (twelve (12) participants per class) of eCareNEXT Financial Clearance training (i.e., the same training as described in Section 4 (Transaction Services Training Optional Work) of Exhibit C.1. (Patient Transaction Services Optional Work)) at no additional cost.

5.3 Project Deliverable Expectations Document Template

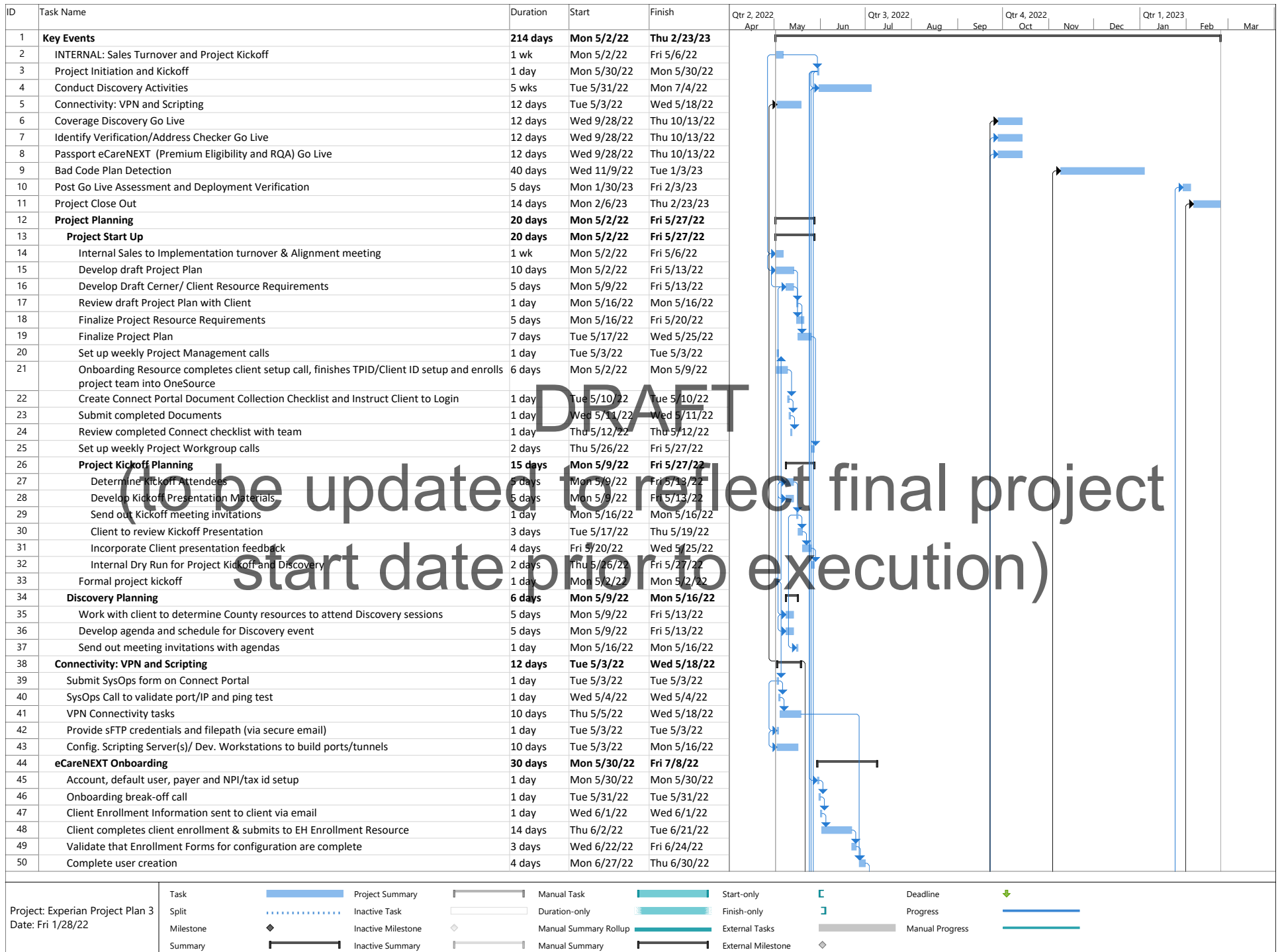
Project Deliverable Expectations Document	
Project Deliverable Number:	Title of Deliverable:
Deliverable Description:	Contract/SOW Reference:
Frequency:	Initial Draft Submission Due Date:
County's Review of Draft Deliverable: [XX] Days	Final Submission Due Date: [XX] Days after receipt of draft comments
County Approval Required: Yes/No	Distribution: County Project Manager – 1 hard copy and 1 soft copy County Project Oversight – 1 soft copy
Contractor: Complete shaded area below	
Detailed Deliverable Outline:	
Deliverable Acceptance Criteria (include agreed upon requirements, format and contents, related to Deliverable):	
Prepared By (please print):	Date Submitted:
Date Submitted 2:	Date Submitted 3:
Phone Number:	E-mail:
Contractor Project Director or Contractor Project Manager Signoff (For Key Deliverables):	
Contractor Representative Name:	Contractor Representative Position:
Contractor Representative Signature:	Date:
County Approval/Comments	
Approved By:	Date:
Signature:	
Comments:	

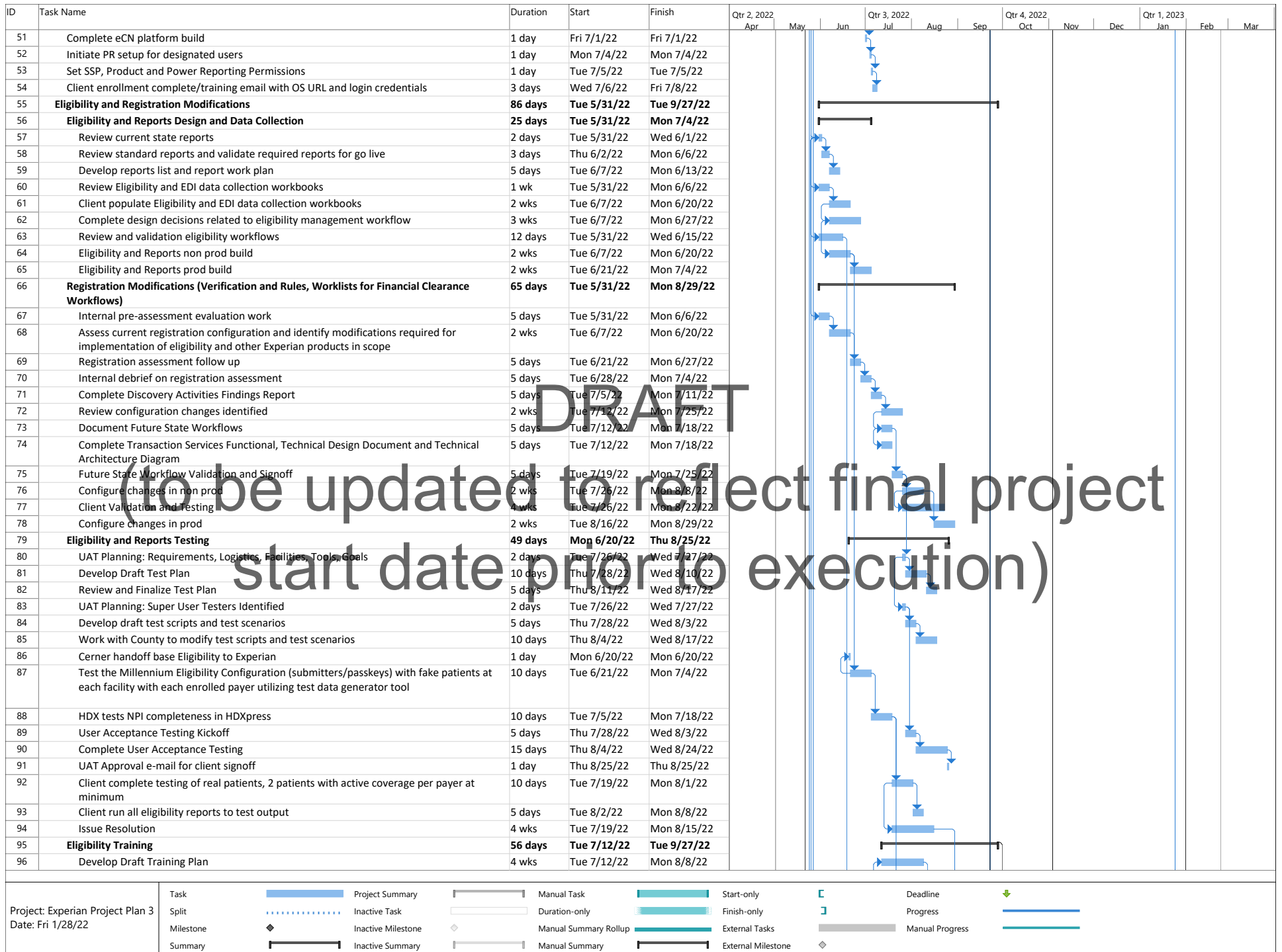


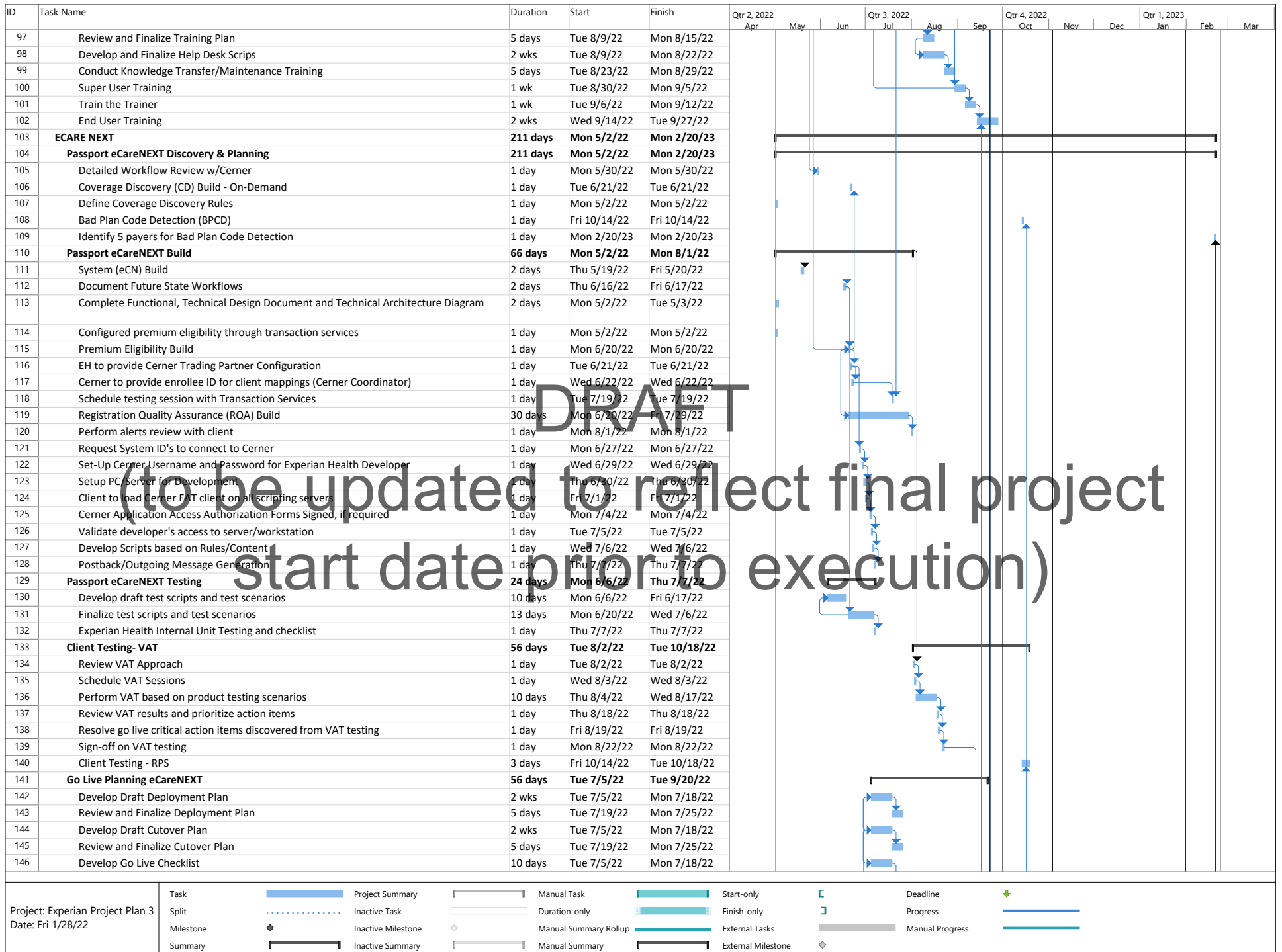
EXHIBIT A.25._ (PATIENT TRANSACTION SERVICES PROJECT WORK PLAN)

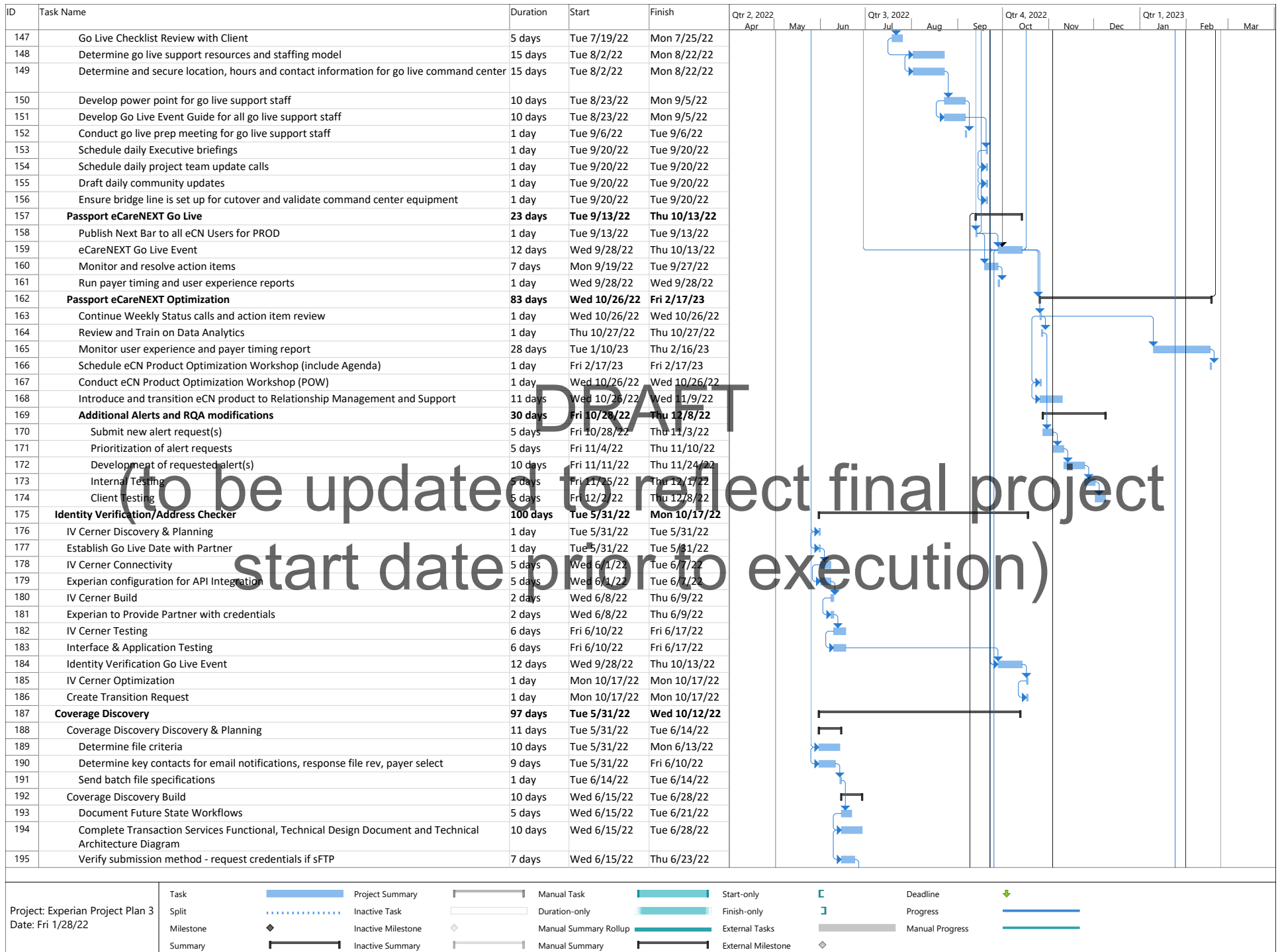
TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT









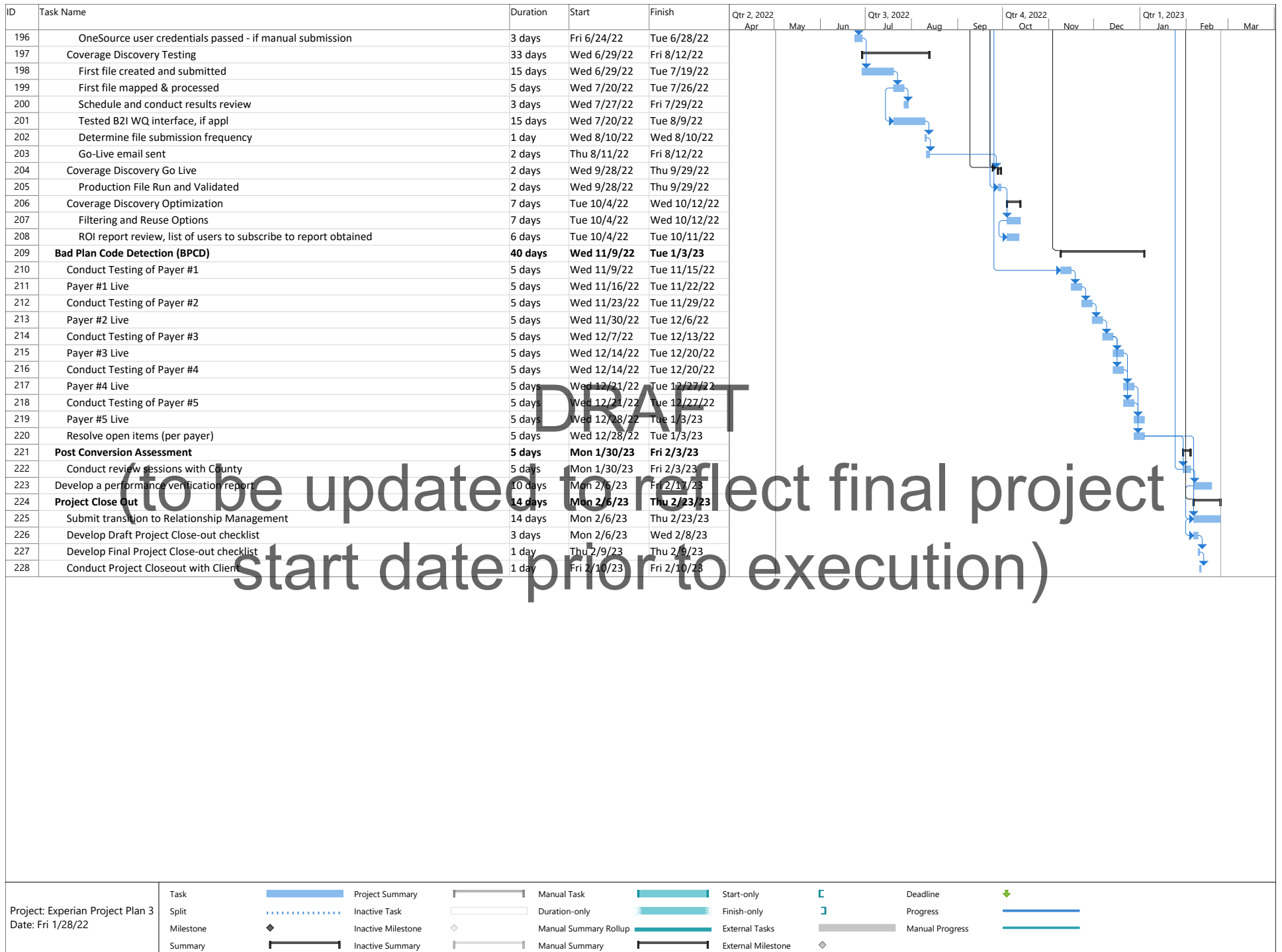




EXHIBIT A.26._ (PATIENT TRANSACTION SERVICES FUNCTIONAL
REQUIREMENTS)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT A.26.**PATIENT TRANSACTION SERVICES FUNCTIONAL REQUIREMENTS****1. INSURANCE ELIGIBILITY VERIFICATION SPECIFICATIONS**

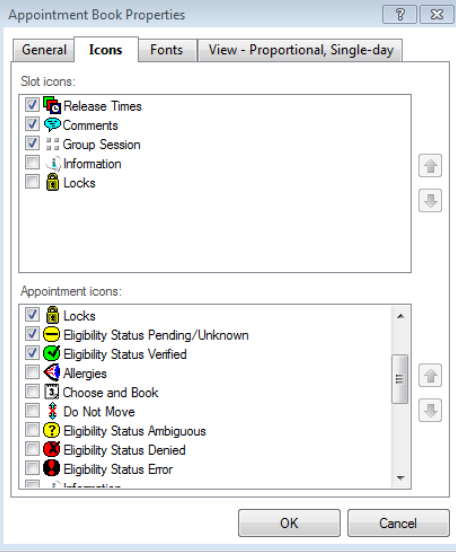
Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
General			
GN-1.	The system provides an alert queue and alert log that enables County Users to:	X	
GN-1.1.	▪ View unresolved alerts	X	
GN-1.2.	▪ View resolved alerts	X	
GN-1.3.	▪ Identify which County Users saw a particular alert	X	
GN-1.4.	▪ Identify how an alert was resolved or addressed within the system	X	
GN-2.	As to functionality that is accessed in eCare NEXT (i.e., for Requirements that have an “X” in the “Functionality Accessed in eCare NEXT” column of this table), such functionality will be provided to County users via (1) an eCare NEXT toolbar displayed within the EHR System, and/or (2) within the eCare NEXT platform web application.	X	X
GN-2.1.	▪ As to functionality that is accessed in eCare NEXT and not accessed in ORCHID (i.e., for Requirements that have an “X” in the “Functionality Accessed in eCare NEXT” column of this table and do not have an “X” in the “Functionality Accessed in ORCHID” column of this table), such functionality will be provided to County users via the eCare NEXT platform web application.	X	
GN-2.2.	▪ Once logged into the EHR System, County users can view and use the eCare NEXT toolbar displayed within the EHR System without a separate or additional authentication step.	X	X
GN-2.3.	▪ The eCare NEXT toolbar displayed within the EHR System will include a link for County EHR System users to access the eCare NEXT platform web application.	X	X
GN-2.4.	▪ Once logged into the EHR System, County users can view and use the eCare NEXT platform web application (accessible via the link in the eCare NEXT toolbar displayed within the EHR System) without a separate or additional authentication step.	X	X
GN-3.	The System will support single sign-on capability using the County’s Active Directory (AD) instance.	X	
Eligibility Verification			
EV-1.	The system shall provide the capability to complete the financial clearance process related to eligibility for services scheduled for the current month, including pre-registration and recurring encounters, and update related data fields in ORCHID, as illustrated in Requirement Error! Reference source not found. EV-19.	X	X
EV-1.1.	▪ The system will generate eligibility 270/271 responses that include the types of content as provided in Exhibit A.26._.1 (Sample Eligibility Verification Report).	X	X
EV-1.2.	▪ For Medicare and Medi-Cal (including Health Net), the system will determine real-time eligibility information via direct (i.e., without using a third-party clearinghouse) connections to the applicable federal (for Medicare) and state (for Medi-Cal) systems.	X	X

Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
EV-1.3.	<ul style="list-style-type: none"> For non-Medicare and non-Medi-Cal payers, the system will determine real-time eligibility information via direct (i.e., without using a third-party clearinghouse) and indirect (i.e., through a third-party clearinghouse) connections to such payers' systems, as applicable to each system. For example: <ul style="list-style-type: none"> For LA Care, the system will determine real-time eligibility information via a direct connection to LA Care (via the eCare NEXT functionality). 	X	X
EV-1.4.	<ul style="list-style-type: none"> The system will fix, repair, clean, and otherwise manipulate the eligibility data received from payers to improve the usability of the data and correct errors in the data. 	X	X
EV-1.5.	<ul style="list-style-type: none"> In addition to the caching functionality described in Requirement EV-3.4, the system will retain all eligibility verification responses for seven (7) years. 	X	X
EV-2.	The system shall provide the capability to run batch eligibility for pre-admit and active admit encounters (for patients that are still admitted to a hospital) and to generate worklists for manual review.	X	X
EV-3.	The system shall populate Medi-Cal information (e.g., county code (i.e., "Subscriber County"), aid code, health plan, IPA or primary care provider, share of cost), Medicare information (e.g., Medicare Part C / Medicare Advantage or Medicare as Secondary Payor), and various commercial insurance plan information, including Benefit Information, as available by the payer. The information shall translate to County insurance codes.	X	
EV-3.1.	<ul style="list-style-type: none"> The system will determine a patient's "Primary Aid Code" as part of the eligibility verification process, and will store or update that information within a designated field in ORCHID. 	X	X
EV-3.2.	<ul style="list-style-type: none"> The system will determine a patient's "Subscriber County" as part of the eligibility verification process, and will store or update that information within a designated field in ORCHID. 	X	X
EV-3.3.	<ul style="list-style-type: none"> In the event that the eligibility verification process identifies multiple aid codes for a patient (i.e., aid codes in addition to the "Primary Aid Code"), the system will, in addition to the functionality described in Requirement EV-3.1: 	X	
EV-3.3.1.	<ul style="list-style-type: none"> Notify County Users, via dashboard alerts and designated worklist, that multiple aid codes were identified for a patient and need to be resolved. 	X	
EV-3.3.2.	<ul style="list-style-type: none"> Provide custom workflows for County Users to review and resolve instances where multiple aid codes were identified for a patient. 	X	
EV-3.4.	<ul style="list-style-type: none"> The system will determine a patient's "Medical Group IPA" as part of the eligibility verification process, and will store or update that information within a designated field in ORCHID. 	X	X
EV-3.5.	<ul style="list-style-type: none"> The system will determine a patient's "Insurance Code" (i.e., DHS insurance code) as part of the eligibility verification process by mapping the data received to the County's insurance code tables, and will store or update that information within a designated field in ORCHID, as further described in Requirements Error! Reference source not found.EV-9 through Error! Reference source not found.EV-15 	X	
EV-3.6.	<ul style="list-style-type: none"> The system will parse free text fields provided in payer responses as part of the eligibility verification process, including for specific strings identified by the County, and will be configured to: 	X	

Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
EV-3.6.1.	<ul style="list-style-type: none"> Automatically trigger payer chaining based on the presence of certain strings within free text fields 	X	
EV-3.6.2.	<ul style="list-style-type: none"> Notify County Users, via dashboard alerts and designated worklist, of the presence of certain strings within free text fields (e.g., the system will be configured to notify County Users of (i) Medi-Cal responses that indicate Other Health Coverage based on the presence of the string "COV: OIM", and (ii) Medi-Cal responses that indicate a Medi-Cal Share of Cost based on the presence of the string "Spend Down Amount Obligation: \$") 	X	
EV-3.7.	<ul style="list-style-type: none"> The system will determine patient eligibility automatically based on pre-configured County rules and parameters, or will trigger an exception process for County Users to manually determine patient eligibility (e.g., as described in Requirement EV-3.2) 	X	X
EV-3.8.	<ul style="list-style-type: none"> Once the eligibility is confirmed (whether automatically by the system when no exception process is triggered, or manually by County Users in the event an exception process is triggered), the system shall determine and populate or update the ORCHID "Verify Status" and "Verify Source" field, as further described in Requirement Error! Reference source not found.EV-8. 	X	X
EV-3.9.	<ul style="list-style-type: none"> The system will automatically trigger and populate the appropriate worklists (including custom worklists) within ORCHID based on the "Primary Aid Code," "Subscriber County," "Insurance Code," and other information determined as part of the eligibility verification process and stored within the EHR System, including, for example: 	X	
EV-3.9.1.	<ul style="list-style-type: none"> If the eligibility verification process identifies both Medicare and private insurance coverage for a patient, the system will automatically trigger and populate an "Incomplete Verification" worklist within ORCHID that enables County Users to (i) see both the Medicare and private coverage, and (ii) manually resolve and verify the patient's eligibility. 	X	
EV-3.9.2.	<ul style="list-style-type: none"> If the eligibility verification process identifies a patient as having private insurance coverage, but the ops job between HealthIntent and ORCHID identifies that patient as a DHS Managed Care patient, the system can be configured to ignore the private insurance coverage information. 	X	
EV-3.9.3.	<ul style="list-style-type: none"> If the eligibility verification process identifies a patient as having L.A. Care or Health Net coverage, and the ops job between HealthIntent and ORCHID does not identify that patient as a DHS Managed Care patient, the system will automatically trigger via dashboard alerts and designated worklist within ORCHID that enables County Users to (i) see both the L.A. Care or Health Net coverage and that the patient is not assigned to DHS, and (ii) manually resolve and verify the patient's eligibility. 	X	
EV-4.	The system shall provide transaction caching functionality to allow re-use of a determination from earlier in the same month so that no submission of a new inquiry is required if multiple encounters occur in the same month.	X	X
EV-5.	The system shall allow users to verify patient eligibility directly from ORCHID through a link to eCare NEXT.	X	X
EV-6.	The system shall provide enhanced search options, including search by Patient Name, Social Security Number (SSN), or Insured Name, for users to look up eligibility of a patient.	X	X
EV-6.1.	<ul style="list-style-type: none"> The system shall enable County to perform eligibility verification using Social Security Numbers (SSNs) as a unique identifier for the patient for all payers that support eligibility verification using SSNs (e.g., Medi-Cal). 	X	X
EV-7.	The system shall identify patients who have not been financially cleared for eligibility yet within the current month or for future months, based on user-defined preferences.	X	X

Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
EV-8.	The system shall populate, within the EHR System, an indicator of active coverage for patients who are identified as DHS assigned managed care, Medi-Cal Fee-for-Service, Restricted Medi-Cal, and Medicare Fee-for-Service patients living within Los Angeles County for services scheduled within the current month.	X	X
EV-9.	The system shall auto-populate insurance code information in the “Insurance Code” field in ORCHID for pre-registration, recurring encounters, and outpatient encounters.	X	
EV-10.	The system shall identify insurance code information in the “Insurance Code” field in ORCHID and generate a worklist of “pre-admit” and “active admit” encounters for manual review.	X	
EV-11.	For pre-registration and recurring encounters, the system shall automatically validate information in the “Insurance Code” field based on the screening results and overwrite if incorrect or not current.	X	
EV-12.	For pre-admit or active admit encounters, the system shall automatically validate information in the “Insurance Code” field based on the eligibility screening results, and generate a report for manual review if information is incorrect or not current (e.g., the system will alert County if a patient is registered as having Medicare Fee-for-Service coverage but eligibility verification identifies that the patient has Medicare HMO coverage).	X	
EV-12.1.	The system will notify County Users, via dashboard alerts and designated worklists, of any Medicare Fee-for-Service that are missing Medicare Part A (for an inpatient encounter) or that are missing Medicare Part B (for an outpatient encounter).	X	
EV-13.	For outpatient encounters (e.g., ED or UCC), the system shall automatically validate information in the “Insurance Code” field based on the screening results and automatically update, if information is incorrect.	X	
EV-14.	For outpatient encounters (e.g., ED or UCC), the system shall automatically validate information in the “Insurance Code” field based on the eligibility screening results and generate a flag for manual review, if information is incorrect.	X	
EV-15.	The system shall generate a report of all overwritten “Insurance Code” and other discrepancies (as described in Requirements Error! Reference source not found. EV-11 through Error! Reference source not found. EV-14), to enable a manual review process of the updates made.	X	
EV-16.	For pre-registration and recurring encounters, the system shall update a patient’s current and future encounters with the latest coverage information and update all other pending appointments for the same patient within the current month with the same coverage information.		X
EV-17.	The system shall generate an exceptions list or report of all encounters not financially cleared per Requirement Error! Reference source not found. EV-15.	X	
EV-18.	The system shall auto-populate the following fields in ORCHID: <ul style="list-style-type: none"> ▪ HIC/CIN/Policy Number ▪ Verify Status ▪ Insured Card Name Last ▪ Insured Cad Name First 	X	X
EV-19.	The system shall generate an exceptions list or report for manual review of:	X	

Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
	<ul style="list-style-type: none"> Instances where demographic or other information determined via the eligibility verification process (e.g., the HIC/CIN/Policy Number) does not match the existing information within ORCHID (except as described in EV-20.1) Patients with no healthcare coverage (e.g., Self-pay or Unknown) Patients considered Non-DHS (e.g., with Medi-Cal Managed Care assigned to a non-DHS provider or Commercial) Patients with other scenarios (e.g., brought in by DCFS or Sheriff's) 		
EV-20.	The system automatically detects patient registration discrepancies, including demographic and insurance errors, by comparing the registration data with eligibility verification data.	X	X
EV-20.1.	<ul style="list-style-type: none"> The system can be configured to automatically (i.e., without triggering an alert or utilizing an exception process) correct certain registration errors by automatically updating the applicable fields within ORCHID. 	X	
EV-21.	<p>The system can be configured to include insurance hierarchy rules (e.g., as described in Appendix IV (Insurance Code Hierarchy Grid) of Exhibit A.1.1 (Coverage Verification and Health Coverage Options Guide)), and to alert County Users, via dashboard alerts and designated worklist, when insurance information is not captured pursuant to such insurance hierarchy rules. For example:</p> <ul style="list-style-type: none"> The system can be configured to require commercial insurance as primary and Medi-Cal as secondary when a patient has both commercial and Medi-Cal coverage, and in the event Medi-Cal is input as primary and commercial insurance as secondary for a patient, the system will alert the County that the coverages need to be switched within ORCHID. 	X	
EV-22.	On an ongoing basis, as part of the eligibility verification Services, Contractor will coordinate with payers to maintain and update the system's connections with payers to both (i) preserve the connections to the payers existing as of the Amendment 19 Date, and (ii) to develop and provide new connections with payers as requested by County.	X	
EV-23.	When all or some of the eligibility verification functionality is unavailable (e.g., when a payer system goes down), County's eligibility verification requests will be saved in a queue and automatically resubmitted once the functionality becomes available again. In such instances, (i) if a County User submitted the eligibility verification request, that User will be immediately notified of why their request could not be completed and that their request will be automatically resubmitted once the functionality becomes available again, and (ii) if the eligibility verification request was performed as part of an automatic workflow, the system will notify County of the issue via dashboard alerts and designated worklist.	X	X
EV-24.	The system will enable County to run eligibility verification queries for a patient for prior timeframes (e.g., in March, County could run an eligibility verification query for a patient referring to that patient's eligibility in January of the same year).	X	X
EV-25.	The system shall enable County to configure the system to automatically run eligibility verification requests when patients are registered.	X	X
EV-26.	For payers that enable such requests, the system will enable County to process eligibility verification requests for past dates and future dates.	X	X
EV-27.	The system will automatically apply eligibility status icons within the Scheduling Module within the EHR System, including the icons for appointments shown in the screenshot below:		X

Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
			
Coverage Discovery			
CD-1.	The system shall provide the capability to display coverage by payers.	X	
CD-2.	For “Self-Pay” or “Unknown” insurance coverage, the system shall automatically run Coverage Discovery for services scheduled for the current month, including pre-admit, pre-registration, and recurring encounters, to find out if they have any healthcare coverage and update the ORCHID fields accordingly, per the Eligibility Verification Requirements above.	X	
CD-3.	For payers that enable such searches, the system shall provide the capability to search for a patient’s coverage information by leveraging built in logic and formulas using their Social Security Number (including using a non-government issued or “pseudo” SSN), Patient First / Last Name, Insured Card First / Last Name, or Date of Birth.	X	
CD-4.	For pre-registration, pre-admit, and recurring encounters, the system shall minimally return the Medicare number, Medi-Cal number, and/or commercial policy number if available by payer in eCare NEXT Coverage Discovery specific work queue.	X	
CD-5.	For active admit encounters, the solution shall generate a worklist for manual review, based on the search results.	X	
CD-6.	The system shall provide the capability to identify Medi-Cal and Medicare patients , per the Eligibility Verification Requirements above.	X	
CD-7.	When all or some of the coverage discovery functionality is unavailable, County’s coverage discovery requests will be saved in a queue and automatically resubmitted once the functionality becomes available again.	X	

2. EHR SYSTEM CHANGE REQUIREMENTS

Contractor shall provide EHR System changes and other Services as necessary to (i) enable the continued functionality of the existing worklists set forth below, and (ii) develop and provide functionality for the new worklists set forth below, in connection the Patient Transaction Services functionality to be implemented by Contractor under Amendment 19. Upon Go-Live of the Patient Transaction Services Modules and throughout the Term thereafter, the worklists set forth below shall (i) continue to provide all functionality provided by such worklists as of the Amendment 19 Date (as to existing worklists); (ii) shall provide new functionality as required for the Patient Transaction Services (as to new worklists); and (iii) shall meet the Specifications under the Agreement, including the Specifications set forth in this Exhibit A.26._ (Patient Transaction Services Functional Requirements).

No.	Name of Worklist	Type/ Source	Brief Description
Existing Worklists (as of the Amendment 19 Date)			
1.	Financial Clearance	Worklist/ ORCHID	List of all encounters that need to be financially cleared
2.	Incomplete Auths	Worklist/ ORCHID	List of all encounters that require auth
3.	Primary Self-Pays	Worklist/ ORCHID	List of all encounters that have self-pay as primary insurance
4.	Incomplete Pre-Registration	Worklist/ ORCHID	List of all encounters that do not have all pre-registration fields completed
5.	Pre-Admit Schedule Admissions	Worklist/ ORCHID	List of all scheduled admissions
6.	Financial clearance worklist	PowerInsight PO278; post processing	To capture monthly system-wide financial clearance metrics, by facilities and payor grouping.
7.	Transaction History	Access HIM -> Open Perspective -> Transaction History	To capture workload/ productivity by Employee/Non-County Workforce User, unit, and facility level
8.	Standard Location Appointment List	SchApptBook	To capture recurring encounters and financially clear
9.	Upcoming Surgery Appointment List	SchApptBook	To financially clear last minute add-ons for surgery
10.	Admit List By Nurse Unit	Discern Analytics	When IP admits have arrived to know to go up and complete registration
New Worklists (to be implemented by Contractor as part of the Patient Transaction Services)			
11.	Medi-Cal Default worklist	ORCHID	Worklist of patients who will default into a Medi-Cal plan based on County's rules and requirements to allow staff to follow up individually and refer to a plan
12.	No active aid code worklist	ORCHID	Worklist of patients with no active aid code associated to their encounter
13.	Additional custom worklists, or different versions of the worklists identified above, as required by County based on the "Primary Aid Code," "Subscriber County," "Insurance Code," and other information determined as part of the eligibility verification process and stored within the EHR System	ORCHID	For example: <ul style="list-style-type: none"> Contractor will develop and configure separate worklists for Original Medicare (Fee-for-Service Medicare) patients, HMO Medicare (Medicare Part C/ Medicare Advantage) patients, and for other patients based on the "Insurance

No.	Name of Worklist	Type/ Source	Brief Description
			Code” listings described in Appendix II (Medi-Cal Aid Codes & Insurance Codes Chart) of Exhibit A.1 (Coverage Verification and Health Coverage Options Guide)

[Exhibit continued on the following page]

Figure 1. ORCHID fields to be updated by as a result of the usage of Eligibility are outlined in green.

Ambulatory PreReg

Last Name: ZZZZTEST First Name: FEMALEADULT Middle Name: HAPPY Preferred Name: FLO RIDA Previous Last Name: TESTEST Previous First Name: FEMALE Suffix: Sex: Female

Reason No Maiden Name: Unknown Mother's Maiden Name: Reason For No SSN: Unknown Social Security Number: - - Date of Birth: 03/18/1976 Age: 42Y DL/Other ID Number: Medical Record Number: 100000002

Financial Number: Census Tract Number: Who Provided Info: Images: Encounter Info Available?: No

Patient Information | Encounter Information | Guarantor Information | Insurance Primary | Insurance Secondary | Insurance Tertiary | Insurance 4 | Insurance 5 | MSP | Insurance Summary | Emergency Contact

Los Angeles US

Home Phone Number: (213) 444-4444 Alternate Phone Number: Extension:

Subscriber Employer Info

Employment Status: Unknown

Plan Information

Search for Insurance...

Insurance Financial Class: Non-DHS Medi-Cal Managr Insurance Type: Non-DHS Medi-Cal Managr Insurance Name: MEDI-CAL MANAGED CAR Insured Card Name Last: ZZZZTEST Insured Card Name First: FEMALEADULT Insured Card Name Middle: Insurance Street Address: PO BOX 7004

Street Address 2: Country: US Zipcode: 90242-7004 City: DOWNEY State: CA Home Phone: (800) 689-0662 Extension:

Contact: HIC/ON/ME/Policy Number: 4532456456 Group Name: Group Number: Begin Effective Date: no pay period Verify Status: Pending Verify Source:

Verify Date: 12/13/2018 Verifying Personnel ID: Doi, Shail

Benefit Information

Assignment of Benefits: Yes Release of Information: Yes Deductible Amount: \$0.00 Copay: \$0.00 Lifetime Maximum: \$0.00 LTR Days Remaining: 0 LTR Daily Deductible:

Complete Cancel

Ready P0278 E549528 12/13/2018 15:48

Figure 2 – Draft Proposed Future State Workflow
Eligibility, Coverage Discovery Process

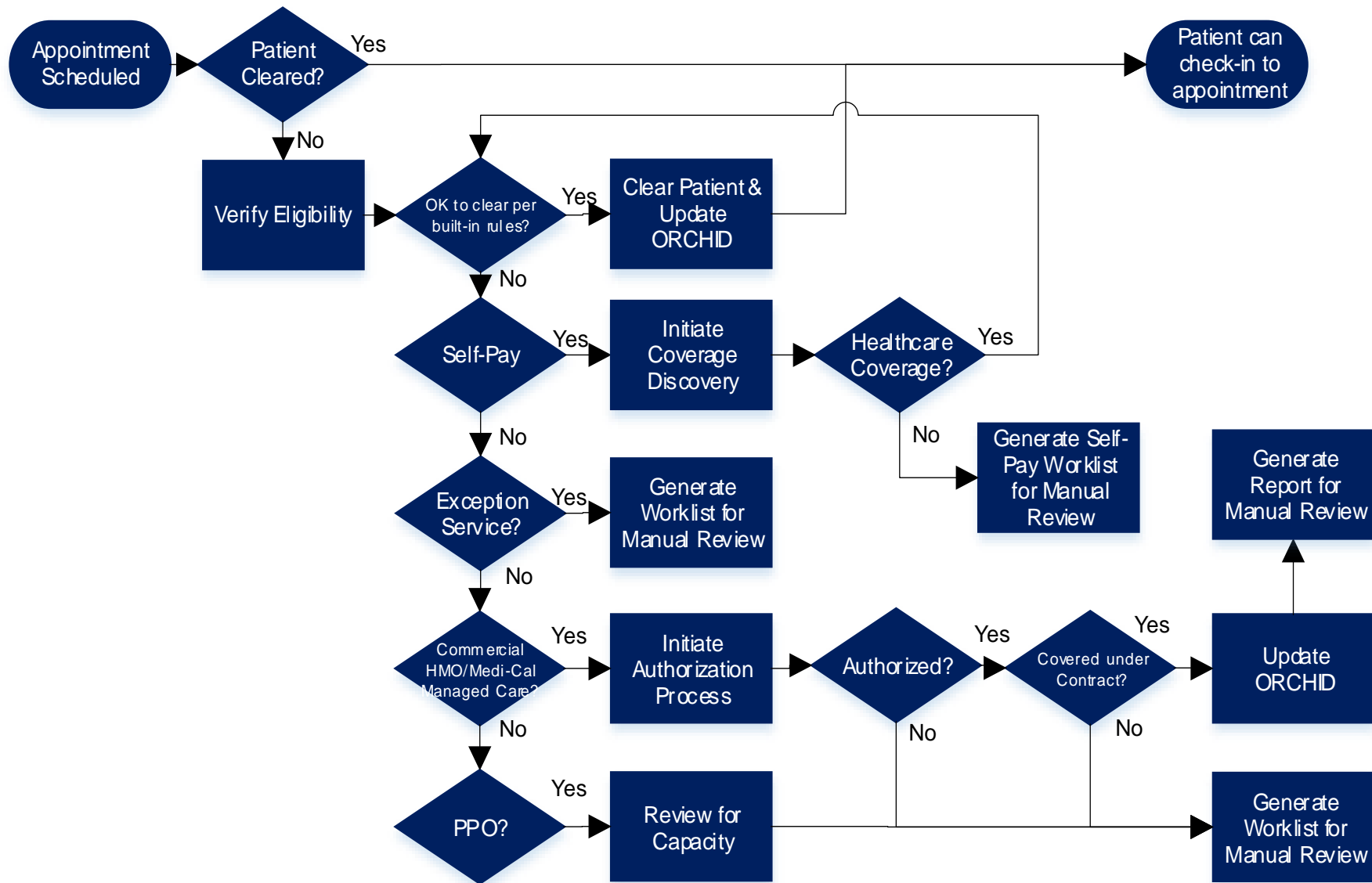




EXHIBIT A.26._.1 (SAMPLE ELIGIBILITY VERIFICATION REPORT)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

ISA*00*ML1_ *00* *ZZ*HDX *ZZ*ZZ *210323*1616*~*00501*226362030*0*P^
 GS*HB*2348*1628*20210323*16165817*226362030*X*005010X279A1
 ST*271*226362030*005010X279A1
 BHT*0022*11*3999588554-201649*20210323*16165796
 HL*1**20*1
 NM1*PR*2*AETNA-*****PI*00000002348
 HL*2*1*21*1
 NM1*1P*2*GENERAL MEMORIAL MEDICAL CENTER*****XX*1234567893
 REF*N7*00000005555*008251211616088XXA0000
 HL*3*2*22*0
 TRN*2*3999588554*9999999999*15887858-
 TRN*1*03512021231616088494*9HDXFLSTID
 NM1*IL*1*JONES*BETTY*****MI*W123456789
 REF*18*0448293
 REF*6P*0123456789123456
 REF*EA*4000000
 N3*123 MEDICAL CENTER BLVD
 N4*WALES*KY*12345
 DMG*D8*19871212*F
 DTP*346*D8*20200401
 DTP*472*D8*20210323
 DTP*356*D8*20030401
 EB*L*FAM*30
 LS*2120
 NM1*P3*2*PCP SELECTION NOT REQUIRED
 LE*2120
 EB*W
 LS*2120
 NM1*PR*2*Aetna
 N3*PO Box 14079
 N4*Lexington*KY*40512
 LE*2120
 EB*1*FAM*30*PS*Aetna Choice POS II
 EB*C*FAM*30***25*800*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*DED INCLUDED IN OOP
 EB*C*FAM*30***29*200*****Y
 EB*C*IND*30***25*200*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*DED INCLUDED IN OOP
 EB*C*IND*30***29*400*****Y
 EB*G*IND*30****4000*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 EB*G*IND*30***29*2985*****Y
 EB*G*FAM*30****5000*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 EB*G*FAM*30***29*2856.28*****Y
 EB*C*FAM*30***25*2700*****N
 MSG*DED INCLUDED IN OOP

EB*C*FAM*30***29*2200*****N
 EB*C*IND*30***25*800*****N
 MSG*DED INCLUDED IN OOP
 EB*C*IND*30***29*800*****N
 EB*G*IND*30****9000*****N
 EB*G*IND*30***29*8050*****N
 EB*G*FAM*30****14000*****N
 EB*G*FAM*30***29*14000*****N
 EB*F*FAM*30*****W
 MSG*Plan Requires Precert
 EB*F*FAM*30
 MSG*Plan includes NAP, but program limitations may apply in relation to Third Party Discount Networks. Final determination is made at the time of claim processing.
 MSG*Our records indicate the Provider ID you entered is not participating in this patient's network.
 MSG*SELF-FUNDED
 EB*H*FAM*30***32
 EB*1*FAM*33~98~UC~86~48~50~1~47~MH
 EB*A*FAM*33*****0****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Lab Performed by Chiropractor
 MSG*Xray by Chiropractor
 III*ZZ*11
 EB*A*FAM*98*****0****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*GYN Visit
 III*ZZ*11
 EB*A*FAM*98*****0****Y
 MSG*MAXIMUM SAVINGS
 MSG*GYN Visit
 III*ZZ*11
 EB*A*FAM*UC~98*****0****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Specialist Visit or Evaluation
 MSG*Primary Care Visit or Evaluation
 III*ZZ*11
 EB*A*FAM*UC~98*****0****Y
 MSG*MAXIMUM SAVINGS
 MSG*Specialist Visit or Evaluation
 MSG*Primary Care Visit or Evaluation
 III*ZZ*11
 EB*A*FAM*98*****0****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Walk In Clinic Visit
 MSG*MAXIMUM SAVINGS
 EB*A*FAM*UC*****0****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Xray and Lab by a Primary Care Physician
 MSG*Xray and Lab by a Specialist
 III*ZZ*11

EB*A*FAM*UC*****0****Y
 MSG*MAXIMUM SAVINGS
 MSG*Xray and Lab by a Primary Care Physician
 MSG*Xray and Lab by a Specialist
 III*ZZ*11
 EB*A*FAM*33*****.2****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Chiropractor Visit or Evaluation,COINS APPLIES TO OUT OF POCKET
 MSG*Manipulation by Chiropractor,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*86*****.2****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Non Emergency use of Emergency Room,COINS APPLIES TO OUT OF POCKET
 MSG*Emergency Room Physician,COINS APPLIES TO OUT OF POCKET
 MSG*Emergency use of Emergency Room,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*UC*****.2****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Specialist Visit or Evaluation,COINS APPLIES TO OUT OF POCKET
 MSG*Primary Care Visit or Evaluation,COINS APPLIES TO OUT OF POCKET
 MSG*Xray and Lab by a Primary Care Physician,COINS APPLIES TO OUT OF POCKET
 MSG*Xray and Lab by a Specialist,COINS APPLIES TO OUT OF POCKET
 MSG*Outpatient Xray and Lab ,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*48*****.2****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Medical Ancillary,COINS APPLIES TO OUT OF POCKET
 MSG*Semi Private Room and Board,COINS APPLIES TO OUT OF POCKET
 MSG*Intensive Care,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*50*****.2****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Facility,COINS APPLIES TO OUT OF POCKET
 III*ZZ*22
 EB*B*FAM*33*****30*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Lab Performed by Chiropractor,COPAY INCLUDED IN OOP
 MSG*Xray by Chiropractor,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*98*****20*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*GYN Visit,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*98*****10*****Y
 MSG*MAXIMUM SAVINGS
 MSG*GYN Visit,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*UC~98*****30*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Specialist Visit or Evaluation,COPAY INCLUDED IN OOP

III*ZZ*11
 EB*B*FAM*UC~98****10*****Y
 MSG*MAXIMUM SAVINGS
 MSG*Specialist Visit or Evaluation,COPAY INCLUDED IN OOP
 MSG*Primary Care Visit or Evaluation,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*98****20*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Walk In Clinic Visit,COPAY INCLUDED IN OOP
 EB*B*FAM*98****10*****Y
 MSG*MAXIMUM SAVINGS
 MSG*Walk In Clinic Visit,COPAY INCLUDED IN OOP
 EB*B*FAM*UC~98****20*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Primary Care Visit or Evaluation,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*UC****20*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Xray and Lab by a Primary Care Physician,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*UC****10*****Y
 MSG*MAXIMUM SAVINGS
 MSG*Xray and Lab by a Primary Care Physician,COPAY INCLUDED IN OOP
 MSG*Xray and Lab by a Specialist,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*UC****30*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Xray and Lab by a Specialist,COPAY INCLUDED IN OOP
 III*ZZ*11
 EB*B*FAM*33****0*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Chiropractor Visit or Evaluation
 MSG*Manipulation by Chiropractor
 EB*B*FAM*86****150*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Non Emergency use of Emergency Room,COPAY INCLUDED IN OOP
 MSG*Emergency use of Emergency Room,COPAY INCLUDED IN OOP
 EB*B*FAM*86****0*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Emergency Room Physician
 EB*B*FAM*UC****0*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Specialist Visit or Evaluation
 MSG*Primary Care Visit or Evaluation
 MSG*Xray and Lab by a Primary Care Physician
 MSG*Xray and Lab by a Specialist

MSG*Outpatient Xray and Lab
 EB*B*FAM*48****0*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Medical Ancillary
 MSG*Semi Private Room and Board
 MSG*Intensive Care
 EB*B*FAM*50****0*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Facility
 III*ZZ*22
 EB*F*FAM*33*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Lab Performed by Chiropractor/Plan Ded Waived
 MSG*Xray by Chiropractor/Plan Ded Waived
 III*ZZ*11
 EB*F*FAM*98*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*GYN Visit/Plan Ded Waived
 III*ZZ*11
 EB*F*FAM*98*****Y
 MSG*MAXIMUM SAVINGS
 MSG*GYN Visit/Plan Ded Waived
 III*ZZ*11
 EB*F*FAM*UC~98*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Specialist Visit or Evaluation/Plan Ded Waived
 MSG*Primary Care Visit or Evaluation/Plan Ded Waived
 III*ZZ*11
 EB*F*FAM*UC~98*****Y
 MSG*MAXIMUM SAVINGS
 MSG*Specialist Visit or Evaluation/Plan Ded Waived
 MSG*Primary Care Visit or Evaluation/Plan Ded Waived
 III*ZZ*11
 EB*F*FAM*98*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Walk In Clinic Visit/Plan Ded Waived
 MSG*MAXIMUM SAVINGS
 EB*F*FAM*UC*****Y
 MSG*STANDARD SAVINGS
 MSG*All Other In-Network Providers
 MSG*Xray and Lab by a Primary Care Physician/Plan Ded Waived
 MSG*Xray and Lab by a Specialist/Plan Ded Waived
 III*ZZ*11
 EB*F*FAM*UC*****Y
 MSG*MAXIMUM SAVINGS
 MSG*Xray and Lab by a Primary Care Physician/Plan Ded Waived
 MSG*Xray and Lab by a Specialist/Plan Ded Waived
 III*ZZ*11

EB*F*FAM*86*****Y
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Non Emergency use of Emergency Room/Plan Ded Waived
 MSG*Emergency use of Emergency Room/Plan Ded Waived
 EB*F*IND*33*****Y
 HSD*VS*20***25*1
 MSG*MAXIMUM and STANDARD SAVINGS
 MSG*Customer Designated Providers and All Other In-Network Providers
 MSG*Chiropractor Visit or Evaluation,CHIROPRACTOR
 MSG*Manipulation by Chiropractor,CHIROPRACTOR
 EB*F*IND*33*****Y
 HSD*VS*20***29
 MSG*CHIROPRACTOR
 EB*A*FAM*98*****.4****N
 MSG*Walk In Clinic Visit,COINS APPLIES TO OUT OF POCKET
 MSG*GYN Visit,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*33*****.4****N
 MSG*Chiropractor Visit or Evaluation,COINS APPLIES TO OUT OF POCKET
 MSG*Lab Performed by Chiropractor,COINS APPLIES TO OUT OF POCKET
 MSG*Xray by Chiropractor,COINS APPLIES TO OUT OF POCKET
 MSG*Manipulation by Chiropractor,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*86*****.2****N
 MSG*Non Emergency use of Emergency Room,COINS APPLIES TO OUT OF POCKET
 MSG*Emergency Room Physician,COINS APPLIES TO OUT OF POCKET
 MSG*Emergency use of Emergency Room,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*UC~98*****.4****N
 MSG*Specialist Visit or Evaluation,COINS APPLIES TO OUT OF POCKET
 MSG*Primary Care Visit or Evaluation,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*UC*****.4****N
 MSG*Xray and Lab by a Primary Care Physician,COINS APPLIES TO OUT OF POCKET
 MSG*Xray and Lab by a Specialist,COINS APPLIES TO OUT OF POCKET
 MSG*Outpatient Xray and Lab ,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*48~50*****.4****N
 MSG*Medical Ancillary,COINS APPLIES TO OUT OF POCKET
 EB*A*FAM*48*****.4****N
 MSG*Semi Private Room and Board,COINS APPLIES TO OUT OF POCKET
 MSG*Intensive Care,COINS APPLIES TO OUT OF POCKET
 EB*B*FAM*98*****0*****N
 MSG*Walk In Clinic Visit
 MSG*GYN Visit
 EB*B*FAM*33*****0*****N
 MSG*Chiropractor Visit or Evaluation
 MSG*Lab Performed by Chiropractor
 MSG*Xray by Chiropractor
 MSG*Manipulation by Chiropractor
 EB*B*FAM*86*****150*****N
 MSG*Non Emergency use of Emergency Room,COPAY INCLUDED IN OOP
 MSG*Emergency use of Emergency Room,COPAY INCLUDED IN OOP
 EB*B*FAM*86*****0*****N
 MSG*Emergency Room Physician
 EB*B*FAM*UC~98*****0*****N
 MSG*Specialist Visit or Evaluation
 MSG*Primary Care Visit or Evaluation

EB*B*FAM*UC****0*****N
 MSG*Xray and Lab by a Primary Care Physician
 MSG*Xray and Lab by a Specialist
 MSG*Outpatient Xray and Lab
 EB*B*FAM*48~50****0*****N
 MSG*Medical Ancillary
 EB*B*FAM*48****0*****N
 MSG*Semi Private Room and Board
 MSG*Intensive Care
 EB*F*FAM*86*****N
 MSG*Non Emergency use of Emergency Room/Plan Ded Waived
 MSG*Emergency use of Emergency Room/Plan Ded Waived
 EB*F*IND*33*****N
 HSD*VS*20***25*1
 MSG*Chiropractor Visit or Evaluation,CHIROPRACTOR
 MSG*Manipulation by Chiropractor,CHIROPRACTOR
 EB*F*IND*33*****N
 HSD*VS*20***29
 MSG*CHIROPRACTOR
 EB*F*FAM*UC~86
 MSG*Urgent Care for this plan is covered same as any other medical condition
 EB*P
 MSG*Receipt of this information does not guaranty payment under state law. Should Provider wish to obtain verification that payment will be made, or if member information returned differs from Provider's patient records, call Aetna Member Services.
 EB*W****Rule Results
 MSG*Payer Address: PO Box 14079
 MSG*Payer City/State/ZIP: Lexington , KY 40512
 MSG*Insurance Type: Point of Service (POS) (PS)
 MSG*Plan Description: Aetna Choice POS II
 SE*350*226362030
 GE*1*226362030
 IEA*1*226362030

Experian Health

Health Net Medi-Cal Eligibility

---- Recipient is Eligible ----

-- SEARCH CRITERIA --

NPI: REDACTED
Subscriber ID: REDACTED
Eligibility Cov Type: Health Bnft Plan Cov
Beginning Date of Svc: 03/27/2018
Ending Date of Svc: 03/27/2018

-- SUBSCRIBER --

Name: REDACTED
Member ID Number: REDACTED
Address: REDACTED
REDACTED
Date of Birth: REDACTED
Sex: Female
Plan Begin Date: 01/01/2017

-- ACTIVE COVERAGE --

Plan Network	Svc Type	Insurance Type	Plan Cov Desc
	Medical Care	HMO	9WB BRONZHMO
In Network	Consultation	HMO	9WB BRONZHMO
In Network	Hospital - Inpatient	HMO	9WB BRONZHMO
In Network	Hospital - Room and Board	HMO	9WB BRONZHMO
In Network	Hospital - Outpatient	HMO	9WB BRONZHMO
In Network	Hospital - Emergency Accident	HMO	9WB BRONZHMO
In Network	Hospital - Emergency Medical	HMO	9WB BRONZHMO
In Network	Hospital - Ambulatory Surgical	HMO	9WB BRONZHMO
In Network	Emergency Services	HMO	9WB BRONZHMO
In Network	Physician Visit - Office: Sick	HMO	9WB BRONZHMO
In Network	Physician Visit - Office: Well	HMO	9WB BRONZHMO
In Network	Urgent Care	HMO	9WB BRONZHMO

-- ACTIVE COVERAGE --

Svc Type: Health Bnft Plan Cov
Desc: 9WB BRONZHMO
Primary Care Provider Date: 01/01/2017
Primary Care Provider Name: L----, B-----
HCFA National Provider ID: REDACTED
Address: REDACTED
REDACTED
Work Phone: REDACTED
Facsimile: REDACTED
Group Name: CALPERS STATE RETIRED
Svc Provider Number: REDACTED

-- ACTIVE - SERVICES CAPITATED --

Svc Type: Health Bnft Plan Cov

Desc: 9WB BRONZHMO
 Plan Begin Date: 01/01/2017
 Plan Sponsor Name: UC Davis Medical Group
 Svc Provider Number: REDACTED
 Address: REDACTED
 REDACTED
 Work Phone: REDACTED

-- HEALTH BENEFIT PLAN COVERAGE --

Bnft	Plan	Network	Cov	Lvl	Insurance	Plan	Cov	Desc	Time Period	Amt
Type										
Ded	In Network	Ind	HMO	9WB BRONZHMO						\$0.00
Ded	In Network	Fam	HMO	9WB BRONZHMO						\$0.00
Out of Pocket	In Network	Ind	HMO	9WB BRONZHMO						\$1,500.00
(Stop Loss)										
Out of Pocket	In Network	Ind	HMO	9WB BRONZHMO	Remain					\$1,500.00
(Stop Loss)										
Out of Pocket	In Network	Fam	HMO	9WB BRONZHMO						\$3,000.00
(Stop Loss)										

-- HOSPITAL - INPATIENT --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
Co-Insurance	In Network	Ind	HMO	9WB BRONZHMO						0%

-- HOSPITAL - ROOM AND BOARD --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
Co-Insurance	In Network	Ind	HMO	9WB BRONZHMO						0%

-- HOSPITAL - OUTPATIENT --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
Co-Insurance	In Network	Ind	HMO	9WB BRONZHMO						0%

-- EMERGENCY SERVICES --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
Co-Pmt	In Network	Ind	HMO	9WB BRONZHMO						\$15.00

-- HOSPITAL - EMERGENCY ACCIDENT --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
Co-Pmt	In Network	Ind	HMO	9WB BRONZHMO						\$50.00

-- HOSPITAL - EMERGENCY MEDICAL --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
Co-Pmt	In Network	Ind	HMO	9WB BRONZHMO						\$50.00

-- HOSPITAL - AMBULATORY SURGICAL --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
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Co-Insurance In Network Ind HMO 9WB BRONZHMO 0%

-- CONSULTATION --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
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Co-Pmt	In Network	Ind	HMO	9WB	BRONZHMO	\$15.00
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-- CHIROPRACTIC --

Bnft	Insurance	Type	Plan	Cov	Desc
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Non-Covered	HMO	9WB	BRONZHMO
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-- VISION --

Bnft	Insurance	Type	Plan	Cov	Desc
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Non-Covered	HMO	9WB	BRONZHMO
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-- PHARMACY --

Bnft	Insurance	Type	Plan	Cov	Desc
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Non-Covered	HMO	9WB	BRONZHMO
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-- DENTAL CARE --

Bnft	Insurance	Type	Plan	Cov	Desc
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Non-Covered	HMO	9WB	BRONZHMO
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-- MENTAL HEALTH --

Bnft	Plan	Network	Insurance	Type	Plan	Cov	Desc
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Non-Covered	In Network	HMO	9WB	BRONZHMO
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-- PHYSICIAN VISIT - OFFICE: SICK --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
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Co-Pmt	In Network	Ind	HMO	9WB	BRONZHMO	\$15.00
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-- PHYSICIAN VISIT - OFFICE: WELL --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
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Co-Insurance	In Network	Ind	HMO	9WB	BRONZHMO	0%
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-- URGENT CARE --

Bnft	Plan	Network	Cov	Lvl	Insurance	Type	Plan	Cov	Desc	Amt
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Co-Pmt	In Network	Ind	HMO	9WB	BRONZHMO	\$15.00
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-- OTHER SOURCE OF DATA --

Desc: EXPERIAN HEALTH ALERTS
NEBO0006 Subscriber Primary Care Physician is: L----, B-----
NEBO0043 Medical Group IPA: UC Davis Medical Group
NEBO0052 Policy Number REDACTEDin Registration does not
match Policy Number REDACTEDin Response:
NEBO00BG Name in registration does not match name in

eligibility. Please review or update name field.:

NEBO00BS Plan Name:

9WB BRONZHMO

Experian Health Reference Number: 20180327-11014385

NOTICE: This information is classified as individually identifiable healthcare information and is intended strictly for the confidential use of the authorized requestor. Any unauthorized use or disclosure of this information is prohibited.



EXHIBIT A._ (PATIENT TRANSACTION SERVICES STATEMENT OF WORK)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT A.

PATIENT TRANSACTION SERVICES STATEMENT OF WORK

1. INTRODUCTION

This Exhibit A. (Patient Transaction Services Statement of Work) (sometimes referred to in this Exhibit as **"this SOW"**) is an attachment and addition to the Electronic Health Records System and Services Agreement dated December 21, 2012 (hereinafter **"Agreement"**) entered into by and between the County of Los Angeles (**"County"**) and Cerner Corporation (**"Contractor"**) and is incorporated into the Agreement by reference hereof. In the event of conflicting terms between the Agreement and this SOW, the terms of the Agreement shall prevail and nothing in this SOW shall modify or amend any provisions of the Agreement (including all components such as Statements of Work, Service Level Agreements, Exhibits, etc.) unless such modifications or amendments and the provisions of the Agreement which they modify or amend are specifically identified in this SOW and are Approved. This SOW includes any attachments hereto. Any capitalized terms not defined in this SOW shall have the same meanings as used in the Agreement.

All of the tasks, subtasks, Deliverables, goods, and other services required or requested by County below are included as part of the Services. This SOW aggregates tasks and subtasks that are a subset of both the broad definition of Services set forth in Exhibit G (Glossary) of the Agreement, and the specific Services associated with this SOW. Whether or not additional Services, not specifically included in any SOW, are needed to successfully deliver the EHR System as required under the Agreement, such Services are required to be delivered by Contractor and are included in the Contract Sum.

This SOW provides a description of the nature of the work required, but does not provide an exhaustive list of every task or subtask necessary for completion of this Exhibit A. (Patient Transaction Services Statement of Work). The completion of any phase in a period of time shorter or longer than that specified below shall not increase the Contract Sum.

Contractor shall provide the Services as an integrated service offering in accordance with this Agreement and without regard to the lines of business (e.g.; U.S. Consulting, AMS, Hosting, etc.), affiliate relationships, or geographic locations within Contractor's organization from which such Services are offered, or the internal profit center within Contractor's organization to which the financial accounting for a Service is ultimately attributed.

2. PATIENT TRANSACTION SERVICES ELIGIBILITY VERIFICATION PURPOSE

Contractor shall provide Services, including New Software, EHR System changes and Professional Services, to implement and maintain Coverage Discovery and Eligibility Verification (as used herein, collectively, **"Patient Transaction Services Modules"**) within the County's existing financial hub, and to design, implement, test, and maintain functionality to automatically Interface with and integrate data from various data sources, and to transmit and validate patient healthcare coverage and eligibility benefits into the EHR System, in accordance with the Specifications described in this SOW, Exhibit A.26. (Patient Transaction Services Functional Requirements), and otherwise under the Agreement, to enable users of the EHR System to determine and maintain patient insurance coverage and services eligibility.

More specifically, the Patient Transaction Services Modules shall enable the County to:

- (i) verify patient eligibility and benefit information real-time and/or in batch through 270/271 Transaction Sets from within the EHR System;

- (ii) routing of eligibility and benefits information from the payer back into EHR where the electronic data will be available for consumption to the patient record;
- (iii) access coverage and eligibility information for Medicaid, Medicare, and other commercial insurers/payors;
- (iv) attach coverage details electronically to a patient encounter from within the EHR System;
- (v) utilize Experian Premium Eligibility Verification Services to augment patient information through use of the Patient Transaction Services Modules;
- (vi) Access content from the United States Postal Service in order to maintain deliverable addresses;
- (vii) Facilitate the submission of prior authorization and automate the inquiry process for approvals/denials; and
- (viii) Identify registration inaccuracies which in turn enable staff to appropriately select proper data.

3. SOW SUMMARY

3.1. SOW Team Structure and Resources

Contractor will provide a fully loaded Project Plan, including all resources requirements for both County and Contractor, within twenty (20) days of the Effective Date of this Statement of Work. This plan will be utilized to establish fully loaded Contractor resource staffing commitments and to detail specific County resources to guide County on how best to allocate and deploy staff to this Project. Notwithstanding the foregoing, this is a fixed fee engagement and the Contractor resources identified in the Project Plan do not limit the resources that may be required by Contractor.

3.2. Critical Success Factors

A number of factors are deemed critical to overall Project success. The Parties acknowledge that the following factors are critical to the success of this Project:

Strong Project Management – Effectively managing the Services provided under the Agreement to the Project Schedule and results to be achieved by managing issues, risk, dependencies, and resources in a manner to achieve the Project Schedule and the results.

Open Communication and Governance Structure Clearly Defined – Good and open communication must be established early. Governance, committee structure, and committee members must be defined early. Meeting schedules must also be established for the length of the Project.

Executive Leadership Involvement – It is imperative that executive leadership from Contractor, DHS, and the DHS CIO be involved in the project governance and meet at regular intervals to discuss the Project's progress and reach agreement on any key decisions that have been escalated to their level.

3.3. Schedule

The Services under this SOW are scheduled to be completed in accordance with the Project Work Plan, and upon Acceptance by the County Project Director of the Deliverables in this Exhibit A._ (Patient Transaction Services Statement of Work).

Scheduled commencement dates, scheduled completion dates, and anticipated durations of Milestones, including Key Milestones, will be developed as part of the Services. The durations for tasks and subtasks are in the detailed Project Work Plan.

4. GENERAL RESPONSIBILITIES

For the Services described in this SOW:

- The Services will be performed by Contractor on-site at County locations designated by County and at off-site location(s) as agreed by the Parties in writing for specific activities and as needed for Contractor to deliver the Services as provided in this SOW.
- Contractor will provide designated key Project leadership members on-site or remotely to deliver the Services. Project leadership that is not on-site will also be available during normal business hours, 7:00 AM to 3:30 PM Pacific Time, unless otherwise agreed on by the Parties in writing.
- Contractor will utilize its implementation methodology, templates, and other tools as required to support the efficient and cost effective execution of the Services defined in this SOW to the extent not inconsistent with this Agreement. This includes use of Contractor's knowledge capital databases and other repositories of Deliverables and intellectual capital from previous client experiences.
- Contractor will provide all Services in English.
- This Statement of Work is being entered into by the Parties after the onset of the Coronavirus (also referred to as "**COVID-19**") outbreak with knowledge of the impacts and potential impacts of this event on the delivery of the Services under this SOW and Amendment 19. If either Party in good faith determines that Contractor's on-site performance of any of the Services under this SOW and Amendment 19 would place the health or safety of Contractor Personnel or County Personnel at risk due to COVID-19, and safety procedures cannot mitigate the risk, then Contractor may perform such Services remotely until such safety risks are removed or appropriately mitigated.

4.1. Contractor Engagement Leader Responsibilities

Contractor will designate an Engagement Leader for this SOW (referred to in this Exhibit as the "**Contractor Patient Transaction Services Engagement Leader**" or "**Contractor Engagement Leader**") to whom all County communications may be addressed and who has the authority to represent and commit Contractor in connection with all aspects of this SOW.

The Contractor Engagement Leader's obligations include:

- (1) Establish and maintain communications through the County SOW Lead and Project governance structure;
- (2) Manage the delivery of Services and Service Interdependencies;
- (3) Notify County of any Contractor focal point or contacts for specific activities or tasks;
- (4) Manage and maintain the sub-Project Work Plan for this SOW which lists, as appropriate, the activities, tasks, assignments, Service interdependencies, Key Milestones and Deliverables, and schedule;
- (5) Measure, track and evaluate progress against the Project Schedule;
- (6) Work with the County SOW Lead to resolve deviations, if any, from the Project Schedule;
- (7) Coordinate and manage the activities of Contractor Personnel;
- (8) Report to the County SOW Lead problems and issues impacting Contractor's provision of the Services that require County's attention and resolution;
- (9) Coordinate resolution of all Service issues, including those raised by the County SOW Lead and, as necessary, escalate such issues within the Contractor organization;
- (10) Administer the Project Control Document with the County SOW Lead;

- (11) Conduct regularly scheduled Project Status Meetings and prepare weekly Status Reports for the Services defined in this SOW; and
- (12) Assist in the preparation and conduct of monthly steering committee updates.

Contractor will perform these activities throughout the provision of the Services.

4.2. Specific County Tasks

4.2.1. County SOW Lead Responsibilities

The County will assign a lead for this SOW (referred to in this Exhibit as the “**County Patient Transaction Services SOW Lead**” or “**County SOW Lead**”). The County SOW Lead will:

- (1) Serve as the primary interface between the Contractor Engagement Leader and County for the tasks and Deliverables set forth in this SOW;
- (2) Review this SOW and the responsibilities of both County and Contractor with the Contractor Engagement Leader;
- (3) Coordinate, manage, and be responsible for the control of the activities of County personnel for this SOW;
- (4) Communicate to the Contractor Engagement Leader any changes that may materially affect Contractor’s provision of the Services set forth in this SOW;
- (5) Coordinate with Contractor Engagement Leader on Contractor’s efforts to resolve problems and issues related to the Services set forth in this SOW;
- (6) Work with the Contractor Engagement Leader to resolve deviations, if any, from the Project Work Plan related to this SOW;
- (7) Coordinate resolution of issues raised by the Contractor Engagement Leader pertaining to this SOW and, as necessary, escalate such issues within the County organization;
- (8) Serve as the interface between Contractor’s Project team and all County departments participating in activities for the Services set forth in this SOW;
- (9) Notify Contractor of any County focal point or contacts for specific activities or tasks related to this SOW;
- (10) Ensure that tasks related to this SOW assigned to personnel within the County organization will be completed according to the timetable in the Project Schedule;
- (11) Participate in selected Project status meetings with Contractor’s Project team members and schedule and coordinate attendance and participation of County personnel for interviews, meetings and work sessions related to the completion of this SOW.

County may change the County SOW Lead by providing notification to the Contractor Engagement Leader with an introduction and handoff meeting to establish plans for a smooth transition.

4.2.2. Other County Responsibilities

County agrees to comply with its responsibilities as described in this SOW. Such obligations are to be performed at no charge to Contractor.

County will:

- (1) Provide Contractor standard and available office space, basic office furniture, and access to the Internet supporting VPN for Contractor Personnel while working at County's facilities;
- (2) Locate the Contractor Personnel in an area near County subject matter experts and technical personnel;
- (3) Provide necessary security badges and clearances for Contractor Personnel working at County's facilities; and
- (4) Make available staff with appropriate skills and experience to deliver County tasks as specifically set forth in this SOW.

5. SERVICES AND DELIVERABLES

5.1. Modifications to the EHR System

The Services include any EHR System changes required to implement the Services or EHR System change recommendations resulting from the Services, and such EHR System changes are to be provided by Contractor resources under this SOW and additive to existing Contractor resources (i.e., AMS), and are not to be dilutive in any way of Services being performed by existing Contractor resources under the Agreement. Notwithstanding the foregoing, existing Contractor resources will be involved as appropriate in change management decisions as provided in the Change Management Plan. After Final Acceptance of the Services provided under this SOW, Contractor shall support the EHR System, including Patient Transaction Services Modules and any changes to the EHR System provided under this SOW, in accordance with the obligations set forth in Exhibit A.24 (Maintenance and Operations Statement of Work). All EHR System changes will be coordinated in accordance with the Change Management Plan.

5.2. Deliverable Development and Approval Process

This section specifies a repeating process for developing Deliverables for this SOW. Each Deliverable will be developed in accordance with the following Contractor's obligations, which will be sub-tasks to each individual task:

- (1) All Deliverables must be developed in the form and format agreed on by County and Contractor. Work on Key Deliverables will follow a Deliverables Expectations Document (also referred to as a "DED") Approved by County. As each Project Deliverable is submitted, Contractor must include a copy of the Project DED as the cover sheet;
- (2) Develop agendas and coordinate scheduling with County for all necessary events (e.g., workshops, meetings) for the production of the Deliverable;
- (3) Facilitate events (e.g., workshops, meetings) as required for the development of each Deliverable;
- (4) Record and analyze the input received from all events (e.g., workshops, meetings) and distribute results or minutes to event participants for review;
- (5) Prepare drafts of the Deliverable for County to review;
- (6) Provide a structured process for County to provide feedback on drafts, including events, as appropriate;
- (7) Compile and analyze County feedback to the draft Deliverable and prepare a revised Deliverable;
- (8) Distribute the revised Deliverable to County for review, obtain and analyze County feedback as mentioned above and repeat if necessary; and

- (9) Complete a final version of the Deliverable prior to distribution for Approval by County, including validation by the Contractor that the Deliverable conforms to the Specifications and meets the Acceptance Criteria.

After receipt of a Deliverable from Contractor, the County SOW Lead or designee will notify the Contractor Engagement Leader and assigned Project team resources in writing as to any specific changes requested (together with a reasonably detailed explanation based on the DED of the reasons why the Deliverable should be modified) in as expeditious a time frame as possible, given the nature of the Deliverable and the schedule. Unless a change is disputed, the Contractor shall make the changes described in a timely manner so as to not adversely impact the schedule under the Project Work Plan. Upon completion of such changes, the Deliverable will be provided to County with a request for Acceptance. County will notify Contractor of its Acceptance or rejection in a time that is practical and reasonable given the nature, criticality, and complexity associated with the Acceptance Testing/Review. A failure by the County to provide a response within an appropriate time in the context of Project Plan dependencies may be escalated by Contractor as a Critical Path Issue.

5.3. Tasks/Subtasks Summary

The Services to be provided under this SOW include:

Tasks/Subtasks
Task 1 Project Initiation
Task 2 Design and Build
Task 3 Design, Build, and Test Interfaces
Task 4 Reports
Task 5 Test Patient Transaction Services Modules
Task 6 Deployment
Task 7 Production Support
Task 8 Knowledge Transfer and Training
Task 9 Project Close-Out

5.4. Tasks

Contractor will perform the following tasks as part of the Services under this Statement of Work:

Task 1 Project Initiation
Task Description
Contractor will develop a Patient Transaction Services Project Work Plan. The team members from Contractor, County, and external stakeholders will be introduced and their specific roles will be described. Patient Transaction Services-specific training and introduction will be provided for the County personnel working on this SOW (referred to in this Exhibit as the "County Patient Transaction Services Workgroup" or "County Workgroup" and the County Patient Transaction Services Workgroup will be introduced to various Contractor tools and methodologies, and Best Practice recommendations that will be used throughout this SOW.

Task 1 Project Initiation	
Subtasks	Deliverables
<p>Subtask 1.1 Develop Project Work Plan</p> <p>Contractor will develop and maintain a Patient Transaction Services Project Work Plan. The Project Work Plan shall include:</p> <ul style="list-style-type: none"> • Deliverables, tasks, and subtasks; • Associated dependencies among Deliverables, tasks, and subtasks within this SOW and across all related work streams; • Key personnel assigned, including level of commitment by resource (on-site and off-site); • Resources (effort hours and roles) required for each Deliverable, task, and subtask; • Start and completion dates for each Deliverable, task, and subtask; • Acceptance Criteria for each Deliverable; and • Milestones and Key Milestones. 	<p>Deliverable 1.1 Project Work Plan</p> <ul style="list-style-type: none"> • Patient Transaction Services Project Work Plan <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • The Patient Transaction Services Project Work Plan addresses all elements described in Subtask 1.1 (Develop Project Work Plan). • The Patient Transaction Services Project Work Plan has been Approved by County. • Timelines detailed in the Patient Transaction Services Project Work Plan are realistically achievable with reasonable effort as determined by County.
<p>Subtask 1.2 Conduct Project Initiation and Kick-Off Session</p> <p>Contractor will conduct an Initiation Session to provide an introduction to County stakeholders, including stakeholders from the EHR System, of the Services covered by this Exhibit A._ (Patient Transaction Services Statement of Work), including the timelines, dependencies and nature of the work effort that will be required to implement this SOW.</p> <p>Before the Patient Transaction Services Initiation Session, Contractor will:</p> <ul style="list-style-type: none"> • Work with County to identify all Contractor and County resources required to complete the tasks outlined in this SOW; • Provide County with a roster of kick-off participants; • Develop an agenda/schedule for the Patient Transaction Services initiation session. <p>Contractor will conduct the Patient Transaction Services initiation session as follows:</p>	<p>Deliverable 1.2 Project Initiation and Kick-Off Session</p> <ul style="list-style-type: none"> • Patient Transaction Services initiation session materials for County review one (1) week prior to Patient Transaction Services initiation session. • Report documenting Patient Transaction Services dependencies • List of County Workgroup members who attended the Patient Transaction Services initiation session. • Initiation Session Event Summary Report. <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • The Patient Transaction Services Eligibility Verification Initiation Session Event Summary Report has been Approved by County. • Report documenting Patient Transaction Services Eligibility Verification dependencies that addresses all elements described in

Task 1 Project Initiation	
<ul style="list-style-type: none"> • Provide background and overview of Patient Transaction Services Modules, including any possible challenges and anticipated success criteria; • Review the applicable Patient Transaction Services Membership Agreement • Review tasks, Deliverables, and Milestones for the development of Patient Transaction Services design and implementation activities; • After the initiation session, Contractor will prepare an Initiation Session Event Summary Report for review and Approval by County. 	<p>Subtask 1.2 (Conduct Project Initiation and Kick-Off Session).</p> <ul style="list-style-type: none"> • Report documenting Patient Transaction Services Eligibility Verification dependencies has been Approved by County.
<p>Subtask 1.3 Conduct Ongoing Project Management for Patient Transaction Services Implementation</p> <p>Contractor will conduct ongoing project management activities, including the following:</p> <ul style="list-style-type: none"> • Project status updates on a regular basis in accordance with the Project Work Plan, and current progress; • Maintain and update the Project Work Plan • Maintain the solution architecture document consisting of recommended configurations, integrations, workflows, and technologies as identified; • Manage timelines, deliverables, and dependencies amongst Contractor, County, and third-party vendors, including the advance identification and resolution of critical path issues; and • Weekly calls with the County Workgroup 	<p>Deliverable 1.3 Ongoing Project Management for Patient Transaction Services Implementation</p> <ul style="list-style-type: none"> • Revisions to the Project Work Plan • Project Management activities for the Patient Transaction Services project • Weekly calls with the County Workgroup <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • Deliverable addresses all elements (including any additional best practices) described in subtask 1.3 Conduct Ongoing Project Management for Patient Transaction Services Implementation • Project Management activities are consistent with County Feedback • Project Work Plan is regularly maintained and that includes clearly defined and explained tasks and subtasks.

Task 2 Design and Build
Task Description
Contractor will provide the Services to design and implement the Patient Transaction Services Modules. As part of this task, the Contractor will conduct discovery, design, build, and installation

Task 2 Design and Build

activities for the Patient Transaction Services Modules, and will provide workflow discovery and future state workflow planning for the EHR System.

Subtasks	Deliverables
<p>Subtask 2.1 Conduct Discovery Activities and Develop and Validate Requirements</p> <p>Contractor will conduct Discovery Activities in preparation for Patient Transaction Services deployment activities. This will, at a minimum, include:</p> <ul style="list-style-type: none">• Identify County's organizational, clinical, financial, and technical basis• Identify current end user workflows• Analyze County standard workflows for the EHR System, including:<ul style="list-style-type: none">○ Identifying impacted users○ Identifying role and expected use pattern○ Identifying gaps with Contractor Best Practices and potential opportunities for improvement• Identify and document EHR System changes necessary to fully use the Patient Transaction Services Modules in accordance with the appropriate Future State Workflows.<ul style="list-style-type: none">○ Contractor will design Patient Transaction Services workflows, including new and modified EHR System worklists, that (1) automate the coverage verification rules related to financial clearance within the EHR System, and (2) automate the performance of eligibility checks (currently performed manually by the County), pursuant to the Specifications set forth in Exhibit A.26. (Patient Transaction Services Functional Requirements), including the automation of certain rules set forth in Exhibit A.1 (Coverage Verification and Health Coverage Options Guide) as described in such Specifications.	<p>Deliverable 2.1 Completed Discovery Activities and Validated Requirements</p> <ul style="list-style-type: none">• Completed Discovery Activities• Completed Discovery Activities Findings Report and Gap Analysis• Patient Transaction Services Specifications• Validated Requirements <p>Acceptance Criteria</p> <ul style="list-style-type: none">• County Approved Discovery Activities Finding Report and Gap Analysis (in Word, Excel, PowerPoint, or PDF format, as appropriate) includes:<ul style="list-style-type: none">○ Agendas for any discovery and validation activities○ Lists of roles or expertise required for any discovery and validation activities○ Materials presented during any discovery and validation events○ Lists of all discovery activity findings and gap analysis findings○ List of all validated requirements• Deliverable addresses all elements described in Subtask 2.1 (Conduct Discovery Activities and Validate Requirements).

Task 2 Design and Build

Contractor will conduct for the EHR System Requirements Validation Activities in preparation for the Patient Transaction Services Modules deployment activities. This will, at a minimum, include:

- Conduct workshops for validation of Patient Transaction Services Modules with County SMEs
- Identify any missing, unclear, or extraneous requirements with County assistance
- Update and Validate Patient Transaction Services Modules with County SMEs and the appropriate County Workgroups and update requirements as appropriate; and
- Document changes to requirements and final validated requirements.

Contractor will develop Patient Transaction Services requirements and Specifications in preparation for the Patient Transaction Services project.

Subtask 2.2 Document Future State Workflows

Contractor will conduct Future State Workflow Development and Validation Activities for users of the EHR System in preparation for Patient Transaction Services Modules deployment activities. This will, at a minimum, include:

- Conduct workshops for drafting and validation of Future State Workflows with County SMEs, including validating the conversion of existing manual workflows to automated workflows pursuant to the Specifications set forth in Exhibit A.26.1 (Patient Transaction Services Functional Requirements), including the automation of certain coverage verification rules set forth in Exhibit A.26.1 (Coverage Verification and Health Coverage Options Guide) pursuant to such Specifications;
- Develop standardized workflows for Ambulatory clinics and Inpatient facilities;

Deliverable 2.2 Future State Workflows

- Draft Future State Workflows
- Final Future State Workflows

Acceptance Criteria

- Deliverables address all elements described in Subtask 2.2 (Document Future State Workflows).
- County Approved Future State Workflows.

Task 2 Design and Build	
<ul style="list-style-type: none"> • Incorporate County feedback into updated versions of Future State Workflows; • Submit Final Future State Workflows for County Approval <p>Contractor will develop draft Final Future State Workflows and submit to County for review and feedback.</p> <p>Contractor will review and incorporate County feedback and proposed changes into the Final Future State Workflows and submit final versions to County for Approval.</p>	
<p>Subtask 2.3 Complete Design</p> <p>Contractor will design the Patient Transaction Services Modules (i) pursuant to Subtask 2.1 (Conduct Discovery Activities and Develop and Validate Requirements); and (ii) to meet the Specifications set forth under Exhibit A.26. (Patient Transaction Services Functional Requirements), including to automate certain coverage verification rules set forth in Exhibit A.1 (Coverage Verification and Health Coverage Options Guide) as described in such Specifications, and Contractor will develop Patient Transaction Services Design Document for County review and Approval:</p> <p>Patient Transaction Services Design Document shall at a minimum include:</p> <ul style="list-style-type: none"> • Functional Design Document (FDD) <ul style="list-style-type: none"> ○ The requirements for the Patient Transaction Services Modules and its components ○ How the Patient Transaction Services Modules and its components, as integrated, will meet the needs of the County ○ How end users interact with the Patient Transaction Services Modules to meet their needs • Technical Design Document (TDD) <ul style="list-style-type: none"> ○ The technical details about the Patient Transaction Services Modules and its components functionality 	<p>Deliverable 2.3 Completed Design</p> <ul style="list-style-type: none"> • Draft Patient Transaction Services Design Documents • Final Patient Transaction Services Design Document <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • Deliverables address all elements described in Subtask 2.3 (Complete Design). • County Approved Patient Transaction Services Design Document.

Task 2 Design and Build

- The technical details about all the Interfaces for planned third-party systems to provide for full integration and use of the Patient Transaction Services Modules functionality
- Technical Architecture Diagram
 - A visual representation of the way each system and its modules are organized and how the processes and data flow from one component to another

Contractor will conduct a Design Review Session with County SMEs for the EHR System that includes:

- Reviewing Contractor Best Practices for Patient Transaction Services;
- Facilitating decision making process related to Patient Transaction Services;
- Discussing the key decision points related to Patient Transaction Services;
- Documenting the key design decisions and desired outcomes related to Patient Transaction Services; and
- Reviewing the Patient Transaction Services Design Documents and making changes in accordance with County feedback.

Contractor will develop draft Patient Transaction Services Design Documents for the EHR System and submit them to the County for review and feedback.

Contractor will review and incorporate County feedback and proposed changes into the Patient Transaction Services Design Documents and submit final versions to County for Approval.

Subtask 2.4 Install and Configure Patient Transaction Services Modules

Contractor will install and configure the Patient Transaction Services Modules for the EHR System. Contractor will:

- Configure and build the Patient Transaction Services Modules in accordance with the Specifications and the Patient Transaction

Deliverable 2.4 Patient Transaction Services Modules Installed and Configured

- Release Schedule
- Patient Transaction Services Modules are installed, configured and built

Task 2 Design and Build

<p>Services Design Documents as developed in Subtask 2.3 (Complete Design);</p> <ul style="list-style-type: none">• Make modifications to existing registration rules to address County requests;• Develop a Release Schedule;• Optimize the design, build, and configuration of the Patient Transaction Services Modules to deliver the information and data necessary to deliver, report on, and improve the Patient Transaction Services Modules functionality;• Report monthly on progress toward Complete Build and alert County of any issues or risks.	<p>Acceptance Criteria</p> <ul style="list-style-type: none">• Deliverables address all elements described in Subtask 2.4 (Install and Configure Patient Transaction Services Modules)
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Task 3 Design, Build, and Test Interfaces

Task Description

Contractor shall design, build, and test each required Interface as set forth in this Task 3 (Design, Build, and Test Interfaces) and as required to meet the Specifications and Contractor's obligations under the Agreement.

Contractor shall have end-to-end responsibility for all Interfaces needed for the operation of the Patient Transaction Services functionality, including assessment, planning, development, testing, monitoring, maintaining, and implementing Revisions to all applicable Interfaces throughout the Term as described in this Exhibit A._ (Patient Transaction Services Statement of Work), in Exhibit A.24 (Maintenance and Operations Statement of Work), and otherwise under the Agreement. Contractor will, as part of the Services, (1) identify all of the data elements needed to be Interfaced to the EHR System to enable the Patient Transaction Services functionality to operate in accordance with the Agreement as set forth in the Approved Deliverables 2.3 (Completed Design) and 3.1 (Interface Requirements); and (2) implement and maintain such Interfaces throughout the Term (including Interfaces added by changes agreed to by the Parties as provided in Section 13 (Changes to the Agreement) of the Agreement).

Subtasks	Deliverables
<p>Subtask 3.1 Document Interface Requirements</p> <p>Contractor shall:</p> <ul style="list-style-type: none">• Assist County in determining which Interfaces are required to enable full functionality of the Patient Transaction Services Modules, for the EHR System;• Document Interface requirements between the Licensed Software and internal and external systems, including third party	<p>Deliverable 3.1 Interface Requirements</p> <ul style="list-style-type: none">• Documented Interfaces required to enable full functionality of the Patient Transaction Services Modules <p>Acceptance Criteria</p> <ul style="list-style-type: none">• Contractor provides required technical resources in review session of Draft

Task 3 Design, Build, and Test Interfaces	
<p>systems (e.g., the Experian Premium Eligibility Verification Service);</p> <ul style="list-style-type: none"> Identify dependencies between the development of each Interface and the development and deployment of the Patient Transaction Services Modules; and Identify requirements associated with migration of the applicable data. <p>Contractor will work with applicable third-party vendors as required for Contractor to create the functional and technical Specifications for each required Interface.</p>	<p>Interfaces Requirements Document with key County personnel.</p> <ul style="list-style-type: none"> The Interfaces Requirements Document for each Interface has been Approved by County.
<p>Subtask 3.2 Update and Test Interfaces</p> <p>Contractor will update and test the Interfaces required to enable full Patient Transaction Services functionality as provided in Exhibit A.26. (Patient Transaction Services Functional Requirements).</p> <p>Contractor will:</p> <ul style="list-style-type: none"> Work with County to identify third-party and County resources required to implement any Interfaces required for the Patient Transaction Services Modules; Test the Interfaces required for the Patient Transaction Services Modules; Identify and document issues and error related to the Interfaces required for the Patient Transaction Services Modules; and Advise County and third-party resources in resolving issues. <p>Contractor will provide a formal document confirming that the Interfaces for the Patient Transaction Services Modules are working as designed.</p> <p>County will test the Interfaces required for the Patient Transaction Services Modules and will identify Errors, defects, and Omissions.</p> <p>Contractor will:</p> <ul style="list-style-type: none"> Test the Interfaces to ensure that the data required for full Patient Transaction Services functionality is being transferred; 	<p>Deliverable 3.2 Updated and Tested Interfaces</p> <ul style="list-style-type: none"> Interfaces required for to fully enable the Patient Transaction Services Modules are operational Completed Testing for each Interface required for the Patient Transaction Services Modules Resolution of all outstanding defects for Acceptance of each Interface for the Patient Transaction Services Modules <p>Acceptance Criteria</p> <ul style="list-style-type: none"> Deliverables address all elements described in Subtask 3.2 (Update and Test Interfaces). Interfaces required for the Patient Transaction Services Modules have been implemented and are working to enable full Patient Transaction Services functionality.

Task 3 Design, Build, and Test Interfaces

- Log issues and defects related to testing of Interfaces;
- Resolve issues and defects; and
- Support County in re-testing resolved defects deployed by Contractor.

Task 4 Reports**Task Description**

Contractor shall design and build reports as set forth in this Task 4 (Reports) and as required to meet the Specifications and Contractor's obligations under the Agreement for Go-Live of the Patient Transaction Services. Nothing in this Task 4 (Reports) shall limit Contractor's obligation to develop custom reports as described in Subtask 8.4 (Provide Production Support) of this Exhibit A._ (Patient Transaction Services Statement of Work).

Subtasks	Deliverables
<p>Subtask 4.1 Identify and Validate Requirements for Reports</p> <p>Contractor will validate the list of reports required by County prior to Go-Live of the Patient Transaction Services Modules, including the reports set forth in Subtask 4.2 (Build Reports). Contractor shall:</p> <ul style="list-style-type: none">• Review County's current state reports;• Review standard reports that are included with the Patient Transaction Services Modules;• Validate the list of reports required for Go-Live of the Patient Transaction Services Modules; and• Develop a Reports Work Plan for completion of the required reports. <p>Contractor will ensure that the Patient Transaction Services Modules gather the required data to provide the reports as required under Subtask 4.2 (Build Reports).</p>	<p>Deliverable 4.1 Requirements for Reports</p> <ul style="list-style-type: none">• Reports List• Reports Work Plan <p>Acceptance Criteria</p> <ul style="list-style-type: none">• Deliverables meet all requirements set forth in Task 4.1 (Identify and Validate Requirements for Reports)
<p>Subtask 4.2 Build Reports</p> <p>Contractor will implement the reports and reporting interfaces to complete all reports</p>	<p>Deliverable 4.2 Completed Reports</p> <ul style="list-style-type: none">• Report creation and maintenance• Management of all report requests using a tracking tool

Task 4 Reports

according to the work plan defined in Subtask 4.1 (Identify and Validate Requirements for Reports).

Contractor will:

- Build and configure standard and custom Patient Transaction Services reports as defined below Manage all report requests using a tracking tool and provide reports against the Reports Work Plan;
- Advise and assist the County reporting team as needed; and
- Assist in troubleshooting issues with custom reports.

Contractor will support County in the development of reports, including review and validation of County-created reports.

Prior to Go-Live of the Patient Transaction Services, Contractor will enable and configure for County the reports set forth in Exhibit A._.2 (Patient Transaction Services Go-Live Reports).

- Maintain and update the Reports Work Plan
- All reports defined in Subtask 4.1 (Identify and Validate Requirements for Reports) have been built, delivered, and validated in the production system

Acceptance Criteria

- Deliverables meet all requirements set forth in Subtask 4.3 (Build Reports).
- Reports Work Plan completed and includes County review updates.
- All reports on Reports List completed and approved to County Standards.

Task 5 Test Patient Transaction Services Modules

Task Description

Contractor will develop a comprehensive Test Plan with input and participation from County covering all testing necessary to confirm that all components of the Patient Transaction Services project function in an integrated fashion with the EHR System in accordance with the County requirements.

Contractor will provide Services with County input and participation to develop test scripts, test scenarios, associated test conditions and expected results for Patient Transaction Services Modules Testing.

Contractor will monitor the progress, and validate completion, of all prerequisites to the Patient Transaction Services Modules identified in the Test Plan. Contractor will support County in performing End-to-End testing in accordance with the Test Plan developed in this Task 5 (Test Patient Transaction Services Modules).

Subtasks	Deliverables
Subtask 5.1 Develop Test Plan Contractor will develop a Test Plan document for the EHR System, with input and participation from County that identifies all major aspects and phases of testing throughout the Patient Transaction Services project, including identification of all the appropriate use cases for	Deliverable 5.1 Test Plan <ul style="list-style-type: none">• Draft Test Plan• Final Test Plan incorporating County feedback Updated Test Plan

Task 5 Test Patient Transaction Services Modules

testing. The Test Plan will detail Contractor's approach to performing and/or supporting the following testing phases:

- Contractor Validation Testing (e.g., Unit and System Testing);
- County End-to-End Testing; and

The Test Plan will include a test approach for each testing phase and test group. . The test approach will include:

- Test overview including objectives and coverage;
- Testing control;
- Resourcing, including staffing (i.e., test user roles), infrastructure and communication protocols;
- Contractor and third-party vendor roles and responsibilities;
- How County will participate in the testing, including detailed roles and responsibilities;
- Test schedule with key dates and Deliverables;
- Identification of recommended prerequisites to begin each testing phase;
- Testing sequence and interdependencies between testing phases;
- Testing metrics (expected outcomes, including reports);
- Configuration management;
- Change control;
- Tester training;
- Exit criteria;
- Required artifacts that cover all Domains, Venues and Locations, including:
 - Test scenarios (narrative); and
 - Test script template (step-by-step);
- Defect severity definitions;
- Communication procedures for defect identification, resolution, retesting and escalation;

Acceptance Criteria

- Contractor completes review of draft Test Plan with Key County Individuals as identified by the County SOW Lead.
- Final Test Plan incorporate, and are consistent with, County feedback.
- Final Test Plan address all elements required in Subtask 5.1 (Develop Test Plan).
- Final Test Plan are delivered in accordance with the Agreement, Specifications and agreed delivery date, and have been Approved by County.

Task 5 Test Patient Transaction Services Modules

- Test tools, both Contractor provided and County owned; and
- Assumptions, issues and risks.

Contractor will develop draft Test Plan and submit them to County for review and feedback.

Contractor will review and incorporate County feedback and proposed changes into the Test Plan and submit final versions to the County for Approval.

Throughout the Project, Contractor will review and update the Test Plan as required by County to increase testing effectiveness and efficiency and resolve testing problems, but at a minimum, Contractor will review and update the Test Plan prior to each deployment.

Contractor will submit Test Plan updates to County for review and Approval.

Subtask 5.2 Develop Test Scripts, Test Scenarios and Test Cycles

Contractor will provide Services, with County input and participation, to develop test scripts, test scenarios, associated test conditions, and expected results. Test script template and test scenarios will take into account departmental workflows, County provided policies and procedures, County provided actual personnel scenarios, and cross-departmental processes, and activities across all Domains, Venues and Locations for Patient Transaction Services Modules Testing in accordance with Subtask 5.3 (Conduct Testing).

Contractor will:

- Provide County with samples of test scripts and test scenarios;
- Work with County to identify and document relevant test scenarios;
- Document test scenarios and test data requirements;
- Support County in developing detailed test scripts built upon Contractor provided samples;

Deliverable 5.2 Test Scripts, Test Scenarios and Test Cycles

- Sample test scripts
- Review and validation of final test scripts
- Final issue tracking form
- Draft Test Script Catalog
- Final Test Script Catalog

Acceptance Criteria

- Test scripts and test scenarios completed
- County Approved test script catalog

Task 5 Test Patient Transaction Services Modules

- Review and test County adapted test scripts and recommend revisions to ensure scripts are comprehensive and effective to test all Licensed Software and Third-Party Product content and functionality;
- Monitor progress on test script and test scenario development;
- Validate completeness of test scripts, including that test scripts and test scenarios take into account departmental workflows, County provided policies and procedures, County provided workflow scenarios, and cross-departmental processes and activities across all Domains, Venues and Locations;
- Notify County of any risks to schedule, quality or completeness of the test scripts and common test data being developed;
- Identify issues related to completion of test scripts or test data (e.g., time management, complexity, data quality, training issues) and provide County with recommendations for addressing them (e.g., through additional training or resource augmentation);
- Provide additional resources to the addressed issues and recommendations above;
- Provide recommendations on grouping test scenarios and conditions into test cycles to maximize efficient test execution;
- Develop issue tracking form;
- Archive test scripts after all testing phases are completed;
- Provide support by responding to all County ad hoc calls and emails in a timely manner to address questions as they arise; and
- Deliver additional training on test scripts data development to County personnel as needed.

Contractor will develop a test script template catalog and submit it to County for review, localization and feedback.

Contractor will review and incorporate County feedback and proposed changes into the test

Task 5 Test Patient Transaction Services Modules

script catalog and submit a final version to County for Approval.

Subtask 5.3 Conduct Testing

Contractor will assist County in conducting implementation testing and will plan, record progress, and validate completion of all prerequisites to Patient Transaction Services Verification Testing identified in the Test Plan.

Contractor will:

- Monitor the progress of all prerequisites to Patient Transaction Services Testing identified in the Test Plan;
- Notify County of any issues, problems or incidents affecting the completion of any prerequisites to Patient Transaction Services Testing in accordance with the timeline identified in the Test Plan;
- Validate the completion of all Patient Transaction Services Testing prerequisites identified in the Test Plan; and
- Notify County when all prerequisites to Patient Transaction Services Verification Testing identified in the Test Plan have been completed.

Contractor will perform Patient Transaction Services Integration Testing in accordance with the Test Plan and assist County in performing End-to-End Testing activities. Contractor will:

- Use the test scripts selected and developed in Subtask 5.2 (Develop Test Scripts, Test Scenarios, and Test Cycles) to conduct Contractor Validation Testing prior to County's Patient Transaction Services End-to-End Testing;
- Provide on-site support during County Patient Transaction Services activities in accordance with Test Plan and test scripts;
- Review County log of Errors and defects;
- Resolve all Errors and defects impacting Go-Live and support County personnel in troubleshooting issues;

Deliverable 5.3 Successful Testing

- Complete Patient Transaction Services Testing prerequisites identified in the Test Plan
- Complete Patient Transaction Services Testing
- Complete Test documentation, including Error and defect log with documented resolution

Acceptance Criteria

- Contractor validated completion of all prerequisites to Patient Transaction Services Testing identified in the Test Plan.
- Contractor validated completion of Patient Transaction Services Testing.
- Contractor validated completion of all Go-Live Issues, Errors and defects logged in Patient Transaction Services Testing.
- County Approved test documentation.

Task 5 Test Patient Transaction Services Modules

<ul style="list-style-type: none">• Assist County with re-testing defect fixes;• Regularly communicate with County regarding status and schedule of Patient Transaction Services Testing; and• Document test results. <p>Contractor will monitor status and schedule of Patient Transaction Services Testing and support re-testing resolved defects. Contractor will conduct daily wrap up sessions during the Patient Transaction Services Testing that include:</p> <ul style="list-style-type: none">• Patient Transaction Services Testing progress update;• Review of open issues; and• Strategy and schedule for resolution of defects.	
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Task 6 Knowledge Transfer and Training

Task Description

Contractor will develop Training Plan and Support Materials for the EHR System for all required trainings. Contractor will provide Administrative Training, Help Desk Training, Super User Training, and Train-the-Trainer Training for County staff responsible for training End Users on the workflows and functionality of the Patient Transaction Services Modules.

Subtasks	Deliverables
<p>Subtask 6.1 Develop Training Plan</p> <p>Contractor will develop a Training Plan for EHR System for training trainers, super users, administration and technical support personnel, and other stakeholders in using and/or supporting the Patient Transaction Services Modules.</p> <p>The Training Plan will at a minimum:</p> <ul style="list-style-type: none">• Provide an overview of the strategy for training for the Patient Transaction Services Modules, including training content and organization and an overall description of training;• Define, for each training effort, the training subject areas, audience, objectives,	<p>Deliverable 6.1 Training Plan</p> <ul style="list-style-type: none">• Draft Training Plan• Final Training Plan <p>Updated Training Plan</p> <p>Acceptance Criteria</p> <ul style="list-style-type: none">• Deliverables address all elements described in Subtask 8.1 (Develop Training Plan).• County Approved Training Plan.• County Approved updates to Training Plan.

Task 6 Knowledge Transfer and Training

approach, development timelines, and milestones;

- Define approach, evaluation processes, and materials to confirm that trainees have absorbed necessary knowledge and information;
- Define a training schedule for all target audiences based on the logical sequence of how the content should be delivered, availability of the participants, and deployment timing;
- Highlight overall dependencies, Milestones, assumptions and risks.

Contractor will develop draft Training Plan, incorporate County Feedback, and submit Final Training Plan for County Approval.

Contractor will refine and update the Training Plan as new training materials are developed and training approaches are refined.

Subtask 6.2 Develop Training Materials

Contractor will provide County with access to Training and Support Materials to enhance training, knowledge transfer, and adoption, including:

- Sample demonstration scripts, which will be used by County and Contractor staff to be customized and deliver application demonstrations for end-users and other key stakeholders;
- Access to current and updated user guides and other user training materials that County can customize.

For all activities Contractor will:

- Review County activities and Deliverables as County makes changes and creates new training materials;
- Provide advice and direction to enhance effectiveness of such materials; and
- Identify systemic issues related to completion of training materials (e.g., capacity and capability of resources, complexity of

Deliverable 6.2 Training Materials

- Training and Support Materials for technical and support staff, trainers, and super-users
- Review of, and advice for, enhancing County Training and Support Materials
- Recommendations and support for successful development and delivery of Training and Support Materials

Acceptance Criteria

- Deliverables address all elements described in Subtask 8.2 (Develop Training Materials).
- County receipt and Approval of Training and Support Materials.
- County receipt and Approval of Training and Support Material review and recommendation reports.

Task 6 Knowledge Transfer and Training	
<p>approach, adequacy of tools) and provide County with recommendation to addressing them (e.g., through additional tools, training, resources).</p>	
<p>Subtask 6.3 Conduct Administrative and Technical Support Knowledge Transfer</p> <p>Contractor will conduct Knowledge Transfer on the Patient Transaction Services Modules. The Patient Transaction Services Modules and Knowledge Transfer will cover at a minimum:</p> <ul style="list-style-type: none"> • The Specifications, including the architecture, terminology, and fundamental components of, the Patient Transaction Services Modules; • Update County documentation or provide new documentation that enables County to support, maintain, enhance, and provide any other modification to the Patient Transaction Services Modules; • Coordination with Enterprise Help Desk in making updates for the Patient Transaction Services Insurance Eligibility Verification Modules; and • Identification and explanation as to any of the differences from the Specifications provided by County. <p>The Knowledge Transfer will include the following activities:</p> <ul style="list-style-type: none"> • Eligibility <ul style="list-style-type: none"> ○ 1 day session, for up to 12 participants • eCare NEXT (Premium Eligibility, RQA, and Coverage Discovery), Patient Estimates, and Notices of Admission 	<p>Deliverable 6.3 Administrative and Technical Support Knowledge Transfer</p> <ul style="list-style-type: none"> • Proficient individuals ready to administer the Patient Transaction Services Modules, provide support, and conduct general maintenance and operations <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • Deliverables addressing all elements described in subtask 8.3 (Conduct Knowledge Transfer) • Successful completion of knowledge transfer to all identified relevant County staff. • Patient Transaction Services Modules Documentation provided by Contractor is Approved by County
<p>Subtask 6.4 Conduct Train-the-Trainer and Super-User Training</p> <p>Contractor will conduct:</p> <ul style="list-style-type: none"> • Fourteen (14) two (2) hour Millennium sessions (up to twelve (12) trainees/session) • Fourteen (14) two (2) hour eCN Products sessions (up to twelve (12) trainees/session) 	<p>Train-the-Trainer and Super-User Training</p> <ul style="list-style-type: none"> • Proficient trainers ready to deliver necessary end-user Training • Proficient end users ready to use the Patient Transaction Services Modules functionality • Classes for end users

Task 6 Knowledge Transfer and Training

This training will include the full suite of Patient Transaction Services functionality, including any County-specific programming or workflows.

In addition, Contractor will:

- Track completion of training and report progress to County on a regular basis and by user role, location and other attributes as specified by County;
- Conduct proficiency assessments
- Provide training materials for all Patient Transaction Services functionality.

- Proficiency Assessment and documentation
- Training and materials are sufficient for end users to be able to deliver necessary end-user training to others in the future

Acceptance Criteria

- Successful completion of training of all identified users (based on results documented in training proficiency assessment), (refusal of End Users to attend training is not Contractor's responsibility), with County-Approved documentation of the training (in Word, Excel, PDF, or PowerPoint format, as appropriate), including, at a minimum:
 - A list of all the County personnel who were trained and whether each individual successfully completed the training; and
 - Any materials used as part of the training (e.g., presentations, scripts, and proficiency assessments)
- Deliverables address all required elements described in Subtask 8.4 (Conduct End User and Super-User Training).

Task 7 Deployment

Task Description

Contractor will conduct general deployment preparations for all deployments, including developing and validating for each of the EHR System, a Deployment Plan and a Production Support Plan, and Contractor and County will deploy the Patient Transaction Services Modules in accordance with the Deployment Plans and Production Support Plans. Contractor will provide Go-Live Support for Go-Live and will coordinate project transition to maintenance and support.

Subtasks

Deliverables

Subtask 7.1 Develop and Validate Deployment Plan

Contractor will develop Deployment Plan for EHR System that includes the following:

- Sequence of Deployment to County Users (e.g. by location, system, and user group);

Deliverable 7.1 Deployment Plan

- Draft Deployment Plan
- Final Deployment Plan

Task 7 Deployment

- Go-Live Go/No-Go Decision Framework and Processes.
- Go-Live Rollback Plan and contingency scenarios, including when and how they should be invoked including:
 - System for classifying the severity of problems;
 - Description of which levels warrant roll-back;
 - Decision-making process for activating Go-Live Rollback Plan;
 - Documented process for Contractor Personnel to execute the Go-Live Rollback Plan upon activation;
 - Documented procedures for recovering from roll-back.
- Go-Live Help Desk Scripts with County and Contractor roles and responsibilities and issue logging and resolution procedure.
- Go-Live Event Staffing and Support Model, including:
 - Roles of Contractor and County support teams;
 - County staffing requirements, including 24x7x365 on-site Go-Live Support for Go-Live until the transition-out criteria for such 24x7x365 resources are met;
 - Contractor will support Go-Live with Project Management and Patient Transaction Services Modules deployment teams as described in Subtask 7.3 (Provide Go-Live Support);
 - Issue management process;
 - County infrastructure and facilities required to support Contractor and County personnel during Go-Live;
 - Approach to determine duration of Contractor on-site support staff; and
 - Transition-out criteria and transition-out process for Contractor on-site support staff.

Acceptance Criteria

- County Approved Deployment Plan

Task 7 Deployment	
<p>Contractor will review the Deployment Plan with County.</p> <p>Contractor will incorporate County feedback and proposed changes into the Deployment Plan and submit final versions to County for Approval.</p>	
<p>Subtask 7.2 Conduct Deployment</p> <p>Contractor will deploy Patient Transaction Services Modules to the County Locations as defined in the Deployment Plans.</p> <p>Contractor will:</p> <ul style="list-style-type: none"> • Track and monitor progress; • Identify, escalate, and resolve issues; and • Recommend adjustments to deployment activities and the Deployment Plan as necessary. 	<p>Deliverable 7.2 Successful Deployment</p> <ul style="list-style-type: none"> • Deployment of the Patient Transaction Services Modules as set forth in the Deployment Plan <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • Each County Location deployment has been successfully completed and Accepted by County.
<p>Subtask 7.3 Provide Go-Live Support</p> <p>Contractor will provide on-site Go-Live Support Services in accordance with the Go-Live Plan to assist with the following tasks:</p> <ul style="list-style-type: none"> • Maintain tracking list of issues that arise throughout Go-Live; and • Resolve issues throughout Go-Live. <p>Go-Live Support will be provided until the transition-out criteria under the Deployment Plan have been met. Upon completion of the transition-out criteria, Contractor shall transition to Production Support under Subtask 7.5 (Transition to Production Support) in accordance with the transition-out process set forth in the Deployment Plan for Contractor on-site support staff.</p>	<p>Deliverable 7.3 Go-Live Support</p> <ul style="list-style-type: none"> • Go-Live support for Go-Live • Issue Tracking List <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • All critical issues resolved during the duration of Go-Live. • County Approved review of the Patient Transaction Services Tracking List.
<p>Subtask 7.4 Conduct Post Go-Live Assessment and Performance Verification Activities</p> <p>After deployment, Contractor will perform all performance verification activities required by this SOW and the Agreement. Contractor will develop a performance verification report which includes:</p>	<p>Deliverable 7.4 Post Go-Live Assessment and Performance Verification Activities</p> <ul style="list-style-type: none"> • Diagnosis and resolution of Errors in accordance with the Agreement • Review sessions after Go-Live • List of all undelivered Deliverables and Services and timeline and plan to deliver each

Task 7 Deployment	
<ul style="list-style-type: none"> • Summary of activities, results, and outcomes; Summary of Errors and issues identified by Contractor or County; • List of all Deliverables and other Services contracted for but not provided as of Go-Live of the Patient Transaction Services Modules; • Timeline and work plan for delivering all Deliverables and other Services contracted for but not provided as of Go-Live of the Patient Transaction Services Modules; and • Confirmed compliance with the Service Levels. <p>Contractor will conduct review sessions with County after Go-Live and develop a performance verification report.</p> <p>Contractor will incorporate County feedback and proposed changes into the performance verification report and submit a final version to County for Approval.</p>	<ul style="list-style-type: none"> • Performance verification reports <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • County Approved performance verification reports
<p>Subtask 7.5 Transition to Production Support</p> <p>In mutual agreement with the County, Contractor Project team will coordinate transition to the County and Contractor production support teams upon achieving exit criteria.</p> <p>Prior to the deployment, Contractor's transition team will develop a checklist for the transition from the Go-Live support team to the Production Support team.</p> <p>Contractor will review the transition checklist with County.</p> <p>Contractor will approve transition to production.</p> <p>Contractor will initiate production support to include all elements listed under Task 7 (Production Support).</p>	<p>Deliverable 7.5 Production Support</p> <ul style="list-style-type: none"> • Draft and Final Transition checklist • Successful transition to Production Support <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • County transitioned to steady state Production Support.

Task 8 Production Support
Task Description
Contractor will provide hosting, maintenance and operations support for the Patient Transaction Services Modules for duration of the Agreement Term. Contractor will continuously monitor the

Task 8 Production Support

Patient Transaction Services Modules and ensure that the Patient Transaction Services Modules are used, maintained, tuned, configured, optimized, and all Revisions to the Licensed Software are installed and implemented to (i) deliver a system that is available to County personnel and administrative staff, (ii) deliver the required reports and data on a timely basis to meet the identified reporting requirements, and (iii) remain tuned and updated in accordance with the Agreement, and provide training on Revisions.

Subtasks	Deliverables
<p>Subtask 8.1 Update and Maintain Patient Transaction Services Modules Production Support Plan</p> <p>Contractor will review and update the Production Support Plan as required for the Patient Transaction Services Modules operating with the EHR System, including a detailed description of:</p> <ul style="list-style-type: none">• Contractor-provided Support Services;• Maintenance and Operations (M&O) Delivery Models;• Maintenance of the Patient Transaction Services Modules and user documentation; and• Maintenance of Production Support Plan. <p>Contractor will update the Production Support Plan as required to provide new Releases, Upgrades, and Revisions.</p> <p>Contractor will review the initial and updated Production Support Plan with County, and will conduct a formal review of the Production Support Plan with key County stakeholders and update the plan as needed, at least annually.</p> <p>Contractor will incorporate County feedback and proposed changes into the initial and updated Production Support Plan and submit final versions to County for Approval.</p>	<p>Deliverable 8.1 Updated Patient Transaction Services Modules Production Support Plan</p> <ul style="list-style-type: none">• Production Support Plan <p>Acceptance Criteria</p> <ul style="list-style-type: none">• Production Support Plan address all elements described in Subtask 7.1 (Update and Maintain Patient Transaction Services Modules Production Support Plan)• County Approved Production Support Plan
<p>Subtask 8.2 Develop Help Desk Scripts</p> <p>Contractor will support County in the creation of help desk scripts by providing sample Level 1 and Level 2 Help Desk Scripts and tip sheets for the EHR System, including:</p> <ul style="list-style-type: none">• County and Contractor roles and responsibilities related to provisioning of Level 1 and Level 2 Help Desk support;	<p>Deliverable 8.2 Help Desk Scripts</p> <ul style="list-style-type: none">• Level 1 Help Desk Scripts• Level 2 Help Desk Scripts

Task 8 Production Support	
<ul style="list-style-type: none"> • Procedures for logging and tracking issues; • Procedures for handing off Patient Transaction Services Modules tickets from County to Contractor for resolution (including closure of tickets and related communications); and • Procedures for handing off Patient Transaction Services Modules tickets from Contractor to County for resolution (including closure of tickets and related communications). <p>Contractor will review the County developed Level 1 and Level 2 Help Desk Scripts with County.</p> <p>County will incorporate Contractor feedback and proposed changes into the Level 1 and Level 2 Help Desk Scripts.</p>	<p>Acceptance Criteria</p> <ul style="list-style-type: none"> • Level 1 and Level 2 Help Desk Scripts incorporate, and are consistent with, County-provided input. • Level 1 and Level 2 Help Desk Scripts have been Approved by County.
<p>Subtask 8.3 Update Business Continuity Plan</p> <p>Contractor will provide Services, with County input and participation, to develop or update the Business Continuity Plan for County’s workaround for Outages involving the Patient Transaction Services Modules. The Business Continuity Plan shall be updated for the Patient Transaction Services Modules to include County workflows and materials (e.g. paper forms) to minimize interruptions to County’s operations with the EHR System while the Patient Transaction Services Modules are not Available for Use. The Patient Transaction Services Business Continuity Plan shall include:</p> <ul style="list-style-type: none"> • Fallback County business processes to transmit and validate patient healthcare coverage and eligibility benefits; • Alerts to appropriate County Personnel indicating when Patient Transaction Services functionality is restored; and • Processes for migrating fallback data into the Patient Transaction Services Modules once functionality is restored. <p>Contractor will review and incorporate County feedback and proposed changes into the Patient</p>	<p>Deliverable 8.3 Update Business Continuity Plan</p> <ul style="list-style-type: none"> • Draft Business Continuity Plan to include the Patient Transaction Services Modules • Final Business Continuity Plan incorporating County feedback • Updated Business Continuity Plan <p>Acceptance Criteria</p> <ul style="list-style-type: none"> • Contractor completes review of draft Business Continuity Plan with County Personnel as identified by the County SOW Lead. • Final Business Continuity Plan incorporates, and is consistent with, County feedback. • Final Business Continuity Plan addresses all elements required in Subtask 7.3 (Update Business Continuity Plan).

Task 8 Production Support

Transaction Services Continuity Plan and submit a final version to the County for Approval.

Contractor shall review and update the Patient Transaction Services Business Continuity Plan following any time it is implemented.

Contractor will submit Patient Transaction Services Business Continuity Plan updates to County for review and Approval.

Subtask 8.4 Provide Production Support

Contractor will provide ongoing Patient Transaction Services Production Support for the duration of the Term of the Agreement as set forth in the Production Support Plan, and as Contractor is obligated under Exhibit A.24 (Maintenance and Operations Statement of Work), Exhibit E.2 (Amendment No. 7 to Exhibit E (Service Levels and Performance Standards), and otherwise under the Agreement, including:

- Application monitoring and management services, including:
 - Monitoring and managing all Licensed Software and Third-Party Products used in the Patient Transaction Services project; and
 - Proactively and reactively notifying County help desk of issues, incidents, and problems found by Contractor that affect or may affect the Services, and of any required County intervention to avoid or resolve the issue, incident, or problem;
- 24x7x365 application support for all Licensed Software and Third Party Product issues and County support requests;
- Operations management services;
- Incident/problem management and resolution services;
- Configuration and technology change management;
- Providing updated certifications regarding any regulatory certification required of Patient Transaction Services Modules in

Deliverable 8.4 Production Support

- Provide Patient Transaction Services Production Support Services as defined in Subtask 7.4 (Provide Production Support)

Acceptance Criteria

- Production Support addresses all elements described in Subtask 7.4 (Provide Production Support).
- County Approved Production Support Deliverables.

Task 8 Production Support

- accordance with Section 32.8 (Compliance with Applicable Laws) of the Agreement;
- Producing the Patient Transaction Services Verification activity reports and any other reports required by Applicable Law for County's use of the Patient Transaction Services Modules and storing such reports, in accordance with Section 32.8 (Compliance with Applicable Laws) of the Agreement;
 - Provide Revisions as needed for the Patient Transaction Services functionality to operate pursuant to changes in state requirements (e.g., if the state adds new Medi-Cal Aid Codes) and/or the coverage verification rules set forth in the County's Coverage Verification and Health Coverage Options Guide (the County's Coverage Verification and Health Coverage Options Guide as of the Amendment 19 Date is set forth in Exhibit A._.1 (Coverage Verification and Health Coverage Options Guide));
 - Providing Business Continuity Support Services by initiating and implementing the Business Continuity Plan for the Patient Transaction Services Modules developed under Subtask 7.3 (Establish Business Continuity Plan) in the event of any Patient Transaction Services, including notifying appropriate County Personnel of the need to switch over to fallback workflows;
 - Providing application specific security services based on County guidelines in accordance with Exhibit K (Information Security Requirements) and Section 20 (Security) of the Agreement, including:
 - Providing and maintaining virus protection;
 - Monitoring for security errors, exceptions, and attempted violations;
 - Reporting security violations to County per County policies; and
 - Monitoring legal and regulatory requirements, conducting compliance

Task 8 Production Support

testing, and providing compliance and certification review;

- Provide and configure all new standard reports pursuant to Subtask 3.5 (Provide Report Creation and Maintenance) of Exhibit A.24 (Maintenance and Operations Statement of Work), including new standard reports within the Modules identified in Exhibit B. (Patient Transaction Services Software Components) as “Experian Modules” (the “**Experian Modules**”);
- Provide and configure updates to all standard reports as Revisions, including updates to all standard reports within the Experian Modules;
- Provide and configure new custom reports pursuant to Subtask 3.5 (Provide Report Creation and Maintenance) of Exhibit A.24 (Maintenance and Operations Statement of Work) and Section 2 (Report Delivery Model and Service Levels) of Exhibit E.2 (Amendment No. 7 to Exhibit E (Service Levels and Performance Standards)), except that Contractor shall not be required to provide and configure new custom reports within the Experian Modules as part of the Support Services (but County may acquire such reports as Optional Work);
- Provide and configure updates to all custom reports as Revisions, including updates to all custom reports within the Experian Modules acquired by the County as Optional Work;
- Providing Security services in compliance with applicable federal, state, and County requirements.

Task 9 Project Close-Out

Task Description

Contractor will be responsible for project close-out activities. The purpose of these activities is to resolve any outstanding project issues, obtain formal agreement from the project governance processes to officially close out the project, ensure that there is an official hand over of the project

Task 9 Project Close-Out

from the project team to the maintenance and operations team, and conduct a thorough review of the project.

Subtasks	Deliverables
<p>Subtask 9.1 Develop Project Close-Out Checklist</p> <p>Contractor will develop a Deployment and Project Close-out Checklist, incorporate County feedback, and submit a Final Deployment and Project Close-out Checklist for County Approval.</p>	<p>Deliverable 9.1 Project Close-Out Checklist</p> <ul style="list-style-type: none">• Draft Deployment and Project Close-out Checklist• Final Deployment and Project Close-out Checklist <p>Acceptance Criteria</p> <ul style="list-style-type: none">• Approved Deployment and Project Close-out Checklist.
<p>Subtask 9.2 Provide Final Acceptance Report</p> <p>Contractor will provide Final Acceptance Report for the Patient Transaction Services Modules, which includes:</p> <ul style="list-style-type: none">• Certification of Performance Verification and Final Acceptance;• Confirmation that all Deliverables and other Services contracted for have been delivered;• Confirmation that all County Locations are in Productive Use and that critical and high issues are resolved directly or with acceptable workarounds;• List of all unresolved issues;• Plan for resolution of unresolved issues; and• Confirmation of compliance with response times and other Service Levels. <p>Contractor will review the draft Final Acceptance Reports with County.</p> <p>Contractor will incorporate County feedback and proposed changes into the Final Acceptance Reports and submit final versions to County for Approval.</p>	<p>Deliverable 9.2 Final Acceptance Report</p> <ul style="list-style-type: none">• Final Acceptance Reports <p>Acceptance Criteria</p> <ul style="list-style-type: none">• The Final Acceptance Reports incorporate, and are consistent with, County-provided input.• The Final Acceptance Reports have been Approved by County.• Successful completion of County Acceptance Testing.• Final Acceptance by County.
<p>Subtask 9.3 Conduct Project Close-Out</p> <p>During the Project close-out, Contractor will:</p> <ul style="list-style-type: none">• Conduct all of the activities defined in the Deployment and Project Close-Out Checklist;	<p>Deliverable 9.3 Project Close-Out</p> <ul style="list-style-type: none">• Project close-out activities as identified in the Deployment and Project Close-out Checklist

Task 9 Project Close-Out

- Review all aspects of Project close-out with County; and
- Address all outstanding issues and activities.

Acceptance Criteria

- County Approved Project close-out activities

5.5. Project Deliverable Expectations Document Template

Project Deliverable Expectations Document	
Project Deliverable Number:	Title of Deliverable:
Deliverable Description:	Contract/SOW Reference:
Frequency:	Initial Draft Submission Due Date:
County's Review of Draft Deliverable: [31] Days	Final Submission Due Date: [31] Days after receipt of draft comments
County Approval Required: Yes/No	Distribution: County Project Manager – 1 hard copy and 1 soft copy County Project Oversight – 1 soft copy
Contractor: Complete shaded area below	
Detailed Deliverable Outline:	
Deliverable Acceptance Criteria (include agreed upon requirements, format and contents, related to Deliverable):	
Prepared By (please print):	Date Submitted:
Date Submitted 2:	Date Submitted 3:
Phone Number:	E-mail:
Contractor Project Director or Contractor Project Manager Signoff (For Key Deliverables):	
Contractor Representative Name:	Contractor Representative Position:
Contractor Representative Signature:	Date:
County Approval/Comments	
Approved By:	Date:
Signature:	
Comments:	



EXHIBIT A._.1 (COVERAGE VERIFICATION AND HEALTH COVERAGE OPTIONS
GUIDE)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

PATIENT ACCESS: COVERAGE VERIFICATION & HEALTH COVERAGE OPTIONS GUIDE



OCTOBER 2019

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Introduction to Guide

Verifying coverage or explaining health coverage options at the time of the visit and/or appointment scheduling is part of our critical role to help patients navigate getting **the right care, at the right place, at the right time** and to supporting the **revenue-cycle** so that DHS has the resources to continue providing high-quality, patient-centered care to LA County residents.

This guide is intended for patient access and patient financial services staff. This guide is designed to set “the rules” in plain language and consolidate DHS Policies and Procedures, Data Governance Standards, Financial Practice memos, Patient Financial Services (PFS) memos, DHS-wide memos, and ORCHID training materials. The purpose is to develop consistency in our practices and improve the patient experience. The Guide is best utilized in conjunction with Office of Patient Access Annual Trainings, and the Office of Patient Access Intranet site, which is regularly updated with new information or changes. If there are challenging scenarios that you encounter that is not covered in this Guide, please discuss with your Patient Access / PFS leadership teams or raise in a Patient Access Operations meeting or workgroup.

The Financial Screening Reference Guide was developed by:

The Office of Patient Access (OPA), Revenue Management, the Central Billing Office (CBO), facility directors and managers in Patient Access Centers (PAC) and Patient Financial Services (PFS), as well as clinical and administrative areas throughout the Department.

Point of Contact

For any questions, suggestions, comments, etc. please direct them to:

VANNA TRAN

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VERIFYING COVERAGE 101

Verifying Coverage

- ✓ It is the Department of Health Services' policy¹ to screen all non-emergency patients and identify or verify the responsible payer and primary care provider, prior to the delivery of care. For patients seeking emergency medical care, DHS staff may verify coverage for existing patients using information already contained in the patient's record. However, discussion with the patient about their coverage and financial liability cannot occur until after the patient has received a medical screening exam (MSE) and as the patient's individual condition permits. Below are procedures that should be followed, for all insurance coverage or code.
- ✓ Coverage should generally be verified using a 270/271 transaction at the point of registration or financial clearance. The transaction must be from the current month². A previously run 270/271 from the current month can continuously be used to verify coverage for encounters within the same month. The verify source in ORCHID should be "Automated." For more information on how to read a 271 response, including a sample for most insurance codes, please see the [Office of Patient Access intranet site](#).
- ✓ Staff can also use other sources of information to verify coverage in addition to the 270/271 (See [Appendix I – Systems for Coverage Verification & Discrepancies](#))
- ✓ If an alternate source is used to verify coverage, select the appropriate Verify Source of "website" or "phone" in ORCHID. Notes should be added to the "New Person Comments" to reflect the information found through the alternate source. IP staff should document in the Insurance Summary notes.
- ✓ If a response shows a change has been made to the patient's coverage (health plan or PCP switch, Medi-Cal pending to approved Medi-Cal, etc.) or the response shows the patient does not have coverage, remove the old insurance code and add the new, appropriate code if any. Add a new person comment with the patients' MBI/HIC/CIN/Policy.
- ✓ Once coverage has been identified and verified, staff should update the Verify Status on the primary insurance code to reflect whether or not the patient should be financially cleared. (See [Appendix II – Insurance Codes and Financial Clearance Guidelines for LA County Residents](#)).
- ✓ The patient's relationship to subscriber should be "Self", in almost all circumstances. Selecting "self" will carry over patient level demographic information into the insurance tab.³
- ✓ If patients have multiple types of coverage, see the [Appendix IV - Insurance Code Hierarchy Grid](#) and information within the respective sections below for determining which is primary.
- ✓ Every patient should have the Self-Pay insurance code (000 or 469 for IP) on their account in the last position.
- ✓ If available, scan the patient's insurance card (e.g. Medi-Cal card) into ORCHID under the option "Insurance ID Card".
- ✓ When updating insurance for patient encounters that have been discharged, use the "Modify Encounter" conversation in ORCHID.⁴
- ✓ Generally non-emergency services should only be provided to LA County residents. Information in the following sections applies to LA County residents. For out-of-county residents, please see section 8.

Refer to: [Patient Access Guide on ORCHID Automatic Clearance & Manual Clearance](#)

Refer to: [Outpatient Coverage Verification Workflow](#)

¹ 2013-14 Civil Grand Jury Report, "Timely and Clean "Bill" of Health May Save \$285 Million"

² Note: if the 270/271 is not working for a Medi-Cal insurance code or self-pay, which may occur between the hours of midnight and 2am for Medi-Cal, then staff should:

- Look at previous 270/271 responses from prior in the month,
- Utilize Revenue360 or for DHS assigned, run the 270 on insurance code 644 or 615
- Utilize the health plan websites or phone numbers (i.e. LA Care or Health Net websites) to verify managed care assignment,
- If still unable to verify (for example for Medi-Cal Fee-for-Service), wait until the system is working for the 271 response to return

Note: 270/271's still work for non-Medi-Cal insurance codes during midnight – 2am downtime.

³ If patient's name, date of birth (DOB), or sex on their insurance card differs from their legal name and DOB on their government issued ID, do not change this information at the patient level. Instead, change the Relationship to Subscriber to "Other Relationship" and manually put in the information on the insured ID card.

⁴ Note: ORCHID does not send insurance updates to the Affinity RCO 45 days after discharge.

Medi-Cal

Managed Care ◀
Fee-for-Service ◀
Share of Cost ◀
Restricted Medi-Cal ◀

- ✓ Medi-Cal is California's Medicaid program serving low-income individuals, families, seniors, persons with disabilities, children in foster care, pregnant women, and childless adults with incomes below 138% of Federal Poverty Level (FPL). Eligibility factors include income, household size/composition, residency, citizenship, age, disability, property, and other life events. Income FPL limits vary per program and property limits starting at \$2,000 may be counted.
- ✓ Based on various eligibility factors, the patient will be assigned an identified Medi-Cal aid code. The aid code will determine the patient's scope of coverage and if the patient will be assigned to a health plan. The three main Medi-Cal categories include Managed Care, Fee-For-Service, and Restricted Medi-Cal. Most recipients fall into the Managed Care category and receive all medical care through one organization.
- ✓ With the passing of the Affordable Care Act (ACA) also known as Obamacare, Health Care Reform (HCR) expanded Medi-Cal eligibility and created two different Medi-Cal program which has been separated into **Modified Adjusted Gross Income (MAGI) Medi-Cal** and **Non-MAGI Medi-Cal**.

- ✓ **MAGI Medi-Cal HCR** expanded Medi-Cal eligibility to uninsured persons formerly ineligible to the Medi-Cal program. Under MAGI Medi-Cal, there are no costs associated with receiving Medi-Cal benefits. Most MAGI Medi-Cal beneficiaries are eligible to receive full-scope Medi-Cal benefits without a cost. There are also no co-payments or out-of-pocket costs associated with receiving benefits under MAGI Medi-Cal. However, some aid codes (T1, T3) may incur a monthly low cost/premium.
- ✓ **Non-MAGI Medi-Cal** refers to eligibility programs that existed prior to the implementation of ACA, and continues to provide medical benefits under pre-ACA regulations. The amount that a family or an individual must pay for Medi-Cal benefits is determined by the amount of available income that remains after appropriate exclusions and deductions are allowed. Based on income, families and individuals may be eligible to receive Medi-Cal benefits at no cost or with a share of cost.
- ✓ When running a 270/271 verification for Medi-Cal coverage⁵, you will need the following information:
 - Name
 - Social Security Number and/or the 9 digit CIN. Note: always use the 9 digit CIN in the "HIC/CIN/Policy Number" field in ORCHID. If coverage cannot be verified, then the 14 digit BIC ID can be used.
 - Date of birth
- ✓ To determine what type of Medi-Cal the patient has, first look at the Aid code (see: [Appendix II, Medi-Cal Aid Codes & Insurance Codes chart](#)) and then look for other indicators such as an assigned health plan and primary care provider (PCP)/clinic, Medicare, Other Health Coverage, or CCS. For a complete list of Aid codes see the [Office of Patient Access intranet site](#).
- ✓ There are over 200 Medi-Cal aid codes that roll up into 3 broad categories: Managed Care, Fee-for-Service and Restricted (Limited Scope).
- ✓ If the patient has more than one Aid Code, coverage should be determined by the primary Aid Code.

Reference: [PFS Memo 23-19](#)

⁵ Note: Medi-Cal system is down from midnight to 2am. During this time, use a 271 response previously run in the current month or Revenue360 or the health plan websites to check Medi-Cal managed care plan and provider assignment.

I. Types of Medi-Cal

	Managed Care	Non-Managed Care	
		Fee-for-Service (FFS)	Restricted
COVERAGE	<ul style="list-style-type: none"> Patients have full-scope, comprehensive benefits Patient care is managed by a health plan provider such as LA Care & Health Net and will be assigned a PCP/clinic 	<ul style="list-style-type: none"> Patients have full-scope, comprehensive benefits 	<ul style="list-style-type: none"> Patients have limited, coverage benefits. Medi-Cal coverage will only be applied to services related to emergency, pregnancy related, renal dialysis, and/or long-term care services.
ACCESS	<ul style="list-style-type: none"> Patients typically access services within a network. Patients seeking care outside of their assigned network usually require prior authorization and may require Letter of Agreement (LOA)⁶. 	<ul style="list-style-type: none"> Patients may receive services from any provider that accepts Medi-Cal 	<ul style="list-style-type: none"> Patients with restricted Medi-Cal are also eligible for My Health LA (MHLA).⁷ Patients with restricted Medi-Cal, no share of cost, will get auto-ATP for services within DHS unrelated to emergent and pregnancy related services.⁸
PAYOR MIX	<ul style="list-style-type: none"> Over 40% of the DHS patient population are Medi-Cal Managed Care; <ul style="list-style-type: none"> Vast majority are DHS assigned managed-care, with a high volume of non-DHS assigned limited to the ED / IP setting 	<ul style="list-style-type: none"> Just over 10% of the DHS patients are Fee-for-Service. However this is a misleading number. Many of those patients may be temporarily FFS until they move into managed care or until their HPE expires. 	<ul style="list-style-type: none"> Just over 20% of the DHS patient population are Restricted Medi-Cal

II. Medi-Cal Managed Care

In order to determine if a managed care patient is DHS or non-DHS,

- Step 1:** Check the assigned health plan. If the assigned health plan is LA Care or Health Net, proceed to step 2. If the assigned health plan is something else (e.g. Molina), the patient is considered Non-DHS.
- Step 2:** Compare the patient's assigned provider or clinic to the [DHS Primary Care Clinic listing](#) to verify the patient's assignment is to DHS. NOTE: Health Net will assign patient to a facility, LA Care will assign to a PCP.

⁶ Contingent upon contractual relationship with payer. [See Managed Care Services Business Development Payer Contracting Report](#)

⁷ Must be LA County Resident to be eligible for MHLA

⁸ Must be LA County Resident to receive services through auto-ATP with Restricted Medi-Cal

1. Does the patient have a Medi-Cal managed care plan, assigned to a DHS provider/clinic?

- ✓ This covers services a patient might receive at a DHS hospital or an ambulatory care clinic.
- ✓ These should be coded as 644 – MCal Managed Care LA Care (DHS) or 615 – MCal MC Health Net (DHS). For ED/UCC, scheduled admissions or other walk-in visits, financially clear using the Verify Status of “Verified”. Appointments that are scheduled at least 48 hours in advance are automatically updated and cleared. [Refer to the Patient Access Guide on ORCHID: Automatic Clearance & Manual Financial Clearance](#) for details on the process of auto-clearance for the DHS Assigned patients.
- ✓ In most cases, authorization is not necessary for LA Care Health Plan and Health Net members, assigned to a DHS provider and/or clinic.⁹
 - The exceptions are LA Care and HealthNet members assigned to any DHS facility in the High Desert region
 - Health Net members assigned to DHS – MLK Jr Outpatient Center.For those patients, authorization is required to admit the patient to a DHS facility. Authorization is not required in any other circumstance.
- ✓ All DHS-assigned patients have a patient centered medical home (PCMH) for primary care, based on their empaneled provider in ORCHID / ELM (ELM is the source of truth for empanelment). For empanelment and assignment discrepancies or questions, please direct to your Patient Access leadership or Patient Relations.
- ✓ Note: Medi-Cal Managed Care patients assigned to DHS do not need to be manually financially cleared for future scheduled appointment. These future schedule appointments are automatically checked against our health plan enrollment files through a nightly batch process. Staff only need to review encounters where the IC coding is incorrect. Refer to the [Patient Access Guide on ORCHID: Automatic Clearance & Manual Financial Clearance](#)

Reference: [DHCS Medi-Cal Benefits Chart \("10 Essential Benefits"\)](#)
[PFS Memo 15-18 Affordable Care Act Medi-Cal Expansion](#)
[DHS Antelope Valley \(AV\) Assigned Members to DHS Hospitals](#)
[Changes Affecting Health Net Medi-Cal Managed Care Members Assigned to the DHS Martin Luther King \(MLK\) Network](#)

2. Does the patient have a Medi-Cal managed care plan, assigned to a Non-DHS provider/clinic?

- ✓ Patients who are non-DHS may be provided the option to change their Medi-Cal Managed Care assignment to DHS based upon primary care capacity and/or patient history. See [PCMH P&P](#) and [Provider Change & Health Plan + Assignment Workflow](#). Patients who would like to change their assignment should be directed to Patient Relations staff to facilitate a three-way call to the Health Plan to make the change.

⁹ There is an exception for LA Care members assigned to any of the DHS facilities in the High Desert region (capitated to AV hospital). Authorization from the health plan is required for the inpatient admission ONLY. Patients should still be coded as 644 with a Verify Status of “Verified”. Utilization Review will need to identify these patients and call the health plan to attempt to get auth prior to service but we should not delay admission pending the authorization.

- ✓ DHS facilities generally do not provide services to Medi-Cal managed care plan enrollees assigned to a non-DHS provider for non-emergency services.¹⁰ Please note the following **EXCEPTIONS THAT DO NOT REQUIRE AUTHORIZATION**:¹¹
 - **Emergency services.** DHS facilities will treat the patient for emergency services, including limited circumstances where an urgent outpatient visit was scheduled as an extension of the ED visit. Patients seen within ED who require same-day/next-day care as an extension of the ED visit, where equipment was not available within the ED can receive services, regardless of payor. However DHS staff must call the plan prior to inpatient admission. For scheduled admissions, an initial Letter of Agreement (LOA/Fast Track) may also be needed if a contract is not already in place.
 - **Carve out service services** not covered by the patient's health plan, but paid on a fee-for-service basis by Medi-Cal:
 - Mental Health;¹²
 - Substance Use/Abuse treatment
 - Dental;
 - **Sensitive services:** health plans will cover sensitive services without prior authorization, *i.e.* services related to sexual assault, family planning, pregnancy termination, sexually transmitted diseases, and HIV testing. For a complete description of sensitive services, including information on how to tell that the visit is for a sensitive service, see [Appendix V – Medi-Cal Managed Care: Sensitive Services, Confidential and Other Services](#). Note: If the patient requests confidentiality, an F-PACT application may be taken in order to avoid a bill or notification to the health plan. **See Coverage for Special Services – Women's Health.**
 - **HUB clinics**¹³: a patient with non-DHS managed care or private insurance may be seen for services covered under the MOU with DCFS, without authorization, due to the sensitivity of the situation. **See County Programs.**
 - **Jail services / patients in custody:** Insurance code 388 should be used for any patients who are in custody and brought in by the Sheriff's Department. This should be used in the primary position. The booking number should also be noted in the booking number field on the Patient Information tab. If the patient has other insurance (Managed Care or Commercial), authorization should not be requested since authority to discharge or transfer the patient is not under our control. However, UR should notify the insurance plan that their member has been admitted and is in custody.
 - **For additional scenarios, please see the [Office of Patient Access - NON-DHS \(OUTPATIENT\) PROCEDURES DOCUMENT](#) and the [Exemptions Cheat Sheet](#)**
- ✓ In any additional circumstances that are appropriate to see non-DHS patients, auth is typically required. If Authorization is required, see [Office of Patient Access - NON-DHS \(OUTPATIENT\) PROCEDURES DOCUMENT](#)

¹⁰ Refer the patient to their provider / primary care medical home. (**DHS Guidelines for Managed Care or Commercial Insurance Patients**). **Emergency services.** DHS facilities will treat the patient for emergency services, including limited circumstances where an urgent outpatient visit was scheduled as an extension of the ED visit. However DHS staff must call the plan for authorization prior to inpatient admission. For scheduled admissions, an initial Letter of Agreement (LOA/Fast Track) may also be needed if a contract is not already in place.

¹¹ For patients assigned to Blue Shield Promise/Care 1st, Cal Optima, Molina, or patients with PPO coverage, the fields: Authorization required = No; Auth Number field should indicate PER PLAN NO PA

¹² Medi-Cal mental health services should no longer be coded as 427. This insurance code was sunset as of January 1, 2016. Mental health services and dental services should be coded as a regular Medi-Cal managed care insurance codes; 615, 644, 646, 651, 656, 661, 666 or 671. A patient with non-DHS managed care should be financially cleared for the outpatient mental health or dental visit using "Verified Non-DHS" with auth # Mental or Dental to clear only that visit.

¹³ HUB clinics serve children and adults who have been the victims of violence and/or sexual abuse. Patients are often brought to the DHS clinic by law enforce, DCFS, or a foster parent but may also self-refer and walk-in.

▶ **FAQ:** Staff verify that a patient has **Medi-Cal Managed Care with a Share-of-Cost (SOC) and Special Aid Code: OE**. What should staff do?

Service Date: 10/10/2018	Subscriber Birth Date: 05/19/1984	Issue Date: 10/10/2018
Primary Aid Code:		First Special Aid Code:
Second Special Aid Code: OE		Third Special Aid Code:
Subscriber County: 19 - Los Angeles		Medicare ID:
Spend Down Amount Obligation: \$4,707.00		Remaining Spend Down Amount: \$4,707.00
Trace Number (Eligibility Verification Confirmation (EVC) Number): 9153PK29K8		
Eligibility Message: SUBSCRIBER LAST NAME: EVC #: . CNTY CODE: 19. 2ND SPECIAL AID CODE: OE. SUBSCRIBER IS MEDI-CAL ACCESS PROGRAM ELIGIBLE WITH FULL SCOPE HEALTH AND DENTAL BENEFITS AND NO SHARE OF COST/SPEND DOWN. MEDI-CAL SUBSCRIBER HAS A \$04707 SOC/SPEND DOWN. HEALTH PLAN MEMBER: PHP-L.A. CARE HLTH PLAN: MEDICAL CALL (888)839-9909. HCP: LA CARE HLTH PLAN CALL: (888) 839-9909. PCP: DHS- MID VALLEY COMPREHE CALL: (818)627-3000. REMAINING SOC/SPEND DOWN \$ 4707.00.		

Answer: In most cases, patients should not have Medi-Cal Managed Care with a SOC. However, there are special programs, such as Special Aid Code: OE that allows for pregnant women to have Medi-Cal Managed Care during their pregnancy. Refer to the [Medi-Cal Access Program \(MCAP\)](#) Staff should verify the managed care assignment through the health plan portal. If confirmed, then the patient should be considered a managed care patient for the purposes of insurance coding and access to services. The Medi-Cal Managed Care insurance code should be primary and 405 in secondary with the SOC documented under the deductible field. If the patient is assigned to DHS, proceed to clear. If the patient is not assigned to DHS, proceed to request authorization or redirect the patient back in-network.

▶ **FAQ:** Staff find that a patient has **Medi-Cal managed care** through LA Care/Health Net, **no PCP assigned**. What should staff do?

Answer: In the scenario of a patient that has a managed care plan with no PCP assigned, do not code these patients as 405. Contact the health plan to request that the patient be assigned to DHS and code the patient as DHS managed care. If the patient is a LTC patient, these should not be assigned a PCP in DHS and should be coded as non-DHS managed care. Patients with LTC are assigned under an iPPG (institutional PPG) and this information can be found on the health plan portal. For these scenarios, we need to request authorization.

▶ **FAQ:** Staff find a **discrepancy** where patient has Medi-Cal managed care non-DHS on the 270/271, but the Health Plan eligibility portal indicates that the patient is currently active and assigned to DHS. What should staff do?

Answer: For managed care assignments, the health plan portals have the most current information and should be used as the source of truth. [Refer to Appendix III-Insurance Codes & Financial Clearance Guidelines for LA County Residents](#) for appropriate Managed Care ICs.

▶ **FAQ:** Staff verify that a patient has **Medi-Cal managed care, assigned to a DHS** provider. However the patient states they have moved to an **out of LA County** address (such as Orange County) or **the Medi-Cal website (AEVS) / 271 response shows active in another county**. What should staff do?

Answer: *If the Health Plan website shows that the patient is assigned to DHS, proceed to financial clear the patient for current month visits.*

If the patient intends to reside in another county, staff should inform the patient to contact their LA County DPSS worker to have their Medi-Cal transferred to the new county of residence. The patient may also contact their current health plan (LA Care or HN) to dis-enroll. If the patient needs to be scheduled for a future month, recommend to the patient that they transition their care to the county in which they are currently living. However, patient may continue to be scheduled and seen within DHS until their Medi-Cal case can be transferred. As long as the patient has active coverage in LA County and is verified by the health plan, patient can continue to be seen. Update the patient address to reflect their current out-of-county residence. Do not add the 501 insurance code.

Reference: [See Non-DHS Medi-Cal workflow](#)
[Office of Patient Access NON-DHS \(OUTPATIENT\) PROCEDURES DOCUMENT](#)
[MCS - Continuity of Care Request for Non-DHS Patients](#)
[DHS Policy 586 Fast Track](#)
Financial Practice [520.14.1](#) and [516.01](#)
[DHS Guidelines for Managed Care or Commercial Insurance Patients, Nov. 2014](#)
DHCS [APL 13-023](#) Continuity of Care for Medi-Cal Beneficiaries Who Transition from Fee-for-Service Medi-Cal into Medi-Cal Managed Care

III. Medi-Cal Fee-for-Service

1. Does the patient have full-scope Fee-for-Service (FFS) Medi-Cal?

- ✓ This covers services a patient might receive at a DHS hospital or an ambulatory care clinic.
- ✓ If the patient has a Medi-Cal aid code that is not mandatory managed care, code the visit as 405 – Medi-Cal and financially clear using the Verify Status of “Verified.” The exception is patients who are out-of-county, please see section **Out of County**.
- ✓ If the patient has a mandatory managed care aid code without an assigned health plan, code the visit as 405 – Medi-Cal. However, Patient Access staff should immediately evaluate whether the patient can be assigned to DHS for on-going care in order to avoid a default assignment or will need Continuity of Care to minimize disruption in the patient’s care. See [Mandatory Managed Care Aid Code](#) workflow. See example below:

Coverage for Month of: March - still Fee-for-Service

Primary Aid Code: M1	First Special Aid Code:
Second Special Aid Code:	Third Special Aid Code:
Subscriber County: 19 - Los Angeles	HIC Number:
Trace Number (Eligibility Verification Confirmation (EVC) Number):	
Eligibility Message: SUBSCRIBER LAST NAME: [REDACTED] CNTY CODE: 19. PRMY AID CODE: M1. MEDI-CAL ELIGIBLE W/ NO SOC/SPEND DOWN.	

Coverage for Month of: April – now showing as managed care assigned

Service Date: 04/05/2017	Subscriber Birth Date: 04/14/1955	Issue Date: 01/30/2017
Primary Aid Code: M1	First Special Aid Code:	
Second Special Aid Code:	Third Special Aid Code:	
Subscriber County: 19 - Los Angeles	HIC Number:	
Trace Number (Eligibility Verification Confirmation (EVC) Number):		
Eligibility Message: SUBSCRIBER LAST NAME: [REDACTED] CNTY CODE: 19. PRMY AID CODE: M1. MEDI-CAL ELIGIBLE W/ NO SOC/SPEND DOWN. HEALTH PLAN MEMBER: PHP-HLTH NET: MEDICAL CALL (800)675-6110. HCP: SOUTHLAND SAN GABRIEL VALLEY MED GRP CALL: (562) 446-2000. PCP: TAN NGUYEN CALL: (626)450-0777.		

▶ **FAQ:** Staff verify that the patient has **Fee-for-Service Medi-Cal**. Can the patient be seen in **primary care without being empaneled**?

Answer: Patients should generally not be seen in primary care if they are not empaneled. However, Patient Access staff may schedule and empanel Medi-Cal FFS patients when appropriate, for example there are providers that are open to new patients. Refer to [PCMH P&P](#) and the [Requesting Primary Care Workflow](#)

▶ **FAQ:** Staff identify a discrepancy between the Medi-Cal responses that indicates **Fee-for-Service Medi-Cal** but the Health Plan portal says the patient is currently active and **assigned to a non-DHS provider**. What should staff do?

Answer: Verify the assignment with the Health Plan. If Health Plan confirms non-DHS assignment, proceed as if the patient is non-DHS following the [Office of Patient Access - NON-DHS \(OUTPATIENT\) PROCEDURES DOCUMENT](#).

IV. Medi-Cal Hospital Presumptive Eligibility (HPE)

1. Does the patient have Hospital Presumptive Eligibility (HPE)?

- ✓ HPE provides **immediate, temporary, full-scope, no-cost, Medi-Cal** benefits for up to two months or until their Medi-Cal application is processed and/or approved for eligible individuals who apply at a DHS hospital or facility. It covers all services covered by Medi-Cal.
- ✓ Who is eligible for HPE? People who are potentially eligible for Medi-Cal may be eligible for Hospital Presumptive Eligibility (HPE):
 - California residents (see section III.A above for more information);
 - Children age 0-18 with household income at or below 266% of the FPL;
 - Adults age 19-64 with household income at or below 138% FPL;
 - Adults age 19-26 who were in foster care on their 18th birthday.
 - Patient with a primary insurance codes listed below and no other resources, should be screened for HPE:

• 320 – Mental Health	• 384 – Other County Department
• 350 – Ability to Pay (ATP)	• 407, 423 – Medi-Cal pending
• 352 – General Relief	• 476 – Mandated Programs/Public Health
• 373 – Assault & Abuse Evidence	• 480 – Family Planning
	• 508 – Veterans Affairs
- ✓ Who do we not initiate an HPE application for?
 - Patients who already have Medi-Cal, Medicare or private insurance.
- ✓ HPE starts the day the HPE application is approved, and ends the last day of the following month, or until the full Medi-Cal application is dispositioned.
- ✓ HPE uses a real-time online application based on the patient's self-attestation of household income, household size and state residency. That means that patients do not have to provide any verification in order to apply for HPE.
- ✓ In most cases, hospital staff can only take one HPE application for each patient in a 12-month period. Exceptions:
 - An HPE can be taken for every pregnancy, so a woman may have 2 HPEs within a 12-month period
 - An HPE can be taken twice for a minor (18 and under).
- ✓ Once the HPE application is completed and approved, refer the patient to PFS to take a full Medi-Cal application. Make every effort to take the Medi-Cal application on the same day as HPE application. If the Medi-Cal application is taken during the two (2) months of HPE coverage, then HPE extends until Medi-Cal is approved.
- ✓ Scan a copy of the HPE enrollment with BIC into ORCHID under Insurance Card.
- ✓ Code the visit as 402 Hospital Presumptive Eligibility and financially clear using the Verify Status of "Verified."¹⁴ The exception is patients who are out-of-county, please see section **Out of County**.

¹⁴ Note: there may be a brief gap between when an HPE has been approved and when a 271 response will show active coverage. In this case, eligibility verification can be based on a successful state Medi-Cal website HPE Eligibility Response with BIC ID. The Verify Source in this case should be "website" and the printout with BIC ID should be scanned into ORCHID under Insurance ID Card.

- ✓ Patients with active HPE coverage should not be turned away for services if they have not applied for Medi-Cal. Staff should inform patients that in order for services to be covered and not receive a bill, they need to apply for Medi-Cal or another No-Cost / Low-Cost program.
- ✓ If patient indicates that they have applied for Hospital Presumptive Eligibility at another hospital, verify that the HPE is active and do not take another HPE application.

▶ **FAQ:** If patient provides information that **indicates they are eligible for HPE but is later determined that they are not**, are the services they received covered despite their ineligibility?

Answer: *If in the full Medi-Cal application process, the County determines that the patient is not eligible, for example because the patient is over income, then the HPE will be terminated at the same time the Medi-Cal application is denied. However, the HPE is still valid for the time period between when it was first taken and when the Medi-Cal application was denied.*

(For a full list of HPE Q&A, see [PFS Memo 22-15](#).)

▶ **FAQ:** If a patient is seen after the end of the two-month HPE period and the Medi-Cal application is still pending, what should staff do?

Answer: *If the patient no longer has active HPE, then remove the insurance code 402 and leave only the pending Medi-Cal insurance code. Pending Medi-Cal should be financially cleared as Verified. Note: if the patient did not apply for Medi-Cal, once the HPE has expired, remove the 402 and leave the account coded as a Self-Pay. Patient should be advised to see Patient Financial Services to be financially screened for coverage options but may be financially cleared as a self-pay patient once they are advised to apply.*

▶ **FAQ:** Staff verify that the patient has active **HPE** but the date for their upcoming scheduled visit is **beyond the two-month HPE period**. Will the patient be financially cleared? What should staff do?

Answer: *The upcoming visit that is beyond the HPE period should be coded as self-pay. Staff should ask the patient if they've applied for Medi-Cal. If so, add the pending Medi-Cal code. If not, the patient should be coded as self-pay and advise the patient to apply for Medi-Cal. Patient should also be advised that if they do not apply, they may receive a bill for the cost of care. Indicate in New Person Comments (PMOffice) and Scheduling Comments for the check-in staff to know that the patient has been advised to apply for Medi-Cal and to refer the patient to PFS to apply for coverage. Refer to the [Outpatient Coverage Verification Workflow](#).*

▶ **FAQ:** The patient gives birth in a DHS facility, at the point of the inpatient admission, neither the mom nor the baby have coverage. Should staff enroll the patient (mom) and the baby into HPE?

Answer: *No. Patient Financial Services staff should assist the patient (mom) in applying for Medi-Cal and the encounter should be coded as pending Medi-Cal IC 407. If the patient (mom) declines to apply for coverage, screen the patient for other eligible coverage programs. Refer to the [Newborn Coverage Matrix](#).*

▶ **FAQ:** Staff verify that the patient has active **HPE**. They have no history of being seen within DHS and **request primary care services**. Can the patient be seen for primary care services?

Answer: *The patient may be empaneled and then seen for primary care services, if the patient meets the criteria as described in the [PCMH P&P](#), [Requesting Primary Care Workflow](#) and the [NERF Process](#) workflows.*

Reference: [PFS Memo 35-14](#) [PFS Memo 22-15](#)

V. Medi-Cal Share of Cost

1. Does the patient have Medi-Cal with a Share of Cost¹⁵?

- ✓ A patient's Share of Cost (SOC) is like a monthly deductible. Medi-Cal does not pay claims until the SOC is satisfied. This means the patient will receive a bill for the full amount of charges, up to their SOC amount.
- ✓ The patient may be scheduled for inpatient or outpatient services.
- ✓ If full scope with no health plan indicated, these should be coded as 405 – Medi-Cal. Financially clear using the Verify Status of “Verified”.
- ✓ If available, the Share of Cost should be noted in ORCHID under Benefit Information, Deductible Amount.
- ✓ Patients with Medi-Cal SOC are *not eligible* for the pre-payment plan because they have Medi-Cal.¹⁶ It may be financially beneficial for the patient to apply for Covered CA, although it means that in most cases we would no longer see the patient in our network.

Benefit Information

Assignment of Benefits	Release of Information	Deductible Amount
Yes	Yes	\$0.00
LTR Daily Deductible		

► **FAQ:** The eligibility response shows a **managed care aid code, health plan and assigned PCP** and also shows **“FAMILY SOC”**. What does this mean?

Eligibility Details: Other Source of Data
CITY CODE: 19. 2ND SPECIAL AID CODE: T1

Eligibility Details: Active Coverage
Service Type: Health Benefit Plan Coverage
Insurance Type: Medicaid

Eligibility Details: Managed Care Coordinator
Service Type: Medical Care

PHP-L.A. CARE HLTH PLAN
Contact Information:
Telephone: (888) 839-9909

Eligibility Details: Other or Additional Payer
Service Type: Medical Care

ANTHEM BLUE CROSS
Contact Information:
Telephone: (888) 265-7801

Eligibility Details: Primary Care Provider

ALTAMED
Contact Information:
Telephone: (888) 400-0903

Eligibility Details: Other Source of Data
SUBSCRIBER CAN ALSO CHOOSE TO APPLY MEDICAL EXPENSES TOWARDS FAMILY SOC/SPEND NOW

¹⁵ Note: Only patients in the Aged, Blind and Disabled Medi-Cal program (*i.e.*, seniors and people with disabilities) should have a Share of Cost. Children and most adults should be in MAGI Medi-Cal programs, which do not have a Share of Cost. These patients should contact their eligibility worker at DPSS.

¹⁶ Technically, if the patient is an LA County resident and no longer has Medi-Cal, then they would be eligible for the pre-payment option.

Answer: The patient has managed care without a share of cost, the encounter should be coded as Medi-Cal managed care insurance code. In this scenario, patient is assigned to LA Care – Anthem Blue Cross which is IC 656. The response is indicating someone else in the household, who also has Medi-Cal is ineligible for income based (MAGI) Medi-Cal because their income is over 138% FPL. Therefore, the eligibility response reflects that the patient has a Family SOC. This might happen when the child is eligible based on a higher family income (e.g. under aid code T1 the family income is between 160 and 266% FPL) and the parents in this situation are only eligible for Medi-Cal because of the “linkage” with their child. If parents get services, they should be coded 405 with the SOC noted in the deductible and told they would get a bill until the monthly share of cost amount is met.

This is similar to the example above, but in this case the patient is restricted Medi-Cal with a Family Share of Cost and should be coded 406.

Primary Aid Code: M2	First Special Aid Code: M0
Second Special Aid Code:	Third Special Aid Code:
Subscriber County: 19 - Los Angeles	HIC Number:
Spend Down Amount Obligation:	Remaining Spend Down Amount: \$1,565.00
Trace Number (Eligibility Verification Confirmation (EVC) Number):	
Eligibility Message: SUBSCRIBER LAST NAME: [REDACTED] CNTY CODE: 19. PRMY AID CODE: M2. 1ST SPECIAL AID CODE: M0. ELIGIBLE W/ SVCS LIMITED TO LTC, PREGNANCY AND EMERGENCIES. IF PREGNANT OR POSTPARTUM, USE PREGNANCY DIAGNOSIS CODE(S) FOR ANY MEDICALLY NECESSARY SERVICES DURING PREGNANCY AND POSTPARTUM PERIOD ON ALL CLAIMS. MEDI-CAL ELIGIBLE FOR PREGNANCY/POST PARTUM RELATED MEDICAL SVCS W/ NO SOC/SPEND DOWN. IF PREGNANT OR POSTPARTUM, USE PREGNANCY DIAGNOSIS CODE(S) FOR ANY MEDICALLY NECESSARY SERVICES DURING PREGNANCY AND POSTPARTUM PERIOD ON ALL CLAIMS. SUBSCRIBER CAN ALSO CHOOSE TO APPLY MEDICAL EXPENSES TOWARDS FAMILY SOC/SPEND DOWN. REMAINING SOC/SPEND DOWN \$ 1565.00.	

▶ **FAQ:** The patient used to have Medi-Cal managed care (e.g. aid code M1) but now the eligibility response shows “POTENTIAL” Health Plan Member, a SOC amount and no aid code. What does this mean?

Subscriber County: - unknown	HIC Number:
Spend Down Amount Obligation: \$1,310.00	Remaining Spend Down Amount: \$1,310.00
Trace Number (Eligibility Verification Confirmation (EVC) Number):	
Eligibility Message: SUBSCRIBER LAST NAME: [REDACTED] MEDI-CAL SUBSCRIBER HAS A \$01310 SOC/SPEND DOWN. POTENTIAL HEALTH PLAN MEMBER: PHP-HLTH NET: MEDICAL CALL (800)675-6110. HCP: CALL (800) 675-6110 FOR HCP INFORMATION. PCP: CALL THE HCP FOR PCP INFO. REMAINING SOC/SPEND DOWN \$ 1310.00.	

Answer: This means the patient has not met their SOC/deductible/obligation. Staff should check the health plan portal to see the patient assigned provider/network. If the health plan portal shows an assigned provider, code the patient as managed care and proceed to follow access guidelines for managed care patients. If patient does not have assigned provider/network health plan portal, then proceed to code it as IC 405 and document that SOC in the deductible field. Patient should be informed of their SOC obligation prior to scheduling and should be advised they will receive a bill for their unmet SOC/deductible/obligation.

▶ FAQ: The following response is provided when conducting coverage verification for the patient. What does this mean?

Primary Aid Code:	First Special Aid Code:
Second Special Aid Code:	Third Special Aid Code:
Subscriber County: Recipient County: 19 - Los Angeles	HIC Number:
Primary Care Physician Phone #:	Service Type:
Spend Down Amount Obligation:	Remaining Spend Down Amount: \$939.00
Trace Number (Eligibility Verification Confirmation (EVC) Number):	
Eligibility Message: NTY CODE: 19. SUBSCRIBER INELIGIBLE. SUBSCRIBER CAN APPLY MEDICAL EXPENSES TOWARDS FAMILY SOC. REMAINING SOC/SPEND DOWN \$ 939.00.	

Answer: This means that a family member in the patient's household was evaluated for Medi-Cal under different rules and was determined to be eligible for Medi-Cal with a SOC. The patient can apply medical expenses towards the family member's SOC. This patient does not have coverage and should be coded self-pay 000. Patient should be referred to Patient Financial Services to be financially screened for eligible programs.

VI. Restricted Medi-Cal

1. Does the patient have Restricted Medi-Cal?

- ✓ Restricted Medi-Cal (also sometimes called Limited Scope) only covers emergency services, pregnancy services¹⁷, renal dialysis and long-term care services. ¹⁸
- ✓ Patients with Restricted Medi-Cal should be coded 406 – Medi-Cal Restrict Benefits, regardless of whether the service provided is covered by Restricted Medi-Cal.¹⁹ This is because they automatically receive ATP for non-covered services. A secondary insurance code of 350 is not needed. Financially clear on IC 406 using the Verify Status of “Verified.”
- ✓ The two exceptions are:
 - Patients with Restricted Medi-Cal with a share of cost who live in LA County do not qualify for auto-ATP. Patients must apply for ATP for services not covered by Restricted Medi-Cal and would be coded – ATP as secondary; Staff should document the SOC in the deductible field under the IC 406 and code the liability amount in the deductible field under the IC 351 (if applicable). Patient should be informed that they will be billed the SOC amount for covered services and the liability amount for non-covered services.
 - Patients with Restricted Medi-Cal who do not live in LA County do not qualify for ATP. These patients should generally not be seen for non-emergency services, non-pregnancy related services. In the rare instance where they are seen for outpatient services not covered by Restricted Medi-Cal, they require a payment plan per the Out-of-County policy. [See Out-of-County \(execute a payment plan\)](#)

▶ **FAQ:** Staff verify that the patient has **Restricted Medi-Cal and a secondary pregnancy Medi-Cal aid code**. Does the patient have full-scope benefits?

Primary Aid Code: M4	First Special Aid Code:
Second Special Aid Code:	Third Special Aid Code: 0E
Subscriber County: 19 - Los Angeles	Medicare ID:
Trace Number (Eligibility Verification Confirmation (EVC) Number): <input type="text"/>	
Eligibility Message: SUBSCRIBER LAST NAME: <input type="text"/> EVC #: <input type="text"/> CNTY CODE: 19. PRMY AID CODE: M4. 3RD SPECIAL AID CODE: 0E. SUBSCRIBER IS MEDI-CAL ACCESS PROGRAM ELIGIBLE WITH FULL SCOPE HEALTH AND DENTAL BENEFITS AND NO SHARE OF COST/SPEND DOWN. HEALTH PLAN MEMBER: PHP-HLTH NET: MEDICAL CALL (800)675-6110. HCP: CALL (800) 675-6110 FOR HCP INFORMATION. PCP: DHS - MARTIN L. KING JR CALL: (424)338-1470.	

¹⁷ Pregnancy Medi-Cal (aid code P4) covers medically necessary prenatal care, and all services that are medically necessary for the unborn child and/or pregnant mother if the condition, left untreated, would affect the pregnancy. Please note: pregnant women with household income at or below 138% FPL are entitled to full-scope Medi-Cal. Pregnant women with income between 139% and 213% FPL receive pregnancy Medi-Cal. (PFS 45-15). Women who have pregnancy PE will need to bring a copy of the pre-printed BIC card that the qualified providers give them when they enroll them into this program. The copy of the Pre-printed BIC card is needed in order to get the 14 digit Medi-Cal ID that is needed to bill. Pregnancy PE does not show up in MEDS.

¹⁸ Urgent care services are not covered under Restricted Medi-Cal. Urgent care services are categorized and are billed as outpatient services. Restricted Medi-Cal patients may receive family planning services.

¹⁹ Rancho will continue to use IC 403 for non-covered services. However, for all other facilities, except for Rancho, any encounter with 403 should be updated to 406. Code 403 is only used by billing staff on the backend.

Answer: When patients are pregnant with Restricted Medi-Cal all services are covered during pregnancy but this does not mean the patient has full-scope Medi-Cal. The encounters should be coded 406.

▶ FAQ: Staff verify that the patient has **Restricted Medi-Cal and MHLA**. The patient is currently coded 406/350/000. What should staff do?

Answer: Staff should proceed to code the visit with the 406 insurance code but the 350 insurance code does not need to be added and can be removed. The 350 insurance code should not be used as an indicator code for MHLA. Staff should also add the MHLA Provider information into the Group Name field under the Primary Insurance in PMOffice to ensure that the information is available in the Patient Visit Summary/Discharge documentation.

The screenshot shows the 'Insurance Primary' tab in the PMOffice system. The 'Insurance Name' field is set to 'MEDI-CAL RESTRICTED...'. The 'Insured Card Name Last' and 'Insured Card Name First' fields are both set to 'TEST'. The 'Group Name' field is set to 'MHLA ST. JOHN'S - PH#'. The 'Begin Effective Date' is set to '07/31/2019'. The 'HIC/CIN/MBI/Policy Number' field is set to '99999999A'. The 'Country' is set to 'US'. The 'Street Address 2' field is empty. The 'Contact' field is empty. The 'Home Phone Number', 'Alternate Phone Number', and 'Extension' fields are empty. The 'Employment Status' is set to 'Not Employed'. The 'Subscriber Employer Info' field is empty. The 'Plan Information' section is expanded, showing a 'Search for Insurance...' button. The 'Insurance Financial Class' and 'Insurance Type' are both set to 'Medi-Cal 02'.

Reference: [PFS 04-14](#) [PFS 25-14](#) [PFS 32-14](#)

VII. Medi-Cal & Other Health Coverage (OHC)

1. Does the patient have Medi-Cal and Other Health Coverage (OHC)?

- ✓ Other Health Coverage (“OHC”) is any non-Medi-Cal, private insurance plan or policy that provides or pays for health care services. (See [Medi-Cal - Other Health Coverage Codes Chart](#)²¹). On a Medi-Cal 271 response it shows up here:

Eligibility Details: Other or Additional Payer
Service Type: Medical Care
CODE _____

Eligibility Details: Other Source of Data
CNTY CODE: 19. PRIMARY AID CODE: _____

Eligibility Details: Coverage Basis
Plan Coverage Description: _____
CARRIER NAME: _____

Eligibility Message:
SUBSCRIBER LAST NAME: _____, CNTY CODE: 19. PRMY AID CODE: P7. MEDI-
CAL ELIGIBLE W/ NO SOC/SPEND DOWN. HEALTH PLAN MEMBER: PHP-L.A. CARE HLTH PLAN:
MEDICAL CALL (888)839-9909. HCP: ANTHEM BLUE CROSS CALL: (888) 285-7801. PCP: WESLEY
HEALTH CENTERS CALL: (562)867-7999. OTHER HEALTH INSURANCE COV UNDER CODE P -
PPH/PHH/MO/EPO ONLY COMPREHENSIVE. CARRIER NAME: ANTHEM BLUE CROSS. ID: _____
COV: OIM P.

- ✓ Private Insurance should *usually* be the primary payer, regardless of what other types of coverage patient might have. Do not financially clear the patient for non-emergency services without authorization from the private insurance.²²

EXAMPLE: Patient has private insurance through Blue Cross Commercial (504) and Fee-for-Service Medi-Cal (405). The primary insurance is 504-Blue Cross Commercial and the secondary insurance is 405-Medi-Cal.²³

- **EXCEPTION:** If the patient has Medi-Cal managed care assigned to DHS or IHSS assigned to DHS, then the Medi-Cal managed care or IHSS is primary and the private insurance is secondary and the patient can be seen in DHS for non-emergency services without authorization. However, for any inpatient admission, attempt to get authorization from the private insurance company, if the authorization is denied by the private insurance, proceed to see/admit the patient. The DHS insurance code should remain in primary position. The patient can also be transferred to a facility in-network, under the private insurance.
- ✓ What is *not* OHC?
 - Medi-Cal managed care
 - Medicare fee-for-service
 - Automobile insurance
 - Life insurance

▶ **FAQ:** What should staff do if the patient has Medi-Cal but the response also shows private insurance? What if the patient reports that they have **disenrolled from the private/commercial insurance**?

²¹ https://files.medi-cal.ca.gov/pubsdoco/publications/masters-mtp/part1/otherguide_z01.doc OHC Guidelines for Billing

²² IF NO LOA if no contract exists

²³ Please note: If the OHC that is primary denies the claim or takes no action on the claim for 90 days, the claim can be billed to Medi-Cal. If an insurance denies an uncovered benefit, Medi-Cal will pay. If an insurance denies a non-medically necessary service/procedure, Medi-Cal will not pay. For audit purposes, an EOB reflecting that the OHC has denied the claim is needed or we will be subject to refunding the monies collected by Medi-Cal. See California Code of Regulations, Title 22 § 50769(b) (“The Department’s fiscal intermediary shall, as directed by the Department, deny provider claims submitted for beneficiaries who have other health care coverage unless the claim is accomplished by a notice of denial of non-coverage of service[.] . . . A provider of service may submit a copy of the original notice of denial or explanation of benefits letter from the other health care coverage.”).

Answer: Attempt to verify by calling the insurance company and running a 270/271 using the other insurance code and policy number when the patient has the Other Health Coverage appearing on the eligibility response. If you confirm that the patient does not have private insurance or you do not have enough information to verify the private health coverage, remove the code for private insurance and make Medi-Cal primary. Scan termination letter, add notes to the New Patient Comments field, and/or run a 270/271 once OHC has been removed when available. Inform the patient that they can request removal of the OHC on the following Department of Health Care Services' website:
http://www.dhcs.ca.gov/services/Pages/TPLRD_OCU_cont.aspx or calling 1-800-541-5555. This will temporarily remove the OHC within a few days. To remove the OHC permanently, the patient should follow-up and provide their termination letter to their DPSS Medi-Cal case worker.

▶ FAQ: If a patient has **Medi-Cal and private insurance**, does Medi-Cal cover the **costs and co-pays from the private insurance**?

Answer: Yes. However, Medi-Cal will only pay up to the “maximum allowance”, which means the amount Medi-Cal would have paid if they were the primary payer. In those cases where we have already received the Medi-Cal maximum amount from the private insurance, Medi-Cal will pay \$0 and the balance is adjusted off by CBO. This is more of a back-end Billing process not a Patient Access process.

Reference: [PFS Memo 12-18](#) [PFS Memo 33-16](#) [PFS Memo 36-16](#)

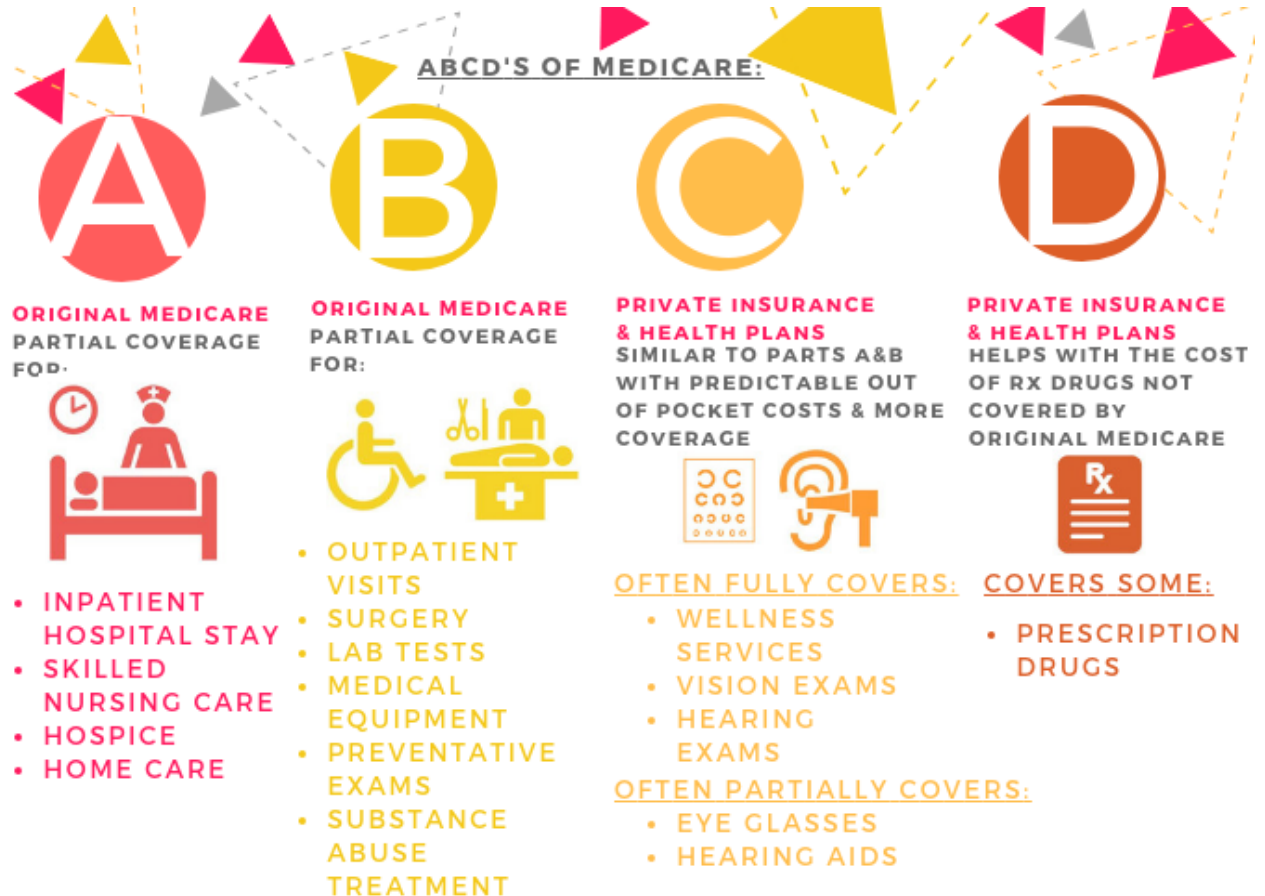
Medicare

Fee-for-Service ◀
HMO ◀
CalMediConnect ◀

- ✓ Medicare is available for people age 65 or older, younger people with disabilities and people with End Stage Renal Disease (permanent kidney failure requiring dialysis or transplant). Patients are eligible for premium-free Part A if you are age 65 or older and you or your spouse worked and paid Medicare taxes for at least 10 years.
- ✓ Since January 1, 2006, everyone with Medicare, regardless of income, health status, or prescription drug usage has had access to prescription drug coverage. Medicare prescription drug coverage is an optional benefit.
- ✓ Patients who are under 65 and are disabled will automatically get Part A and Part B after they receive disability benefits from Social Security or certain disability benefits from the Railroad Retirement Benefits (RRB) for 24 months.
- ✓ Check the patient's Medicare card. A new Medicare Beneficiary Identifier (MBI) has been replaced with the SSN-based Health Insurance Claim Number (HIC). Please update the patient record with the new number.
- ✓ When running a 270/271 verification for Medi-Cal coverage, you will need the following information:
 - Name, as it appears on Medicare card including the MBI number
 - Social Security Number on Self-Pay or MBI number, required for Medicare ICs
 - Date of birth
- ✓ **Coding for Medicare depends on what Parts of Medicare the patient has and what service the patient is being seen for.** Many patients who come to DHS facilities have both Medi-Cal and Medicare and are often referred to as “duals” or “Medi-Medi’s”. If the patient has Medi-Cal in addition to Medicare Part A & B, Medicare is generally primary. ([See Medicare Coverage Scenarios](#), for additional information).

- ✓ Note: The response from Medi-Cal on a Self-Pay insurance code (000 or 469) is only an indication of Medicare not proof of Medicare. You must always run a 270 on the Medicare insurance code for accurate proof of Medicare or check other Medicare sources, such as Availity or Endeavor.
- ✓ Patients who are non-US citizens are able to have Medicare coverage if you qualify to receive or currently receive Social Security retirement benefits, Railroad Retirement Benefits (RRB), or Social Security Disability Insurance (SSDI). Patients qualify for premium-free Part A and will be responsible for a premium for Part B.

I. ABCD's of Medicare



▶ **FAQ:** What part of Medicare covers Emergency Services?

Answer: Medicare Part B covers all outpatient services including Emergency services. If a patient does not have Medicare Part B coverage, patient is treated as an uninsured Medicare patient and is ineligible for HPE. Patient should be screened for Medi-Cal. Refer to the [Outpatient Coverage Verification Workflow](#) for coding instructions. Refer to the [Medicare Fee-for-Service Scenarios](#) for documentation instructions in ORCHID.

II. Medicare Enrollment

▶ **FAQ:** When can patients sign up for Medicare?

Answer: There are 3 times you can sign up for Medicare:

- **Initial Enrollment Period**—if you're eligible for Medicare when you turn 65, you can sign up during your Initial Enrollment Period. This is a 7-month period that begins 3 months before the month you turn 65, includes the month you turn 65, and ends 3 months after the month you turn 65.
- **You can sign up for free Medicare Part A** (Hospital Insurance) (if you're eligible) any time after your Initial Enrollment Period starts. Your Part A coverage will start 6 months from the date you apply for Medicare (or Social Security/RRB benefits).

3 months before the month you turn 65	2 months before the month you turn 65	1 month before the month you turn 65	The month you turn 65	1 month after you turn 65	2 months after you turn 65	3 months after you turn 65
Sign up early to avoid a delay in coverage. To get Part A (if you have to buy it) and/or Part B the month you turn 65, you must sign up during the first 3 months before the month you turn 65.			If you wait until the last 4 months of your Initial Enrollment Period to sign up for Part A (if you have to buy it) and/or Part B, your coverage will be delayed. See the chart on the next page.			

▶ **FAQ:** Do patients have to pay a premium for Medicare coverage?

Answer: Some people are required to pay a premium for:

- **Medicare Part A** because they do not have enough Social Security Credits. Most people do not pay a premium for Medicare Part A because they or their spouse earned enough credits by working 40 quarters or more (approx. 10 years of working full-time, four quarters per year). People who worked 30-39 quarters may buy Part A coverage and pay a monthly premium of \$240 in 2019. People who worked fewer than 30 quarters may also buy Part A coverage and pay a higher monthly premium.
- **Medicare Part B** standard premium amount is \$135.50 (or higher depending on your income). However, some people who get Social Security benefits will pay less than this amount (\$130 on average). Patients do not have to purchase Medicare Part B, however, patients should be referred to PFS to obtain coverage if they do not have coverage for outpatient services. For partial coverage scenarios for Medicare Fee-for-Service patients, refer to the [Medicare Fee-for-Service Scenarios](#).

The State has a Medicare Savings Program (MSPS) to help low-income Medicare Beneficiaries with the payment of the premiums. See the [Qualified Medicare Beneficiary \(QMB\)](#) section below.

▶ **FAQ: Can patients get Part B if they don't have Part A?**

Answer: *Patients are eligible for free Part A, and can buy Part B without having to buy Part A, if they are:*

- 65 or older
- A resident of the U.S., and one of these: —a U.S. citizen —an immigrant lawfully admitted for permanent residence who has lived in the U.S. without a break for the 5-year period immediately before the month you file for enrollment in Part B.

▶ **FAQ: Are patients automatically enrolled in Part D (prescription coverage) coverage? Which Part D carriers are contracted with DHS?**

Answer: *Part D coverage is administered by private insurance companies. Patients with “Original Medicare” (Part A and B) have a stand-alone Medicare Part D plan. Patients with Medicare Advantage (Part C - HMO) may have their prescription benefits included in their Medicare Advantage plan or as a stand-alone Part D carrier. DHS is contracted with Silverscript, Humana, United Health Inc., Envision, Symphonix and Aetna. Refer to the [Medi-Cal - Other Health Coverage Codes Chart](#) to identify the appropriate carrier and coverage.*

▶ **FAQ: What is Supplemental Coverage?**

Answer: *Medicare Supplement Insurance (Medigap) policy helps pay some of the health care costs that Original Medicare doesn't cover, like:*

- Copayments
- Coinsurance
- Deductibles

Medigap policies generally don't cover long-term care, vision or dental care, hearing aids, eyeglasses, or private-duty nursing.

Some patients may have a Medicare supplemental plan, also known as Medigap.²⁴ A Medigap policy is different from a Medicare Advantage Plan, also known as, Medicare HMO. Medicare Advantage Plans are ways to get Medicare benefits, while a Medigap policy only supplements Original Medicare benefits. Patients must have Medicare [Part A and Part B](#). Staff should check for Medigap coverage if patient does not have Medi-Cal.

²⁴ What's Medicare Supplement Insurance (Medigap)?

A Medicare Supplement Insurance (Medigap) policy, sold by private companies, can help pay some of the health care costs that Original Medicare doesn't cover, like copayments, coinsurance, and deductibles. Some Medigap policies also offer coverage for services that Original Medicare doesn't cover, like medical care when you travel outside the U.S. If you have Original Medicare and you buy a Medigap policy, Medicare will pay its share of the Medicare-approved amount for covered health care costs. Then your Medigap policy pays its share. <https://www.medicare.gov/supplement-other-insurance/medigap/whats-medigap.html>

III. Types of Medicare

Type of Medicare ²⁵	Definition	Do we see this patient
Medicare FFS (301)	Patient has Medicare coverage providing full-scope, comprehensive services. Patient can receive services from any Medicare provider. Patient may have a deductible / co-pay. Part D with any carrier. For preferred pharmacy selection check to see if contracted with DHS: Silverscript, Humana, United Health Inc., Envision, Symphonix and Aetna.	Yes, but see table below if patient has additional coverage. Check for empanelment for primary care. OP = must have Part B IP = must have Part A *Also complete MSP. See MSP section.
Medicare FFS + Medi-Cal Managed Care or FFS (301 + Medi-Cal code)	Patient has Medicare and Medi-Cal coverage providing full-scope, comprehensive services from any Medicare and Medi-Cal provider.	Yes, but see table below. Check for empanelment for primary care.
Medicare FFS + Private Insurance (varies)	Patient who has Medicare coverage and a secondary private insurance.	No. Private Insurance is usually primary. If private insurance is secondary to Medicare then patient can be cleared.
Medicare Advantage (HMO/PPO) (545, 544, 543)	Patient has Medicare coverage providing full-scope, comprehensive services through a network of providers under a HMO or PPO (Part C). Patients with a Medicare PPO are similar to Medicare HMO patients who have a network of providers but have the option to see out of network providers at a cost to the patient.	Primary – No. Specialty – check for capacity and obtain authorization from HMO, PPO no auth needed – patient will be billed for their out of network cost ²⁶ Inpatient – needs auth
Medicare HMO + Medi-Cal (Managed Care or Restricted Medi-Cal) (typically 545+ Medi-Cal code)	Patient has Medicare and Medi-Cal coverage with full-scope comprehensive services through a managed care health plan: LA Care, Health Net, Molina, Blue Shield Promise/Care First <u>OR</u> Restricted benefits limited to emergency, pregnancy-related, or long-term care services	Primary – No. ²⁷ Specialty – check for capacity and obtain authorization from HMO Inpatient – needs auth
CalMediConnect (typically 545 + additional Medi-Cal code)	Patient has Medicare and Medi-Cal full-scope, comprehensive services both under an all-in-one Health Plan	Inpatient – needs auth Specialty – check for capacity and obtain auth Inpatient – needs auth
Medicare with supplemental coverage²⁸ (301/531)	Medicare Supplement Insurance (Medigap) policy, sold by private companies, can help pay some of the health care costs that Original Medicare doesn't cover, like co-payments, co-insurance, and deductibles. Patients will usually pay a monthly premium.	Yes. If patient has Medicare FFS
Medicare + Workers Comp²⁹ or Liability Insurance (301/ 511)	Patient has Medicare and Workers Compensation coverage	Depends on if the visit is related to the Workers Compensation claim and Medicare denies coverage for the service requested. See Workers Comp section

²⁵ Refer to Appendix II Insurance Codes & Financial Clearance Guidelines

²⁶ Patients can be advised of their out of network costs. If patients do not have coverage for their out of network services, patients can be referred to PFS to be screened for other programs

²⁷ If patient has Medi-Cal Managed Care assigned to DHS, refer to [Medicare Advantage – Risk HMO](#)

²⁸ Could have Medi-Cal in combination with Medicare. Medi-Cal would come after Medicare and any other private insurance code

²⁹ Could have Medi-Cal in combination with Medicare. Medi-Cal would come after Medicare and any other private insurance code

4. Is the Medicare beneficiary Fee-for-Service (“Original Medicare”)?

- ✓ Medicare Fee-for-Service (Part A & B) should be coded 301 – Medicare and should be financially cleared using the Verify Status of “Verified.”
- ✓ If the patient does not have both Part A & B see [Medicare Coverage Scenarios](#) for further guidance.
- ✓ Patients with a supplemental Medicare plan should be coded as 301 in the primary position and 531 for the private supplemental insurance in the secondary position.

IV. Medicare Fee-for-Service Scenarios

▶ Patient has Medicare Fee-For Service Parts A & B and:

Medi-Cal Coverage	Service Area	Action
Medi-Cal FFS or Medi-Cal MC	Inpatient, ER or Outpatient	Code as 301 – Medicare primary and the appropriate Medi-Cal code secondary. Verify Status = “Verified”. Note: If patient has Medi-Cal Managed Care assigned to a non-DHS provider, Medicare should be coded primary to the Medi-Cal coverage. Patients do not need to change the Medi-Cal nor do they need prior authorization for services.
No Medi-Cal eligibility	Inpatient, ER or Outpatient	Code as 301 – Medicare. Verify Status = “Verified”, but refer patient to PFS to apply for Medi-Cal. If patient is eligible, Medi-Cal will pay Medicare cost-sharing. If patient is not eligible for Medi-Cal due to assets or income, we will bill the patient for the deductible and copay. Patient could be offered ATP with liability for non-covered services. If patient has Medigap/Supplemental Coverage, code as 531 in secondary.
SSDI/RRB	Inpatient, ER or Outpatient	Code as 301- Patients who are under 65 and are disabled will automatically be enrolled into Part A and Part B

▶ Patient has Medicare Fee-For Service Parts A ONLY and:

Medi-Cal Coverage	Service Area	Action
Medi-Cal FFS or Medi-Cal MC DHS	Inpatient, ER or Outpatient	Inpatient admission code as 301 – Medicare Fee for Service primary and the appropriate Medi-Cal code secondary. Verify Status = “Verified”. Refer patient to Social Security Office to obtain Medicare Part B coverage. Outpatient and ER services should have the Medi-Cal coverage in primary position
Medi-Cal MC or Restricted Medi-Cal	Inpatient or ER	This typically should not occur. Refer patient to Social Security Office to obtain Medicare Part B coverage. Code as 301 – Medicare as primary and the appropriate Medi-Cal in the secondary position. Verify Status = “Verified”.
Medi-Cal MC or Restricted Medi-Cal	Outpatient	This typically should not occur. Refer patient to Social Security Office to obtain Medicare Part B coverage. For Restricted Medi-Cal: Direct patient to PFS to apply for ATP or Pre-payment plan. If patient has Restricted Medi-Cal, auto-ATP will cover non-OB or ER outpatient services. If patient has Restricted Medi-Cal with SOC then the patient needs to apply for ATP with liability. For patients with Medi-Cal managed care, Medicare code is primary. Check the Medicare eligibility Verify Status = “Verified” For patients with Medi-Cal MC non-DHS, refer patient to assigned PCP.

▶ (cont.) Patient has Medicare Fee-For Service Parts A ONLY and:

Medi-Cal Coverage	Service Area	Action
Medi-Cal SOC	Inpatient, ER, or Outpatient	Patient should not be offered ATP.
No Medi-Cal coverage	Inpatient or ER	Code as 301- Medicare with “Part A only” documented in Group Name field. Refer patient to PFS to apply for Medi-Cal. Verify Status = “Pending”.
No Medi-Cal coverage	Outpatient	Code as 000. This patient is like a Self-Pay patient. Refer to PFS to apply for Medi-Cal. Verify Status = “Pending”. PFS will update based upon the coverage option identified for the patient. Document in New Person comments patient has Medicare with “Part A only.”
SSDI/RRB	Inpatient, ER or Outpatient	Code 301 - Medicare with “Part A only” documented in Group Name field. If patient is disabled and under the age of 65, patient is automatically enrolled into Part A and Part B. However, the patient can choose to only enroll in Part A and receive covered benefits under Part B if they are covered under their spouse’s HMO. Patient may choose to do this so they are not obligated for the Part B premium. Patient will need to disenroll from Part B (under the HMO).

▶ Patient has Medicare Fee-For Service Parts B ONLY and:

Medi-Cal Coverage	Service Area	Action
Medi-Cal FFS or Medi-Cal MC	Inpatient, ER or Outpatient	Code as 301 – Medicare with “Part B only” documented in Group Name field as primary and the appropriate Medi-Cal in the secondary position. Verify Status = “Verified”. If Medi-Cal is Non-DHS, obtain authorization before admitting.
Restricted Medi-Cal	Inpatient, ER or Outpatient	Code as 301 – Medicare with “Part B only” documented in Group Name field as primary and IC 406 for the Restricted Medi-Cal coverage. Medicare deductibles and copays are not covered under the restricted Medi-Cal.
No Medi-Cal eligibility	Inpatient, ER or Outpatient	Code 301 – Medicare with “Part B only” documented in Group Name field. Refer patient to PFS to apply for Medi-Cal. Verify Status = “Verified”.

Insurance Financial Class Medicare 01	Insurance Type Medicare 01	Insurance Name MEDICARE 301
Country [Dropdown]	Zipcode 581086770	City FARGO
Group Name [Text]	Group Number PART B ONLY	Begin Effective Date 04/04/2016

Next clinical review due:	Not Available
Discharge plan status:	Not Available
Discharge plan due:	Not Available
Working DRG:	Not Available
Subscriber Number :	XXXXX
Member Number :	XXXXX
Group Number :	PART B ONLY
Address:	PO BOX 6770 FARGO ND 581086770
Phone:	8556099960
Effective Dates:	04/04/2016 - NA

Part A & B coverage should be noted in “Group Number” on the insurance tab in the Registration conversations in order to display in the Utilization Review section in PowerChart.

V. Qualified Medicare Beneficiary (QMB)

1. Is the patient a “Qualified Medicare Beneficiary” (QMB)?

- ✓ The Qualified Medicare Beneficiary program is a Medi-Cal program for low-income people with an income at or below 100% FPL that allow them to have their Medicare deductibles/copays covered under Medi-Cal.
- ✓ The State will pay for the Medicare Parts A and B premiums, deductibles, and coinsurance fees.
- ✓ Patients enrolled into the QMB program should have one of the following Aid codes:
 - **80:** Covers cost-sharing expenses (pays for Part A and B premiums) Patient should apply for Medi-Cal if there is no Medi-Cal Aid Code, such as Aid Code 10 to indicate Medi-Cal coverage.
 - **8C:** Patients are likely to have Medicare Parts A and B with a Medi-Cal SOC
 - **8D:** Patients are likely to only have Medicare Part A and should be referred to apply for Part B and evaluated for Medi-Cal. Patient will have a SOC.
 - **8A:** Patient will only have Part A coverage and ineligible for Part B. The QMB program will cover the cost of services not covered by Part A.
- ✓ Patients with QMB should be coded with the Medicare FFS in primary and the appropriate Medi-Cal insurance code in secondary.

▶ **FAQ:** Staff run eligibility for a patient and see that the patient is enrolled in “**COV LIMITED TO MEDICARE COINSURANCE AND DEDUCTIBLES - CA QMB.**” What is this and can the patient be seen?

Answer: The patient has Medicare FFS and is also enrolled in the CA QMB program. Since patients have Medicare FFS, this should be coded in the primary insurance position and can be scheduled and financially cleared.

Provided below is an example of a patient who is enrolled into the QMB program but the eligibility response does not specifically state that the patient is enrolled. The patient has Medi-Cal SOC /Managed Care assigned to a health plan. Confirm that the patient is active with the health plan portal. Patient also has Medicare. Code the visit with Medicare FFS as primary and the Medi-Cal Managed Care as secondary and Medi-Cal FFS in tertiary with the SOC documented in the Deductible field.

Primary Aid Code: 63	First Special Aid Code: 80
Second Special Aid Code:	Third Special Aid Code:
Subscriber County: 19 - Los Angeles	Medicare ID: <input type="text"/>
Primary Care Physician Phone #:	Service Type: R
Spend Down Amount Obligation: \$616.00	Remaining Spend Down Amount:
Trace Number (Eligibility Verification Confirmation (EVC) Number): 574KWPKJJN	
Eligibility Message: SUBSCRIBER LAST NAME: [REDACTED] CNTY CODE: 19. PRMY AID CODE: 63. 1ST SPECIAL AID CODE: 80. MEDI-CAL ELIGIBLE W/ LTC SOC/SPEND DOWN OF \$00616. HEALTH PLAN MEMBER: PHP-L.A. CARE HLTH PLAN: MEDICAL CALL (888)839-9909. HCP: LA CARE HLTH PLAN CALL: (888) 839-9909. PCP: CALL THE HCP FOR PCP INFO. PART A, B AND D MEDICARE COV W/MEDICARE ID #8R97FG3PJ74 . MEDICARE PART A AND B COVERED SVCS MUST BE BILLED TO MEDICARE BEFORE BILLING MEDI-CAL.MEDICARE PART D COVERED DRUGS MUST BE BILLED TO THE PART D CARRIER BEFORE BILLING MEDI-CAL. CARRIER NAME: SILVERSCRIPT INSURANCE CO. COV: R.	

VI. Medicare and Workers Compensation

There are three common scenarios where a patient has **Medicare and Workers Compensation** (reflected in Availity/DDE or 271 response)

- ✓ **Scenario 1: Patient *had* worker's comp but it is no longer an open / active case as appears in Availity (DDE).**
 - Call the worker's comp (adjuster) to verify status. If it's closed, the patient should have a letter that it's closed. Contact the patient, request the letter, and have them call Benefits Coordination & Recovery Center (BCRC) at 1-855-798-2627 (8 AM to 8 PM Eastern Time) to ensure Medicare eligibility information reflects it is closed.
 - Note: the facility can also obtain this letter from the patient and fax to BCRC but it may take longer to reflect in the system.
 - Only after it has been determined that the case is closed should an appointment be scheduled. Once it is showing as closed, then code the account with Medicare as primary. Worker's Comp should not be included as a secondary and should be removed from (future) encounters that are past the closed date.
- ✓ **Scenario 2: The patient's worker's comp is still open / active (there's no termination date), but the visit is unrelated, staff should**
 - Call the worker's comp (adjuster) to verify the visit is unrelated. Request a letter reflecting patient injuries that are covered by worker's comp and that the worker's comp does not cover the upcoming visit (e.g. a primary care visit).
 - The patient should then be instructed to call BCRC to get diagnosis updated or added.
 - Workers Compensation – 511 should be coded primary and Medicare FFS -301 should be secondary
- ✓ **Scenario 3: The patient's worker's comp is open (there's no termination date), but the visit *may* be worker's comp related.**
 - Call the worker's comp (adjuster) to verify that the visit is related.
 - If the visit is related to the worker's comp claim, request authorization. Follow the [Non-DHS \(Outpatient\) Procedures Document](#)

▶ **FAQ:** How do I code the patient if I see workers compensation information on the 271?

Answer: *If a patient has Medicare and gets injured on the job, workers' compensation pays first for any visits associated to the work related injury and therefore the 511 - workers comp insurance should be coded as primary (add worker's comp insurance name, at minimum). Medicare should be coded as secondary. On the MSP, indicate "Yes" the illness/injury is due to a work-related accident. You will get a pop-up reminding you to add the worker's comp coverage as primary insurance. Authorization should be obtained for any non-emergency services related to the workers comp claim. If patient declares visit is unrelated, see scenario 3 above.*

The screenshot shows a software interface with a form on the left and a pop-up dialog on the right. The form has a question: "4. Was the illness/injury due to a work-related accident/condition?" with a dropdown menu set to "Yes". Below this is a field for "Date of injury/illness:" with a date of "12/01/2015" and a "Part II" label. The pop-up dialog is titled "Ambulatory PreReg" and contains an information icon, the text "WC is primary payer only for claims for work-related injuries or illness.", and "Please complete the Medicare Entitlement section (Part III)". An "OK" button is at the bottom right of the dialog.

Refer to: Financial Practice [515.07](#) and [515.12](#)

VII. Medicare Secondary Payor Questionnaire (MSP)

1. What is the MSP Questionnaire?

- ✓ The Medicare Secondary Payer Questionnaire is a required list of questions that must be asked of patients with Medicare coverage to ensure that Medicare is being appropriately billed in the primary insurance position. Each question asked helps to assess eligibility for primary payor in the following scenarios:
 - **Working Age:** If a patient is 65 and older and has coverage through their own (currently employed or is associated with the employer – not on short-term or long-term disability or sick leave) or their spouse has coverage through a Group Health Plan (GHP) and the GHP has more than 20 employees, Medicare will be secondary to the GHP coverage.
 - **Black Lung:** Federal Black Lung Program, administers claims filed under the Black Lung Benefits Act. The Act provides compensation to coal miners who are totally disabled by pneumoconiosis arising out of coal mine employment, and to survivors of coal miners whose deaths are attributable to the disease. The Act also provides eligible miners with medical coverage for the treatment of lung diseases related to pneumoconiosis.
 - **Worker's Compensation:** Medicare generally will not pay for an injury or illness/disease covered by worker's compensations. If all or part of a claim is denied by workers' compensation on the grounds that it is not covered by workers' compensation, a claim may be filed with Medicare. Medicare may pay a claim that relates to a medical service or product covered by Medicare if the claim is not covered by workers' compensation.
 - **Veteran's Administration (VA) benefits:** VA-eligible beneficiaries who choose to receive services at an unauthorized VA facility such as DHS, should be advised to receive care through the VA. However, since DHS does not bill the VA for services, Medicare will be identified as the primary payor. Refer to [Veterans section](#) for additional information.
 - **End Stage Renal Disease (ESRD):** This is a medical condition in which a person's kidneys cease functioning on a permanent basis leading to the need for a regular course of long-term dialysis or a kidney transplant to maintain life. Beneficiaries may become entitled to Medicare based on ESRD. Benefits on the basis of ESRD are for all covered services, not only those related to the kidney failure condition.
- ✓ DHS facilities *must* attempt to collect Medicare Secondary Payer (MSP) questionnaires from Medicare patients prior to providing non-emergency services, *i.e.*, during the coverage verification or registration process, for *each* inpatient admission and outpatient visit.³⁰ If the MSP information is reported on the 271 eligibility report, staff must verify the MSP information with the patient. It is critical that DHS facilities collect MSP questionnaires from Medicare patients for every visit because it is a CMS requirement for participation in the Medicare program.
 - **EXCEPTION:** If the patient is a member of a Medicare Advantage RISK HMO, the MSP is not required.

³⁰ **NOTE:** Providers are required to determine whether Medicare is a primary or secondary payer for each inpatient admission of a Medicare beneficiary and outpatient encounter with a Medicare beneficiary prior to submitting a bill to Medicare. It must accomplish this by asking the beneficiary about other insurance coverage. Section 20.2.1 lists the type of questions it must ask of Medicare beneficiaries for **every** admission, outpatient encounter, or start of care. Exceptions to this requirement are discussed below in 1 and 3." Medicare Secondary Payer (MSP) Manual Chapter 3 - MSP Provider, Physician, and Other Supplier Billing Requirements (Rev. 87, 08-03-12)

▶ **FAQ:** What date do I enter in the MSP if the patient doesn't know their retirement or disability date or refuses to answer?

Answer: *If the patient doesn't remember the exact date, but they recall the approximate month and year, use the first of the month and the year. For example, if the patient says, "I it was February of last year," enter the date of 02/01/2015. When a beneficiary cannot recall his/her retirement date at all, but knows it occurred prior to his/her Medicare entitlement dates, as shown on his/her Medicare card, report his/her Medicare A entitlement date as the date of retirement. If the beneficiary is a dependent under his/her spouse's group health insurance and ³¹the spouse retired prior to the beneficiary's Medicare Part A entitlement date, hospitals report the beneficiary's Medicare entitlement date as his/her retirement date.³²*

▶ **FAQ:** If the patient has **private insurance and Medicare**, what is the primary payer?

Answer: *If the patient has Medicare and private insurance, private insurance should be coded in the primary position and we should attempt to get authorization, where needed. There may be circumstance in which the private insurance company does not require that we obtain authorization, however we should call to verify. There may also be circumstances when the private insurance will be billed secondary, after Medicare. However, in order to be consistent and ensure we have authorization when necessary, private insurance should be coded as primary and the Central Billing Office (CBO) will resolve issues of billing priority. [Refer to Appendix IV Hierarchy Chart.](#)*

Reference: Financial Practice [515.07](#) and [515.12](#)

³¹ The MSP does distinguish the size of the group health plan for purposes of putting Medicare primary or secondary. However, DHS has made the determination to always put private insurance as primary and Medicare as secondary. CBO may change this on the backend as needed.

³² *Medicare Secondary Payer (MSP) Manual*. Chapter 3 - MSP Provider, Physician, and Other Supplier Billing Requirements. Page 11.

VIII. Medicare Advantage - Risk HMO

1. Is the Medicare beneficiary enrolled in Medicare Advantage RISK HMO?³³

- ✓ Run a 270/271 check and verify the patient's benefits to see if the patient is enrolled in a Medicare Advantage RISK HMO.
- ✓ The patient may be treated for emergency services. DHS staff must call the plan for authorization prior to inpatient admission.
- ✓ For outpatient services, the patient should generally be referred back to their health plan for care. Authorization is required for outpatient services and the patient would be cleared as Verified Non-DHS.
- ✓ If a specific insurance code does not exist for that Medicare Advantage HMO, use insurance code 545 – Medicare HMO and specify the name of the insurance under the “Other Plan Name” field in ORCHID. Medicare HMO is usually the primary insurance.³⁴
- ✓ Note: No MSP is required for patients in a Medicare Advantage Risk HMO

▶ **FAQ:** Staff identify that the patient has Medi-Cal Managed Care assigned to DHS and also has **Medicare HMO**. What should staff do?

Answer: At the point of pre-screening the patient can be financially cleared to be seen but should be advised that their Medi-Cal assignment may change and their Medicare HMO coverage will be their primary payor which will prevent them from accessing services within DHS. Staff should notify the health plan and document in New Person comments. At the point of scheduling, proceed to schedule but advise the patient that their coverage may change prior to their visit and they might not be seen if the health plan follows through with the change. The Medi-Cal Managed Care IC should be coded primary to the Medicare HMO. UM / PAC should attempt to get authorization from the Commercial/HMO insurance for admission, transfers to higher level of care facility, DMEs, outpatient services in-network or OON referrals. [Refer to Appendix IV Hierarchy Chart.](#)

Reference: [Financial Practice 520.19](#)

▶ **FAQ:** Patient has **Medicare HMO** but wants to continue being seen at DHS. What should the patient do?

Answer: Depending upon the service the patient is requesting, if it is primary care, we should redirect the patient to their Medicare HMO network provider. If the patient is seeking specialty care services, we should check to see if there is capacity. Refer to the [Non-DHS \(Outpatient\) Procedures Document](#)

³³ Medicare Advantage Plans: A type of Medicare health plan offered by a private company that contracts with Medicare to provide you with all your Part A and Part B benefits. Medicare Advantage Plans include Health Maintenance Organizations, Preferred Provider Organizations, Private Fee-for-Service Plans, Special Needs Plans, and Medicare Medical Savings Account Plans. If you're enrolled in a Medicare Advantage Plan, most Medicare services are covered through the plan and aren't paid for under Original Medicare. Most Medicare Advantage Plans offer prescription drug coverage. <https://www.medicare.gov/sign-up-change-plans/medicare-health-plans/medicare-advantage-plans/medicare-advantage-plans.html>

³⁴ Medicare HMO or Medicare Fee-for-Service (part A & b) with Medi-Cal: Medicare is the primary payer, including for primary care. If the patient has Medicare FFS (A & B) or Medicare HMO and the patient has Medi-Cal managed care assigned to a DHS or non-DHS PCP, it is a mistake in the Medi-Cal managed care health plan. Once the patient has Medicare, the Medi-Cal health plan should remove their PCP assignment. In this scenario, continue to code Medicare in the primary position. For a patient with Medicare HMO – they are considered non-DHS, even if the 271 response shows that they are Medi-Cal managed care assigned to DHS.

Patients should also be informed of their option to disenroll from the Medicare HMO provider to receive Medicare FFS benefits. Advise the patient that when disenrolling from a Medicare HMO plan, some benefits may not be available e.g. vision. In most instances, patients will have to enroll into a Part D program to ensure they have coverage for their prescriptions. To help the patient disenroll from their Medicare HMO, please see the following:

- o Patient Relations staff places a phone to Medicare regarding Coverage and Benefits. (800)633-4227*
- o Once Member services answers, identify yourself, reason for the call (have HIC number ready); member services will request to talk to patient and ask to the patient if it ok for staff to be on phone.*
- o Once patient ok's it, state the reason of your call, that is, to remove the HMO plan and just leave FFS Medicare.*
- o Once plan has been dis-enrolled, indicate to member service person that you would like for the patient to be enrolled in a "Part D" plan. Keep in mind our contracted Part D plans are: Silverscript, Humana, United Health Inc., Envision, Symphonix and Aetna.*
- o Member Services will ask you to provide the name and milligrams of each medications currently taken by patient.*
- o The goal is to assign the patient to a County contracted plan; however, many times, the patient wants to get their meds at a local private pharmacy (outside pharmacy). Have the pharmacy address selected by the patient ready.*
- o Medicare FFS will be effective the following month.*

▶ **FAQ:** What if a patient has Medicare PPO?

Answer: Medicare Preferred Provider Organization plans are available through a private insurance company contracted with Medicare to provide and coordinate benefits for beneficiaries. Each PPO plan has its own network of doctors and hospitals. Individuals enrolled in a Medicare Advantage PPO plan are allowed to use out-of-network providers for Medicare covered services, but usually for a higher cost. For Medicare PPO's we would redirect the patient to their network and only if we have capacity we would offer them the option to pay out of pocket to be seen. We should call the insurance company to verify the coverage and understand what the requirements are (if auth is needed – likely it is not, but what's the co-pay/deductible for the patient). If the patient does have a co-pay/deductible, advise the patient that they will be receiving a bill for the out-of-network cost.

▶ **FAQ:** Staff verify the patient **only has Medicare HMO coverage**. Patient does not have any Medi-Cal. Can the patient be seen?

Answer: Patients who have Medicare HMO should be redirected to their network for services unless there is capacity for specialty care and we are able to obtain an authorization.

▶ **FAQ:** Staff verify the patient **only has Medicare HMO coverage**. Patient does not have any Medi-Cal. Can the patient be seen?

Answer: For patients who have Medicare FFS and no Medi-Cal coverage, the patient should be advised to apply for Medi-Cal and if they do not that they are responsible for the 20% cost of care that is not covered by Medicare.

IX. CalMediConnect

1. Is the Medicare beneficiary enrolled in a CalMediConnect plan?

- ✓ CalMediConnect (CMC) plans are for beneficiaries with both Medicare and Medi-Cal coverage (also known as 'Medi-Medi' beneficiaries or 'dual eligibles') assigned to an all-in-one HMO Health Plan. Services provided under CalMediConnect include:
 - Hospitals
 - Doctors
 - Pharmacy
 - Nursing
 - Transportation
 - Durable Medical Supplies
 - Vision
 - Care Coordination
 - Behavioral Health services
 - Long-term services and supports
- ✓ Note: Patients who opt to disenroll from CalMediConnect will lose some benefits (e.g. vision) and will have to enroll into a DHS contracted Medicare Part D plan: Silverscript, Humana, United Health Inc., Envision, Symphonix and Aetna. Staff should advise patients to verify that the Part D plans cover each of the medications the patient is currently taking.
- ✓ CMC members are entitled to continuity of care, and therefore may have authorization from their CMC plan to continue seeing DHS providers for 12 months. Code any emergency room visits or visits authorized under continuity of care as follows:
 - **Primary Code:** 545 – Medicare HMO; note 'CalMediConnect/Health Plan Name' under the Other Plan Name and include authorization number, if non-emergency

The screenshot shows a 'Plan Information' form with a search bar at the top. Below the search bar are four fields: 'Insurance Financial Class', 'Insurance Type', 'Insurance Name', and 'Other Plan Name'. The 'Insurance Financial Class' and 'Insurance Type' fields both contain 'Non-DHS Medicare Manage'. The 'Insurance Name' field contains 'MEDICARE HMO 545'. The 'Other Plan Name' field contains 'CalMediConnect/' and is circled in red.

Insurance Financial Class	Insurance Type	Insurance Name	Other Plan Name
Non-DHS Medicare Manage	Non-DHS Medicare Manage	MEDICARE HMO 545	CalMediConnect/

- **Secondary Code:** Medi-Cal managed care / non-DHS (for example, 646 – Health Net non-DHS).

Refer to: [Duals Plan Letter 15-003](#)
[Guidelines for CalMediConnect Patients](#)

Managed Care (other)

In-home Support Services (IHSS) ◀ Private Insurance ◀

I. In Home Support Services

- ✓ In-Home Supportive Services (IHSS) workers (i.e. caregivers / home health care workers) are entitled to a special coverage program that is neither Medi-Cal nor Private Insurance. It is a joint employer-union sponsored plan called PASC-SEIU that provides health care coverage under L.A. Care. Almost all IHSS workers are assigned to a DHS primary care provider.³⁵
- ✓ Check the patient's IHSS card. Some patients with IHSS coverage who reside east of the 605 may be assigned to Citrus Valley IPA.
- ✓ IHSS eligibility can also be verified by checking with LA Care via phone or [online](#) using the following information:
 - Name
 - Social Security Number and/or IHSS number
 - Date of birth
- ✓ Code the visit as 441 – IHSS and financially clear using the Verify Status of “Verified.”

³⁵ There are some IHSS providers who have the PASC-SEIU health benefit who live east of the 605 freeway and are therefore assigned to a non-DHS primary care provider, called Citrus Valley Provider Group (CVPG), because DHS does not have facilities in that area. These people are considered to have private insurance and should be coded as 531 – Private Insurance. Similar to any other private insurance, they must self-disclose coverage. They will not show up as having IHSS coverage in a 270/271 inquiry using insurance code 441 or 000. However, you are able to verify PASC-SEIU coverage through the LA Care website, if you have the patient's SSN or Member ID, which starts with “IH” followed by a series of numbers.

▶ **FAQ:** If a patient has **IHSS** (assigned to a DHS provider) and **also has Medi-Cal managed care assigned to a non-DHS** provider or commercial insurance, what is the primary insurance and should this patient be seen without authorization for non-emergency services?

Answer: *Patients who have active IHSS coverage assigned to DHS should always be financially cleared on insurance code 441 in primary position. We should encourage the patient to change their non-DHS provider assignment so that they receive consistent primary care with one provider. However, it is the patient's choice to maintain both assignments. If patient is admitted into the inpatient setting, staff should proceed to obtain authorization from the Non-DHS provider. Refer to the [Appendix IV: Hierarchy grid](#) for more information regarding IHSS coverage priority.*

▶ **FAQ:** If a patient has **IHSS** (assigned to a DHS provider) and **Medicare (Part A & B)**, what is the primary insurance?

Answer: *The primary insurance code is 301 – Medicare and the secondary code is 441- IHSS. Refer to [Appendix IV: Hierarchy grid](#).*

▶ **FAQ:** Patients who have **IHSS coverage** and is seeking services in the ER, should these patients be enrolled **into Hospital Presumptive Eligibility (HPE)**?

Answer: *Patients who have IHSS coverage are generally Medi-Cal eligible. Staff should encourage patients to apply for Medi-Cal. For patients who have IHSS benefits through Citrus Valley, an HPE application should be taken. An HPE should not be taken for our DHS assigned IHSS patients.*

▶ **FAQ:** Patients who previously had **IHSS** and states that they have enrolled into **COBRA**, can they be seen? How do we code this?

Answer: *Patients who previously had IHSS and indicate that they enrolled into COBRA as an option to “continue coverage” are electing to extend their coverage through PASC-SEIU. Staff should verify by checking the LA Care Health Plan portal to verify that they are currently active with the health plan. If the patient is active, continue to code the patient as IHSS. If the patient is not shown as active, refer to the patient to PFS to obtain coverage or they can contact LA CARE to inquire about their coverage options through COBRA.*

▶ **FAQ:** Staff verify that the patient has active **In-Home-Support-Services (IHSS) coverage** assigned to a non-DHS provider (e.g. Citrus Valley). Should the patient still be seen for non-emergency services?

Answer: *For IHSS patients that are not assigned to DHS (e.g. assigned to Citrus Valley), an HPE / Medi-Cal application could be taken to cover services within DHS.*

Reference: [DHS Guidelines for Managed Care or Commercial Insurance Patients, Nov. 2014](#)
[Cobra Continuation Coverage](#)
[Sample COBRA Coverage Acknowledgement Letter – LA CARE](#)

II. Private Insurance

- ✓ Ask the patient if they have private insurance.
- ✓ Request the patient's identification, member ID card, and date of birth.
 - If the patient does not have their member ID card and they do not know their member ID number, we can often use the patient's SSN to check the health plan's website or call the health plan to check eligibility.
- ✓ Run a 270/271 check on the above information using the insurance code associated with the patient's insurance.
- ✓ Tip: for Kaiser Commercial patients (IC 551) be sure to add all the leading zeros, including what's written under "prefix". There may be four or five zeros.
- ✓ The patient may be treated for emergency services. DHS staff must call the health plan, worker's compensation company or insurance company for authorization prior to inpatient admission.
- ✓ If the patient's insurance carrier is not reflected in the insurance code listing, use 531 – Private Insurance. Note the name of the insurance in the "Other Plan Name" field in ORCHID.
- ✓ Generally, DHS facilities do not provide non-emergency outpatient services for patients with private insurance. In exception circumstances, prior authorization and potentially an LOA is required for scheduling. See the [Non-DHS \(Outpatient\) Procedures Document](#).
- ✓ Some patients with a PPO³⁶ insurance do not require authorization. However, like other private insurance, these patients are typically not seen or scheduled for non-emergency services. In limited scenarios, where there is a request to schedule a patient with PPO insurance, attempt to get authorization. Typically, the insurance company will deny authorization so the patient is liable for out-of-network charges, which means their out-of-pocket costs are higher. Patients may be referred to PFS to inquire on various programs they MAY qualify for. They are also given the option to enter into a LOA.³⁷
- ✓ Non-emergent services may only be offered to PPO patients if we have capacity. If the patient wants to be seen in primary, the patient must change their Medi-Cal Managed Care assignment to DHS.
- ✓ Patients who have PPO insurance may also have Medi-Cal. Some patients with private insurance are also technically eligible to apply for Medi-Cal. Please see [Section: Other Health Coverage](#) for more information. Private insurance is generally coded in the primary position, except in certain circumstances including
 - Medi-Cal managed care, assigned to DHS
 - IHSS, assigned to DHS
 - FPACT services, when eligible for FPACT
 - HUB services
 - Jail services
 - For a full list, see [Appendix IV - Hierarchy Chart](#)

³⁶ A Preferred Provider Organization (PPO) is a type of health coverage that allows the patient relative freedom to choose the doctors and hospitals they want to visit. The PPO has a network of providers. Patients will pay less if they use providers that belong to the plan's network.

³⁷ Rancho would still see the patient, attempting to obtain a fast track in order to minimize the out of pocket cost to the patient and to ensure patient is aware of their liability.

III. Worker's Compensation

- ✓ This should be used when the visit is related to the patient's work related injury and staff should also complete the Accident Related Visit questions on the Encounter Information tab.

The screenshot shows a form with five fields: 'Accident Related Visit?' (dropdown menu with 'Yes' selected), 'Accident Type' (dropdown menu), 'Accident Date' (calendar icon), 'Accident Time' (dropdown menu), and 'Accident State' (dropdown menu).

- ✓ Authorization is always required for patients with Worker's Compensation.³⁸
- ✓ Workers Compensation insurance code should be primary unless the claim agent provides documentation to identify that the visit is unrelated. If visit is related, the claim agent will provide authorization.
- ✓ Generally, we do not see patients for non-emergency, worker's comp related visits. In exception circumstances, prior authorization and potentially an LOA is required for scheduling. See the [Non-DHS \(Outpatient\) Procedures Document](#).
- ✓ Use insurance code 511- IA (Workers Compensation) when the specific workers compensation insurance company is not available.
- ✓ Add as much information as possible, including the Insurance or Plan Name, Policy Number, Group Number, etc. Add any information on the claim number, the adjuster, etc. to the comments on the Insurance Summary tab. If workers compensation insurance company identified has a specific insurance code, the encounter should be coded as 511.

2. Worker's Comp Scenarios

Scenario	Description	Accident Related? (Y/N)	Coding
Medi-Cal Managed Care - DHS	Patient states he got injured at work, but is not sure if he wants to file a workers comp claim , or doesn't know if he can	Yes	Do not code 511 if the patient has not filed a workers compensation claim. DHS assigned Medi-Cal Managed Care should be coded as primary
Medi-Cal Managed Care - Non-DHS	Patient states he got injured at work , will not file for a workers comp claim	Yes	Since the patient does not intend to file a claim, then we should the notify non-DHS provider to obtain authorization for all specialty visits. If the patient would like to be seen in primary care, the patient should be advised of their option to change their assignment to DHS.
Medi-Cal Managed Care - Non-DHS	Patient states he got injured at work, will file a workers comp claim. Worker's comp claim information not available	Yes	If we are unable to verify the worker's comp coverage, proceed to obtain authorization from the DHS provider or offer the patient the option to change the patient's assignment.
Self-Pay	Patient states he got injured at work, but they pay him cash. He won't be able to file a worker's comp claim.	Yes	Since patient is self-pay, offer to enroll the patient into HPE or refer to PFS to apply for Medi-Cal
Self-Pay	Patient states he got injured at work. Patient plans to file a worker's comp claim.	Yes.	Use IC 511 as primary when the Worker's Compensation company provides authorization for the visit/admission. LOA will be required. If the w/c company is on the First Health Payor list , we only require auth and code 577. If patient does not have coverage, code the patient as self-pay pending authorization. If case filing is pending, then we code the insurance coverage they have as primary or offer HPE/MCal /self-pay LOA.

³⁸ Staff at Rancho should review the Coventry list. If the employer is listed, no Letter of Authorization (LOA) is required, but authorization is still needed. If employer is not listed, LOA is required in addition to authorization.

▶ **FAQ:** Staff verify the patient has Medi-Cal Managed Care assigned non-DHS and a PPO. The patient wants to maintain their PCP through their PPO insurance, can we see the patient under the PPO coverage? What should staff do?

Answer: *Patients who have PPO coverage have the option to pay out-of-network fees. However, access to services within DHS for PPO patients is the same for all other Non-DHS patients. Non-emergent services may only be offered to PPO patients if we have capacity. If the patient wants to be seen in primary, the patient must change their Medi-Cal Managed Care assignment to DHS.*

3. Is the patient active military?

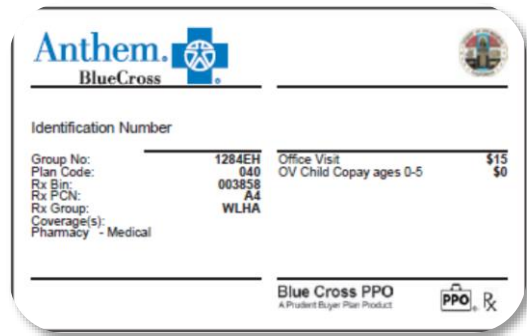
- ✓ TRICARE is private health insurance coverage for military employees and retirees. Screen them and obtain authorization, as necessary the same way as other patients who carry private insurance. Code the visit as 503 – Tricare.
- ✓ Patients who are covered by TRICARE (VA), formerly known as CHAMPUS, are not eligible to apply for HPE.

4. Is the patient a veteran?

- ✓ Some, but not all, veterans are able to receive services through Veterans Affairs (VA) and must go to the VA hospital/clinic to get VA-covered services.
- ✓ The VA generally does not cover services provided at DHS, except at Rancho, which has a contract with the VA. Rancho uses Insurance Code 508 – VA, for these authorized services. Patients are sent to Rancho by TriWest referral only and authorization is received at the time appointments are booked. If a patient is being transferred with IC 508 - VA from another County facility, Rancho admission staff is to verify coverage and attempt to negotiate a Fast Track with the VA agency prior to admission.
- ✓ If the patient declares they are a vet or it is determined through the coverage verification process, code the encounter 508. For inpatient admissions, UM must contact the local VA facility to see if they will repatriate the patient back into their network. VA must be notified within 36-72 hours of admission.
- ✓ If the patient walks in to a DHS facility, such as the ED, staff will only know that a patient may be eligible to receive services through the VA if the patient discloses this or there is an existing IC 508. However, verifying VA benefits is not always feasible and running a 270 on IC 508 will not provide verification of VA benefits as it is only checking for Medi-Cal.
- ✓ Staff may also try to verify the patient's VA Benefits and if the patient is registered with their local VA facility. Contact number for the local facilities are:
 - Greater Los Angeles: 818-891-7711 x38101; 10am-2pm
 - AOD/Emergency Contact After Hours: 310-268-3596; 24 hours
 - West LA: 310-478-3711
 - (855)722-2838
 - Long Beach: 562-826-8000 ex 2995, Mon – Fri from 8am to 3pm.
 - Long Beach: 562-826- 5467
- ✓ In cases where VA benefits are verified, then code 508-VA and try to get authorization from the VA to admit the patient. Note: manually add the VA phone number above in the Primary Insurance screen to populate ORCHID for UR.
 - Therefore, staff should also screen for HPE in the ED setting or Medi-Cal in the IP setting to ensure the patient has coverage (resources) to pay for the visit. If eligible, code the visit as 402.

5. Does the patient have Anthem Blue Cross and work for LA County?

- ✓ LA County Megaflex employees are now eligible to receive services at DHS, without authorization through a contract with Anthem Blue Cross. However, for capacity reasons, services currently available to employees are pediatric specialty and OB services only.
- ✓ You will know it's an LA County employee, because their insurance card has the County logo in the top right corner
- ✓ These visits should be coded as 504- Anthem Blue Cross, with the Group Number: **1284EH**. Patients from other County departments without the group number identified should be treated as a private insured patient. Therefor prior authorization for non-emergent services is required. Access to these services is contingent upon capacity.



IV. Covered California

- ✓ Covered CA is the State health insurance exchange/portal that allows for people to purchase insurance provided by a number of private insurance companies. It is not an insurance company.
- ✓ Individuals stating that they have Covered CA insurance are indicating that they have purchased private insurance coverage that is subsidized by the Federal government.
- ✓ Insurances purchased through Covered CA should be verified through private insurance sources. There is not a "Covered CA" insurance code or website to verify all.
- ✓ Individuals may have applied for insurance through Covered CA but were determined eligible for Medi-Cal. These Medi-Cal applications will be processed through DPSS just like all other Medi-Cal applications.

▶ **FAQ:** If patient got coverage through **Covered CA** and **used to be Medi-Cal**, can they be seen?

Answer: *Patients may continue to be seen for continued treatment under Continuity of Care granted by the Managed Care Plan for up to 12 months when:*

- *Patient has an existing relationship with DHS PCP or specialist at least once during the 12 months prior to their enrollment into their new insurance plan*
- *The provider is a California State Plan approved provider*
- *Medical Necessity: Health plans are required to complete services for the following conditions: acute, serious chronic, pregnancy, terminal illness, the care of a newborn child between birth and age 36 months, and surgeries or other procedures that were previously authorized as a part of a documented course of treatment.*

Refer to:

[APL 15-019 Continuity of Care for Medi-Cal Beneficiaries Who Transition Into Medi-Cal Managed Care](#)

APPENDIX I – Systems for Eligibility Verification & Discrepancies

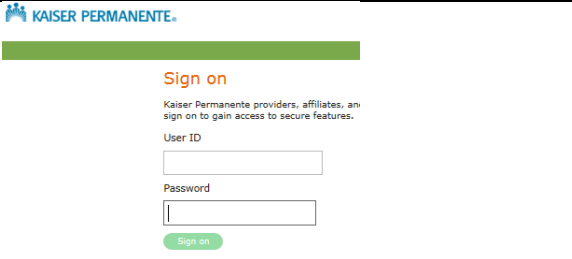
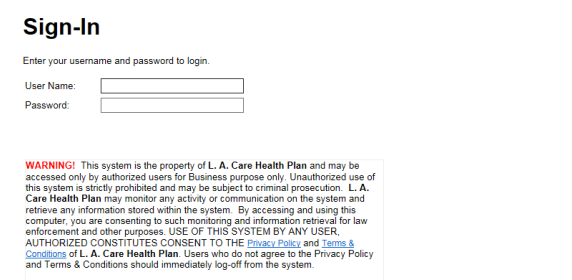
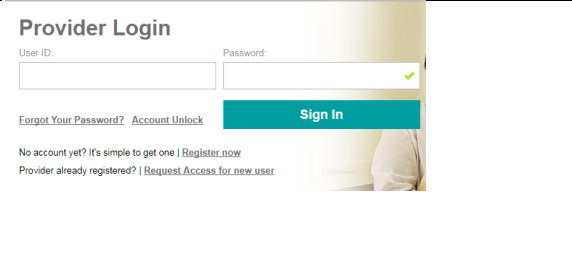
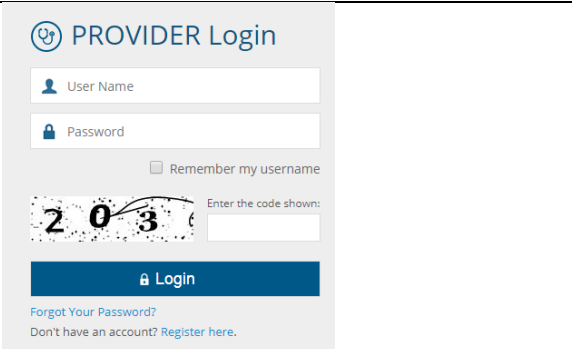

The following systems may be used to verify eligibility and coverage for various types of coverage. These systems should be used when there may be conflicting information.

- ✓ Generally speaking Medi-Cal (MEDS) is the source of truth for whether or not a patient has Medi-Cal coverage. However, the health plans (websites or phone verification) are the source of truth for assignment.
- ✓ Medicare (271 response from a Medicare IC – 301, 544, 545 or Availity or Noridian) is the source of truth for Medicare
- ✓ Private insurance 271 response from a private IC or phone verification is the source of truth for private insurance/other health coverage.

<p>AEVS – State Medi-Cal Website</p> <p>Verification for Medi-Cal</p> <p>https://www.medi-cal.ca.gov/eligibility/login.asp</p>	<p>Login to Medi-Cal</p> <p><small>WARNING: This is a State of California computer system that is for official use. Improper use of this system may result in administrative disciplinary action against an authorized user or do not agree to the conditions stated in this warning.</small></p> <p>Please enter your User ID and Password. Click Submit when done.</p> <p>Visit Transaction Enrollment Requirements for Medi-Cal.</p> <p>Please enter your User ID: <input type="text"/></p> <p>Please enter your Password: <input type="password"/></p> <p><input type="button" value="Submit"/> <input type="button" value="Clear"/></p>
<p>270/271 (ORCHID)</p> <p>Verification for insurance coverages by insurance code including Medi-Cal, Medicare, Private Insurance, Self-Pay</p> <p>Note: The same eligibility verification information found in the 271 response may be available outside of ORCHID through Revenue 360.</p>	<p>Subscriber Details</p> <p><input type="text"/></p> <p>Eligibility: 07/01/2017-07/31/2017 Issue: 07/25/2017</p> <p>Eligibility Details: Other Source of Data CNTY CODE: 19. 3RD SPECIAL AID CODE: L1.</p> <p>Eligibility Details: Active Coverage Service Type: Health Benefit Plan Coverage Insurance Type: Medicaid</p> <p>Eligibility Details: Managed Care Coordinator Service Type: Medical Care</p> <p>PHP-LA CARE HLTH PLAN Contact Information: Telephone: (888) 839-9909</p> <p>Eligibility Details: Other or Additional Payer Service Type: Medical Care</p> <p>LA CARE HLTH PLAN Contact Information: Telephone: (888) 839-9909</p> <p>Eligibility Details: Primary Care Provider LUZVIMINDA MONTECILLO Contact Information: Telephone: (310) 673-2764</p> <p>Eligibility Details: Benefit Description</p>
<p>Availity</p> <p>Verification for Anthem Blue Cross & Medicare</p> <p>https://apps.availity.com/availity/web/public.elegant.login</p>	<p>Availity</p> <p>User ID: <input type="text"/></p> <p>Password: <input type="password"/></p> <p><input type="checkbox"/> Show password</p> <p>Forgot your password? Forgot your user ID? <input type="button" value="Log In"/></p>
<p>Health Net</p> <p>Verification for Health Net eligibility verification for all Lines of Business (LOB), i.e. Medi-Cal, Cal MediConnect, Commercial, Medicare HMO, etc.</p>	<p>Sign Up</p> <p>Sign up now for your online account and take advantage of our Health Net provider services.</p> <p><input type="button" value="LOG IN"/> <input type="button" value="REGISTER"/></p>

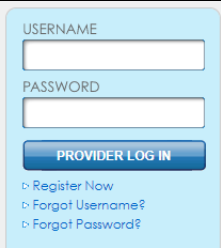
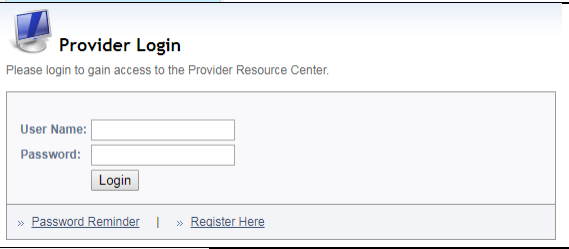
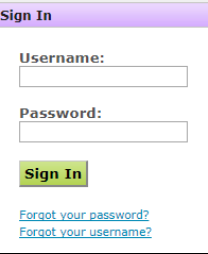
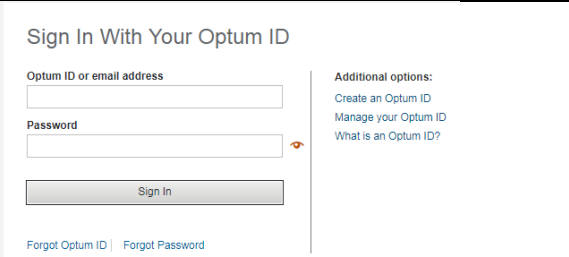
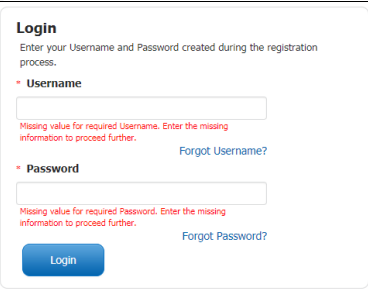

For all activation requests/resets, please go through the [Office of Patient Access Website – Tools/Resources – Coverage Verification](#) page.

APPENDIX I – Systems for Eligibility Verification & Discrepancies

https://www.healthnet.com/portal/provider/home.ndo#	
Kaiser Permanente Verification for Kaiser benefits, referrals and authorizations. Sign-in page	 <p>The screenshot shows the Kaiser Permanente 'Sign on' page. It features the Kaiser Permanente logo at the top, followed by a green 'Sign on' button. Below this, there is a message: 'Kaiser Permanente providers, affiliates, an sign on to gain access to secure features.' This is followed by input fields for 'User ID' and 'Password', and a green 'Sign on' button at the bottom.</p>
LA Care Verification for LA Care eligibility verification for all Lines of Business (LOB), i.e. Medi-Cal, IHSS, Cal MediConnect, Commercial, Medicare HMO, etc. Sign-in page	 <p>The screenshot shows the LA Care 'Sign-In' page. It has a header 'Sign-In' and a sub-header 'Enter your username and password to login.' Below this are input fields for 'User Name' and 'Password'. A large 'WARNING!' box is present, stating that the system is the property of L.A. Care Health Plan and may be accessed only by authorized users for business purposes. It also mentions that unauthorized use is strictly prohibited and may be subject to criminal prosecution. At the bottom of the warning box, it says 'AUTHORIZED CONSTITUTES CONSENT TO THE Privacy Policy and Terms & Conditions of L.A. Care Health Plan. Users who do not agree to the Privacy Policy and Terms & Conditions should immediately log-off from the system.'</p>
Molina HealthCare Verification for Molina eligibility verification for all Lines of Business (LOB), i.e. Medi-Cal, Cal MediConnect, Commercial, Medicare HMO, etc. Sign-in page	 <p>The screenshot shows the Molina HealthCare 'Provider Login' page. It features a header 'Provider Login' and input fields for 'User ID' and 'Password'. Below the password field is a green checkmark icon. There are links for 'Forgot Your Password?' and 'Account Unlock'. A large teal 'Sign In' button is prominent. At the bottom, there are links for 'No account yet? It's simple to get one Register now' and 'Provider already registered? Request Access for new user'.</p>
Synermed Verification for Synermed eligibility verification for Medi-Cal Managed Care patients assigned to this Management Company by the Health Plans https://www.synermedconnect.com/Login.aspx?pt=2	 <p>The screenshot shows the Synermed 'PROVIDER Login' page. It has a header 'PROVIDER Login' and input fields for 'User Name' and 'Password'. There is a checkbox for 'Remember my username'. Below the password field is a CAPTCHA image showing the numbers '2 0 3' and a text input field for 'Enter the code shown:'. A large blue 'Login' button is at the bottom. There are links for 'Forgot Your Password?' and 'Don't have an account? Register here.'.</p>
AARP Verification for AARP Medicare Sign-in	 <p>The screenshot shows the AARP 'Sign In' page. It features input fields for 'Username:' and 'Password:'. Below these is a green 'Sign In »' button. At the bottom, there is a link for 'Forgot your password? »'.</p>

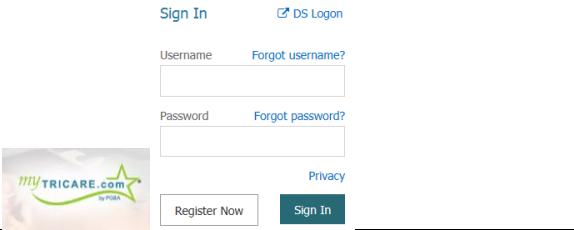
For all activation requests/resets, please go through the [Office of Patient Access Website – Tools/Resources – Coverage Verification](#) page.

APPENDIX I – Systems for Eligibility Verification & Discrepancies

<p>Blue Shield</p> <p>Verification for Blue Shield Private Insurance</p> <p>https://www.blueshieldca.com/provider/home.sp</p>	
<p>Cap Management Systems (Tenet Health)</p> <p>Verification for Cap Management Systems eligibility verification for Medi-Cal Managed Care patients assigned to this Management Company by the Health Plans</p>	
<p>Navinet (Aetna and Cigna)</p> <p>Verification for Aetna and Cigna eligibility verification</p> <p>https://navinet.navimedix.com/sign-in?ReturnUrl=/</p>	
<p>United HealthCare</p> <p>Verification for United HealthCare eligibility verification</p> <p>Sign in</p>	
<p>Noridian Medicare Portal</p> <p>Verification for Medicare</p> <p>https://www.noridianmedicareportal.com/</p>	
<p>Medicare Direct Data Entry (DDE)</p> <p>Verification eligibility for Medicare</p>	

For all activation requests/resets, please go through the [Office of Patient Access Website – Tools/Resources – Coverage Verification](#) page.

APPENDIX I – Systems for Eligibility Verification & Discrepancies

<p>Tricare</p> <p>Verification for Tricare coverage</p> <p>https://www.mytricare.com/mtc/</p>	 <p>The screenshot shows the login interface for myTRICARE.com. At the top left is the 'myTRICARE.com' logo. To the right are links for 'Sign In' and 'DS Logon'. Below these are input fields for 'Username' and 'Password', each with a corresponding 'Forgot' link. At the bottom are 'Register Now' and 'Sign In' buttons, along with a 'Privacy' link.</p>
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For all activation requests/resets, please go through the [Office of Patient Access Website – Tools/Resources – Coverage Verification](#) page.

08/2019

		MEDI-CAL AID CODES	DHS INSURANCE CODE	EMPANEL
Full Scope	Included in Managed Care	Mandatory 0A, 0E, 01, 02, 08, 3A, 3C, 3E, 3F, 3G, 3H, 3L, 3M, 3N, 3P, 3R, 3U, 3W, 30, 32, 33, 34, 35, 38, 39, 47, 54, 59, 5C, 5D, 7A, 7J, 7S, 7U, 7W, 7X, 72, 8P, 8R, 8U, 82, E2, E5 , E6, E7 H1, H2, H3, H4, H5, K1, L1, L6, M1, M3, M5, M7, P5, P7, P9, R1, T1, T2, T3, T4, T5 <i>After assignment Before assignment</i>	644, 615 - MCal Managed Care (DHS) 617, 646, 651, 661, 671 - MCal Managed Care (non-DHS) 438, 550 - MCal Cal Optima 564 - MCal Health Care Plan Generic	Do not empanel until assignment resolved
		Mandatory unless dual 1E, 1H, 10, 14, 16, 2E, 2H, 20, 24, 26, 36, 6A, 6C, 6E, 6G, 6H, 6J, 6N, 6P, 6V, 60, 64, 66		
		Voluntary 0N, 0P, 0W, 2P, 2R, 2S, 2T, 2U, 03, 04, 06, 07, 4A, 4F, 4G, 4H, 4K, 4L, 4M, 4N, 4S, 4T, 4U, 4W, 40, 42, 43, 45, 46, 49, 5K, 5L, 86		
	Not Included in Managed Care	No SOC - 0D, 0G, 0M, 1X , 18, 2A, 2V, 28, 3D, 4C, 5E, 5X, 6X, 68, 7T, 8E, 8G, 8L, 8W, 8X, 9L, J1, K2, K4, K6, K8	405 - MCal (Fee-for-Service)	If mandatory managed care, resolve assignment. Otherwise, OK to empanel
		SOC - 17, 27, 37, 4V, 6R, 6W, 6Y, 65, 67, 7V, 8V, 83, 87, 1Y, J2		
		Both - 13, 23, 63, 81, J7		
		No SOC H0, H6, H7, H8, H9, P1, P2, P3, P4, 4E	402 - Hospital Presumptive Eligibility	Check for MHLA or managed care. Otherwise, OK to empanel.*
		No SOC 9K, 9M, 9N, 9R, 9U, 9P	409 - MCAL/CCS	
		No SOC - 0L, 0R, 0T, 0U, 0V, 0X, 0Y, 1U, 3T, 3V, 44, 48, 5J, 5T, 5V, 5W, 55, 6U, 69, 7C, 7F, 7G, 7K, 7N, 74, 76, 77, 8N, 8T, C1, C3, C5, C7, C9, D2, D4, D6, D8, E1, E4, J3, J4, J5, J6, J8, K3, K7, K9, L7, M2, M4, M6, M8, M9, M0, P6, P0, P8, T6, T7, T8, T9, T0	406 - MCal (Restricted Benefits)	Check for MHLA. OK to empanel.
		SOC - 5F, 5G, 5N, 5R, C2, C4, C6, C8, D1, D3, D5, D7, D9		
		Both - 7M, 7P, 7R, 8F, 50, 53, 58, 71, 73		
Limited Scope	Special	F1, F3, G0, G1, G3, G5, G7, N0, N5, N7, N9	In custody: 388 - Sheriff Department / 405 - Medi-Cal	DO NOT EMPANEL
		F2, F4, G2, G4, G6, G8, G9, N6, N8	In custody: 388 - Sheriff Department / 406 - Medi-Cal	
		8H 7H 9A 9J 9D, 9V, 9W	480 - Family Plan Services/Non-Medi-Cal 471 - Tuberculosis 365 - Cancer Detection Program 358 - Genetically Handicapped 380/1 - CCS Pending / Approved	Check for MHLA. OK to empanel
		Medicare Savings Program 80, 8C, 8D, 8A	Direct patient to PFS and advise patient to apply for Medi-Cal if patient does not have active Medi-Cal	Check for MHLA/ Medi-Cal. OK to empanel

*Ok to refer to MHLA if does not meet requirements for full scope Medi-Cal

Appendix III—Insurance Codes & Financial Clearance Guidelines For LA County Residents

Managed care / private insurance

Payor Category	Coverage Code(s)	Assigned	Empan- eled	Verified Status			RX	Notes
				OP	ED	IP		
Medi-Cal Managed Care (DHS) AUTHORIZATION NOT NEEDED; SCHEDULING ALLOWED								
MCal Managed Care Health Net (DHS)	615	DHS	YES	*	V	V	Y	Auth req for IP Admit for MLK assigned-ONLY; *Can be left in pending for auto-clearance
MCal Managed Care LA Care (DHS)	644	DHS	YES	*	V	V	Y	Auth req for IP Admit for HD assigned-ONLY; *Can be left in pending for auto-clearance
IHSS	441	DHS	YES	*	V	V	Y	*Can be left in pending for auto-clearance
Medi-Cal Managed Care (Non-DHS) - AUTHORIZATION REQUIRED PRIOR TO SCHEDULING - for non-emergency services*								
Medi-Cal Cal Optima Direct	438	NON-DHS	NO	P	P	P	N	
Medi-Cal Cal Optima	550	NON-DHS	NO	P	P	P	N	
MCal Cal Optima Pending	555	NON-DHS	NO	P	P	P	N	
MCal Managed Care Health Care Plan	564	NON-DHS	NO	P	P	P	N	LOA required. Use “Other Health Plan” field
MCal Managed Care Health Net HCP	646	NON-DHS	NO	P	P	P	Y	
Mcal Managed Care LA Care HCP	651	NON-DHS	NO	P	P	P	Y	
MCal Managed Care Blue Cross HCP	656	NON-DHS	NO	P	P	P	N	
MCal Managed Care Molina HCP	661	NON-DHS	NO	P	P	P	N	
MCal Managed Care Blue Shield Promise HCP	666	NON-DHS	NO	P	P	P	N	
MCal Managed Care Kaiser HCP	671	NON-DHS	NO	P	P	P	N	
Medicare HMO - AUTHORIZATION REQUIRED PRIOR TO SCHEDULING - for non-emergency services								
Medicare HMO	545	NON-DHS	NO	P	P	P	M	Add insurance name in “Other Health Plan”
Medicare Cal Optima	543	NON-DHS	NO	P	P	P	N	
Kaiser Medicare Managed Care	544	NON-DHS	NO	P	P	P	N	
Private insurance - AUTHORIZATION REQUIRED PRIOR TO SCHEDULING - for non-emergency services								
Tricare	503	NON-DHS	NO	P	P	P	N	
Blue Cross Commercial	504	NON-DHS	NO	P	P	P	N	LOA required
Veterans Affairs	508	NON-DHS	NO	P	P	P	N	Rancho-only contract. Screen patient for HPE/coverage
IA (Workers Compensation)	511	NON-DHS	NO	P	P	P	N	
United Health Care Commer- cial	523	NON-DHS	NO	P	P	P	N	LOA required
Aetna Commercial	524	NON-DHS	NO	P	P	P	N	LOA required
Cigna Commercial	525	NON-DHS	NO	P	P	P	N	
Empire blue Cross/Shield	526	NON-DHS	NO	P	P	P	N	
PacifiCare Commercial	530	NON-DHS	NO	P	P	P	N	LOA required
Private Insurance	531	NON-DHS	NO	P	P	P	M	LOA required, Use “Other Health Plan” field
IA County Employee	536	NON-DHS	NO	P	P	P	Y	
Kaiser Commercial	551	NON-DHS	NO	P	P	P	N	
Health Net Commercial	581	NON-DHS	NO	P	P	P	N	
Blue Shield Commercial	583	NON-DHS	NO	P	P	P	N	
PPO Affordable Health Con- cepts	577	NON-DHS	NO	P	P	P	N	

[managed care / private insurance]

* Exceptions: carve out services, sensitive services

P = Pending. Not financially cleared for out-patient services. If authorization is obtained for outpatient services, change to VN.

V = Verified. Financially cleared for out-patient services for current month.

Appendix III—Insurance Codes & Financial Clearance Guidelines For LA County Residents

	Payor Category	Coverage Code(s)	Assigned	Empaneled	Verified Status			RX	Notes
					OP	ED	IP		
[fee-for-service]	Medicare Fee-For-Service Medi-Cal and/or Medicare - AUTHORIZATION NOT NEEDED; SCHEDULING ALLOWED								
	Medicare	301	n/a	Maybe	V	V	V	M	Verify Part B coverage for OP Visits. See Ref Guide for details
	Hospital Presumptive Eligibility (HPE)	402	n/a	Maybe	V	V	V	Y	Must verify effective date
	Medi-Cal	405	n/a	Maybe	V	V	V	Y	
	Medi-Cal/CCS	409	n/a	Maybe	V	V	V	Y	SAR** approved w/ MCal
	Medi-Cal Pending Dist (Hospital Designated)	407	n/a	Maybe	V	V	V	Y	Potentially HPE eligible
	Medi-Cal Pending: Various District	423	n/a	Maybe	V	V	V	Y	Potentially HPE eligible
[uninsured/special programs]	Uninsured - AUTHORIZATION NOT NEEDED; SCHEDULING ALLOWED, IDENTIFY PROGRAM/COVERAGE.								
	Medi-Cal Restricted Benefits	406	n/a	Maybe	V	V	V	Y	Auto-ATP for non-covered services for LA County residence; may also be MHLA. Rancho only – also use 403.
	Self-Pay Outpatient	000	n/a	Maybe	P	P		Y	Patient should be screened for program or arrange for payment
	IP Self Pay Liabilities, No Liability	469	n/a	Maybe			P	Y	
	ATP: Approved No Liability, Approved Liability	350,351	n/a	Maybe	V	V	V	Y	Screen for HPE, MCal; MHLA pt may be cleared on 350 for courtesy visit only. Ok to Admit.
	General Relief	352	n/a	Maybe	V	V	V	Y	Screen for HPE, request MCal
	Mental Health, with Liability	320, 321	n/a	Maybe	V	V	V	Y	Refer to Reference Guide
	Special Programs*** AUTHORIZATION NOT NEEDED; SCHEDULING ALLOWED. CODES ARE SERVICE SPECIFIC.								
	Ryan White: Pending, Approved	345, 360	n/a	Maybe				Y	Eligible for ADAP RX coverage
	Genetically Handicapped	358	n/a	Maybe				Y	SAR required. Ok to Admit
	Research/Grant Programs	363	n/a	Maybe				Y	Must have IRB on file
	Cancer Detection Program	365	n/a	Maybe				Y	Potentially HPE eligible
	Assault& Abuse Evidence	373	n/a	Maybe				Y	Violence Intervention
	IMPACT Prostate Cancer	375	n/a	Maybe				Y	Potentially HPE eligible
	CCS: Pending	380	n/a	Maybe	VN			Y	Verified Non-DHS; refer to Procedure doc
	CCS: Approved	381	n/a	Maybe	VN			Y	Use when CCS SAR is approved/billable without MCal
	Other County Departments	384	n/a	Maybe	VN			Y	Used for HUB clinics
	Probation Department	387	n/a	Maybe				Y	Not HPE eligible
	Sheriff Department	388	n/a	Maybe				Y	Not HPE eligible
	Accident Litigation	461	n/a	Maybe				Y	
	State Hospital Referral	464	n/a	Maybe				Y	
	Tuberculosis	471	n/a	Maybe				Y	
	Mandated Programs/Public Health	476	n/a	Maybe				Y	Potentially HPE eligible
	Family Plan Services/Non-Medi-Cal	480	n/a	Maybe	V			Y	Potentially HPE eligible; Family Planning services only

** SAR: Service Authorization Request. State approval required.

*** Financial clearance for special programs is service specific. The insurance code may need to change if the service the patient is receiving changes.

VN = Verified Non-DHS. Financially cleared only for one (current) encounter.

P = Pending. Not financially cleared for out-patient services. If authorization is obtained for outpatient services, change to VN.

V = Verified. Financially cleared for out-patient services for current month.

Appendix III—Insurance Codes & Financial Clearance Guidelines For LA County Residents

[Other]	Payor Category	Coverage Code(s)	Assigned	Empan-eled	Verified Sta-tus			RX	Notes
	Out of County or Other Payment Arrangement – PATIENT GENERALLY NOT SCHEDULED UNLESS PAYMENT ARRANGED								
	Out of County/Discount Pay-ment Plan	484	n/a	NO	VN		P	M	Use after contract signed
	Out of County/Country	501	n/a	NO	P	P	P	M	Arrange for payment
	Prepayment Outpatient	325	n/a	Maybe	VN			M	
	Prenatal Outpatient/Prepaid Delivery	326/328	n/a	Maybe	VN		VN	M	326: Medi-Cal application needs to be taken for the child; 328: Payment plan for a portion of 7 visits
	Medicaid	510	n/a or Non-DHS	NO	P	P	P	M	Auth req or arrange for payment
	IA County Employee	536	n/a	Maybe	P	P	P	M	
	Professional Risk Management (PRM)/Lifetime Care Settled	537, 538	n/a	Maybe	V	V	V	Y	
	Fast Track	539	n/a	NO	VN		VN	M	Use after LOA executed, secondary IC with coverage

VN = Verified Non-DHS. Financially cleared only for one (current) encounter.

P = Pending. Not financially cleared for out-patient services. If authorization is obtained for outpatient services, change to VN.

V = Verified. Financially cleared for out-patient services for current month.

COUNTY OF LOS ANGELES-DEPARTMENT OF HEALTH SERVICES
ORDER OF INSURANCE FOR REGISTRATION
INSURANCE CODES PRIORITY

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1		MEDI-CAL FFS IC 402, 405	RESTRICTED MEDI-CAL IC 406	CCS IC 381	MEDI-CAL WITH CCS IC 409	MEDI-CAL MANAGED CARE NON-DHS IC 550, 564, 617, 646, 651, 656, 661, 666, 671	MEDI-CAL MANAGED CARE-DHS IC 615, 644	COMMERCIAL INSURANCE IC 503, 504, 523, 524, 525, 526, 530, 531, 533, 551, 577, 581, 583	IHSS IC 441	MEDICARE FFS IC 301	CAL MEDICONNECT IC 545	MEDICARE HMO IC 545	SHERIFFS IC 387, 388*	DCFS IC 384**
2	MEDI-CAL FFS IC 402, 405	N/A	CHECK MEDI-CAL AID CODE	N/A	VARIES BASED ON SERVICE. SEE REFERENCE GUIDE	CHECK HEALTH PLAN WEBSITE	CHECK HEALTH PLAN WEBSITE	1. COMMERCIAL INS 2. MEDI-CAL FFS	1. IHSS 2. MEDI-CAL FFS	1. MEDICARE FFS 2. MEDI-CAL	1. CAL MEDICONNECT	1. MEDICARE HMO 2. MEDI-CAL	1. SHERIFFS 2. MEDI-CAL	1. DCFS 2. MEDI-CAL
3	RESTRICTED MEDI-CAL IC 406		N/A	VARIES BASED ON SERVICE. SEE REFERENCE GUIDE	N/A	N/A	N/A	1.COMMERCIAL INS 2. RESTRICTED MEDI- CAL	1. IHSS 2. RESTRICTED MEDI- CAL	1. MEDICARE FFS 2. RESTRICTED MEDI- CAL	N/A	1. MEDICARE HMO 2. RESTRICTED MEDI- CAL	1. SHERIFFS 2. RESTRICTED MEDI- CAL	1. DCFS 2. RESTRICTED MEDI- CAL
4	CCS IC 381			N/A	1. MEDI-CAL/CCS	1.CCS(3) 2.MANAGED CARE NON- DHS	1. CCS 2. MANAGED CARE DHS	1. COMMERCIAL INS 2. CCS	1. IHSS 2. CCS	1. MEDICARE FFS 2. CCS	N/A	1. MEDICARE HMO 2. CCS	1. SHERIFFS 2. CCS	1. DCFS 2. CCS
5	MEDI-CAL WITH CCS IC 409				N/A	1. MEDI-CAL/CCS 2. MANAGED CARE	1. MEDI-CAL/CCS 2. MANAGED CARE DHS	1. COMMERCIAL INS 2. MEDI-CAL/CCS	1. IHSS 2. MEDI-CAL/CCS	1. MEDICARE FFS 2. MEDI-CAL/CCS	1. CAL MEDICONNECT 2. MEDI-CAL/CCS	1. MEDICARE HMO 2. MEDI-CAL/CCS	1. SHERIFFS 2. MEDI-CAL/CCS	1. DCFS 2. MEDI-CAL/CCS
6	MEDI-CAL MANAGED CARE NON-DHS IC 550, 564, 617, 646, 651, 656, 661, 666, 671					N/A	CHECK HEALTH PLAN WEBSITE	1. COMMERCIAL INS 2. MANAGED CARE NON- DHS	1. IHSS 2. MANAGED CARE NON- DHS	1. MEDICARE FFS 2. MANAGED CARE NON- DHS (4)	1. CAL MEDICONNECT 2. MANAGED CARE NON-DHS	1. MEDICARE HMO 2. MANAGED CARE NON-DHS	1. SHERIFFS 2. MANAGED CARE NON-DHS	1. DCFS 2. MANAGED CARE NON- DHS
7	MEDI-CAL MANAGED CARE-DHS IC 615, 644						N/A	1. MANAGED CARE DHS 2. COMMERCIAL INS	1. IHSS 2.MANAGED CARE DHS	1. MEDICARE FFS 2. MANAGED CARE DHS	1. CAL MEDICONNECT 2. MANAGED CARE DHS	1. MANAGED CARE DHS (4) 2. MEDICARE HMO	1. SHERIFFS 2. MANAGED CARE DHS	1. DCFS 2. MANAGED CARE DHS
8	COMMERCIAL INSURANCE IC 503, 504, 523, 524, 525, 526, 530, 531, 533, 551, 577, 581, 583							N/A	1. IHSS 2. COMMERCIAL INS	1. COMMERCIAL INS (5) 2. MEDICARE FFS	1. COMMERCIAL INS 2. CAL MEDICONNECT	1. COMMERCIAL INS 2. MEDICARE HMO	1. SHERIFFS 2. COMMERCIAL INS	1. DCFS 2. COMMERCIAL INS
9	IHSS IC 441								N/A	1. MEDICARE FFS (2) 2. IHSS	1. IHSS 2. CAL MEDICONNECT	1. IHSS 2. MEDICARE HMO	1. SHERRIFFS 2. IHSS	1. DCFS 2. IHSS
10	MEDICARE FFS IC 301									N/A	1. CAL MEDICONNECT	N/A	1. SHERIFFS 2. MEDICARE FFS	1. DCFS 2. MEDICARE FFS
11	CAL MEDICONNECT IC 545										N/A	1. MEDICARE HMO 2. CAL MEDICONNECT	1. SHERIFFS 2. CAL MEDICONNECT	1. DCFS 2. CAL MEDICONNECT
12	MEDICARE HMO IC 545											N/A	1. SHERIFFS 2. MEDICARE HMO	1. DCFS 2. MEDICARE HMO
13	SHERIFFS IC 383, 387, 388												N/A	1. DCFS 2. SHERIFFS
14	DCFS IC 384													N/A

(1) Codes solely to be used by Registration staff for Insurance Coding Priority - does not apply to insurance coding for Billing

(2) Medicare Secondary Payor (MSP) is required to be completed appropriately with the patient to verify potential other primary coverage

(3) Services provided to children under the California Children Services (CCS) program; when a SAR is approved, code as 409 as primary and Medi-Cal managed care as secondary

(4) Notify the health plans that patient should not be assigned under Medi-Cal to a PCP due to full Medicare coverage and document in ORCHID (New Person Comments)

(5) If the patient only has Medicare FFS and Medicare Supplement Insurance (Medigap) policy, code 301 in primary and 531 in secondary.

* Sheriffs to be used for patients who are in custody with a booking #

** To be used as primary code for HUB clinics when patient is brought in by DCFS (Social Worker) for medical exams, forensic evals, follow-up and mental health screenings for children in the child welfare system. If brought in by Local Police Department with CalEMA form, use 373 - Violence in Prevention

LEGEND KEY			
Check additional resource	Auth + Capacity for services required.	Ok to schedule / financially clear within the same month	DCFS/SHERIFF
Ok to schedule / financially clear within the same month when SAR is approved			
UM / PAC should attempt to get authorization from the Commercial/HMO insurance for admission, transfers to higher level of care facility, DMES, outpatient services in-network or OON referrals			

APPENDIX V

	<u>Family Planning (including STI/HIV testing)</u>	<u>Pregnancy Termination</u>
Financial Clearance and Registration Guidelines for Specific OB/GYN services:		
Managed Care (DHS)	Financially clear (Verified) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Financially clear (Verified)
Medi-Cal Managed Care (non-DHS) LA County and non-LA County	Financially clear only for these services (Verified Non-DHS) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Financially clear only for these services (Verified Non-DHS)
Medi-Cal FFS (LA County and non-LA County)	Financially clear (LA County-Verified, non LA County-Verified Non-DHS) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Financially clear (LA County-Verified, non LA County-Verified Non-DHS)
Restricted Medi-Cal (LA County or non-LA County)	Take FPACT application, financially clear (LA County-Verified, non LA County-Verified Non-DHS) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Financially clear (LA County-Verified, non LA County-Verified Non-DHS) <i>Note: services are covered by Restricted Medi-Cal for pregnancy</i>
ATP (including MHLA)	Take HPE/ Medi-Cal - If not eligible, potentially eligible for FPACT Financially clear (Verified) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Take HPE/ Medi-Cal - If not eligible, leave as ATP Financially clear (Verified)
Self-Pay - Uninsured (LA County)	Take HPE/ Medi-Cal - If not eligible, potentially eligible for FPACT; if not, potentially eligible for ATP - Financially clear (Medi-Cal or ATP - Verified, FPACT only-Verified Non-DHS)	Take HPE / Medi-Cal - If not eligible, ATP - If refuses, Pre-Payment program Financially clear (Medi-Cal or ATP - Verified, FPACT only-Verified Non-DHS)
Self-Pay - Uninsured (non-LA County)	If patient lives in CA, take HPE/Medi-Cal - If not eligible, potentially eligible for FPACT If patient does not live in CA, Out-of-County discount payment program Financially clear (Verified Non-DHS) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Take HPE / Medi-Cal - If not eligible, Out-of-County discount payment program or Self-Pay Financially clear (Verified Non-DHS)
Private Insurance (LA County)	Try to obtain authorization from private insurance, patient must pay any co-pay. If no auth/not covered or other reason, FPACT eligible in some circumstances (see Ref Guide - Section III. G). - If not eligible - ATP w/ liability Financially clear (Verified Non-DHS) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Try to obtain the authorization from the insurance If insurance does not cover, HPE/Medi-Cal If ineligible ATP (or ATP with liability) or Pre-Payment program Financially clear (Verified Non-DHS)
Private Insurance (Non-LA County)	Try to obtain authorization from private insurance, patient must pay any co-pay. If no auth/not covered or other reason and lives in CA, FPACT eligible in some circumstances (see Ref Guide - Section III. G). If not eligible or does not live in CA, Out-of-County discount payment program Financially clear (Verified Non-DHS) Superbill required, obtain Family Size and Income in "Patient Info" tab in registration	Try to obtain the authorization from the insurance If insurance does not cover, HPE/Medi-Cal If ineligible Out-of-County discount payment program or Self-Pay Financially clear (Verified Non-DHS)

Service Access Grid by Coverage

Updated Dec 2019

		Uninsured	Fee-For-Service	Managed Care		
TYPE OF SERVICE		Uninsured /Special Program (Attachment I-Group 1)	Fee-For-Service Medi-Cal and/or Medicare (Attachment I-Group 2)	Medi-Cal Managed Care, Assigned to DHS (Attachment I-Group 3-A)	Medi-Cal Managed Care, Not Assigned to DHS (Attachment II-Group 3-B)	Private / Commercial HMO Insurance (Attachment II-Group 4)
Outpatient	Primary	YES (Check empanelment. If empaneled to wrong provider, CERF)	YES (Check empanelment. If empaneled to wrong provider, CERF)	YES (Patient automatically empaneled. If empaneled to wrong provider, CERF. If empaneled to wrong site, call Plan)	No, unless patient changes provider.	NO
	Specialty	YES	YES	YES	Requires Prior Authorization or provider change.*	Requires Prior Authorization.*
	Other Outpatient: Surgery and Diagnostics	YES	YES	YES	Requires Prior Authorization or provider change.*	Requires Prior Authorization.*
Inpatient	Scheduled Admission	YES	YES	YES	Prior Authorization Required	Prior Authorization Required
	Admission through ED	YES	YES	YES	Prior Authorization Required (within 24 hours of stabilization, if plan does not respond within 30 minutes, default authorization)	
ED		YES	YES	YES	YES	YES
Other Outpatient Services	DENTAL	YES	YES (Check dental coverage. Must be Medi-Cal fee-for-service for dental benefits)	Check dental coverage. Medi-Cal managed care patients have separate dental coverage- either Medi-Cal fee-for-service or a dental plan. Medi-Cal fee-for-service dental benefits are accepted in DHS.		NO
	MENTAL	YES	YES	YES	YES	Prior Authorization Required
	Substance Abuse	YES	YES	YES	YES	Prior Authorization Required

*Authorization is not required for outpatient services in the following scenarios: Hub, Jail, Post-Op, ED Extension, Newborn, PPO insurance, Post-Op and sensitive services.



EXHIBIT A._.2 (PATIENT TRANSACTION SERVICES GO-LIVE REPORTS)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT A. .2

PATIENT TRANSACTION SERVICES GO-LIVE REPORTS

This Exhibit A. .2 (Patient Transaction Services Go-Live Reports) is an attachment and addition to the Electronic Health Records System and Services Agreement, Agreement No. H-705407, by and between the County of Los Angeles (“**County**”) and Cerner Corporation (“**Contractor**”), with an Effective Date of December 21, 2012 (the “**Agreement**”) as amended, and is incorporated into the Agreement by reference hereof. Unless specifically defined in this Exhibit, capitalized terms shall have the meanings set forth in the Agreement.

Contractor shall provide EHR System changes and other Services as necessary to (i) enable the continued functionality of the existing reports set forth below, and (ii) develop and provide functionality for the new reports set forth below, in connection the Patient Transaction Services functionality to be implemented by Contractor under Amendment 19. Upon Go-Live of the Patient Transaction Services Modules and throughout the Term thereafter, the reports set forth below shall (i) continue to provide all functionality provided by such reports as of the Amendment 19 Date (as to existing reports); (ii) shall provide new functionality as required for the Patient Transaction Services (as to new reports); and (iii) shall meet the Specifications under the Agreement, including the Specifications set forth in this Exhibit A. .2 (Patient Transaction Services Go-Live Reports).

No.	Name of Report or Worklist	Type/ Source	Description	Report Type
1.	Financial Screening letters report	Explorer Menu	Self-pay and Private Insurance	Existing report within the EHR System
2.	Discharge Patient daily/weekly	PowerInsight	This report is used by IP Supervisors and PFSWs to identify and verify coverages and chart. Also if no coverage we can call the patient and schedule the patient for possible Medi-Cal application.	Existing report within the EHR System
3.	Financial Clearance Log - daily tracking	ORCHID	Daily tracking by clinic of how far in advance the encounters have been cleared. Helps with workload distribution.	New custom report within the EHR System
4.	Eligibility Summary	Experian Power Reporting Portal	The Eligibility Summary report shows a high-level overview of eligibility transactions for the given dates. This report is broken down into sections that show Eligibility Transactions by Response Category, Response Category Trending, and Response Category Percent Trending.	New standard report within the Experian Modules
5.	Eligibility Trending	Experian Power Reporting Portal	The Eligibility Trending tab displays the individual response categories by product and includes the number of transactions in a given date range. The product category is depicted by the different colors in the graph, with blue for Coverage Discovery, green for eCare NEXT, orange for EDI, red for OneSource, and brown for other.	New standard report within the Experian Modules
6.	Eligibility Response Summary	Experian Power Reporting Portal	This tab displays a tabular view of the responses that occurred by payer, department and user. For example, the Payer Response Summary indicates how many total transactions were run per payer, as well as a breakdown of how many and what percentage of transactions were active, inactive, coverage not found, and search error. Click the + and – signs within the report to expand or collapse fields within the summaries.	New standard report within the Experian Modules
7.	Eligibility by Payer	Experian Power Reporting Portal	This tab displays eligibility transactions by payer in the top graph. By clicking on each payer, the subsequent graphs below change to show specific trending data for that payer.	New standard report within the Experian Modules

No.	Name of Report or Worklist	Type/ Source	Description	Report Type
8.	Eligibility Payer Details	Experian Power Reporting Portal	The Payer Details tab displays a tabular view of the payer details. This data is broken out into trading partner, facility name, department, payer name, product, date, the total number of transactions and the amount of transactions that fall into each response category.	New standard report within the Experian Modules
9.	Eligibility by Facility	Experian Power Reporting Portal	The Eligibility by Facility tab displays eligibility transactions by facility in the top graph. By clicking on each facility, the subsequent graphs below change to show specific trending data for that facility.	New standard report within the Experian Modules
10.	Eligibility by Department	Experian Power Reporting Portal	The Eligibility by Department tab displays eligibility transactions by department in the top graph. By clicking on the desired department, the subsequent graphs below change to show specific trending data for that department.	New standard report within the Experian Modules
11.	Eligibility by User	Experian Power Reporting Portal	The Eligibility by User tab displays eligibility transactions by user in the top graph. By clicking on the desired user, the subsequent graphs below change to show specific trending data for that user.	New standard report within the Experian Modules
12.	Eligibility User Details	Experian Power Reporting Portal	Details of eligibility transactions by user are available under the User Details tab. This tab shows a breakdown of transactions run by each user by payer, product, and date.	New standard report within the Experian Modules
13.	RQA Alerts Fired & Alerts Resolution	Experian Power Reporting Portal	The RQA Alerts Fired reports provide users with quick and actionable information regarding recently fired alerts. The RQA Alert Resolution reports provide users with information about how alerts were resolved. These reports gives the user the ability to summarize findings at a high-level and then deep-dive to the granular account-level.	New standard report within the Experian Modules
14.	RQA Client Dashboard	Experian Power Reporting Portal	This dashboard report provides useful information for management at all levels by providing high-level details for executive leadership as well as granular reports that track individual user accuracy.	New standard report within the Experian Modules
15.	RQA Scorecard	Experian Power Reporting Portal	The Scorecard assesses the accuracy of operators during a specific user-defined time range. Within the Scorecard report, there is a cover page and four different tabs – Top Fives, Scorecard Accuracy, Scorecard and Operator Alert Details.	New standard report within the Experian Modules
16.	Coverage Discovery Daily	Experian Power Reporting Portal	This tab displays a pie chart of the top 5 payers found with Coverage Discovery, as well as a summary of the number and value of found coverage for top payers. Users may hover over the pie chart to view additional information on the top payer breakdown. Below this information, details of the value and	New standard report within the Experian Modules

No.	Name of Report or Worklist	Type/ Source	Description	Report Type
			number of coverages found on a daily basis is listed in tabular format.	
17.	Coverage Discovery Top Payers	Experian Power Reporting Portal	This tab displays a pie chart of the top 5 payers found with Coverage Discovery, as well as a summary of the number and value of found coverage for top payers. Users may hover over the pie chart to view additional information on the top payer breakdown. Below this information, details of the value and number of coverages found on a daily basis is listed in tabular format.	New standard report within the Experian Modules
18.	Coverage Discovery Facility Details	Experian Power Reporting Portal	The Facility Details tab displays information such as facility name, date created, insurance name, total accounts sent, value of found coverage and percent of found coverage in a tabular view.	New standard report within the Experian Modules
19.	Coverage Discovery Details	Experian Power Reporting Portal	The Coverage Discovery Details report provides detailed data on Coverage Discovery activity. This includes a summary of Coverage Discovery findings for the given date range, broken down by accounts sent, number of found coverage, percent of found coverage, and value of found coverage. Also available is a breakdown of the coverage found by payer type. Below the summary are account-level details of found coverage, such as account number and date of service.	New standard report within the Experian Modules
20.	Coverage Discovery Trending	Experian Power Reporting Portal	The Coverage Discovery Trending report is designed to give a summary view of Coverage Discovery activity trended month over month.	New standard report within the Experian Modules
21.	Advance Beneficiary Notice	ORCHID	The Advance Beneficiary Notice report lists counts and percentages of advance beneficiary notices needed and signed.	New standard report within the EHR System
22.	Authorization Completed by User	ORCHID	The Authorizations Completed by User report lists patients and their authorization status.	New standard report within the EHR System
23.	Electronic Eligibility Statistics	ORCHID	The Electronic Eligibility Statistics report provides summary and detailed information regarding the electronic submission of benefit eligibility.	New standard report within the EHR System
24.	Insurance Verification Rate	ORCHID	The Insurance Verification Rate report calculates insurance verification rates for all patients: pre-registration and unscheduled inpatient encounters.	New standard report within the EHR System
25.	KPI - Insurance Verification Rate	ORCHID	Insurance Verification KPI can help you understand how quickly patients' insurance is being verified by providing the rate at which insurance is verified on outpatient encounters.	New standard report within the EHR System

No.	Name of Report or Worklist	Type/ Source	Description	Report Type
			The Insurance Verification Rate report calculates insurance verification rates for all patients: pre-registration and unscheduled inpatient encounters.	
26.	KPI - Services Authorization	ORCHID	This report lists the percentage of encounters where a service authorization was obtained	New standard report within the EHR System
27.	Medical Necessity Write-Off	ORCHID	The Medical Necessity Write-off report lists all charges that were written off during a specific time frame. This is based on the Transaction Sub-Type and Transaction Reason of the alias configured in the Transaction Alias Tool to write off charges from the Coding with Cerner Encoder/Grouper perspective.	New standard report within the EHR System



EXHIBIT B._ (PATIENT TRANSACTION SERVICES SOFTWARE COMPONENTS)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT B._

PATIENT TRANSACTION SERVICES SOFTWARE COMPONENTS

This Exhibit B._ (Patient Transaction Services Software Components) is an attachment and addition to the Electronic Health Records System and Services Agreement, Agreement No. H-705407, by and between the County of Los Angeles ("**County**") and Cerner Corporation ("**Contractor**"), with an Effective Date of December 21, 2012 (the "**Agreement**"), as amended by the Parties and is incorporated into the Agreement by reference hereof. Unless specifically defined in this Exhibit, capitalized terms shall have the meanings set forth in the Agreement.

1. LICENSED SOFTWARE

Licensed Software		
No.	Product Name	Contractor Product No.
1.	Cerner Eligibility and Benefits Verification (HDX) ¹	RC-20325-MIN

¹ Patient Transaction Services Module

2. THIRD PARTY PRODUCTS

Third Party Products		
No.	Product Name	Contractor Product No.
1.	eCare NEXT (including InProcess Script touchless processing, Batch File Interface, and Document Imaging Interfaces) ^{1, 2}	07642551, 07642585, 07642577, 07642692
2.	Registration QA ^{1, 2}	07642593
3.	Premium Eligibility Verification Service ^{1, 2}	07642080-MIN
4.	Coverage Discovery ^{1, 2}	07642098-MIN

¹ Patient Transaction Services Module

² Experian Module



EXHIBIT C (AMENDMENT 19 TO EXHIBIT C (FEES; CONTRACTOR
PROFESSIONAL SERVICES RATES))

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT C

AMENDMENT 19 TO EXHIBIT C (FEES; CONTRACTOR PROFESSIONAL SERVICES RATES)

This Exhibit C (Amendment 19 to Exhibit C (Fees; Contractor Professional Services Rates)) is an attachment and addition to the Electronic Health Records System and Services Agreement dated December 21, 2012 (the “**Agreement**”) entered into by and between the County of Los Angeles (“**County**”) and Cerner Corporation (“**Contractor**”), as amended, and is incorporated into the Agreement by reference hereof. Unless specifically defined in this Exhibit, capitalized terms shall have the meanings set forth in the Agreement.

1. INTRODUCTION

The fundamental premise of the fee and pricing structure under the Agreement is that all elements of the EHR System, including the Licensed Software, Third-Party Products, Integral Third-Party Software, Hosting Software, Hardware, and Services including, Implementation Services, Hosting Services, Support Services, and any Optional Work are paid for only in the amount, and solely through the contractually specified mechanisms for payment of the fees (the “**Authorized Billing and Payment Mechanisms**”) set forth in this Exhibit C (Fees; Contractor Professional Services Rates), regardless of whether or not all costs or expenses to Contractor of providing a specific element of the EHR System can be directly traced to, or are captured by, an Authorized Billing and Payment Mechanism, each described in Section 2 (Authorized Billing And Payment Mechanisms). It is understood and agreed by the Parties that the total amount to be paid by County under the Agreement cannot exceed the Contract Sum unless the Contract Sum is modified pursuant to a duly Approved Amendment to the Agreement by the Board and Contractor’s authorized representative(s) pursuant to Section 13 (Changes to Agreement) of the Agreement. The Contract Sum is the maximum amount that could be paid, but is not a commitment to spend sums allocated under the Contract Sum for Optional Work.

As set forth in Section 14.1 (Contract Sum) of the Agreement:

The Contract Sum under this Agreement shall be the total monetary amount payable by County to Contractor for supplying all the tasks, subtasks, Deliverables, goods, and Services required or requested by County under and during the Term of this Agreement. If County does not Approve work in writing, no payment shall be due Contractor for those Services. The Contract Sum, including all applicable taxes, authorized by County hereunder shall not exceed [**] as further detailed in Exhibit C (Fees; Contractor Professional Services Rates), unless the Contract Sum is modified pursuant to a duly Approved Amendment to this Agreement by the Board and Contractor’s authorized representative(s) pursuant to Section 13 (Changes to Agreement). The Contract Sum under this Agreement shall cover the authorized payments for all elements of the EHR System, including the Licensed Software, Third-Party Products, Hosting Software, Hardware, and Services including, Implementation Services, Hosting Services, Support Services, and any Optional Work. The Contract Sum shall not be adjusted for any costs or expenses whatsoever of Contractor.

The amounts to be paid by County under this Agreement through the Authorized Billing and Payment Mechanisms include all Contractor costs, including Contractor overhead, profit margin, and all costs of services, product, and goods delivery within the definition of Services. The Contract Sum is the total amount that is allocated by County for payment under this Agreement, but is not the amount to be paid to Contractor under this Agreement. In the absence of an Approved Physical Growth Event, any sum attributed to a Use Reconciliation, the Approval by County of Optional Work, and Amendment approving additional EHR capabilities, and assuming no COLA adjustment is required; the maximum amount to be paid to Contractor over the Term under this Agreement as of the Effective Date is Two Hundred and Seventy-One Million, One Hundred and Seven Thousand, One Hundred and Eleven Dollars (\$271,107,111). This maximum amount has been amended subsequent to the Effective Date by the Amendments to the Agreement.

Exhibit C.9 (Detailed Pricing Summary) provides the detailed pricing summary by component of the EHR System. Exhibit C.8 (Summary of Licensed Software Pricing by Module) provides a summary of pricing by Module of the EHR System.

2. AUTHORIZED BILLING AND PAYMENT MECHANISMS

There are only six (6) Authorized Billing and Payment Mechanisms for payment of the fees under this Agreement. Each of these is detailed in this Section 2 (Authorized Billing and Payment Mechanisms) of Exhibit C (Fees; Contractor Professional Services Rates) and listed as follows:

1. Milestone Payments
2. Recurring Monthly Fees
3. Approved Physical Growth Event
4. Optional Work
5. Amendment
6. Post-Contract Year 10 Cost of Living Adjustment and Fixed Third Party Product Cost Increases

Contractor cannot invoice County under the Agreement except as provided under one of the Authorized Billing and Payment Mechanisms, and will not be entitled to, and will not receive, any payment, except as provided under one of the Authorized Billing and Payment Mechanisms set forth in this Section 2 (Authorized Billing And Payment Mechanisms).

2.1. Milestone Payments

This Exhibit C (Fees; Contractor Professional Services Rates) sets forth the Milestone payment structure Exhibit C.6 (Key Milestones and Key Deliverables Table) and amounts ("**Milestone Payments**") set forth in Exhibit C.2 (Milestone Payments Table). The Milestone Payments amount as of the Effective Date of Sixty-Eight Million, Three Hundred Eighty Nine Thousand, Three Hundred Forty-Seven Dollars (\$68,389,347) through the Productive Use of the last Cluster is fixed and is not subject to change except in the event of an Approved Physical Growth Event or Approved Supplemental Travel each described below, and collectively referred to as "**Authorized Modifications to Milestone Payments**". The Milestone Payments have been amended subsequent to the Effective Date by the Change Orders and Amendments to the Agreement. The Milestone Payments were negotiated between Contractor and County as a material condition under this Agreement and for the period from the Effective Date through the payment of the last Milestone Payment are to capture all compensation to Contractor for the Licensed Software (includes Integral Third-Party Software), Third-Party Products, Implementation Services, Support Services prior to its transition to Recurring Monthly Fees, one-time costs as to AMS Services and AMS Services prior to its transition to Recurring Monthly Fees, one-time costs as to Hosting Services, and Hardware. Specified components of the Services (e.g. Hosting Services), and Licensed Software, and Third Party Products (e.g., clinical content) included in the Milestone Payments will transition from being paid under the Milestone Payments to being paid as Recurring Monthly Fees upon Productive Use of the last Cluster (these items are highlighted on Exhibit C.3 (Pricing Spreadsheet) both individually and collectively as "**Milestone Payments Items That Transition**").

The Milestone Payments are to be paid in accordance with the Agreement. Sections 14.3 (Implementation Services) and 15 (Invoices and Payments) most directly address the Milestone Payments, though relevant issues such as Acceptance, are addressed throughout the Agreement. Exhibit C.2 (Milestone Payments Table) identifies the Key Milestones; the Key Milestone Allocation; the Key Milestone Scheduled Duration; the Monthly Key Milestone Payment; the Holdback Amount as to each Monthly Key Milestone Payment; the Key Deliverables associated with each Key Milestone; and the Credit Due Date for each Key Deliverable. As to items marked on Exhibit C.2 (Milestone Payments Table) as Milestone Payments Items That Transition, if Productive Use of the last Cluster does not occur on or before November 30, 2015 and County has not provided notice to Contractor of a material breach of the entire Agreement, such items will transition from being paid under the Milestone Payments to being paid as Recurring Monthly Fees. Notwithstanding the payment dates and amounts in the supporting exhibits of this Exhibit C (Fees; Professional Service Rates), the payment dates and amounts are subject to the provisions of the Agreement and the timing may otherwise be adjusted to accommodate Approved modifications to Exhibit A.25.1 (Project Work Plan).

The Parties understand and agree that there is no concept of a financial change order applicable to the Agreement, except as expressly provided for with regard to Optional Work or Pool Dollars that are derived from one of the Authorized Billing and Payment Mechanisms. The limitations on the concept of a financial change order are

intentional and are designed to ensure that the fixed fee elements of the Agreement remain unchanged and predictable throughout the Term.

As to Milestone Payments, in the absence of an Approved Physical Growth Event, there can be no change to the Milestone Payments except for Approved Supplemental Travel. For purposes of this Agreement, Approved Supplemental Travel is appropriate only in the event that (1) County Approves Super User training of some or all of the 300 Super Users that Contractor agreed to provide at County locations; (2) if County elects to have an implementation event take place in California which is planned to occur under the SOWs in Kansas City, Mo., (3) travel to California required by the Contractor Delivery Consultant(s), Contractor Solution Architect(s) or other required resources in connection with the implementation of Infusion Management, or (4) Contractor provides non-standard and additional resources on site at County facilities to work with the County Work Groups to address systemic issues identified relating to completion of Decision Design Matrix or Data Collection Workbook (e.g., time management, complexity, facilities, tools, materials) and its Learning Services Consultant or other non-standard on site resources as determined necessary to support the Project through the governance process defined in Exhibit A.2 (Project Initiation Statement of Work).

Approved Supplemental Travel shall include reimbursement of airfare, parking, mileage, rental cars, taxi, fuel, tolls, lodging, and per diem Approved by County in advance of the expenditures and the reimbursement shall be subject to, and shall not exceed, the expenditure limits set forth for County personnel in the then current Chapter 5.40 (Travel and Other Expenses) of the Los Angeles County Code, and as updated from time to time by the Los Angeles County Auditor-Controller. Contractor will provide all invoices, receipts, and other documentation reasonably needed to support the request for reimbursement.

2.2. Recurring Monthly Fees

This Exhibit C (Fees; Contractor Professional Services Rates) sets forth the timing and amounts of the Recurring Monthly Fees. The total Recurring Monthly Fees amount as of the Effective Date of One Hundred Twenty Million, Five Hundred Seventy-One Thousand, Two Hundred Twenty-Six Dollars (\$120,571,226) as reflected on Exhibit C.2 (Milestone Payments Table) under Total Recurring Monthly Fees through the Initial Support Term are fixed and are not subject to change except in the event of an Approved Physical Growth Event or a Use Reconciliation after Contract Year 5 and Contract Year 7. The Recurring Monthly Fees amount as of the Effective Date of Seventy-Nine Million, Six Hundred Forty-One Thousand, Six Hundred Five Dollars (\$79,641,605) from the first Renewal Term through the Term are fixed and are not subject to change except in the event of (1) an Approved Physical Growth Event, (2) a Use Reconciliation after Contract Year 10 and after Contract Year 15, if applicable, or (3) a Contract Year 10 Cost of Living Adjustment. The Recurring Monthly Fees were negotiated between Contractor and County as a material condition under this Agreement to capture all compensation to Contractor for the Licensed Software (includes Integral Third-Party Software), Third-Party Products, Services (Includes Implementation Services, AMS Services, Support Services, Hosting Services), Hardware, Hosting Software, and Hosting Environment; subject only to the Authorized Billing and Payment Mechanisms and Use Reconciliation. The Total Recurring Monthly Fees have been amended subsequent to the Effective Date by the Change Orders and Amendments to the Agreement.

2.2.1. Use Reconciliation

After the completion of the fifth (5th), seventh (7th), tenth (10th), fifteenth (15th), and eighteenth (18th) Contract Years, and in a Contract Year following an Approved Physical Growth Event, Contractor may request in writing within sixty (60) days of the beginning of the applicable Contract Year, a Use Reconciliation to occur during the first calendar quarter of the applicable Contract Year. The results of the Use Reconciliation will be applied as of the first (1st) day of the Contract Year in which the Use Reconciliation takes place.

2.2.1.1. Use Reconciliations for Specific Products

Except as to the first paragraph of Section 2.2.1 (Use Reconciliation), above, the remaining provisions of that paragraph are hereby restated and amended as follows:

2.2.1.1.1. Use Reconciliations for ePrescribe

Due to the potential higher volatility in the County's use of ePrescribe as compared to other Integral Third-Party Software or Third-Party Products, and because the cost of ePrescribe is passed through by Contractor to County

without mark-up, County has agreed to a more frequent Use Reconciliation schedule for ePrescribe. County's use of ePrescribe will be evaluated annually after the first Use Reconciliation and throughout the Support Term (and Contractor may request one additional Use Reconciliation in a Contract Year if there is an increase in use by County of twenty percent (20%) or greater that occurs between one annual ePrescribe Use Reconciliation and the next).

2.2.1.1.2. Use Reconciliations for ePrescribe for Controlled Substances

Due to the potential higher volatility in the County's use of ePrescribe for Controlled Substances as compared to other Integral Third-Party Software or Third-Party Products, and because the cost of ePrescribe for Controlled Substances is passed through by Contractor to County without mark-up, County has agreed to a more frequent Use Reconciliation schedule for ePrescribe for Controlled Substances. County's use of ePrescribe for Controlled Substances will be evaluated annually after the first Use Reconciliation and throughout the Support Term (and Contractor may request one additional Use Reconciliation in a Contract Year if there is an increase in use by County of twenty percent (20%) or greater that occurs between one annual ePrescribe for Controlled Substances Use Reconciliation and the next).

2.2.1.1.3. Use Reconciliations for Contractor Address Validation

Because the cost of the Contractor Address Validation solutions is passed through by Contractor to County without mark-up, County has agreed to a more frequent Use Reconciliation schedule for the Contractor Address Validation solutions. County's use of the Contractor Address Validation solutions may be evaluated by Contractor annually during the first calendar quarter of each Contract Year following the Second Amendment Date.

2.2.1.1.4. Use Reconciliations for Phase 2 HealtheIntent Modules

County has agreed to a more frequent Use Reconciliation schedule for the Phase 2 HealtheIntent Modules. County's use of the Phase 2 HealtheIntent Modules will be evaluated annually during the Phase 2 HealtheIntent Modules Term. County's use of the Phase 2 HealtheIntent Modules may be evaluated by Contractor annually during the first calendar quarter of each Contract Year beginning July 1, 2018.

2.2.1.1.5. Use Reconciliations for Etreby

County has agreed to a more frequent Use Reconciliation schedule for Etreby. County's use of Etreby will be evaluated annually during the first calendar quarter of each Contract Year beginning January 1, 2018.

2.2.1.1.6. Use Reconciliations for OPENLink

County and Contractor have agreed to a different Use Reconciliation schedule for OPENLink, and County's use of OPENLink may be evaluated by Contractor after completion of the seventh (7th), tenth (10th), fifteenth (15th), and eighteenth (18th) Contract Years, and in a Contract Year following an Approved Physical Growth Event, in accordance with the process provided above.

2.2.1.1.7. Use Reconciliations for the Acuity, Scheduling, and Time System

County and Contractor have agreed to a different Use Reconciliation schedule for (i) the Scheduling Functionality for Patient-Facing Users, and (ii) the Timekeeping Functionality. County's use of the (i) and (ii) may be evaluated by Contractor (a) after the completion of the twelfth (12th), fourteenth (14th), and sixteenth (16th) Contract Years (i.e., the Contract Years ending on December 31, 2024, December 31, 2026, and December 31, 2028, respectively), (b) once after each Approved Physical Growth Event during the first calendar quarter following Productive Use of the Acuity, Scheduling, and Time System by the entity triggering the Approved Physical Growth Event (the results of this Use Reconciliation will be applied as of the first (1st) day of the first (1st) month following Productive Use of the Acuity, Scheduling, and Time System by the entity triggering the Approved Physical Growth Event), and (c) once after each cumulative increase of five percent (5%) or more of the applicable Baseline Use Metric for (i) the Scheduling Functionality for Patient-Facing Users or (ii) the Timekeeping Functionality, sustained for six (6) months, since the prior applicable Use Reconciliation (the results of this Use Reconciliation will be applied as of the first (1st) day of the first (1st) month following the sustained cumulative increase of the applicable Baseline Use Metric triggering such Use Reconciliation).

2.2.1.1.8. Use Reconciliations for Clock Hardware

County and Contractor have agreed to a more frequent Use Reconciliation schedule for Clock Hardware. County's use of Clock Hardware may be evaluated by Contractor (a) annually during the first calendar quarter of each Contract Year following the date that is one (1) year after Final Acceptance of the Services set forth under Exhibit A.66 (Acuity, Scheduling, and Time Statement of Work) to the Agreement, and (b) once after each cumulative increase of fifty (50) or more clocks since the prior Use Reconciliation for Clock Hardware (the results of this Use Reconciliation will be applied as of the Billing Start Date for each item of Clock Hardware as defined in Section 2.2 (Lease) of Exhibit A.66.5 (Clock Hardware Lease and Support Services)).

2.2.1.1.9. Use Reconciliations for Patient Support Help Desk for Video Visits and the Patient Portal

County has agreed to a more frequent Use Reconciliation schedule for the Patient Support Help Desk for Video Visits and the Patient Portal. Use Reconciliations for the Patient Support Help Desk for Video Visits and the Patient Portal may occur pursuant to Section 2.2.1 (Use Reconciliation) annually during the Term after the completion of the tenth (10th) Contract Year.

2.2.1.1.10. Use Reconciliations for Text Automations for Patient Communications

County has agreed to a more frequent Use Reconciliation schedule for the Text Automations for Patient Communications. Use Reconciliations for the Text Automations for Patient Communications may occur pursuant to Section 2.2.1 (Use Reconciliation) annually during the Term after the completion of the tenth (10th) Contract Year.

2.2.1.1.11. Use Reconciliations for Unified Consumer Communications and HealtheLife Base Notifications

County has agreed to a more frequent Use Reconciliation schedule for Unified Consumer Communications and HealtheLife Base Notifications. Use Reconciliations for Unified Consumer Communications and HealtheLife Base Notifications may occur pursuant to Section 2.2.1 (Use Reconciliation) after the completion of the fifth (5th), seventh (7th), tenth (10th), twelfth (12th), fifteenth (15th), and eighteenth (18th) Contract Years.

2.2.1.2. Use Reconciliation Calculation

The Use Reconciliation is intended to capture additional infrastructure costs to Contractor that arise in connection with expanded use or consumption by County of the EHR System. The Use Reconciliation will be accomplished by comparing the baseline use and consumption metrics as to the EHR System components specified in the table in Section 2.2.2 (Baseline Use Metrics) (the "**Baseline Use Metrics**") against County's actual use and consumption metrics measured in accordance with the table in Section 2.2.2 (Baseline Use Metrics). After the completion of any Use Reconciliation, in the event County's then-current use exceeds the baseline use metrics in an amount that triggers a "**Reconciliation Adjustment**" to the Recurring Monthly Fee as provided below, the then-current use metrics shall become the new baseline use metrics for any subsequent Use Reconciliation.

2.2.1.3. Use Reconciliations for IVR

As to IVR (Twilio) for Time & Attendance (as used in this Section 2.2.1.3 (Use Reconciliations for IVR), "**IVR**"), Use Reconciliations are intended to adjust the fees paid by County to reflect the County's actual consumption based on per-transaction costs. Use Reconciliations for IVR will be solely as provided in this Section 2.2.1.3 (Use Reconciliation for IVR).

Use Reconciliations for IVR shall occur during the first calendar quarter of each Contract Year following the Amendment 15 Date, and shall be determined by comparing the Annual Baseline Use Metric for IVR specified in Section 2.2.1.3.3 (IVR Annual Baseline Use Metric and Cost Per Transaction) (the "**IVR Baseline Use Metric**") against the County's actual use of IVR during the Contract Year prior to the Use Reconciliation (the "**Actual Annual IVR Use**"). The difference between the IVR Baseline Use Metric and the Actual Annual IVR Use is the "**IVR Use Differential**."

For each Use Reconciliation of IVR, Contractor shall calculate the "**Prior Year IVR Usage Adjustment**" by multiplying the IVR Use Differential by the applicable cost per transaction for IVR set forth in Section 2.2.1.3.3 (IVR Annual

Baseline Use Metric and Cost Per Transaction). If the Actual Annual IVR Use exceeded the IVR Baseline Use Metric, Contractor will submit a one-time invoice to County in the amount of the Prior Year IVR Usage Adjustment, and if the Actual Annual IVR Use was less than the IVR Baseline Use Metric, Contractor will issue a one-time credit to County in the amount of the Prior Year IVR Usage Adjustment.

Unless otherwise agreed to by the Parties, in the event the Actual Annual IVR Use exceeds or is less than the IVR Baseline Use Metric, the Actual Annual IVR Use shall become the new IVR Baseline Use Metric for any subsequent Use Reconciliation of IVR, and the Recurring Monthly Fee for IVR shall be adjusted to the Actual Annual IVR Use in accordance with the applicable cost per transaction set forth in Section 2.2.1.3.3 (IVR Annual Baseline Use Metric and Cost Per Transaction).

2.2.1.3.1. Incomplete Contract Year IVR Use Reconciliation Adjustment

As to any Use Reconciliation for IVR where the County used IVR for less than a full Contract Year, (1) the IVR Baseline Use Metric used to calculate the IVR Use Differential shall be prorated (decreased) based on the number of days in the Contract Year that County actually used IVR, and (2) the Actual Annual IVR Use used to determine the new IVR Baseline Use Metric shall be prorated (increased) based on the length of the entire Contract Year (three hundred sixty-five (365) days).

2.2.1.3.2. Expiration or Termination IVR Use Reconciliation Adjustment

Upon the expiration or termination of this Agreement, Contractor shall calculate a final Prior Year IVR Usage Adjustment. If the Actual Annual IVR Use exceeded the IVR Baseline Use Metric, Contractor will submit a one-time invoice to County in the amount of the Prior Year IVR Usage Adjustment, and if the Actual Annual IVR Use was less than the IVR Baseline Use Metric, Contractor will return to County the excess fees paid by County for IVR pursuant to Section 29.7(d) of the Agreement.

2.2.1.3.3. IVR Annual Baseline Use Metric and Cost Per Transaction

Annual Baseline Use Metric for IVR	Cost Per Minute for IVR
12,000 IVR minutes used in the County's production environment	\$0.10

2.2.1.3.4. IVR Use Reconciliation Example

- (A) During the first quarter of the 11th Contract Year, a Use Reconciliation is triggered for IVR.
- (B) Contractor determines that County's actual use of IVR during the 10th Contract Year was eleven thousand (11,000) minutes. This is the Actual Annual IVR Use for this Use Reconciliation.
- (C) Based on the results of the Use Reconciliation for the prior Contract Year, the applicable IVR Baseline Use Metric for IVR is ten thousand (10,000) minutes (i.e., the Actual Annual IVR Use during the 9th Contract Year was ten thousand (10,000) minutes).
- (D) The IVR Use Differential is one thousand (1,000) minutes.
- (E) The Prior Year IVR Usage Adjustment, calculated by multiplying the IVR Use Differential of one thousand (1,000) minutes by the zero dollars and ten cents (\$0.10) cost per transaction set forth in Section 2.2.1.3.3 (IVR Annual Baseline Use Metric and Cost Per Transaction), is one hundred dollars (\$100).
- (F) Because the Actual Annual IVR Use exceeded the IVR Baseline Use Metric, Contractor will submit a one-time invoice to County in the amount of the Prior Year IVR Usage Adjustment (one hundred dollars (\$100)).
- (G) The new Annual Baseline Use Metric for IVR (for the following Contract Year's Use Reconciliation) is increased to eleven thousand (11,000) minutes, and the Recurring Monthly Fee for IVR is adjusted to ninety-two dollars (\$92) (calculated by multiplying the Actual Annual IVR Use of eleven thousand (11,000) minutes by the zero dollars and ten cents (\$0.10) cost per transaction set forth in Section 2.2.1.3.3 (IVR Annual Baseline Use Metric and Cost Per Transaction), divided by twelve (12)).

2.2.1.4. Use Reconciliations for Transaction-Based Products

As to the Modules set forth in the table in Section 2.2.1.4.3 (Baseline Use Metrics for Transaction-Based Products) (the **“Transaction-Based Products”**), Use Reconciliations are intended to adjust the fees paid by County to reflect the County’s actual consumption of the Transaction-Based Products based on per-transaction costs for each Transaction-Based Product. Use Reconciliations for the Transaction-Based Products will be solely as provided in this Section 2.2.1.4 (Use Reconciliation for Transaction-Based Products). Two types of Use Reconciliations shall apply to the Transaction-Based Products: (1) **“True-Up Use Reconciliations”** as described in Section 2.2.1.4.2 (True-Up Use Reconciliations), and (2) **“Estimated Fee Adjustment Use Reconciliations”** as described in Section 2.2.1.4.4 (Estimated Fee Adjustment Use Reconciliations).

2.2.1.4.1. Transaction-Based Product Invoices

Following the Productive Use of each Transaction-Based Product, Contractor shall invoice County for its use of that Transaction-Based Product monthly in arrears, with each such invoice calculated by multiplying:

- (i) the **“Monthly Baseline Use Metric”** for that Transaction-Based Product specified in Section 2.2.1.4.3 (Baseline Use Metrics for Transaction-Based Products); and
- (ii) the **“Per Transaction Cost”** for that Transaction-Based Product specified in Section 2.2.1.4.3 (Baseline Use Metrics for Transaction-Based Products).

2.2.1.4.2. True-Up Use Reconciliations

True-Up Use Reconciliations for each Transaction-Based Product shall occur as of the first day of each calendar quarter following Productive Use of the Transaction-Based Product. For each True-Up Use Reconciliation, Contractor shall calculate the **“Prior Quarter Reconciliation Adjustment”** as follows:

- (A) Contractor shall calculate the **“Calendar Quarter Invoiced Amount”** for the calendar quarter then most recently ended by multiplying:
 - (i) the Monthly Baseline Use Metric for that Transaction-Based Product;
 - (ii) the Per Transaction Cost for that Transaction-Based Product; and
 - (iii) the number of months during the applicable calendar quarter for which Contractor invoiced County for the Transaction-Based Product pursuant to Section 2.2.1.4.1 (Transaction-Based Product Invoices).
- (B) Contractor shall calculate the **“Calendar Quarter Actuals-Based Fee”** for the calendar quarter then most recently ended by multiplying:
 - (i) the County’s actual consumption of the Transaction-Based Product during the applicable calendar quarter, calculated as the sum of each **“Monthly Transaction Measure”** for that calendar quarter as measured pursuant to Section 2.2.1.4.3 (Baseline Use Metrics for Transaction-Based Products); and
 - (ii) the Per Transaction Cost for that Transaction-Based Product.
- (C) Contractor shall calculate the **“Calendar Quarter True-Up Amount”** by taking the difference between the Calendar Quarter Invoiced Amount and the Calendar Quarter Actuals-Based Fee.

As to True-Up Use Reconciliations where the Calendar Quarter Invoiced Amount is less than the Calendar Quarter Actuals-Based Fee, Contractor will submit a one-time invoice to County in the amount of the Calendar Quarter True-Up Amount, and if the Calendar Quarter Invoiced Amount is greater than the Calendar Quarter Actuals-Based Fee, Contractor will issue a one-time credit to County in the amount of the Calendar Quarter True-Up Amount.

2.2.1.4.3. Baseline Use Metrics for Transaction-Based Products

No.	Transaction-Based Product	Monthly Transaction Measure	Monthly Baseline Use Metric	Per Transaction Cost
1.	Cerner Eligibility and Benefits Verification	The number of “Standard Eligibility Responses,” which shall be measured based on the total number of completed eligibility verification requests that were initiated by County in the applicable calendar month for payers that are supported by the Cerner Eligibility and Benefits Verification Module. Subsequent eligibility verification requests for the same patient and payer after the first request initiated by County will not be included in that month’s Standard Eligibility Response count if the result remains cached, based on County’s design decisions during implementation as to the duration of caching. The Standard Eligibility Response count shall be reported by Contractor each month per the number of eligibility verification requests marked with a “Response Status” of “Complete” as set forth in Exhibit NN.1 (Standard Eligibility Response Report).	200,000 Standard Eligibility Responses	\$0.09 / Standard Eligibility Response
2.	Premium Eligibility Verification Service	The number of “Enhanced Eligibility Responses,” which shall be measured based on the total number of completed eligibility verification requests that were initiated by County in the applicable calendar month for payers that are supported by the Premium Eligibility Verification Service Module, including eligibility verification requests that are initiated by payer “chaining” (i.e., subsequent eligibility verification requests for the same patient that are triggered and automatically performed when an eligibility verification request for one payer indicates that the patient may have coverage under another payer). Subsequent eligibility verification requests for the same patient and payer after the first request initiated by County will not be included in that month’s Enhanced Eligibility Response count if the result remains cached, based on County’s design decisions during implementation as to the duration of caching. The Enhanced Eligibility Response count shall be reported by Contractor each month per the number of eligibility verification requests marked as a “Billable Transaction” as set forth in the “Transaction Billing Summary” table in Exhibit NN.2 (Enhanced Eligibility Response Report).	400,000 Enhanced Eligibility Responses	\$0.09 / Enhanced Eligibility Response
3.	Coverage Discovery	The number of “Coverage Discovery Responses,” which shall be measured based on the total number of completed coverage discovery	30,000 Coverage Discovery Responses	\$1.38 / Coverage Discovery Response

No.	Transaction-Based Product	Monthly Transaction Measure	Monthly Baseline Use Metric	Per Transaction Cost
		requests that were initiated by County in the applicable calendar month using the Coverage Discovery Module. The Coverage Discovery Response count shall be reported by Contractor each month per the number of coverage discovery requests marked as a "Unique Account Set" as set forth in Exhibit NN.3 (Coverage Discovery Response Report).		

2.2.1.4.4. Estimated Fee Adjustment Use Reconciliations

In connection with each Use Reconciliation occurring after the completion of the tenth (10th), fifteenth (15th), and eighteenth (18th) Contract Years as described in Section 2.2.1 (Use Reconciliations), the Monthly Baseline Use Metric for each Transaction-Based Product shall be amended under the Amendment implementing such Use Reconciliation, with the new Monthly Baseline Use Metric calculated as the average of the Monthly Transaction Measure in the twelve (12) months preceding such Amendment.

2.2.1.5. 2018 Use Reconciliation

The Baseline Use Metrics table in Section 2.2.2 (Baseline Use Metrics), below, and Section 2.2.4 (Ratio Protection), below, have been amended to reflect (1) the Use Reconciliation to be applied as of the first (1st) day of the fifth (5th) Contract Year of the Agreement (as used herein, the "**2018 Use Reconciliation**"); and (2) the County Users and Peak Average Concurrent Users added under the Jail Health Information System Agreement, dated as of November 12, 2012 (as used herein, the "**JHIS Agreement**"), as amended by Amendment No. 2 thereto, dated as of November 20, 2017 (as used herein, the "**JHIS Extension Amendment**"). For reference purposes to inform future Use Reconciliations only, the worksheet used by the Parties to calculate the 2018 Use Reconciliation is attached hereto as Exhibit KK.1 (2018 Use Reconciliation Worksheet). For the avoidance of doubt, (i) all fees to be paid by County in connection with the 2018 Use Reconciliation shall be paid by County from the Pool Dollars set forth under Exhibit C (Fees; Contractor Professional Services Rates), and (ii) nothing in this Section 2.2.1.5 (2018 Use Reconciliation) shall be construed to modify the Contract Sum under the Agreement.

2.2.1.6. 2020 Use Reconciliation

The Baseline Use Metrics table in Section 2.2.2 (Baseline Use Metrics), below, has been amended to reflect the Use Reconciliation to be applied as of the first (1st) day of the fifth (7th) Contract Year of the Agreement (as used herein, the "**2020 Use Reconciliation**"). For reference purposes to inform future Use Reconciliations only, the worksheet used by the Parties to calculate the 2020 Use Reconciliation is attached hereto as Exhibit KK.2 (2020 Use Reconciliation Worksheet). For the avoidance of doubt, (i) all fees to be paid by County in connection with the 2020 Use Reconciliation shall be paid by County from the Pool Dollars set forth under Exhibit C (Fees; Contractor Professional Services Rates), and (ii) nothing in this Section 2.2.1.6 (2020 Use Reconciliation) shall be construed to modify the Contract Sum under the Agreement.

2.2.2. Baseline Use Metrics

[Table provided on the following page]

No.	Item Subject to Use Reconciliation	Baseline Use Metric	Use Reconciliation Trigger	Additional Use Unit Increment(s)	Additional One-Time Fees	Additional Recurring Monthly Fee
1.	Hosting Services based on Peak Average Concurrent Users	7,397 Peak Average Concurrent Users	Peak Average Concurrent Users in excess of 7,397 for three (3) consecutive months in one (1) Contract Year	Every 10 over 7,397 Peak Average Concurrent Users. Subject to the provisions of Section 2.2.4 (Ratio Protection) the method for calculating the payment adjustment based on a Peak Average Concurrent User increase is illustrated by the following example. Assuming the then current Use Baseline is 7,397 Peak Average Concurrent Users and actual Peak Average Concurrent Users as determined by Contractor's measurement tools, and as reported to County on a monthly basis, is 6,000, and there is no ratio protection issue, the monthly recurring Hosting Services Fee will be increased by ((500 Peak Average Concurrent Users /10) X \$850.00) and there will be a one-time charge of (500/10) X \$1700.00.	\$1,700	\$850
2.	Image Aware Virtual Archive Image Storage added every Contract Year	4.8 Terabytes ("TB") as of the Effective Date, and 4.8 TB of Image Storage added upon the commencement of each Contract Year. This Use Baseline is cumulative. For example, if in Contract Year 1 County's Image Storage is 3 TB and Contract Year 2 it is 6 TB, the total is 9 TB which is below the 9.6TB cumulative total for the two Contract Years. As a result, exceeding the 4.8 TB increase in Contract Year 2 does not exceed the then-applicable Use Baseline for additional storage until the aggregate storage amount for the two (2) Contract Years of 9.6 TB is exceeded.	Image Storage exceeds the cumulative TBs available as of the commencement of the Contract Year in which a Use Reconciliation is to take place.	One Hundred (100) Gigabytes of Images Storage	\$800	\$400
3.	CPDI Ascent Capture Server	(7) Ascent Capture Servers (located at Client Site) (6 production and 1 test)	The addition of a CPDI Ascent Capture Server, whether production or test, over the Baseline Use Metric.	(1) Ascent Capture Server	\$1,200	\$600
4.	CPDI Ascent Capture User Licenses	18.2% of the 7,397 Hosting Services Peak Average Concurrent Users	Concurrent Users in excess of 18.2% of the Hosting Services Peak Average Concurrent Users	10 Concurrent Users	\$16,650	\$670
5.	CareAware iBus Servers	4,000 Device Connections There are 1,000 Device Connections per production server pair. For the 3,000 device connections, there are (9) CareAware iBus Servers, including (6) Production Servers and (3) Test Server.	Expansion beyond 4,000 device connections will require the addition of 2 CareAware iBus Servers to accommodate an incremental 1,000 device connections.	Two (2) Servers (per 1,000 additional device connections)	\$3,200	\$1,600

No.	Item Subject to Use Reconciliation	Baseline Use Metric	Use Reconciliation Trigger	Additional Use Unit Increment(s)	Additional One-Time Fees	Additional Recurring Monthly Fee
6.	PowerInsight Web/Bus. Objects Servers	100 Peak Concurrent Users of PowerInsight Five (5) Web/Business Objects Servers (4 production and 1 test) (estimated to support up to 100 Peak Concurrent Users of PowerInsight).	Expansion beyond 100 Peak Concurrent Users of PowerInsight will require the addition of 1 Web/Business Objects Servers to accommodate an incremental 25 Peak Concurrent Users of PowerInsight	One (1) Web/Bus. Objects Server per 25 additional Peak Concurrent Users of PowerInsight	\$1,600	\$800
7.	7x24 Client Site Downtime Viewer Servers	600 Client-owned, on-site workstations that receive updates from 7x24 DT Viewer servers For 200 Client-owned, on-site workstations there are (3) Servers, including (2) Prod Servers and (1) Test Server. Each production server supports up to 100 workstations.	Expansion beyond 600 client-owned on-site workstations that receive updates from 7x24 DT Viewer servers will require the addition of 1 Client Site Downtime Viewer Server to accommodate an incremental 100 workstations.	One (1) Server per 100 additional workstations that receive updates from 7x24 DT Viewer servers	\$3,000	\$1,500
8.	7x24 Read-Only Concurrent Users	2,250 Peak Concurrent Users of the 7x24 Read-Only System	Use in excess of 2,250 Peak Concurrent Users of the 7x24 Read-Only System	One hundred (100) additional Peak Concurrent Users of the 7x24 Read-Only System	\$2,400	\$1,200
9.	ePrescribe	3,049 Average number uniquely identified Providers, eprescribing per month, as calculated over a calendar quarter (A health professional who uses ePrescribe to write prescriptions; physicians (M.D., D.O.), physicians' assistants; or other advanced practitioners.)	Use in excess of 3,049 Average number uniquely identified Providers, eprescribing per month, as calculated over a calendar quarter, provided the parties do not attribute such increase to a seasonal aberrancy.	One (1) additional uniquely identified Provider, eprescribing per month	Not Applicable	\$11
10.	Restricted Third-Party Pass-Through Bundle The following is a limited list of third-party software that will be subject to Use Reconciliation as an aggregated amount covering each of the Approved third-party items below. Notwithstanding the foregoing, these items will not be considered in a Use Reconciliation that occurs in a Contract Year following an Approved Physical Growth Event because third-party software is otherwise accounted for as Approved Physical Growth Event Expansion Pricing. <ul style="list-style-type: none"> ▪ Cerner Post Acute Referrals ▪ EK for Rehab – Inpatient ▪ EK for Rehab) – Outpatient ▪ Krames HealthSheets – Inpatient ▪ Krames HealthSheets Physician Office ▪ Krames HealthSheets Outpatient Clinic 	Per the Hosting Services based on Peak Average Concurrent Users described above	Per the Hosting Services based on Peak Average Concurrent Users described above	Per the Hosting Services based on Peak Average Concurrent Users described above	Not Applicable	\$187

No.	Item Subject to Use Reconciliation	Baseline Use Metric	Use Reconciliation Trigger	Additional Use Unit Increment(s)	Additional One-Time Fees	Additional Recurring Monthly Fee
	<ul style="list-style-type: none"> Krames ExitWriter ED ED Coding Subscription 					
11.	Provided PS Sentinel is used with the EHR System	Not Applicable	Not Applicable	Not Applicable	Not Applicable	Not Applicable
12.	Address Validation	225,000 transactions per month (2,700,000 transactions per Contract Year)	Use in excess of the applicable number of transactions as calculated over a Contract Year	11,250 transactions per month	Not Applicable	\$8.80
13.	HealtheIntent: HealtheRegistries	274 FTE of Empanelable Providers	FTE of Empanelable Providers exceeds 295	25 FTE	Not Applicable	\$20,000.00
14.	HealtheIntent: HealtheRegistries	Average panel size of 1,700 patients per Empanelable FTE	Average panel size exceeds 2,000 patients per Empanelable FTE	200 patients/ FTE panel	Not Applicable	\$16,666.67
15.	HealtheCare	150 Care Managers (A Care Manager is the person primarily responsible for creating Outpatient or Ambulatory Care Management Plans.)	Number of Care Managers exceeds 150	15 Care Managers	Not Applicable	\$1,500.00
16.	Peak Concurrent Users of Etreby	306 Peak Concurrent Users of Etreby	Peak Average Concurrent Users of Etreby in excess of 315 for three (3) consecutive months in one (1) Contract Year	10 Peak Concurrent Users of Etreby	\$1,200	\$600
17.	Etreby Pharmacy Orders	4,000,000 pharmacy orders per Contract Year	Use in excess of the applicable number of pharmacy orders as calculated over a Contract Year	10,000 Pharmacy Orders Per Month	\$1,000	\$500
18.	OPENLink Subscription	800 Interfaces (For the purpose of this calculation, a one-way interface counts as an Interface, a two-way interface counts as two Interfaces, and production, non-production, and certification Interfaces each count separately)	Number of Interfaces exceeds 800	400 Interfaces	\$0	\$7,109
19.	ePrescribe for Controlled Substances	5,260 Average number uniquely identified Providers, eprescribing controlled substance per month, as calculated over a calendar quarter (A health professional who uses ePrescribe to write prescriptions for controlled substances; physicians (M.D., D.O.), physicians' assistants; or other advanced practitioners.)	Use in excess of 5,260 Average number uniquely identified Providers, eprescribing controlled substances per month, as calculated over a calendar quarter, provided the parties do not attribute such increase to a seasonal aberrancy.	One (1) additional uniquely identified Provider, eprescribing controlled substances per month	Not Applicable	\$4
20.	Acuity, Scheduling, and Time System (Scheduling Functionality for Patient-Facing Users)	16,286 Average Patient-Facing Users as defined in Section 2.2.3.1.4 (Average Patient-Facing Users), below	Average Patient-Facing Users in excess of 16,286 for any three (3) consecutive months in the Contract Year preceding the Use Reconciliation, or as to any Use Reconciliation triggered pursuant to Section 2.2.1.1.7(b) or 2.2.1.1.7(c), for any	Every fifty (50) Average Patient-Facing Users in excess of 16,286 Average Patient-Facing Users.	\$0	\$163

No.	Item Subject to Use Reconciliation	Baseline Use Metric	Use Reconciliation Trigger	Additional Use Unit Increment(s)	Additional One-Time Fees	Additional Recurring Monthly Fee
			three (3) consecutive months in the twelve (12) month period preceding the Use Reconciliation.			
21.	Acuity, Scheduling, and Time System (Timekeeping Functionality)	24,255 Timekeeping Functionality Users as defined in Section 2.2.3.1.3 (Timekeeping Functionality Users), below	Timekeeping Functionality Users in excess of 24,255 for any three (3) consecutive months in the Contract Year preceding the Use Reconciliation, or as to any Use Reconciliation triggered pursuant to Section 2.2.1.1.7(b) or 2.2.1.1.7(c), for any three (3) consecutive Reconciliation Months in the twelve (12) month period preceding the Use Reconciliation.	Every fifty (50) Timekeeping Functionality Users in excess of 24,255 Timekeeping Functionality Users.	\$0	\$148
22.	Acuity, Scheduling, and Time System (Clock Hardware)	911* Clock Hardware units installed and operating in the County's production environment and on-site in County's spare depots	The number of Clock Hardware units exceeds 911 as of the day that the results of the Use Reconciliation are applied.	One (1) Clock Hardware unit	\$0	\$87
23.	Patient Support Help Desk for Video Visits and the Patient Portal	72,288 Active County Patient Portal Users as defined in Section 2.2.3.1.5 (Active County Patient Portal Users), below	Active County Patient Portal Users in excess of 72,288 in the consecutive twelve (12) month period preceding the Use Reconciliation.	One hundred (100) Active County Patient Portal Users	\$0	\$12.31
24.	Text Automations for Patient Communications	20 Automations operating in the County's production environment (for purposes of determining the number of Automations, one Automation operating in multiple languages will only be counted as a single Automation)	Automations in excess of 20 as of the effective date of the Use Reconciliation.	Five (5) Automations	\$0	<p>For Additional Use Increments up to thirty-five (35) Automations: \$2,500</p> <p>For Additional Use Increments beyond thirty-five (35) Automations:</p> <ul style="list-style-type: none"> ▪ \$2,500 if AOV is less than 2M ▪ \$3,625 if AOV is greater than or equal to 2M and less than 2.5M ▪ \$4,750 if AOV is greater than or equal to 2.5M and less than 3M ▪ \$5,875 if AOV is greater than or equal to 3M and less than 3.5M ▪ \$7,000 if AOV is greater than or equal to 3.5M

No.	Item Subject to Use Reconciliation	Baseline Use Metric	Use Reconciliation Trigger	Additional Use Unit Increment(s)	Additional One-Time Fees	Additional Recurring Monthly Fee
						where "AOV" means the County's then-current combined count of admissions and outpatient visits as of the effective date of the Use Reconciliation
25.	Unified Consumer Communications and HealthLife Base Notifications	2,100,000 Combined Annual Admissions and Outpatient Visits	Combined Annual Admissions and Outpatient Visits in excess of 2,500,000 in the consecutive twelve (12) month period preceding the Use Reconciliation.	Five hundred thousand (500,000) Combined Annual Admissions and Outpatient Visits in excess of 2,500,000	\$0	\$9,573

* In the event that the number of Clock Hardware units initially delivered to County, including to County's spare depots, is less than nine hundred eleven (911), the initial Baseline Use Metric and applicable Recurring Monthly Fee for the Clock Hardware will be adjusted to reflect such actual number of Clock Hardware units initially delivered to County.

[Exhibit continued on the following page]

2.2.3. User Definitions

The “**Peak Concurrent Users**” shall mean the highest number of County Users simultaneously logged on through any device to the Hosting Services measured on a daily basis throughout each month. A User connecting a mobile electronic device to the Hosting Services or accessing the Hosting Services via a mobile electronic device or other wireless device will be counted as part of the Peak Concurrent Users. A Concurrent User logon is triggered and counted as part of the Peak Concurrent Users only when a User logs on to the Hosting Services through a device. The only way for a single User to be counted as more than one (1) Concurrent User simultaneous logon is for that User to be logged on to more than one (1) device at the same time. The “**Peak Average Concurrent Users**” is calculated by averaging the Peak Concurrent Users for the ten (10) highest days during a given calendar month.

2.2.3.1. Other Use Metric Definitions

2.2.3.1.1. Peak Concurrent Users of PowerInsight

“**Peak Concurrent Users of PowerInsight**” shall have the same meaning as Peak Concurrent Users, except the measurement is taken separately of users of the PowerInsight application only, and references to “Hosting Services” in the definition shall be deemed to refer to “PowerInsight.”

2.2.3.1.2. Peak Concurrent Users of Etreby

“**Peak Concurrent Users of Etreby**” shall have the same meaning as Peak Concurrent Users, except the measurement is taken separately of users of the OPIS Software Application only, and references to “Hosting Services” in the definition shall be deemed to refer to “RHO.”

2.2.3.1.3. Timekeeping Functionality Users

“**Timekeeping Functionality Users**” shall mean the number of unique County Users that use the Timekeeping Functionality for timekeeping, payroll, or leave purposes in a calendar month, provided that all Timekeeping Functionality Users terminated/deactivated by County shall remain Timekeeping Functionality Users for a thirty (30) day period (unless a longer post-termination/deactivation is requested by County) after termination/deactivation to account for the final, post-termination/deactivation processing of such Timekeeping Functionality User’s data. County Users who solely access the Time and Scheduling System in an administrative or management capacity shall not be counted as Timekeeping Functionality Users. A single County User will not be counted more than once in a calendar month for purposes of calculating the number of Timekeeping Functionality Users. For purposes of Use Reconciliation, the Timekeeping Functionality Users in each month will be determined by subtracting (i) the number of County Employees terminated and Non-County Workforce Users deactivated each month that completed final, post-termination/deactivation processing (per the thirty (30) day or longer period for post-termination/deactivation, as described above) prior to the end of the month; from (ii) the total number of unique County Users within the Timekeeping Functionality (excluding administrative and management Users as described above) for that month.

2.2.3.1.4. Average Patient-Facing Users

The “**Daily Patient-Facing Users**” shall mean the number of unique County Patient-Facing Users in a calendar day who were scheduled within the Acuity, Scheduling, and Time System pursuant to a schedule that was active for such calendar day, measured on a daily basis throughout each month. A single County User will not be counted more than once for purposes of calculating the number of Daily Patient-Facing Users. The “**Average Patient-Facing Users**” is calculated by averaging the Daily Patient-Facing Users for the ten (10) highest days during a given calendar month.

2.2.3.1.5. Active County Patient Portal Users

“**Active County Patient Portal Users**” shall mean the number of unique County Users that accessed the Patient Portal as patients or as prospective patients for any purpose within the applicable measurement period. County Users who solely access the Patient Portal in an administrative or management capacity shall not be counted as Active County Patient Portal Users. A single County User will not be counted more than once in an applicable measurement period for purposes of calculating the number of Active County Patient Portal Users. For purposes of Use Reconciliation, the Active County Patient Portal Users will be measured for the one (1) year period immediately preceding the effective date of the applicable Use Reconciliation.

2.2.4. Ratio Protection

As described further below, County has provided Contractor with information reflecting the number of County Users by their role and level of employment (e.g. full time, part time, less than part time). Contractor has used these numbers and its experience providing electronic health records systems to other health care systems to derive the number of County Users against which to apply Contractor's established concurrent use ratios. Contractor ratios typically range from 5:1 to 4:1, with the 4:1 ratio yielding the highest concurrent user count using Contractor's ratios.

Contractor has applied a 4:1 ratio to County Users to derive the five thousand, five hundred (5,500) Peak Average Concurrent Users baseline used in the Agreement as of the Effective Date of the Agreement. The number of County Users, the roles of the County Users, and the percentage of time worked by the County Users (e.g., full time, part time greater than fifty percent (50%), part time less than fifty percent (50%)) was provided by the County and is summarized in the DHS EHR Users Summary table (Exhibit C.5 (DHS EHR Users Summary)). Contractor used the information in Exhibit C.5 (DHS EHR Users Summary) and determined that, based on that information, the appropriate number of County Users to utilize to calculate Concurrent Users is twenty-two thousand (22,000) as of the Effective Date of the Agreement.

- (A) In the event there is a Use Reconciliation and the trigger level of Peak Average Concurrent Users required for a price adjustment is met (actual Peak Average Concurrent Users exceeds the then current Use Baseline for Peak Average Concurrent Users as specified in the table in Section 2.2.2 (Baseline Use Metrics)), and the excess Peak Average Concurrent Users is determined to be primarily caused by County's use of the EHR System at a lower than 4:1 (e.g., 3:1) ratio (and not due to an increase in the number of nominal County Users as determined by the greater of (i) twenty-five thousand (25,000) (twenty-two thousand (22,000) as of the Effective Date of the Agreement plus three thousand (3,000) added pursuant to the JHIS Extension Amendment), or (ii) the number of presumptive County Users), then no price adjustment will result. The ratio is the number of nominal County Users to the Peak Average Concurrent Users. The number of presumptive County Users is derived, as illustrated in the table below, utilizing the applicable numbers as of the Effective Date and the JHIS Extension Amendment, from a sum of the then current numbers of users, weighted by the work effort multiplier associated with each work effort category (i.e., full time, half time, and less than half time).

Work Effort Category	Number of Personnel	Work Effort Multiplier	Presumptive County Users
Presumptive County Users as of the Effective Date of the Agreement			
Full Time Personnel with Access	21,758	0.9	19,582
Half Time Personnel with Access	2,188	0.45	985
Less than Half time Personnel with Access	5,185	0.18	933
Presumptive County Users Added Pursuant to Section 11.2(G) (Use Reconciliation) of the JHIS Agreement (As Amended by the JHIS Extension Amendment)			
JHIS Extension Amendment Presumptive County Users			3,000
Total Presumptive County Users			24,500

- (B) In the event the cause of the excess Peak Average Concurrent Users is determined to be caused both by County's use of the EHR System at a lower than 4:1 (e.g., 3:1) ratio and by an increase in the number of nominal County Users as determined by the greater of twenty-five thousand (25,000) or the number of presumptive County Users (calculated as provided in Section 2.2.4(A) above), County will pay one-half (1/2) of any price adjustment triggered by such Peak Average Concurrent Users.
- (C) In the event the cause of the excess Peak Average Concurrent Users is determined to be caused only by an increase in number of nominal County Users as determined by the greater of twenty-five thousand (25,000) or the number of presumptive County Users (calculated as provided in Section 2.2.4(A) above), any price

adjustment will be in accordance with this Sections 2.2.1 (Use Reconciliation); 2.2.2 (Baseline Use Metrics); and 2.2.3 (User Definitions) of this Exhibit C (Fees; Contractor Professional Services Rates).

Notwithstanding the foregoing, if the Contractor ratio is insufficient and the insufficiency is directly attributable to a government mandated change in the use of EHR Systems (excluding changes mandated in connection with Meaningful Use at any stage or by the County); County shall be responsible for such increased Peak Average Concurrent Users attributed to the government mandated change as if the ratios were correct. Further, if Contractor demonstrates to County at the Concurrent Use Management meeting over two (2) or more consecutive months that there is a material number of Extended Timeouts, then County shall be responsible for increased Peak Average Concurrent Users attributed to the number of County Extended Timeouts sessions recorded by Contractor as if the ratios for those Extended Timeout sessions were correct. For purposes of this Section, an **"Extended Timeout"** shall mean a Concurrent User session that is ended automatically by a default setting of thirty-one (31) minutes or more.

2.2.5. Concurrent Use Management

To effectively manage the Peak Average Concurrent Use of the EHR System and minimize the likelihood of a Use Reconciliation payment resulting from Peak Average Concurrent User increases, the Parties agree to jointly manage concurrent use throughout the Term. In each calendar month Contractor shall measure the variance of the Baseline Use Metric and the Peak Concurrent Users on a daily basis. County will have access to daily reports on its Peak Concurrent Users via Contractor's Lights on Network dashboard tool. The parties shall manage concurrent use by utilizing a five thousand (5,000) Peak Concurrent User target. Whenever Peak Concurrent Users exceed five thousand (5,000) more than three (3) times in any calendar month, Contractor will notify County in writing and provide as much detail as to reasons for the Peak Concurrent User spikes as it can discern from its data and County's historical concurrent use patterns. If the Parties cannot identify the cause of the spikes, Contractor will perform a root cause analysis to assess the reason for the variance. Additionally, concurrent use management shall be a standing agenda item for the Quarterly Review Meetings.

2.3. Approved Physical Growth Event

Except as provided through application of another Authorized Billing and Payment Mechanism there is no additional fee or charge to County for increasing the volume of its use of the EHR System as authorized under the Agreement unless the County: (i) makes the EHR System available for use to another acute care, rehabilitation or mental health hospital that is not included in the Clusters or for which County owns, operates, manages, or subsidizes the operation or costs of the hospital; or (ii) County builds a new Multi-Specialty Ambulatory Care Clinic (**"MACC"**) building or community health clinic or buys a new physical structure housing a MACC or community health clinic and registrations in that new MACC or community health clinic exceed five thousand (5,000) visits per month for (3) three consecutive months (individually each, and collectively both are referred to as an **"Approved Physical Growth Event"**). For purposes of this Authorized Billing and Payment Mechanism, if the County makes the EHR System available for (i) another department of the County (**"Department"**), (ii) Affiliate User, (iii) federal, State, and local agencies, or (iv) business partners to use as a primary EHR system in connection with the Department's, Affiliate User's, federal, State, and local agencies', or business partners' day-to-day operations, then that Department, Affiliate User, federal, State, and local agency, or business partner will be deemed to meet the building of new physical structure requirement under this Section 2.3 (Approved Physical Growth Event) and the Approved Physical Growth Event pricing set forth in this Exhibit C (Fees; Professional Service Rates) will apply.

The fees to be paid by County to Contractor for an Approved Physical Growth Event are set forth in Exhibit C.4 (Approved Physical Growth Event Pricing).

2.4. Optional Work and Discounts

- (a) Payment of Optional Work shall be as set forth in Sections 9.8 (Optional Work) and 14.6 (Implementing Optional Work) and, as to Professional Services, at the Professional Service Rates for Optional Work set forth in Exhibit C.7 (Contractor Professional Services Rate Card). Contractor has also provided optional pricing for additional Licensed Software, and related Services, as set forth in Exhibit C.1 (Optional Work).

The discount percentage to be applied to New Software pursuant to Section 14.6.1 (New Software) of the Agreement shall be [REDACTED] off of the price for such New Software that would otherwise be applicable

to County's use as determined by utilizing Contractor's standard pricing metrics for the applicable New Software.

- (b) Contractor agrees that as to the Jail Health Information System Agreement and Probation Electronic Medical Records System Agreement between Contractor and County (individually referred to as an **"Existing Agreement"** and collectively the, **"Existing Agreements"**): (i) the discount percentage to be applied to New Software as set forth in Section 2.4(a) under this Exhibit C (Fees; Contractor Professional Service Rates) shall, at County's option, be applicable to software to be obtained from Contractor under the Existing Agreements which was not acquired as of the effective date of the applicable Existing Agreement and is not otherwise to be provided to County under those Existing Agreements without additional fees; and (ii) the Professional Service Rates for Optional Work set forth in Exhibit C.1 (Optional Work) shall, at County's option, be applicable to professional services or work to be obtained from Contractor utilizing pool dollars or other Board-approved sums under the Existing Agreements. As to Section 2.4(b)(ii), to the extent different descriptions were utilized to identify the categories/roles of Contractor resources in the Existing Agreement(s) as compared to the categories/roles used in Exhibit C.1 (Optional Work), the Parties will reconcile such categories/roles used in this Agreement with those used in the Existing Agreement.

Contractor also agrees that, in the event the County consolidates remote hosting services it provides under the Existing Agreement(s) under the same EHR System build utilized to provide the Hosting Services under this Agreement, Contractor will work with County in good faith to adjust the pricing for remote hosting services provided under the Existing Agreements to leverage the infrastructure built to support the Hosting Services provided under this Agreement. County understands that in such event there will be additional professional services required for the migration/consolidation onto the EHR System build of the Jail Health Information System and Probation Electronic Medical Records System and their respective data. Such services will be provided utilizing the fees set forth for Professional Services under Exhibit C.1 (Optional Work) under an approved Amendment of one or all of this Agreement and/or the Existing Agreements.

Contractor also agrees that in recognition of its relationship with County and multiple departments, and the need for communication regarding patient care among those departments, that it will make the functionality as specifically set forth in Exhibit EE (Interoperability Functionality) available under the Existing Agreements at no additional charge. It is understood that the functionality provided will be pursuant to modifications, as appropriate, under each of the Existing Agreements, and specifically as limited by Exhibit EE (Interoperability Functionality).

2.5. Amendments

Amendments to the Agreement are governed by Section 13.3 (Amendments) of the Agreement.

2.6. Post-Contract Year 10 Cost of Living Adjustments and Fixed Third Party Product Cost Increases

The COLA adjustment, if any, during the Support Renewal Term, shall be governed Section 14.10 (Cost of Living Adjustment) of the Agreement. In addition, the Fixed Third Party Product Cost Amount payments, if applicable, shall be governed by Section 14.12 (Fixed Third Party Product Cost Increases) of the Agreement.

3. HOSTING SERVICES ASSUMPTIONS REGARDING INFRASTRUCTURE DOMAINS

The Hosting Services are provided with the assumption that only the following five (5) infrastructure domains will be provided by Contractor.

Infrastructure Domain	Infrastructure Domain Description
Production Infrastructure Domain	One (1) Production Infrastructure Domain available in accordance with the Implementation Services and Exhibit A.25.1 (Project Work Plan) and continuing through the Support Term.
Certification Infrastructure Domain (Non-Production)	One (1) Certification Infrastructure Domain (Non-Production) available in accordance with the Implementation Services and Exhibit A.25.1 (Project Work Plan) and continuing through the Support Term (this Infrastructure Domain utilizes a reference Data copy of the Production Infrastructure Domain, and does not

Infrastructure Domain	Infrastructure Domain Description
	include a full copy of the Production Infrastructure Domain). (Note: The certification domain is used for ongoing testing and end-user training.)
Build Infrastructure Domain (Non-Production)	One (1) Build Infrastructure Domain (Non-Production) available in accordance with the Implementation Services and Exhibit A.25.1 (Project Work Plan) and continuing through the Support Term (this Infrastructure Domain utilizes a reference Data copy of the Production Infrastructure Domain, and does not include a full copy of the Production Infrastructure Domain).
Training Infrastructure Domain (Non-Production)	One (1) Training Infrastructure Domain (Non-Production) available in accordance with the Implementation Services and Exhibit A.25.1 (Project Work Plan) and continuing through the Support Term (this Infrastructure Domain utilizes a reference Data copy of the appropriate source Infrastructure Domain, and does not include a full copy of the Production Infrastructure Domain).
Mock Infrastructure Domain (Non-Production)	One (1) Mock Infrastructure Domain (Non-Production) to support the implementation of Mock Upgrades available in accordance with the Implementation Services and Exhibit A.25.1 (Project Work Plan) and continuing through the Support Term (this Infrastructure Domain utilizes a reference Data copy of the Production Infrastructure Domain, and does not include a full copy of the Production Infrastructure Domain).

4. EXTRAORDINARY EVENTS

As used in this Agreement, an “**Extraordinary Event**” shall mean a circumstance in which an event or discrete set of events has occurred or is planned with respect to the operation of County that results or will result in a change in the scale, nature, or volume of the Services that County will require from Contractor, and which is expected to decrease the number of then-current County Users of the Acuity, Scheduling, and Time System by ten percent (10%) or more, and such change persists or is expected to continue for three (3) or more months.

Examples of the kinds of events that might cause such substantial decreases include:

- (A) changes in the Services;
- (B) divestitures by County;
- (C) changes in the number of business units; or
- (D) changes in the County’s workforce.

In the event of such an extraordinary event, the Parties agree to meet to discuss a reduction in the price of the Services related to the Acuity, Scheduling, and Time System utilizing the pricing methodologies established in this Exhibit C (Fees; Contractor Professional Services Rates).



EXHIBIT C.1.18 (PATIENT TRANSACTION SERVICES OPTIONAL WORK)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT C.1.18

PATIENT TRANSACTION SERVICES OPTIONAL WORK

This Exhibit C.1.18 (Patient Transaction Services Optional Work) is an attachment and addition to the Electronic Health Records System and Services Agreement, Agreement No. H-705407, by and between the County of Los Angeles (“**County**”) and Cerner Corporation (“**Contractor**”), with an Effective Date of December 21, 2012 (the “**Agreement**”) as amended, and is incorporated into the Agreement by reference hereof. Unless specifically defined in this Exhibit, capitalized terms shall have the meanings set forth in the Agreement.

1. APPOINTMENT REMINDERS

Following Contractor’s development of its Appointment Reminders Module pursuant to all of the requirements set forth in Section 1.1 (Appointment Reminders Requirements), below (the “**Appointment Reminders Functionality**”), County may elect to purchase Appointment Reminders as Optional Work pursuant to this Section 1 (Appointment Reminders).

As to the implementation of the Appointment Reminders Functionality, Contractor shall deliver the Services in accordance with Exhibit A. (Patient Transaction Services Statement of Work), provided that the parties agree that the implementation of the Appointment Reminders Functionality will not require a repeat of all implementation tasks set forth in Exhibit A. (Patient Transaction Services Statement of Work) and that the Parties will develop a scaled down version of such Statement of Work to enable the implementation of the Appointment Reminders Functionality to leverage, as appropriate, Services and efforts by the Parties that have been completed in the Patient Transaction Services implementation and are suitable for use in connection with the implementation of the Appointment Reminders Functionality.

1.1. Appointment Reminders Requirements

No.	Requirement
AM-1.	The Appointment Reminders Functionality shall include functionality within the EHR System to trigger appointment reminders, within a set timeframe of a scheduled appointment, via the patient’s selected form of communication (text/SMS, email, and/or automated voice call) saved in the EHR System.
AM-1.1.	<ul style="list-style-type: none">▪ The appointment reminders will be circulated in the patient’s preferred language saved within the EHR System, which may be any of the following languages (defaulting to English if no alternative preferred language is specified within the EHR System):<ul style="list-style-type: none">▪ English▪ Spanish▪ French▪ Dutch▪ Mandarin▪ Cantonese▪ Catalan▪ Danish▪ Finnish▪ German▪ Italian▪ Japanese▪ Korean▪ Norwegian▪ Polish▪ Portuguese

No.	Requirement
	<ul style="list-style-type: none"> ▪ Russian ▪ Swedish ▪ Taiwanese Mandarin
AM-1.2.	<ul style="list-style-type: none"> ▪ If required by County, the appointment reminders will inform the patient of their financial responsibility for their upcoming appointment based on the results of the Patient Transaction Services Functionality.
AM-1.3.	<ul style="list-style-type: none"> ▪ As to appointment reminders provided via text/SMS, the appointment reminders will include text thread functionality that enables patients to confirm, cancel, or request to reschedule their appointments via text/SMS responses to the appointment reminder messages.
AM-1.4.	<ul style="list-style-type: none"> ▪ As to appointment reminders provided via email, the appointment reminders will include links that enable patients to confirm, cancel, or request to reschedule their appointments.
AM-1.5.	<ul style="list-style-type: none"> ▪ As to appointment reminders provided via automated voice calls, the appointment reminders will include functionality that enables patients to confirm, cancel, or request to reschedule their appointments via IVR prompts.
AM-2.	The Appointment Reminders Functionality shall trigger multiple appointment reminders based on defined parameters.
AM-2.1.	<ul style="list-style-type: none"> ▪ The Appointment Reminders Functionality will enable County to circulate different types of appointment reminders (text/SMS, email, and automated voice call) and at different frequencies and times such that the Appointment Reminders Functionality will provide at least the same level of functionality that is utilized by the County for text/SMS, email, and automated voice call messages as of the Amendment 19 Date as described in Exhibit C.1.18.1 (County Appointment Reminders as of the Amendment 19 Date).
AM-3.	The Appointment Reminders Functionality shall update the EHR System with patient response (e.g., confirmation, cancellation etc.) to a generated appointment reminder.
AM-4.	The Appointment Reminders Functionality shall generate appointment notifications based on built-in business rules.
AM-4.1.	<ul style="list-style-type: none"> ▪ The Appointment Reminders Functionality will enable County to filter and exclude the circulation of appointment reminders based on appointment location, appointment type, resource, VIP designation, etc. such that the Appointment Reminders Functionality will provide at least the same level of filtering and exclusion functionality that is utilized by the County as of the Amendment 19 Date for text/SMS, email, and automated voice call messages as described in Exhibit C.1.18.1 (County Appointment Reminders as of the Amendment 19 Date).
AM-5.	The Appointment Reminders Functionality shall enable County to automate various appointment management functions, including the management of multiple appointments, enabling self-rescheduling by patients, conducting referral coordination, facilitating appointment recalls, and managing appointment waitlists.
AM-5.1.	<ul style="list-style-type: none"> ▪ Management of Multiple Appointments – Patients will receive reminders for as many appointments that are booked for the patient in context and reminders will be sent to that patient’s preferred contact method of phone or e-mail ▪ Self-rescheduling – Patients that have indicated they cannot make an appointment can be sent either a link to a separate self-rescheduling module or can real-time text back to the Appointment Reminder Platform / scheduling department to communicate with a staff member who can manually reschedule the patient in ORCHID

No.	Requirement
	<ul style="list-style-type: none"> Referral Coordination – If a referral list is being managed in another application or list of sorts, reminders and messages can be manually sent or imported to patients within the EHR System to coordinate appointments for those referrals Appointment recalls – Batches of messages can be sent out to identified lists of patients that need reminders to schedule appointments for pertinent services (up to 30,000 messages) Managing Appointment Waitlists – If a waitlist is being managed in another application, reminders and message can be manually sent or imported to patients to let them know that an appointment slot is available
AM-6.	<p>Contractor shall configure the Appointment Reminders Functionality to provide County with the reports, analytics, and dashboards included in Contractor’s standard reporting libraries for the Modules that provide the Appointment Reminders Functionality. As of the Amendment 19 Date, Contractor’s standard reporting libraries for the Modules that provide the Appointment Reminders Functionality include the following reports, analytics, and dashboards:</p> <ul style="list-style-type: none"> “Executive Dashboard” that includes (i) data identifying the number of appointments and patients scheduled and how, (ii) messages sent details, and (iii) details regarding how patients are responding to communications. “Deliverability Dashboard” that shows the overall deliverability of messages to a patient population, including by communication method, and highlighting communication methods with an error rate over a specific threshold. “No Show Trends Dashboard” that shows the numbers of patients that were scheduled for an appointment vs. the number that did not show up to their appointment. This dashboard includes breakdowns for overall no show rate, patients that responded to their appointment reminders, and patients that did not respond to their appointment reminders. “Patient Message History” report enables County to view the history of messages sent to a patient and received by a patient. “Response Rate by Automation” that shows the response rate for appointment reminder messages asking a patient to confirm their appointment. The reports default to SMS/text only, but County may configure the reports to include calls and emails to the destination type filter to see overall response rate.

1.2. Appointment Reminders Optional Work

Upon County’s election to purchase Appointment Reminders as Optional Work pursuant to a Change Order or Amendment, Contractor shall provide Services, including New Software, EHR System changes, and Professional Services, to implement and maintain Appointment Reminders within the County’s existing financial hub, in accordance with the Specifications described in Section 1.1 (Appointment Reminders Requirements), above, and otherwise under the Agreement.

Solution	One-Time Fees	Monthly Fees
Appointment Reminders		\$21,600

1.3. Amendments to the Agreement for Appointment Reminders

In the event that County elects to purchase Appointment Reminders as Optional Work pursuant to a Change Order or Amendment, the Parties agree that such Change Order or Amendment shall include amendments to the following Agreement documents as described below.

1.3.1. Exhibit C (Fees; Contractor Professional Services Rates)

The “*Unified Consumer Communications and HealtheLife Base Notifications*” Use Reconciliation item in Row #25 of the table in Section 2.2.2 (Baseline Use Metrics) of Exhibit C (Fees; Contractor Professional Services Rates) shall be amended to:

- (i) add “(including Appointment Reminders)” to the name of the Use Reconciliation item in the “Item Subject to Use Reconciliation” column; and
- (ii) increase the amount in the “Additional Recurring Monthly Fee” column by five thousand one hundred forty-three dollars (\$5,143).

1.3.2. Exhibit B. (Patient Transaction Services Software Components)

Exhibit B. (Patient Transaction Services Software Components) shall be amended to add the applicable items for Appointment Reminders to the table in Section 1 (Licensed Software). These items will be marked as “WELL Modules” in that Exhibit, and the Change Order or Amendment body will additionally provide that the “WELL Modules” as defined in Section 4 (Alternative Agreement Terms Applicable to the Amwell Modules and the WELL Modules) of Change Order AR will be deemed to include the “WELL Modules” identified in Exhibit B. (Patient Transaction Services Software Components), such that the “WELL Modules” identified in Exhibit B. (Patient Transaction Services Software Components) will be subject to the same terms applicable to the “WELL Modules” under Change Order AR, including Exhibit A.24.2 (Virtual Healthcare Support Services, Maintenance, and Operations Statement of Work) and Exhibit E.VH (Virtual Healthcare Modules Service Levels and Performance Standards).

1.3.3. Exhibit A.24.2 (Virtual Healthcare Support Services, Maintenance, and Operations Statement of Work)

Exhibit A.24.2 (Virtual Healthcare Support Services, Maintenance, and Operations Statement of Work) shall be amended to:

- (i) add “and Subtask 3.1 (Document Interface Requirements) of Exhibit A. (Patient Transaction Services Statement of Work)” to the end of the bullet in Subtask 3.3 (Provide 24x7x365 Application Support) that as of the Amendment 19 Date provides that Contractor will “Participate in the resolution of Interface errors that originate in County systems or third-party systems with respect to the Interfaces referenced in Subtask 4.1 (Document Interface Requirements) of Exhibit A.69 (Virtual Healthcare Statement of Work);” and
- (ii) add “and Subtask 8.1 (Update and Maintain Patient Transaction Services Modules Production Support Plan) of Exhibit A. (Patient Transaction Services Statement of Work)” to the end of the paragraph in Subtask 4.2 (Provide Hosting Services) that as of the Amendment 19 Date provides that “Throughout the Term of the Agreement, Contractor will provide Hosting Services in accordance with the Production Support Plan developed pursuant to Subtask 8.1 (Develop and Maintain Production Support Plan) of Exhibit A.69 (Virtual Healthcare Statement of Work).”

2. AUTHORIZATIONS

Upon County’s election to purchase Contractor’s Authorizations Module as Optional Work pursuant to a Change Order or Amendment, Contractor shall provide Services, including New Software, EHR System changes, and Professional Services, to implement and maintain Authorizations within the County’s existing financial hub, in accordance with the Specifications described in Section 2.1 (Authorizations Requirements), below, and otherwise under the Agreement (the “**Authorizations Functionality**”), pursuant to the pricing set forth in Section 2.2 (Authorizations Optional Work), below.

As to the implementation of the Authorizations Functionality, Contractor shall deliver the Services in accordance with Exhibit A. (Patient Transaction Services Statement of Work), provided that the parties agree that the implementation of the Authorizations Functionality will not require a repeat of all implementation tasks set forth in Exhibit A. (Patient Transaction Services Statement of Work) and that the Parties will develop a scaled down version of such Statement of Work to enable the implementation of the Authorizations Functionality to leverage, as

appropriate, Services and efforts by the Parties that have been completed in the Patient Transaction Services implementation and are suitable for use in connection with the implementation of the Authorizations Functionality.

2.1. Authorizations Requirements

Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
AU-1.	For commercial payers, the Authorizations Functionality shall provide the capability to manually send authorization requests for outpatient encounters.	x	
AU-2.	The Authorizations Functionality shall automatically attach the received authorization to a patient's encounter.	x	
AU-3.	If a scheduled encounter (e.g., outpatient visit, procedure, admission) is not authorized for a defined set of services, the Authorizations Functionality shall provide ability to trigger the authorization process electronically for a predefined set of payers.	x	
AU-4.	Based on the existing status of an authorization, the Authorizations Functionality shall auto-populate the following fields in the EHR System: <ul style="list-style-type: none"> ▪ "Authorization Status" ▪ "Authorization Number" ▪ "Service Beginning and End Date" ▪ "Number Authorized" 	x	x
AU-5.	Based on the existing status of an authorization, the Authorizations Functionality will display the following fields based on information provided by the payer: <ul style="list-style-type: none"> ▪ "Authorization Type" ▪ "AuthReferral Phone Number" ▪ "AuthReferral Contact Number" ▪ "Number of Authorized Qualifier" ▪ "Date Authorization Obtained" ▪ "NPI" ▪ "Benefit Information" (e.g., Deductible or Co-Pay) 	x	x
AU-6.	The Authorizations Functionality will provide authorization reconciliation functionality, including (i) determining if the procedure performed was the same as the procedure authorized, and (ii) determining if the date range of the service aligns with the effective date range of the authorization, and will trigger resolution workflows in the event that any such issues are identified.	x	
AU-7.	On an ongoing basis, as part of the authorizations Services, Contractor will endeavor (including coordinating with payers and maintaining and updating the Authorizations Functionality's connections with payers) to both (i) preserve the connections to the payers existing as of the Amendment 19 Date, and (ii) to develop and provide new connections with payers as requested by County.	x	

2.2. Authorizations Optional Work

Solution	One-Time Fees	Monthly Fees
Authorizations	\$118,335	\$17,124

3. NOTICES OF ADMISSION

Upon County's election to purchase Contractor's Notices of Admission Module as Optional Work pursuant to a Change Order or Amendment, Contractor shall provide Services, including New Software, EHR System changes, and Professional Services, to implement and maintain Notices of Admission within the County's existing financial hub, in accordance with the Specifications described in Section 3.1 (Notices of Admission Requirements), below, and otherwise under the Agreement (the "**NOA Functionality**"), pursuant to the pricing set forth in Section 3.2 (Notices of Admission Optional Work), below.

As to the implementation of the NOA Functionality, Contractor shall deliver the Services in accordance with Exhibit A. (Patient Transaction Services Statement of Work), provided that the parties agree that the implementation of the NOA Functionality will not require a repeat of all implementation tasks set forth in Exhibit A. (Patient Transaction Services Statement of Work) and that the Parties will develop a scaled down version of such Statement of Work to enable the implementation of the NOA Functionality to leverage, as appropriate, Services and efforts by the Parties that have been completed in the Patient Transaction Services implementation and are suitable for use in connection with the implementation of the NOA Functionality.

3.1. Notices of Admission Requirements

Req. ID	Requirement Description	Functionality Accessed in eCare NEXT	Functionality Accessed in ORCHID
NOA-1.	The NOA Functionality shall automatically generate and transmit notices of admission to the applicable payers when patients are placed into inpatient status within the EHR System.	X	X
NOA-2.	The NOA Functionality will electronically generate notices of admission by populating the notices with patient and procedure information from the EHR System.	X	
NOA-3.	On an ongoing basis, as part of the notice of admission Services, Contractor will endeavor (including coordinating with payers and maintaining and updating the NOA Functionality's connections with payers) to both (i) preserve the connections to the payers existing as of the Amendment 19 Date, and (ii) to develop and provide new connections with payers as requested by County.	X	
NOA-4.	When all or some of the NOA Functionality is unavailable (e.g., when a payer system goes down), notices of admission will be saved in a queue and automatically resubmitted once the functionality becomes available again.	X	

3.2. Notices of Admission Optional Work

Solution	One-Time Fees	Monthly Fees
Notices of Admission (including the development of new payer connections for at least two (2) new payers in accordance with Requirement #NOA-3)	\$139,719	\$10,919

4. TRANSACTION SERVICES TRAINING OPTIONAL WORK

Contractor shall provide County Personnel with Training to enable County to operate and manage the Patient Transaction Services Functionality without Contractor's assistance. Contractor's Training will provide County Personnel with sufficient knowledge and background information to successfully:

- **Cerner Millennium: Millennium Appointment Reminders; Eligibility; and Registration Maintenance** – *Training sessions will cover the workflows aligned with the solution and/or transaction services specifically educating on navigation of the tool, required worklists and reports, hands-on practice, and reference materials.*
- **eCN Phase 1: Products (eCare NEXT, Premium Eligibility, RQA, Coverage Discovery)** – *Training sessions are designed to cover user navigation of specific solution, understanding and competency within work queues, and hands-on practice.*

The Services and Optional Work provided in this Section 4 (Transaction Services Training Optional Work) are in addition to, and shall not affect, Contractor's existing Training obligations as set forth in the relevant Sections and Exhibits to the Agreement. All e-Learning (i.e., virtual or web-based) and Cerner Classroom (Kansas City) Training provided by Contractor will provide County Personnel with the same knowledge and background information as the equivalent On-Site offerings for such Training.

Upon completion of Contractor's delivery of the Training course(s) set forth in a Change Order or Amendment for Optional Work under this Section 4 (Transaction Services Training Optional Work), Contractor shall invoice County for the Training course(s) in accordance with the pricing set forth below.

Course	Class Length (Hours)	On-Site			Virtual (Webex)
		Training Cost per Day of Classes (up to three (3) classes per day)	Participants	Travel Per Day of Classes (up to three (3) classes per day)	Training Cost per Class
eCareNEXT Financial Clearance Training Class Description: <ul style="list-style-type: none"> ▪ Getting Started with eCareNEXT ▪ Training Resource Review ▪ Detailed Product Overviews for products in scope as well as worklisting and reporting ▪ Hands-On Practice ▪ Learning Assessment ▪ Ask the Trainer / General Discussion 	Two (2) hours	\$2,350	Up to twelve (12) attendees per class, includes hands-on practice	\$0	\$250 per class, recordings included
Cerner Financial Clearance Training Class Description: <ul style="list-style-type: none"> ▪ Getting Started with HDX Eligibility ▪ Detailed overview of ORCHID integration with eCareNEXT 	Two (2) hours	\$1,520	Up to twelve (12) attendees per session	\$1,728	Same as "On-Site," excluding travel

		On-Site			Virtual (Webex)
Course	Class Length (Hours)	Training Cost per Day of Classes (up to three (3) classes per day)	Participants	Travel Per Day of Classes (up to three (3) classes per day)	Training Cost per Class
<ul style="list-style-type: none"> ▪ Detailed overview of corresponding Financial Clearance workflows in ORCHID - Worklisting / Reporting ▪ Hands -On Practice ▪ Learning Assessment ▪ Ask the Trainer / General Discussion 					

5. PATIENT TRANSACTION SERVICES EXPERIAN MODULES CUSTOM REPORTS

Upon County's election pursuant to a Change Order or Amendment, Contractor shall provide Services, including New Software, EHR System changes, and Professional Services, to implement custom reports within the Experian Modules as Optional Work. Notwithstanding the rates set forth in Exhibit C.7 (Contractor Professional Services Rate Card), the applicable hourly rate for Contractor's development of custom reports within the Experian Modules as set forth in this Section 5 (Transaction Services Experian Custom Reports) shall be two hundred fifty dollars (\$250) per hour.

To the extent Contractor provides any custom reports as Optional Work pursuant to this Section 5 (Transaction Services Experian Custom Reports), Contractor shall maintain such reports throughout the Term of the Agreement such that the reports will continue to meet the Specifications set forth under the applicable Change Order or Amendment for such reports.



EXHIBIT C.1.18.1 (COUNTY APPOINTMENT REMINDERS AS OF THE
AMENDMENT 19 DATE)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT



EXCLUSION CRITERIA APPOINTMENT REMINDERS – PHONE CALLS, TEXT MESSAGES & POSTCARDS

Issued: 02/02/2021

S:\FullEnroll\Team Projects\Centralized Appt Reminder

CATEGORY / ORCHID FIELD	EXCLUDE (OPT-OUT)	text/phone	postcards	Notes
APPT TIME	appointment times - before 6am - AND after 9pm	opt-out	opt-out	
“Appt. Reminder Letter (Postcard)” in ORCHID Patient Info tab		OPT-IN	opt-out	
“Auto Appt Reminder ” in ORCHID Patient Info tab	<ul style="list-style-type: none"> Auto Appt. Reminder Call = “No, do not text or call” 	opt-out	OPT-IN	
Appointment Type[1] -	<ul style="list-style-type: none"> All appointment types associated with scheduled surgeries 	opt-out	opt-out	Remove Appt Type = "Phone Visit" from exclusion criteria. Use wildcard of "Phone Visit" any where in the Appt Type to create a separate Appt Reminder file for Texting.
	<ul style="list-style-type: none"> Colorectal FLEX SIG 	opt-out	opt-out	
	<ul style="list-style-type: none"> Endoscopy Colonoscopy 	opt-out	opt-out	
	<ul style="list-style-type: none"> Endoscopy EGD 	opt-out	opt-out	
	<ul style="list-style-type: none"> Endoscopy EGD+Colonoscopy 	opt-out	opt-out	
	<ul style="list-style-type: none"> Endoscopy w/ Peg Placement 	opt-out	opt-out	
	§ RLA Radiology Inpatient Block[2]	opt-out	opt-out	
	<ul style="list-style-type: none"> MG Breast 	opt-out	opt-out	
	§ Phone Visits[3]	OPT-IN	opt-out	
	§ Positive Care Psychiatry (PC Psych) New & Return[4]	opt-out	opt-out	
	<ul style="list-style-type: none"> Pre-Op New 	opt-out	opt-out	
	<ul style="list-style-type: none"> Pre-Op Open Access 	opt-out	opt-out	
	<ul style="list-style-type: none"> Pre-Op Return 	opt-out	opt-out	



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CATEGORY / ORCHID FIELD	EXCLUDE (OPT-OUT)	text/phone	postcards	Notes
	§ Radiation Therapy Treatment[5]	opt-out	opt-out	
	▪ Surgery	opt-out	opt-out	
	▪ Surgery Urgent	opt-out	opt-out	
	▪ Surgery Room	opt-out	opt-out	
	▪ Surgeon Downtime	opt-out	opt-out	
Clinic Location				Labeled as APPT Location inside of scheduling reports.
	Asthma Breathmobile	opt-out	opt-out	- USC Asthma [6] - HDH Asthma [7]
	DPH (Department of Public Health)	opt-out	opt-out	- all clinic/appt locations
	EHS (Employee Health Services)	opt-out	opt-out	- all clinic/appt locations
	Gardena School Based Clinic [8]	opt-out	opt-out	- GAR FAMMED - GAR CR - GAR LAB
	HUB	opt-out	opt-out	- HAR PED HUB - USC ESG HUB - USC VIP - OVM PEDS HUB - HDH PEDS HUB - MLK PEDS HUB
	Infusion Centers	opt-out	opt-out	- USC infusion
	Jail	opt-out	opt-out	- USC JAIL - USC Twin NP



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CATEGORY / ORCHID FIELD	EXCLUDE (OPT-OUT)	text/phone	postcards	Notes
	Positive Care Clinics	opt-out	opt-out	<ul style="list-style-type: none"> - HAR PCCs [9] - USC PCC MCS [10] - USC PCC RS [10] - USC PCC RS INF [10] - OVM PCC [11] - HDH PCC [13] - HHH PCC [12] - LBH PCC [14] - MLK PCC [15]
	Mental Health opted in across the DHS system.	OPT-IN	OPT-IN	
County Holidays	<ul style="list-style-type: none"> - New Year's Day (January 1st) - MLK Jr.'s Birthday (Third Monday in January) - Presidents' Day (Third Monday in February) - Cesar Chavez (Last Monday in March) - Memorial Day (Last Monday in May) - Independence Day (July 4th) - Labor Day (First Monday in September) - Indigenous People's Day (Second Monday in October) - Veterans Day (November 11th) - Thanksgiving Day (Fourth Thursday in November) - Friday after Thanksgiving (Friday following 4th Thursday in November) - Christmas (December 25th) 	opt-out	opt-out	No files will be sent to the vendor 3 weeks before a scheduled County Holiday. For example, on March 9th no file was sent for the Cesar Chavez Holiday (3/30).
DHS Test Patients in ORCHID	▪ Last Name = "ZZZZTEST"	opt-out	opt-out	
	▪ Or any version of the word "test" as a last name that begins with the letter(s) "Z"	opt-out	opt-out	
"Homeless" in ORCHID Patient Info tab		OPT-IN	opt-out	Included in phone and text if phone number is present.
"Mailing Address" in ORCHID Patient Info tab		OPT-IN	opt-out	Included in phone and text if phone number is present.



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"Return Mail" in ORCHID Patient Info tab		OPT-IN	opt-out	Included in phone and text if phone number is present.
Zip code		OPT-IN	opt-out	Included in phone and text if phone number is present.
Preferred phone number	"Previous number not valid"	opt-out	OPT-IN	
Phone number	"999999999 or 000000000"	opt-out	OPT-IN	exclude blanks in phone and text
"VIP" in ORCHID Encounter Info tab	All VIP options excluded	opt-out	opt-out	
	▪ Confidential Do Not Release Record	opt-out	opt-out	
	▪ For HIM only-Do not use this status	opt-out	opt-out	
	▪ For HIM use only-Do not use this status	opt-out	opt-out	
	▪ High Profile	opt-out	opt-out	
	▪ In Custody	opt-out	opt-out	
	▪ Law Enforcement/Fire Dept.	opt-out	opt-out	
	▪ Victim of Crime	opt-out	opt-out	

[1] Infusion appointment types will receive postcards per Dr. Sophia Monica Soni (DHS Specialty Care Director)

[2] Amelia Bernabe, Chief Radiology Tech I (Harbor-UCLA Medical Center)

[3] Dr. Sophia Monica Soni (DHS Specialty Care Director)

[4] Dr. Carlin Rooke (Olive View-UCLA Medical Center) / Dr. Sophia Monica Soni (DHS Specialty Care Director)

[5] Dr. Richard Jennelle (LAC+USC Medical Center) / Dr. Sophia Monica Soni (DHS Specialty Care Director)

[6] Dr. Lyne Scott (LAC+USC Medical Center)

[7] Margarita Lopez (High Desert Regional Health Center)

[8] Dr. Carmen Mendez (Harbor-UCLA Medical Center)

[9] Dr. Mallory Witt & Dr. Griselda Gutierrez (Harbor-UCLA Medical Center)

[10] Dr. Noah Wald-Dickler (LAC+USC Medical Center)

[11] Dr. Carlin Rooke (Olive View-UCLA Medical Center)

[12] Dr. Ray Perry (Hubert H. Humphrey Comprehensive Health Center)



EXCLUSION CRITERIA APPOINTMENT REMINDERS – PHONE CALLS, TEXT MESSAGES & POSTCARDS

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CATEGORY / ORCHID FIELD	EXCLUDE (OPT-OUT)	text/phone	postcards	Notes
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[13] Yesenia Contreras, NP (High Desert Regional Health Center)

[14] Dr. Jeff Barbosa (Long Beach Comprehensive Health Center)

[15] Dr. Ellen Rothman (Martin Luther King, Jr. Outpatient Center)



EXCLUSION CRITERIA **APPOINTMENT REMINDERS –** **PHONE CALLS, TEXT MESSAGES & POSTCARDS**

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CATEGORY / ORCHID FIELD	INCLUDE (OPT-IN)	text/phone	postcards	Notes
EXPRESS Clinic Location/ Appointment type "PC Immunization COVID-19"	AVH Express PC Immunization COVID-19 New Nurse Walk-Up AVH Express PC Immunization COVID-19 Return Nurse Walk-Up BFH Express PC Immunization COVID-19 New Nurse Walk-Up BFH Express PC Immunization COVID-19 Return Nurse Walk-Up CRT Express PC Immunization COVID-19 New Nurse Walk-Up CRT Express PC Immunization COVID-19 Return Nurse Walk-Up ELM Express PC Immunization COVID-19 New Nurse Walk-Up ELM Express PC Immunization COVID-19 Return Nurse Walk-Up GLC Express PC Immunization COVID-19 New Nurse Walk-Up GLC Express PC Immunization COVID-19 Return Nurse Walk-Up HAR Express PC Immunization COVID-19 New Nurse Walk-Up HAR Express PC Immunization COVID-19 Return Nurse Walk-Up HDH Express PC Immunization COVID-19 New Nurse Walk-Up HDH Express PC Immunization COVID-19 Return Nurse Walk-Up HHH Express PC Immunization COVID-19 New Nurse Walk-Up HHH Express PC Immunization COVID-19 Return Nurse Walk-Up	opt-in	opt-out	These appointment types will be the only ones to have reminders and confirmations sent. All other filters will apply.



EXCLUSION CRITERIA APPOINTMENT REMINDERS – PHONE CALLS, TEXT MESSAGES & POSTCARDS

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CATEGORY / ORCHID FIELD	INCLUDE (OPT-IN)	text/phone	postcards	Notes
	HUD Express PC Immunization COVID-19 New Nurse Walk-Up HUD Express PC Immunization COVID-19 Return Nurse Walk-Up LAP Express PC Immunization COVID-19 New Nurse Walk-Up LAP Express PC Immunization COVID-19 Return Nurse Walk-Up LBH Express PC Immunization COVID-19 New Nurse Walk-Up LBH Express PC Immunization COVID-19 Return Nurse Walk-Up LCC Express PC Immunization COVID-19 New Nurse Walk-Up LCC Express PC Immunization COVID-19 Return Nurse Walk-Up LLA Express PC Immunization COVID-19 New Nurse Walk-Up LLA Express PC Immunization COVID-19 Return Nurse Walk-Up MLK Express PC Immunization COVID-19 New Nurse Walk-Up MLK Express PC Immunization COVID-19 Return Nurse Walk-Up MVC Express PC Immunization COVID-19 New Nurse Drive-Thru MVC Express PC Immunization COVID-19 Return Nurse Drive-Thru OVM Express PC Immunization COVID-19 New Nurse Walk-Up OVM Express PC Immunization COVID-19 Return Nurse Walk-Up			



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CATEGORY / ORCHID FIELD	INCLUDE (OPT-IN)	text/phone	postcards	Notes
	RLA Express Walk-Up PC Immunization COVID-19 New Nurse RLA Express Walk-Up PC Immunization COVID-19 Return Nurse RLA Express Drive-Thru PC Immunization COVID-19 New Nurse RLA Express Drive-Thru PC Immunization COVID-19 Return Nurse ROY Express Walk-Up PC Immunization COVID-19 New Nurse ROY Express Walk-Up PC Immunization COVID-19 Return Nurse SFH Express Walk-Up PC Immunization COVID-19 New Nurse SFH Express Walk-Up PC Immunization COVID-19 Return Nurse SVH Express Walk-Up PC Immunization COVID-19 New Nurse SVH Express Walk-Up PC Immunization COVID-19 Return Nurse TOR Express Walk-Up PC Immunization COVID-19 New Nurse TOR Express Walk-Up PC Immunization COVID-19 Return Nurse USC Express Walk-Up PC Immunization COVID-19 New Nurse USC Express Walk-Up PC Immunization COVID-19 Return Nurse USC Express Drive-Thru PC Immunization COVID-19 New Nurse USC Express Drive-Thru PC Immunization COVID-19 Return Nurse			



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CATEGORY / ORCHID FIELD	INCLUDE (OPT-IN)	text/phone	postcards	Notes
	WMH Express PC Immunization COVID-19 New Nurse Walk-Up WMH Express PC Immunization COVID-19 Return Nurse Walk-Up			

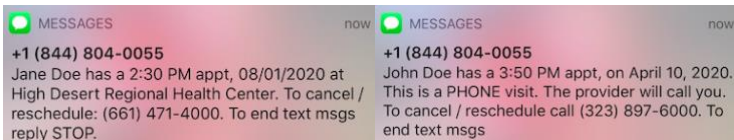


Automated Appointment Reminders Text Messages, Phone Calls & Postcards

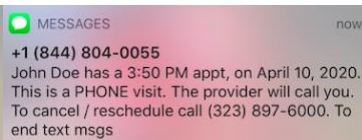
Through the continued collaborative efforts of the Office of Patient Access and the Data Services Division, text messages and automated phone calls will be available for all* scheduled appointments effective October 9, 2020. These efforts will continue to improve the no show rates and enhance the patient experience. *Note:* Postcards are temporarily suspended due to COVID-19 and appointments being rescheduled as phone visits.

Here are some examples of text messages, automated phone calls and postcards.

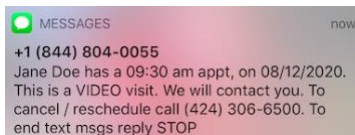
Text Message in Person



Text Message Phone Visit



Text Message Video Visit



Automated Phone Call in Person

Hello Jane Doe, this is LAC+USC Medical Center calling to remind you of your appointment on September 8, 2020 at 02:30 PM. If you need to cancel or reschedule your appointment at LAC+USC Medical Center please give us a call at (323) 409-3000. To opt out of future calls, please call 323-405-1441. Thank you.

Automated Phone Call Phone Visit

Hello John Doe, this is Hubert H. Humphrey Comprehensive Health Center calling to remind you of your appointment on November 17, 2020 at 09:50 AM. The visit will be done over the phone. Please do not come to the clinic. The provider will call you. If you need to cancel or reschedule your appointment please give us a call at (323) 897-6000. To opt out of future calls, please call 323-405-1441. Thank you.

Automated Phone Call Video Visit

Hello John Doe, this is Harbor UCLA Medical Center calling to remind you of your appointment on June 04, 2020 at 9:50 AM. The visit will be done via VIDEO. Please do not come to the clinic. We will contact you. If you need to cancel or reschedule your appointment please give us a call at (424) 306-6500. To opt out of future calls, please call 323-405-1441. Thank you.

Postcard Exterior & Interior





Frequently Asked Questions (FAQs) for text messages, automated phone calls, and postcards too.

<i>*What facilities and what patients are included?</i>	All hospitals and Ambulatory Care Network (ACN) sites are included in appointment reminders sent by text message, automated phone call, and postcard. Almost all appointments will be included with some key <i>exceptions</i> : Positive Care Clinics, HUB clinic appointments, and patients without a valid address or phone number. A full list of exceptions can be found on the Office of Patient Access sharepoint site.		
<i>When will patients receive an automated reminders, e.g. text, phone call or postcard?</i>	Automated Reminders	Description	System Frequency
	1-Day of Scheduling Reminder Text	Text message sent Typically within 1-hour of scheduling an appointment, but no later than 1 day after	Sent 7 days a week , hourly between 8am to 6pm, including holidays. Appointments scheduled between 5pm to 8am are sent next day, starting at 8am
	Example: <i>If a patient calls on Tuesday at 11:30 am, they will receive a text the same day before 1:00 pm.</i>		
	1-Day Reminder Text	Text Message 1-day prior to appointment	Sent 7 days a week , once a day at 10am each day, all scheduled appointments for the following day are sent, including holidays
	Example: <i>If a patient has an appointment on Wednesday, they will receive a text reminding them about their upcoming appointment on Tuesday.</i>		
	1 Week Reminder Phone Call	Automated call, within 7-days or less, prior to appointment	Sent Monday to Friday , hourly 8am-6pm. No weekends or holidays. Calls will go out the next business day.
	Example: <i>If a patient has an appointment on Thursday at 9:00 am, they will receive an automated phone call (robocall) the Thursday 1 week prior to the appointment.</i>		
2 Week Postcards	Arrive 2 weeks prior to appointment	Automated data pull at 6pm daily for appointments in 3 weeks. . Sent at 9:00 pm to vendor who preps and clean files, prints and mails postcards daily.	
Example: <i>If a patient has an appointment on December 15th, they will receive a reminder postcard between November 30th and December 14th.</i>			
<i>What's the difference between a 1 day of Scheduling reminder versus a 1-day reminder text?</i>	A 1-Day of Scheduling Reminder text is received the day of or the following day of scheduling an appointment. For example, if the patient had a healthcare visit today and is scheduled for a follow-up at the end of the visit, a text message will be sent shortly after this occurs. A 1-Day Reminder text is a what is sent the day before the actual appointment date.		
<i>What if the patient doesn't pick up the phone?</i>	A message will be left and it will repeat 2 times.		



Will patients be charged for receiving texts or automated phone calls?	The County of Los Angeles does not charge any fees for text messages or automated phone calls. Any charges assessed will be based on the individual’s phone service plan.														
Will persons experiencing homelessness receive texts and automated phone calls?	Yes, as with any patient that has verbally consented to received automated appointment reminders. As long as a valid phone number is provided and available in ORCHID, a text message and/or an automated phone call will be generated.														
Can patients opt-out of texts, phone calls or postcards?	<div>Auto Appt Reminder: <div><div></div><div>No, Not Ok to Text/Call</div><div>Unknown</div><div>Yes, Ok to Text/Call</div></div></div> <p>The AutoApptReminder field captures a patient’s verbal consent to receive both text messages and automated phone calls.</p> <p>Text messages and automated phone calls are considered one option and patients cannot select one or the other at this time. To opt-out of both or if a patient only wants one method but not the other, select “No, Not Okay to Text/Call”.</p> <div>Appt. Reminder Letter (Postcard): <div><div></div><div>No, don't mail a reminder letter</div><div>Yes, mail a reminder letter</div></div></div> <p>To opt-out of postcards: make the appropriate selection in ORCHID registration - “No, don’t mail a reminder letter”.</p>														
Will a patient receive a reminder via text, phone call or postcard if the appointment is cancelled?	<p>An appointment reminder will <u>not</u> be sent for a cancelled appointment, as long as the appointment is canceled prior to the data retrieval for that mode of communication. Note: The system will not generate a notification specific for a cancellation.</p> <table><tr><th>7-day reminder call</th><th>1-day reminder text</th><th>Postcards</th></tr><tr><td>Cancelled 8 days before the scheduled appointment. Data is pulled from ORCHID daily (hourly) on business days excluding holiday from 8am to 5pm. On holidays, data pulled the next regular business day.</td><td>Cancelled 2 days before appointment. Data is retrieved from ORCHID 7-days a week including holidays from 10am to 8pm.</td><td>Appointment cancelled more than 3 weeks before the date but not if cancelled greater than 3 weeks from the appointment date. Patient should be instructed to disregard the postcard that arrives in the mail.</td></tr></table>			7-day reminder call	1-day reminder text	Postcards	Cancelled 8 days before the scheduled appointment. Data is pulled from ORCHID daily (hourly) on business days excluding holiday from 8am to 5pm. On holidays, data pulled the next regular business day.	Cancelled 2 days before appointment. Data is retrieved from ORCHID 7-days a week including holidays from 10am to 8pm.	Appointment cancelled more than 3 weeks before the date but not if cancelled greater than 3 weeks from the appointment date. Patient should be instructed to disregard the postcard that arrives in the mail.						
7-day reminder call	1-day reminder text	Postcards													
Cancelled 8 days before the scheduled appointment. Data is pulled from ORCHID daily (hourly) on business days excluding holiday from 8am to 5pm. On holidays, data pulled the next regular business day.	Cancelled 2 days before appointment. Data is retrieved from ORCHID 7-days a week including holidays from 10am to 8pm.	Appointment cancelled more than 3 weeks before the date but not if cancelled greater than 3 weeks from the appointment date. Patient should be instructed to disregard the postcard that arrives in the mail.													
What languages will texts, phone calls, and postcards be available?	<p>Texts and automated phone calls are available in English and Spanish.</p> <p>Postcards are available in the following 11 threshold languages:</p> <table><tr><td>1. Arabic</td><td>4. English</td><td>7. Russian</td><td>10. Traditional Chinese</td></tr><tr><td>2. Armenian</td><td>5. Farsi</td><td>8. Spanish</td><td>11. Vietnamese</td></tr><tr><td>3. Cambodian</td><td>6. Korean</td><td>9. Tagalog</td><td></td></tr></table> <p>The patient’s preferred language is identified at registration/check-in. If the patient’s language is not listed above/translated, text messages, automated phone calls, and postcards will be generated in English.</p>			1. Arabic	4. English	7. Russian	10. Traditional Chinese	2. Armenian	5. Farsi	8. Spanish	11. Vietnamese	3. Cambodian	6. Korean	9. Tagalog	
1. Arabic	4. English	7. Russian	10. Traditional Chinese												
2. Armenian	5. Farsi	8. Spanish	11. Vietnamese												
3. Cambodian	6. Korean	9. Tagalog													



EXHIBIT C.9.15 (DETAILED PRICING SUMMARY)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT C.9.15**DETAILED PRICING SUMMARY**

Model	Products / Services	Mfg Part #	One Time Fee	Recurring / Support Fees (Monthly)	Qty (Quantities stated are for calculation purposes only, licensed use is governed by the Agreement)	Fee Metric
Subscription	eCare NEXT In-Process Scripting Touchless Processing	7642353			1	Each
Subscription Recurring	eCare NEXT InProcess Script touchless process -Per Instance	7642551			1	Each
Subscription	Passport eCare NEXT -Batch File Interface Setup Fee	7642395			1	Each
Subscription Recurring	Passport eCare NEXT - Batch File Interface	7642585			1	Each
Subscription	Passport eCare NEXT - Document Imaging Interface	7642411			1	Each
Subscription Recurring	Passport eCare NEXT - Document Imaging Interface	7642577			1	Each
Subscription	Registration QA - With Passport eCare NEXT	7642437			1	Each
Subscription Recurring	Registration QA - With Passport eCare NEXT	7642593			2	Each
Subscription	Passport eCare NEXT - Bad Plan Code Repair	07642403			1	Each
Subscription	eCare NEXT Additional Interface In Process Scripting	07642361			1	Each
Transaction Services	Cerner Eligibility and Benefits Submitter Setup Fee	RC-20325-STUP			5	Submitter IDs
Transaction Services	Cerner Eligibility and Benefits Verification Setup Fee	RC-20326			50	Payer
Transaction Services	Cerner Eligibility and Benefits Verification Transacti	RC-20325-TRANS			1	Eligibility Requests
Transaction Services	Cerner Eligibility and Benefits Verification	RC-20325-MIN			200,000	Eligibility Requests
Transaction Services	Coverage Discovery Transaction	07642098-TRANS			1	Each
Transaction Services	Coverage Discovery	07642098-MIN			30,000	Each
Transaction Services	Premium Eligibility Verification Service Transaction	07642080-TRANS			1	Each
Transaction Services	Premium Eligibility Verification Service	07642080-MIN			400,000	Each
Professional Services & Training	Implementation Services	Implementation Services			n/a	Professional Services & Training
Remote Hosting	Remote Hosting (Recurring Fees)	CW-RHO-NC-RECUR			80,000	Annual Authorizations



EXHIBIT C._ (PATIENT TRANSACTION SERVICES KEY MILESTONES AND KEY
DELIVERABLES TABLE)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT C.**PATIENT TRANSACTION SERVICES KEY MILESTONES AND KEY DELIVERABLES TABLE**

Key Milestones		Key Deliverables	
Key Milestone	Milestone Allocation of Fixed Fees, Including Licensed Software, Third-Party Products, and Implementation Fees	SOW Name	Deliverables
Complete Design	20%	Exhibit A. (Patient Transaction Services Statement of Work)	<ul style="list-style-type: none"> ▪ Deliverable 2.1 (Completed Discovery Activities and Validated Requirements) ▪ Deliverable 2.2 (Future State Workflows) ▪ Deliverable 2.3 (Completed Design) ▪ Deliverable 3.1 (Interface Requirements) ▪ Deliverable 4.1 (Requirements for Reports)
Complete Build	25%	Exhibit A. (Patient Transaction Services Statement of Work)	<ul style="list-style-type: none"> ▪ Deliverable 2.4 (Patient Transaction Services Modules Installed and Configured) ▪ Deliverable 3.2 (Updated and Tested Interfaces) ▪ Deliverable 4.2 (Completed Reports)
Complete Test	20%	Exhibit A. (Patient Transaction Services Statement of Work)	<ul style="list-style-type: none"> ▪ Deliverable 5.1 (Test Plan) ▪ Deliverable 5.2 (Test Scripts, Test Scenarios and Test Cycles) ▪ Deliverable 5.3 (Successful Testing)
Productive Use	25%	Exhibit A. (Patient Transaction Services Statement of Work)	<ul style="list-style-type: none"> ▪ Deliverable 6.1 (Training Plan) ▪ Deliverable 6.2 (Training Materials) ▪ Deliverable 6.3 (Administrative and Technical Support Knowledge Transfer) ▪ Deliverable 6.4 (Train-the-Trainer and Super-User Training) ▪ Deliverable 8.1 (Updated Patient Transaction Services Modules Production Support Plan) ▪ Deliverable 8.2 (Help Desk Scripts) ▪ Deliverable 8.3 (Update Business Continuity Plan) ▪ Deliverable 7.1 (Deployment Plan) ▪ Deliverable 7.2 (Successful Deployment)
Final Acceptance	10%	Exhibit A. (Patient Transaction Services Statement of Work)	<ul style="list-style-type: none"> ▪ Deliverable 7.4 (Post Go-Live Assessment and Performance Verification Activities) ▪ Deliverable 9.1 (Project Close-Out Checklist) ▪ Deliverable 9.2 (Final Acceptance Report)



EXHIBIT C._ (PATIENT TRANSACTION SERVICES MILESTONES AND PAYMENTS
TABLE)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
Jan 2013	Month 1	2/1/2013								
Feb 2013	Month 2	3/1/2013								
Mar 2013	Month 3	4/1/2013								
Apr 2013	Month 4	5/1/2013								
May 2013	Month 5	6/1/2013								
Jun 2013	Month 6	7/1/2013								
Jul 2013	Month 7	8/1/2013								
Aug 2013	Month 8	9/1/2013								
Sep 2013	Month 9	10/1/2013								
Oct 2013	Month 10	11/1/2013								
Nov 2013	Month 11	12/1/2013								
Dec 2013	Month 12	1/1/2014								
Jan 2014	Month 13	2/1/2014								
Feb 2014	Month 14	3/1/2014								
Mar 2014	Month 15	4/1/2014								
Apr 2014	Month 16	5/1/2014								
May 2014	Month 17	6/1/2014								
Jun 2014	Month 18	7/1/2014								
Jul 2014	Month 19	8/1/2014								
Aug 2014	Month 20	9/1/2014								
Sep 2014	Month 21	10/1/2014								
Oct 2014	Month 22	11/1/2014								
Nov 2014	Month 23	12/1/2014								
Dec 2014	Month 24	1/1/2015								
Jan 2015	Month 25	2/1/2015								
Feb 2015	Month 26	3/1/2015								
Mar 2015	Month 27	4/1/2015								
Apr 2015	Month 28	5/1/2015								

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
May 2015	Month 29	6/1/2015								
Jun 2015	Month 30	7/1/2015								
Jul 2015	Month 31	8/1/2015								
Aug 2015	Month 32	9/1/2015								
Sep 2015	Month 33	10/1/2015								
Oct 2015	Month 34	11/1/2015								
Nov 2015	Month 35	12/1/2015								
Dec 2015	Month 36	1/1/2016								
Jan 2016	Month 37	2/1/2016								
Feb 2016	Month 38	3/1/2016								
Mar 2016	Month 39	4/1/2016								
Apr 2016	Month 40	5/1/2016								
May 2016	Month 41	6/1/2016								
Jun 2016	Month 42	7/1/2016								
Jul 2016	Month 43	8/1/2016								
Aug 2016	Month 44	9/1/2016								
Sep 2016	Month 45	10/1/2016								
Oct 2016	Month 46	11/1/2016								
Nov 2016	Month 47	12/1/2016								
Dec 2016	Month 48	1/1/2017								
Jan 2017	Month 49	2/1/2017								
Feb 2017	Month 50	3/1/2017								
Mar 2017	Month 51	4/1/2017								
Apr 2017	Month 52	5/1/2017								
May 2017	Month 53	6/1/2017								
Jun 2017	Month 54	7/1/2017								
Jul 2017	Month 55	8/1/2017								
Aug 2017	Month 56	9/1/2017								

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
Sep 2017	Month 57	10/1/2017								
Oct 2017	Month 58	11/1/2017								
Nov 2017	Month 59	12/1/2017								
Dec 2017	Month 60	1/1/2018								
Jan 2018	Month 61	2/1/2018								
Feb 2018	Month 62	3/1/2018								
Mar 2018	Month 63	4/1/2018								
Apr 2018	Month 64	5/1/2018								
May 2018	Month 65	6/1/2018								
Jun 2018	Month 66	7/1/2018								
Jul 2018	Month 67	8/1/2018								
Aug 2018	Month 68	9/1/2018								
Sep 2018	Month 69	10/1/2018								
Oct 2018	Month 70	11/1/2018								
Nov 2018	Month 71	12/1/2018								
Dec 2018	Month 72	1/1/2019								
Jan 2019	Month 73	2/1/2019								
Feb 2019	Month 74	3/1/2019								
Mar 2019	Month 75	4/1/2019								
Apr 2019	Month 76	5/1/2019								
May 2019	Month 77	6/1/2019								
Jun 2019	Month 78	7/1/2019								
Jul 2019	Month 79	8/1/2019								
Aug 2019	Month 80	9/1/2019								
Sep 2019	Month 81	10/1/2019								
Oct 2019	Month 82	11/1/2019								
Nov 2019	Month 83	12/1/2019								
Dec 2019	Month 84	1/1/2020								

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
Jan 2020	Month 85	2/1/2020								
Feb 2020	Month 86	3/1/2020								
Mar 2020	Month 87	4/1/2020								
Apr 2020	Month 88	5/1/2020								
May 2020	Month 89	6/1/2020								
Jun 2020	Month 90	7/1/2020								
Jul 2020	Month 91	8/1/2020								
Aug 2020	Month 92	9/1/2020								
Sep 2020	Month 93	10/1/2020								
Oct 2020	Month 94	11/1/2020								
Nov 2020	Month 95	12/1/2020								
Dec 2020	Month 96	1/1/2021								
Jan 2021	Month 97	2/1/2021								
Feb 2021	Month 98	3/1/2021								
Mar 2021	Month 99	4/1/2021								
Apr 2021	Month 100	5/1/2021								
May 2021	Month 101	6/1/2021								
Jun 2021	Month 102	7/1/2021								
Jul 2021	Month 103	8/1/2021								
Aug 2021	Month 104	9/1/2021								
Sep 2021	Month 105	10/1/2021								
Oct 2021	Month 106	11/1/2021								
Nov 2021	Month 107	12/1/2021								
Dec 2021	Month 108	1/1/2022								
Jan 2022	Month 109	2/1/2022								
Feb 2022	Month 110	3/1/2022								
Mar 2022	Month 111	4/1/2022								
Apr 2022	Month 112	5/1/2022								

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
May 2022	Month 113	6/1/2022	\$96,652							
Jun 2022	Month 114	7/1/2022	\$96,652							
Key Milestone Approval - Complete Design			\$34,113							
Jul 2022	Month 115	8/1/2022		\$241,630						
Key Milestone Approval - Complete Build				\$42,641						
Aug 2022	Month 116	9/1/2022			\$193,304					
Key Milestone Approval - Complete Test					\$34,113					
Sep 2022	Month 117	10/1/2022				\$120,815				
Oct 2022	Month 118	11/1/2022				\$120,815				
Key Milestone Approval - Productive Use						\$42,641				
Nov 2022	Month 119	12/1/2022						\$3,700	\$6,235	\$95,400
Dec 2022	Month 120	1/1/2023						\$3,700	\$6,235	\$95,400
Jan 2023	Month 121	2/1/2023						\$3,700	\$6,235	\$95,400
Feb 2023	Month 122	3/1/2023						\$3,700	\$6,235	\$95,400
Key Milestone Approval - Final Acceptance							\$113,708			
Mar 2023	Month 123	4/1/2023						\$3,700	\$6,235	\$95,400
Apr 2023	Month 124	5/1/2023						\$3,700	\$6,235	\$95,400
May 2023	Month 125	6/1/2023						\$3,700	\$6,235	\$95,400
Jun 2023	Month 126	7/1/2023						\$3,700	\$6,235	\$95,400
Jul 2023	Month 127	8/1/2023						\$3,700	\$6,235	\$95,400
Aug 2023	Month 128	9/1/2023						\$3,700	\$6,235	\$95,400
Sep 2023	Month 129	10/1/2023						\$3,700	\$6,235	\$95,400
Oct 2023	Month 130	11/1/2023						\$3,700	\$6,235	\$95,400
Nov 2023	Month 131	12/1/2023						\$3,700	\$6,235	\$95,400
Dec 2023	Month 132	1/1/2024						\$3,700	\$6,235	\$95,400
Jan 2024	Month 133	2/1/2024						\$3,700	\$6,235	\$95,400
Feb 2024	Month 134	3/1/2024						\$3,700	\$6,235	\$95,400
Mar 2024	Month 135	4/1/2024						\$3,700	\$6,235	\$95,400

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
Apr 2024	Month 136	5/1/2024						\$3,700	\$6,235	\$95,400
May 2024	Month 137	6/1/2024						\$3,700	\$6,235	\$95,400
Jun 2024	Month 138	7/1/2024						\$3,700	\$6,235	\$95,400
Jul 2024	Month 139	8/1/2024						\$3,700	\$6,235	\$95,400
Aug 2024	Month 140	9/1/2024						\$3,700	\$6,235	\$95,400
Sep 2024	Month 141	10/1/2024						\$3,700	\$6,235	\$95,400
Oct 2024	Month 142	11/1/2024						\$3,700	\$6,235	\$95,400
Nov 2024	Month 143	12/1/2024						\$3,700	\$6,235	\$95,400
Dec 2024	Month 144	1/1/2025						\$3,700	\$6,235	\$95,400
Jan 2025	Month 145	2/1/2025						\$3,700	\$6,235	\$95,400
Feb 2025	Month 146	3/1/2025						\$3,700	\$6,235	\$95,400
Mar 2025	Month 147	4/1/2025						\$3,700	\$6,235	\$95,400
Apr 2025	Month 148	5/1/2025						\$3,700	\$6,235	\$95,400
May 2025	Month 149	6/1/2025						\$3,700	\$6,235	\$95,400
Jun 2025	Month 150	7/1/2025						\$3,700	\$6,235	\$95,400
Jul 2025	Month 151	8/1/2025						\$3,700	\$6,235	\$95,400
Aug 2025	Month 152	9/1/2025						\$3,700	\$6,235	\$95,400
Sep 2025	Month 153	10/1/2025						\$3,700	\$6,235	\$95,400
Oct 2025	Month 154	11/1/2025						\$3,700	\$6,235	\$95,400
Nov 2025	Month 155	12/1/2025						\$3,700	\$6,235	\$95,400
Dec 2025	Month 156	1/1/2026						\$3,700	\$6,235	\$95,400
Jan 2026	Month 157	2/1/2026						\$3,700	\$6,235	\$95,400
Feb 2026	Month 158	3/1/2026						\$3,700	\$6,235	\$95,400
Mar 2026	Month 159	4/1/2026						\$3,700	\$6,235	\$95,400
Apr 2026	Month 160	5/1/2026						\$3,700	\$6,235	\$95,400
May 2026	Month 161	6/1/2026						\$3,700	\$6,235	\$95,400
Jun 2026	Month 162	7/1/2026						\$3,700	\$6,235	\$95,400
Jul 2026	Month 163	8/1/2026						\$3,700	\$6,235	\$95,400

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
Aug 2026	Month 164	9/1/2026						\$3,700	\$6,235	\$95,400
Sep 2026	Month 165	10/1/2026						\$3,700	\$6,235	\$95,400
Oct 2026	Month 166	11/1/2026						\$3,700	\$6,235	\$95,400
Nov 2026	Month 167	12/1/2026						\$3,700	\$6,235	\$95,400
Dec 2026	Month 168	1/1/2027						\$3,700	\$6,235	\$95,400
Jan 2027	Month 169	2/1/2027						\$3,700	\$6,235	\$95,400
Feb 2027	Month 170	3/1/2027						\$3,700	\$6,235	\$95,400
Mar 2027	Month 171	4/1/2027						\$3,700	\$6,235	\$95,400
Apr 2027	Month 172	5/1/2027						\$3,700	\$6,235	\$95,400
May 2027	Month 173	6/1/2027						\$3,700	\$6,235	\$95,400
Jun 2027	Month 174	7/1/2027						\$3,700	\$6,235	\$95,400
Jul 2027	Month 175	8/1/2027						\$3,700	\$6,235	\$95,400
Aug 2027	Month 176	9/1/2027						\$3,700	\$6,235	\$95,400
Sep 2027	Month 177	10/1/2027						\$3,700	\$6,235	\$95,400
Oct 2027	Month 178	11/1/2027						\$3,700	\$6,235	\$95,400
Nov 2027	Month 179	12/1/2027						\$3,700	\$6,235	\$95,400
Dec 2027	Month 180	1/1/2028						\$3,700	\$6,235	\$95,400
Jan 2028	Month 181	2/1/2028						\$3,700	\$6,235	\$95,400
Feb 2028	Month 182	3/1/2028						\$3,700	\$6,235	\$95,400
Mar 2028	Month 183	4/1/2028						\$3,700	\$6,235	\$95,400
Apr 2028	Month 184	5/1/2028						\$3,700	\$6,235	\$95,400
May 2028	Month 185	6/1/2028						\$3,700	\$6,235	\$95,400
Jun 2028	Month 186	7/1/2028						\$3,700	\$6,235	\$95,400
Jul 2028	Month 187	8/1/2028						\$3,700	\$6,235	\$95,400
Aug 2028	Month 188	9/1/2028						\$3,700	\$6,235	\$95,400
Sep 2028	Month 189	10/1/2028						\$3,700	\$6,235	\$95,400
Oct 2028	Month 190	11/1/2028						\$3,700	\$6,235	\$95,400
Nov 2028	Month 191	12/1/2028						\$3,700	\$6,235	\$95,400

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
Dec 2028	Month 192	1/1/2029						\$3,700	\$6,235	\$95,400
Jan 2029	Month 193	2/1/2029						\$3,700	\$6,235	\$95,400
Feb 2029	Month 194	3/1/2029						\$3,700	\$6,235	\$95,400
Mar 2029	Month 195	4/1/2029						\$3,700	\$6,235	\$95,400
Apr 2029	Month 196	5/1/2029						\$3,700	\$6,235	\$95,400
May 2029	Month 197	6/1/2029						\$3,700	\$6,235	\$95,400
Jun 2029	Month 198	7/1/2029						\$3,700	\$6,235	\$95,400
Jul 2029	Month 199	8/1/2029						\$3,700	\$6,235	\$95,400
Aug 2029	Month 200	9/1/2029						\$3,700	\$6,235	\$95,400
Sep 2029	Month 201	10/1/2029						\$3,700	\$6,235	\$95,400
Oct 2029	Month 202	11/1/2029						\$3,700	\$6,235	\$95,400
Nov 2029	Month 203	12/1/2029						\$3,700	\$6,235	\$95,400
Dec 2029	Month 204	1/1/2030						\$3,700	\$6,235	\$95,400
Jan 2030	Month 205	2/1/2030						\$3,700	\$6,235	\$95,400
Feb 2030	Month 206	3/1/2030						\$3,700	\$6,235	\$95,400
Mar 2030	Month 207	4/1/2030						\$3,700	\$6,235	\$95,400
Apr 2030	Month 208	5/1/2030						\$3,700	\$6,235	\$95,400
May 2030	Month 209	6/1/2030						\$3,700	\$6,235	\$95,400
Jun 2030	Month 210	7/1/2030						\$3,700	\$6,235	\$95,400
Jul 2030	Month 211	8/1/2030						\$3,700	\$6,235	\$95,400
Aug 2030	Month 212	9/1/2030						\$3,700	\$6,235	\$95,400
Sep 2030	Month 213	10/1/2030						\$3,700	\$6,235	\$95,400
Oct 2030	Month 214	11/1/2030						\$3,700	\$6,235	\$95,400
Nov 2030	Month 215	12/1/2030						\$3,700	\$6,235	\$95,400
Dec 2030	Month 216	1/1/2031						\$3,700	\$6,235	\$95,400
Jan 2031	Month 217	2/1/2031						\$3,700	\$6,235	\$95,400
Feb 2031	Month 218	3/1/2031						\$3,700	\$6,235	\$95,400
Mar 2031	Month 219	4/1/2031						\$3,700	\$6,235	\$95,400

			Milestone Payments					Recurring Monthly Fees		
			Complete Design	Complete Build	Complete Test	Productive Use	Final Acceptance	Hosting Services	Licensed Software Subscription	Transaction-Based Products
Key Milestone Allocation			20%	25%	20%	25%	10%			
Milestone Payments	\$1,137,084		\$227,417	\$284,271	\$227,417	\$284,271	\$113,708			
Key Milestone Scheduled Duration			2	1	1	2	-			
Monthly Key Milestone Payment			\$96,652	\$241,630	\$193,304	\$120,815	-			
Holdback Amount (15%)			\$34,113	\$42,641	\$34,113	\$42,641	\$113,708			
Associated Key Deliverables			See Exhibit _ (Patient Transaction Services Key Milestone and Key Deliverables Table)							
Month of Services Performance	Contract Month Number	Expected Invoice Date								
Apr 2031	Month 220	5/1/2031						\$3,700	\$6,235	\$95,400
May 2031	Month 221	6/1/2031						\$3,700	\$6,235	\$95,400
Jun 2031	Month 222	7/1/2031						\$3,700	\$6,235	\$95,400
Jul 2031	Month 223	8/1/2031						\$3,700	\$6,235	\$95,400
Aug 2031	Month 224	9/1/2031						\$3,700	\$6,235	\$95,400
Sep 2031	Month 225	10/1/2031						\$3,700	\$6,235	\$95,400
Oct 2031	Month 226	11/1/2031						\$3,700	\$6,235	\$95,400
Nov 2031	Month 227	12/1/2031						\$3,700	\$6,235	\$95,400
Dec 2031	Month 228	1/1/2032						\$3,700	\$6,235	\$95,400
Jan 2032	Month 229	2/1/2032						\$3,700	\$6,235	\$95,400
Feb 2032	Month 230	3/1/2032						\$3,700	\$6,235	\$95,400
Mar 2032	Month 231	4/1/2032						\$3,700	\$6,235	\$95,400
Apr 2032	Month 232	5/1/2032						\$3,700	\$6,235	\$95,400
May 2032	Month 233	6/1/2032						\$3,700	\$6,235	\$95,400
Jun 2032	Month 234	7/1/2032						\$3,700	\$6,235	\$95,400
Jul 2032	Month 235	8/1/2032						\$3,700	\$6,235	\$95,400
Aug 2032	Month 236	9/1/2032						\$3,700	\$6,235	\$95,400
Sep 2032	Month 237	10/1/2032						\$3,700	\$6,235	\$95,400
Oct 2032	Month 238	11/1/2032						\$3,700	\$6,235	\$95,400
Nov 2032	Month 239	12/1/2032						\$3,700	\$6,235	\$95,400
Dec 2032	Month 240	1/1/2033						\$3,700	\$6,235	\$95,400

Milestone Payments Breakdown	
Item	Total
Implementation Professional Services	\$984,870
<i>Implementation Team</i>	<i>\$443,498</i>
<i>PMO Team</i>	<i>\$295,544</i>
<i>Go Live Support</i>	<i>\$203,672</i>
<i>Training</i>	<i>\$42,156</i>
Other One-Time Fees (Software Licenses, Setup Fees, etc.)	\$152,214
<i>eCare NEXT InProcess Script touchless process -Per Instance</i>	<i>\$41,765</i>
<i>Passport eCare NEXT - Batch File Interface</i>	<i>\$6,471</i>
<i>Passport eCare NEXT - Document Imaging Interface</i>	<i>\$6,471</i>
<i>Registration QA - With Passport eCare NEXT</i>	<i>\$62,118</i>
<i>Passport eCare NEXT - Bad Plan Code Repair</i>	<i>\$6,471</i>
<i>eCare NEXT Additional Interface In Process Scripting</i>	<i>\$20,000</i>
<i>Cerner Eligibility and Benefits Submitter Setup Fee</i>	<i>\$2,450</i>
<i>Cerner Eligibility and Benefits Verification Setup Fee</i>	<i>\$2,939</i>
<i>Coverage Discovery</i>	<i>\$3,529</i>
Milestone Payments	\$1,137,084

Recurring Fee Items	
Item	Total
Licensed Software Subscription Fees	\$6,235
<i>eCare NEXT InProcess Script touchless process -Per Instance</i>	<i>\$1,205</i>
<i>Passport eCare NEXT - Batch File Interface</i>	<i>\$118</i>
<i>Passport eCare NEXT - Document Imaging Interface</i>	<i>\$197</i>
<i>Registration QA - With Passport eCare NEXT</i>	<i>\$4,715</i>
Transaction Based Products	\$95,400
<i>Cerner Eligibility and Benefits Verification (Transaction-Based Product)</i>	<i>\$18,000</i>
<i>Initial Estimated Volume (Standard Eligibility Responses)</i>	<i>200,000</i>
<i>Per Transaction Cost</i>	<i>\$0.09</i>
<i>Premium Eligibility Verification Service (Transaction-Based Product)</i>	<i>\$36,000</i>
<i>Initial Estimated Volume (Enhanced Eligibility Responses)</i>	<i>400,000</i>
<i>Per Transaction Cost</i>	<i>\$0.09</i>
<i>Coverage Discovery (Transaction-Based Product)</i>	<i>\$41,400</i>
<i>Initial Estimated Volume (Coverage Discovery Responses)</i>	<i>30,000</i>
<i>Per Transaction Cost</i>	<i>\$1.38</i>
Hosting Services	\$3,700



Exhibit Z (Amendment 19 to Exhibit Z (Pre-Approved
Subcontractors))
to the
Electronic Health Records System and Services Agreement

EXHIBIT Z

AMENDMENT 19 TO EXHIBIT Z (PRE-APPROVED SUBCONTRACTORS)

This Exhibit Z (Amendment 19 to Exhibit Z (Pre-Approved Subcontractors)) is an attachment and addition to the Electronic Health Records System and Services Agreement dated December 21, 2012 (the “**Agreement**”) entered into by and between the County of Los Angeles (“**County**”) and Cerner Corporation (“**Contractor**”), as amended by the Parties, and is incorporated into the Agreement by reference hereof. Unless specifically defined in this Exhibit, capitalized terms shall have the meanings set forth in the Agreement.

As provided in Section 2.1 (Contractor; Subcontracting) of the Agreement, no performance of the Agreement, or any portion thereof, shall be subcontracted by Contractor without the prior written consent of County as provided in Section 2.1 (Contractor; Subcontracting) of the Agreement, which consent shall not be unreasonably withheld or delayed. Subject to County Approval of a subcontract as provided in Section 2.1 (Contractor; Subcontracting) of the Agreement, the following subcontractors have been Approved by County:

1. Merge Healthcare Incorporated
2. ASCEND HiT
3. Laitek Inc.
4. Cedaron Medical Inc.
5. Mortara Instrument
6. Philips Healthcare
7. Datamed LLC
8. Tom Tec Imaging Systems GmbH
9. HCI (The CJS Solutions Group, LLC, dba The HCI Group)
10. Ivesia
11. WorkForce Software, LLC (“**WorkForce**”)
12. Digital Intelligence Systems, LLC (“**DISYS**”) (as a Subcontractor for WorkForce)
13. Next Generation, Inc. (“**NextGen**”) (as a Subcontractor for WorkForce)
14. Workforce Insight, LLC (“**WFI**”) (as a Subcontractor for WorkForce)
15. American Well Corporation (“**Amwell**”)
16. Salesforce (as a Subcontractor for Amwell for the uses identified by Contractor as of the Change Order AR Date)
17. Twilio (as a Subcontractor for Amwell for the uses identified by Contractor as of the Change Order AR Date)
18. Mandrill (Mailchimp) (as a Subcontractor for Amwell for the uses identified by Contractor as of the Change Order AR Date)
19. Well Health Inc. (“**WELL**”)
20. Twilio (as a Subcontractor for WELL for the uses identified by Contractor as of the Change Order AR Date; County’s Approval for the uses identified by Contractor as of the Change Order AR Date does not require a subcontract as provided in Section 2.1 (Contractor; Subcontracting))



Exhibit E.TS (Patient Transaction Services Modules Service
Levels and Performance Standards)
to the
Electronic Health Records System and Services Agreement

EXHIBIT E.TS

PATIENT TRANSACTION SERVICES MODULES SERVICE LEVELS AND PERFORMANCE STANDARDS

This Exhibit E.TS (Patient Transaction Services Modules Service Levels And Performance Standards) is an attachment and addition to the Electronic Health Records System and Services Agreement dated December 21, 2012 (the “**Agreement**”) entered into by and between the County of Los Angeles (“**County**”) and Cerner Corporation (“**Contractor**”) and is incorporated into the Agreement by reference hereof. This Exhibit describes the Service Levels to be achieved by Contractor regarding the Licensed Software and Hosting Services. Except as provided in this Exhibit, capitalized terms shall have the meanings set forth in the body of the Agreement.

1. HOSTING OBLIGATIONS

1.1 GENERAL REQUIREMENTS

In addition to the other obligations set forth in the Agreement and this Exhibit, Contractor shall do the following:

- Operate the Hosting Services on Servers owned and maintained by Contractor or the Hosting Provider on a 24x7x365 basis. “**Server**” shall mean the server(s) on which the Hosting Services will be hosted.
- Allow access to the Hosting Services over a dedicated network connection from the Hosting Environment facilities on a 24x7x365 basis and provide secure and confidential storage of all information transmitted to and from the Hosting Services. Contractor provides redundancy at all necessary infrastructure points including: redundant clustered firewalls with redundant private network connections, running industry standard secure inspection, and analysis software.
- Supply hardware, security protocols, software and communications support structure to facilitate connection to the Contractor private network in accordance with the requirements set forth herein.
- Maintain back-up Servers, at Contractor Secondary Data Center, in a geographically different site from where the Servers at Contractor Primary Data Center are located. Back-up Servers are available through a contracted Disaster Recovery service; otherwise, data only is back-up in accordance with Exhibit CC (Enterprise Back-up Policy) and stored at the Contractor Secondary Data Center.
- Review security notifications and alerts relevant to the Hosting Environment (e.g., Contractor notifications of bugs, attacks, patches), and apply as appropriate to maintain the highest level of defense.
- Contractor shall provide adequate firewall protection in order to secure Personal Data and other Confidential Information of County and users of the Hosting Services from unauthorized access by third-parties.

1.2 HOSTING PROVIDER

Contractor shall ensure the Hosting Provider complies with the terms of the Agreement, including the requirements of Exhibit N.1 (Hosting Services) and this Exhibit E (Service Levels and Performance Standards). Contractor shall be jointly and severally liable for any breach by Hosting Provider of the Agreement, including the requirements of this Exhibit E (Service Levels and Performance Standards) and Exhibit N.1 (Hosting Services). As of the Effective Date, “**Hosting Provider**” shall be Contractor.

1.3 CHANGE OF HOSTING PROVIDER

In the event that, during the term of the Agreement, Contractor desires to transition to a new Hosting Provider, Contractor shall provide County with at least sixty (60) calendar days prior notice of the transition. Contractor shall reasonably cooperate with County in evaluating the security and performance of the proposed hosting service. County shall have thirty (30) calendar days from receipt of notice of the transition to reasonably object to the proposed new Hosting Provider. In the event of such objection, the Parties shall negotiate in good faith regarding alternate Hosting Providers. If the Parties are unable to reach agreement within thirty (30) calendar days of receipt by Contractor of the objection, County may elect to terminate this Agreement without further obligation.

2. **SERVICE MONITORING AND MANAGEMENT**

Contractor will perform continuous monitoring and management of the Hosting Services to optimize Availability of the Licensed Software and Hosting Services for the production Hosting Environment. All other Hosting Environments will be continuously monitored and managed from 9:00 a.m. to 5:00 p.m. Central Time, Monday through Friday. Included within the scope of this Section 2 (Service Monitoring and Management) is the proactive monitoring of the Servers and all service components of Contractor’s production Hosting Environment and firewall for trouble on a seven (7) day by twenty-four (24) hour basis, and the expedient restoration of components when failures occur within the time period set forth in Section 7 (Service Outages). Contractor shall provide County the ability to view the Licensed Software and Hosting Services network connectivity and key performance metrics through a system administration portal provided by Contractor; in the case of the Experian Modules, the view is through Experian’s Product Dashboard website, to which County representatives can subscribe to receive push notifications. Contractor will monitor and manage the Hosting Environment using its own tools, methodologies, and specifications and notify County of any issue impacting EHR System performance. Contractor shall maintain redundancy in all key components such that Outages are less likely to occur due to individual component failures. Except in the case of the Experian Modules, Contractor will monitor “heartbeat” signals of all servers, routers, and leased lines, and HTTP availability of the Licensed Software and Hosting Services, by proactive probing at thirty (30) second intervals twenty-four (24) hours a day using an automated tool; in the case of the Experian Modules, Experian will proactively monitor the signals of all servers and network equipment and HTTP availability of the Licensed Software and Hosting Services, in addition to service-specific monitors that have a deeper intelligence level for monitoring the health of the Experian Modules. Experian has real-time event streaming with alerting in place for the Experian Modules. If a facility does not respond to a ping-like stimulus, it shall be immediately checked again. When Contractor

receives a “down” signal, or otherwise has knowledge of an Outage or Error (including, without limitation, any failure in the Server or application software and/or hardware used to provide the Service), Contractor personnel will:

- Confirm (or disconfirm) the Outage by a direct check of the facility;
- If confirmed, take such action as may restore the service, or, if determined to be an internet service provider or telecom carrier problem, open a trouble ticket with the relevant companies;
- Except in the case of the Experian Modules, notify County by telephone or pager according to mutually agreed upon procedures that an Outage has occurred, providing such details as may be available, including the Contractor trouble ticket number, if appropriate, and time of Outage; in the case of the Experian Modules, Experian will make information available through Experian’s Product Dashboard website, to which County representatives can subscribe to receive push notifications;
- Work each Error until Resolution, escalating to management or to engineering as required; and
- Notify County of final Resolution, along with any pertinent findings or action taken, and request concurrence to close the trouble ticket.

3. BACKUPS

3.1 REGULAR BACK-UPS

Contractor shall provide for both the regular back-up of standard file systems relating to the Server, Licensed Software, and Hosting Services, and the timely restoral of such data on request by County due to a site failure. In particular, Contractor shall:

- Perform weekly full back-ups;
- Perform daily incremental back-ups;
- Send back-up media to secured, off-site storage facilities with a thirty (30) calendar day rotation of media;
- Fulfill restoral requests as directed by County due to site failures. Restoral will be performed in accordance with this Exhibit E (Service Levels and Performance Standards); and
- Periodically review and validate Contractor's backup and recovery procedures, and periodically validate the accuracy and integrity of the backup data. Upon County's request, Contractor will validate that the back-ups of County Data are free from inaccuracies and inconsistencies.

3.2 DATA REPLICATION ACROSS DATA CENTERS

County Data shall be stored on redundant applications and database hardware in Contractor's Primary Data Center and replicated to Contractor's Secondary Data Center in accordance with Exhibit CC (Enterprise Back-up Policy). Data security shall be provided by SSL encryption, IPsec encryption, multiple levels of virus protection, intrusion prevention systems, multi-factor management authentication, enterprise firewalls, and filtering routers. Hosting Environment shall provide redundancy at all tiers of the environment, redundant clustered firewalls with redundant Internet connections, running industry standard secure inspection, and analysis software. Contractor shall utilize methods to minimize data loss due to environmental failures or catastrophic disk failures, and in no event shall there be data loss in excess of twenty-four (24) hours. Contractor shall utilize tools to securely optimize data back-ups. In the event of a significant Primary Data Center failure, a failover to the Contractor's Secondary Data Center shall be completed. A restoration to the Primary Data Center shall occur at a mutually agreeable time between the Contractor and County.

4. SERVICE LEVELS

4.1 SERVICE REQUEST TRACKING SYSTEM

- (a) For use in responding to County's maintenance and Support Requests, Contractor shall maintain an automated Support Request Tracking System ("**SRTS**") with a description of each Support Request, response, and status. Contractor shall regularly review and update all open Support Requests and follow up on unresolved Support Requests. Contractor will provide County "read only" access to the SRTS for County's separate review of all open and closed County Support Requests. Each Support Request shall be detailed in an Internet accessible Support Request report, in an exportable format agreed upon by County, and shall include the following information.
- Identification Number. An automatically assigned unique identification number, which shall be used to track, document and respond to inquiries relating to a specific Support Request;
 - Date and Time. The date and time the Support Request was initiated, which shall be used to document and/or monitor overall response and resolution time;
 - Person Initiating Service Request. The name, title, and telephone number of the person initiating the Support Request, who shall be the primary point of contact used for inquiries regarding the request, unless otherwise assigned by the County Project Manager;
 - Call Taker. The name of Contractor personnel taking the call or first receiving an electronically submitted Support Request;
 - Contractor Employee Currently Assigned. The name and title of the Contractor's employee currently managing the resolution;
 - Location. Facility and/or physical location where the problem occurred;

- Problem Priority Level. The problem priority level as indicated by the reporting County personnel and as further defined in Section 4.2 (Support Request Service Levels) of this Exhibit E (Service Levels and Performance Standards);
- Reference Number. The County-assigned reference number, if applicable;
- Service Request Description. A detailed description of the problem or deficiency encountered or Support Requested;
- Attached Documentation. The identification or description of, and, if available, copies of, documentation submitted by County with the Support Request to clarify the request, including screen prints, logs, report samples, etc.;
- Service Request Type. The Support Request type (e.g., software change, deficiency, report request), as assigned by County which categorizes and specifies the type of request;
- Service Request Subtype. The Support Request subtype (e.g., specific function to be changed, specific function that is deficient, type of report change requested), as assigned by County, as a subcategory of the Support Request type defined in Section 4.2(a) (Support Requests) of this Exhibit E (Service Levels and Performance Standards);
- Resolution Description. The Contractor's analysis of the problem, and the proposed resolution (e.g., Update or other Enhancement);
- Resolution Activity. The Contractor's resolution activities and activity dates to monitor resolution time (e.g., description of calls to and from Contractor and County, referrals to Contractor's staff for correction or investigation, referrals to Third Party Software vendor, coordination of Update or Enhancement releases, validation of correction prior to release to County, etc.);
- Estimated Fix Date. The estimated date for Contractor to complete the Support Request;
- Correction Applied Date. The date Contractor applied the correction; and
- Resolution Status. The current status of the Support Request (e.g., open or closed).

- (b) Contractor shall maintain a historical knowledge base of Service-related problems to identify patterns and facilitate timely resolution

4.2 SUPPORT REQUEST SERVICE LEVELS

Contractor shall Respond to and Resolve Support Requests as set forth below.

- (a) Support Requests. County shall classify its requests for Error Corrections consistent with the descriptions below. Each such request shall be referred to herein as a “**Support Request**.” County shall notify Contractor of Support Requests via telephone number, web-based SRTS, or other Contractor-provided mechanisms. All Contractor technical support personnel providing telephone support must do so in a manner such that the communication does not diminish County’s ability to effectively utilize the Licensed Software and Hosting Services or negatively impact the satisfaction of the users with the Licensed Software and Hosting Services. Such impacts could arise from technology issues such as delays or jitter in telecommunication lines, or the failure of the Contractor technical support personnel to provide support in standard American English with understandable accents or otherwise demonstrate sufficient language skills.

Support Request Classification	Description
Critical	1. Issue affecting entire system or single critical production function; 2. System down or operating in materially degraded state; 3. Potential patient care affected; 4. Data integrity at risk; 5. Material financial impact; 6. Declared a Critical Support Request by the DHS CIO or designee; and/or 7. Widespread access interruptions.
High	8. Primary workflow module failure that materially impairs system performance; and/or 9. Data entry or access is materially impaired on a limited basis.
Medium	10. System is operating with minor issues that can be addressed with a work around.
Low	11. Request for assistance, information, or services that are routine in nature.

- (b) Response Time Service Level. Response time shall be measured from the time when Contractor receives the Support Request until the time Contractor has Responded to the Support Request. “**Respond**” means that Contractor has engaged on the Support Request; is working continuously to diagnose the corresponding Errors, formulate a plan to address any such Errors, and execute that plan; and has notified the County user originating the Support Request that such support has begun in the manner requested by the user originating the Support Request (e.g., e-mail, phone) or, if a specific means of communication is not requested, using direct interactive (person to person) method of communication to achieve contact with such user (e.g., no email or automated voicemail).

Support Request Classification	Service Level Metric (Response Time)	Service Level Credits
Critical	100% fifteen (15) minutes measured from the time when Contractor receives the Support Request by telephone from County	Ten Thousand Dollars (\$10,000.00) per incident either resulting in or subsequent to a Service Level Failure in a month
High	100% thirty (30) minutes measured from the time when Contractor receives the Support Request by telephone from County	Five Thousand (\$5,000.00) per incident either resulting in or subsequent to a Service Level Failure in a month

- (c) Resolution Time Service Level. Resolution time shall be measured from the time when Contractor receives the Support Request until the time Contractor has Resolved the Support Request. **“Resolve”** means that, as to Errors, Contractor has provided County the corresponding Error Correction and County has confirmed such Error Correction.

The measurement of time to Resolve shall be suspended during such time as there is a failure by County to provide Contractor information deemed in writing by the Parties to be a Critical Path Item to the resolution at issue at the time of the Contractor request for such information was made to County. For purposes of this Section 4.2(c) (Resolution Time Service Level), a **“Critical Path Item”** is a significant action or item of information which Contractor cannot take or obtain without County’s assistance and on which subsequent activities toward the resolution at issue are dependent. In the event Contractor claims a suspension of the measurement of time to Resolve under this Section, it shall notify County, by posting in SRTS the time and reason for such action at the time the suspension determination is made. The suspension of measurement of time to Resolve shall end upon communication by County to Contractor that the Critical Path Item has been completed.

The measurement of time to Resolve Support Requests requiring a change to the Licensed Software (e.g., Revision) will be calculated from the time the request is “opened” in SRTS until the time the request is identified as needing a change to the Licensed Software, provided Contractor has delivered a work-around that has been Approved by County prior to the suspension of the measurement of the time to Resolve.

Support Request Classification	Service Level Metric (Resolution Time)	Service Level Credits
Critical	90% within four (4) hours 100% within six (6) hours	Four Thousand Dollars (\$4,000.00) per incident either resulting in or subsequent to a Service Level Failure in a month
High	90% within eight (8) hours 100% within twelve (12) hours	One Thousand Dollars (\$1,000.00) per incident either resulting in or subsequent to a Service Level Failure in a month
Medium	90% within three (3) business days 100% within six (6) business days	Seven Hundred Fifty Dollars (\$750.00) per incident either resulting in or subsequent to a Service Level Failure in a month
Low	90% within five (5) business days 100% within twelve (12) business days	Five Hundred Dollars (\$500.00) per incident either resulting in or subsequent to a Service Level Failure in a month

Notwithstanding the foregoing, as to Third-Party Products, the measurement of time to Resolve shall be suspended during such times as Contractor can demonstrate that the: (i) the resolution of the Support Request required correction of an Error in a Third-Party Product; and (ii) the supplier of the Third-Party Product failed to meet the time specified in writing by Contractor for completion of correction of the Error in the Third-Party Product. In any circumstance in which suspension of the time to Resolve is requested under this Section 4.2(c) (Resolution Time Service Level), Contractor must provide a Corrective Action Plan. The determination of whether suspension of the measurement of time to Resolve relating to Third-Party Products is appropriate will be made by the Parties within thirty (30) days of a Resolution Time Service Level Failure attributed by Contractor to a Third-Party Product as provided in this paragraph.

Notwithstanding the foregoing, as to the Patient Transaction Services Modules, the measurement of time to Resolve shall be suspended during such times as Contractor can demonstrate that the: (i) the resolution of the Support Request required correction of an Error in the external, third-party payor systems that provide eligibility data to the Patient Transaction Services Modules in real-time (the “**Patient Transaction Services Payor Systems**”); and (ii) the supplier of the Patient Transaction Services Payor System failed to meet the time specified in writing by Contractor for completion of correction of the Error in the Patient Transaction Services Payor System. In any circumstance in which suspension of the time to Resolve is requested under this Section 4.2(c) (Resolution Time Service Level), Contractor must provide a Corrective Action Plan. The determination of whether suspension of the measurement of time to Resolve relating to Patient Transaction Services Payor Systems is appropriate will be made by the Parties within thirty (30) days of a Resolution Time Service Level Failure attributed by Contractor to a Patient Transaction Services Payor System as provided in this paragraph.

- (d) Escalation. With respect to any Critical Support Request, until Resolved, Contractor shall escalate that Support Request within sixty (60) minutes of receipt to the appropriate Contractor support personnel (as designated by Contractor), including, as applicable, Contractor's SVP of Client Operations.

4.3 AVAILABILITY SERVICE LEVEL

The Licensed Software and Hosting Services shall be Available for the percentage of the time each month of the Term of the Agreement as set forth below:

Service Level Metric	Service Level Credits
<p>At a minimum, [REDACTED] Availability for the Licensed Software provided by the Hosting Services in each calendar month of the Term of the Agreement.</p> <p>"Availability" means the actual uptime expressed as a percentage of the Scheduled Uptime for the Licensed Software and Hosting Services (i.e., $\text{Availability \%} = ((\text{Scheduled Uptime} - \text{Downtime}) / (\text{Scheduled Uptime})) \times 100\%$).</p> <p>"Scheduled Uptime" means twenty-four (24) hours each day, seven (7) days per week, excluding regular maintenance windows between the hours of 1:00 a.m. and 5:00 a.m. Pacific Time on Sundays, or as otherwise agreed in writing by the Parties. Notwithstanding anything herein, Contractor shall ensure that the Licensed Software and Hosting Services remain Available for Use during the foregoing maintenance windows to the extent reasonably practicable.</p> <p>"Downtime" means the aggregate duration of Outages for the Licensed Software and Hosting Services during the applicable Scheduled Uptime during a calendar month.</p> <p>"Outage" means any time during which the Licensed Software and Hosting Services (or any function of the Licensed Software or Hosting Services) are not Available for Use during a calendar month, measured from the time the</p>	<p>In the event [REDACTED] Availability for the Hosting Services is not achieved, then the credits shall be incurred as follows:</p> <p>Three Thousand Dollars (\$3,000) for the first (1st) month, and</p> <p>Four Thousand Dollars (\$4,000) for the second (2nd) consecutive month, and</p> <p>Five Thousand Dollars (\$5,000) for the third (3rd) consecutive month and each consecutive month thereafter.</p>

<p>Outage actually occurred or, when the time the Outage actually occurred cannot be determined, from the earliest point in time that such Outage is or reasonably should be detected by Contractor. An Outage is an Error. The Outage shall end when the Licensed Software or Hosting Services (or the applicable function of the Licensed Software or Hosting Service) is Available for Use.</p> <p>“Unplanned Downtime” shall mean an Outage that is not the result of a regularly scheduled or other scheduled maintenance window.</p> <p>“Available For Use” shall mean the ability of the Licensed Software and Hosting Services to be utilized or accessed by County as contemplated under the Agreement, including conformance to the Specifications, and without material degradation of performance.</p>	
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Notwithstanding the foregoing, as to the Patient Transaction Services Modules, the measurement of time of an Outage shall be suspended during such times as Contractor can demonstrate that the Outage was caused by an Error in a Patient Transaction Services Payor System. In any circumstance in which suspension of the time of an Outage is requested under this Section 4.3 (Availability Service Level), Contractor must provide a Corrective Action Plan. The determination of whether suspension of the measurement of time of an Outage relating to Patient Transaction Services Payor Systems is appropriate will be made by the Parties within thirty (30) days of an Availability Service Level Failure attributed by Contractor to a Patient Transaction Services Payor System as provided in this paragraph.

4.4 [INTENTIONALLY DELETED]

4.5 LICENSED SOFTWARE RESPONSE TIMES

The Parties acknowledge that the quality of the Licensed Software Response Time of the Licensed Software and Hosting Services is a critical factor to the successful operation of the EHR System and County User satisfaction. Contractor warrants that the Licensed Software and Hosting Services together will be provided with function response times that are satisfactory to County Users of the EHR System. Licensed Software Response Time shall be determined to be unsatisfactory to the County Users if the County Project Director (or his or her designee) (a) presents documentation that reflects a negative view of the operation of the Licensed Software and Hosting Services that is or can reasonably be attributed to Licensed Software Response Time

issues; or (b) determines that County Users' acceptance and/or use of the EHR System is or is highly likely to be adversely impacted by Licensed Software Response Times.

Upon notification of failure, Contractor shall provide a root cause analysis that includes an assessment of actions required to correct the Licensed Software Response Time failure, and take the actions necessary to implement the corrective actions as they relate to the Licensed Software or Hosting Services.

Contractor will provide Licensed Software and Hosting Services response time measurement reports as requested by County. In addition, Contractor will make available to County tools to enable County to monitor back-end system performance, including response time.

4.6 REPORTING SERVICE LEVEL

Contractor shall be responsible for measuring and monitoring Service Level performance and shall provide County with monthly reports showing Service Level performance during the reporting period at a level of detail sufficient to verify Contractor's compliance with the applicable Service Levels. All monthly reports due under this Agreement are due on the tenth (10th) Business Day of the month following the month for which such report relates; provided, however, that if the tenth (10th) is a weekend or County holiday, such reports shall be due on the first (1st) County Business Day thereafter. The reporting Service Level is set forth below.

Service Level Metric	Service Level Credits
All monthly reports submitted on or before tenth (10 th) Business Day of each month	Five Thousand Dollars (\$5,000.00) for the initial Service Level Failure, and Five Hundred (\$500.00) for each additional Business Day late thereafter

4.7 DATA RETURN SERVICE LEVEL

Contractor shall return all County Data in accordance with the requirements of this Agreement not later than thirty (30) calendar days after County's request, or as otherwise agreed to in writing by the Parties. Contractor shall provide access to such County Data by a secure FTP site or provide a copy of County Data in a mutually agreed upon, commercially standard format.

Service Level Metric	Service Level Credits
All County Data returned within thirty (30) calendar days after County's request, or as otherwise agreed to in writing by the Parties	Ten Thousand Dollars (\$10,000) per calendar day late

4.8 SERVICE LEVEL AUDITS

County or its designee will have the right to audit Contractor's measurement, monitoring, and reporting on all Service Levels, including providing County with access to the complete data used by Contractor to calculate its performance against the Service Levels and the measurement and

monitoring procedures utilized by Contractor to generate such data for purposes of audit and verification or, in the case of the Subcontractor that provides the Experian Modules, by providing County with that Subcontractor's documentation and data used to calculate such performance.

4.9 MEETINGS

Contractor and County shall meet at least once a week, pending availability of both Parties, to review the status of open Support Requests, and discuss trends and issues relating to Support Requests and approaches to reducing the number of Support Requests as well as improving both County and Contractor responses to such Support Requests.

4.10 ADDITIONS, DELETIONS, AND MODIFICATIONS OF SERVICE LEVELS

Beginning in the Contract Year that is six (6) months after the Productive Use of the final Cluster and every three (3) years thereafter, unless otherwise agreed in writing by the Parties, the Parties will meet to discuss the addition, modification, or deletion of the Service Levels to account primarily for changes in technology and ongoing performance related issues. Any changes to Service Levels must be made in accordance with this Agreement.

Service Levels shall be added in accordance with the following:

- (a) Where data exists for at least six (6) months from which measurements can be derived, County and Contractor shall review the measurement trends and the levels of quality that were attained during the measurement period and shall work together in good faith to mutually agree, and to establish the Service Level standard that Contractor will be required to meet; or
- (b) Where no such data exists, the Parties shall attempt in good faith to mutually agree on a Service Level standard using industry standard measures applicable to the delivery of technology to health care providers or third-party vendor advisory services with experience in the health care industry.

5. **SERVICE LEVEL FAILURES AND SERVICE LEVEL CREDITS**

5.1 SERVICE LEVEL FAILURES

Failure to achieve any of the Service Levels described in Section 4 (Service Levels) of this Exhibit shall constitute a "**Service Level Failure**" and Contractor shall be liable for the Service Level Credits in the amounts set forth in Section 4 (Service Levels). Contractor shall not be responsible for any Service Level Failure caused by County or its agents. Contractor shall promptly notify County of any Service Level Failure.

5.2 SERVICE LEVEL CREDITS

- (a) Credits. Upon the occurrence of any Service Level Failure, Contractor shall issue to County a credit in the amount set forth in Section 4 (Service Levels) ("**Service Level Credit**"). If more than one (1) Service Level Failure has occurred in a single month, the sum of the corresponding Service Level Credits shall be credited to County.

The total amount of Service Level Credits that Contractor will be obligated to pay to County, with respect to Service Level Failure(s), shall be reflected on the monthly Service Level report to be provided in accordance with Section 4.6 (Reporting Service Level), in the month following the Service Level Failure(s) giving rise to such Service Level Credit(s). The Service Level Credit(s) amounts shall be subject to the earnback in any Contract Year as provided in Section 5.2(b) (Earnback) below. Notwithstanding the foregoing, the calculation of such Service Level Credit(s) shall be based on the credit amounts in effect.

- (b) Earnback. Within thirty (30) calendar days after the last day of each Contract Year, Contractor shall provide a report (the "**Annual Service Level Performance Report**") to County that will include, with respect to each Service Level, a summary of Service Level performance by Service Level by month; identify by Service Level of any Service Level Credits accrued; and identify any Service Level changes and/or performance improvement actions taken. Service Level performance will also be reported by Contractor to County on a monthly basis as provided in Section 4.6 (Reporting Service Level).

If County verifies that during the preceding Contract Year:

(1) as to Service Levels that do not require "100% compliance" or delivery "all," or "every" time; Contractor achieved a yearly performance average in that Service Level that was greater than, or equal to, the Service Level in effect for such Service Level during the preceding Contract Year; or

(2) as to Service Levels that require "100% compliance" or delivery "all," or "every" time; Contractor has not had a Service Level Failure in two (2) or more months within the preceding Contract Year; then

Contractor shall be relieved from paying Service Level Credits accrued during the preceding Contract Year for the Service Level Failures for the specific Service Level(s) that meet the criteria in category (1) and/or (2), above, as applicable.

For each Contract Year, any Service Level Credits that are not earned back by Contractor as provided above will be credited to County on the second monthly invoice of each Contract Year. If no further monthly invoices are to be produced, Contractor will pay to County the monetary amount of the remaining Service Level Credits within fifteen (15) calendar days after the last day of the Term of the Agreement.

5.3 [INTENTIONALLY DELETED]

6. **CORRECTIVE ACTION PLAN**

In the event two (2) or more Critical Support Requests occur in any thirty (30) calendar day period during the Term of the Agreement, Contractor shall promptly investigate the root causes of such support issues and shall provide to County within five (5) Business Days of the occurrence of the second Critical Support Request an analysis of such root causes and a proposed corrective action plan for County's review, comment, and approval (the "**Corrective Action Plan**"). The Corrective Action Plan shall include, at a minimum: (a) a commitment by Contractor to devote the appropriate time, skilled Contractor Personnel, systems support and equipment, and/or resources to remedy, and prevent any further occurrences of Critical Support Request issues; and (b) time frames for implementation of the Corrective Action Plan. There shall be no additional charge (other than those fees set forth in the Agreement) for Contractor's implementation of such Corrective Action Plan in the time frames and manner set forth in the Corrective Action Plan.

7. SERVICE OUTAGES

7.1 SCHEDULED OUTAGES

Contractor shall notify County of Scheduled Outages at least twenty-four (24) hours in advance, and such Scheduled Outages shall be scheduled between the hours of 1:00 a.m. and 5:00 a.m. Pacific Time on Sundays. Contractor requested Scheduled Outages shall occur no more frequently than once per calendar month. For avoidance of doubt, Scheduled Outages that fall within the above maintenance window timeframes are excluded from the Availability calculation. Contractor may request extensions of Scheduled Outages beyond the aforementioned hours and with Approval by County, which may not be unreasonably withheld or delayed.

7.2 UNSCHEDULED OUTAGES

Unscheduled Outages are caused by loss of connectivity, or by failure of a Contractor Service. In cases where a destination is not available, or unacceptable Hosting Service is reported, Contractor will attempt to determine the source of the Error and report its findings to County.

Unscheduled Outages and extensions of Scheduled Outages as described in Section 7.1 (Scheduled Outages), above, are not excluded from the Availability Service Level set forth above (i.e., an Outage, regardless of its cause, except due to the actions of County and its agents, shall not relieve Contractor of its obligation to achieve the Service Levels set forth herein).

7.3 CORRECTIVE ACTION

Immediately upon notice of an Outage, Contractor personnel shall:

- Confirm (or disconfirm) the Outage by a direct check of the facility;
- If confirmed, take such action as may restore the Service, or, if determined to be a telecommunications company problem, open a trouble ticket with the telecommunications company carrier;

- Notify the person designated by County by telephone or voicemail according to predefined procedures that an Outage has occurred, providing such details as may be available, including the trouble ticket number if appropriate and time of Outage;
- Work the Error until Resolution, escalating to management or to engineering as required; and
- Promptly notify County of final Resolution, along with any pertinent findings or action taken.

8. SECURITY BREACHES

In the event of an attack or threatened or suspected breach of security against the Hosting Services and/or Server impacting County system, Contractor will take whatever reasonable steps are necessary to halt such action, including taking the Hosting Services down. Upon identification of a security incident, Contractor will immediately contact the person designated by County to discuss the security incident. However, if time is critical, action may be required before the contact can be reached. Contractor's actions will include, as appropriate:

- Confirm the threat;
- Deny access from the source of the attack;
- Investigate the extent of the damage, if any;
- Back-up the affected systems and those suspected to be affected;
- Strengthen defenses everywhere, not just the suspected path that the attacker used;
- Contact the ISP where the threat or attack originated and/or law enforcement to work with Contractor's security team;
- Produce an Error report within twenty-four (24) hours detailing Contractor's findings; and
- Re-instate the denial of access after a set time period, but continue to monitor traffic from that source until risk of further attacks is deemed to be minimized.



EXHIBIT DD.5 (FORM SUBCONTRACTOR AGREEMENT BETWEEN CERNER
AND EXPERIAN)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT DD.5

FORM SUBCONTRACTOR AGREEMENT BETWEEN CERNER AND EXPERIAN

AGREEMENT REGARDING SUBCONTRACTED SERVICES

THIS AGREEMENT REGARDING SUBCONTRACTED SERVICES, dated as of [REDACTED] [REDACTED], 20[REDACTED] (as together with all exhibits, all as amended from time to time in accordance with the terms and conditions hereof, this "**Agreement**"), is entered into between Cerner Corporation, a Delaware corporation ("**Prime Contractor**"), and Experian Health, Inc., a Delaware corporation ("**Subcontractor**"), and is made in reference to the Electronic Health Records System and Services Agreement, Los Angeles County Contract No. H-705407, dated as of December 21, 2012, for an Electronic Health Records System and Services (together with all exhibits and attachments, all as amended from time to time in accordance with the terms and conditions thereof, the "**Prime Agreement**"), between Prime Contractor and the County of Los Angeles ("**County**"). Capitalized terms used herein (including in this introductory paragraph) without definition shall have the meanings given to such terms in the Prime Agreement.

WHEREAS, County and Prime Contractor have entered into the Prime Agreement pursuant to which Prime Contractor, in its capacity as "Contractor" thereunder, will provide all elements of the EHR System, including the Licensed Software, Third-Party Products, Integral Third-Party Software, Hosting Software, Hardware, and Services including, Implementation Services, Hosting Services, Support Services, and any Optional Work (the "**Work**") under and as defined in the Prime Agreement;

WHEREAS, Prime Contractor desires to engage Subcontractor to provide a subset of such Work, the scope of which Work is further described in the attached Exhibit B (Subcontracted Work) (as the same may be amended from time-to-time in accordance with the terms and conditions hereof, "**Subcontracted Work**"); and

WHEREAS, Prime Contractor and Subcontractor desire to set forth below the terms and conditions under which Subcontractor will perform the Work described in the attached Exhibit B (Subcontracted Work) and to make County a third-party beneficiary of this Agreement.

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is acknowledged, Prime Contractor and Subcontractor agree as follows:

1. INCORPORATION OF TERMS AND CONDITIONS OF THE PRIME AGREEMENT

Prime Contractor and Subcontractor agree that, to the extent of, and with respect to, Subcontractor's provision of the Subcontracted Work:

- (a) With respect solely to those terms and conditions of the Prime Agreement set forth in the attached Exhibit A (Specified Additional Terms and Conditions) as modified pursuant to Exhibit A.1 (Modified Prime Agreement Terms Applicable to Subcontractor), such terms and conditions are hereby incorporated by this reference as if set forth herein, Subcontractor agrees to be bound by such terms and conditions directly to County as if Subcontractor were the "Contractor" under the Prime Agreement, and County shall have all of the rights and remedies under the Prime Agreement of "County" under the Prime Agreement, except that (1) the scope of Work to be performed by Subcontractor shall be the Subcontracted Work, (2) the amount of any payments paid or payable to Subcontractor for the performance of such Subcontracted Work shall be solely as determined between Prime Contractor and Subcontractor, and (3) the payment process for the payments to Subcontractor shall be solely as determined between Prime Contractor and Subcontractor.

Except with respect to the exceptions set forth in Section 1 (Incorporation of Terms and Conditions of the Prime Agreement) above, in the event of any conflict or inconsistency between the terms and conditions of (A) the Prime Agreement or any exhibit or attachment thereto, and (B) the attached Exhibit B (Subcontracted Work), such conflict or inconsistency shall be resolved by giving precedence first to the terms and conditions of the Prime Agreement and any exhibits and attachments thereto, and then to the terms and conditions of the attached Exhibit B (Subcontracted Work).

2. AGREEMENT REGARDING SUBCONTRACTED WORK.

Subcontractor agrees to provide the Subcontracted Work to County on behalf of Prime Contractor in accordance with the terms and conditions of this Agreement. Subcontractor agrees and represents and warrants that: (a) Prime Contractor shall be solely liable and responsible to Subcontractor for payment of any and all payments and other compensation due under this Agreement, (b) Subcontractor is qualified to perform the work for which Subcontractor has been hired, and (c) Subcontractor shall be solely liable and responsible for any and all of its taxes, payments and other compensation due, including compensation to its employees and agents, arising out of Subcontractor's performance of the Subcontracted Work.

Exhibit B (Subcontracted Work) shall set forth the following details with regard to the Subcontracted Work: (i) the scope of Subcontracted Work, (ii) the reason(s) for the particular subcontract, (iii) an explanation of why and how the proposed subcontractor was selected, and (iv) the confidentiality provisions applicable to the proposed subcontractor's officers, employees, and agents, which would be incorporated into the subcontract.

The following documents shall be executed by the Subcontractor and attached hereto as Exhibits: (1) certificates of insurance from the proposed subcontractor, which establish that the subcontractor maintains the minimum programs of insurance required by County and set forth in the Prime Agreement; (2) an executed Confidentiality Agreement substantially similar to the Confidentiality Agreement attached as Exhibit D (Confidentiality Agreement), (3) to the extent such subcontractor will have access to PHI, an executed Business Associate Agreement substantially similar to Exhibit E (Prime Contractor's Business Associate Agreement with Subcontractor), (4) an executed EEO Certification substantially similar to Exhibit F (Subcontractor's EEO Certification), (5) Exhibit G (Safely Surrendered Baby Law), and (6) any other standard County required agreements, forms, and provisions attached as Exhibit H (Additional Provisions) or as agreed to in writing by the Parties.

3. COUNTY AS THIRD-PARTY BENEFICIARY

Prime Contractor and Subcontractor agree that this Agreement is entered into for the benefit of County and that County expressly is made a third-party beneficiary of this Agreement. Accordingly, at any time and from time-to-time, County may compel Prime Contractor to enforce against Subcontractor and on County's behalf, any and all rights and remedies Prime Contractor may have with respect to Subcontractor's breach of this Agreement.

4. REPRESENTATIONS AND WARRANTIES

Each of Prime Contractor and Subcontractor represents and warrants to the other party (and to County as third-party beneficiary under this Agreement) that this Agreement has been duly authorized, executed, and delivered by such party, and that such party has all necessary corporate power and authority to enter into this Agreement and to perform its respective obligations under this Agreement.

5. AMENDMENTS

Notwithstanding anything to the contrary in this Agreement, no amendment, modification, termination or waiver of any provision of this Agreement (including the exhibits attached hereto) shall be effective unless the same shall be in writing, signed by Prime Contractor and Subcontractor, and acknowledged by County. Notwithstanding anything to the contrary in this Agreement, Subcontractor expressly acknowledges and agrees the Prime Agreement may be amended, modified and/or terminated and provisions of the Prime Agreement may be waived without prior notice to or consent of Subcontractor.

6. ASSIGNMENT

Except as set forth in Section 32.17.1 (Assignment by Contractor) of the Prime Agreement, neither party may assign its rights and obligations under this Agreement (including the exhibits attached hereto) without prior written consent of the other party and prior written acknowledgement of County.

7. EFFECT ON PRIME AGREEMENT

Except as expressly set forth in Section 1(a) hereto, as between Prime Contractor and Subcontractor, nothing contained herein shall be construed as amending or modifying in any fashion any term or condition set forth in the

Prime Agreement or any exhibit, schedule, attachment or appendix thereto. Prime Contractor expressly ratifies and affirms its rights and obligations under the Prime Agreement.

8. COUNTERPARTS

This Agreement may be executed in any number of original or facsimile counterparts, each of which when taken together shall constitute an original.

9. GOVERNING LAW

This Agreement shall be governed by, and construed in accordance with, the substantive and procedural laws of the state of California applicable to agreements made and to be performed within that state.

10. LIMITATION OF LIABILITY

AS BETWEEN SUBCONTRACTOR AND COUNTY ONLY: EACH PARTY'S AGGREGATE LIABILITY TO THE OTHER PARTY FOR ALL DAMAGES OF EVERY KIND AND TYPE ARISING OUT OF THIS AGREEMENT SHALL NOT EXCEED THE GREATER OF EITHER: (I) THREE (3) TIMES THE REVENUE UNDER THE AGREEMENT TO THE SUBCONTRACTOR FOR THE TWELVE (12) MONTHS PRECEDING THE FIRST EVENT GIVING RISE TO THE LIABILITY; or (II) FIVE MILLION DOLLARS (\$5,000,000) ("**GENERAL LIMITATION OF LIABILITY**").

AS BETWEEN SUBCONTRACTOR AND COUNTY ONLY: IN NO EVENT SHALL EITHER PARTY, OR ITS LICENSORS, SUPPLIERS, AND/OR SUBCONTRACTORS (IN EACH CASE, EXCLUDING PRIME CONTRACTOR), BE LIABLE TO THE OTHER PARTY FOR ANY INCIDENTAL, INDIRECT, CONSEQUENTIAL, PUNITIVE, SPECIAL, OR INCREASED DAMAGES, INCLUDING DAMAGES TO BUSINESS REPUTATION, DAMAGES ARISING FROM LOSS OF BUSINESS WITH THIRD PARTIES, OR LOSS OF PROFITS FROM TRANSACTIONS WITH THIRD PARTIES, WHETHER ANY OF THE FOREGOING ARE FORESEEABLE OR NOT AND HOWEVER CAUSED, EVEN IF SUCH PARTY IS ADVISED OF THE POSSIBILITY THAT SUCH DAMAGES OR LOST PROFITS MIGHT ARISE ("**GENERAL CONSEQUENTIAL DAMAGES WAIVER**").

THE GENERAL LIMITATION OF LIABILITY AND GENERAL CONSEQUENTIAL DAMAGES WAIVER SET FORTH IN THIS SECTION 10 (LIMITATION OF LIABILITY) SHALL NOT APPLY TO SUBCONTRACTOR'S LIABILITY ARISING FROM (i) ANY ACTUAL OR ALLEGED INFRINGEMENT OF ANY THIRD-PARTY'S U.S. PATENT, COPYRIGHT, TRADEMARK, TRADE SECRET, OR OTHER INTELLECTUAL PROPERTY RIGHT; OR (ii) SUBCONTRACTOR'S BREACH OF ITS CONFIDENTIALITY, PRIVACY/SECURITY, OR INDEMNITY OBLIGATIONS UNDER THIS AGREEMENT. AS TO SUCH LIABILITY, SUBCONTRACTOR'S MAXIMUM LIABILITY TO THE COUNTY WILL BE LIMITED TO FIFTY MILLION DOLLARS (\$50,000,000) ("**IP/CONFIDENTIALITY LIMITATION OF LIABILITY**"). SUBCONTRACTOR'S LIABILITY FOR INCIDENTAL, INDIRECT, CONSEQUENTIAL, PUNITIVE, SPECIAL, OR INCREASED DAMAGES AS TO SUCH LIABILITY, INCLUDING DAMAGES TO BUSINESS REPUTATION, DAMAGES ARISING FROM LOSS OF BUSINESS WITH THIRD PARTIES, OR LOSS OF PROFITS FROM TRANSACTIONS WITH THIRD PARTIES, WHETHER ANY OF THE FOREGOING ARE FORESEEABLE OR NOT AND HOWEVER CAUSED, EVEN IF SUCH PARTY IS ADVISED OF THE POSSIBILITY THAT SUCH DAMAGES OR LOST PROFITS MIGHT ARISE SHALL BE SUBJECT TO THE IP/CONFIDENTIALITY LIMITATION OF LIABILITY ("**IP/CONFIDENTIALITY CONSEQUENTIAL DAMAGES WAIVER**").

FOR THE AVOIDANCE OF DOUBT, (i) NOTHING IN THIS SECTION 10 (LIMITATION OF LIABILITY) MODIFIES, ALTERS, LIMITS, OR OTHERWISE CHANGES THE LIMITATIONS OF LIABILITY AS BETWEEN COUNTY AND PRIME CONTRACTOR, INCLUDING AS TO LIABILITY APPLYING TO PRIME CONTRACTOR'S SUBCONTRACTORS, AS PROVIDED UNDER THE PRIME AGREEMENT; AND (ii) THE LIMITATIONS OF LIABILITY IN THIS SECTION 10 (LIMITATION OF LIABILITY) SHALL APPLY TO ALL LIABILITY AS BETWEEN COUNTY AND SUBCONTRACTOR NOTWITHSTANDING ANY OTHER LIMITATIONS OF LIABILITY THAT APPLY AS BETWEEN SUBCONTRACTOR AND PRIME CONTRACTOR.

11. COMPLIANCE WITH LAWS

Subcontractor shall comply with all federal, state and local laws, rules and regulations applicable to Subcontractor as a provider of the products and services implicated by the Subcontracted Work, including all federal, state and local laws, rules and regulations applicable to Subcontractor's access, collection, use, storage, transmission, and provision to Contractor and County of the County's data, and Subcontractor's access, receipt, and use of the products, services, and data received from Contractor and County as part of the Subcontracted Work.

[Signatures provided on the following page]

IN WITNESS WHEREOF, Prime Contractor and Subcontractor have caused this Agreement to be executed as of the day and year first above written.

CERNER CORPORATION, as Prime Contractor

By: _____

Name:

Title:

EXPERIAN HEALTH, INC., as Subcontractor

By: _____

Name:

Title:

EXHIBIT A

SPECIFIED ADDITIONAL TERMS AND CONDITIONS

Unless otherwise specified, Section references are to Sections of the Prime Agreement. With respect to the terms and conditions of the Prime Agreement referenced below, as modified pursuant to Exhibit A.1 (Modified Prime Agreement Terms Applicable to Subcontractor), Subcontractor further agrees, to be bound by such terms and conditions directly to County as if Subcontractor were the “Contractor” under the Prime Agreement, and County shall have all of the rights and remedies under the Prime Agreement of “County” under the Prime Agreement.

- Section 2.1 (Contractor; Subcontracting)
- Section 3.2 (Revisions)
- Section 6 (Continuous Licensed Software Support)
- Section 9.7.2 (Contractor’s Revisions)
- Section 9.10 (Contractor Access To County Facilities)
- Section 10.1.5 (Conduct Of Contractor Personnel)
- Section 10.2.3 (Alert Reports)
- Section 15.13 (Verification Of Licensee Costs By Government)
- Section 16 (Independent Contractor)
- Section 17.1.2 (Performance Of Services)
- Section 17.1.4 (Non-Infringement)
- Section 17.1.5 (No Pending or Threatened Litigation)
- Section 17.1.8 (Destructive/Disabling Mechanisms)
- Section 17.1.15 (No Offshore Work)
- Section 17.1.19 (Excluded Provider Warranty)
- Section 17.1.20 (Warranty Against Contingent Fees)
- Section 18.2 (Ownership)
- Section 19 (Confidentiality)
- Section 20 (Security)
- Section 21 (Communication Systems and Access to Information)
- Section 22 (Disaster Recovery/Business Continuity)
- Section 23 (Indemnification)
- Section 25 (Insurance)
- Section 27 (Dispute Resolution Procedures)
- Section 28 (Dispute Resolution with Contractor and Other Vendors)
- Section 29 (Termination)
- Section 30 (Multi-Vendor Environment)
- Section 32.1 (Force Majeure)
- Section 32.8 (Compliance with Applicable Laws)

- Section 32.9 (Required Certifications)
- Section 32.10 (Compliance With Civil Rights Laws)
- Section 32.11 (Nondiscrimination and Affirmative Action)
- Section 32.17 (Assignment and Delegation)
- Section 32.23 (Recycled Bond Paper)
- Section 32.26 (Public Records Act)
- Section 32.27 (Conflict of Interest)
- Section 32.28 (Contractor Responsibility and Debarment)
- Section 32.30 (Employment Eligibility Verification)
- Section 32.31 (Compliance with the County's Jury Service Program)
- Section 32.33 (Consideration of Hiring GAIN/GROW Program Participants)
- Section 32.34 (Contractor's Warranty of Adherence to County's Child Support Compliance Program)
- Section 32.35 (Safely Surrendered Baby Law)
- Section 32.36 (Federal Earned Income Tax Credit)
- Section 32.37 (Defaulted Property Tax Reduction Program)
- Section 32.38 (Restrictions on Lobbying)
- Section 32.40 (Contractor Performance During Civil Unrest and Disaster)
- Exhibit K (Information Security Requirements) of the Prime Agreement as modified for the Experian Modules pursuant to Section 6 (Alternative Agreement Exhibits Applicable to the Experian Modules) of Amendment 19
- Exhibit N (Additional Hosting Services Terms and Conditions) of the Prime Agreement as modified for the Experian Modules pursuant to Section 6 (Alternative Agreement Exhibits Applicable to the Experian Modules) of Amendment 19
- Exhibit N.1 (Hosting Services) of the Prime Agreement as modified for the Experian Modules pursuant to Section 6 (Alternative Agreement Exhibits Applicable to the Experian Modules) of Amendment 19
- Exhibit N.2 (Disaster Recovery Plan and Business Continuity Plan) of the Prime Agreement as modified for the Experian Modules pursuant to Section 6 (Alternative Agreement Exhibits Applicable to the Experian Modules) of Amendment 19
- Exhibit N.3 (Business Continuity Guidelines) of the Prime Agreement as modified for the Experian Modules pursuant to Section 6 (Alternative Agreement Exhibits Applicable to the Experian Modules) of Amendment 19
- Exhibit CC (Enterprise Back-Up Policy) of the Prime Agreement as modified for the Experian Modules pursuant to Section 6 (Alternative Agreement Exhibits Applicable to the Experian Modules) of Amendment 19

EXHIBIT A.1

MODIFIED PRIME AGREEMENT TERMS APPLICABLE TO SUBCONTRACTOR

The following changes are made to the Sections of the Prime Agreement that are applied to Subcontractor under Exhibit A (Specified Additional Terms and Conditions) to the Agreement:

1. SECTION 2.1 (CONTRACTOR; SUBCONTRACTING)

Section 2.1(b) of the Prime Agreement is amended to read as follows for purposes of Exhibit A (Specified Additional Terms and Conditions) to the Agreement:

- “(b) County has relied, in entering into this Agreement, on the reputation of and on obtaining the personal performance of Contractor itself. Consequently, no performance of this Agreement, or any portion thereof, shall be subcontracted by Contractor without the prior written consent of County as provided in this Section 2.1 (Contractor; Subcontracting) which consent shall not be unreasonably withheld or delayed. Any purported agreement by Contractor to subcontract any performance under this Agreement without obtaining the prior written consent of County as provided in this Section 2.1(b) (Contractor; Subcontracting), shall not modify, alter, nor amend the Agreement or any rights, obligations, or responsibilities as between Contractor and County and shall require Contractor to provide the Services to County through a subcontractor Approved as provided in this Section 2.1 (Contractor; Subcontracting) and without any disruption to the Services or impact to the County’s operations. In addition, Contractor shall indemnify County as provided in Section 23 (Indemnification) for any claims, demands, damages, liabilities, losses, costs, and expenses, including defense costs and reasonable legal, accounting, and other expert, consulting, or professional fees, and legal research fees arising from or related to the unapproved subcontractor’s acts or omissions. Entering into a subcontract in violation of this Section 2.1 (Contractor; Subcontracting) shall be deemed a material breach of this Agreement. Notwithstanding the foregoing, County’s prior written consent shall not be required prior to subcontracting with any third-party manufacturer of any Hardware for purposes of providing maintenance and support under Exhibit AA (Hardware Subcontractors Exempt from Approval)), provided that (a) such third-party manufacturers are not required to come onsite to any County Facility or access any patient records for purposes of providing such maintenance and support, (b) no staff of such third-party manufacturers are named in or otherwise dedicated to this Agreement, and (c) Contractor invoices County as part of the Contract Sum directly for any and all services provided by such third-party manufacturers (collectively “**Permitted Subcontractor**”). Third parties that (1) provide product or services that (i) are utilized by Contractor to generally operate its business, and (ii) are utilized as to all Contractor’s customers, and (2) do not provide products or services directly to County, are not “subcontractors” as that term is used throughout this Section 2.1 (Contractor; Subcontracting).”

2. SECTION 9.7.2 (CONTRACTOR’S REVISIONS)

Section 9.7.2 (Contractor’s Revisions) of the Prime Agreement is amended to read as follows for purposes of Exhibit A (Specified Additional Terms and Conditions) to the Agreement:

“9.7.2 CONTRACTOR’S REVISIONS

- (a) **Substantial Equivalence.** Contractor may from time to time make material Revisions to the Licensed Software. In the event of such Revisions, (a) the new Revision of the Licensed Software will, as to each function, (i) provide at least substantially equivalent functional results, (ii) maintain the level or quality of Services that County previously received, and (iii) continue to comply with all of the requirements of this Agreement, and (b) County shall be provided written notice, including relevant release notes or other appropriate documentation, at least thirty (30) days in advance of the general availability of any such Revision that is a Version, that will cause a material impact to County’s operations, that will disrupt County’s workflows, or that requires formal training in order for County to use

the Revision. Notwithstanding the foregoing, County may Approve a Revision to the Licensed Software that does not comply with the requirements of this Section 9.7.2(a) (Substantial Equivalence) if Contractor demonstrates to County that the Revision (1) is beneficial to the overall functionality or performance of the Licensed Software, (2) does not result in a material diminution of a feature or function that is deemed important to County's ongoing operations (e.g., the ability to timely file cost reports), and (3) does not result in the inability to maintain Interfaces with a third-party systems already Interfaced to the Licensed Software. In the event Contractor makes a Revision in breach of this Section 9.7.2(a) (Substantial Equivalence), Contractor shall provide the software, Services, and equipment required by County to provide the substantially equivalent functional result at no cost to County. Contractor's obligation under this Section 9.7.2(a) (Substantial Equivalence) does not apply to Integral Third-Party Software that is not embedded within the Licensed Software.

- (b) No Material Adverse Effects. If (A) after receipt of the notice set forth in Section 9.7.2(a), or (B) within the later of thirty (30) days after (1) Acceptance in a Production Environment of a Revision, or (2) the first fiscal year end close after being placed into Productive Use, a material adverse effect on functionality or operation of the Licensed Software is identified, including, but not limited to, a failure to comply with the requirements of this Agreement, or compatibility with County's technical, business or regulatory requirements, including, without limitation, hardware, software, or browser configurations, then County may escalate such issue under Section 30.3 (Critical Path Escalation Issues) of the Agreement immediately to (i) the DHS CIO or designee and (ii) Contractor Lead Partner and/or Contractor CIO or CTO as appropriate, regardless of whether Contractor Project Director and the County Project Director have attempted to resolve the issue beforehand, and regardless of whether any written documentation has been prepared beforehand as described in Section 30.3 (Critical Path Escalation Issues). In the event the County escalates the issue, Contractor will cooperate and collaborate with County on identifying approaches to mitigate any impacts to the County arising from the Revision.
- (c) Delivery and Prior Version Support. During the Support Term, County shall receive access to all new Revisions of the Licensed Software and Hosting Software that Contractor makes available to its other licensees without additional charge as provided in Section 3.2 (Revisions) within thirty (30) days after their General Availability. Notwithstanding the foregoing, Contractor represents, warrants, covenants, and agrees that throughout the Term of this Agreement Contractor shall provide Support Services for the current Version of Licensed Software and the most recent prior two (2) Versions."

3. SECTION 19.12 (RETURN OF CONFIDENTIAL INFORMATION)

Section 19.12 (Return of Confidential Information) of the Prime Agreement is amended to read as follows for purposes of Exhibit A (Specified Additional Terms and Conditions) to the Agreement:

"19.12 Return of Confidential Information

On County's written request or upon expiration or termination of this Agreement for any reason, Contractor will promptly: (a) return or destroy, at County's option, all originals and copies of all documents and materials it has received containing County's Confidential Information; (b) if return or destruction is not permissible under applicable law, continue to protect such information in accordance with the terms of this Agreement; (c) deliver or destroy, at County's option, all originals and copies of all summaries, records, descriptions, modifications, negatives, drawings, adoptions and other documents or materials, whether in writing or in machine-readable form, prepared by Contractor, prepared under its direction, or at its request, from the documents and materials referred to in Subsection 19.12(a), and provide a notarized written statement to County certifying that all documents and materials referred to in Subsections 19.12(a) and (b) have been delivered to County or destroyed,

as requested by County; and (d) as to any backup or archival copies of County Confidential Information, if return or destruction is not feasible, Contractor will continue to protect such information in accordance with the terms of this Agreement notwithstanding any expiration or termination of this Agreement. On termination or expiration of this Agreement, County shall return or destroy all Contractor Confidential Information (excluding items licensed to County hereunder or that are required for use of the Deliverables and/or the Licensed Software), at Contractor's option."

4. SECTION 29.7 (EFFECT OF TERMINATION)

Section 29.7(j) of the Prime Agreement is amended to read as follows for purposes of Exhibit A (Specified Additional Terms and Conditions) to the Agreement:

"(j) Contractor shall promptly return to County any and all Confidential Information, including County Data, that relate to that portion of the Agreement and Services terminated by County, except in instances where Contractor is required by law to maintain such County Data or where return of such County Data is not feasible, and in either case subject to continuing protection in accordance with the confidentiality provisions of this Agreement."

EXHIBIT B

SUBCONTRACTED WORK

1. SCOPE OF SUBCONTRACTED WORK

The below solutions (i) are included in the “Patient Transaction Services Modules” that Prime Contractor has agreed to provide to County under the Prime Agreement, and (ii) will be implemented and maintained by Subcontractor under Prime Contractor’s management and oversight. Subcontractor will design, build, integrate, test, deploy, support, maintain, and provide remote hosting for these solutions.

- eCare NEXT InProcess Script touchless process
- Passport eCare NEXT - Batch File Interface
- Passport eCare NEXT - Document Imaging Interface
- Registration QA - With Passport eCare NEXT
- Passport Authorizations Passport eCare NEXT
- Passport Authorizations Reconciliation
- Document Imaging System Interface
- Passport Authorizations - Remote Posting – Scripting
- Passport eCare NEXT - Bad Plan Code Repair
- eCare NEXT Additional Interface In Process Scripting

2. REASON(S) FOR THE PARTICULAR SUBCONTRACT:

Subcontractor’s assistance is necessary to provide and support the financial clearance functionality provided by the solutions identified in Section 1 (Scope of Subcontracted Work), above.

3. EXPLANATION OF WHY AND HOW THE PROPOSED SUBCONTRACTOR WAS SELECTED:

Benefits of using Financial Clearance powered by Experian in a Cerner Millennium® environment include the following: Automated workflow providing real-time, actionable data needed to financially screen patients prior to providing services.

4. INCORPORATED CONFIDENTIALITY PROVISIONS APPLICABLE TO THE PROPOSED SUBCONTRACTOR'S OFFICERS: EMPLOYEES, AND AGENTS:

No additional requirements beyond the requirements set forth in Exhibit D (Confidentiality Agreement) and otherwise under the Prime Agreement.

5. OTHER PERTINENT INFORMATION AND/OR CERTIFICATIONS REQUESTED BY COUNTY:

No additional requirements beyond the requirements set forth under the Prime Agreement.

EXHIBIT C

SUBCONTRACTOR CERTIFICATES OF INSURANCE

[To be inserted from Subcontractor into final document]

EXHIBIT D
CONFIDENTIALITY AGREEMENT

CONTRACTOR Cerner Corporation

SUBCONTRACTOR Experian Health, Inc.

1. GENERAL INFORMATION

The organization identified above as “**Contractor**” is under contract (“**Prime Agreement**”) to provide Services (as such term is defined in the Prime Agreement) to the County of Los Angeles (“**County**”), and Contractor has subcontracted the performance of certain Services under the Prime Agreement to the organization identified above as “**Subcontractor**.” County requires each employee, agent, consultant, outsourced vendor and independent contractor (in this Exhibit D (Confidentiality Agreement), “**staff**”) of this Subcontractor performing Services in connection with such Prime Agreement to understand his/her obligations with respect to the personal, proprietary and other confidential material, data or information, with which he/she will be in contact. Subcontractor, by executing this Confidentiality Agreement (“**Confidentiality Agreement**”), represents that it shall ensure each such staff member’s compliance with the obligations regarding such data and information, as set forth in the Prime Agreement, including this Exhibit D (Confidentiality Agreement).

2. SUBCONTRACTOR ACKNOWLEDGMENT

Subcontractor understands and agrees that all of Subcontractor’s, or any subcontractor’s, staff that will provide Services in connection with the above-referenced Prime Agreement are Subcontractor’s, or any subcontractor’s, sole responsibility. For the avoidance of doubt, as used throughout Section 2 (Subcontractor Acknowledgment) and Section 3 (Confidentiality) of this Confidentiality Agreement, the term “subcontractor” shall refer to a subcontractor of Subcontractor. Subcontractor understands and agrees that its, or any subcontractor’s, staff must rely exclusively upon Subcontractor, or any subcontractor, for payment of salary and any and all other benefits payable by virtue of such staff’s performance of Services in connection with the above-referenced Prime Agreement.

Subcontractor understands and agrees that its, or any subcontractor’s, employees are not employees of County for any purpose whatsoever and that such staff do not have and will not acquire any rights or benefits of any kind from County by virtue of performance of Services in connection with the above-referenced Prime Agreement. Subcontractor understands and agrees that its, or any subcontractor’s, staff do not have and will not acquire any rights or benefits from County pursuant to any agreement between any person or entity and County.

3. CONFIDENTIALITY

Subcontractor, any subcontractor, and their staff, by virtue of performing Services in connection with the above-referenced Prime Agreement, may come in contact with (i) Confidential Information (as such term is defined in the Prime Agreement), (ii) data and information, which County has an obligation to keep confidential by applicable law or otherwise, and (iii) proprietary information belonging to other organizations, contractors or their subcontractors doing business with County (collectively, for the purpose of this Exhibit D (Confidentiality Agreement), “**Confidential Information**”). By signing this Confidentiality Agreement, Subcontractor agrees that, by virtue of involvement in the Services in connection with the Prime Agreement, it, any subcontractor, and its staff shall protect the confidentiality of all such Confidential Information pursuant to the terms of Section 19 (Confidentiality) of the Prime Agreement and as specified below.

Subcontractor agrees, on behalf of itself, its subcontractors and all staff, (i) to protect from loss and hold in confidence any and all Confidential Information; (ii) not to directly or indirectly reveal, report, publish, transfer, reproduce to, or for the benefit of, any unauthorized person or otherwise disclose any Confidential Information obtained while performing Services in connection with the above-referenced Prime Agreement, except as allowed

under Section 19 (Confidentiality) of the Prime Agreement; and (iii) to utilize the Confidential Information solely for the limited purpose of providing Services in connection with the Prime Agreement.

Subcontractor agrees to report to the County Project Manager under the Prime Agreement any and all violations of this Confidentiality Agreement, including unauthorized disclosures or copying of Confidential Information, whether accidental or intentional, and whether by Subcontractor's, or any subcontractor's, staff and/or by any other person, of which such staff become aware. Subcontractor agrees and shall ensure that its, or any subcontractor's, staff, either (i) return possession of all Confidential Information to the County Project Manager under the Prime Agreement, or (ii) destroy all Confidential Information in their possession, upon completion of the above-referenced Prime Agreement, or termination of employment with the Subcontractor, or any subcontractor, whichever occurs first.

SIGNED _____

DATE _____

PRINTED _____

TITLE _____

EXHIBIT E

PRIME CONTRACTOR'S BUSINESS ASSOCIATE AGREEMENT WITH SUBCONTRACTOR

BUSINESS ASSOCIATE AGREEMENT UNDER THE HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT OF 1996 ("HIPAA")

Pursuant to the Agreement Regarding Subcontracted Services by and between Cerner Corporation ("**Cerner**") and Experian Health, Inc., a Delaware corporation ("**Experian**"), together with all Exhibits, Attachments, and Schedules thereto as may be amended from time to time ("**Agreement**"), Experian provides services ("**Services**") to Cerner and, in order to provide those Services, receives, has access to or creates Protected Health Information.

Experian provides services to Cerner, and, in order to provide those services, creates, receives, maintains, and or transmits Protected Health Information, and Cerner provides services to the County of Los Angeles, a political subdivision of the State of California ("**County**"), and, in order to provide those services, creates, receives, maintains, and or transmits Protected Health Information as a Business Associate to County. County is a Covered Entity, as defined by, and subject to the requirements and prohibitions of, the Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996, Public Law 104-191 ("**HIPAA**"), and regulations promulgated thereunder, including the Privacy, Security, Breach Notification, and Enforcement Rules at 45 Code of Federal Regulations (C.F.R.) Parts 160 and 164 (collectively, the "**HIPAA Rules**").

Cerner is a Subcontractor, as defined by the HIPAA Rules, and is therefore subject to those provisions of the HIPAA Rules that are applicable to Subcontractors. Experian, in turn, is a Subcontractor of Cerner, and performs or provides functions, activities or services to Cerner that require Experian in order to provide such functions, activities or services to create, access, receive, maintain, and/or transmit information that includes or that may include Protected Health Information, as defined by the HIPAA Rules. A Subcontractor is also a Business Associate, as defined by the HIPAA Rules, and is therefore subject to those provisions of the HIPAA Rules that are applicable to Business Associates.

The HIPAA Rules require a written agreement ("**Business Associate Agreement**") between Cerner and Experian in order to mandate certain protections for the privacy and security of Protected Health Information, and these HIPAA Rules prohibit the disclosure to or use of Protected Health Information by Experian if such an agreement is not in place.

This Business Associate Agreement and its provisions are intended to protect the privacy and provide for the security of Protected Health Information disclosed to or used by Experian in compliance with the HIPAA Rules.

Therefore, the parties agree as follows:

1. DEFINITIONS

- 1.1 "**Breach**" has the same meaning as the term "breach" at 45 C.F.R. § 164.402.
- 1.2 "**Business Associate**" has the same meaning as the term "business associate" at 45 C.F.R. § 160.103. For the convenience of the parties, a "business associate" is a person or entity, other than a member of the workforce of covered entity, who performs functions or activities on behalf of, or provides certain services to, a covered entity that involve access by the business associate to Protected Health Information. A "business associate" also is a Subcontractor that creates, receives, maintains, or transmits Protected Health Information on behalf of another business associate.
- 1.3 "**Covered Entity**" has the same meaning as the term "covered entity" at 45 C.F.R. § 160.103. Any reference to Covered Entity in this Business Associate Agreement shall mean the County.
- 1.4 "**Data Aggregation**" has the same meaning as the term "data aggregation" at 45 C.F.R. § 164.501.
- 1.5 "**De-identification**" refers to the de-identification standard at 45 C.F.R. § 164.514.

- 1.6 "Designated Record Set" has the same meaning as the term "designated record set" at 45 C.F.R. § 164.501.
- 1.7 "Disclose" and "Disclosure" mean, with respect to Protected Health Information, the release, transfer, provision of access to, or divulging in any other manner of Protected Health Information outside Experian's internal operations or to other than its workforce. (See 45 C.F.R. § 160.103.)
- 1.8 "Electronic Health Record" means an electronic record of health-related information on an individual that is created, gathered, managed, and consulted by authorized health care clinicians and staff. (See 42 U.S. C. § 17921.)
- 1.9 "Electronic Media" has the same meaning as the term "electronic media" at 45 C.F.R. § 160.103. For the convenience of the parties, electronic media means (1) Electronic storage material on which data is or may be recorded electronically, including, for example, devices in computers (hard drives) and any removable/transportable digital memory medium, such as magnetic tape or disk, optical disk, or digital memory card; (2) Transmission media used to exchange information already in electronic storage media. Transmission media include, for example, the Internet, extranet or intranet, leased lines, dial-up lines, private networks, and the physical movement of removable/transportable electronic storage media. Certain transmissions, including of paper, via facsimile, and of voice, via telephone, are not considered to be transmissions via electronic media if the information being exchanged did not exist in electronic form immediately before the transmission.
- 1.10 "Electronic Protected Health Information" has the same meaning as the term "electronic protected health information" at 45 C.F.R. § 160.103, limited to Protected Health Information created or received by Experian from or on behalf of Cerner. For the convenience of the parties, Electronic Protected Health Information means Protected Health Information that is (i) transmitted by electronic media; (ii) maintained in electronic media.
- 1.11 "Health Care Operations" has the same meaning as the term "health care operations" at 45 C.F.R. § 164.501.
- 1.12 "Individual" has the same meaning as the term "individual" at 45 C.F.R. § 160.103. For the convenience of the parties, Individual means the person who is the subject of Protected Health Information and shall include a person who qualifies as a personal representative in accordance with 45 C.F.R. § 164.502 (g).
- 1.13 "Law Enforcement Official" has the same meaning as the term "law enforcement official" at 45 C.F.R. § 164.103.
- 1.14 "Minimum Necessary" refers to the minimum necessary standard at 45 C.F.R. § 164.502 (b).
- 1.15 "Protected Health Information" has the same meaning as the term "protected health information" at 45 C.F.R. § 160.103, limited to the information created or received by Experian from or on behalf of Cerner. For the convenience of the parties, Protected Health Information includes information that (i) relates to the past, present or future physical or mental health or condition of an Individual; the provision of health care to an Individual, or the past, present or future payment for the provision of health care to an Individual; (ii) identifies the Individual (or for which there is a reasonable basis for believing that the information can be used to identify the Individual); and (iii) is created, received, maintained, or transmitted by Experian from or on behalf of Cerner (on behalf of Covered Entity), and includes Protected Health Information that is made accessible to Experian by Cerner. "Protected Health Information" includes Electronic Protected Health Information.
- 1.16 "Required by Law" has the same meaning as the term "required by law" at 45 C.F.R. § 164.103.
- 1.17 "Secretary" has the same meaning as the term "secretary" at 45 C.F.R. § 160.103
- 1.18 "Security Incident" has the same meaning as the term "security incident" at 45 C.F.R. § 164.304.

- 1.19 “Services” means, unless otherwise specified, those functions, activities, or services in the applicable underlying Agreement, Contract, Master Agreement, Work Order, or Purchase Order or other service arrangement, with or without payment, that gives rise to Experian’s status as a Subcontractor.
- 1.20 “Subcontractor” has the same meaning as the term “subcontractor” at 45 C.F.R. § 160.103.
- 1.21 “Unsecured Protected Health Information” has the same meaning as the term “unsecured protected health information” at 45 C.F.R. § 164.402.
- 1.22 “Use” or “Uses” means, with respect to Protected Health Information, the sharing, employment, application, utilization, examination or analysis of such Protected Health Information within Experian’s internal operations. (See 45 C.F.R § 164.103.)
- 1.23 Terms used, but not otherwise defined in this Business Associate Agreement, have the same meaning as those terms in the HIPAA Rules.

2. PERMITTED AND REQUIRED USES AND DISCLOSURES OF PROTECTED HEALTH INFORMATION

- 2.1 Experian may only Use and/or Disclose Protected Health Information as necessary to perform Services, and/or as necessary to comply with the obligations of this Business Associate Agreement.
- 2.2 Experian may de-identify Protected Health Information in accordance with the standards set forth in 45 CFR 164.514(b) as necessary to provide the Services, but shall not use such de-identified information for any other purpose unless it obtains advance written approval from Cerner and Covered Entity.
- 2.3 Experian may Use or Disclose Protected Health Information as Required by Law.
- 2.4 Experian shall make Uses and Disclosures and requests for Protected Health Information consistent with the Covered Entity’s applicable Minimum Necessary policies and procedures, if such policies have been provided to Experian, and if such policies have not been provided, then consistent with the requirements of the HIPAA Rules.
- 2.5 Experian may Use Protected Health Information as necessary for the proper management and administration of its business or to carry out its legal responsibilities.
- 2.6 Experian may Disclose Protected Health Information as necessary for the proper management and administration of its business or to carry out its legal responsibilities, provided the Disclosure is Required by Law or Experian obtains reasonable assurances from the person to whom the Protected Health Information is disclosed (i.e., the recipient) that it will be held confidentially and Used or further Disclosed only as Required by Law or for the purposes for which it was disclosed to the recipient and the recipient notifies Experian of any instances of which it is aware in which the confidentiality of the Protected Health Information has been breached.
- 2.7 Experian may provide Data Aggregation services relating to Covered Entity’s Health Care Operations if such Data Aggregation services are necessary in order to provide Services.

3. PROHIBITED USES AND DISCLOSURES OF PROTECTED HEALTH INFORMATION

- 3.1 Experian shall not Use or Disclose Protected Health Information other than as permitted or required by this Business Associate Agreement or as Required by Law.
- 3.2 Experian shall not Use or Disclose Protected Health Information in a manner that would violate Subpart E of 45 C.F.R. Part 164 if done by Covered Entity, except for the specific Uses and Disclosures set forth in Sections 2.5 and 2.6.
- 3.3 Experian shall not Use or Disclose Protected Health Information for de-identification of the information except as set forth in section 2.2.

4. OBLIGATIONS TO SAFEGUARD PROTECTED HEALTH INFORMATION

- 4.1 Experian shall implement, use, and maintain appropriate safeguards to prevent the Use or Disclosure of Protected Health Information other than as provided for by this Business Associate Agreement.
- 4.2 Experian shall comply with Subpart C of 45 C.F.R Part 164 with respect to Electronic Protected Health Information, to prevent the Use or Disclosure of such information other than as provided for by this Business Associate Agreement.

5. REPORTING NON-PERMITTED USES OR DISCLOSURES, SECURITY INCIDENTS, AND BREACHES OF UNSECURED PROTECTED HEALTH INFORMATION

- 5.1 Experian shall report to Cerner and Covered Entity any Use or Disclosure of Protected Health Information not permitted by this Business Associate Agreement, any Security Incident, and/ or any Breach of Unsecured Protected Health Information as further described in Sections 5.1.1, 5.1.2, and 5.1.3.
 - 5.1.1 Experian shall report to Cerner and Covered Entity any Use or Disclosure of Protected Health Information by Experian, its employees, representatives, agents or Subcontractors not provided for by this Agreement of which Experian becomes aware.
 - 5.1.2 Experian shall report to Cerner and Covered Entity any Security Incident of which Experian becomes aware; provided, however, that the parties acknowledge and agree that this Section constitutes notice by Experian to Cerner and Covered Entity of the ongoing existence and occurrence of attempted but Unsuccessful Security Incidents (as defined below). "Unsuccessful Security Incidents" shall include, but not be limited to, pings and other broadcast attacks on Experian's firewall, port scans, unsuccessful log- on attempts, denials of service and any combination of the above, so long as no such incident results in unauthorized access, use or disclosure of Protected Health Information.
 - 5.1.3 Experian shall report to Cerner and Covered Entity any Breach by Experian, its employees, representatives, agents, workforce members, or Subcontractors of Unsecured Protected Health Information that is known to Experian or, by exercising reasonable diligence, would have been known to Experian. Experian shall be deemed to have knowledge of a Breach of Unsecured Protected Health Information if the Breach is known, or by exercising reasonable diligence would have been known, to any person, other than the person committing the Breach, who is an employee, officer, or other agent of Experian, including a Subcontractor, as determined in accordance with the federal common law of agency.
- 5.2 Except as provided in Section 5.3, for any reporting required by Section 5.1, Experian shall provide, to the extent available, all information required by, and within the times frames specified in, Sections 5.2.1 and 5.2.2.
 - 5.2.1 Experian shall make an immediate telephonic report upon discovery of the non-permitted Use or Disclosure of Protected Health Information, Security Incident or Breach of Unsecured Protected Health Information to (i) Cerner at 816-221-1024 attention: Chief Privacy Officer; and (ii) Covered Entity's Chief HIPAA Privacy Officer at (562) 940-3335, that minimally includes:
 - 5.2.1.1 A brief description of what happened, including the date of the non-permitted Use or Disclosure, Security Incident, or Breach and the date of Discovery of the non-permitted Use or Disclosure, Security Incident, or Breach, if known;
 - 5.2.1.2 The number of Individuals whose Protected Health Information is involved;

- 5.2.1.3 A description of the specific type of Protected Health Information involved in the non-permitted Use or Disclosure, Security Incident, or Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code or other types of information were involved);
- 5.2.1.4 The name and contact information for a person highly knowledgeable of the facts and circumstances of the non-permitted Use or Disclosure of PHI, Security Incident, or Breach
- 5.2.2 Experian shall make a written report without unreasonable delay and in no event later than three (3) business days from the date of discovery by Experian of the non-permitted Use or Disclosure of Protected Health Information, Security Incident, or Breach of Unsecured Protected Health Information to (i) Cerner at: Chief Privacy Officer, Cerner Corporation – Legal Department, 2800 Rockcreek Parkway - Cerner Corporation, North Kansas City, Missouri 64117-2551; Phone: 816-221-1024; Email: privacyoffice@cerner.com; and to (ii) Covered Entity's Chief HIPAA Privacy Officer at: Chief HIPAA Privacy Officer, Kenneth Hahn Hall of Administration, 500 West Temple Street, Suite 525, Los Angeles, California 90012, HIPAA@auditor.lacounty.gov, (562) 940-3335, that includes, to the extent possible:
 - 5.2.2.1 A brief description of what happened, including the date of the non-permitted Use or Disclosure, Security Incident, or Breach and the date of Discovery of the non-permitted Use or Disclosure, Security Incident, or Breach, if known;
 - 5.2.2.2 The number of Individuals whose Protected Health Information is involved;
 - 5.2.2.3 A description of the specific type of Protected Health Information involved in the non-permitted Use or Disclosure, Security Incident, or Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code or other types of information were involved);
 - 5.2.2.4 The identification of each Individual whose Unsecured Protected Health Information has been, or is reasonably believed by Experian to have been, accessed, acquired, Used, or Disclosed;
 - 5.2.2.5 Any other information necessary to conduct an assessment of whether notification to the Individual(s) under 45 C.F.R. § 164.404 is required;
 - 5.2.2.6 Any steps Experian believes that the Individual(s) could take to protect him or herself from potential harm from the non-permitted Use or Disclosure, Security Incident, or Breach;
 - 5.2.2.7 A brief description of what Experian is doing to investigate, to mitigate harm to the Individual(s), and to protect against any further similar occurrences; and
 - 5.2.2.8 The name and contact information for a person highly knowledgeable of the facts and circumstances of the non-permitted Use or Disclosure of PHI, Security Incident, or Breach.
- 5.2.3 If Experian is not able to provide the information specified in Section 5.2.1 or 5.2.2 at the time of the required report, Experian shall provide such information promptly thereafter as such information becomes available.

- 5.3 Experian may delay the notification required by Section 5.1.3, if a law enforcement official states to Experian that notification would impede a criminal investigation or cause damage to national security.
- 5.3.1 If the law enforcement official's statement is made to Experian and/or provided to Experian in writing and specifies the time for which a delay is required, Experian shall delay its reporting and/or notification obligation(s) for the time period specified by the official.
- 5.3.2 If the statement is made orally, Experian shall document the statement, including the identity of the official making the statement, and delay its reporting and/or notification obligation(s) temporarily and no longer than 30 days from the date of the oral statement, unless a written statement as described in Section 5.3.1 is submitted during that time.

6. WRITTEN ASSURANCES OF SUBCONTRACTORS

- 6.1 In accordance with 45 C.F.R. § 164.502 (e)(1)(ii) and § 164.308 (b)(2), if applicable, Experian shall ensure that any Subcontractor that creates, receives, maintains, or transmits Protected Health Information on behalf of Experian is made aware of its status as a Business Associate with respect to such information and that Subcontractor agrees in writing to the same restrictions, conditions, and requirements that apply to Experian with respect to such information. Such Subcontractor Business Associate Agreement shall identify Covered Entity as a third party beneficiary with rights of enforcement and indemnification in the event of any violation of the Subcontractor Business Associate Agreement or the HIPAA Rules.
- 6.2 Experian shall take reasonable steps to cure any material breach or violation by Subcontractor of the agreement required by Section 6.1.
- 6.3 If the steps required by Section 6.2 do not cure the breach or end the violation, Experian shall terminate, if feasible, any arrangement with Subcontractor by which Subcontractor creates, receives, maintains, or transmits Protected Health Information on behalf of Experian.
- 6.4 If neither cure nor termination as set forth in Sections 6.2 and 6.3 is feasible, Experian shall immediately notify Cerner and Covered Entity.
- 6.5 Without limiting the requirements of Section 6.1, the agreement required by Section 6.1 (Subcontractor Business Associate Agreement) shall require Subcontractor to contemporaneously notify Covered Entity in the event of a Breach of Unsecured Protected Health Information.
- 6.6 Without limiting the requirements of Section 6.1, the agreement required by Section 6.1 (Subcontractor Business Associate Agreement) shall include a provision requiring Subcontractor to destroy, or in the alternative to return to Experian, any Protected Health Information created, received, maintained, or transmitted by Subcontractor on behalf of Experian so as to enable Experian to comply with the provisions of Section 18.4.
- 6.7 Experian shall provide to Cerner or Covered Entity, at Cerner or Covered Entity's request, a copy of any and all Subcontractor Business Associate Agreements required by Section 6.1.
- 6.8 Sections 6.1 and 6.7 are not intended by the parties to limit in any way the scope of Experian's obligations related to Subcontracts or Subcontracting in the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor.

7. ACCESS TO PROTECTED HEALTH INFORMATION

- 7.1 To the extent Covered Entity determines that Protected Health Information is maintained by Experian or its agents or Subcontractors in a Designated Record Set, Experian shall, within two (2) business days after receipt of a request from Cerner or Covered Entity, make the Protected Health Information specified by Cerner or Covered Entity available to the Individual(s) identified by Cerner

or Covered Entity as being entitled to access and shall provide such Individuals(s) or other person(s) designated by Cerner or Covered Entity with a copy the specified Protected Health Information, in order for Covered Entity to meet the requirements of 45 C.F.R. § 164.524.

- 7.2 If any Individual requests access to Protected Health Information directly from Experian or its agents or Subcontractors, Experian shall notify Cerner and Covered Entity in writing within two (2) days of the receipt of the request. Whether access shall be provided or denied shall be determined by Covered Entity.
- 7.3 To the extent that Experian maintains Protected Health Information that is subject to access as set forth above in one or more Designated Record Sets electronically and if the Individual requests an electronic copy of such information, Experian shall provide the Individual with access to the Protected Health Information in the electronic form and format requested by the Individual, if it is readily producible in such form and format; or, if not, in a readable electronic form and format as agreed to by Cerner, Covered Entity, and the Individual.

8. AMENDMENT OF PROTECTED HEALTH INFORMATION

- 8.1 To the extent Covered Entity determines that any Protected Health Information is maintained by Experian or its agents or Subcontractors in a Designated Record Set, Experian shall, within fifteen (15) business days after receipt of a written request from Cerner or Covered Entity, make any amendments to such Protected Health Information that are requested by Cerner or Covered Entity, in order for Covered Entity to meet the requirements of 45 C.F.R. § 164.526.
- 8.2 If any Individual requests an amendment to Protected Health Information directly from Experian or its agents or Subcontractors, Experian shall notify Cerner and Covered Entity in writing within five (5) business days of the receipt of the request. Whether an amendment shall be granted or denied shall be determined by Covered Entity.

9. ACCOUNTING OF DISCLOSURES OF PROTECTED HEALTH INFORMATION

- 9.1 Experian shall maintain an accounting of each Disclosure of Protected Health Information made by Experian or its employees, agents, representatives or Subcontractors, as is determined by Covered Entity to be necessary in order to permit Covered Entity to respond to a request by an Individual for an accounting of disclosures of Protected Health Information in accordance with 45 C.F.R. § 164.528.
 - 9.1.1 Any accounting of disclosures provided by Experian under Section 9.1 shall include:
 - 9.1.1.1 The date of the Disclosure;
 - 9.1.1.2 The name, and address if known, of the entity or person who received the Protected Health Information;
 - 9.1.1.3 A brief description of the Protected Health Information Disclosed; and
 - 9.1.1.4 A brief statement of the purpose of the Disclosure.
 - 9.1.2 For each Disclosure that could require an accounting under Section 9.1, Experian shall document the information specified in Section 9.1.1, and shall maintain the information for six (6) years from the date of the Disclosure.
- 9.2 Experian shall provide to Cerner or Covered Entity, within fifteen (15) business days after receipt of a written request from Cerner or Covered Entity, information collected in accordance with Section 9.1.1 to permit Cerner or Covered Entity to respond to a request by an Individual for an accounting of disclosures of Protected Health Information in accordance with 45 C.F.R. § 164.528
- 9.3 If any Individual requests an accounting of disclosures directly from Experian or its agents or Subcontractors, Experian shall notify Cerner and Covered Entity in writing within five (5) business days of the receipt of the request, and shall provide the requested accounting of disclosures to the

Individual(s) within 30 days. The information provided in the accounting shall be in accordance with 45 C.F.R. § 164.528.

10. COMPLIANCE WITH APPLICABLE HIPAA RULES

- 10.1 To the extent Experian is to carry out one or more of Cerner's or Covered Entity's obligation(s) under Subpart E of 45 C.F.R. Part 164, Experian shall comply with the requirements of Subpart E that apply to Cerner's or Covered Entity's performance of such obligation(s).
- 10.2 Experian shall comply with all HIPAA Rules applicable to Experian in the performance of Services.

11. AVAILABILITY OF RECORDS

- 11.1 Experian shall make its internal practices, books, and records relating to the Use and Disclosure of Protected Health Information received from, or created or received by Experian on behalf of Cerner available to the Secretary for purposes of determining Cerner's and Covered Entity's compliance with the Privacy and Security Regulations.
- 11.2 Unless prohibited by the Secretary, Experian shall immediately notify Cerner and Covered Entity of any requests made by the Secretary and provide Cerner and Covered Entity with copies of any documents produced in response to such request.

12. MITIGATION OF HARMFUL EFFECTS

- 12.1 Experian shall mitigate, to the extent practicable, any harmful effect of a Use or Disclosure of Protected Health Information by Experian in violation of the requirements of this Business Associate Agreement that is known to Experian.

13. BREACH NOTIFICATION TO INDIVIDUALS

- 13.1 Experian shall, to the extent Cerner or Covered Entity determines that there has been a Breach of Unsecured Protected Health Information by Experian, its employees, representatives, agents or Subcontractors, provide breach notification, upon Covered Entity's written request, to the Individual in a manner that permits Covered Entity to comply with its obligations under 45 C.F.R. § 164.404.
 - 13.1.1 Experian shall notify, subject to the review and approval of Cerner and Covered Entity, each Individual whose Unsecured Protected Health Information has been, or is reasonably believed to have been, accessed, acquired, Used, or Disclosed as a result of any such Breach.
 - 13.1.2 The notification provided by Experian shall be written in plain language, shall be subject to review and approval by Cerner and Covered Entity, and shall include, to the extent possible:
 - 13.1.2.1 A brief description of what happened, including the date of the Breach and the date of the Discovery of the Breach, if known;
 - 13.1.2.2 A description of the types of Unsecured Protected Health Information that were involved in the Breach (such as whether full name, social security number, date of birth, home address, account number, diagnosis, disability code, or other types of information were involved);
 - 13.1.2.3 Any steps the Individual should take to protect him or herself from potential harm resulting from the Breach;
 - 13.1.2.4 A brief description of what Experian is doing to investigate the Breach, to mitigate harm to Individual(s), and to protect against any further Breaches; and

- 13.1.2.5 Contact procedures for Individual(s) to ask questions or learn additional information, which shall include a toll-free telephone number, an e-mail address, Web site, or postal address.
- 13.2 Covered Entity, in its sole discretion, may elect to provide the notification required by Section 13.1 or to require Cerner or Experian to provide such notification and/or to establish the contact procedures described in Section 13.1.2.
- 13.3 Experian shall reimburse Cerner and Covered Entity for any and all costs incurred by Cerner or Covered Entity, in complying with Subpart D of 45 C.F.R. Part 164, including but not limited to costs of notification, internet posting, or media publication, as a result of Experian's Breach of Unsecured Protected Health Information; Covered Entity and Cerner shall not be responsible for any costs incurred by Experian in providing the notification required by 13.1 or in establishing the contact procedures required by Section 13.1.2.

14. INDEMNIFICATION

- 14.1 Experian shall indemnify, defend, and hold harmless Cerner, Covered Entity, its Special Districts, elected and appointed officers, and their respective employees and agents from and against any and all third party claims, liability, including but not limited to demands, claims, actions, fees, costs, expenses (including attorney and expert witness fees), and penalties and/or fines (including regulatory penalties and/or fines), to the extent arising from or connected with Experian's acts and/or omissions arising from and/or relating to this Business Associate Agreement, including, but not limited to, compliance and/or enforcement actions and/or activities, whether formal or informal, by the Secretary or by the Attorney General of the State of California.
- 14.2 Section 14.1 is not intended by the parties to limit in any way the scope of Experian's obligations related to Insurance and/or Indemnification in the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor.

15. OBLIGATIONS OF CERNER

- 15.1 Cerner shall notify Experian of any current or future restrictions or limitations on the Use or Disclosure of Protected Health Information that would affect Experian's performance of the Services, and Experian shall thereafter restrict or limit its own Uses and Disclosures accordingly.
- 15.2 Cerner shall not request Experian to Use or Disclose Protected Health Information in any manner that would not be permissible under Subpart E of 45 C.F.R. Part 164 if done by Cerner, except to the extent that Experian may Use or Disclose Protected Health Information as provided in Sections 2.3, 2.5, and 2.6.

16. TERM

- 16.1 Unless sooner terminated as set forth in Section 17, the term of this Business Associate Agreement shall be the same as the term of the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other service arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor.
- 16.2 Notwithstanding Section 16.1, Experian's obligations under Sections 11, 14, and 18 shall survive the termination or expiration of this Business Associate Agreement.

17. TERMINATION FOR CAUSE

- 17.1 In addition to and notwithstanding the termination provisions set forth in the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor, if either party determines that the other party has violated a material term of this Business Associate Agreement, and the breaching party has not cured the breach or ended the

violation within the time specified by the non-breaching party, which shall be reasonable given the nature of the breach and/or violation, the non-breaching party may terminate this Business Associate Agreement.

- 17.2 In addition to and notwithstanding the termination provisions set forth in the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor, if either party determines that the other party has violated a material term of this Business Associate Agreement, and cure is not feasible, the non-breaching party may terminate this Business Associate Agreement immediately.

18. DISPOSITION OF PROTECTED HEALTH INFORMATION UPON TERMINATION OR EXPIRATION

- 18.1 Except as provided in Section 18.3, upon termination for any reason or expiration of this Business Associate Agreement, Experian shall return or, if agreed to by Cerner and Covered Entity, shall destroy as provided for in Section 18.2, all Protected Health Information received from Cerner, or created, maintained, or received by Experian on behalf of Cerner and Covered Entity, that Experian, including any Subcontractor, still maintains in any form. Experian shall retain no copies of the Protected Health Information.
- 18.2 Destruction for purposes of Section 18.2 and Section 6.6 shall mean that media on which the Protected Health Information is stored or recorded has been destroyed and/or electronic media have been cleared, purged, or destroyed in accordance with the use of a technology or methodology specified by the Secretary in guidance for rendering Protected Health Information unusable, unreadable, or indecipherable to unauthorized individuals.
- 18.3 Notwithstanding Section 18.1, in the event that Experian, including any Subcontractor, determines that return or destruction of Protected Health Information is not feasible or Experian determines that any such Protected Health Information is necessary for Experian to continue its proper management and administration or to carry out its legal responsibilities, Experian shall submit to Cerner and Covered Entity an explanation of the circumstances that make return or destruction infeasible. If Cerner and Covered Entity agree that return or destruction is infeasible, then Experian may retain that Protected Health Information for which destruction or return is infeasible or that Protected Health Information which is necessary for Experian to continue its proper management and administration or to carry out its legal responsibilities and shall return or destroy all other Protected Health Information.
- 18.3.1 Experian shall extend the protections of this Business Associate Agreement to such Protected Health Information, including continuing to use appropriate safeguards and continuing to comply with Subpart C of 45 C.F.R Part 164 with respect to Electronic Protected Health Information, to prevent the Use or Disclosure of such information other than as provided for in Sections 2.5 and 2.6 for so long as such Protected Health Information is retained, and Experian shall not Use or Disclose such Protected Health Information other than for the purposes for which such Protected Health Information was retained.
- 18.3.2 Experian shall return or, if agreed to by Cerner and Covered Entity, destroy the Protected Health Information retained by Experian when it is no longer needed by Experian for Experian's proper management and administration or to carry out its legal responsibilities.
- 18.4 Experian shall ensure that all Protected Health Information created, maintained, or received by Subcontractors is returned or, if agreed to by Cerner and Covered Entity, destroyed as provided for in Section 18.2 unless Cerner and Covered Entity agree that it is infeasible to return or destroy such information in accordance with Section 18.3, in which case Subcontractor shall also agree to protect such information as provided in section 18.3.1.

19. AUDIT, INSPECTION, AND EXAMINATION

- 19.1 Cerner and Covered Entity reserve the right to conduct a reasonable inspection of the books, records, agreements, and policies and procedures relating to the Use or Disclosure of Protected Health Information for the purpose of determining whether Experian is in compliance with the terms of this Business Associate Agreement and any non-compliance may be a basis for termination of this Business Associate Agreement and the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor, as provided for in section 17. Cerner and Covered Entity may each conduct the inspections described in this Section 19.1 not more than once per calendar year, except that Cerner and Covered entity may conduct the inspections described in this Section 19.1 more than once per calendar year (i) to the extent required by applicable law, or (ii) to the extent such inspections are performed by Cerner or Covered Entity in connection with any Security Incident. As to inspections conducted per items (i) or (ii) of the preceding sentence, such inspections shall additionally include the right to conduct a reasonable inspection of facilities, systems, and information systems.
- 19.2 Cerner, Covered Entity, and Experian shall mutually agree in advance upon the scope, timing, and location of any such inspection.
- 19.3 At Experian's request, and to the extent permitted by law, Cerner or Covered Entity shall execute a nondisclosure agreement, upon terms and conditions mutually agreed to by the parties.
- 19.4 That Cerner or Covered Entity inspects, fails to inspect, or has the right to inspect as provided for in Section 19.1 does not relieve Experian of its responsibility to comply with this Business Associate Agreement and/or the HIPAA Rules or impose on Cerner or Covered Entity any responsibility for Experian's compliance with any applicable HIPAA Rules.
- 19.5 Cerner's or Covered Entity's failure to detect, its detection but failure to notify Experian, or its detection but failure to require remediation by Experian of an unsatisfactory practice by Experian, shall not constitute acceptance of such practice or a waiver of Cerner's or Covered Entity's enforcement rights under this Business Associate Agreement or the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor.
- 19.6 Section 19.1 is not intended by the parties to limit in any way the scope of Experian's obligations related to Inspection and/or Audit and/or similar review in the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor.

20. MISCELLANEOUS PROVISIONS

- 20.1 Disclaimer. Cerner makes no warranty or representation that compliance by Experian with the terms and conditions of this Business Associate Agreement will be adequate or satisfactory to meet the business needs or legal obligations of Experian.
- 20.2 HIPAA Requirements. The parties agree that the provisions under HIPAA Rules that are required by law to be incorporated into this Amendment are hereby incorporated into this Agreement.
- 20.3 Third Party Beneficiaries. Covered Entity is a third party beneficiary with rights of enforcement and indemnification in the event of any violation of this Business Associate Agreement or the HIPAA Rules by Experian. Except as set forth in this Section and Section 6.1, nothing in this Business Associate Agreement shall confer upon any person other than the parties and their respective successors or assigns, any rights, remedies, obligations, or liabilities whatsoever.
- 20.4 Construction. In the event that a provision of this Business Associate Agreement is contrary to a provision of the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order, or other services arrangement, with or without payment, that gives rise to

Experian's status as a Subcontractor, the provision of this Business Associate Agreement shall control. Otherwise, this Business Associate Agreement shall be construed under, and in accordance with, the terms of the applicable underlying Agreement, Contract, Master Agreement, Work Order, Purchase Order or other services arrangement, with or without payment, that gives rise to Experian's status as a Subcontractor.

- 20.5 Regulatory References. A reference in this Business Associate Agreement to a section in the HIPAA Rules means the section as in effect or as amended.
- 20.6 Interpretation. Any ambiguity in this Business Associate Agreement shall be resolved in favor of a meaning that permits the parties to comply with the HIPAA Rules.
- 20.7 Amendment. The parties agree to take such action as is necessary to amend this Business Associate Agreement from time to time as is necessary for Covered Entity, Cerner or Experian to comply with the requirements of the HIPAA Rules and any other privacy laws governing Protected Health Information.

EXHIBIT F

SUBCONTRACTOR'S EEO CERTIFICATION

Experian Health, Inc.

Subcontractor's Name

720 Cool Springs Blvd. Suite 200, Franklin, TN 37067

Address

62-1741830

Internal Revenue Service Employer Identification Number

GENERAL

In accordance with Subchapter VII of the *Civil Rights Act of 1964, 42 USC Sections 2000e through 2000e-17*, and the *Americans with Disabilities Act of 1990*, Subcontractor, supplier, or vendor certifies and agrees that all persons employed by such firm, its affiliates, subsidiaries, or holding companies are and will be treated equally by the firm without regard to or because of race, color, religion, ancestry, national origin, age, condition of physical or mental disability, marital status, political affiliation or sex and in compliance with all anti-discrimination laws of the United States of America and the State of California.

**SUBCONTRACTOR'S CERTIFICATION
(check one)**

- | | | | |
|----|---|---|--------------------------------|
| 1. | The Subcontractor has a written policy statement prohibiting discrimination in all phases of employment. | YES
<input checked="checked" type="checkbox"/> | NO
<input type="checkbox"/> |
| 2. | The Subcontractor periodically conducts a self-analysis or utilization analysis of its work force. | YES
<input checked="checked" type="checkbox"/> | NO
<input type="checkbox"/> |
| 3. | The Subcontractor has a system for determining if its employment practices are discriminatory against protected groups. | YES
<input checked="checked" type="checkbox"/> | NO
<input type="checkbox"/> |
| 4. | Where problem areas are identified in employment practices, the Subcontractor has a system for taking reasonable corrective action to include establishment of goals or timetables. | YES
<input checked="checked" type="checkbox"/> | NO
<input type="checkbox"/> |

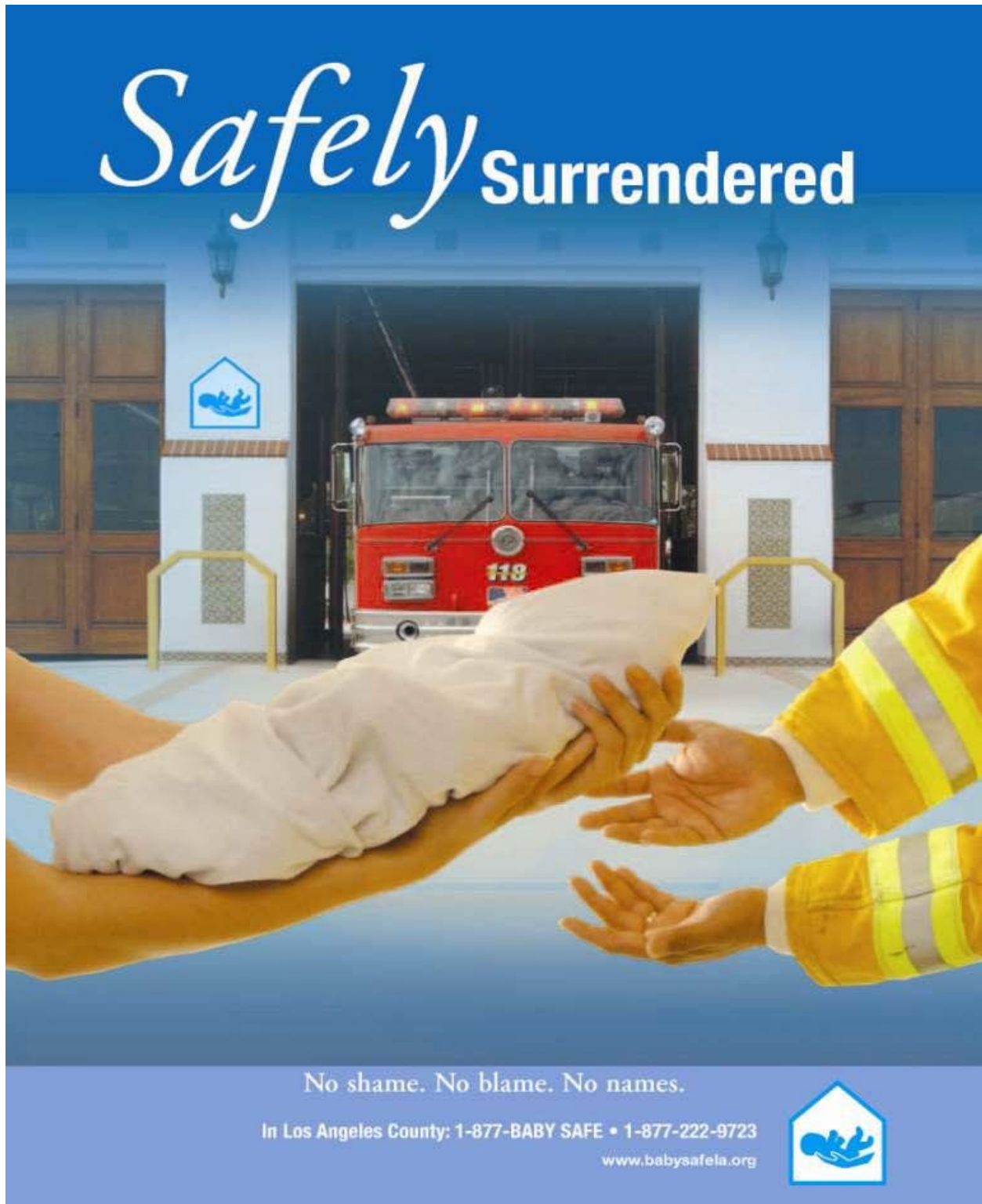
Printed Name

Signature

Date

EXHIBIT G

SAFELY SURRENDERED BABY LAW



Safely Surrendered Baby Law

What is the Safely Surrendered Baby Law?

California's Safely Surrendered Baby Law allows parents or other persons, with lawful custody, which means anyone to whom the parent has given permission to confidentially surrender a baby. As long as the baby is three days (72 hours) of age or younger and has not been abused or neglected, the baby may be surrendered without fear of arrest or prosecution.

In Los Angeles County: 1 877 BABY SAFE 1 877 222 9723
www.babysafela.org

How does it work?

A distressed parent who is unable or unwilling to care for a baby can legally, confidentially, and safely surrender a baby within three days (72 hours) of birth. The baby must be handed to an employee at a hospital or fire station in Los Angeles County. As long as the baby shows no sign of abuse or neglect, no name or other information is required. In case the parent changes his or her mind at a later date and wants the baby back, staff will use bracelets to help connect them to each other. One bracelet will be placed on the baby, and a matching bracelet will be given to the parent or other surrendering adult.

What if a parent wants the baby back?

Parents who change their minds can begin the process of reclaiming their baby within 14 days. These parents should call the Los Angeles County Department of Children and Family Services at 1-800-540-4000.

Can only a parent bring in the baby?

No. While in most cases a parent will bring in the baby, the Law allows other people to bring in the baby if they have lawful custody.

Does the parent or surrendering adult have to call before bringing in the baby?

No. A parent or surrendering adult can bring in a baby anytime, 24 hours a day, 7 days a week, as long as the parent or surrendering adult surrenders the baby to someone who works at the hospital or fire station.

Does the parent or surrendering adult have to tell anything to the people taking the baby?

No. However, hospital or fire station personnel will ask the surrendering party to fill out a questionnaire designed to gather important medical history information, which is very useful in caring for the baby. The questionnaire includes a stamped return envelope and can be sent in at a later time.

What happens to the baby?

The baby will be examined and given medical treatment. Upon release from the hospital, social workers immediately place the baby in a safe and loving home and begin the adoption process.

What happens to the parent or surrendering adult?

Once the parent or surrendering adult surrenders the baby to hospital or fire station personnel, they may leave at any time.

Why is California doing this?

The purpose of the Safely Surrendered Baby Law is to protect babies from being abandoned, hurt or killed by their parents. You may have heard tragic stories of babies left in dumpsters or public bathrooms. Their parents may have been under severe emotional distress. The mothers may have hidden their pregnancies, fearful of what would happen if their families found out. Because they were afraid and had no one or nowhere to turn for help, they abandoned their babies. Abandoning a baby is illegal and places the baby in extreme danger. Too often, it results in the baby's death. The Safely Surrendered Baby Law prevents this tragedy from ever happening again in California.

A baby's story

Early in the morning on April 9, 2005, a healthy baby boy was safely surrendered to nurses at Harbor-UCLA Medical Center. The woman who brought the baby to the hospital identified herself as the baby's aunt and stated the baby's mother had asked her to bring the baby to the hospital on her behalf. The aunt was given a bracelet with a number matching the anklet placed on the baby; this would provide some identification in the event the mother changed her mind about surrendering the baby and wished to reclaim the baby in the 14-day period allowed by the Law. The aunt was also provided with a medical questionnaire and said she would have the mother complete and mail back in the stamped return envelope provided. The baby was examined by medical staff and pronounced healthy and full-term. He was placed with a loving family that had been approved to adopt him by the Department of Children and Family Services.



Ley de Entrega de Bebés *Sin Peligro*



*Los recién nacidos pueden ser entregados en forma segura al personal
de cualquier hospital o cuartel de bomberos del Condado de Los Ángeles*

Sin pena. Sin culpa. Sin nombres.

En el Condado de Los Ángeles: 1-877-BABY SAFE • 1-877-222-9723

www.babysafela.org



Ley de Entrega de Bebés Sin Peligro

¿Qué es la Ley de Entrega de Bebés sin Peligro?

La Ley de Entrega de Bebés sin Peligro de California permite la entrega confidencial de un recién nacido por parte de sus padres u otras personas con custodia legal, es decir cualquier persona a quien los padres le hayan dado permiso. Siempre que el bebé tenga tres días (72 horas) de vida o menos, y no haya sufrido abuso ni negligencia, pueden entregar al recién nacido sin temor de ser arrestados o procesados.

Cada recién nacido se merece la oportunidad de tener una vida saludable. Si alguien que usted conoce está pensando en abandonar a un recién nacido, infórmele que tiene otras opciones. Hasta tres días (72 horas) después del nacimiento, se puede entregar un recién nacido al personal de cualquier hospital o cuartel de bomberos del condado de Los Angeles.

¿Cómo funciona?

El padre/madre con dificultades que no pueda o no quiera cuidar de su recién nacido puede entregarlo en forma legal, confidencial y segura dentro de los tres días (72 horas) del nacimiento. El bebé debe ser entregado a un empleado de cualquier hospital o cuartel de bomberos del Condado de Los Ángeles. Siempre que el bebé no presente signos de abuso o negligencia, no será necesario suministrar nombres ni información alguna. Si el padre/madre cambia de opinión posteriormente y desea recuperar a su bebé, los trabajadores utilizarán brazaletes para poder vincularlos. El bebé llevará un brazalete y el padre/madre o el adulto que lo entregue recibirá un brazalete igual.

¿Qué pasa si el padre/madre desea recuperar a su bebé?

Los padres que cambien de opinión pueden comenzar el proceso de reclamar a su recién nacido dentro de los 14 días. Estos padres deberán llamar al Departamento de Servicios para Niños y Familias (Department of Children and Family Services) del Condado de Los Ángeles al 1-800-540-4000.

¿Sólo los padres podrán llevar al recién nacido?

No. Si bien en la mayoría de los casos son los padres los que llevan al bebé, la ley permite que otras personas lo hagan si tienen custodia legal.

¿Los padres o el adulto que entrega al bebé deben llamar antes de llevar al bebé?

No. El padre/madre o adulto puede llevar al bebé en cualquier momento, las 24 horas del día, los 7 días de la semana, siempre y cuando entreguen a su bebé a un empleado del hospital o cuartel de bomberos.

¿Es necesario que el padre/madre o adulto diga algo a las personas que reciben al bebé?

No. Sin embargo, el personal del hospital o cuartel de bomberos le pedirá a la persona que entregue al bebé que llene un cuestionario con la finalidad de recabar antecedentes médicos importantes, que resultan de gran utilidad para cuidar bien del bebé. El cuestionario incluye un sobre con el sello postal pagado para enviarlo en otro momento.

¿Qué pasará con el bebé?

El bebé será examinado y le brindarán atención médica. Cuando le den el alta del hospital, los trabajadores sociales inmediatamente ubicarán al bebé en un hogar seguro donde estará bien atendido, y se comenzará el proceso de adopción.

¿Qué pasará con el padre/madre o adulto que entregue al bebé?

Una vez que los padres o adulto hayan entregado al bebé al personal del hospital o cuartel de bomberos, pueden irse en cualquier momento.

¿Por qué se está haciendo esto en California? ?

La finalidad de la Ley de Entrega de Bebés sin Peligro es proteger a los bebés para que no sean abandonados, lastimados o muertos por sus padres. Usted probablemente haya escuchado historias trágicas sobre bebés abandonados en basureros o en baños públicos. Los padres de esos bebés probablemente hayan estado pasando por dificultades emocionales graves. Las madres pueden haber ocultado su embarazo, por temor a lo que pasaría si sus familias se enteraran. Abandonaron a sus bebés porque tenían miedo y no tenían nadie a quien pedir ayuda. El abandono de un recién nacido es ilegal y pone al bebé en una situación de peligro extremo. Muy a menudo el abandono provoca la muerte del bebé. La Ley de Entrega de Bebés sin Peligro impide que vuelva a suceder esta tragedia en California.

Historia de un bebé

A la mañana temprano del día 9 de abril de 2005, se entregó un recién nacido saludable a las enfermeras del Harbor-UCLA Medical Center. La mujer que llevó el recién nacido al hospital se dio a conocer como la tía del bebé, y dijo que la madre le había pedido que llevara al bebé al hospital en su nombre. Le entregaron a la tía un brazalete con un número que coincidía con la pulsera del bebé; esto serviría como identificación en caso de que la madre cambiara de opinión con respecto a la entrega del bebé y decidiera recuperarlo dentro del período de 14 días que permite esta ley. También le dieron a la tía un cuestionario médico, y ella dijo que la madre lo llenaría y lo enviaría de vuelta dentro del sobre con franqueo pagado que le habían dado. El personal médico examinó al bebé y se determinó que estaba saludable y a término. El bebé fue ubicado con una buena familia que ya había sido aprobada para adoptarlo por el Departamento de Servicios para Niños y Familias.



EXHIBIT H
ADDITIONAL PROVISIONS

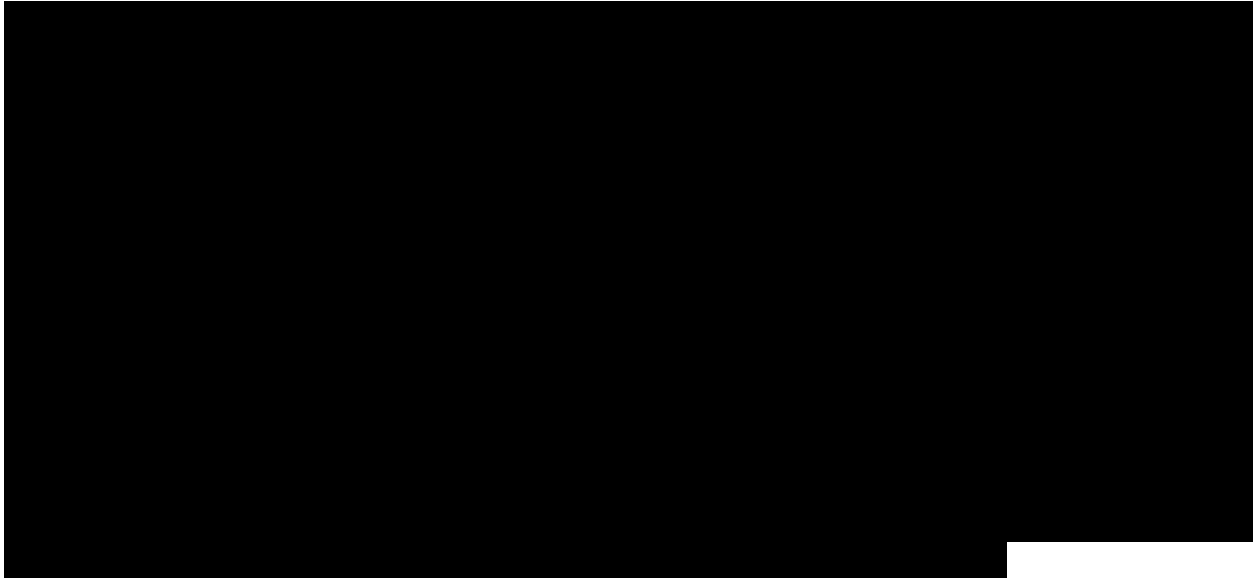
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Exhibit K.EX (Experian Modules Information Security
Requirements)
to the
Electronic Health Records System and Services Agreement

EXHIBIT K.EX

EXPERIAN MODULES INFORMATION SECURITY REQUIREMENTS



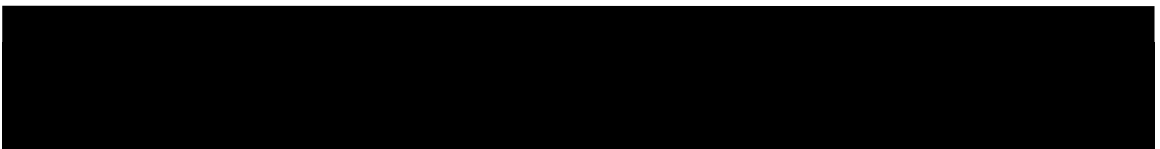
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6.

[REDACTED]

¹ Available at <http://www.csrc.nist.gov/>

² Available at <http://www.csrc.nist.gov/>

7.

8.

9.

10.

³ Available at <http://www.csrc.nist.gov/>



Exhibit N.EX (Experian Modules Additional Hosting Services
Terms and Conditions)
to the
Electronic Health Records System and Services Agreement

EXHIBIT N.EX

Experian Modules Additional Hosting Services Terms and Conditions

Cerner Corporation (“**Contractor**”) provides Hosting Services, as further described in Section 1(a) (Scope of Services) of Exhibit N.1 (Hosting Services). The County of Los Angeles (“**County**”) desires to obtain the Hosting Services from Contractor, on the condition that the provisions of this Exhibit N (Additional Hosting Services Terms and Conditions) are deemed a part of and incorporated by reference into the Electronic Health Records System and Services Agreement dated December 21, 2012 by and between Contractor and County (the “**Agreement**”). Unless specifically defined in this Exhibit, capitalized terms shall have the meanings set forth in the Agreement.

1. SERVICES

1.1 IN GENERAL

During the Term of the Agreement, Contractor shall provide County with the Hosting Services set forth in the Agreement, Exhibit N.1 (Hosting Services), and the Statements of Work. In providing the Hosting Services, Contractor shall achieve the Service Levels and performance standards set forth in Exhibit E (Service Levels and Performance Standards), the relevant Statements of Work, and this Agreement (collectively, the “**Service Levels**”).

1.2 ATTRIBUTION AND DISCLOSURES

County may, but is not required to, include such screen credits and/or disclosures for Contractor on the web site as County deems necessary or desirable in its sole discretion to distinguish and disclose Contractor’s role under the Agreement and as appropriate under applicable state and federal laws. Otherwise, County will be under no obligation to provide attribution to Contractor unless otherwise stated within an applicable Exhibit to the Agreement or a marking identifying the work as a copyrighted item. The content of any terms and conditions presented to users of the Services shall be controlled solely by County. In the event of a conflict between Contractor’s privacy policy, if any, and the Agreement, the provisions of this Agreement shall govern.

1.3 [INTENTIONALLY DELETED]

1.4 USE OF COOKIES ON THE SERVICE

Contractor shall not use “cookies” or any other online tracking technology for purposes of discovering the identity of any users (unless Contractor is specifically authorized hereunder to obtain such information) or tracking the activities of a user after they leave the Hosting Services. Information collected from cookies shall constitute County Confidential Information and shall be subject to the protections provided in Section 4 (Confidentiality) of this Exhibit N (Additional Hosting Services Terms and Conditions) and Section 19 (Confidentiality) of the Agreement. In no event shall such information be sold or otherwise made available to any third-party. Contractor shall use cookies solely for purposes of fulfilling its obligations hereunder. Contractor shall not use cookies from any third-party on its web site. A user’s refusal to accept a cookie shall not preclude that user from fully utilizing the functionality of the Hosting Services. For purposes of the Agreement, a “**cookie**” shall mean a block of data that a server on the World Wide Web

stores on a client system. When a user returns to the same web site, the browser sends a copy of the cookie back to the server for administrative purposes.

2. [INTENTIONALLY OMITTED]

3. ADDITIONAL WARRANTIES

The following language is to be added to Section 17.1 (Contractor's Warranties) of the Agreement in addition to the Warranties requirements in the Agreement.

3.1 NO DELIVERY OF SOFTWARE

Contractor represents and warrants that, in connection with Hosting Services, Contractor shall not deliver for installation on County's systems any software or programming, whether created or developed by Contractor or a third-party, except in connection with Contractor's provision of the Hosting Services or other Services under this Agreement.

3.2 ACCURACY OF RESPONSES TO CONTRACTOR QUESTIONNAIRE FOR DUE DILIGENCE PREPARATION

As of the Effective Date, Contractor represents and warrants all responses to County's Contractor Diligence and Information Security Questionnaire, attached as Exhibit Y (Contractor Diligence and Information Security Questionnaire) are true and correct and shall remain true and correct during the Term of this Agreement. In the event any Contractor response to the Contractor Diligence and Information Security Questionnaire is no longer true and correct, Contractor must, within ten (10) Business Days of learning of such change in circumstance, notify County in writing of the specific response at issue and the details relating to the change in circumstance.

3.3 SERVICES NOT TO BE WITHHELD OR SUSPENDED

Contractor represents and warrants that, provided County continues to timely make all undisputed payments, during the Term of this Agreement, Contractor will not withhold or suspend Hosting Services provided hereunder, for any reason, including but not limited to a Dispute between the Parties arising under this Agreement.

4. CONFIDENTIALITY

The following language is to be added to Section 19 (Confidentiality) of the Agreement in addition to the confidentiality requirements in Agreement.

4.1 SOLICITATION OF COUNTY USERS

During the Term of the Agreement and thereafter in perpetuity, Contractor agrees not to use Personal Data, whether directly or indirectly, to target or solicit County users or those of its subsidiaries, affiliates, and joint ventures, as such, on behalf of itself or any third-party, including but not limited to, on behalf of entities that provide healthcare related services in direct competition with County or commit any other act, or assist others to commit any other act, which might injure the business of County. Contractor agrees that it will not use or sell to others lists containing information obtained in connection with this Agreement about any County

users. Nothing contained herein shall preclude Contractor from providing services to any County user who independently contacts Contractor, who is responding to a general solicitation of Contractor, or is contacted by Contractor based on information independently derived by Contractor.

4.2 **COUNTY DATA**

For the avoidance of doubt, all County Data shall be treated by Contractor as Confidential Information under this Agreement even if such County Data, or portions thereof, would otherwise fall under one or more of the foregoing exceptions.

5. SECURITY

The following language is to be added to Section 20 (Security) of the Agreement in addition to the security requirements in the Agreement.

5.1 **STORAGE OF PERSONAL DATA**

All Personal Data must be stored in a physically and logically secure environment that protects it from unauthorized access, modification, theft, misuse, and destruction. In addition to the general standards set forth above, Contractor will maintain an adequate level of physical security controls over its facilities including, but not limited to, appropriate alarm systems, fire suppression, access controls (including off-hour controls) which may include visitor access procedures, security guard force, video surveillance, and staff egress searches. Further, Contractor will maintain an adequate level of data security controls, including, but not limited to, logical access controls including user sign-on identification and authentication, data access controls (e.g., password protection of your applications, data files, and libraries), accountability tracking, anti-virus software, secured printers, restricted download to disk capability, and provision for system backup.

6. [INTENTIONALLY DELETED]

7. DISASTER RECOVERY AND BUSINESS CONTINUITY

The following language is to be added to the Section 22 (Disaster Recovery/Business Continuity) of the Agreement.

7.1 **DISASTER RECOVERY AND BUSINESS CONTINUITY PLAN**

Contractor shall establish, implement, and maintain business continuity, recovery, and disruption avoidance procedures for those facilities where the Hosting Services will be performed and for the personnel performing the Services that conform with the Business Continuity Guidelines as described in Exhibit N.3 (Business Continuity Guidelines). Contractor shall provide County with a written summary of its DR/BC Plan as Exhibit N.2 (Disaster Recovery Plan and Business Continuity Plan Summary) and all updates thereto during the Term of this Agreement. Any future updates or revisions to the DR/BC Plan, processes, and procedures shall be no less protective than the DR/BC Plan in effect as of the Effective Date. In addition to the requirements stated in this Section 7 (Disaster Recovery and Business Continuity), Exhibit N.3 (Business Continuity Guidelines), any recovery-specific addendums provided by County that

reference this Agreement or the relevant Statements of Work may provide additional detailed specifications for recovery as appropriate to County's requirements.

The Contractor Primary Data Center and Contractor Secondary Data Center facilities consist of multiple data centers each of which are discrete areas and entirely housed within a larger facility (buildings within a building). The Contractor Primary Data Center and Contractor Secondary Data Center:

- Are housed in facilities that are designed, built, and maintained according to the FEMA P-361 standard (Design and Construction Guidance for Community Safe Rooms), which defines a safe haven required to survive an EF-5 tornado event;
- Utilize raised floor ventilation systems;
- Utilize hundreds of floor, ceiling, and ventilation duct sensors that trigger fire suppression systems with an HFC125 dry agent and a secondary backup pre-action dry pipe sprinkler system;
- Contain dedicated power utility services necessary to maintain operations of the Hosting Environment, including electrical service and components (e.g., utility transformers serving the building and fuel storage to run emergency generators);
- Contain the telecommunications network cable rooms necessary to maintain operations of the Hosting Environment;
- Contain the Contractor's production support Immediate Response Center ("IRC") and Contractor's Critical Facilities Engineering team;
- Utilize exterior walls that are made of steel reinforced concrete (a minimum one (1) foot thick); and
- Utilize system of grating, tested to satisfy the FEMA-P361 standard (Design and Construction Guidance for Community Safe Rooms), to protect the air exchange portions of the roof that cover the chilled water systems and generator farms.

Further facility details regarding the Contractor Primary Data Center and Contractor Secondary Data Center are maintained on Contractor's controlled document. Contractor agrees to refresh and improve the Contractor data centers during the Term of this Agreement in a manner, determined by Contractor that is consistent with recognized and accepted standards for such facilities.

In the event of an unplanned interruption of the Hosting Services, Contractor's alternate data center will be invoked, with production computing systems being recovered first, followed by non-production computing systems. In an unplanned interruption of the Hosting Services, Contractor will use reasonable efforts to recover County systems as quickly as possible.

In the event of an unplanned interruption of the Hosting Services, Contractor's emergency response team will be mobilized. The EHR System backups will be used to recover the production Hosting Services in the Contractor Secondary Data Center, equipment (e.g., servers, storage) will be provisioned as quickly as possible, and recovery of County's production Hosting Services will begin. As the County's recovery processes complete, County will be notified to begin testing the recovered Hosting Services in preparation to return the Hosting Services to the end-users.

7.2 PLAN AUDIT

Contractor shall have an annual audit performed of its DR/BC Plan, and shall provide County with a summary of: (a) the results of the audit report, and (b) the corrective actions or modifications, if any, Contractor will implement in response to the audit.

7.3 PLAN TESTING

On at least an annual basis, Contractor shall test its DR/BC Plan, including activation of its backup facilities and capabilities, and review and update the DR/BC Plan accordingly.

7.4 [INTENTIONALLY DELETED]

7.5 RECOVERY TIME REQUIREMENT

The Contractor Hosting Environment (commonly referred to by Contractor as the “Cerner Technology Center”) consists of a Contractor Primary Data Center and a Contractor Secondary Data Center. In an unplanned interruption of the Hosting Services, Contractor will use reasonable efforts to recover the Hosting Services as quickly as possible.

7.6 CONTRACTOR SECONDARY DATA CENTER

As of the Effective Date, Contractor shall have a Secondary Data Center in an alternate location deemed to be geographically dispersed. The Contractor Secondary Data Center shall not be located on the same electrical power grid or same telecommunications lines or the same: (a) floodplain, (b) line of prevailing weather patterns, (c) earthquake fault zone, or (d) tsunami susceptible coastal region as the Contractor Primary Data Center. Contractor shall ensure the recovery site will be properly equipped with sufficient backup generators dedicated for the Contractor’s use to support all Services, with the amount of fuel on-site that will enable the site to operate for thirty-four (34) hours or whatever the local maximum fuel storage regulations will allow. Contractor shall provide a written confirmation that it has in place written agreements with primary and backup local fuel service providers to ensure uninterrupted replenishment of Contractor’s supplies. Contractor shall provide written confirmation that its local fuel suppliers are not dependent on public commercial power in order to fulfill this requirement. Contractor is committed to continuous operation of the Hosting Environment including fuel for its redundant generators, however, the specific generator load capacity in the event of an outage is dependent on the conditions and cannot be specifically identified. Contractor shall ensure that the DR/BC Plan and recovery processes and procedures support relocation of Hosting Services performed to the recovery site to meet the requirements of this Agreement and all applicable Hosting Service Levels.

7.7 [INTENTIONALLY DELETED]

7.8 BACKUP COPIES

Contractor shall create daily backup copies of all County Data and other work related to the Services and shall transmit (either electronically or via physical backup media) such copies to a backup facility each day such that the maximum data loss from the complete loss of the primary facility is no more than twenty-six (26) hours. The backup facility must be in a secured and accessible location that is geographically dispersed from the primary facility.

7.9 ALTERNATE SITES OR STORAGE FACILITIES

Contractor shall ensure that the provisions for information security, physical security, and information privacy specified in this Agreement are implemented at any alternate or backup site or storage facility and for any information transmitted between the primary site and alternate sites or storage facilities.

7.10 RIGHT TO TERMINATE

In the event Contractor fails to develop the foregoing recovery site and continuity practices described within this Section 7 (Disaster Recovery and Business Continuity) within the prescribed time, County may, in its sole discretion, terminate this Agreement without further obligation, including payment of any stranded costs.

7.11 FORCE MAJEURE NOT APPLICABLE

The provisions of Section 32.1 (Force Majeure) of the Agreement relating to events of force majeure shall not relieve Contractor of its obligations under this Section 7 (Disaster Recovery and Business Continuity).



Exhibit N.1.EX (Experian Modules Hosting Services)

to the

Electronic Health Records System and Services Agreement

EXHIBIT N.1.EX

EXPERIAN MODULES HOSTING SERVICES

This Exhibit, and any Statements of Work, describe the Hosting Services the Contractor shall provide to County. Except as provided in this Exhibit, capitalized terms shall have the meanings set forth in the body of the Agreement and Exhibit G (Glossary).

1. SCOPE OF SERVICES

- (a) Contractor shall provide and maintain all Services necessary to host the Licensed Software from the Hosting Environment such that the EHR System shall perform as defined herein, and in accordance with the Specifications, and otherwise in accordance with this Agreement (“**Hosting Services**”).
- (b) Contractor shall provide Hosting Services on a 24x7x365 basis. County personnel must have the ability to submit Support Requests on a 24x7x365 basis for Hosting Services.
- (c) Contractor shall maintain a Hosting Environment to support the Licensed Software as to the Version(s) being utilized by County in accordance with Section 9.7.2 (Contractor’s Revisions) of the Agreement).

2. OPERATIONS AND HOSTING SERVICES

2.1 HOSTING HARDWARE MAINTENANCE

- (a) Contractor shall schedule and perform maintenance, including preventive maintenance of Hosting Hardware, including, but not be limited to, the repair or replacement of all (i) non-functioning or under-performing Hosting Hardware or (ii) Hosting Hardware no longer supported by its manufacturer and used by Contractor for hosting the Licensed Software, in order to maintain the Hosting Service Levels and compatibility with the Licensed Software, and any Revisions to the Licensed Software, and/or Interfaces.
- (b) Based on Hosting Hardware platforms recommended by Contractor, Contractor shall maintain compatibility of the Hosting Services and Licensed Software with new Hosting Hardware, Hosting Software, including firmware, operating system software versions, database software versions, Third-Party Products, and configurations. Contractor shall provide quality assurance, testing processes, and take corrective action in collaboration with County personnel to ensure any Licensed Software and Revisions to the Licensed Software are suitable for release. Contractor will provide application upgrades, releases, versions, etc., for all Hosting Software.

2.2 PREVENTATIVE MAINTENANCE

Contractor shall create a schedule of required preventative maintenance tasks for the Hosting Environment to ensure that the Hosting Environment and all components thereof are functioning in accordance with this Agreement. Such preventative maintenance tasks include, but are not limited to, the following:

- (a) Updates, Releases, Enhancements, and Versions for Licensed Software, Interfaces, and Hosting Revisions for Hosting Software; and
- (b) review of Error and other logs to ensure any maintenance required to correct any Errors and restore the Hosting Environment to normal operations is detected and performed in a timely manner and that such information is used to anticipate Errors and make proactive Hosting Error Corrections.

3. HOSTING ENVIRONMENT

Without limiting the Contractor's responsibilities described herein or otherwise in the Agreement, Hosting Services shall include the provision of a Hosting Environment to perform in accordance with the Specifications and Hosting Service Levels and shall include the following:

3.1 TECHNICAL ENVIRONMENT

- (a) The Hosting Environment shall include redundant system components, including:
 - Network load balancers, web Servers, application Servers, and database Servers in a redundant configuration as applies to all Production domains;
 - LAN/WAN infrastructure, including networking equipment for an enterprise class data center LAN, networking equipment for connection to circuits to County facilities, connection cabling, and required peripherals; and
 - Storage Area Network ("**SAN**") using Redundant Array of Independent Disk ("**RAID**") and multiple data paths for storing County's data.
- (b) The Hosting Environment shall include, and Contractor shall maintain, separate domains for build, test/certification, mock/staging, training, and production. The test/certification environment shall be used to validate all Revisions to the Licensed Software and all Hosting Revisions to the Hosting Software. More than one (1) non-production domain may live on the same hardware server.

3.2 PHYSICAL ENVIRONMENT

The Hosting Environment shall include all necessary facilities and redundant Mechanical, Electronic, and Plumbing ("**MEP**") components:

- (a) Electrical power infrastructure, including utility-provided electrical power, diesel generators built to support N+2 availability, an on-site fuel supply adequate to support the critical and essential load for at least thirty-four (34) hours, backup local fuel delivered by service providers to ensure uninterrupted fuel replenishment, Uninterruptible Power Supplies ("**UPS**") designed to support N+1 availability until generators are online in the event of a disruption of utility-provided power, UPS batteries, Power Distribution Units ("**PDUs**"), emergency power off systems, hydrogen sensors, power supplies, transfer switches, load banks, breaker panels, and copper cabling;

- (b) Heating, ventilation and air conditioning (“HVAC”) systems built to support N+1 availability to ensure optimal cooling to building infrastructure and all equipment locations, including ductworks, computer room air conditioners (“CRAC”) units, condensers, cooling towers, thermostat sensors, hot and cold aisle distribution systems, and humidification systems;
- (c) Plumbing systems for the routing of cabling, air, water, and fire suppression gasses;
- (d) Fire protection systems, including detection and abatement systems, “cross zoned” heat detectors, fire panels, deluge systems, and gaseous system, designed in accordance with industry best practices and all National Fire Protection Association codes and standards;
- (e) Raised floor systems, component racks, and cabinets; and
- (f) Internet and other telecommunications connections delivered into secured, separate environments to provide multiple distribution paths.

3.3 PHYSICAL SECURITY ENVIRONMENT

The Hosting Environment shall include all necessary facilities and redundant Mechanical, Electronic, and Plumbing (“MEP”) components:

- (a) Contractor shall maintain County’s Hosting Environment in Statement on Standards for Attestation Engagements (“SSAE”) 16 certified facilities, or facilities of successor certification, with, as to each Data Center:
 - Access controlled through documented procedures;
 - 24x7x365 security and technical engineering staff;
 - Physical access which requires government-issued picture identifications for access validation and multi-factor authentication for floor access;
 - Video surveillance monitoring on a 24x7x365 basis; and
 - Access monitored through internal management and logging systems.
- (b) Contractor’s physical environments shall be governed by strict Access Control Lists (“ACL”) for physical access to the environments. All data and storage cabinets will be contained within Contractor’s Data Centers with access only granted to those with a related job responsibility. Both Contractor’s Data Centers and the facilities in which they are housed are secured with locks that require proximity cards for physical access.
- (c) Contractor shall maintain comprehensive security policies, procedures, and controls to govern, support, and secure the Hosting Environment. Security policies and procedures shall be reviewed and updated on a regular basis. Contractor’s security management controls shall be reviewed by an independent third-party firm, on an annual basis, following SSAE 16 or successor certification, guidelines, and format.

3.4 HOSTING ENVIRONMENT SECURITY

Contractor shall use secure technology to protect County Data, Personal Data, and other Confidential Information of County and the users of the Hosting Services in its storage and transmission between the user and the Hosting Environment, which shall include the following:

- (a) Entrust Secure Socket Layer (“**SSL**”) signed certificates using a minimum 128 bit encryption. Internet Protocol Security (“**IPsec**”) VPN Access into the Hosting Environment is controlled either by Contractor’s Aventail or Nortel VPN solutions with a minimum of 168 bit Triple Data Encryption Standard (“**3DES**”).
- (b) A network structure protected by redundant clustered firewalls and monitored with intrusion prevention systems. All security systems shall be from leading security industry vendors, implemented in conjunction with Contractor’s third-party security firms, and validated by Contractor’s separate third-party vulnerability/penetration testing firms. The firewall logs shall be reviewed weekly and analyzed proactively by enterprise security management systems to identify security threats. The Hosting Environment shall be safeguarded using Network Address Translation (“**NAT**”), Internet Protocol (IP) masquerading, port redirection, non-routable IP addressing and ACL’s, multi-factor authentication, and management network segregation.
- (c) Background investigations will be performed in accordance with Contractor’s policies and procedures for all Contractor Personnel performing work at Contractor’s sites under this Agreement. All Contractor’s hosting and support staff shall go through security and privacy training prior to being provided physical access to the Contractor Primary Data Center or Contractor Secondary Data Center.
- (d) Multi-factor devices to access managerial functionality within the environment for administrative access. All user access shall be monitored and managed by the Contractor’s security/compliance department. All Servers, Hosting Hardware devices, software applications, user accounts, security devices, and technical services shall be fully audited and managed in real time by enterprise management and notification systems. Any account, physical, environmental, or security change shall be immediately identified and trigger a notification to all Contractor hosting and security staff. Contractor’s enterprise management systems shall immediately provide an ISO compliance dashboard showing full compliance status with all applicable environmental controls.
- (e) The maintenance of security by restricting access points to all production environments. Strong password rules shall be enforced and the Hosting Environment shall be constantly updated to the vendor-recommended patch levels for security. The Hosting Environment shall be hardened by disabling any non-critical ports, users, protocols, and processes, following vendor’s “best practice” recommendations for security. All environmental operating systems access shall require multi-factor authentication.
- (f) Contractor conducts biannual business risk management reviews, in which it identifies and documents business risks/hazards/threats; determines cause, effect, probability

and impact; identifies one or more mitigating activities; determines residual risks; and assigns a risk index. Contractor's approach to risk management is based on ISO 27001.

- (g) Extensive change management policies, procedures, and controls. All non-routine environment changes shall require approvals, extensive testing, and full documentation prior to being implemented within the Hosting Environment.
- (h) Extensive incident management and monitoring procedures for the Hosting Environment. Contractor shall notify County of any attacks, service interruption, or threatened or suspected breach of security against the Servers and/or Hosting Services in accordance with the requirements of this Agreement, Exhibit E (Service Levels and Performance Standards), and Exhibit F (Business Associate Agreement).

3.5 HOSTING REVISIONS

- (a) Contractor shall implement Hosting Revisions in the Hosting Environment on a regular basis, provided Contractor shall not knowingly implement such Hosting Revisions if the Hosting Revisions could adversely impact performance of the EHR System without direct coordination with the County Project Manager.
- (b) Other than the Hosting Services fee, there shall be no other change or cost to County associated with Hosting Revisions.
- (c) Any Hosting Revisions are expected to comply with federal and state laws and regulations at no additional cost over the monthly Hosting Services fee for Hosting Services under the Agreement.
- (d) Contractor shall provide County with Hosting Revisions, revised related Documentation, and, if necessary, modified procedures, to correct any failure of the Hosting Environment to operate in accordance with the Specifications.

3.6 HOSTING HARDWARE REFRESH SERVICES

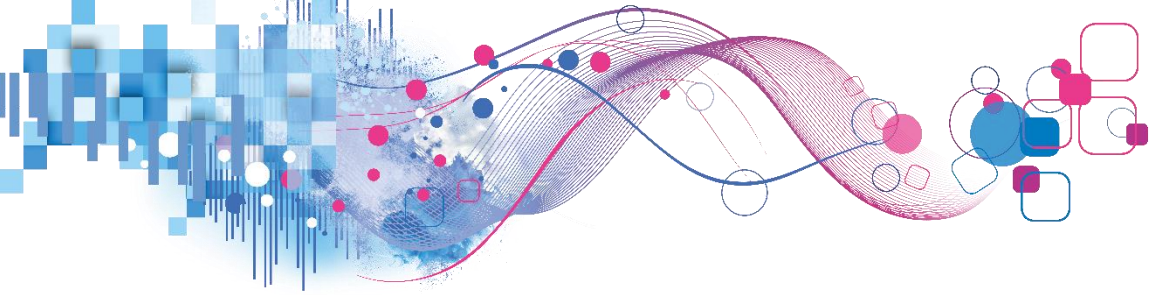
Throughout the Term, Contractor shall review at least once every twelve (12) calendar months the performance of the Hosting Environment to determine the need for Refresh Services to the Hosting Hardware currently being used to provide the Hosting Services. Contractor shall provide all Hosting Services required to implement this Section 3.6 (Hosting Hardware Refresh Services) at no additional charge to County except to the extent included in Exhibit C (Fees; Contractor Professional Services Rates) or as otherwise approved in a Statement of Work. Contractor will upgrade and replace all Hosting Hardware in accordance with (a) the technical architecture and standards and timeframes required pursuant to any Statement of Work, and (b) as otherwise required to deliver the Hosting Services in accordance with this Agreement. The Services provided pursuant to this Section 3.6 (Hosting Hardware Refresh Services) are collectively referred to as "**Refresh Services**" and require County Approval prior to implementation.



EXHIBIT N.2.EX (EXPERIAN MODULES DISASTER RECOVERY PLAN AND
BUSINESS CONTINUITY PLAN SUMMARY)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT



Business Continuity North America Summary March 2021

General Statement



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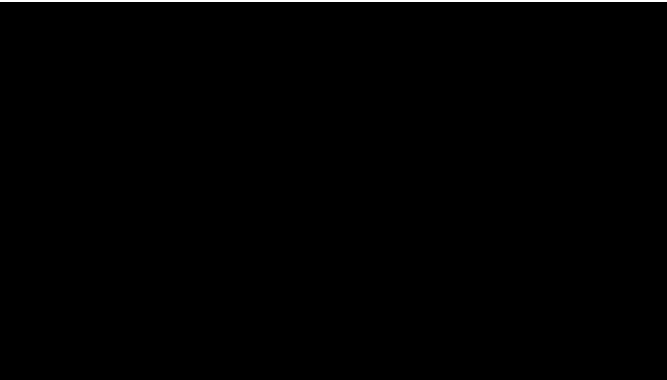
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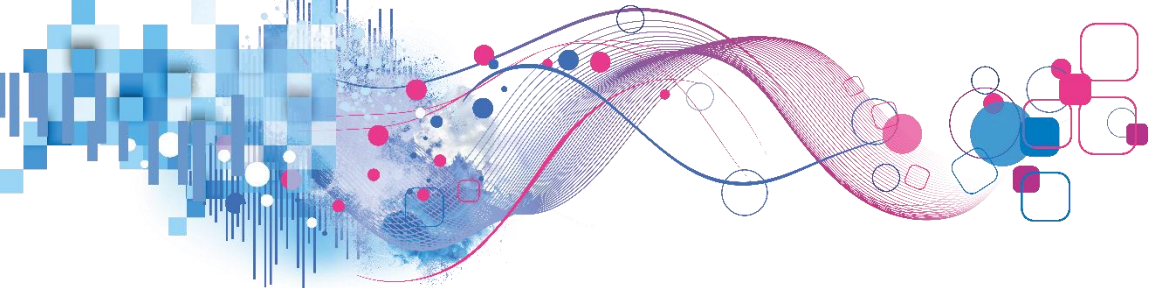




EXHIBIT N.3.EX (EXPERIAN MODULES BUSINESS CONTINUITY GUIDELINES)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT



EXHIBIT Y.EX (EXPERIAN MODULES SAAS VENDOR SECURITY PRIVACY
ASSESSMENT)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT



Software-as-a-Service (SaaS) Vendor Security and Privacy Assessment

Version 1.0

References: 6.100 – Information Technology and Security Policy
6.107 – Information Technology Risk Assessment
6.108 – Auditing and Compliance

Countywide Information Security Strategic Plan

Developed by: Countywide Application Security Engineering Team

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1.0 Purpose

This document will be used to evaluate and compare the vendors' information security and privacy postures but is not limited to assisting in the award of a contract.

2.0 Scope

This document will provide a baseline for the evaluation of a vendor hosted and maintained application and to determine the vendor's overall security and privacy posture.

3.0 Definitions

Software as a Service (SaaS) is a software distribution model in which applications are hosted by a vendor or service provider and made available to customers over the Internet.

SSAE 16, or Statement on Standards for Attestation Engagements 16, is a reporting standard for all service auditors' reports. It is a regulation created by the Auditing Standards Board (ASB) of the American Institute of Certified Public Accountants (AICPA) for redefining and updating how service companies report on compliance controls. SSAE 16 consists of SOC1, SOC2, and SOC3 reports.

4.0 SaaS Vendor Security & Privacy Assessment

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4.1.3	Are you covered by Cyber Security Liability Insurance?	████	██████████████
4.1.4	Is there one person assigned to lead, manage and be accountable for security? Is that person at least at a director level?	████	██████████
4.1.5	Does your company comply with a recognized information security management framework, for example, ISO 27000 series, NIST 800 series, etc.?	████	<div>██████████████████</div> <div>██████████████████</div> <div>██████████████████</div> <div>██████████████████</div> <div>██████████████</div> <div>██████████████████</div> <div>██████████████</div> <div>██████████████████</div> <div>██████████████</div> <div>██████████████████</div> <div>██████████████</div> <div>██████████████████</div> <div>██████████████</div> <div>██████████████████</div> <div>██████████████</div>

4.1.6	Is there a security awareness training program in place for all employees? Describe the program and frequency of re-certification and/or re-education.		
4.2.0	Hosting Environment		
4.2.1	Do you separate your environments from each other, physically and logically (e.g., development, quality assurance, user acceptance testing, staging, production, training environments)?		
4.2.2	Is there a Host Intrusion Prevention (HIPS) or Detection (HIDS) system implemented on your servers?		

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4.2.3	Is there a Network Intrusion Prevention (NIPS) or Detection (NIDS) system implemented for your internal network?	<div></div>	
4.2.4	Is there a perimeter firewall in place?	<div></div>	
4.2.5	Is there a web application firewall (WAF) in place?	<div></div>	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>

No.	SaaS Security & Privacy Assessment	Vendor Response	Exceeds, Met, or Not Met (Description required with feedback)
4.2.6	Is there a security event and information management (SEIM) system in place?	<div></div>	<div></div> <div></div> <div></div> <div></div>

			[REDACTED]
4.2.7	Are formalized change management procedures in place, including adequate separation of duties?	■	[REDACTED]

			<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
4.2.8	Are physical access controls in place to ensure appropriate access to IT resources in the hosted environment and, at the minimum, consistent with NIST Special Publication 800-14?	■	
4.3.0	Audit and Compliance		
4.3.1	Are you required to comply with any regulations and legislations? Which one(s)? (e.g., HIPAA/HITECH, PCI)	■	
4.3.2	Do you possess one or more third-party certifications/attestations, some examples are: 1) PCI 2) SSAE 16 Service Organization Control (e.g., SOC Type 2 Attestation) Please provide an executed copy.	<div></div> <div></div>	<div></div> <div></div>
4.3.3	How often are IT security audits performed?	■	
4.3.4	What types of audits (e.g., penetration (blind and intelligent), vulnerability, and compliance) are performed?	■	<div></div> <div></div>

[illegible]

			██████████ ██████████
4.3.5	Who performs these audits (e.g., third-party, internal, or both)?	████	████████████████
4.4.0	Data Access, Segregation, Encryption, and Destruction		
4.4.1	Is AES-256 encryption or stronger used for all data in storage and consistent with NIST Special Publication 800-57?	████	██████████ ████████████████ ██████████████ ████████████ ████████████ ████████████████ ██████████████ ████████████████ ████████████████ ██████████████ ████████████ ██████████ ████████████████ ████████████████ ██████████████ ██████████████ ████████████ ████████████ ████████████ ████████████
4.4.2	Is AES-128 encryption or stronger used for all data in transit and consistent with NIST Special Publications 800-52 and 800-57?	████	████████████ ████████████ ██████████ ████████████ ████████████

			[REDACTED]
4.4.3	Is backup media encrypted? If so, please describe how it is achieved.	[REDACTED]	[REDACTED]

[illegible]

No.	SaaS Security & Privacy Assessment	Vendor Response	Exceeds, Met, or Not Met (Description required with feedback)
4.4.4	Are encryption keys centrally managed and consistent with NIST Special Publication 800-57?	████	
4.4.5	Is a dedicated environment available for storage of customer data?	████	
4.4.6	If it is a shared environment, how is the customer data segregated from other shared environments?	████	
4.4.7	Are role-based access controls defined for the infrastructure, hardware, software, and data?	████	
4.4.8	Do you have a documented methodology for data backup?	████	
4.4.9	Do you have a documented data destruction process for customer data, including storage media?	████	
4.5.0	Application Security		
4.5.1	Describe your application’s architecture and the different tiers.		████████████████████ ████████████████████
4.5.2	Describe your coding practices.		████████████████████ ██████ ████████████████████ ████████████████████ ██████████ ████████████████████ ████████████████████ ██████ ████████████████████ ████████████████████

			<div>████████████████████</div> <div>████████████████████████████</div> <div>██████</div> <div>██████████████████</div> <div>████████████████████████</div> <div>██████████████</div> <div>██████████████████</div>
4.5.3	Do you incorporate best practices and recommendations provided in the OWASP Developer's Guide and OWASP Cheat Sheet Series to implement and enhance your secure software engineering?	■	
4.5.4	Do you perform web application vulnerability testing/scanning (e.g., static, dynamic)?	■	
4.5.5	If no, is it being performed by a third-party vendor?	■	
4.5.6	Do you have documented procedures for the scanning (e.g., frequency, by whom, remediation)?	■	
4.5.7	What authentication mechanisms are supported?		<div>■ ██████████</div> <div>██████████████████</div> <div>████████████████████████</div> <div>■ ███████████████████</div> <div>██████</div>
	Are password complexity, lifetime, and history settings configurable by the customer?	■	
4.5.8	Can the SaaS application be integrated with an existing Identity Management system?	■	
4.5.9	Is two-factor (i.e., multi-factor) authentication supported?	■	

No.	SaaS Security & Privacy Assessment	Vendor Response	Exceeds, Met, or Not Met (Description required with feedback)
4.5.10	What Type of cookies are used (i.e., persistent or non-persistent)?	██████████	
4.5.11	Is there any confidential information stored in the cookie?	██	
4.5.12	Do you have user audit trail capabilities for: <ul style="list-style-type: none"> All user transactions Successful/unsuccessful user logons (e.g., date, time, IP address) <input type="checkbox"/> Changes to user access 	██	
4.5.13	Does the application or service provide appropriate role-based access?	██	
4.5.14	Does the application or service provide adequate monitoring and escalation via dashboard alerts, email, or other auditable system of communication?	██	
4.5.15	Do you offer API access?	██	
4.5.16	Are API unit calls authenticated (OAuth) and encrypted (128-bit or greater)?	██	
4.6.0	Incident Response Management		
4.6.1	Do you have a documented Incident Response Plan?	██	
4.6.2	Do you have an established computer incident response team?	██	
4.6.3	Is the Incident Response Plan tested? How often?	██	
4.6.4	Do the incident response team members have clearly defined roles and responsibilities?	██	
4.6.5	Will your response team be open to enhance the Service Level Agreement in case of a potential data breach/data compromise?	██	
4.6.6	Is there a formal process/procedure in place for notifying customers when a suspected or actual breach occurs?	██	
4.6.7	Do you provide investigative support in case of a breach? What type?	██	
4.6.8	Do you provide periodic updates on the application status if a breach occurs? How often?	██	

Page 17 of 18

	4) Duration?	■	
	5) Time to recover?	■	
	6) Number of customers impacted?	■	
4.7.6	How many outages or failures have you experienced in the past 13 and 36 months?	■	



EXHIBIT CC.EX (EXPERIAN MODULES ENTERPRISE BACK-UP POLICY)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT CC.EX

EXPERIAN MODULES ENTERPRISE BACK-UP POLICY

This Exhibit CC.EX (Experian Modules Enterprise Back-Up Policy) is an attachment and addition to the Electronic Health Records System and Services Agreement, Agreement No. H-705407, by and between the County of Los Angeles ("**County**") and Cerner Corporation ("**Contractor**"), with an Effective Date of December 21, 2012 (the "**Agreement**") as amended, and is incorporated into the Agreement by reference hereof. Unless specifically defined in this Exhibit, capitalized terms shall have the meanings set forth in the Agreement.

1. EXPERIAN MODULES HOT BACKUPS

Contractor shall maintain, throughout the Term of the Agreement as part of the Hosting Services, two (2) back up instances of the Experian Modules that do not require system downtime to failover to in the event of an outage of Contractor's primary Hosting Services environment ("**Hot Backups**"). The Hot Backups shall be synchronized on an ongoing basis with Contractor's primary Hosting Services environment such that when any County Data is transmitted, stored, or processed within Contractor's primary Hosting Services environment, the Hot Backups shall be synchronized in near real-time to reflect such transmission, storage, or processing of County Data. Contractor shall employ "redo logs" or other mechanisms to preserve the integrity of County Data to address standard risks associated with hot backups (e.g., data inconsistency in connection with data that is altered while synchronization activities are in progress). In the event of an outage of Contractor's primary Hosting Services environment, the Experian Modules shall continue to be provided to County by Contractor using one of the Hot Backups. In the event of outages of both Contractor's primary Hosting Services environment and one of the Hot Backups, the Experian Modules shall continue to be provided to County by Contractor using the remaining Hot Backup.

2. EXPERIAN MODULES COLD BACKUPS

In addition to providing the Hot Backups as described in Section 1 (Experian Modules Hot Backups), Contractor shall periodically perform offline backups of the Experian Modules ("**Cold Backups**") such that (1) in no event shall there be data loss in excess of forty-eight (48) hours in connection with any Outage or other loss of Contractor's primary Hosting Services environment and both Hot Backups; and (2) in no event shall the restoration of the Hosting Services from the beginning of any Outage exceed forty-eight (48) hours.



EXHIBIT CC.EX (EXPERIAN MODULES ENTERPRISE BACK-UP POLICY)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT CC.EX

EXPERIAN MODULES ENTERPRISE BACK-UP POLICY

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]



EXHIBIT NN (TRANSACTION-BASED PRODUCT REPORTS)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

EXHIBIT NN

TRANSACTION-BASED PRODUCT REPORTS

The following Exhibits are attached to and incorporated by reference in this Exhibit NN (Transaction-Based Product Reports):

- Exhibit NN.1 (Standard Eligibility Response Report)
- Exhibit NN.2 (Enhanced Eligibility Response Report)
- Exhibit NN.3 (Coverage Discovery Response Report)



EXHIBIT NN.1 (STANDARD ELIGIBILITY RESPONSE REPORT)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

Todays Trx Statistical Eligibility Report for 02/04/2020 to 02/04/2020Total Records Qualified: **13204**Date Generated: **Tuesday, February 04, 2020 14:17:29 PM****Summary of Report Request Filters**From Date: **02/04/2020**To Date: **02/04/2020**Batch Options: **Exclude Batch Transactions**Environment: **Production Only****Payer**

6214:	1
8547:	10
8584:	5
AARP:	751
AETNA:	1268
BCBS CONNECTICUT:	1803
CIGNA:	683
CONNECTICARE:	342
CONNECTICARE MEDICARE:	67
CONNECTICARE MEDICARE VIP - EMBLEM HEALTH:	34
EMPIRE:	8
GREAT WEST HEALTH PLAN:	11
HARVARD PILGRIM HEALTH CARE:	62
HUMANA:	3
MAGNACARE:	15
MEDICAID CONNECTICUT:	2115
MEDICAID NEW YORK:	6
MEDICARE PART A:	4291
MERITAIN HEALTH:	27
MUTUAL OF OMAHA:	5
MVP HEALTH:	23
OXFORD HEALTH PLAN:	395
TRICARE EAST:	14
TRICARE FOR LIFE:	44
TRICARE WEST:	7
UMR WAUSAU:	46
UNITED HEALTH GROUP:	1133
VA FEE BASIS:	11
WELLCARE HEALTH PLAN:	24
Payer Totals:	13204

Coverage Status

ACTIVE:	4889
ACTIVE WITH INACTIVE(S):	1
ACTIVE WITH NON-COVERED(S):	1048
ACTIVES:	1018
ACTIVES WITH INACTIVE(S):	1

ACTIVES WITH INACTIVE(S) AND NON-COVERED(S): **700**
ACTIVES WITH NON-COVERED(S): **3342**
CONTACT OTHER ENTITY: **99**
INACTIVE: **879**
NOT REPORTED: **6**
PAYER REJECTION: **1208**
Coverage Status Totals: **13191**

Viewed Status

Not Viewed: **9144**
Viewed: **4060**
Viewed Status Totals: **13204**


Done Status

Not Done: **13204**
Done Status Totals: **13204**

Done Reason

Done Reason Totals: **0**

Response Status

Complete: **13191** 
Inquiry Error: **4**
Pending: **1**
Response Error: **8**
Response Status Totals: **13204**

Bundle Activity

Bundle Activity Totals: **0**

MCP Indicator

No: **11779**
Other: **915**
Yes: **510**
MCP Indicator Totals: **13204**

TPL Indicator

Medicare Part D: **2324**
No: **8313**
Other: **754**

Yes: **1813**TPL Indicator Totals: **13204****PCP Indicator**No: **11916**Yes: **1288**PCP Indicator Totals: **13204****Reject Reason Code**Duplicate Subscriber/Insured ID Number (76): **5**Invalid Participant Identification (79): **15**Invalid/Missing Date-of-Birth (58): **1**Invalid/Missing Subscriber/Insured ID (72): **554**Invalid/Missing Subscriber/Insured Name (73): **252**Patient Birth Date Does Not Match That for the Patient on the Dat **70**

(71):

Provider Not on File (51): **7**Subscriber/Insured Not Found (75): **304**Reject Reason Code Totals: **1208****Accept Indicator**Accepted: **2094**Accept Indicator Totals: **2094**




EXHIBIT NN.2 (ENHANCED ELIGIBILITY RESPONSE REPORT)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

Experian Health Eligibility Transaction Billing Inquiry (11/2/2019)

I. Transaction Billing Summary

Transactions Received	4,868
Transactions Processed	4,733
Billable Transactions	4,657
Total Billing Count	4,675 

II. Transaction Processing Summary

Payer Name	Transactions Processed	Billable Transaction Count	% Billable Transactions	Total Billing Count	Billed / Billable Ratio	Average Search Options	Average Search Options (Eligible)	Average Transactions Per Account	Response Cache Reuse	Repository Reuse
AARP	114	113	99%	113	1	1	1	1.05	1	0
Aetna	113	112	99%	112	1	1	1	1.13	1	0
Allied Benefit Systems	1	1	100%	1	1	1	0	1	0	0
American Postal Workers Union	5	5	100%	5	1	1	1	1.25	0	0
Anthem (KY)	1	1	100%	1	1	1	1	2	0	0
Anthem (ME)	408	406	100%	407	1.0	1	1	1.13	4	0
Anthem Northeast (CT, ME, NH)	520	505	97%	507	1.0	1.01	1.01	1.38	9	0
Blue Cross Medicare Advantage	1	0	N/A	0	0	0	0	1	0	0
CHAMPVA	20	20	100%	20	1	1	1	1	0	0
CIGNA	119	118	99%	118	1	1	1	1.08	1	0
Colonial Penn	3	3	100%	3	1	1	1	1	0	0
Community Health Options	78	78	100%	78	1	1	1	1.28	0	0
GEHA	2	2	100%	2	1	1	1	1	0	0
Harvard Pilgrim	112	111	99%	111	1	1	1	1.2	1	0
Humana	27	26	96%	26	1	1	1	1.23	1	0
Loyal American Life Ins Co Medicare Supplement	12	12	100%	12	1	1	1	4.3	0	0
Maine Medicaid	1,681	1,671	99%	1,677	1.0	1	1	1.3	12	0
Martins Point	158	152	96%	153	1.0	1	1	1.51	4	0
Medicare A and B	946	924	98%	930	1.0	1.01	1	1.16	18	0
Meritain Health	2	2	100%	2	1	1	1	1	0	0
Mutual of Omaha	1	1	100%	1	1	1	1	1	0	0
National Association of Letter Carriers	3	3	100%	3	1	1	1	3.5	0	0
QualCare	5	2	40%	2	1	1	1	1.67	0	0
TRICARE East	8	8	100%	8	1	1	1	2.57	0	0
TRICARE For Life	45	42	93%	42	1	1.02	1.02	2.83	3	0
TRICARE West	1	1	100%	1	1	1	0	1	0	0
Tufts Health Plan	3	3	100%	3	1	1	1	1	0	0
UMR Wausau	2	2	100%	2	1	1	1	1	0	0
UNICARE	2	2	100%	2	1	1	1	1	0	0
United American Insurance Company	1	1	100%	1	1	1	1	1	0	0
UnitedHealthcare	124	120	97%	120	1	1	1	1.19	5	0
VA Fee Basis Program	16	14	88%	14	1	1	1	1.2	1	0
WellCare Medicaid	82	79	96%	79	1	1.01	1	1.25	6	0

WellCare Medicare	117	117	100%	119	1.0	1	1	1.04	0	0
Totals	4,733	4,657	98%	4,675	N/A	N/A	N/A	N/A	67	0

III. Transaction Processing Details

1. Transactions Received

ReturnValue=0

Result Set (1 item)		
TransactionCount	LineOfBusiness	SourceInterface
4868	Eligibility Request	eCare NEXT/IntelliSource

2. Transactions Processed

ReturnValue=0

Result Set (34 items)		
TransactionCount	Payer	dsID
114	AARP	480
113	Aetna	28
1	Allied Benefit Systems	950
5	American Postal Workers Union	425
1	Anthem (KY)	484
408	Anthem (ME)	491
520	Anthem Northeast (CT, ME, NH)	432
1	Blue Cross Medicare Advantage	1688
20	CHAMPVA	428
119	CIGNA	317
3	Colonial Penn	1090
78	Community Health Options	1394
2	GEHA	541
112	Harvard Pilgrim	225
27	Humana	82
12	Loyal American Life Ins Co Medicare Supplement	761
1681	Maine Medicaid	309
158	Martins Point	1085
946	Medicare A and B	242
2	Meritain Health	837
1	Mutual of Omaha	413
3	National Association of Letter Carriers	451
5	QualCare	959
8	TRICARE East	1752
45	TRICARE For Life	1051
1	TRICARE West	260
3	Tufts Health Plan	226
2	UMR Wausau	688
2	UNICARE	332
1	United American Insurance Company	1271
124	UnitedHealthcare	287
16	VA Fee Basis Program	550
82	WellCare Medicaid	570
117	WellCare Medicare	571
4733		

3. Transactions Processed (Billable)

ReturnValue=0

Result Set (33 items)		
BillableTransactionCount	Payer	dsID
113	AARP	480
112	Aetna	28
1	Allied Benefit Systems	950
5	American Postal Workers Union	425
1	Anthem (KY)	484
406	Anthem (ME)	491
505	Anthem Northeast (CT, ME, NH)	432
20	CHAMPVA	428
118	CIGNA	317
3	Colonial Penn	1090
78	Community Health Options	1394
2	GEHA	541
111	Harvard Pilgrim	225

26	Humana	82
12	Loyal American Life Ins Co Medicare Supplement	761
1671	Maine Medicaid	309
152	Martins Point	1085
924	Medicare A and B	242
2	Meritain Health	837
1	Mutual of Omaha	413
3	National Association of Letter Carriers	451
2	QualCare	959
8	TRICARE East	1752
42	TRICARE For Life	1051
1	TRICARE West	260
3	Tufts Health Plan	226
2	UMR Wausau	688
2	UNICARE	332
1	United American Insurance Company	1271
120	UnitedHealthcare	287
14	VA Fee Basis Program	550
79	WellCare Medicaid	570
117	WellCare Medicare	571
4657		

4.Transaction Billing Distribution

ReturnValue=0

Result Set (1 item)	
TransactionCount	BillForEach
4674	1

5.Transaction Billing Distribution (By Payer)

ReturnValue=0

Result Set (33 items)			
TransactionCount	BillForEach	Payer	dsID
113	1	AARP	480
112	1	Aetna	28
1	1	Allied Benefit Systems	950
5	1	American Postal Workers Union	425
1	1	Anthem (KY)	484
407	1	Anthem (ME)	491
507	1	Anthem Northeast (CT, ME, NH)	432
20	1	CHAMPVA	428
118	1	CIGNA	317
3	1	Colonial Penn	1090
78	1	Community Health Options	1394
2	1	GEHA	541
111	1	Harvard Pilgrim	225
26	1	Humana	82
12	1	Loyal American Life Ins Co Medicare Supplement	761
1677	1	Maine Medicaid	309
153	1	Martins Point	1085
929	1	Medicare A and B	242
2	1	Meritain Health	837
1	1	Mutual of Omaha	413
3	1	National Association of Letter Carriers	451
2	1	QualCare	959
8	1	TRICARE East	1752
42	1	TRICARE For Life	1051
1	1	TRICARE West	260
3	1	Tufts Health Plan	226
2	1	UMR Wausau	688
2	1	UNICARE	332
1	1	United American Insurance Company	1271
120	1	UnitedHealthcare	287
14	1	VA Fee Basis Program	550
79	1	WellCare Medicaid	570
119	1	WellCare Medicare	571
4674	33		

6.Total Billing Counts (By Payer)

ReturnValue=0

Result Set (33 items)	
-----------------------	--

TotalBillingCount	Payer	dsID
1677	Maine Medicaid	309
930	Medicare A and B	242
507	Anthem Northeast (CT, ME, NH)	432
407	Anthem (ME)	491
153	Martins Point	1085
120	UnitedHealthcare	287
119	WellCare Medicare	571
118	CIGNA	317
113	AARP	480
112	Aetna	28
111	Harvard Pilgrim	225
79	WellCare Medicaid	570
78	Community Health Options	1394
42	TRICARE For Life	1051
26	Humana	82
20	CHAMPVA	428
14	VA Fee Basis Program	550
12	Loyal American Life Ins Co Medicare Supplement	761
8	TRICARE East	1752
5	American Postal Workers Union	425
3	National Association of Letter Carriers	451
3	Colonial Penn	1090
3	Tufts Health Plan	226
2	UMR Wausau	688
2	Meritain Health	837
2	UNICARE	332
2	QualCare	959
2	GEHA	541
1	Allied Benefit Systems	950
1	Anthem (KY)	484
1	United American Insurance Company	1271
1	TRICARE West	260
1	Mutual of Omaha	413
4675		

7.Average Search Options Processed

ReturnValue=0

Result Set (33 items)		
SearchOptions	Payer	dsId
1	AARP	480
1	Aetna	28
1	Allied Benefit Systems	950
1	American Postal Workers Union	425
1	Anthem (KY)	484
1	Anthem (ME)	491
1.01	Anthem Northeast (CT, ME, NH)	432
1	CHAMPVA	428
1	CIGNA	317
1	Colonial Penn	1090
1	Community Health Options	1394
1	GEHA	541
1	Harvard Pilgrim	225
1	Humana	82
1	Loyal American Life Ins Co Medicare Supplement	761
1	Maine Medicaid	309
1	Martins Point	1085
1.01	Medicare A and B	242
1	Meritain Health	837
1	Mutual of Omaha	413
1	National Association of Letter Carriers	451
1	QualCare	959
1	TRICARE East	1752
1.02	TRICARE For Life	1051
1	TRICARE West	260
1	Tufts Health Plan	226
1	UMR Wausau	688
1	UNICARE	332
1	United American Insurance Company	1271
1	UnitedHealthcare	287
1	VA Fee Basis Program	550

1.01	WellCare Medicaid	570
1	WellCare Medicare	571
33.05		

8.Average Search Options Processed (Found Coverage)

ReturnValue=0

Result Set (31 items)		
SearchOptions	Payer	dsID
1	AARP	480
1	Aetna	28
1	American Postal Workers Union	425
1	Anthem (KY)	484
1	Anthem (ME)	491
1.01	Anthem Northeast (CT, ME, NH)	432
1	CHAMPVA	428
1	CIGNA	317
1	Colonial Penn	1090
1	Community Health Options	1394
1	GEHA	541
1	Harvard Pilgrim	225
1	Humana	82
1	Loyal American Life Ins Co Medicare Supplement	761
1	Maine Medicaid	309
1	Martins Point	1085
1	Medicare A and B	242
1	Meritain Health	837
1	Mutual of Omaha	413
1	National Association of Letter Carriers	451
1	QualCare	959
1	TRICARE East	1752
1.02	TRICARE For Life	1051
1	Tufts Health Plan	226
1	UMR Wausau	688
1	UNICARE	332
1	United American Insurance Company	1271
1	UnitedHealthcare	287
1	VA Fee Basis Program	550
1	WellCare Medicaid	570
1	WellCare Medicare	571
31.03		

9.Additional Service Type Code Requests

ReturnValue=0

(0 items)

10.Average Transactions Per Patient Account

ReturnValue=0

Result Set (1 item)	
AvgTransactionsPerAccount	
1.66	

11.Average Transactions Per Patient Account (By Payer)

ReturnValue=0

Result Set (34 items)		
AverageTransactions	Payer	dsID
4.3	Loyal American Life Ins Co Medicare Supplement	761
3.5	National Association of Letter Carriers	451
2.83	TRICARE For Life	1051
2.57	TRICARE East	1752
2	Anthem (KY)	484
1.67	QualCare	959
1.51	Martins Point	1085
1.38	Anthem Northeast (CT, ME, NH)	432
1.3	Maine Medicaid	309
1.28	Community Health Options	1394
1.25	WellCare Medicaid	570
1.25	American Postal Workers Union	425
1.23	Humana	82
1.2	Harvard Pilgrim	225

1/29/2020

Processes_037_100119_to_110119.html

1.2	VA Fee Basis Program	550
1.19	UnitedHealthcare	287
1.16	Medicare A and B	242
1.13	Aetna	28
1.13	Anthem (ME)	491
1.08	CIGNA	317
1.05	AARP	480
1.04	WellCare Medicare	571
1	UMR Wausau	688
1	Colonial Penn	1090
1	United American Insurance Company	1271
1	Blue Cross Medicare Advantage	1688
1	Meritain Health	837
1	Allied Benefit Systems	950
1	GEHA	541
1	CHAMPVA	428
1	UNICARE	332
1	Mutual of Omaha	413
1	TRICARE West	260
1	Tufts Health Plan	226
48.25		

12.Transaction Response Reuse - Response Cache (By Payer)

ReturnValue=0

Result Set (14 items)		
NumOfTransactionsHandledByResponseCache	Payer	dsID
1	Aetna	28
1	Humana	82
1	Harvard Pilgrim	225
18	Medicare A and B	242
5	UnitedHealthcare	287
12	Maine Medicaid	309
1	CIGNA	317
9	Anthem Northeast (CT, ME, NH)	432
1	AARP	480
4	Anthem (ME)	491
1	VA Fee Basis Program	550
6	WellCare Medicaid	570
3	TRICARE For Life	1051
4	Martins Point	1085
67		

13.Transaction Response Reuse - Response Cache (By Source)

ReturnValue=0

Result Set (1 item)	
NumOfTransactionsHandledByResponseCache	SourceInterface
67	eCare NEXT/IntelliSource

14.Transaction Response Reuse - Repository

Not applicable



EXHIBIT NN.3 (COVERAGE DISCOVERY RESPONSE REPORT)

TO THE

ELECTRONIC HEALTH RECORDS SYSTEM AND SERVICES AGREEMENT

Create Month
All values

Select Client(s)
All

Select Payer(s)
All

of Found Coverage:
\$ of Found Coverage:

Coverage Discovery Trending Report

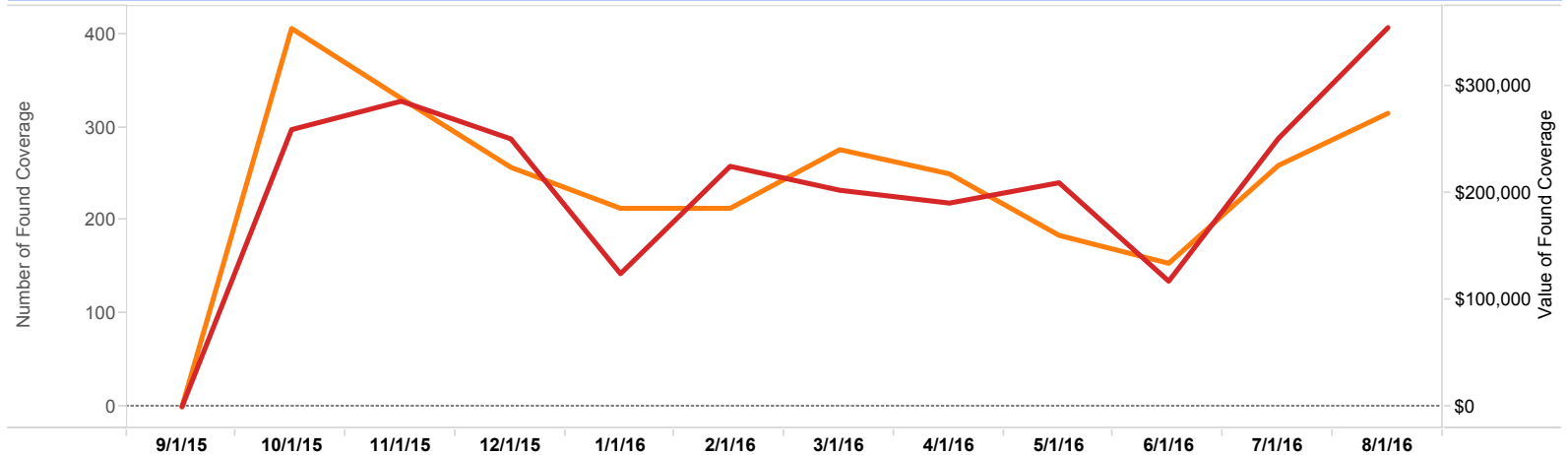
9/1/2015 through 8/1/2016

*If no coverage value is assigned, a placeholder of \$360 is applied



	Sep, 2015	Oct, 2015	Nov, 2015	Dec, 2015	Jan, 2016	Feb, 2016	Mar, 2016	Apr, 2016	May, 2016	Jun, 2016	Jul, 2016	Aug, 2016	Grand Total
Unique Account Sent:	0	1,970	1,533	1,443	1,388	1,300	1,537	1,158	1,423	1,380	1,536	1,503	16,171
# of Found Coverage:	0	406	331	257	213	213	276	250	184	154	259	315	2,858
% Of Found Coverage:		20.61%	21.59%	17.81%	15.35%	16.38%	17.96%	21.59%	12.93%	11.16%	16.86%	20.96%	17.67%
\$ of Found Coverage:	\$0	\$259,112	\$285,667	\$250,427	\$124,374	\$224,769	\$202,401	\$190,398	\$209,425	\$117,392	\$250,769	\$354,459	\$2,469,192

Number and Value of Found Coverage



Number(#) and Value(\$) of Coverage Found by Insurance Class

	Sep-2015	Oct-2015	Nov-2015	Dec-2015	Jan-2016	Feb-2016	Mar-2016	Apr-2016	May-2016	Jun-2016	Jul-2016	Aug-2016
Commercial #	0	188	122	129	97	105	151	162	93	87	140	177
Government #		218	209	128	116	108	125	88	91	67	119	138
Commercial \$	\$0	\$134,450	\$152,301	\$133,469	\$58,047	\$65,296	\$90,371	\$115,279	\$88,586	\$48,675	\$141,986	\$136,918
Government \$		\$124,662	\$133,366	\$116,958	\$66,327	\$159,473	\$112,030	\$75,119	\$120,838	\$68,717	\$108,783	\$217,540



DRAFT

Attachment A

CIO ANALYSIS

Peter Loo
ACTING CHIEF INFORMATION
OFFICER

BOARD AGENDA DATE:

5/17/2022

This document provides an analysis and recommendations by the Office of the Chief Information Officer pertaining only to “requests concerning the approval of actions related to the management, design, development, acquisition, expansion, or purchase of **automated systems and/or related services**,” per [Board Policy 6.020, “Chief Information Office Board Letter Approval”](#). This document shall not be construed as endorsement, or a recommendation for approval, of any other items.

SUBJECT:

APPROVAL TO DELEGATE AUTHORITY TO AMEND AGREEMENT H-705407 WITH CERNER CORPORATION ON A SOLE SOURCE BASIS

CONTRACT TYPE:

☐ New Contract

☒ Sole Source

☒ Amendment to Contract #: H-705407

SUMMARY:

Description: This request from the Department of Health Services (DHS) requests delegated authority to: (i) execute an Amendment with Cerner Corporation through December 31, 2032, if all extensions are exercised, for the provision of Patient Transaction Services on a sole source basis and increase the Maximum Contract Sum in an amount not to exceed \$22,100,000 and (ii) grant the Director delegated authority to amend the Agreement to address changes to the payment stream for DHS’s purchase of the acuity, scheduling and time system, price changes in response to market conditions and product improvements for certain hardware, price changes required to comply with laws and regulations related to patient information sharing from an electronic health record system.

Patient Transaction Services (PTS) – this is a suite of new revenue cycle modules that are integrated with DHS’s electronic health record system and allow enhanced workflows for patient financial clearance from pre-registration to financial settlement. These modules enable DHS to verify patient eligibility and benefit information through eligibility transaction sets from ORCHID, route eligibility and benefits information from the payer back to ORCHID where the data is available for consumption to the patient record. Healthcare coverage details are then automatically attached to a patient encounter from within ORCHID. The new PTS module is expected to improve revenue recovery.

APPROVAL TO DELEGATE AUTHORITY TO AMEND AGREEMENT H-705407 WITH CERNER CORPORATION ON A SOLE SOURCE BASIS

ASTER - in November 2020, the Board approved the provision of an acuity, scheduling and time system from Cerner, now named ASTER. This acuity, scheduling and time system resides inside the electronic health record system and is the primary tool for scheduling medical resources to address patient needs. Due to extenuating circumstances, the full implementation of ASTER has been delayed, which affected the go-live plans. As a result of these changes, the payment stream for ASTER may need to be amended. If fewer users will be using the system after go-live, the payment schedules will be updated to correctly reflect actual use. DHS does not anticipate an increase in fees for ASTER as a result of these changes.

Hardware – when the Board approved the Cerner Agreement in 2012, certain limited hardware items were included as part of ORCHID. In 2016, the Board granted DHS the authority to purchase additional units of the hardware, as needed. The hardware included the Cerner Connectivity Engine, which is hardware that connects medical devices to ORCHID. While Cerner has maintained the price of the hardware, in light of improvements to the features and functions, Cerner will no longer sell additional hardware units to the County at the current price. Approval of the recommendation will allow DHS to reflect the new price.

Regulatory – recent Federal regulations that apply to Cerner require that Cerner uniformly apply fees for certain services and products related to electronic health information. The fees charged by an entity such as Cerner for access, exchange, or use of electronic health information must be based on objective and verifiable criteria uniformly applied. As a result of this requirement, Cerner is not legally permitted to charge fees for certain software and related professional services that differ from the published fees, even if Cerner had previously contracted with a client to provide a particular fee or discount. Approval of the recommendation will allow DHS to amend certain software and related professional services fees in accordance with law.

Contract Amount: \$22,100,000

FINANCIAL ANALYSIS:

Contract costs:

One-time costs

Implementation Services	\$	1,140,000
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Ongoing annual costs:

Transaction Based Fees (10.5 years)	\$	14,050,000
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Platform and Hosting (10.5 years)	\$	1,210,000
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Pool Dollars (10.5 years).....	\$	5,700,000
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Total Costs:	\$	22,100,000
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APPROVAL TO DELEGATE AUTHORITY TO AMEND AGREEMENT H-705407 WITH CERNER CORPORATION ON A SOLE SOURCE BASIS

Notes:

THIS AMENDMENT WILL BE EFFECTIVE THROUGH DECEMBER 31, 2032. THE CURRENT CONTRACT SUM FOR THE CERNER AGREEMENT IS \$762,651,850. IF APPROVED, THE RECOMMENDED ACTION WILL INCREASE THE CONTRACT SUM TO \$784,751,850. ACCORDING TO THE DEPARTMENT, FUNDING IS INCLUDED IN THE DHS FISCAL YEAR 2021-22 FINAL BUDGET AND WILL BE REQUESTED IN FUTURE YEARS' BUDGETS AS NECESSARY. THE IMPLEMENTATION SERVICES WILL BE PAID IN THE FIRST YEAR. THE COSTS FOR TRANSACTION BASED FEES, PLATFORM, HOSTING AND SUPPORT, TRAINING, CHANGES IN THE PAYMENT STREAM FOR ASTER, PRICE CHANGES FOR CERTAIN HARDWARE AND POOL DOLLARS WILL BE SPREAD OUT OVER THE REMAINING 10.5 YEARS OF THE CERNER CONTRACT. THE POOL DOLLARS, IF NEEDED, WILL BE USED FOR OPTIONAL MODULES, ADDITIONAL TRANSACTIONS AND ADDITIONAL TRAINING.

RISKS:

1. As with any major technology implementation, there are risks in the areas of quality, cost and schedule. In this case, the major technology component of the project will be the acquisition and implementation of the PTS module that will include hosting by Experian and be integrated with ORCHID. This module will streamline patient financial clearance and replace smaller systems and manual processes. DHS has mitigated the quality risks by negotiating a well-defined contract that focuses on optimized patient care. The Contract identifies key critical success factors such as strong project management, clearly defined communication and governance structures, executive leadership, and County managed Level 1 help desk. The Contract also identifies 29 Deliverables, including support services, service level monitoring/reporting and system security services. Additionally, the Contract identifies key Contractor delivery responsibilities. The County will also assign a project lead. The cost risk has been mitigated by developing a cost schedule and not-to-exceed contract. For the implementation services component of the project, a 15% holdback will be applied to each deliverable. The schedule risk will be mitigated by following a detailed project work plan. Implementation services are expected to be completed in one year.
2. Because the existing footprint of ORCHID will be expanded on a sole source basis, it will be critical that DHS continue providing strong vendor management practices, and working closely with County Counsel to manage the Cerner Agreement.
3. The Acting Chief Information Security Officer (CISO) has reviewed the Contract and did not identify any IT security or privacy related issues.

PREPARED BY:

(NAME) DEPUTY CHIEF INFORMATION OFFICER

DATE

APPROVED:

PETER LOO, ACTING COUNTY CHIEF INFORMATION OFFICER

DATE



April 5, 2018

**Los Angeles County
Board of Supervisors**

Hilda L. Solis
First District

Mark Ridley-Thomas
Second District

Sheila Kuehl
Third District

Janice Hahn
Fourth District

Kathryn Barger
Fifth District

Fred Leaf
Interim Director, Health Agency

Christina R. Ghaly, M.D.
Acting Director, Department of Health Services

Jonathan E. Sherin, M.D., Ph.D.
Director, Department of Mental Health

Barbara Ferrer, Ph.D., M.P.H., M.Ed.
Director, Department of Public Health

313 N. Figueroa Street, Suite 531A
Los Angeles, CA 90012

Tel: (213) 240-8174
Fax: (213) 482-9760

"The mission of the Los Angeles County Health Agency is to improve health and wellness across Los Angeles County through effective, integrated, comprehensive, culturally appropriate services, programs, and policies that promote healthy people living in healthy communities."



TO: Supervisor Sheila Kuehl, Chair
Supervisor Hilda L. Solis
Supervisor Mark Ridley-Thomas
Supervisor Janice Hahn
Supervisor Kathryn Barger

FROM: Fred Leaf
Interim Director

**SUBJECT: ADVANCE NOTIFICATION OF INTENT TO
NEGOTIATE A SOLE SOURCE AMENDMENT TO
AGREEMENT NO. H-705407 WITH CERNER
CORPORATION**

This is to provide the Board of Supervisors (Board) with advanced notification of the Health Agency's (Agency) intent to amend existing Agreement H-705407 (Agreement) with Cerner Corporation (Cerner) for the provision of an electronic health record (EHR) system, also known as the Online Realtime Centralized Health Information Database (ORCHID), to purchase and implement additional integrated software and services. Board Policy 5.100 requires written notice of a department's intent to enter into sole source negotiations for a Board-approved agreement at least four weeks prior to the initiating sole source negotiations. Although the Cerner Agreement was awarded after a competitive solicitation, the purchase of additional software and services from Cerner is on a sole source basis, and therefore, is subject to the Board's Sole Source Policy.

In addition, this written notice provides the Board with the Agency's proposed format for future sole source notices related to the Agreement and ORCHID.

Background and Sole Source Methodology

With the successful launch of ORCHID, the Agency is consistently reviewing other opportunities to optimize the patient care cycle and deliver the right care to every patient at the right time in the right setting with the right resources by enhancing and building on ORCHID. The Agency considers its options for enhancements to ORCHID first with the goal of improving patient care, next with the goal of providing

suitable resources to provide the care, and finally, with the goal of focusing on efficiencies achievable by standardizing on a fully integrated EHR system. The value of an integrated solution has been recognized by the Board's various motions regarding integrating the County's EHR systems into a single platform - ORCHID. In support of integration, the Agency continues to identify certain products that should be purchased from Cerner on a sole source basis because Cerner is the only vendor able to provide such products as part of ORCHID.

While the ORCHID solicitation was expansive, the Agency has found that certain items were not considered in the 2011 solicitation due to lack of availability or information about particular products. One of the key minimum requirements in the County's solicitation for ORCHID was that it be an integrated solution. The integrated solution was assessed on the basis of several factors, such as is the solution: (i) comprised of several software components designed to work together using a single set of data integrity rules and constraints; (ii) uses a common application infrastructure; and (iii) provides "one single source for truth" for patient information, or (iv) provides computable and meaningful real time decision support of operational and clinical functions regardless of the original care provider and the original source of the data.

Before recommending a new product be purchased from Cerner on a sole source basis due to integration advantages, the Agency will assess the product and its value on the integration factors set forth in the original solicitation and additional similar integration factors that would apply now. This will allow the Agency to conduct a thorough assessment of the advantages of integration and Cerner's role as the sole source of an integrated solution. The Agency acknowledges that this sole source methodology narrows the field of vendors. However, in determining that integration brings immense value to the County and its patients, the County must acknowledge that Cerner, as its EHR vendor, is now also the sole vendor that can meet the County's EHR integration requirements. The Agency believes that this robust and innovative review process will assure a fair process and also result in decisions that are in the best interest of the County.

Sole Source Assessments

Attached are the sole source assessments to support commencing negotiations with Cerner for the purchase of Cerner Clairvia - Clinical Workforce Management, Cerner Time & Attendance and Transaction Services. An integrated set of solutions will enable clinical data to drive outcomes-based patient acuity, with evidence-based staffing and patient flow processes. This in turn will allow the Department of Health Services (DHS) to better track and manage labor costs and support development of cost accounting and other fiscal management processes.

Each Supervisor
April 5, 2018
Page 3

After reviewing the current state at DHS and the proposed solutions with the Chief Information Office and Auditor-Controller, both offices are supportive of our efforts.

The Agency plans to use the same sole source assessment methodology to provide the Board with any future sole source notifications that meet the standards set forth in this notification.

If no objection is received within ten (10) business days upon receipt of this Board notification, the Health Agency plans to begin sole source negotiations with Cerner and anticipates returning to the Board later in 2018 for approval of the agreement amendment(s) for Cerner Clairvia, Cerner Time & Attendance and Transaction Services.

If you have any questions or require additional information, please let me know, or your staff may contact Dr. Christina Ghaly, Acting Director, DHS, at (213) 288-7787.

FL:kh

C: Auditor-Controller
Chief Executive Office
Chief Information Office
County Counsel
Executive Office, Board of Supervisors

**CERNER AGREEMENT H-705407
SOLE SOURCE PRE-NEGOTIATION NOTICE**

Product – Cerner Clairvia – Clinical Workforce Management

Cerner Clairvia Clinical Workforce Management (Clairvia), consisting of five integrated modules: (i) Staff Manager; (ii) Demand Manager; (iii) Patient Progress Manager; (iv) Assignment Manager; and (v) Outcomes-Driven Acuity. The integrated modules can support enterprise-wide staff scheduling, determine workload/productivity using patient information, assist with care plans by monitoring patient progress against established hospitalization benchmarks, propose appropriate patient assignments to staff and importantly determine patient acuity-levels from clinical documentation – all in real time. Future new and related modules may also be purchased as appropriate.

Statement of Need

The Department of Health Services (DHS) does not have a workforce management solution to accurately capture staff attendance, reconcile attendance against the staff schedules, and adjust staffing levels in real time. With respect to nurse scheduling for patient care and patient acuity, DHS uses multiple stand-alone solutions. Catalyst's EVALYSIS Patient Classification System relies on a set of proprietary forms built in ORCHID that DHS nurses use to classify patient care acuity levels per shift, as is required. The information on the forms is then manually uploaded into McKesson One-Staff to populate patient acuity and accordingly assign patients to nursing staff. The end users/nursing staff offices use the One-Staff data to determine staff scheduling.

Integration Assessment

Clairvia is a Cerner product that is integrated directly with Cerner's Millennium solution, which is the ORCHID platform. Clairvia manages clinical staffing, clinical demand management, patient progress and acuity, presenting evidence-based patient-staff assignments within ORCHID. The ORCHID clinical, demographic, and location data are available within Clairvia through real-time data interfaces. The Clairvia Assignment Manager uses historical patient assignment data to automatically propose appropriate patient assignments that maintain nurse-to-patient continuity of care. These patient assignments then automatically populate ORCHID for the nurses' care delivery to begin on each shift.

Additional Considerations

Implementation of an enterprise-wide solution integrated with ORCHID can help improve the quality and cost of care by providing more automation of predictable tasks, greater visibility, and better responsiveness for workforce tasks. By assigning the right caregivers to the right patients at the right time, DHS can improve patient safety and care quality, achieve superior care outcomes, and reduce workforce costs.

**CERNER AGREEMENT H-705407
SOLE SOURCE PRE-NEGOTIATION NOTICE**

Product – Cerner Time & Attendance

Cerner Time & Attendance provides automated real time staff time and attendance and labor capture, detailed labor data reporting, integration with Clairvia's Clinical Workforce Management product. Together these provide the capability to send clinical workforce attendance data to the County's eHR CGI time record system for payroll creation and leave reporting.

Statement of Need

DHS does not currently have an automated time and attendance system and instead uses a manual process. Time collection for nursing staff is currently done via punch timecards with time stamps to track shifts, breaks, and shift times. Actual attendance must be verified manually. Attendance information must also be manually entered into the scheduling systems. Hours worked and payroll codes are also manually entered on the timecards and payroll staff manually enter the timecard data into the County's eHR timekeeping system. There is redundant eHR data entry and validation which consumes availability of computer resources and direct care providers. The current manual process is labor intensive, time consuming, lacks real-time accountability, disrupts workflows, and can be prone to errors. Successful implementation to achieve the full benefits of Clairvia requires that the current manual method for time capture be fully automated.

Integration Assessment

Cerner Time & Attendance is integrated with Clairvia by providing computable real time staffing decision support. Cerner Clairvia consumes in near real-time the Cerner Time & Attendance data. This integration provides the ability to view "punch" status of each employee scheduled in Clairvia (i.e. who is scheduled but has not punched in yet, who is punched in by shift, who has floated in from another cost center, etc.). With Cerner Time & Attendance integration, Clairvia provides accurate and near-real-time productivity reporting that aligns with payroll reporting. Additionally, Clairvia sends the schedule to Cerner Time & Attendance for comparing exceptions between scheduled time and worked time.

While this product is provided by a Cerner partner, Workforce Software LLC, purchasing this product from Cerner and implementing it in concert with Clairvia provides additional integration advantages due to the Cerner Time & Attendance rules engine. This will allow a robust use of time-keeping rules that are common and required in the 24/7 staffing of a clinical workforce. Cerner and Workforce Software LLC have a proven track record in implementing the proposed solutions together.

Implementing Clairvia and Cerner Time & Attendance together will provide implementation speed to value that is critically needed. Layering together the Clairvia Staff Manager scheduling with the deployment of the Cerner Time & Attendance

**CERNER AGREEMENT H-705407
SOLE SOURCE PRE-NEGOTIATION NOTICE**

automated time capture, will speed the deployment of a comprehensive workforce management capability that would be difficult to achieve by separate vendors deploying solutions individually. Cerner has a track record of successfully implementing these two capabilities together.

Additional Considerations

DHS manages a large workforce in a 24/7 environment, with complex wage rules based on appointment status and work schedule. Implementation of automated time tracking will eliminate the need for the current costly manual process, while enhancing accuracy and freeing up nursing and payroll staff time. The automated solution will also apply pay and attendance policies in real time, providing DHS with time sensitive insights regarding labor costs and scheduling decisions, and fully integrate with Clairvia.

**CERNER AGREEMENT H-705407
SOLE SOURCE PRE-NEGOTIATION NOTICE**

Product – Transaction Services

Transaction Services are a suite of products that provide Electronic Data Interchange services in support of DHS' patient access related transactions. The suite of products available from Cerner consists of a financial hub, with various services (e.g., "Address Validation and Verification" and "Eligibility Verification"), purchased on an individual basis as needed.

A list of the currently available transaction services is shown below.

1. Automated Messaging
2. Medical necessity checking (Advance Beneficiary Notice of Noncoverage)
3. Eligibility Checking (X12 270/271)
4. Notice of Admission (X12 278N)
5. Reg (Data) Quality Assurance
6. Propensity to Pay/Payment Advisory
7. Bill Estimation
8. Address Validation & Verification
9. Coverage Discovery
10. Authorization Submission and Reconciliation
11. Claims Scrubbing/Editing/Remits/Claim Submission
12. Contract Management
13. Statements
14. Letters
15. Credit Card Payments (point of service and online bill pay)

Statement of Need

DHS currently uses multiple smaller systems and software suites, as well as manual processes to manage its various patient access functions. Many of these systems are not connected to each other or to ORCHID, and manual processes to obtain the necessary data are time consuming and subject to human error. In many cases, DHS does not currently perform the activity at all. DHS believes that more integrated and automated transactions will streamline processes, improve completeness and accuracy of information in ORCHID, and improve patient experience and the ability to improve financial outcomes. It will also allow DHS to most effectively utilize staff to navigate patients to the appropriate place to obtain care.

Given the high volume of transactions, the ability to perform these functions and upload the data quickly, leveraging technology for innovative practices will be a key success factor in implementing and managing DHS' increasingly sophisticated patient access policies and procedures. Lastly, in light of upcoming planned changes to DHS' financial systems, the accuracy of information at the point of patient scheduling, registration, and care delivery is essential to ensure successful billing.

**CERNER AGREEMENT H-705407
SOLE SOURCE PRE-NEGOTIATION NOTICE**

Integration Assessment

The integration assessment of Transaction Services demonstrates advantages across several integration factors. The purchase of Transaction Services from Cerner eliminates the need for interfaces and utilizes Cerner's financial hub, allowing single sign-on for users. In addition, there are specific integration advantages for certain modules. For example, with respect to verification tasks such as eligibility, benefits and address validations, these modules are embedded in the ORCHID registration workflow, resulting in "one single source of truth" for patient information.

While certain Transaction Services are provided by Cerner partners such as Experian, purchasing these Transaction Services from Cerner has integration advantages. These include the ability to request and receive all such transactions through a single hub, and to have these data be machine computable and retained over time, as may be needed for later revenue cycle processes.

Additional Considerations

It should be noted that several of the modules for Transaction Services were contemplated in the ORCHID solicitation and included in the Agreement and as such, did not require this sole source notification. However, in the interest of full transparency, and in light of DHS' expanded need for Transaction Services, DHS conducted the integration assessment above and determined that purchase of Transaction Services on a sole source basis as integrated with ORCHID is in the best interest of the County.

SOLE SOURCE CHECKLIST

Department Name: _____

- ☐ New Sole Source Contract
- ☐ Sole Source Amendment to Existing Contract
- Date Existing Contract First Approved: _____

Check (✓)	JUSTIFICATION FOR SOLE SOURCE CONTRACTS AND AMENDMENTS Identify applicable justification and provide documentation for each checked item.
	➤ Only one bona fide source (monopoly) for the service exists; performance and price competition are not available. A monopoly is an <i>“Exclusive control of the supply of any service in a given market. If more than one source in a given market exists, a monopoly does not exist.”</i>
	➤ Compliance with applicable statutory and/or regulatory provisions.
	➤ Compliance with State and/or federal programmatic requirements.
	➤ Services provided by other public or County-related entities.
	➤ Services are needed to address an emergent or related time-sensitive need.
	➤ The service provider(s) is required under the provisions of a grant or regulatory requirement.
	➤ Services are needed during the time period required to complete a solicitation for replacement services; provided services are needed for no more than 12 months from the expiration of an existing contract which has no available option periods.
	➤ Maintenance and support services are needed for an existing solution/system during the time to complete a solicitation for a new replacement solution/system; provided the services are needed for no more than 24 months from the expiration of an existing maintenance and support contract which has no available option periods.
	➤ Maintenance service agreements exist on equipment which must be serviced by the original equipment manufacturer or an authorized service representative.
	➤ It is more cost-effective to obtain services by exercising an option under an existing contract.
	➤ It is in the best economic interest of the County (e.g., significant costs and time to replace an existing system or infrastructure, administrative cost and time savings and excessive learning curve for a new service provider, etc.). In such cases, departments must demonstrate due diligence in qualifying the cost-savings or cost-avoidance associated with the best economic interest of the County.



Chief Executive Office_____
Date



Health & Mental Health Services Meeting Operations Cluster Meeting



Department of Health Services Presenters

Julio Alvarado
Director of Contract Administration & Monitoring

Shari Doi
Patient Access Director

Kevin Lynch
Chief Information Officer



Agenda



- Introduction of the Board Letter
- Patient Transaction Services
- Other Matters in the Board Letter
 - Acuity, Scheduling & Time Employee Resources
 - Hardware Price Change
 - Regulatory Price Change
- ORCHID Update



Patient Transaction Services



Goals of Patient Transaction Services & Future State

GOAL 1: Reduce manual work and duplication for vast majority of encounters

- **Reduce OT**
- **Shift resources**

GOAL 2: Focus resources and effort on the remaining patients:

- **Apply the “Non-DHS” workflows**
- **Reduce volume of self-pay**
- **Improve communication to patients**
- **Fixing discrepancies**

GOAL 3: Reduce latency and delays in transactions



Patient Transaction Services



Current State

- Transactions are run on an individual encounter (visit) basis
 - Transaction responses **do not automatically populate** the appropriate fields in ORCHID
 - Return as an image
 - Must manually be typed in
 - Experience **periodic delays in transactions** in sending/ receiving eligibility information
 - Transaction responses **are stored for a short window of time** within ORCHID
 - **Duplication of Transactions**
-



Patient Transaction Services: Financial Overview

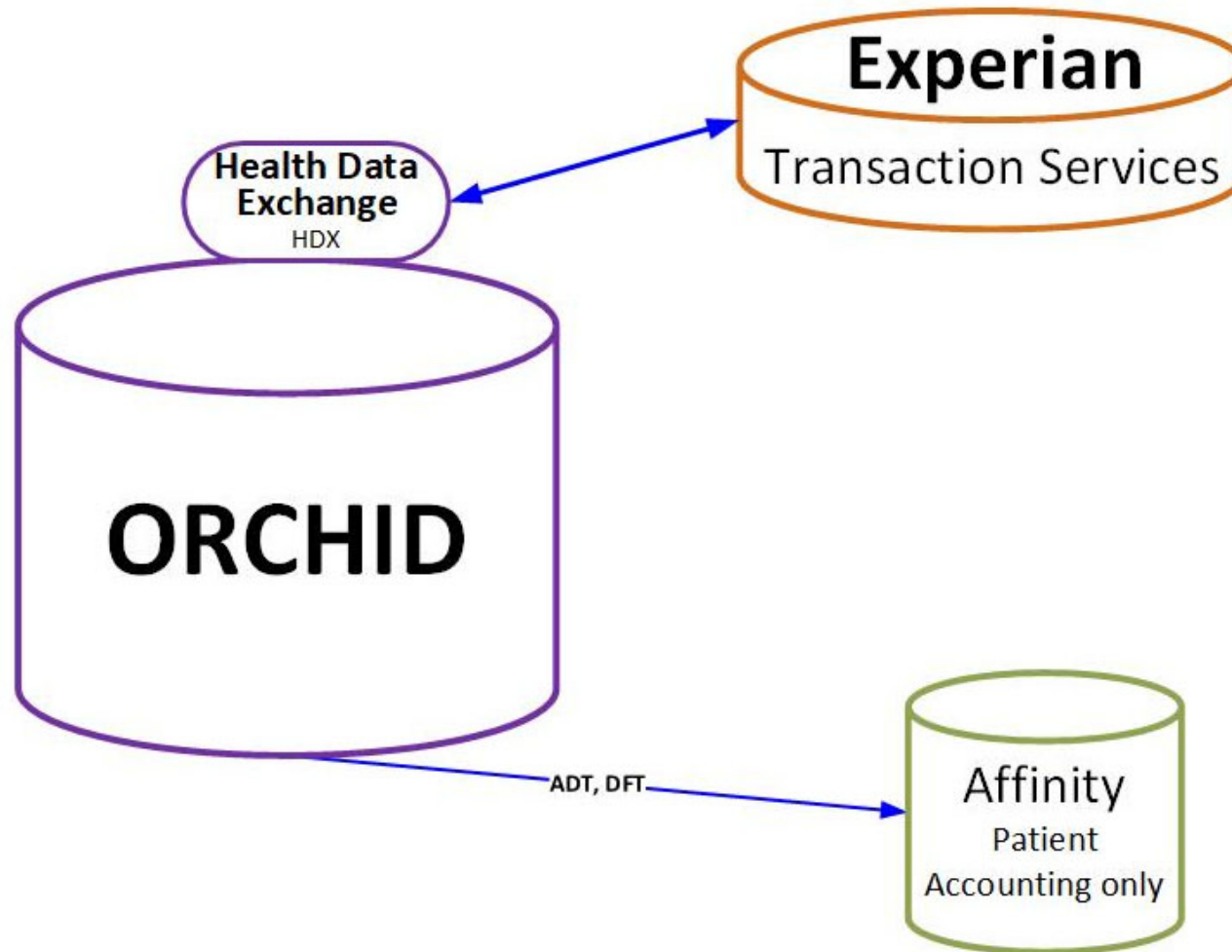


Contract Sum Increase Not to Exceed \$22.1 Million

- \$16.4 M for the provision of Patient Transaction Services
 - ~ \$1.14 M for implementation, anticipated 12 months
 - ~ \$1.21 M for recurring fees (e.g., platform, hosting)
 - ~ \$14 M for recurring transaction-based fees
- \$5.7 M in Pool Dollars for Optional Work
 - Optional modules (e.g., authorizations)
 - Additional training
 - Transaction fees



Patient Transaction Services Technology





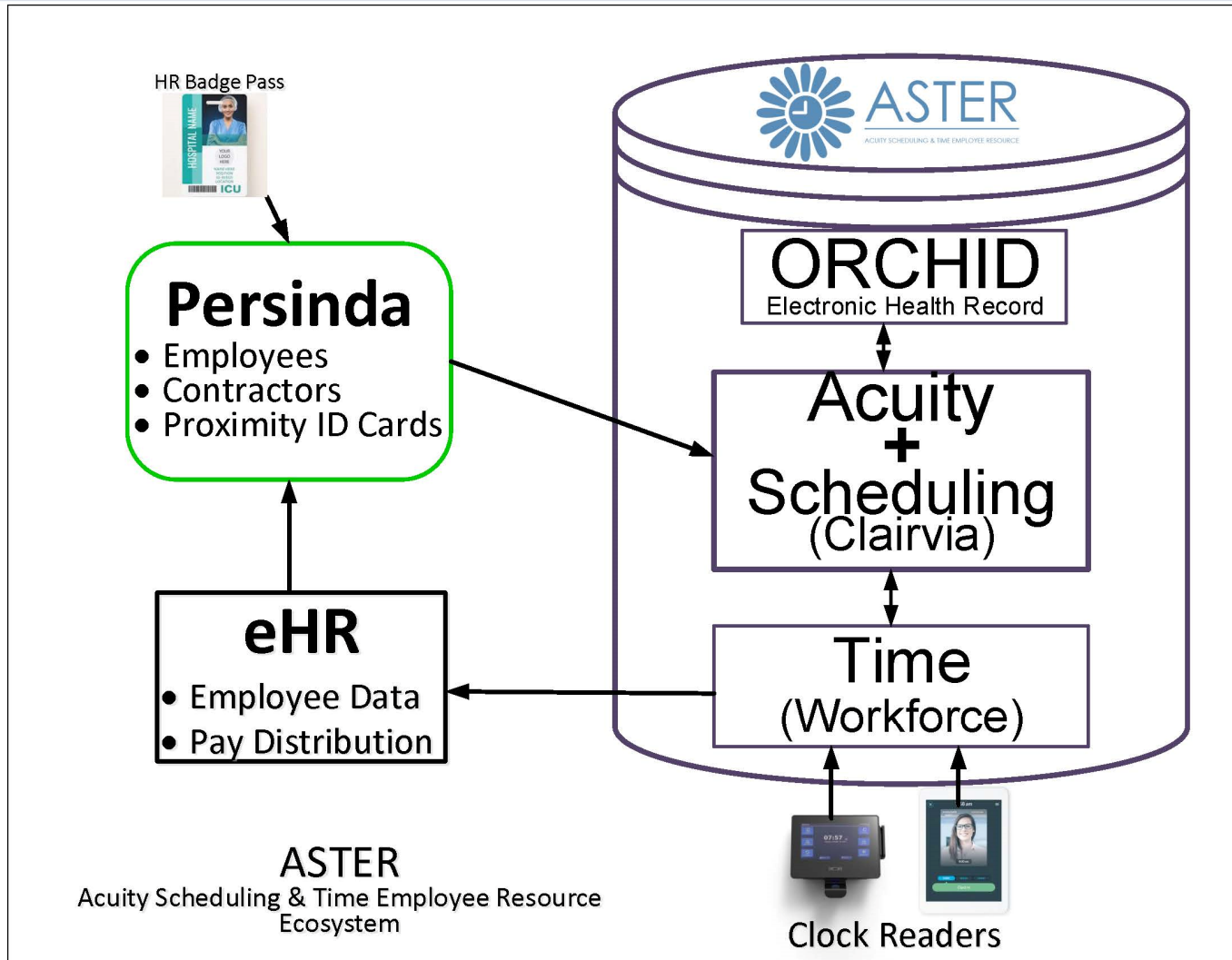
Other Items



- Other Matters in the Board Letter
 - Acuity, Scheduling & Time Employee Resources
 - Hardware Price Change
 - Regulatory Price Change
- ORCHID Update



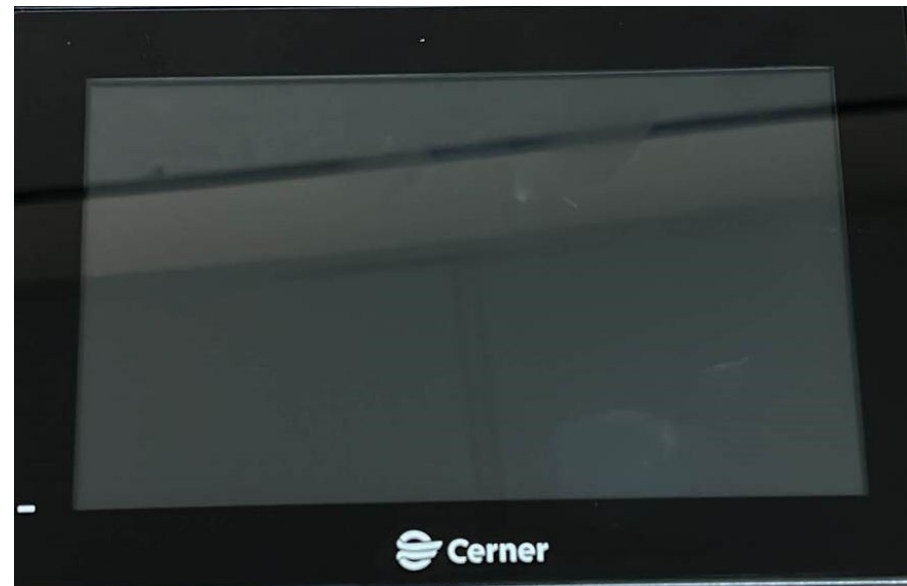
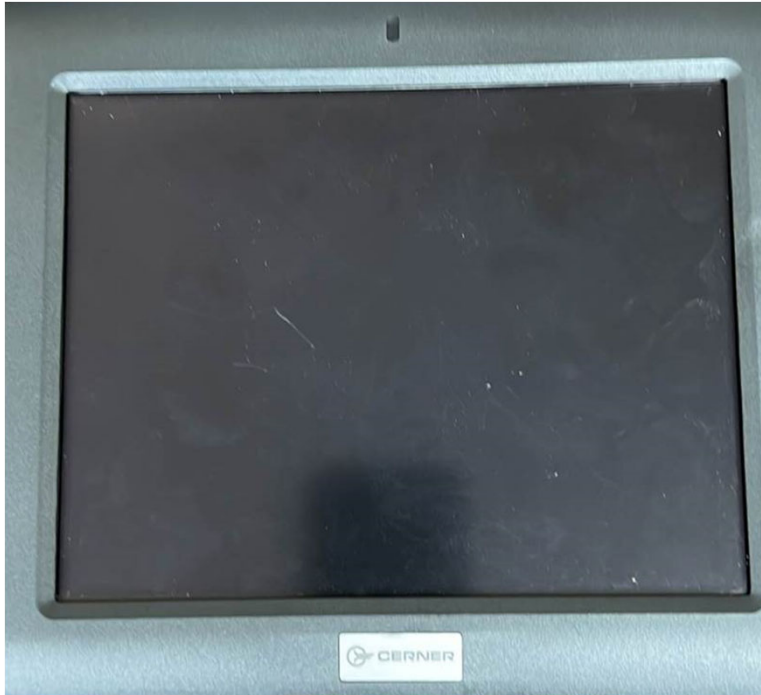
Acuity, Scheduling & Time Employee Resources





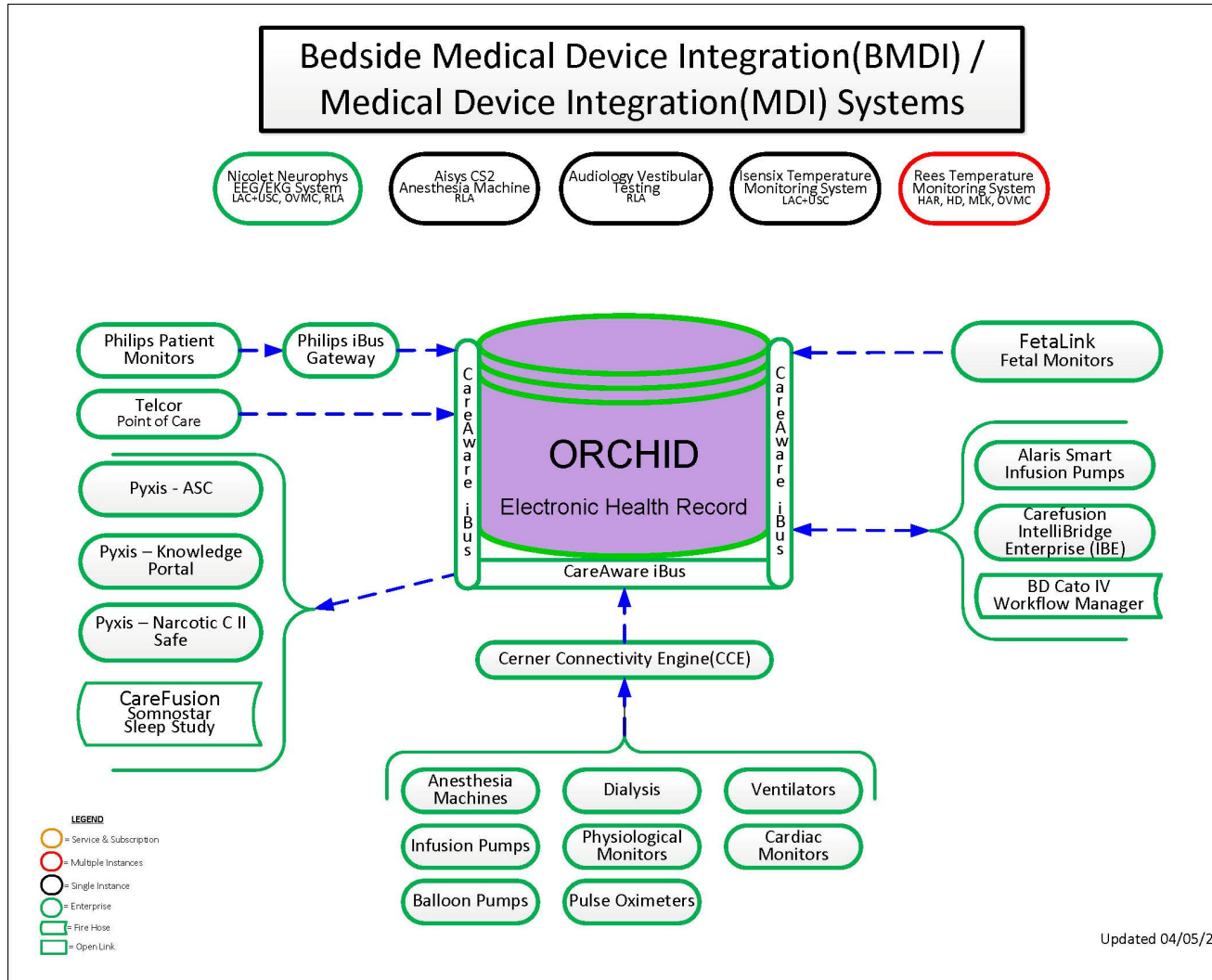
Hardware Price Change

Cerner Connectivity Engines (CCE's)





Hardware Price Change





Potential Regulatory Price Change



- Who? Office of National Coordinator for Health IT
- What? Regs re “information blocking” of health information
- Impact? Certain future fees related to information blocking work may require amendment. No change to contract sum. Fees must be based on objective and verifiable criteria uniformly applied to similarly situated clients. County Counsel and outside counsel will verify that any changes are only as required to comply with regulations.
- Why now? Regulations in effect now. When changes are final and, if required, Agreement must be amended quickly to continue to maintain compliance.



ORCHID Update



- Virtual Healthcare
 - Video visits
 - E-visits
 - Patient portal improvements
- Upcoming Projects
- Acquisition of Cerner by Oracle



Questions



BOARD LETTER/MEMO CLUSTER FACT SHEET

☒ Board Letter

☐ Board Memo

☐ Other

CLUSTER AGENDA REVIEW DATE	4/27/2022	
BOARD MEETING DATE	5/17/2022	
SUPERVISORIAL DISTRICT AFFECTED	<input checked="" type="checkbox"/> All <input type="checkbox"/> 1 st <input type="checkbox"/> 2 nd <input type="checkbox"/> 3 rd <input type="checkbox"/> 4 th <input type="checkbox"/> 5 th	
DEPARTMENT(S)	Registrar-Recorder/County Clerk	
SUBJECT	REQUEST APPROVAL OF CONTRACT #22-002 WITH THE CANTON GROUP FOR ELECTION MANAGEMENT SYSTEM IMPLEMENTATION AND SERVICES	
PROGRAM	Elections	
AUTHORIZES DELEGATED AUTHORITY TO DEPT	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
SOLE SOURCE CONTRACT	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
	If Yes, please explain why:	
DEADLINES/ TIME CONSTRAINTS		
COST & FUNDING	Total cost: \$39,475,839.90	<p>The total cost for the agreement, including the ten percent (10%) pool funds is \$39,475,839.90 over 10.5 years. The anticipated FY 21-22 cost of \$1.0 million will be partially offset with one-time State grant funds in the amount of \$752,000 and the remainder is included within the Department's FY 21-22 Final Adopted Budget. The Department submitted a funding request for the EMS in the FY 2022-23 Recommended Budget. The estimated FY 2022-23 cost is \$9.67 million (\$1.16 million in ongoing and \$8.51 million in one-time) which will be partially offset with one-time State grants funds in the amount of \$4,106,000. Funding to finance the future years will be requested through the annual budget process.</p> <p>The \$4,857,000 State grant funds referenced above requires a 3:1 match. The Department is applying for Chief Information Office Legacy Funding for FY 2022-23 for the required match amount of \$1,620,000. RR/CC will be presenting to the IT Investment Board on April 28, 2022.</p>
	TERMS (if applicable): 10.5 years	
	Explanation:	
PURPOSE OF REQUEST	<p>The Department seeks to empower the organization to more efficiently prepare for and administer successful elections and comply with legal mandates – now and in the future – by implementing a modern, scalable, and secure EMS within a well-constructed integration landscape.</p> <p>The vision for the future state EMS is built around a solution that uses modern technology, is highly aligned to functional needs and has the ability to streamline processes. The EMS will support new voting administration models and will better integrate with other systems such as VoteCal and the County's recently implemented, Voting Solutions for All People (VSAP) system.</p>	
BACKGROUND (include internal/external issues that may exist including any related motions)	<p>An Election Management System (EMS) is the backbone to a county's voting system. It contains voter registration data, candidate filing services and election configuration specifications, amongst many other features. The County has been using the Data Information Management System (DIMS) for election management since 1999. For many years, this EMS grew in functionality, enabled automation and operation efficiencies, improved service delivery and system reliability, and kept pace with the Department's election demands.</p> <p>In 2016, the California Secretary of State's VoteCal system was implemented. VoteCal is a federally mandated statewide voter registration database for the State of California. The integration between the County's EMS and VoteCal had a significant impact on business processes and began to strain the capabilities of the EMS. The EMS architecture, including its heavily customized code base, began to demonstrate limited flexibility and ability for growth.</p> <p>Furthermore, a changing regulatory environment, enhanced business processes, and expanded voter services resulted in the County's needs expanding beyond the current EMS's capacity. The Department seeks to implement a flexible and scalable EMS that allows the County to continue to adjust to new regulations and continue to enhance services.</p>	
EQUITY INDEX OR LENS WAS UTILIZED	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please explain how:	
SUPPORTS ONE OF THE NINE BOARD PRIORITIES	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please state which one(s) and explain how:	
DEPARTMENTAL CONTACTS	Name, Title, Phone # & Email: Name: Albert Navas, Assistant Registrar-Recorder/County Clerk, Administration Phone: (562) 462-2652 Email: anavas@rrcc.lacounty.gov	



LOS ANGELES COUNTY REGISTRAR-RECORDER/COUNTY CLERK

DEAN C. LOGAN

Registrar-Recorder/County Clerk

May 17, 2022

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, California 90012

Dear Supervisors:

REQUEST APPROVAL OF CONTRACT #22-002 WITH THE CANTON GROUP FOR ELECTION MANAGEMENT SYSTEM IMPLEMENTATION AND SERVICES (ALL DISTRICTS) (3 VOTES)

**CIO RECOMMENDATION: APPROVE () APPROVE WITH MODIFICATION ()
DISAPPROVE ()**

SUBJECT

The Department of Registrar-Recorder/County Clerk (Department) requests approval to execute Contract #22-002 with The Canton Group to provide Election Management System Implementation and Services.

IT IS RECOMMENDED THAT YOUR BOARD:

1. Delegate authority to the Registrar-Recorder/County Clerk (RR/CC), or designee, to execute a Contract substantially similar to Attachment I effective for up to six (6) years, with two (2) additional two-year optional terms and six (6) month-to-month extensions in the contract not to exceed \$39,475,839.90.
2. Delegate authority to the RR/CC, or designee, to negotiate and execute amendments to: make changes to the Contract and/or Statement of Work as operationally necessary provided that County Counsel approval is obtained. No changes will be made pursuant to this authority: (a) to the County's standard terms and conditions within the Contract unless made pursuant to changes in related County policy or applicable law or (b) in excess of the contract sum and pool dollar authorities provided under delegations 3 and 4 below.

3. Delegate authority to the RR/CC, or designee, to execute Change Orders for additional goods and services with allocated pool dollars not to exceed \$3,588,712.71 provided that prior approval from Chief Executive Office and County Counsel is obtained.
4. Delegate authority to the RR/CC, or designee, to execute increases to the original contract sum (\$35,887,127.19) by no more than ten percent (10%) for unforeseen contingencies provided that prior approval from County Counsel and CEO is obtained.
5. Delegate authority to the RR/CC, or designee, to terminate the Contract in whole or in part as necessary provided that County Counsel approval is obtained.

PURPOSE / JUSTIFICATION OF RECOMMENDED ACTION

An Election Management System (EMS) is the backbone to a County's voting ecosystem. It contains voter registration data, candidate filing services and election configuration specifications, amongst many other features. The County has been using the Data Information Management System (DIMS) for election management since 1999. For many years, this EMS grew in functionality, enabled automation and operation efficiencies, improved service delivery and system reliability, and kept pace with The Department's election demands.

In 2016, the California Secretary of State's VoteCal system was implemented. VoteCal is a federally mandated statewide voter registration database for the State of California. The integration between the County's EMS and VoteCal had a significant impact on business processes and began to strain the capabilities of the EMS. The EMS architecture, including its heavily customized code base, began to demonstrate limited flexibility and ability for growth.

Furthermore, a changing regulatory environment, enhanced business processes, and expanded voter services resulted in the County's needs expanding beyond the current EMS's capacity. The Department seeks to implement a flexible and scalable EMS that allows the County to continue to adjust to new regulations and continue to enhance services.

The vision for the future state EMS is built around a solution that uses modern technology, is highly aligned to functional needs and has the ability to streamline processes. The EMS will support new voting administration models and will better integrate with other systems such as VoteCal and the County's recently implemented, Voting Solutions for All People (VSAP) system.

The Department seeks to empower the organization to more efficiently prepare for and administer successful elections and comply with legal mandates – now and in the future – by implementing a modern, scalable, and secure EMS within a well-constructed integration landscape.

IMPLEMENTATION OF STRATEGIC PLAN GOALS

This request supports the County Strategic Plan as follows:

Goal No. III, Technology/Innovation: Improve the use of technology so that Department personnel can work together efficiently to solve workplace challenges. The contract will

implement a modern, scalable, and secure election and voter data management solution within a well-constructed integration landscape.

FISCAL IMPACT / FINANCING

The total cost for the agreement including pool funds is \$39,475,839.90 over 10.5 years. The anticipated FY 21-22 cost of \$1.0 million will be partially offset with one-time State grant funds in the amount of \$752,000 and the remainder is included within the Department's FY 21-22 Final Adopted Budget. The Department submitted a funding request for the EMS in the FY 2022-23 Recommended Budget. The estimated FY 2022-23 cost is \$9.67 million (\$1.16 million in ongoing and \$8.51 million in one-time) which will be partially offset with one-time State grants funds in the amount of \$4,106,000. Funding to finance the future years will be requested through the annual budget process.

The \$4,857,000 State grant funds referenced above requires a 3:1 match. The Department is applying for Chief Information Office Legacy Funding for FY 2022-23 for the required match amount of \$1,620,000. RR/CC will be presenting to the IT Investment Board on April 28, 2022.

The Contract utilizes a fixed price model. A fixed price model provides significant predictability and control over potential cost changes in the Contract's pricing through the end of the Contract. The Contract's pricing includes all software license costs, as well as the costs associated with development, implementation and ongoing maintenance and support.

The maximum Contract Sum will not exceed \$39,475,839.90. The Contract has the following pricing components:

(1) Contract Elements: These costs are comprised of hardware, software engineering, implementation (including integration, certification, hosting, licensing, training, and help desk services), maintenance and support, and estimated taxes. These costs will not exceed \$35,887,127.19.

(2) Optional Work: These costs are comprised of Additional Goods and Services with allocated pool dollars in the total contract value. These costs will not exceed \$3,588,712.71.

FACTS AND PROVISIONS / LEGAL REQUIREMENTS

The Contract contains County standard provisions regarding contractor obligations and compliance with all Board of Supervisors, CEO, and County Counsel requirements.

In compliance with Board Policy 6.020 "Chief Information Office Board Letter Approval", the Office of the Chief Information Officer (OCIO) reviewed the information technology (IT) components of this request. The OCIO determined this recommended action includes new IT items that necessitate a formal CIO Analysis (Attachment II).

The contract contains Board required provisions including those pertaining to consideration of qualified County employees targeted for layoff, as well as qualified GAIN/GROW participants for employment openings, compliance with Jury Duty Ordinance, and Child Support Compliance Programs. In addition, The Canton Group is required to notify the

County when the contract term is within six (6) months from expiration and when it has reached seventy-five percent (75%) of the authorized Contract Sum.

CONTRACTING PROCESS

The Department issued Request for Proposals (RFP) #21-006 on August 16, 2021, on the County's "Doing Business with the County" website for proposals from firms that provide Election Management System Implementation and Services. Additionally, the RFP was made available for download on the Departmental website and RFP solicitation letters were sent to viable service providers found via market scan and Internet search. A Proposers Conference was held online on August 24, 2021, attended by twenty (20) vendors.

Advertisements were published with the following newspapers that cover all five Board Districts: Los Angeles Times, Los Angeles Daily News, and Whittier Daily News. The RFP was also placed on social media via the Department's Facebook and Twitter accounts. The Department received submissions from five (5) proposers.

The three-phase evaluation process covered minimum requirements, technical and cost proposals, and finalist presentations resulting in The Canton Group as the top ranked, highest scored proposer who is recommended as the contractor for this Contract.

The CEO has reviewed and recommends approval of this Board Letter. County Counsel has reviewed this Board letter and approved as to form. CEO Risk Management Branch has reviewed and approved the insurance and indemnification provisions in the recommended master as to form.

IMPACT ON CURRENT SERVICES

Your Board's approval of the noted actions will empower the organization to efficiently prepare for and administer successful elections and comply with legal mandates now and in the future.

Respectfully submitted,

Reviewed by:

DEAN C. LOGAN
Registrar-Recorder/County Clerk

PETER LOO
Acting Chief Information Officer

DCL:JG:AB
AN:MF:AN
NH:JS:VW
jw

Attachments

c: Executive Office, Board of Supervisors
Chief Executive Office
County Counsel
Chief Information Office



CONTRACT BY AND BETWEEN

COUNTY OF LOS ANGELES

AND

THE CANTON GROUP

FOR

ELECTION MANAGEMENT SYSTEM (EMS)
IMPLEMENTATION AND SERVICES

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Appendix A	Statement of Requirements
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	A.2 Functional Requirements Matrix
Appendix B	Deliverables Definition Table
Appendix C	Deliverable Expectation Document (DED)
Appendix D	Deliverable Acceptance Document (DAD)
Appendix E	Contract Discrepancy Report
Appendix F	Performance Requirements Summary (PRS)
B	Pricing Schedule
	B.1 Rates for Other Goods and Services
C	Contractor's Proposed Schedule
D	Contractor's EEO Certification
E	County's Administration
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K	Definitions
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M	EMS Holdback Timeframes
N	Intentionally Omitted
O	COVID-19 Vaccination Certification of Compliance
P	Performance Bond
Q	Intentionally Omitted
R	Intentionally Omitted
S	Intentionally Omitted
T	Contractor's Proposal

CONTRACT BETWEEN
COUNTY OF LOS ANGELES
AND
THE CANTON GROUP
FOR
ELECTION MANAGEMENT SYSTEM (EMS)
IMPLEMENTATION AND SERVICES

This Contract ("Contract") made and entered into this _____ day of _____, 2022 ("Effective Date") by and between the County of Los Angeles, hereinafter referred to as County and The Canton Group, hereinafter referred to as "Contractor". Contractor is located at 2920 O'Donnell Street, Baltimore, Maryland 21224. (Each a "Party" and, collectively, the "Parties.")

RECITALS

WHEREAS, pursuant to Government Code Section 31000, the Board of Supervisors ("Board") is authorized to contract for special services; and

WHEREAS, the Contractor is a private firm specializing in providing Election Management System ("EMS") Implementation and Services; and

WHEREAS, the Contractor warrants that it possesses the necessary special skills, experience, knowledge, technical competence, and sufficient staffing to perform under this Contract; and

WHEREAS, the Contractor has submitted a proposal to the County's Registrar-Recorder/County Clerk ("Department" or "RR/CC") for the implementation and support of an Election Management System ("Services") based upon the Request For Proposal process, Contractor has been selected for recommendation for award of such Contract; and

WHEREAS, the County desires that Contractor provide, and Contractor agrees to provide the Services for the Department in accordance with the terms and conditions set forth in this Contract; and

WHEREAS, the Board has authorized the Department to administer this Contract;

NOW THEREFORE, in consideration of the foregoing Recitals (which are incorporated herein), and the mutual covenants contained herein, and for good and valuable consideration, the Parties agree to the following:

1 APPLICABLE DOCUMENTS

All Exhibits attached hereto form a part of this Contract. The Contract, all Exhibits and the Contractor Proposal collectively constitute the "Contract Documents." In the event of any conflict or inconsistency in the definition or interpretation of any word, responsibility, schedule, or the contents or description of any task, Deliverable, goods, service, or other work, or otherwise between the base Contract and the Exhibits, or between Exhibits, such conflict or inconsistency shall be resolved by giving precedence first to the terms and conditions of the Contract and then to the Exhibits according to the following priority:

- 1.1 Exhibit A - Statement of Work
 - A.1 Implementation SOW
 - A.2 Hosting SOW
 - A.3 Maintenance and Support SOW
- Appendix A Statement of Requirements
 - A.1 Technical Requirements Matrix
 - A.2 Functional Requirements Matrix
- Appendix B Deliverable Definitions Table
- Appendix C Deliverable Expectation Document (DED)
- Appendix D Deliverable Acceptance Document (DAD)
- Appendix E Contract Discrepancy Report
- Appendix F Performance Requirements Summary
- 1.2 Exhibit B - Pricing Schedule
 - B.1 Rates for Other Goods and Services
- 1.3 Exhibit C - Contractor's Proposed Schedule
- 1.4 Exhibit D - Contractor's EEO Certification
- 1.5 Exhibit E - County's Administration
- 1.6 Exhibit F - Contractor's Administration
 - F.1 Contractor's Key Personnel
 - F.2 Contractor's Subcontractors

- 1.7 Exhibit G - Forms Required at the Time of Contract Execution
 - G1 Contractor Acknowledgement and Confidentiality Agreement
 - G2 Contractor Employee Acknowledgement and Confidentiality Agreement
- 1.8 Exhibit H - Jury Service Ordinance
- 1.9 Exhibit I - Safely Surrendered Baby Law
- 1.10 Exhibit J - Information Security and Privacy Requirements
 - J.1 Background Check Form
- 1.11 Exhibit K - Definitions
- 1.12 Exhibit L - Intentionally Omitted
- 1.13 Exhibit M - EMS Holdback Timeframes
- 1.14 Exhibit N - Intentionally Omitted
- 1.15 Exhibit O - COVID-19 Vaccination Certification of Compliance
- 1.16 Exhibit P - Performance Bond
- 1.17 Exhibit Q - Intentionally Omitted
- 1.18 Exhibit R - Intentionally Omitted
- 1.19 Exhibit S - Intentionally Omitted
- 1.20 Exhibit T - Contractor's Proposal

This Contract constitutes the complete and exclusive statement of understanding between the parties, and supersedes all previous contracts, written and oral, and all communications between the parties relating to the subject matter of this Contract. No change to this Contract shall be valid unless prepared pursuant to Section 8.1 (Amendments, Change Orders, and Change Notices) and signed by both parties.

2 DEFINITIONS

All capitalized terms, words and phrases shall have the meaning given in Exhibit K (Definitions) whenever used in this Contract, including the body of the Contract and Statements of Work, Attachments, Appendices, and Schedules hereto. In the event there is a conflict between how a term is defined in Exhibit K (Definitions) and any other portion of the Contract, the order of precedence for understanding the meaning of that term shall be as follows: (a) how that term is defined in the

body of the Contract, (b) how that term is defined in Exhibit K (Definitions), (c) how that term is defined in the Statement of Work, and (d) how that term is defined in the other Exhibits, Appendices, Attachments, or Schedules pursuant to Section 1 (Applicable Documents). Unless otherwise specified in Exhibit K (Definitions), all references in Exhibit K (Definitions) to Sections shall refer to the respective Sections of the body of the Contract (rather than the Exhibits or Appendices thereto).

3 WORK

- 3.1 Pursuant to the provisions of this Contract, the Contractor shall fully perform, complete and deliver on time, all tasks, Deliverables, Services, and other work as set forth in herein.
- 3.2 If the Contractor provides any tasks, Deliverables, goods, Services, or other work, other than as specified in this contract, the same shall be deemed to be a gratuitous effort on the part of the contractor, and the contractor shall have no claim whatsoever against the County.

4 TERM OF CONTRACT

- 4.1 The term of this Contract shall be (individual or collectively as the "Term"):
 - 4.1.1 Six (6) years commencing after execution by the County's Board, unless sooner terminated or extended, in whole or in part, as provided in this Contract; and
 - 4.1.2 Optional renewal terms at the County's discretion including two (2) additional two (2) year terms, and six (6) month-to-month extensions, for a potential total Term of ten (10) years and (6) months, unless sooner terminated, in whole or in part, as provided in this Contract.
- 4.2 The County maintains a database that tracks/monitors Contractor performance history. Information entered into the database may be used for a variety of purposes, including determining whether the County will exercise a contract term extension option.
- 4.3 The Contractor shall notify Department when this Contract is within six (6) months of the expiration of the term as provided for hereinabove. Upon occurrence of this event, the Contractor shall send written notification to Department at the address herein provided in Exhibit E (County's Administration).

5 CONTRACT SUM

5.1 Total Contract Sum

- 5.1.1 The “Contract Sum” under this Contract shall be the total monetary amount payable by County to Contractor for supplying all Tasks, Subtasks, Deliverables, goods, services, and other Work specified under this Contract. The Contract Sum for this Contract, including all applicable taxes, authorized by County hereunder is thirty-five million, eight hundred eighty-seven thousand, and one hundred twenty-seven dollars and nineteen cents (\$35,887,127.19) plus any amount of Pool Dollars not to exceed three million, five-hundred eighty-eight thousand, and seven hundred twelve dollars and seventy-one cents (\$3,588,712.71) which County decides to expend at its sole discretion at the Contract rates as specified in Exhibit B (Pricing Schedule).
- 5.1.2 The fees and other applicable rates for the Term of the Contract are set forth in Exhibit B (Pricing Schedule). Contractor’s fees shall remain firm and fixed prices for the Term of the Contract.
- 5.1.3 In addition to any other Contract modification requirements under the Contract, an Amendment to the Contract Sum shall be prepared and executed by the Contractor and by the RR/CC or designee, provided County Counsel approval is obtained prior to execution of such Amendment.
- 5.1.4 The maximum Contract Sum shall not exceed thirty-nine million, four-hundred seventy-five thousand, eight hundred thirty-nine dollars and ninety cents (\$39,475,839.90).

5.2 Written Approval for Reimbursement

- 5.2.1 The Contractor shall not be entitled to payment or reimbursement for any tasks or services performed, nor for any incidental or administrative expenses whatsoever incurred in or incidental to performance hereunder, except as specified herein. Assumption or takeover of any of the Contractor’s duties, responsibilities, obligations, or performance of same by any person or entity other than the Contractor, whether through assignment, subcontract, delegation, merger, buyout, or any other mechanism, with or without consideration for any reason whatsoever, shall not occur except with the County’s express prior written approval.

5.3 Notification of 75% of Total Contract Sum

- 5.3.1 The Contractor shall maintain a system of record keeping that will allow the Contractor to determine when it has incurred seventy-five percent (75%) of the total contract sum under this Contract. Upon occurrence of this event, the Contractor shall send written notification to Department at the address herein provided in Exhibit E (County's Administration).

5.4 No Payment for Services Provided Following Expiration- Termination of Contract

- 5.4.1 The Contractor shall have no claim against County for payment of any money or reimbursement, of any kind whatsoever, for any Service provided by the Contractor after the expiration or other termination of this Contract. Should the Contractor receive any such payment it shall immediately notify County and shall immediately repay all such funds to County. Payment by County for Services rendered after expiration or termination of this Contract shall not constitute a waiver of County's right to recover such payment from the Contractor. This provision shall survive the expiration or other termination of this Contract.

5.5 Invoices and Payments

- 5.5.1 The Contractor shall invoice the County only for providing the tasks, Deliverables, goods, licenses, Services, and other work specified in Exhibit A (Statement of Work) and elsewhere hereunder. The Contractor shall prepare invoices, which shall include the charges owed to the Contractor by the County under the terms of this Contract. The Contractor's payments shall be as provided in Exhibit B (Pricing Schedule) and the Contractor shall be paid only for the tasks, Deliverables, goods, Services, and other work approved in writing by the County. If the County does not approve work in writing no payment shall be due to the Contractor for that work.
- 5.5.2 The Contractor's invoices shall be priced in accordance with Exhibit B (Pricing Schedule).
- 5.5.3 The Contractor's invoices shall contain the information set forth in Exhibit A (Statement of Work) describing the tasks, Deliverables, goods, Services, work hours, and facility and/or other work for which payment is claimed.
- 5.5.4 The Contractor shall submit the monthly invoices to the County by the fifteenth (15th) calendar day of the month following the month of service.

- 5.5.5 All invoices under this Contract shall be submitted electronically (via e-mail to the County, or if by mail, in two (2) copies to the following address:

Department of Registrar-Recorder/County Clerk
Financial Services Section
12400 Imperial Highway
Room 7213
Norwalk, CA 90650
E-mail: accountspayable@rrcc.lacounty.gov

5.5.6 Holdbacks

County will hold back fifteen percent (15%) of the amount of each invoice submitted by the Contractor under this Contract prior to Final Acceptance and approved by the County pursuant to this Section 5.5.6 (Holdbacks) shall be due and payable to the Contractor in accordance with the below schedule, as depicted in Exhibit M (EMS Holdback Timeframes), and conditions, all further subject to adjustment of any amounts arising under this Contract owed to the County by the Contractor, including, but not limited to, any amount arising from Section 8.26 (Liquidated Damages) and any partial termination of any task or Deliverable set forth in Exhibit A (Statement of Work) provided herein.

- (a) Twenty-five percent (25%) of total holdbacks will be due and payable upon Final Acceptance of the EMS as defined in Exhibit A.1 – Implementation SOW 11.3.2 - Receive Final Acceptance and Exhibit K (Definitions).
- (b) Twenty-five percent (25%) of total holdbacks shall be due and payable on the date of certification by County of the 2024 Presidential Primary election results with no challenges filed on or before thirty (30) days following the date of such certification; provided that any holdbacks not released pursuant to this paragraph because of a challenge shall be released upon (x) a final non-appealable judgment (whether in substance or because the time period for filing an appeal has lapsed without such filing) which upholds the validity of such election or, if the validity of such election is not upheld, the basis for such determination of invalidity is based on matters other than a defect in the EMS or other alleged default by the Contractor in the provision of goods, services, or deliverables under this Contract, (y) the dismissal with prejudice of such challenge or (z) the claim is finally resolved in accordance with the Applicable Law for such claim. If the challenge results in a determination that the basis for any determination of invalidity is based on a defect in the EMS or other alleged default by the Contractor

in the provision of goods, Services, or Deliverables under this Contract, then the balance of the holdbacks not released pursuant to this paragraph because of a challenge shall be released upon the Contractor's correction, at its sole cost, of the defects or defaults specified in such determination.

- (c) Twenty-five percent (25%) of total holdbacks shall be due and payable upon successful certification by County of the 2024 Presidential General election results with no challenges filed on or before thirty (30) days following the date of such certification; provided that any holdbacks previously held back due to a challenge shall not be released until such time as the challenge is resolved; provided further that any holdbacks not released pursuant to this paragraph because of a challenge shall be released upon (x) a final non-appealable judgment (whether in substance or because the time period for filing an appeal has lapsed without such filing) which upholds the validity of such election or, if the validity of such election is not upheld, the basis for such determination of invalidity is based on matters other than a defect in the EMS or other alleged default by the Contractor in the provision of goods, Services, or Deliverables under this Contract, (y) the dismissal with prejudice of such challenge or (z) the claim is finally resolved in accordance with the Applicable Law for such claim. If the challenge results in a determination that the basis for any determination of invalidity is based on a defect in the EMS or other alleged default by the Contractor in the provision of goods, Services, or Deliverables under this Contract, then the balance of the holdbacks not released pursuant to this paragraph because of a challenge shall be released upon the Contractor's correction, at its sole cost, of the defects or defaults specified in such determination.
- (d) Any remaining holdbacks (other than holdbacks under clause (c)) will be due and payable upon successful completion of Warranty as defined in Exhibit K (Definitions).

5.5.7 County Approval of Invoices

All invoices submitted by the Contractor for payment must have the written approval of the County's Project Manager prior to any payment thereof. In no event shall the County be liable or responsible for any payment prior to such written approval. Approval for payment will not be unreasonably withheld.

5.6 Intentionally Omitted

5.7 Default Method of Payment: Direct Deposit or Electronic Funds Transfer

- 5.7.1 The County, at its sole discretion, has determined that the most efficient and secure default form of payment for goods and/or services provided under an agreement/contract with the County shall be Electronic Funds Transfer (EFT) or direct deposit, unless an alternative method of payment is deemed appropriate by the Auditor-Controller (A-C).
- 5.7.2 The Contractor shall submit a direct deposit authorization request via the website <https://directdeposit.lacounty.gov> with banking and vendor information, and any other information that the A-C determines is reasonably necessary to process the payment and comply with all accounting, record keeping, and tax reporting requirements.
- 5.7.3 Any provision of law, grant, or funding agreement requiring a specific form or method of payment other than EFT or direct deposit shall supersede this requirement with respect to those payments.
- 5.7.4 At any time during the duration of the agreement/contract, the Contractor may submit a written request for an exemption to this requirement. Such request must be based on specific legal, business, or operational needs and explain why the payment method designated by the A-C is not feasible and an alternative is necessary. The A-C, in consultation with the contracting department(s), shall decide whether to approve exemption requests.

6 ADMINISTRATION OF CONTRACT - COUNTY

6.1 County Administration

- 6.1.1 A listing of all County Administration referenced in the following subparagraphs are designated in Exhibit E (County's Administration). The County will notify the Contractor in writing of any change in the names or addresses shown.

6.2 County's Project Director

- 6.2.1 The role of the County's Project Director may include:
 - 6.2.1.1 Coordinating with Contractor and ensuring Contractor's performance of the Contract; however, in no event shall Contractor's obligation to fully satisfy all of the

requirements of this Contract be relieved, excused, or limited thereby; and

- 6.2.1.2 Upon request of the Contractor, providing direction to the Contractor, as appropriate in areas relating to County policy, information requirements, and procedural requirements; however, in no event, shall Contractor's obligation to fully satisfy all of the requirements of this Contract be relieved, excused, or limited thereby.

6.3 County's Project Manager

6.3.1 The role of the County's Project Manager is authorized to include:

- 6.3.1.1 Meeting with the Contractor's Project Manager on a regular basis; and
- 6.3.1.2 Inspecting any and all tasks, Deliverables, goods, Services, or other work provided by or on behalf of the Contractor; however, in no event shall Contractor's obligation to fully satisfy all of the requirements of this Contract be relieved, excused, or limited thereby.

The County's Project Manager is not authorized to make any changes in any of the terms and conditions of this Contract and is not authorized to further obligate County in any respect whatsoever.

6.4 County's Contract Project Monitor

6.4.1 The role of the County's Project Monitor is to oversee the day-to-day administration of this Contract; however, in no event shall Contractor's obligation to fully satisfy all of the requirements of this Contract be relieved, excused, or limited thereby. The Project Monitor reports to the County's Project Manager.

7 ADMINISTRATION OF CONTRACT - CONTRACTOR

7.1 Contractor Administration

A listing of all of Contractor's Administration referenced in the following paragraphs is designated in Exhibit F (Contractor's Administration). The Contractor will notify the County in writing of any change in the names or addresses shown.

7.2 Project Manager

7.2.1 The Contractor's Project Manager is designated in Exhibit F (Contractor's Administration). The Contractor shall notify the

County in writing of any change in the name or address of the Contractor's Project Manager.

- 7.2.2 The Contractor's Project Manager shall be responsible for the Contractor's day-to-day activities as related to this Contract and shall meet and coordinate with County's Project Manager and County's Contract Project Monitor on a regular basis.

7.3 Approval of Contractor's Staff

- 7.3.1 County has the absolute right to approve or disapprove all of the Contractor's staff performing work hereunder and any proposed changes in the Contractor's staff, including, but not limited to, the Contractor's Project Manager.

7.4 Contractor's Staff Identification

County shall provide, at Contractor's expense, all staff providing Services under this Contract with a photo identification badge.

All of Contractor's employees assigned to County facilities are required to have a County Identification (ID) badge on their person and visible at all times. Contractor bears all expense of the badging.

- 7.4.1 Contractor is responsible to ensure that employees have obtained a County ID badge before they are assigned to work in a County facility. Contractor personnel may be asked by a County representative to leave a County facility if they do not have the proper County ID badge on their person and Contractor personnel must immediately comply with such request.
- 7.4.2 Contractor shall notify the County within one business day when staff is terminated from working under this Contract. Contractor shall retrieve and return an employee's County ID badge to the County on the next business day after the employee has terminated employment with the Contractor.
- 7.4.3 If County requests the removal of Contractor's staff, Contractor shall retrieve and return an employee's County ID badge to the County on the next business day after the employee has been removed from working on the County's Contract.

7.5 Background and Security Investigations

- 7.5.1 Each of Contractor's staff performing Services under this Contract, who is in a designated sensitive position, as determined by County in County's sole discretion, shall undergo and pass a background investigation to the satisfaction of County as a condition of beginning and continuing to perform Services under this Contract. Such background investigation must be obtained

through fingerprints submitted to the California Department of Justice to include State, local, and Federal-level review, which may include, but shall not be limited to, criminal conviction information. At the County's sole and absolute discretion it may accept other completed background checks of equivalent scope as those done using Live Scans through the CA DOJ for non-California residents. Examples of disqualifying factors include, but are not limited to, convictions for bribery, robbery, theft, fraud, embezzlement, forgery, extortion and perjury, or possession, sale or attempt to sell a controlled substance, and possession, sale or attempt to sell stolen property, or any felony conviction or conviction of a misdemeanor involving moral turpitude, and job-related misdemeanor convictions. The fees associated with the background investigation shall be at the expense of the Contractor, regardless of whether the member of Contractor's staff passes or fails the background investigation.

If a member of Contractor's staff does not pass the background investigation, County may request that the member of Contractor's staff be removed immediately from performing Services under the Contract. Contractor shall comply with County's request at any time during the Term of the Contract. County will not provide to Contractor or to Contractor's staff any information obtained through the County's background investigation.

- 7.5.2 County, in its sole discretion, may immediately deny or terminate facility access to any member of Contractor's staff that does not pass such investigation to the satisfaction of the County or whose background or conduct is incompatible with County facility access.
- 7.5.3 Disqualification of any member of Contractor's staff pursuant to this Section 7.5 (Background and Security Investigations) shall not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Contract.

7.6 Confidentiality

- 7.6.1 Contractor shall maintain the confidentiality of all records and information in accordance with all applicable Federal, State and local laws, rules, regulations, ordinances, directives, guidelines, policies and procedures relating to confidentiality, including, without limitation, County policies concerning information technology security and the protection of confidential records and information.
- 7.6.2 Contractor shall indemnify, defend, and hold harmless County, its officers, employees, and agents, from and against any and all claims, demands, damages, liabilities, losses, costs and

expenses, including, without limitation, defense costs and legal, accounting and other expert, consulting, or professional fees, arising from, connected with, or related to any failure by Contractor, its officers, employees, agents, or Subcontractors, to comply with this Section 7.6 (Confidentiality), as determined by County in its sole judgment. Any legal defense pursuant to Contractor's indemnification obligations under this Section 7.6 (Confidentiality) shall be conducted by Contractor and performed by counsel selected by Contractor and approved by County. Notwithstanding the preceding sentence, County shall have the right to participate in any such defense at its sole cost and expense, except that in the event Contractor fails to provide County with a full and adequate defense, as determined by County in its sole judgment, County shall be entitled to retain its own counsel, including, without limitation, County Counsel, and to reimbursement from Contractor for all such costs and expenses incurred by County in doing so. Contractor shall not have the right to enter into any settlement, agree to any injunction, or make any admission, in each case, on behalf of County without County's prior written approval.

- 7.6.3 Contractor shall inform all of its officers, employees, agents, and Subcontractors providing Services hereunder of the confidentiality provisions of this Contract.
- 7.6.4 Contractor and each Subcontractor, along with respective employees of each that receive County Confidential Information or County Data, shall sign and adhere to the provisions of the Exhibit G1 (Contractor Acknowledgement and Confidentiality Contract) and Exhibit G2 (Contractor Employee Acknowledgement and Confidentiality). In addition to any other requirements related to Subcontractor Work under this Contract, including Section 8.40 (Budget Reductions), Contractor shall be responsible to ensure that Subcontractor and each Subcontractor employee complies with the requirements of this Section 7.6 (Confidentiality).
- 7.6.5 **Data Security.** In addition to all information and data security requirements in this Contract including Statements of Work (Exhibits A.1, A.2 and A.3), Contractor shall comply with, and ensure that the Services and EMS conform to, all information technology, information security, privacy and other digital and electronic protection requirements pursuant to applicable federal, state and local laws as well as the County Information Security and Privacy Requirements (Exhibit J).

8 STANDARD TERMS AND CONDITIONS

8.1 Amendments, Change Orders, and Change Notices

- 8.1.1 No representative of either County or Contractor, including those named in this Contract, is authorized to make any changes in any of the terms, obligations, or conditions of this Contract, except through the procedures set forth in this Section 8.1 (Amendments, Change Orders, and Change Notices). Any change to any work and to any other provisions of this Contract shall be accomplished only as provided in this Section 8.1 (Amendments, Change Orders, and Change Notices).
- 8.1.2 The County reserves the right to initiate Change Orders that either (i) do not (a) affect the Contract Term or Total Contract Sum or payments and (b) materially alter the Contract, or (ii) for any expenditure of Pool Dollars. All such changes shall be executed with a Change Order to this Contract signed by the Contractor and by the County's Project Director (or either such party's designee); provided that any Change Order for additional work or any modification of the work, shall additionally require an additional Statement of Work, or amendment to the Statement of Work, and written approval of County's Chief Information Office and County Counsel.
- 8.1.3 For any change which affects the Contract Sum and/or Statement of Work but does not materially alter the Contract, an Amendment to this Contract shall be prepared and executed by the Contractor and by the RR/CC or designee, provided County Counsel approval is obtained prior to execution of such Amendment.
- 8.1.4 For any change which (a) affects the Contract Term (other than exercise of below or resulting from Force Majeure), the Contract Sum, and/or Statement of Work under this Contract and (b) materially alters the Contract, an Amendment to this Contract shall be prepared and executed by the Contractor and by the Board or its authorized designee.
- 8.1.5 For any change which is clerical or administrative in nature and/or does not affect any term or condition of this Agreement, a written change order ("Change Notice") may be prepared and executed by the RR/CC or designee.

8.2 Assignment and Delegation/Mergers or Acquisitions

- 8.2.1 The contractor shall notify the County of any pending acquisitions/mergers of its company unless otherwise legally prohibited from doing so. If the contractor is restricted from legally notifying the County of pending acquisitions/mergers, then it should

notify the County of the actual acquisitions/mergers as soon as the law allows and provide to the County the legal framework that restricted it from notifying the County prior to the actual acquisitions/mergers.

- 8.2.2 The contractor shall not assign, exchange, transfer, or delegate its rights or duties under this Contract, whether in whole or in part, without the prior written consent of County, in its discretion, and any attempted assignment, delegation, or otherwise transfer of its rights or duties, without such consent shall be null and void. For purposes of this paragraph, County consent shall require a written Amendment to the Contract, which is formally approved and executed by the parties. Any payments by the County to any approved delegate or assignee on any claim under this Contract shall be deductible, at County's sole discretion, against the claims, which the contractor may have against the County.
- 8.2.3 Any assumption, assignment, delegation, or takeover of any of the contractor's duties, responsibilities, obligations, or performance of same by any person or entity other than the contractor, whether through assignment, subcontract, delegation, merger, buyout, or any other mechanism, with or without consideration for any reason whatsoever without County's express prior written approval, shall be a material breach of the Contract which may result in the termination of this Contract. In the event of such termination, County shall be entitled to pursue the same remedies against contractor as it could pursue in the event of default by contractor.

8.3 Representations and Warranties:

The Contractor represents, warrants and covenants that:

- 8.3.1 The Person executing this Contract for the Contractor is an authorized agent who has actual authority to bind the Contractor to each and every term, condition, and obligation of this Contract and that all actions required of the Contractor to provide such actual authority have been fulfilled.
- 8.3.2 The Services will be performed in a professional, competent, and timely manner by appropriately qualified Contractor personnel in accordance with this Contract and consistent with industry best practices.
- 8.3.3 The EMS shall conform to the specifications and requirements set forth in this Contract without material deviations for the period commencing upon the Commencement Date and continuing through the expiration or termination of Maintenance and Support Contract Term. Contractor shall institute quality controls, including suitable testing procedures, if any, to ensure that the EMS

complies with the specifications in a manner consistent with the highest applicable industry standards. Upon the County's reasonable request, the County shall have the right to review Contractor's quality controls in order to verify and/or improve the quality of the EMS. This right of review includes the right to verify that there is no existing pattern or repetition of County or voter complaints regarding the EMS, including functionality or performance issues, and that Contractor's engineers have not currently identified any repeating adverse impact on the EMS, including functionality or performance, for which the root cause is believed to be a flaw or defect in the EMS.

- 8.3.4 Contractor shall not negligently cause any unplanned interruption of the operations of, or accessibility to, the EMS or any component through any device, method, or means, including, without limitation, the use of any "virus," "lockup," "time bomb," "key lock," "worm," "back door," or "Trojan Horse" device or program, or any disabling code, which has the potential or capability of compromising the security of County's Confidential Information or of causing any unplanned interruption of the operations of, or accessibility of, the EMS or any component to the County or any user or which could alter, destroy, or inhibit the use of the EMS or any component, or the information or data contained therein (collectively, "Disabling Device[s]"), which could block access to or prevent the use of the EMS or any component by the County or users. Contractor represents, warrants, and agrees that it has not purposely placed, nor is it aware of, any Disabling Device in any EMS component provided to the County under this Contract, nor shall Contractor knowingly permit any subsequently delivered or provided EMS component to contain any Disabling Device. In addition, Contractor shall prevent viruses from being incorporated or introduced into the EMS or Updates thereto prior to the installation onto the EMS and shall prevent any viruses from being incorporated or introduced in the process of Contractor's performance of online support.
- 8.3.5 The Contractor has knowledge of all Federal, State, and local laws, standards and regulations applicable to the Contractor's performance of the Services and shall perform its obligations under this Contract in conformity with such requirements and practices, including but not limited to all applicable law(s).
- 8.3.6 The EMS (including Software, Hardware and/or firmware), EMS IP, Deliverable(s), Contractor IP, related IP Materials and/or Services will not infringe the rights of any Person, including without limitation, Intellectual Property rights (i) alone, (ii) as required by, incorporated in, or combined with the EMS, or (iii) as integrated or configured with County IP, including Software, Hardware and/or firmware, or County Data.

- 8.3.7 The EMS (including Software, Hardware and/or firmware), EMS IP, Deliverable(s), Contractor IP, related IP Materials and/or Services will not, as received by the County or at any time during the Term, violate any United States export controls including without limitation, the Department of Defense International Traffic in Arms Regulations ("ITAR"), the Department of Commerce Export Administration Regulations ("EAR") or be subject to any restricted country or person as designated by the Department of the Treasury Office of Foreign Assets Control ("OFAC").

8.4 Budget Reductions

- 8.4.1 In the event that the County's Board adopts, in any fiscal year, a County Budget which provides for reductions in the salaries and benefits paid to the majority of County employees and imposes similar reductions with respect to County contracts, the County reserves the right to reduce its payment obligation under this Contract correspondingly for that fiscal year and any subsequent fiscal year during the term of this Contract (including any extensions), and the Services to be provided by the Contractor under this Contract shall also be reduced correspondingly. The County's notice to the Contractor regarding said reduction in payment obligation shall be provided within thirty (30) calendar days of the Board's approval of such actions. Except as set forth in the preceding sentence, the Contractor shall continue to provide all of the Services set forth in this Contract.

8.5 Complaints

- 8.5.1 The Contractor shall develop, maintain, and operate procedures for receiving, investigating, and responding to complaints.

8.5.2 Complaint Procedures

- 8.5.2.1 Within thirty (30) business days after the Contract effective date, the Contractor shall provide the County with the Contractor's policy for receiving, investigating, and responding to user complaints.
- 8.5.2.2 The County will review the Contractor's policy and provide the Contractor with approval of said plan or with requested changes.
- 8.5.2.3 If the County requests changes in the Contractor's policy, the Contractor shall make such changes and resubmit the plan within five (5) business days for County approval.
- 8.5.2.4 If, at any time, the Contractor wishes to change the Contractor's policy, the Contractor shall submit

proposed changes to the County for approval before implementation.

- 8.5.2.5 The Contractor shall preliminarily investigate all complaints and notify the County's Project Manager of the status of the investigation within five (5) business days of receiving the complaint.
- 8.5.2.6 When complaints cannot be resolved informally, a system of follow-through shall be instituted which adheres to formal plans for specific actions and strict time deadlines.
- 8.5.2.7 Copies of all written responses shall be sent to the County's Project Manager within three (3) business days of mailing to the complainant.

8.6 Compliance with Applicable Law

- 8.6.1 In the performance of this Contract, Contractor shall comply with all applicable Federal, State, and local laws, rules, regulations, ordinances, directives, guidelines, policies, and procedures, and all provisions required thereby to be included in this Contract are hereby incorporated herein by reference.
- 8.6.2 Contractor shall indemnify, defend, and hold harmless County, its officers, employees, and agents, from and against any and all claims, demands, damages, liabilities, losses, costs, and expenses, including, without limitation, defense costs and legal, accounting and other expert, consulting, or professional fees, arising from, connected with, or related to any failure by Contractor, its officers, employees, agents, or Subcontractors, to comply with any such laws, rules, regulations, ordinances, directives, guidelines, policies, or procedures, as determined by County in its sole judgment. Any legal defense pursuant to Contractor's indemnification obligations under Section 8.6 (Compliance with Applicable Law) shall be conducted by Contractor and performed by counsel selected by Contractor and approved by County. Notwithstanding the preceding sentence, County shall have the right to participate in any such defense at its sole cost and expense, except that in the event Contractor fails to provide County with a full and adequate defense, as determined by County in its sole judgment, County shall be entitled to retain its own counsel, including, without limitation, County Counsel, and to reimbursement from Contractor for all such costs and expenses incurred by County in doing so. Contractor shall not have the right to enter into any settlement, agree to any injunction or other equitable relief, or make any admission, in each case, on behalf of County without County's prior written approval.

8.7 Compliance with Civil Rights Laws

- 8.7.1 The Contractor hereby assures that it will comply with Subchapter VI of the Civil Rights Act of 1964, 42 USC Sections 2000 (e) (1) through 2000 (e) (17), to the end that no person shall, on the grounds of race, creed, color, sex, religion, ancestry, age, condition of physical handicap, marital status, political affiliation, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Contract or under any project, program, or activity supported by this Contract. The Contractor shall comply with Exhibit D (Contractor's EEO Certification).

8.8 Compliance with the County's Jury Service Program

8.8.1 Jury Service Program:

This Contract is subject to the provisions of the County's ordinance entitled Contractor Employee Jury Service ("Jury Service Program") as codified in Sections 2.203.010 through 2.203.090 of the Los Angeles County Code, a copy of which is attached as Exhibit H (Jury Service Ordinance) and incorporated by reference into and made a part of this Contract.

8.8.2 Written Employee Jury Service Policy.

1. Unless the Contractor has demonstrated to the County's satisfaction either that the Contractor is not a "Contractor" as defined under the Jury Service Program (Section 2.203.020 of the County Code) or that the Contractor qualifies for an exception to the Jury Service Program (Section 2.203.070 of the County Code), the Contractor shall have and adhere to a written policy that provides that its Employees (as defined below) shall receive from the Contractor, on an annual basis, no less than five (5) days of regular pay for actual jury service. The policy may provide that Employees deposit any fees received for such jury service with the Contractor or that the Contractor deduct from the Employee's regular pay the fees received for jury service.
2. For purposes of this Section 8.8.2, "Contractor" means a person, partnership, corporation or other entity which has a contract with the County or a subcontract with a County Contractor and has received or will receive an aggregate sum of fifty thousand dollars (\$50,000) or more in any twelve (12) month period under one or more County Contracts or subcontracts. "Employee" means any California resident who is a full-time employee of the

Contractor. "Full-time" means forty (40) hours or more worked per week, or a lesser number of hours if: 1) the lesser number is a recognized industry standard as determined by the County, or 2) Contractor has a long-standing practice that defines the lesser number of hours as full-time. Full-time employees providing short-term, temporary services of ninety (90) days or less within a twelve (12) month period are not considered full-time for purposes of the Jury Service Program. If the Contractor uses any Subcontractor to perform Services for the County under the Contract, the Subcontractor shall also be subject to the provisions of this paragraph. The provisions of this paragraph shall be inserted into any such subcontract agreement and a copy of the Jury Service Program shall be attached to the agreement.

3. If the Contractor is not required to comply with the Jury Service Program when the Contract commences, the Contractor shall have a continuing obligation to review the applicability of its "exception status" from the Jury Service Program, and the Contractor shall immediately notify the County if the Contractor at any time either comes within the Jury Service Program's definition of "Contractor" or if the Contractor no longer qualifies for an exception to the Jury Service Program. In either event, the Contractor shall immediately implement a written policy consistent with the Jury Service Program. The County may also require, at any time during the Contract and at its sole discretion, that the Contractor demonstrate, to the County's satisfaction that the Contractor either continues to remain outside of the Jury Service Program's definition of "Contractor" and/or that the Contractor continues to qualify for an exception to the Program.
4. Contractor's violation of this paragraph of the Contract may constitute a material breach of the Contract. In the event of such material breach, County may, in its sole discretion, terminate the Contract and/or bar the Contractor from the award of future County contracts for a period of time consistent with the seriousness of the breach.

8.9 Conflict of Interest

- 8.9.1 No County employee whose position with the County enables such employee to influence the award of this Contract or any competing Contract, and no spouse or economic dependent of such employee, shall be employed in any capacity by the Contractor or have any other direct or indirect financial interest in this Contract. No officer or employee of the Contractor who may

financially benefit from the performance of work hereunder shall in any way participate in the County's approval, or ongoing evaluation, of such work, or in any way attempt to unlawfully influence the County's approval or ongoing evaluation of such work.

- 8.9.2 The Contractor shall comply with all conflict of interest laws, ordinances, and regulations now in effect or hereafter to be enacted during the term of this Contract. The Contractor warrants that it is not now aware of any facts that create a conflict of interest. If the Contractor hereafter becomes aware of any facts that might reasonably be expected to create a conflict of interest, it shall immediately make full written disclosure of such facts to the County. Full written disclosure shall include, but is not limited to, identification of all persons implicated and a complete description of all relevant circumstances. Failure to comply with the provisions of this paragraph shall be a material breach of this Contract.

8.10 Consideration of Hiring County Employees Targeted for Layoffs or are on a County Re-Employment List

- 8.10.1 Should the Contractor require additional or replacement personnel after the effective date of this Contract to perform the Services set forth herein, the Contractor shall give first consideration for such employment openings to qualified, permanent County employees who are targeted for layoff or qualified, former County employees who are on a re-employment list during the life of this Contract.

8.11 Consideration of Hiring GAIN-GROW Participants

- 8.11.1 Should the Contractor require additional or replacement personnel after the effective date of this Contract, the Contractor shall give consideration for any such employment openings to participants in the County's Department of Public Social Services (DPSS) Greater Avenues for Independence (GAIN) Program or General Relief Opportunity for Work (GROW) Program who meet the Contractor's minimum qualifications for the open position. For this purpose, consideration shall mean that the Contractor will interview qualified candidates. The County will refer GAIN-GROW participants by job category to the contractor. Contractors shall report all job openings with job requirements to: GAINGROW@DPSS.LACOUNTY.GOV and BSERVICES@WDACS.LACOUNTY.GOV and DPSS will refer qualified GAIN/GROW job candidates.

- 8.11.2 In the event that both laid-off County employees and GAIN/GROW participants are available for hiring, County employees shall be given first priority.

8.12 Contractor Responsibility and Debarment

8.12.1 Responsible Contractor

A responsible Contractor is a contractor who has demonstrated the attribute of trustworthiness, as well as quality, fitness, capacity and experience to satisfactorily perform the Contract. It is the County's policy to conduct business only with responsible Contractors.

8.12.2 Chapter 2.202 of the County Code

The Contractor is hereby notified that, in accordance with Chapter 2.202 of the County Code, if the County acquires information concerning the performance of the Contractor on this or other Contracts which indicates that the Contractor is not responsible, the County may, in addition to other remedies provided in the Contract, debar the Contractor from bidding or proposing on, or being awarded, and/or performing work on County contracts for a specified period of time, which generally will not exceed five (5) years but may exceed five (5) years or be permanent if warranted by the circumstances, and terminate any or all existing Contracts the Contractor may have with the County.

8.12.3 Non-responsible contractor

The County may debar a Contractor if the Board finds, in its discretion, that the Contractor has done any of the following: 1) violated a term of a Contract with the County or a nonprofit corporation created by the County, 2) committed an act or omission which negatively reflects on the Contractor's quality, fitness or capacity to perform a Contract with the County, any other public entity, or a nonprofit corporation created by the County, or engaged in a pattern or practice which negatively reflects on same, 3) committed an act or offense which indicates a lack of business integrity or business honesty, or 4) made or submitted a false claim against the County or any other public entity.

8.12.4 Contractor Hearing Board

- 8.12.4.1 If there is evidence that the Contractor may be subject to debarment, the Department will notify the Contractor in writing of the evidence which is the basis for the proposed debarment and will advise the Contractor of

the scheduled date for a debarment hearing before the Contractor Hearing Board.

- 8.12.4.2 The Contractor Hearing Board will conduct a hearing where evidence on the proposed debarment is presented. The Contractor and/or the Contractor's representative shall be given an opportunity to submit evidence at that hearing. After the hearing, the Contractor Hearing Board shall prepare a tentative proposed decision, which shall contain a recommendation regarding whether the Contractor should be debarred, and, if so, the appropriate length of time of the debarment. The Contractor and the Department shall be provided an opportunity to object to the tentative proposed decision prior to its presentation to the Board.
- 8.12.4.3 After consideration of any objections, or if no objections are submitted, a record of the hearing, the proposed decision, and any other recommendation of the Contractor Hearing Board shall be presented to the Board. The Board shall have the right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board.
- 8.12.4.4 If a Contractor has been debarred for a period longer than five (5) years, that Contractor may after the debarment has been in effect for at least five (5) years, submit a written request for review of the debarment determination to reduce the period of debarment or terminate the debarment. The County may, in its discretion, reduce the period of debarment or terminate the debarment if it finds that the Contractor has adequately demonstrated one or more of the following: 1) elimination of the grounds for which the debarment was imposed; 2) a bona fide change in ownership or management; 3) material evidence discovered after debarment was imposed; or 4) any other reason that is in the best interests of the County.
- 8.12.4.5 The Contractor Hearing Board will consider a request for review of a debarment determination only where 1) the Contractor has been debarred for a period longer than five (5) years; 2) the debarment has been in effect for at least five (5) years; and 3) the request is in writing, states one or more of the grounds for reduction of the debarment period or termination of the debarment, and includes supporting documentation. Upon receiving an appropriate request, the Contractor Hearing Board will

provide notice of the hearing on the request. At the hearing, the Contractor Hearing Board shall conduct a hearing where evidence on the proposed reduction of debarment period or termination of debarment is presented. This hearing shall be conducted and the request for review decided by the Contractor Hearing Board pursuant to the same procedures as for a debarment hearing.

8.12.4.6 The Contractor Hearing Board's proposed decision shall contain a recommendation on the request to reduce the period of debarment or terminate the debarment. The Contractor Hearing Board shall present its proposed decision and recommendation to the Board. The Board shall have the right to modify, deny, or adopt the proposed decision and recommendation of the Contractor Hearing Board.

8.12.5 Subcontractors of Contractor

These terms shall also apply to Subcontractors of County Contractors.

8.13 Contractor's Acknowledgement of County's Commitment to Safely Surrendered Baby Law

8.13.1 The Contractor acknowledges that the County places a high priority on the implementation of the Safely Surrendered Baby Law. The Contractor understands that it is the County's policy to encourage all County Contractors to voluntarily post the County's "Safely Surrendered Baby Law" poster, in Exhibit I (Safely Surrendered Baby Law), in a prominent position at the Contractor's place of business. The Contractor will also encourage its Subcontractors, if any, to post this poster in a prominent position in the Subcontractor's place of business. Information and posters for printing are available at www.babysafela.org.

8.14 Contractor's Warranty of Adherence to County's Child Support Compliance Program

8.14.1 The Contractor acknowledges that the County has established a goal of ensuring that all individuals who benefit financially from the County through Contracts are in compliance with their court-ordered child, family and spousal support obligations in order to mitigate the economic burden otherwise imposed upon the County and its taxpayers.

- 8.14.2 As required by the County's Child Support Compliance Program (County Code Chapter 2.200) and without limiting the Contractor's duty under this Contract to comply with all applicable provisions of law, the Contractor warrants that it is now in compliance and shall during the term of this Contract maintain in compliance with employment and wage reporting requirements as required by the Federal Social Security Act (42 USC Section 653a) and California Unemployment Insurance Code Section 1088.5, and shall implement all lawfully served Wage and Earnings Withholding Orders or Child Support Services Department Notices of Wage and Earnings Assignment for Child, Family or Spousal Support, pursuant to Code of Civil Procedure Section 706.031 and Family Code Section 5246(b).

8.15 County's Quality Assurance Plan

The County or its agent(s) will monitor the Contractor's performance under this Contract on not less than an annual basis. Such monitoring will include assessing the Contractor's compliance with all Contract terms and conditions and performance standards. Contractor deficiencies which the County determines are significant or continuing and that may place performance of the Contract in jeopardy if not corrected will be reported to the Board and listed in the appropriate contractor performance database. The report to the Board will include improvement/corrective action measures taken by the County and the Contractor. If improvement does not occur consistent with the corrective action measures, the County may terminate this Contract or impose other penalties as specified in this Contract.

8.16 Damage to County Facilities, Buildings or Grounds

- 8.16.1 The Contractor shall repair, or cause to be repaired, at its own cost, any and all damage to County facilities, buildings, or grounds caused by the Contractor or employees, agents, or Subcontractors of the Contractor. Such repairs shall be made immediately after the Contractor has become aware of such damage, but in no event later than thirty (30) days after the occurrence.
- 8.16.2 If the Contractor fails to make timely repairs, County may make any necessary repairs. All costs incurred by County, as determined by County, for such repairs shall be repaid by the Contractor by cash payment upon demand.

8.17 Employment Eligibility Verification

- 8.17.1 The Contractor warrants that it fully complies with all Federal and State statutes and regulations regarding the employment of aliens and others and that all its employees performing work under this

Contract meet the citizenship or alien status requirements set forth in Federal and State statutes and regulations. The Contractor shall obtain, from all employees performing work hereunder, all verification and other documentation of employment eligibility status required by Federal and State statutes and regulations including, but not limited to, the Immigration Reform and Control Act of 1986, (P.L. 99-603), or as they currently exist and as they may be hereafter amended. The Contractor shall retain all such documentation for all covered employees for the period prescribed by law.

- 8.17.2 The Contractor shall indemnify, defend, and hold harmless, the County, its agents, officers, and employees from employer sanctions and any other liability which may be assessed against the Contractor or the County or both in connection with any alleged violation of any Federal or State statutes or regulations pertaining to the eligibility for employment of any persons performing work under this Contract.

8.18 Counterparts and Electronic Signatures and Representations

This Contract may be executed in two or more counterparts, each of which shall be deemed an original but all of which together shall constitute one and the same Contract. The facsimile, email, or electronic signature of the Parties shall be deemed to constitute original signatures, and facsimile or electronic copies hereof shall be deemed to constitute duplicate originals.

The County and the Contractor hereby agree to regard electronic representations of original signatures of authorized officers of each Party, when appearing in appropriate places on the Amendments prepared pursuant to Section 8.1 (Amendments, Change Orders, and Change Notices) and received via communications facilities (facsimile, email or electronic signature), as legally sufficient evidence that such legally binding signatures have been affixed to Amendments to this Contract.

8.19 Fair Labor Standards

- 8.19.1 The Contractor shall comply with all applicable provisions of the Federal Fair Labor Standards Act and shall indemnify, defend, and hold harmless the County and its agents, officers, and employees from any and all liability, including, but not limited to, wages, overtime pay, liquidated damages, penalties, court costs, and attorneys' fees arising under any wage and hour law, including, but not limited to, the Federal Fair Labor Standards Act, for work performed by the Contractor's Employees for which the County may be found jointly or solely liable.

8.20 Force Majeure

- 8.20.1 Neither Party shall be liable for such Party's failure to perform its obligations under and in accordance with this Contract, if such failure arises out of fires, floods, earthquakes, pandemics, epidemics, quarantine restrictions, other natural occurrences, strikes, lockouts (other than a lockout by such Party or any of such Party's Subcontractors), freight embargoes, or other similar events to those described above, but in every such case the failure to perform must be totally beyond the control and without any fault or negligence of such Party (such events are referred to in this paragraph as "force majeure events").
- 8.20.2 Notwithstanding the foregoing, a default by a Subcontractor of Contractor shall not constitute a force majeure event, unless such default arises out of causes beyond the control of both Contractor and such Subcontractor, and without any fault or negligence of either of them. In such case, Contractor shall not be liable for failure to perform, unless the goods or Services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit Contractor to meet the required performance schedule. As used in this subparagraph, the term "Subcontractor" and "Subcontractors" mean subcontractors at any tier.
- 8.20.3 In the event Contractor's failure to perform arises out of a force majeure event, Contractor agrees to use commercially reasonable best efforts to obtain goods or Services from other sources, if applicable, and to otherwise mitigate the damages and reduce the delay caused by such force majeure event.

8.21 Governing Law, Jurisdiction, and Venue

This Contract shall be governed by, and construed in accordance with, the laws of the State of California. The Contractor agrees and consents to the exclusive jurisdiction of the courts of the State of California for all purposes regarding this Contract and further agrees and consents that venue of any action brought hereunder shall be exclusively in the County of Los Angeles.

8.22 Independent Contractor Status

- 8.22.1 This Contract is by and between the County and the Contractor and is not intended, and shall not be construed, to create the relationship of agent, servant, employee, partnership, joint venture, or association, as between the County and the Contractor. The employees and agents of one Party shall not be, or be construed to be, the employees or agents of the other Party for any purpose whatsoever.
- 8.22.2 The Contractor shall be solely liable and responsible for providing to, or on behalf of, all persons performing work pursuant to this

Contract all compensation and benefits. The County shall have no liability or responsibility for the payment of any salaries, wages, unemployment benefits, disability benefits, Federal, State, or local taxes, or other compensation, benefits, or taxes for any personnel provided by or on behalf of the Contractor.

8.22.3 The Contractor understands and agrees that all persons performing work pursuant to this Contract are, for purposes of Workers' Compensation liability, solely employees of the Contractor and not employees of the County. The Contractor shall be solely liable and responsible for furnishing any and all Workers' Compensation benefits to any person as a result of any injuries arising from or connected with any work performed by or on behalf of the Contractor pursuant to this Contract.

8.22.4 The Contractor shall adhere to the provisions stated in Section 7.6 (Confidentiality).

8.23 Indemnification

8.23.1 The Contractor shall indemnify, defend and hold harmless the County, its Special Districts, elected and appointed officers, employees, agents and volunteers (County Indemnitees) from and against any and all liability, including but not limited to demands, claims, actions, fees, costs and expenses (including attorney and expert witness fees), arising from and/or relating to this Contract, except for such loss or damage arising from the sole negligence or willful misconduct of the County Indemnitees.

8.24 General Provisions for all Insurance Coverage

8.24.1 Without limiting Contractor's indemnification of County, and in the performance of this Contract and until all of its obligations pursuant to this Contract have been met, Contractor shall provide and maintain at its own expense insurance coverage satisfying the requirements specified in Sections 8.24 (General Provisions for all Insurance Coverage) and 8.25 (Insurance Coverage) of this Contract. These minimum insurance coverage terms, types and limits (the "Required Insurance") also are in addition to and separate from any other contractual obligation imposed upon Contractor pursuant to this Contract. The County in no way warrants that the Required Insurance is sufficient to protect the Contractor for liabilities which may arise from or relate to this Contract.

8.24.2 Evidence of Coverage and Notice to County

8.24.2.1 Certificate(s) of insurance coverage (Certificate) satisfactory to County, and a copy of an Additional Insured endorsement confirming County and its Agents

(defined below) has been given Insured status under the Contractor's General Liability policy, shall be delivered to County at the address shown below and provided prior to commencing Services under this Contract.

8.24.2.2 Renewal Certificates shall be provided to County not less than ten (10) days prior to Contractor's policy expiration dates. The County reserves the right to obtain complete, certified copies of any required Contractor and/or Subcontractor insurance policies at any time.

8.24.2.3 Certificates shall identify all Required Insurance coverage types and limits specified herein, reference this Contract by name or number, and be signed by an authorized representative of the insurer(s). The Insured party named on the Certificate shall match the name of the Contractor identified as the contracting party in this Contract. Certificates shall provide the full name of each insurer providing coverage, its NAIC (National Association of Insurance Commissioners) identification number, its financial rating, the amounts of any policy deductibles or self-insured retentions exceeding fifty thousand dollars (\$50,000), and list any County required endorsement forms.

8.24.2.4 Neither the County's failure to obtain, nor the County's receipt of, or failure to object to a non-complying insurance certificate or endorsement, or any other insurance documentation or information provided by the contractor, its insurance broker(s) and/or insurer(s), shall be construed as a waiver of any of the Required Insurance provisions.

8.24.2.5 Certificates and copies of any required endorsements shall be sent to:

Department of Registrar-Recorder/County Clerk
Contracts and Grants Section
12400 Imperial Highway
Room 7211
Norwalk, CA 90650
contracts@rrcc.lacounty.gov

8.24.2.6 Contractor also shall promptly report to County any injury or property damage accident or incident, including any injury to a Contractor employee occurring on County property, and any loss, disappearance,

destruction, misuse, or theft of County property, monies or securities entrusted to contractor. Contractor also shall promptly notify County of any third party claim or suit filed against Contractor or any of its Subcontractors which arises from or relates to this Contract and could result in the filing of a claim or lawsuit against Contractor and/or County.

8.24.3 Additional Insured Status and Scope of Coverage

The County of Los Angeles, its Special Districts, Elected Officials, officers, agents, employees and volunteers (collectively County and its Agents) shall be provided additional insured status under contractor's General Liability policy with respect to liability arising out of Contractor's ongoing and completed operations performed on behalf of the County. County and its Agents additional insured status shall apply with respect to liability and defense of suits arising out of the Contractor's acts or omissions, whether such liability is attributable to the Contractor or to the County. The full policy limits and scope of protection also shall apply to the County and its Agents as an additional insured, even if they exceed the County's minimum Required Insurance specifications herein. Use of an automatic additional insured endorsement form is acceptable providing it satisfies the Required Insurance provisions herein.

8.24.4 Cancellation of or Changes in Insurance

Contractor shall provide County with, or Contractor's insurance policies shall contain a provision that County shall receive, written notice of cancellation or any change in Required Insurance, including insurer, limits of coverage, term of coverage, or policy period. The written notice shall be provided to County at least ten (10) days in advance of cancellation for non-payment of premium and thirty (30) days in advance for any other cancellation or policy change. Failure to provide written notice of cancellation or any change in Required Insurance may constitute a material breach of the Contract, in the sole discretion of the County, upon which the County may suspend or terminate this Contract.

8.24.5 Failure to Maintain Insurance

Contractor's failure to maintain or to provide acceptable evidence that it maintains the Required Insurance shall constitute a material breach of the Contract, upon which County immediately may withhold payments due to Contractor, and/or suspend or terminate this Contract. County, at its sole discretion, may obtain damages from Contractor resulting from said breach. Alternatively, the County may purchase the Required Insurance, and without further

notice to Contractor, deduct the premium cost from sums due to Contractor or pursue Contractor for reimbursement.

8.24.6 Insurer Financial Ratings

Coverage shall be placed with insurers acceptable to the County with A.M. Best ratings of not less than A:VII unless otherwise approved by County.

8.24.7 Contractor's Insurance Shall Be Primary

Contractor's insurance policies, with respect to any claims related to this Contract, shall be primary with respect to all other sources of coverage available to Contractor. Any County maintained insurance or self-insurance coverage shall be in excess of and not contribute to any Contractor coverage.

8.24.8 Waivers of Subrogation

To the fullest extent permitted by law, the Contractor hereby waives its rights and its insurer(s)' rights of recovery against County under all the Required Insurance for any loss arising from or relating to this Contract. The Contractor shall require its insurers to execute any waiver of subrogation endorsements which may be necessary to affect such waiver.

8.24.9 Subcontractor Insurance Coverage Requirements

Contractor shall include all Subcontractors as insureds under Contractor's own policies or shall provide County with each Subcontractor's separate evidence of insurance coverage. Contractor shall be responsible for verifying each Subcontractor complies with the Required Insurance provisions, herein, and shall require that each Subcontractor name the County and Contractor as additional insureds on the Subcontractor's General Liability policy. Contractor shall obtain County's prior review and approval of any Subcontractor request for modification of the Required Insurance.

8.24.10 Deductibles and Self-Insured Retentions (SIRs)

Contractor's policies shall not obligate the County to pay any portion of any Contractor deductible or SIR. The County retains the right to require Contractor to reduce or eliminate policy deductibles and SIRs as respects the County, or to provide a bond guaranteeing Contractor's payment of all deductibles and SIRs, including all related claims investigation, administration, and defense expenses. Such bond shall be executed by a corporate surety licensed to transact business in the State of California.

8.24.11 Claims Made Coverage

If any part of the Required Insurance is written on a claims-made basis, any policy retroactive date shall precede the effective date of this Contract. Contractor understands and agrees it shall maintain such coverage for a period of not less than three (3) years following Contract expiration, termination, or cancellation.

8.24.12 Application of Excess Liability Coverage

Contractors may use a combination of primary, and excess insurance policies which provide coverage as broad as ("follow form" over) the underlying primary policies, to satisfy the Required Insurance provisions.

8.24.13 Separation of Insureds

All liability policies shall provide cross-liability coverage as would be afforded by the standard ISO (Insurance Services Office, Inc.) separation of insureds provision with no insured versus insured exclusions or limitations.

8.24.14 Alternative Risk Financing Programs

The County reserves the right to review, and then approve, Contractor use of self-insurance, risk retention groups, risk purchasing groups, pooling arrangements, and captive insurance to satisfy the Required Insurance provisions. The County and its Agents shall be designated as an Additional Covered Party under any approved program.

8.24.15 County Review and Approval of Insurance Requirements

The County reserves the right to review and adjust the Required Insurance provisions, conditioned upon County's determination of changes in risk exposures.

8.25 Insurance Coverage

8.25.1 Commercial General Liability insurance (providing scope of coverage equivalent to ISO policy form CG 00 01), naming County and its Agents as an additional insured, with limits of not less than:

General Aggregate:	\$2 million
Products/Completed Operations Aggregate:	\$1 million
Personal and Advertising Injury:	\$1 million
Each Occurrence:	\$1 million

8.25.2 **Automobile Liability** insurance (providing scope of coverage equivalent to ISO policy form CA 00 01) with limits of not less than \$1 million for bodily injury and property damage, in combined or equivalent split limits, for each single accident. Insurance shall cover liability arising out of Contractor's use of autos pursuant to this Contract, including owned, leased, hired, and/or non-owned autos, as each may be applicable.

8.25.3 **Workers Compensation and Employers' Liability** insurance or qualified self- insurance satisfying statutory requirements, which includes Employers' Liability coverage with limits of not less than \$1 million per accident. If Contractor will provide leased employees, or, is an employee leasing or temporary staffing firm or a professional employer organization (PEO), coverage also shall include an Alternate Employer Endorsement (providing scope of coverage equivalent to ISO policy form WC 00 03 01 A) naming the County as the Alternate Employer. The written notice shall be provided to County at least ten (10) days in advance of cancellation for non-payment of premium and thirty (30) days in advance for any other cancellation or policy change. If applicable to Contractor's operations, coverage also shall be arranged to satisfy the requirements of any Federal workers or workmen's compensation law or any Federal occupational disease law.

8.25.4 **Unique Insurance Coverage**

8.25.4.1 **Intentionally Omitted.**

8.25.4.2 **Professional Liability-Errors and Omissions**

Insurance covering Contractor's liability arising from or related to this Contract, with limits of not less than \$1 million per claim and \$2 million aggregate. Further, Contractor understands and agrees it shall maintain such coverage for a period of not less than three (3) years following this Contract's expiration, termination, or cancellation.

8.25.4.3 **Property Coverage**

Contractors given exclusive use of County owned or leased property shall carry property coverage at least as broad as that provided by the ISO special causes of loss (ISO policy form CP 10 30) form. The County and its Agents shall be named as an Additional Insured and Loss Payee on Contractor's insurance as its interests may appear. Automobiles and mobile equipment shall be insured for their actual cash value. Real property and

all other personal property shall be insured for their full replacement value.

8.25.4.4 Intentionally Omitted.

8.25.4.5 Technology Errors & Omissions Insurance

Insurance for liabilities arising from errors, omissions, or negligent acts in rendering or failing to render computer or information technology services and technology products. Coverage for violation of software copyright should be included. Technology services should at a minimum include (1) systems analysis; (2) systems programming; (3) data processing; (4) systems integration; (5) outsourcing including outsourcing development and design; (6) systems design, consulting, development and modification; (7) training services relating to computer software or hardware; (8) management, repair, and maintenance of computer products, networks, and systems; (9) marketing, selling, servicing, distributing, installing, and maintaining computer hardware or software; (10) data entry, modification, verification, maintenance, storage, retrieval, or preparation of data output, and any other services provided by the vendor with limits of not less than \$10 million.

8.25.4.6 Cyber Liability Insurance

The Contractor shall secure and maintain cyber liability insurance coverage with limits of ten million (\$10,000,000) per occurrence and in the aggregate during the term of the Contract, including coverage for: network security liability; privacy liability; privacy regulatory proceeding, defense, response, expenses and fines; technology professional liability (errors and omissions); privacy breach expense reimbursement (liability arising from the loss or disclosure of County Information no matter how it occurs); system breach; denial or loss of service; introduction, implantation, or spread of malicious software code; unauthorized access to or use of computer systems; and Data/Information loss and business interruption; any other liability or risk that arises out of the Contract. The Contractor shall add the County as an additional insured to its cyber liability insurance policy and provide to the County certificates of insurance evidencing the foregoing upon the County's request. The procuring of the insurance described herein, or delivery of the

certificates of insurance described herein, shall not be construed as a limitation upon the Contractor's liability or as full performance of its indemnification obligations hereunder. No exclusion/restriction for unencrypted portable devices/media may be on the policy.

8.25.4.7 Intentionally Omitted.

8.25.4.8 Performance Bond Requirement

Within thirty (30) days of the Commencement Date, the Contractor must bind a surety bond with an insurance company with good and sufficient sureties in the sum of not less than \$15,700,000 million, which complies with the requirements of Section 8.24 (General Provisions for all Insurance Coverage) and is substantially similar to the form attached hereto as Exhibit P (the "Performance Bond"), to assure the faithful performance of the Scope of Work under the Contract through successful completion of Warranty as defined in Exhibit K (Definitions). Contractor must provide County the ability to comment on the Performance Bond and any changes thereto, and County will have the right to approve or reject such Performance Bond in its reasonable discretion.

The Performance Bond must be so conditioned as to assure the faithful performance by the Contractor of all work under this Contract through completion of the Scope of Work under the Contract through successful completion of Warranty as defined in Exhibit K (Definitions) such that (i) all such work is completed within the time limits prescribed, and (ii) all such work is completed in a manner that is acceptable to and is accepted by County in accordance with the provisions of this Contract. This Performance Bond must be continuously maintained by the Contractor in full force and effect through successful completion of Warranty as defined in Exhibit K (Definitions) whereupon the County will return the original Performance Bond to the Contractor and execute and deliver all documents reasonably required to confirm the cancellation and expiration of the Performance Bond.

Should any surety or sureties upon the Performance Bond become insufficient or be deemed unsatisfactory by the County, Contractor shall replace the Performance Bond with good and sufficient sureties within thirty (30) days after receiving notice from the

County that the surety or sureties are insufficient or unsatisfactory.

No further payment will be deemed due or will be made under this Contract until the new sureties qualify and be accepted by the County.

8.26 Liquidated Damages

- 8.26.1 If, in the judgment of the Department Head, or his/her designee, the Contractor is deemed to be non-compliant with the terms and obligations assumed hereby, the Department Head, or his/her designee, at his/her option, in addition to, or in lieu of, other remedies provided herein, may withhold the entire monthly payment or deduct pro rata from the Contractor's invoice for work not performed. A description of the work not performed and the amount to be withheld or deducted from payments to the Contractor from the County, will be forwarded to the Contractor by the Department Head, or his/her designee, in a written notice describing the reasons for said action.
- 8.26.2 If the Department Head, or his/her designee, determines that there are Deficiencies in the performance of this Contract that the Department Head, or his/her designee, deems are correctable by the Contractor over a certain time span, the Department Head, or his/her designee, will provide a written notice to the Contractor to correct the Deficiency within specified time frames. Should the Contractor fail to correct Deficiencies within said time frame, the Department Head, or his/her designee, may: (a) Deduct from the Contractor's payment, pro rata, those applicable portions of the Monthly Contract Sum; and/or (b) Deduct liquidated damages. The parties agree that it will be impracticable or extremely difficult to fix the extent of actual damages resulting from the failure of the contractor to correct a Deficiency within the specified time frame.
- 8.26.3 Subject to Section 8.26.4, the parties hereby agree that under the current circumstances a reasonable estimate of such damages is one thousand dollars (\$1,000) per day per infraction, or as specified in Appendix F to Exhibit A (Performance Requirements Summary (PRS)) hereunder, and that the Contractor shall be liable to the County for liquidated damages in said amount.
- 8.26.4 Notwithstanding Section 8.26.3, during the period where in-person elections are permitted under law the reasonable estimate of such damages is the greater of (i) fifty thousand dollars (\$50,000) per day or (ii) five percent (5%) of the Total Contract Sum, each calculated per infraction, provided the infraction is a critical and material infraction and due to a breach or negligence of Contractor.

- 8.26.5 Said amount shall be deducted from the County's payment to the Contractor; and/or (c) Upon giving five (5) days' notice to the Contractor for failure to correct the Deficiencies, the County may correct any and all Deficiencies and the total costs incurred by the County for completion of the work by an alternate source, whether it be County forces or separate private Contractor, will be deducted and forfeited from the payment to the Contractor from the County, as determined by the County.
- 8.26.6 The action noted in Section 8.26.2 shall not be construed as a penalty, but as adjustment of payment to the Contractor to recover the County cost due to the failure of the Contractor to complete or comply with the provisions of this Contract.
- 8.26.7 This Section shall not, in any manner, restrict or limit the County's right to damages for any breach of this Contract provided by law or as specified in Appendix F to Exhibit A (PRS) or pursuant to this Section 8.26, and shall not, in any manner, restrict or limit the County's right to terminate this Contract as agreed to herein.

8.27 Most Favored Public Entity

- 8.27.1 If the Contractor's prices decline, or should the Contractor at any time during the term of this Contract provide the same goods or Services under similar quantity and delivery conditions to the State of California or any county, municipality, or district of the State at prices below those set forth in this Contract, then such lower prices shall be immediately extended to the County.

8.28 Nondiscrimination and Affirmative Action

- 8.28.1 The Contractor certifies and agrees that all persons employed by it, its affiliates, subsidiaries, or holding companies are and shall be treated equally without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, in compliance with all applicable Federal and State anti-discrimination laws and regulations.
- 8.28.2 The Contractor shall certify to, and comply with, the provisions of Exhibit D (Contractor's EEO Certification).
- 8.28.3 The Contractor shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, in compliance with all applicable Federal and State anti-discrimination laws and regulations. Such action shall include, but is not limited to: employment, upgrading,

demotion, transfer, recruitment or recruitment advertising, layoff or termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

- 8.28.4 The Contractor certifies and agrees that it will deal with its Subcontractors, bidders, or vendors without regard to or because of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation.
- 8.28.5 The Contractor certifies and agrees that it, its affiliates, subsidiaries, or holding companies shall comply with all applicable Federal and State laws and regulations to the end that no person shall, on the grounds of race, color, religion, ancestry, national origin, sex, age, physical or mental disability, marital status, or political affiliation, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under this Contract or under any project, program, or activity supported by this Contract.
- 8.28.6 The Contractor shall allow County representatives access to the Contractor's employment records during regular business hours to verify compliance with the provisions of this Section 8.28 (Nondiscrimination and Affirmative Action) when so requested by the County.
- 8.28.7 If the County finds that any provisions of this Section 8.28 (Nondiscrimination and Affirmative Action) have been violated, such violation shall constitute a material breach of this Contract upon which the County may terminate or suspend this Contract. While the County reserves the right to determine independently that the anti-discrimination provisions of this Contract have been violated, in addition, a determination by the California Fair Employment and Housing Commission or the Federal Equal Employment Opportunity Commission that the Contractor has violated Federal or State anti-discrimination laws or regulations shall constitute a finding by the County that the Contractor has violated the anti-discrimination provisions of this Contract.
- 8.28.8 The Parties agree that in the event the contractor violates any of the anti-discrimination provisions of this Contract, the County shall, at its sole option, be entitled to the sum of five hundred dollars (\$500) for each such violation pursuant to California Civil Code Section 1671 as liquidated damages in lieu of terminating or suspending this Contract.

8.29 Non Exclusivity

- 8.29.1 Nothing herein is intended nor shall be construed as creating any exclusive arrangement with the Contractor. This Contract shall not

restrict County from acquiring similar, equal, or like goods and/or Services from other entities or sources.

8.30 Notice of Delays

- 8.30.1 Except as otherwise provided under this Contract, when either Party has knowledge that any actual or potential situation is delaying or threatens to delay the timely performance of this Contract, that Party shall, within one (1) business day, give notice thereof including all relevant information with respect thereto then available and timely supplemented as additional relevant information becomes available to the other Party.

8.31 Notice of Disputes

- 8.31.1 The Contractor shall bring to the attention of the County's Project Manager and/or County's Project Director any dispute between the County and the Contractor regarding the performance of Services as stated in this Contract. If the County's Project Manager or County's Project Director is not able to resolve the dispute, the Department Head, or his/her designee shall resolve it.

8.32 Notice to Employees Regarding the Federal Earned Income Credit

- 8.32.1 The Contractor shall notify its employees, and shall require each Subcontractor to notify its employees, that they may be eligible for the Federal Earned Income Credit under the federal income tax laws. Such notice shall be provided in accordance with the requirements set forth in Internal Revenue Service Notice No. 1015.

8.33 Notice to Employees Regarding the Safely Surrendered Baby Law

- 8.33.1 The Contractor shall notify and provide to its employees, and shall require each Subcontractor to notify and provide to its employees, information regarding the Safely Surrendered Baby Law, its implementation in Los Angeles County, and where and how to safely surrender a baby. The information is set forth in Exhibit I (Safely Surrendered Baby Law) of this Contract. Additional information is available at www.babysafela.org.

8.34 Notices

- 8.34.1 All notices or demands required or permitted to be given or made under this Contract shall be in writing and shall be hand delivered with signed receipt or mailed by first-class registered or certified mail, postage prepaid, addressed to the parties as identified in Exhibits E (County's Administration) and Exhibit F (Contractor's Administration). Addresses may be changed by either Party giving

ten (10) days prior written notice thereof to the other Party. The Department Head, or his/her designee shall have the authority to issue all notices or demands required or permitted by the County under this Contract.

8.35 Prohibition Against Inducement or Persuasion

- 8.35.1 Notwithstanding the above, the Contractor and the County agree that, during the term of this Contract and for a period of one (1) year thereafter, neither Party shall in any way intentionally induce or persuade any employee of one Party to become an employee or agent of the other Party. No bar exists against any hiring action initiated through a public announcement.

8.36 Public Records Act

- 8.36.1 Any documents submitted by the Contractor; all Information obtained in connection with the County's right to audit and inspect the Contractor's documents, books, and accounting records pursuant to Section 8.38 (Record Retention and Inspection-Audit Settlement) of this Contract; as well as those documents which were required to be submitted in response to the Request for Proposals (RFP) used in the solicitation process for this Contract, become the exclusive property of the County. All such documents become a matter of public record and shall be regarded as public records. Exceptions will be those elements in the California Government Code Section 6250 et seq. (Public Records Act) and which are marked "trade secret", "confidential", or "proprietary". The County shall not in any way be liable or responsible for the disclosure of any such records including, without limitation, those so marked, if disclosure is required by law, or by an order issued by a court of competent jurisdiction.
- 8.36.2 In the event the County is required to defend an action on a Public Records Act request for any of the aforementioned documents, Information, books, records, and/or contents of a proposal marked "trade secret", "confidential", or "proprietary", the Contractor agrees to defend and indemnify the County from all costs and expenses, including reasonable attorney's fees, in action or liability arising under the Public Records Act.

8.37 Publicity

- 8.37.1 The Contractor shall not disclose any details in connection with this Contract to any person or entity except as may be otherwise provided hereunder or required by law. However, in recognizing the Contractor's need to identify its Services and related clients to sustain itself, the County shall not inhibit the Contractor from

publishing its role under this Contract within the following conditions:

- 8.37.1.1 The Contractor shall develop all publicity material in a professional manner; and
- 8.37.1.2 During the term of this Contract, the Contractor shall not, and shall not authorize another to, publish or disseminate any commercial advertisements, press releases, feature articles, or other materials using the name of the County without the prior written consent of the County's Project Director. The County shall not unreasonably withhold written consent.
- 8.37.2 The Contractor may, without the prior written consent of County, indicate in its proposals and sales materials that it has been awarded this Contract with the County of Los Angeles, provided that the requirements of this Section 8.37 (Publicity) shall apply.

8.38 Record Retention and Inspection-Audit Settlement

- 8.38.1 The Contractor shall maintain accurate and complete financial records of its activities and operations relating to this Contract in accordance with generally accepted accounting principles. The Contractor shall also maintain accurate and complete employment and other records relating to its performance of this Contract. The Contractor agrees that the County, or its authorized representatives, shall have access to and the right to examine, audit, excerpt, copy, or transcribe any pertinent transaction, activity, or record relating to this Contract. All such material, including, but not limited to, all financial records, bank statements, cancelled checks, or other proof of payment, timecards, sign-in/sign-out sheets, and other time and employment records, and proprietary data and Information, shall be kept and maintained by the Contractor and shall be made available to the County during the term of this Contract and for a period of five (5) years thereafter unless the County's written permission is given to dispose of any such material prior to such time. All such material shall be maintained by the Contractor at a location in Los Angeles County, provided that if any such material is located outside Los Angeles County, then, at the County's option, the Contractor shall pay the County for travel, per diem, and other costs incurred by the County to examine, audit, excerpt, copy, or transcribe such material at such other location.
- 8.38.2 In the event that an audit of the Contractor is conducted specifically regarding this Contract by any Federal or State auditor, or by any auditor or accountant employed by the Contractor or otherwise, then the Contractor shall file a copy of

such audit report with the County's Auditor-Controller within thirty (30) days of the Contractor's receipt thereof, unless otherwise provided by applicable Federal or State law or under this Contract. Subject to Applicable Law, the County shall make a reasonable effort to maintain the confidentiality of such audit report(s) 8.38.3. Failure on the part of the Contractor to comply with any of the provisions of this subparagraph 8.38 shall constitute a material breach of this Contract upon which the County may terminate or suspend this Contract.

- 8.38.3 If, at any time during the term of this Contract or within five (5) years after the expiration or termination of this Contract, representatives of the County conduct an audit of the Contractor regarding the work performed under this Contract, and if such audit finds that the County's dollar liability for any such work is less than payments made by the County to the Contractor, then the difference shall be either: a) repaid by the Contractor to the County by cash payment upon demand or b) at the sole option of the County's Auditor-Controller, deducted from any amounts due to the Contractor from the County, whether under this Contract or otherwise. If such audit finds that the County's dollar liability for such work is more than the payments made by the County to the Contractor, then the difference shall be paid to the Contractor by the County by cash payment, provided that in no event shall the County's maximum obligation for this Contract exceed the funds appropriated by the County for the purpose of this Contract.

8.39 Recycled Bond Paper

- 8.39.1 Consistent with the Board's policy to reduce the amount of solid waste deposited at the County landfills, the Contractor agrees to use recycled-content paper to the maximum extent possible on this Contract.

8.40 Subcontracting

- 8.40.1 The requirements of this Contract may not be subcontracted by the Contractor **without the advance approval of the County**. Any attempt by the Contractor to subcontract without the prior consent of the County may be deemed a material breach of this Contract.
- 8.40.2 If the Contractor desires to subcontract, the Contractor shall provide the following information promptly at the County's request:
- 8.40.2.1 A description of the work to be performed by the Subcontractor;
- 8.40.2.2 A draft copy of the proposed subcontract; and

8.40.2.3 Other pertinent information and/or certifications requested by the County.

- 8.40.3 The Contractor shall indemnify, defend, and hold the County harmless with respect to the activities of each and every Subcontractor in the same manner and to the same degree as if such Subcontractor(s) were the Contractor's employees.
- 8.40.4 The Contractor shall remain fully responsible for all performances required of it under this Contract, including those that the Contractor has determined to subcontract, notwithstanding the County's approval of the Contractor's proposed subcontract.
- 8.40.5 The County's consent to subcontract shall not waive the County's right to prior and continuing approval of any and all personnel, including Subcontractor employees, providing Services under this Contract. The Contractor is responsible to notify its Subcontractors of this County right.
- 8.40.6 The County's Project Director is authorized to act for and on behalf of the County with respect to approval of any subcontract and Subcontractor employees. After approval of the subcontract by the County, Contractor shall forward a fully executed subcontract to the County for their files.
- 8.40.7 The Contractor shall be solely liable and responsible for all payments or other compensation to all Subcontractors and their officers, employees, agents, and successors in interest arising through Services performed hereunder, notwithstanding the County's consent to subcontract.
- 8.40.8 The Contractor shall obtain certificates of insurance, which establish that the Subcontractor maintains all the programs of insurance required by the County from each approved Subcontractor. Before any Subcontractor employee may perform any work hereunder, Contractor shall ensure delivery of all such documents to:

Department of Registrar-Recorder/County Clerk
Contracts and Grants Section
12400 Imperial Highway
Room 7211
Norwalk, CA 90650
contracts@rrcc.lacounty.gov

8.41 Termination for Breach of Warranty to Maintain Compliance with County's Child Support Compliance Program

- 8.41.1 Failure of the Contractor to maintain compliance with the requirements set forth in Section 8.14 (Contractor's Warranty of Adherence to County's Child Support Compliance Program) shall constitute default under this Contract. Without limiting the rights and remedies available to the County under any other provision of this Contract, failure of the Contractor to cure such default within ninety (90) calendar days of written notice shall be grounds upon which the County may terminate this Contract pursuant to Section 8.43 (Termination for Default) and pursue debarment of the Contractor, pursuant to County Code Chapter 2.202.

8.42 Termination for Convenience

- 8.42.1 This Contract may be terminated, in whole or in part, from time to time, when such action is deemed by the County, in its sole discretion, to be in its best interest. Termination of work hereunder shall be affected by notice of termination to the Contractor specifying the extent to which performance of work is terminated and the date upon which such termination becomes effective. The date upon which such termination becomes effective shall be no less than ten (10) days after the notice is sent.
- 8.42.2 After receipt of a notice of termination and except as otherwise directed by the County, the Contractor shall:
- 8.42.2.1 Stop work under this Contract on the date and to the extent specified in such notice, and
- 8.42.2.2 Complete performance of such part of the work as shall not have been terminated by such notice.
- 8.42.3 All material including books, records, documents, or other evidence bearing on the costs and expenses of the Contractor under this Contract shall be maintained by the Contractor in accordance with Section 8.38 (Record Retention and Inspection-Audit Settlement).

8.43 Termination for Default

- 8.43.1 The County may, by written notice to the Contractor, terminate the whole or any part of this Contract, if, in the judgment of County's Project Director:
- 8.43.1.1 Contractor has materially breached this Contract; or

- 8.43.1.2 Contractor fails to timely provide and/or satisfactorily perform any task, Deliverable, Service, or other work required either under this Contract; or
- 8.43.1.3 Contractor fails to demonstrate a high probability of timely fulfillment of performance requirements under this Contract, or of any obligations of this Contract and in either case, fails to demonstrate convincing progress toward a cure within five (5) working days (or such longer period as the County may authorize in writing) after receipt of written notice from the County specifying such failure.
- 8.43.2 In the event that the County terminates this Contract in whole or in part as provided in Section 8.43.1, the County may procure, upon such terms and in such manner as the County may deem appropriate, goods, and Services similar to those so terminated. The Contractor shall be liable to the County for any and all excess costs incurred by the County, as determined by the County, for such similar goods and Services. The Contractor shall continue the performance of this Contract to the extent not terminated under the provisions of this paragraph.
- 8.43.3 Except with respect to defaults of any Subcontractor, the Contractor shall not be liable for any such excess costs of the type identified in Section 8.43.2 if its failure to perform this Contract arises out of causes beyond the control and without the fault or negligence of the Contractor. Such causes may include, but are not limited to: acts of God or of the public enemy, acts of the County in either its sovereign or contractual capacity, acts of Federal or State governments in their sovereign capacities, fires, floods, epidemics, pandemics, earthquakes, quarantine restrictions, strikes, freight embargoes, and unusually severe weather; but in every case, the failure to perform must be beyond the control and without the fault or negligence of the Contractor. If the failure to perform is caused by the default of a Subcontractor, and if such default arises out of causes beyond the control of both the Contractor and Subcontractor, and without the fault or negligence of either of them, the Contractor shall not be liable for any such excess costs for failure to perform, unless the goods or Services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit the Contractor to meet the required performance schedule. As used in this paragraph, the term "Subcontractor(s)" means Subcontractor(s) at any tier.
- 8.43.4 If, after the County has given notice of termination under the provisions of Section 8.43 (Termination for Default) it is determined by the County that the Contractor was not in default

under the provisions of Section 8.43 (Termination for Default) or that the default was excusable under the provisions of subparagraph 8.43.3, the rights and obligations of the parties shall be the same as if the notice of termination had been issued pursuant to Section 8.42 (Termination for Convenience).

- 8.43.5 The rights and remedies of the County provided in this Section 8.43 (Termination for Default) shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

8.44 Termination for Improper Consideration

- 8.44.1 The County may, by written notice to the Contractor, immediately terminate the right of the Contractor to proceed under this Contract if it is found that consideration, in any form, was offered or given by the Contractor, either directly or through an intermediary, to any County officer, employee, or agent with the intent of securing this Contract or securing favorable treatment with respect to the award, amendment, or extension of this Contract or the making of any determinations with respect to the Contractor's performance pursuant to this Contract. In the event of such termination, the County shall be entitled to pursue the same remedies against the Contractor as it could pursue in the event of default by the Contractor.
- 8.44.2 The Contractor shall immediately report any attempt by a County officer or employee to solicit such improper consideration. The report shall be made either to the County manager charged with the supervision of the employee or to the County Auditor-Controller's Employee Fraud Hotline at (800) 544-6861.
- 8.44.3 Among other items, such improper consideration may take the form of cash, discounts, services, the provision of travel or entertainment, or tangible gifts.

8.45 Termination for Insolvency

- 8.45.1 The County may terminate this Contract forthwith in the event of the occurrence of any of the following:
- 8.45.1.1 Insolvency of the Contractor. The Contractor shall be deemed to be insolvent if it has ceased to pay its debts for at least sixty (60) days in the ordinary course of business or cannot pay its debts as they become due, whether or not a petition has been filed under the Federal Bankruptcy Code and whether or not the Contractor is insolvent within the meaning of the Federal Bankruptcy Code;

- 8.45.1.2 The filing of a voluntary or involuntary petition regarding the Contractor under the Federal Bankruptcy Code;
 - 8.45.1.3 The appointment of a Receiver or Trustee for the Contractor; or
 - 8.45.1.4 The execution by the Contractor of a general assignment for the benefit of creditors.
- 8.45.2 The rights and remedies of the County provided in this Section 8.45 (Termination for Insolvency) shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

8.46 Termination for Non-Adherence of County Lobbyist Ordinance

- 8.46.1 The Contractor, and each County Lobbyist or County Lobbying firm as defined in County Code Section 2.160.010 retained by the Contractor, shall fully comply with the County's Lobbyist Ordinance, County Code Chapter 2.160. Failure on the part of the Contractor or any County Lobbyist or County Lobbying firm retained by the Contractor to fully comply with the County's Lobbyist Ordinance shall constitute a material breach of this Contract, upon which the County may in its sole discretion, immediately terminate or suspend this Contract.

8.47 Termination for Non-Appropriation of Funds

- 8.47.1 Notwithstanding any other provision of this Contract, the County shall not be obligated for the Contractor's performance hereunder or by any provision of this Contract during any of the County's future fiscal years unless and until the County's Board of Supervisors appropriates funds for this Contract in the County's Budget for each such future fiscal year. In the event that funds are not appropriated for this Contract, then this Contract shall terminate as of June 30 of the last fiscal year for which funds were appropriated. The County shall notify the Contractor in writing of any such non-allocation of funds at the earliest possible date.

8.48 Validity

- 8.48.1 If any provision of this Contract or the application thereof to any person or circumstance is held invalid, the remainder of this Contract and the application of such provision to other persons or circumstances shall not be affected thereby.

8.49 Waiver

- 8.49.1 No waiver by the County of any breach of any provision of this Contract shall constitute a waiver of any other breach or of such

provision. Failure of the County to enforce at any time, or from time to time, any provision of this Contract shall not be construed as a waiver thereof. The rights and remedies set forth in this Section 8.49 (Waiver) shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

8.50 Warranty Against Contingent Fees

- 8.50.1 The Contractor warrants that no person or selling agency has been employed or retained to solicit or secure this Contract upon any Contract or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business.
- 8.50.2 For breach of this warranty, the County shall have the right to terminate this Contract and, at its sole discretion, deduct from the Contract price or consideration, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

8.51 Warranty of Compliance with County's Defaulted Property Tax Reduction Program

- 8.51.1 Contractor acknowledges that County has established a goal of ensuring that all individuals and businesses that benefit financially from County through contract are current in paying their property tax obligations (secured and unsecured roll) in order to mitigate the economic burden otherwise imposed upon County and its taxpayers.

Unless Contractor qualifies for an exemption or exclusion, Contractor warrants and certifies that to the best of its knowledge it is now in compliance, and during the term of this Contract will maintain compliance, with Los Angeles County Code Chapter 2.206.

8.52 Termination for Breach of Warranty to Maintain Compliance with County's Defaulted Property Tax Reduction Program

- 8.52.1 Failure of Contractor to maintain compliance with the requirements set forth in Section 8.51 (Warranty of Compliance with County's Defaulted Property Tax Reduction Program) shall constitute default under this Contract. Without limiting the rights and remedies available to County under any other provision of this Contract, failure of Contractor to cure such default within ten (10) days notice shall be grounds upon which County may terminate this Contract and/or pursue debarment of Contractor, pursuant to County Code Chapter 2.206.

8.53 Time Off for Voting

8.53.1 The Contractor shall notify its employees, and shall require each Subcontractor to notify and provide to its employees, information regarding the time off for voting law (Elections Code Section 14000). Not less than ten (10) days before every statewide election, every Contractor and Subcontractor shall keep posted conspicuously at the place of work, if practicable, or elsewhere where it can be seen as employees come or go to their place of work, a notice setting forth the provisions of Section 14000.

8.54 Compliance with County's Zero Tolerance Policy on Human Trafficking

Contractor acknowledges that the County has established a Zero Tolerance Policy on Human Trafficking prohibiting Contractors from engaging in human trafficking.

If a Contractor or member of Contractor's staff is convicted of a human trafficking offense, the County shall require that the Contractor or member of Contractor's staff be removed immediately from performing Services under the Contract. County will not be under any obligation to disclose confidential information regarding the offenses other than those required by law.

Disqualification of any member of Contractor's staff pursuant to this paragraph shall not relieve Contractor of its obligation to complete all work in accordance with the terms and conditions of this Contract.

8.55 Intentionally Omitted.

8.56 Compliance with Fair Chance Employment Practices

Contractor shall comply with fair chance employment hiring practices set forth in California Government Code Section 12952, Employment Discrimination: Conviction History. Contractor's violation of this paragraph of the Contract may constitute a material breach of the Contract. In the event of such material breach, County may, in its sole discretion, terminate the Contract.

8.57 Compliance with the County Policy of Equity

The Contractor acknowledges that the County takes its commitment to preserving the dignity and professionalism of the workplace very seriously, as set forth in the County Policy of Equity (CPOE) (<https://ceop.lacounty.gov/>). The Contractor further acknowledges that the County strives to provide a workplace free from discrimination, harassment, retaliation and inappropriate conduct based on a protected characteristic, and which may violate the CPOE. The Contractor, its employees and Subcontractors acknowledge and certify receipt and understanding of the

CPOE. Failure of the Contractor, its employees, or its Subcontractors to uphold the County's expectations of a workplace free from harassment and discrimination, including inappropriate conduct based on a protected characteristic, may subject the Contractor to termination of contractual agreements as well as civil liability.

8.58 Prohibition from Participation in Future Solicitation(s)

A Proposer, or a Contractor or its subsidiary or Subcontractor ("Proposer/Contractor"), is prohibited from submitting a bid or proposal in a County solicitation if the Proposer/Contractor has provided advice or consultation for the solicitation. A Proposer/Contractor is also prohibited from submitting a bid or proposal in a County solicitation if the Proposer/Contractor has developed or prepared any of the solicitation materials on behalf of the County. A violation of this provision shall result in the disqualification of the Contractor/Proposer from participation in the County solicitation or the termination or cancellation of any resultant County contract. This provision shall survive the expiration, or other termination of this Contract.

8.59 COVID-19 Vaccinations of County Contractor Personnel

1. At Contractor's sole cost, Contractor shall comply with Chapter 2.212 (COVID-19 Vaccinations of County Contractor Personnel) of County Code Title 2 - Administration, Division 4. All employees of Contractor and persons working on its behalf, including but not limited to, Subcontractors of any tier must be fully vaccinated against the novel coronavirus 2019 ("COVID-19") prior to (1) interacting in person with County employees, interns, volunteers, and commissioners ("County workforce members"), (2) working on County owned or controlled property while performing services under this Contract, and/or (3) coming into contact with the public while performing services under this Contract (collectively, "In-Person Services"). All such persons providing In-Person Services are collectively "Contractor Personnel."
2. Contractor Personnel are considered "fully vaccinated" against COVID-19 two (2) weeks or more after they have received (1) the second dose in a 2-dose COVID-19 vaccine series (e.g. Pfizer-BioNTech or Moderna), (2) a single-dose COVID-19 vaccine (e.g. Johnson and Johnson [J&J]/Janssen), or (3) the final dose of any COVID-19 vaccine authorized by the World Health Organization ("WHO").
3. Prior to assigning Contractor Personnel to perform In-Person Services, Contractor shall obtain proof that such Contractor Personnel have been fully vaccinated by confirming Contractor Personnel is vaccinated through any of the following documentation: (1) official COVID-19 Vaccination Record Card (issued by the Department of Health and Human Services, CDC or WHO Yellow

Card), which includes the name of the person vaccinated, type of vaccine provided, and date of the last dose administered ("Vaccination Record Card"); (2) copy (including a photographic copy) of a Vaccination Record Card; (3) Documentation of vaccination from a licensed medical provider; (4) a digital record that includes a quick response ("QR") code that when scanned by a SMART HealthCard reader displays to the reader client name, date of birth, vaccine dates, and vaccine type, and the QR code confirms the vaccine record as an official record of the State of California; or (5) documentation of vaccination from Contractors who follow the CDPH vaccination records guidelines and standards. Contractor shall also provide written notice to County before the start of work under this Contract that its Contractor Personnel are in compliance with the requirements of this section. Contractor shall retain such proof of vaccination for the document retention period set forth in this Contract, and must provide such records to the County for audit purposes, when required by County.

4. Contractor shall evaluate any medical or sincerely held religious exemption request of its Contractor Personnel, as required by law. If Contractor has determined that Contractor Personnel is exempt pursuant to a medical or sincerely held religious reason, the Contractor must also maintain records of the Contractor Personnel's testing results. The Contractor must provide such records to the County for audit purposes, when required by County. The unvaccinated exempt Contractor Personnel must meet the following requirements prior to (1) interacting in person with County workforce members, (2) working on County owned or controlled property while performing services under this Contract, and/or (3) coming into contact with the public while performing services under this Contract:
 - a. Test for COVID-19 with either a polymerase chain reaction (PCR) or antigen test has an Emergency Use Authorization (EUA) by the FDA or is operating per the Laboratory Developed Test requirements by the U.S. Centers for Medicare and Medicaid Services. Testing must occur at least weekly, or more frequently as required by County or other applicable law, regulation or order.
 - b. Wear a mask that is consistent with CDC recommendations at all times while on County controlled or owned property, and while engaging with members of the public and County workforce members.
 - c. Engage in proper physical distancing, as determined by the applicable County department that the Contract is with.

In addition to complying with the requirements of this section, Contractor shall also comply with all other applicable local, departmental, State, and

federal laws, regulations and requirements for COVID-19. A completed Exhibit O (COVID-19 Vaccination Certification of Compliance) is a required part of any agreement with the County.

9 UNIQUE TERMS AND CONDITIONS

9.1 Acceptance

- 9.1.1 The EMS, Services, Deliverables, and milestones (if applicable) shall be subject to acceptance, and acceptance testing by the County, which testing shall be in County's sole discretion, to verify that they satisfy the County's acceptance criteria as more fully described in the Statement of Work (individually or collectively Exhibits A.1 through A.3).
- 9.1.2 Use of the EMS that includes actual County Data or in use for any election cycle shall not be deemed acceptance or Final Acceptance of the EMS, Services, Deliverables, and milestones.
- 9.1.3 If the County's Project Director makes a good faith determination at any time that the EMS (as a whole, or any component thereof), Services, Deliverables, and/or milestones has not successfully completed any testing required under the Contract pursuant to the timelines or has not achieved Final Acceptance (collectively referred to for purposes of this Section 9.1 as a "Designated Test"), the County's Project Director shall promptly notify the Contractor in writing of such failure, specifying with as much detail as possible the manner in which the EMS, Services, Deliverables, and/or milestones failed to pass the applicable Designated Test. Contractor shall immediately commence all reasonable efforts to complete, as quickly as possible, such necessary corrections, repairs, and modifications to the EMS, Services, Deliverables, and/or milestones as will permit the EMS, Services, Deliverables, and/or milestones to be ready for retesting. Contractor shall notify the County's Project Director in writing when such corrections, repairs, and modifications have been completed, and the applicable Designated Test shall begin again. If, after the applicable Designated Test has been completed for a second time, the County's Project Director makes a good faith determination that the EMS, Services, Deliverables, and/or milestones again fail(s) to pass the applicable Designated Test, the County's Project Director shall promptly notify Contractor in writing, specifying with as much detail as possible the manner in which the EMS, Services, Deliverables, and/or milestones failed to pass the applicable Designated Test. Contractor shall immediately commence all reasonable efforts to complete, as quickly as possible, such necessary corrections, repairs, and modifications to the EMS, Services, Deliverables, and/or

milestones as will permit the EMS, Services, Deliverables, and/or milestones to be ready for retesting.

- 9.1.4 The procedures set forth in Section 9.1.3 shall continue until such time as County notifies Contractor in writing either: (i) of the successful completion of such Designated Test; or (ii) that County has concluded, subject to escalation procedure pursuant to this Contract or any Statement of Work, that satisfactory progress toward such successful completion of such Designated Test is not being made, in which latter event, County shall have the right to make a determination, which shall be binding and conclusive on Contractor, that a non-curable default has occurred and to terminate this Contract in accordance with Section 8.43 (Termination for Default) on the basis of such non-curable default.
- 9.1.5 Any termination by the County pursuant to this Section 9.1 (Acceptance) may be, as determined by the County in its sole judgment: (i) a termination with respect to one or more of the components of the EMS; (ii) a termination of any part of Exhibit A.1 (Implementation Statement of Work), A.2 (Hosting Statement of Work or A.3 (Maintenance and Support Statement of Work) relating to the EMS, Service(s), Deliverable(s), and/or milestone(s) that is (are) not performing or conforming as required herein; or (iii) if County believes the failure to pass the applicable Designated Test materially affects the functionality, performance, or desirability to the County of the EMS as a whole, the entire Contract. The foregoing is without prejudice to any other rights that may accrue to the County or Contractor under the Terms of this Contract or by law.

9.2 Intellectual Property; License; Rights

9.2.1 Contractor IP License.

- 9.2.1.1 **Non-EMS Software License.** Except as provided in Section 9.2.4 (County Ownership of, and rights to, IP Materials and Deliverables), at no additional cost to the County, and excluding only such Contractor IP that is directly embodied in Software required for the EMS, Contractor hereby grants to the County an irrevocable, fully paid-up right and non-exclusive license to use or have used on its behalf, execute, distribute, reproduce, perform, prepare derivative works, adapt, and display the Contractor IP during the Term for the purposes of the Contract including any and all uses to fully enjoy and exploit the Intellectual Property rights, licenses, and grants under this Section 9.2 (Intellectual Property; License; Rights). Contractor IP is and will remain owned by Contractor, and County has no right or

license with respect to Contractor IP except as expressly set forth in this Section 9.2.1.1.

9.2.1.2 **EMS Software License.** Contractor hereby grants to the County an irrevocable, fully paid-up right, and non-exclusive license to use or have used on its behalf, execute, distribute, reproduce, perform, prepare derivative works, adapt, and display the EMS Software during the Term for the purposes of the Contract including any and all uses to fully enjoy and exploit the Intellectual Property rights, licenses, and grants under this Section 9.2 (Intellectual Property; License; Rights). EMS Software is and will remain owned by Contractor or owners of Third Party IP, as applicable, and County has no right or license with respect to EMS System Software except as expressly set forth in this Section 9.2.1.2., and as otherwise secured for the County by Contractor in accordance with Section 9.2.3 for the Third Party IP.

9.2.1.3 **EMS Software Upgrades and Updates.** At no additional cost to the County, Contractor hereby grants to the County an irrevocable, fully paid-up right, and non-exclusive license to use or have used on its behalf, execute, distribute, reproduce, perform, prepare derivative works, adapt, and display any and all Upgrades and Updates to the EMS Software, including any such Upgrades or Updates required by any SOW, subject to a license to the County pursuant to Section 9.2.1.2 during the Term for the purposes of the Contract including any and all uses to fully enjoy and exploit the Intellectual Property rights, licenses and grants under this Section 9.2 (Intellectual Property; License; Rights).

9.2.1.4 **Disclosure and Delivery.** Subject to IP Approval Rights and COTS Authorization, any work product or deliverables (including Software) that embody Contractor IP (or Developed IP pursuant to Section 9.2.2) shall be (i) disclosed prior to any Work and (ii) delivered (digitally and/or physically) to the County within thirty (30) days of incorporation into the EMS, Work or any deliverable.

9.2.2 **Developed IP Ownership and License.** Developed IP shall be owned by Contractor subject to (i) Section 9.2.4 (County Ownership of, and rights to, IP Materials and Deliverables), and (ii) a grant to the County of an irrevocable, fully paid-up right and non-exclusive license to use or have used on its behalf, execute, distribute, reproduce, perform, prepare derivative works, adapt

and display such Developed IP during the Term for the purposes of the Contract including any and all uses to fully enjoy and exploit the Intellectual Property rights, licenses and grants under this Section 9.2 (Intellectual Property; License; Rights). For the avoidance of doubt and without limiting the foregoing, Developed IP may include Upgrades, Updates, and/or Software modifications or improvements whether or not identified as a specification or otherwise identified in the Contract and whether or not requested by the County. County has no right or license with respect to Developed IP except as expressly set forth in this Section 9.2.2.

9.2.3 **Third Party IP License.** Subject to COTS Authorization, Contractor shall be responsible to identify, negotiate and finalize all rights, title, and license to be secured and granted to the County under this Section 9.2.3 which shall not be functionally, technically, or legally inferior to the grant of rights received by Contractor under this Contract (and pursuant to this Section 9.2 (Intellectual Property; License; Rights)) (the “Base License Rights”), in the name of the County, with the owner of any Third Party IP.

9.2.3.1 **IP Approval Rights.** Except as to COTS Authorization, if the owner of Third Party IP refuses to grant Base License Rights to the County, Contractor shall provide the best-commercially-available license rights to the County for review and approval, in the County’s sole discretion.

9.2.3.2 **COTS Authorization.** The Contractor shall secure license(s) in the name of the County based on commercially available terms for the COTS, including any standard end user license agreement. If the COTS license terms fail to provide the complete Base License Rights, the Contractor shall provide for approval by the County in its sole discretion (i) an outline of such license deficiencies and (ii) the identification of at least one (1) other COTS available for the same purpose, function or design. The Contractor shall identify and disclose to the County all COTS required by, incorporated in, or combined with the Work or the EMS.

9.2.3.3 **Disclosure and Delivery.** Subject to IP Approval Rights and COTS Authorization, any work product or Deliverables (including Software) that embody Third Party IP shall be (i) disclosed prior to any Work and (ii) delivered (digitally and/or physically) to the County within thirty (30) days of incorporation into the EMS, Work or any deliverable.

9.2.3.4 **Contract Administration.** During the Term, Contractor shall be solely responsible for Third Party IP license agreement compliance including notices and renewal (including payment of any royalties or fees). Ninety (90) days prior to the Termination Date, Contractor shall prepare and deliver all agreements along with a summary of current agreement (i) title, (ii) parties, (iii) effective date, (iv) renewal notice requirements, (v) expiration date, and (vi) a detailed listing of all use restrictions and license terms that differ from the Base License Rights.

9.2.4 **County Ownership of, and rights to, IP Materials and Deliverables.**

9.2.4.1 Except for Developed IP and EMS IP directly embodied in Software required for the EMS, all IP Materials and Deliverables created or authored, in any medium, under and for the purposes of the Contract, is specially ordered or commission by the County, including works made for hire in accordance with Section 101 of the Copyright Act of the United States. To the extent that such IP Materials and Deliverables do not qualify as works made for hire, the Contractor hereby assigns to the County all rights, title, and interest in and to the IP Materials including any and all work product and designs. The Contractor agrees to execute such further documents and to do such further acts as may be necessary to perfect, register, or enforce the County's ownership of such rights, in whole or in part. If Contractor fails or refuses to execute any such documents, the Contractor hereby appoints the County as the Contractor's attorney-in-fact (this appointment is irrevocable and is coupled with an interest) to act on the Contractor's behalf and to execute such documents. The Contractor hereby forever waives and agrees never to assert against the County, its successors or licensees any and all "Moral Rights" the Contractor may have in Intellectual Property embodied in any such IP Materials or Deliverables even after expiration or termination of this Contract.

9.2.4.2 The County shall have an immediate possessory right and interest upon the authorship, creation or development of all IP Materials and Deliverables owned or assigned to the County pursuant to Section 9.2.4.1, physically or digitally, and whether or not such IP Materials or Deliverables have been delivered to the County under the terms of this Contract.

9.2.5 Excluding COTS pursuant to Section 9.2.3.2 (COTS Authorization), but in addition to any Work or Deliverables or other items to be delivered to the County under this Contract, the Contractor shall deliver, or cause to be delivered, to the County all IP Materials. If Contractor can provide sufficient justification, only to the extent that such delivery would eliminate or substantially limit the legal protections for, or commercial value of, such IP Materials, the County may approve an IP Escrow for the delivery, deposit and update of Contractor IP through the Term and any consecutive renewal thereof. In such cases Contractor shall comply, and cause Subcontractors to comply, with the IP Escrow deposit requirements of Section 9.2.6 (IP Escrow), below provided that such delivery to the County or deposit into IP Escrow(s) shall occur at the earlier of (i) when such Work, Deliverable or other item is due under the Contract terms, (ii) with respect to Intellectual Property in existence on the Effective Date, within thirty (30) days after the Effective Date of the Contract or (iii) sixty (60) days prior to the effective date of termination.

9.2.6 IP Escrow.

9.2.6.1 The County and Contractor acknowledge that the Contractor and/or owners of Third Party IP may not wish to deliver the required IP Materials directly to the County pursuant to this Contract as public disclosure could deprive the owners of Intellectual Property commercial value. The Contractor further acknowledges that the County nevertheless must be guaranteed access to such IP Materials and the use of the relevant Intellectual Property pursuant to this Contract, and must be assured that the IP Materials are delivered to the County.

9.2.6.2 In lieu of delivering the IP Materials directly to the County, subject to the requirements of Section 9.2.6 (IP Escrow), Contractor or the owner of Third Party IP may deposit relevant IP Materials with a neutral depository. In such event, the County and the Contractor shall: (i) mutually select one or more escrow companies or other neutral depositories (each an "IP Escrow Agent") engaged in the business of receiving and maintaining escrows of EMS Source Code or other Intellectual Property; (ii) establish one or more escrows (each an "IP Escrow") with the IP Escrow Agent on terms and conditions reasonably acceptable to the County and the Contractor for the deposit, retention, audit, upkeep and release of IP Materials to the County pursuant to this Contract; (iii) determine a date for each deposit of the IP Materials into the IP Escrow; and (iv) determine a process for releasing from escrow the IP Materials to be

delivered to the County pursuant to the Contract Documents. The Contractor shall be responsible for the fees and costs of the IP Escrow Agent and IP Escrow(s).

9.2.6.3 Any IP Materials deposited in IP Escrow(s) shall be released and delivered to the County in any of the following circumstances ("Release Conditions"):

(i) this Contract is terminated for Default pursuant to Section 8.43 (Termination for Default);

(ii) voluntary or involuntary bankruptcy of the Contractor or the owner of Third-Party IP; or

(iii) the Contractor or the owner of Third Party IP is dissolved or liquidated or otherwise ceases to engage in the ordinary course of the business of manufacturing, supplying, maintaining, and servicing the software, product, part, or other item containing the relevant Intellectual Property.

The County shall maintain the confidentiality of any IP Materials released pursuant to this Section 9.2.6 (IP Escrow) pursuant to Section 8.36 (Public Records Act) and shall enter into a non-disclosure agreement with any third party with whom the County, in its sole discretion, grants access to such IP Materials to the extent that such IP Materials contain Confidential Information.

9.2.7 Payments Inclusive. The Contractor acknowledges and agrees that the sum of all payments made pursuant to the Contract shall include all royalties, fees, costs and expenses arising from or related to the Contractor IP, Third Party IP, Software or any licenses granted under this Section 9.2 (Intellectual Property; License; Rights). For the avoidance of doubt, all fees, costs and expenses for IP Escrow(s) are to be paid by the Contractor under this Contract.

9.2.8 All the rights and obligations of this Section 9.2 (Intellectual Property; License; Rights) shall survive the expiration or termination of this Contract.

9.3 Intellectual Property Indemnification

9.3.1 The Contractor shall indemnify, hold harmless, and defend County from and against any and all liability, damages, costs, and expenses, including, but not limited to, defense costs and attorneys' fees, for or by reason of any actual or alleged

infringement of any rights of any Person, including Intellectual Property rights, or any actual or alleged unauthorized trade secret disclosure, arising from or related to the EMS, EMS IP, Contractor IP, Third Party IP, Developed IP, IP Materials and all Deliverables or Services under this Contract. County shall inform the Contractor as soon as practicable of any claim or action alleging such infringement or unauthorized disclosure, and shall support the Contractor's defense and settlement thereof.

9.3.2 In the event any physical, digital or mechanical item, product or property, including equipment, hardware, firmware, or Software, becomes the subject of any complaint, claim, or proceeding alleging infringement or unauthorized disclosure, such that County's continued use of such item, product or property, is formally restrained, enjoined, or subjected to a risk of damages, the Contractor, at its sole expense, and providing that County's continued use of the System is not materially impeded, shall either:

- (i) Procure for County all rights to continued use of the questioned item, product or property; or
- (ii) Replace the questioned item, product or property with a non-questioned item; or
- (ii) Modify the questioned item, product or property so that it is free of claims.

IN WITNESS WHEREOF, Contractor has executed this Contract, or caused it to be duly executed and the County of Los Angeles, by order of its Board has caused this Contract to be executed on its behalf by the Chair of said Board and attested by the Executive Officer-Clerk of the Board of Supervisors thereof, the day and year first above written.

COUNTY OF LOS ANGELES

CONTRACTOR

DEAN C. LOGAN
Registrar-Recorder/County Clerk

AUTHORIZED SIGNATURE

PRINT NAME

TITLE

TAX IDENTIFICATION NUMBER

APPROVED AS TO FORM:

DAWYN HARRISON
Acting County Counsel

By _____
Deputy County Counsel

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EXHIBIT A

STATEMENT OF WORK

STATEMENT OF WORK

A.1: Implementation Statement of Work

A.2: Hosting Statement of Work

A.3: Maintenance and Support Statement of Work



EXHIBIT A.1

**IMPLEMENTATION
STATEMENT OF WORK**

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Introduction

This Statement of Work (SOW) describes the Services and Deliverables [Contractor] will provide related to Implementation Services for the Election Management System (EMS).

Deliverable Development and Approval Process

This Section specifies a repeating process for developing Deliverables for this SOW. Each deliverable will be developed in accordance with the following [Contractor] obligations:

1. All Deliverables must be developed in the form and format agreed to by the County and [Contractor] using a Deliverable Expectations Document (DED) approved by the County prior to work commencing on the Deliverable. As each Deliverable is submitted, [Contractor] must include a copy of the approved DED as the cover sheet.
2. Develop agendas, coordinate scheduling with the County, and facilitate all necessary sessions (e.g., workshops, meetings, etc.) to develop the Deliverables.
3. Record and analyze the input received from the sessions and distribute results / minutes for review to participants.
4. Prepare drafts of the Deliverables for the County's review.
5. Provide a structured process for the County to provide feedback on drafts, including sessions, as appropriate.
6. Compile and incorporate the County's feedback to the draft Deliverables and prepare revised Deliverables.
7. Distribute the revised Deliverables to the County for review. Obtain and analyze the County's feedback as above and repeat, if necessary.
8. Prepare final versions of the Deliverables including, prior to distribution for approval by the County, validation by [Contractor] that the Deliverables conform to the DED.

After receipt of a Deliverable from [Contractor], the County Program Manager or designee will distribute to the appropriate Project team to review and provide feedback. The County Program Manager or designee will notify [Contractor] in writing with specific changes requested, including a reasonably detailed explanation of the reason(s) why the Deliverable should be modified, in a mutually agreed upon timeframe based on the nature of the Deliverable and the schedule.

1.0 Project Initiation and Management

[Contractor] will perform the activities required to plan, manage, monitor, and lead the EMS Project through Project closeout.

1.1 Plan for the Project

At the onset of the Project, [Contractor] will establish the processes and tools required to manage and control the Project, in consultation with the County.

1.1.1 Establish Project Information Library

[Contractor] will develop and maintain a Project Information Library in a single online repository used to store, organize, track, control, and disseminate all information and artifacts produced. The Project Information Library will be used by [Contractor], County staff, and other key stakeholders including other vendors contracted by the County.

The Project Information Library will include a file structure with defined access and permissions, including administrator rights for County staff. It will also include a web or portal interface for individuals to remotely view/manage Project information and documentation, and provide comments or capture issues for the Project Team.

[Contractor] will store all work products and Deliverables in the Project Information Library for the duration of the Project. Work products and Deliverables must be uploaded to, and made available through, the Project Information Library after completion of the related Project event or activity. For Deliverables, the delivery timing governs the latest by which the Deliverables must be uploaded to the Project Information Library. For any other items, the materials shall be made available to the County no more than one (1) week after the Project event or activity. At the end of the Project, [Contractor] will archive relevant Project artifacts and turn the Project Information Library over to the County in its entirety.

The County is familiar with Atlassian Confluence® and Microsoft SharePoint® as collaboration software tools and would prefer to use one of these platforms for the Project Information Library. [Contractor] can select any platform for the Project Information Library if it is mutually agreed upon by County and [Contractor].

Deliverable	I1.1.1 Project Information Library
Delivery Frequency	Once, and maintained throughout the Project

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will develop and maintain a Project Information Library for the storage, organization, tracking, control, and dissemination of all project information and artifacts. The Project Information Library will be used by all project key stakeholders (e.g., the County staff and any other County-contracted vendors, and The Canton Group).

To ensure access to the content and documentation is only seen by those who need the information, the library's file structure will have defined access and permissions (including administrative rights for the County staff). The information will be accessible via the web to allow all individuals – regardless of work location – to access the content, provide comments, and capture any relevant issues to the project.

Project deliverables and work products will be housed in the library and made available to all key project stakeholders. Timing for uploading deliverables to the library will be dependent on their specific delivery timing and all other documentation will be uploaded no more than one week after an event or activity. At the end of the project, The Canton Group will archive applicable project artifacts and turn them over to the County.

The Canton Group recommends utilizing Microsoft SharePoint (SPO) for the content library. SPO allows for effective meta-sorting, versioning, and integrates with project communication tools such as Teams. Utilizing SPO's integration with Teams, differing agency email domains can be provided access to the library without the need to create a separate login.

1.1.2 Develop Project Control Documents

[Contractor] will prepare and submit a Project Control Document (PCD) that encompasses all activities related to the design, development, integration, testing, data migration, and implementation of the EMS. Activities included in the PCD will reflect the Project through Maintenance and Support (M&S).

The PCD will include:

- **Project Schedule** — A detailed and resource-loaded view of the tasks, milestones and deliverables within the Project including descriptions, durations, activity dependencies, and resource requirements (e.g., County Project Management Team, Contractor). Working with [Contractor], the County will determine the needed level of detail for tasks and timeframes. The Project Schedule may be created and maintained in MS Project or a similar collaborative project software solution.
- **Project Assumptions** — Identifies any assumptions about the Project that significantly affect other aspects of the PCD or the Project.
- **Scope Management Plan** — Outlines the processes required to ensure the EMS and the Project provide all the services set forth in this SOW and in the Hosting SOW, and methods for tracking and managing deviations.
- **Schedule Management Plan** — Captures the process for monitoring schedule variances, planned corrective actions to address schedule variances and the process, roles and responsibilities involved in making changes to the Project Schedule.
- **Project Change Management Plan** — Describes the strategy for tracking, reviewing and approving changes to the Project.
- **Risk and Issue Management Plan** — Describes the approach to identifying, tracking, communicating, and determining mitigation strategies for risks and issues.
- **Quality Control Plan** — Defines a comprehensive Quality Control Plan to be utilized by [Contractor] as a self-monitoring tool to ensure the required services are provided as agreed to in the Contract. The following elements, at minimum, will be included:
 - Activities to be monitored to ensure compliance with all Contract requirements
 - Monitoring methods
 - Frequency of monitoring
 - Sample forms to be used in monitoring
 - Title/level and qualifications of personnel performing monitoring functions
 - Documentation methods of all monitoring results, including any correct action taken

- Resource and Staffing Plan — Captures the projected [Contractor] and County resources required and the processes for identifying, qualifying, onboarding, retaining and, if necessary, replacing [Contractor] team members.
- Deliverables Acceptance Process — Captures the processes, timeframes, templates, roles and responsibilities for completing and approving DEDs, submitting Deliverables for approval, and approving Deliverables using Deliverable Acceptance Documents. All [Contractor] Deliverables are subject to review and comment by the County, and [Contractor] may be required to produce revised Deliverables prior to County approval, acceptance, and payment. [Contractor] will perform a walkthrough of a draft version of the Deliverable with appropriate County staff and solicit feedback prior to submitting the Deliverable for approval.
- Project Communication Plan — Details key Project stakeholders and the methods and timeframes for communicating with stakeholders regarding Project status, accomplishments, stakeholder impact, etc.
- Closure Approach — Captures the activities [Contractor] will perform to formally close the Project.

[Contractor] will review the draft PCD with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I1.1.2 Project Control Document
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will prepare and submit a Project Control Document (PCD) to the County. This document will include all activities associated with the design, development, integration, testing, data migration, and implementation of the solution. The activities that are included in the PCD will cover the complete project lifecycle (from Implementation through Maintenance and Support (M&S) services).

The Canton Group will include the following documents and content in the comprehensive PCD:

- Project Schedule: tasks, milestones, and deliverables (including descriptions, durations, dependencies, and resources).
- Assumptions: identification of assumptions that impact other areas of the PCD or project.
- Scope Management Plan: processes related to project scope (including hosting) and plan for tracking and managing issues.
- Schedule Management Plan: process for monitoring and corrective actions for schedule variances; processes and responsibilities for changes to the project schedule.
- Project Change Management Plan: strategy for tracking, reviewing, and obtaining approval for project changes.
- Risk and Issue Management Plan: approach for identification, tracking, mitigating, and communicating risks and issues.
- Quality Control Plan: self-monitoring tool to ensure all provided services meet requirements as per the contract.

- Resource and Staffing Plan: projected resources (both from The Canton Group and the County) including recruiting, retaining, and replacing team members.
- Deliverables Acceptance Process: processes, timelines, templates, and responsibilities for completing and obtaining approval on deliverables. Draft versions of deliverables will be submitted to the County for their review and feedback prior to formally submitting for County approval.
- Project Communication Plan: processes and timeframes for communicating project statuses to key stakeholders.
- Closure Approach: processes for formally closing the project once complete.

The Canton Group will provide a draft PCD to the County for feedback prior to submitting formally. Once changes are incorporated, our team will formally submit the final version to the County for approval.

1.1.3 Initiate Project

[Contractor] will conduct a Project Kickoff meeting within three (3) weeks of the Project Commencement Date to introduce County leadership and County staff to the services covered by this SOW, including the timelines, dependencies, risks, and nature of the work effort that will be required to implement the EMS. Other key stakeholders may participate in the Project Kickoff meeting as determined by the County.

Before the Project Kickoff meeting, [Contractor] will:

- Work with the County to identify all [Contractor] and County resources required to complete the tasks outlined in this SOW
- Develop an agenda, including meeting objectives, for the Project Kickoff meeting

The Project Kickoff meeting will cover, at minimum, the following topics:

- Project background and overview reflecting an understanding of the EMS vision and scope
- High-level Project schedule
- Objectives
- Key processes (including change control and issue/risk management)
- Resources, roles, and responsibilities (County and [Contractor])
- Project tools/systems
- Critical success factors including any possible challenges/risks
- Next steps
- Questions and answers

After the Project Kickoff meeting, [Contractor] will prepare a Project Kickoff Summary Report including attendance sheet/roster, observations, opportunities, challenges, and any new items identified as part of the Kickoff.

Deliverable	11.1.3 Project Kickoff and Summary Report
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

As projects transition to The Canton Group, we prepare for the transition by spending time building and training the team, reinforcing the Agile methodology, and having the team members learn the application(s) they will be supporting. Time is spent reviewing any existing documentation, looking through the code, sitting with power users of the application to understand its core functionality and getting to know their teammates and the stakeholders, working with the County for identification of resources, and developing an agenda and meeting objectives for the Project Kickoff meeting.

To understand the County's expectations and to set the baseline for a new contract term, a kickoff meeting is scheduled which is attended by all key stakeholders and team members. The kickoff meeting focuses on the scope, goals, objectives, and visions of the project, ensuring all members are aligned. Other topics to be covered at the kickoff meeting would include any key processes, project tools and systems, challenges and risks, roles and responsibilities, and next steps.

Prior to the kickoff meeting, a high-level project plan will be created that lists all known activities which will need to be executed to ensure the transition is successful (including current known backlog of work, proposed enhancements, and annual updates needed). During the kickoff, The Canton Group and the County stakeholders will make modifications to the plan to ensure that it captures all the key details to set the initial priority and direction for delivery. This plan will serve as an initial roadmap that will be reviewed and updated with the County during road mapping sessions.

In following Agile software delivery best practices, The Canton Group recommends having a first road mapping session to review the backlog and determine what work is still relevant and ensure priorities are correct. If the backlog has been groomed and is already aligned with Epics, the team focuses on these high-level requirements, working with the stakeholders to review each one. In cases where the requirements are not associated with Epics (or are loosely done so), an additional exercise will be done to create Epics by grouping requirements together. Once that has been done, priorities will be revisited to ensure any new efforts are incorporated into the overall road map of the project.

After the kickoff meeting, The Canton Group will prepare and distribute a summary report noting the meeting attendance, notes and observations, areas for improvement and opportunities, challenges, and any action items or outcomes identified.

1.1.4 Develop Project Orientation Materials

[Contractor] will prepare Project Orientation Materials, which will be used by [Contractor] and the County to orient new project team members to the goals, objectives, and approach of the EMS Project.

The Project Orientation Materials will be used for onboarding and training new project team members (County, [Contractor], etc.) to become familiar with the Project. It will include, at minimum, the following elements:

- Overview and background of the Project
- Information on how to obtain access to the Project Information Library
- Reference documents (with links)

- Overview of the PCD
- Project Team members, roles, and responsibilities

Deliverable	I1.1.4 Project Orientation Materials
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will develop and prepare orientation materials for the project. These materials will be leveraged by both The Canton Group and the County for new project team members to ensure they are oriented on project goals, objectives, and overall project approach.

The developed materials – used for onboarding and training – will include an overview and background on the project, information related to the Project Information Library and appropriate access, reference documentation, an overview of the PCD, and team members (e.g., their respective roles and responsibilities).

1.2 Monitor the Project and Report on Status

[Contractor] will execute the processes outlined in the PCD for the duration of the Project to effectively control and manage the Project in coordination with the County.

[Contractor] will track the Project status and update applicable portions of the Project Schedule no less than twice per month to reflect the status of the Project against the baseline Project Schedule. In addition, [Contractor] will update risks and issues logs for the Project a minimum of twice per month, proactively identifying risks and issues to be reviewed with the County Project Management Team.

[Contractor] will provide the County Program Manager with written bi-weekly (every other week) Project Status Reports. The Project Status Report will capture, at minimum, the status of the Project including:

- Simple graphical statuses (i.e., red/yellow/green color codes) of scope, schedule, resources, and budget
- Accomplishments of the last reporting period and objectives for the next reporting period
- [Contractor] and County responsibilities for the next reporting period
- One-page graphical summary of all major tasks and subtasks in the Project Schedule
- Actual/projected Project Schedule dates versus baseline Project Schedule milestone dates
- Recovery plan for all work activities not tracking to the approved schedule
- Action items including respective owner(s) and due dates
- Issues Log including, at minimum:
 - Identified issues
 - Issue categorization (impact / severity) and prioritization
 - Issue remediation actions, timeframes, and responsible party(ies)

- Risks Log including, at minimum:
 - Risk description and the impact if risk becomes an issue
 - Risk categories (probability and impact)
 - Risk mitigation actions, timeframes, and responsible party(ies)
- Key dependencies including external dependencies and between Tasks and activities
- Important decisions made and/or outstanding decisions to be made, with target dates
- Any team member changes, with prior approval from the County
- Pending scope change requests with appropriate justification
- Status of VoteCal integration certification (e.g., preparation, testing, etc.)

[Contractor] will schedule and facilitate project team weekly status meetings and bi-weekly executive team status meetings with the County Project Management Team to discuss Project progress, risks/issues, resolutions, and next steps. [Contractor] will prepare and provide an agenda prior to each status meeting and meeting minutes following each status meeting. In addition, [Contractor] will participate in a monthly status meeting with the Elections Steering Committee and, as requested by the County, assist in the preparation of the agenda and minutes for such meeting.

Deliverable	I1.2 Project Status Reports
Delivery Frequency	Bi-weekly (every other week)

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will track the overall status of the project and update the Project Schedule twice a month (minimum) to reflect an accurate status. Risks and issues will be logged for the project twice a month (minimum) and our team will proactively identify risks and issues needing review with the County's Project Management Team. Every other week, The Canton Group will provide the County's Program Manager with a written status report. Our Project Manager will ensure each status report meets all requirements as specified in section 1.2.

Our team will schedule, develop/provide agendas, and facilitate weekly calls to review and discuss progress, risks/issues, possible resolutions, and next steps. Meeting minutes will be distributed after each call. Additionally, The Canton Group will participate in a monthly call with the County and the Elections Steering Committee; if needed, we will assist in the preparation of meeting agendas and minutes.

1.3 Closeout the Project

Upon completion of implementation of the EMS, and no less than sixty (60) days prior to the commencement of the Warranty period, [Contractor] will collaborate with the County to develop the Project Closeout Checklist, which will capture all activities required to consider the Project complete including:

- Confirming all EMS documentation is up to date
- Confirming all Deliverables have been completed, approved, archived, and owned by the County

- Facilitating a lessons learned process
- Completing related tactical activities (e.g., rolling people off the Project, etc.)

[Contractor] will conduct a Project Closeout Session to review the Project Closeout Checklist with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I1.3 Project Closeout Checklist
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

After successful implementation of the EMS and prior to the beginning of the Warranty period (no less than 60 days prior), The Canton Group will collaborate with the County to develop a Project Closeout Checklist. The checklist will document all activities required to consider a completed implementation and confirm all documentation and deliverables have been completed, appropriately archived, and owned by the County. Lessons learned and other administrative closeout tasks will also be included in the checklist.

Our team will provide a draft checklist to the County for their feedback and once incorporated, will formally submit a final version for approval.

2.0 Organizational Change Management

[Contractor] will provide the approach, guidance, and mentorship to support the County through the successful transition to new operational and technical processes enabled by the EMS.

[Contractor] will orchestrate the change activities and guide the County throughout the Project life cycle. [Contractor] will support the change process, where required, providing both subject matter expertise and content development. The County will be responsible for execution of Organizational Change Management (OCM) activities.

2.1 Plan for Organizational Change Management

[Contractor] will perform the activities required to thoughtfully plan for OCM through the entire Project life cycle to ensure successful end user adoption of the EMS. Plans will include mechanisms to measure progress and to gather feedback from impacted stakeholders.

[Contractor] will adjust plans, as necessary, based on findings.

2.1.1 Assess Change Readiness

[Contractor] will assess the County's readiness, willingness, and ability to adopt business process and system changes. In collaboration with the County, [Contractor] will define the Change Readiness Assessment objectives, determine key change readiness indicators to be measured, and identify the key impacted stakeholders from the Candidate and Voter Services Bureau, the Election Operations and Logistics Bureau, the Information Technology Bureau, and Executive Leadership. [Contractor] will solicit input from identified stakeholders. [Contractor] may gather input through a variety of methods such as surveys, stakeholder interviews, and/or

focus groups. [Contractor] will analyze the results, identify change management gaps, and provide recommendations to improve readiness.

[Contractor] will conduct an initial baseline assessment at the beginning of the Project, followed by subsequent assessments after readiness activities, communications, and/or trainings have occurred to determine progress.

Deliverable	I2.1.1 Change Readiness Assessment
Delivery Frequency	Once to establish a baseline, followed by periodic assessments (e.g., every two (2) months, quarterly, etc.)

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Change management activities will begin with formal designation and alignment of an Executive Leadership/Contract Management (EL/CM) group (client), with a Super User/Functional Area Expert (FEA) group in each defined functional area (also client), with a contractor Change Management group. These three groups will work together throughout the project to provide continuing readiness assessments, and direct feedback to each system component as it is being created, to ensure actual readiness. The change management structure will also rely on development of a Quality Management system for the project, loosely modeled on the components of the ISO 9001/ISO 54001 Standards applicable to this project. This modeling will document project operations, roles, resources, and other key areas, to ensure the highest quality of delivered components, and the continuing alignment of the change management leadership, as noted above. It will further provide quality assurance by formalizing risk assessment and risk management, including plans for County staff succession during the project period, and contractor staff succession. Specifically for contractor staff, quarterly surveys of employment retention will be conducted so that transitions can be predicted and planned. The contractor team demonstration of the use of ISO 54001 quality management system will provide a core structure for future use by the County Elections Department, should it choose to do so. This structure will be submitted for review and approval by the Executive Leadership/Contract Management group (EL/CM).

First meetings and interviews will be with the Executive Leadership/Contract management group, with derived information to provide an initial draft of contractor risk identification and management, and an initial communications plan. It will also identify members of the Client Super User/Functional Area Expert (FAE) groups, which will be designated in each program area for project deployment. This group will also provide input on primary information contacts of key stakeholder groups, so that a project stakeholder register can be created.

Initial project activities will need to include the validation of Use Cases, and our plan will be to deploy a parallel first meeting of the Client Super User/Functional Area Expert (FAE) groups in each defined Functional area – as nominated by the Executive Leadership/ Contract Management (EL/CM) group. These group meetings will provide risk identification and will be used as a focus group on readiness using the industry standard ADKAR© model (Awareness/ Desire/Knowledge/Ability/Reinforcement). In this way a project scorecard will be created for each functional area, and for the overall project. Standard questions will be used and scored in each initial group meeting and tailored questions will be designed for next surveys. Initial input from these focus groups will also be essential in updating our Communications Plan, and development of communications materials. It is expected that after initial meetings, subsequent meetings and/or surveys will be repeated in each group at least quarterly, and as often as monthly as design review activities in each group are underway.

Focus group meetings will also allow analysis of most critical components by numbers of users, and interdependencies, so these can be matched to a schedule of planned future use to optimize development activity and plan deployment for least functional impairment.

An all-staff change management survey, deployed to all categories of future system users, will be created to provide a high-level readiness score, and to tailor future communications to the entire user group. This survey will be repeated only quarterly throughout the project. A similar survey will be structured for key stakeholder group representatives, that will also be repeated quarterly.

Overall, throughout the 18-month Phase 1 effort, focus group meetings paired with a structured survey will be used with Functional Area Expert (FAE) groups initially, and then from semi-monthly to monthly based on the immediacy of design review activities. The output of each such meeting will include an update of the project performance scorecard, and a written report of significant issues that will be relayed to the project manager. This feedback will create the ability to tailor and modify development or User Acceptance activities, or to modify the project tasks or activities on an as-needed basis. These meetings will be continued through Phase 2, with restructured groups Functional Area Expert (FAE) groups based on planned outputs.

Deliverables:

- Formally a designated Executive Leadership/Contract Management (EL/CM) group (client), and Super User/Functional Area Expert (FEA) groups in each defined functional area.
- Initial focus groups with each of the above and readiness assessment.
- Initial risk identification and risk management plan.
- All-staff change management survey, deployed to all categories of future system users. Deployed quarterly.
- Key stakeholder change management survey.
- Initial communications plan.
- Continuing monthly or semi-monthly focus group meetings paired with a structured survey with Functional Area Expert (FAE) groups to provide routine on-going readiness feedback to project manager and Executive Leadership/ Contract Management (EL/CM) group.
- Performance metrics scorecard, maintained throughout the project.

2.1.2 Define the Organizational Change Management and Communications Strategy

In collaboration with the County, [Contractor] will define the OCM and Communications Strategy to establish the direction and purpose for OCM and communications activities. The OCM and Communications Strategy will define the approach the County and [Contractor] will follow to effectively manage change resulting from the new EMS.

The OCM and Communications Strategy will include, at minimum, the following elements:

- Vision, goals, and objectives
- Benefits of the new EMS
- OCM framework and approach

- Guiding principles that will govern OCM and communications activities
- Change Management and Communications team(s) structure, including change sponsors / champions
- Project risk and risk factors specific to organization change
- Stakeholder groups / audiences
- Communication methods including processes to gather feedback
- Key Performance Indicators (KPIs) for the OCM effort

[Contractor] will review the draft OCM and Communications Strategy with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I2.1.2 Organizational Change Management and Communications Strategy
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The OCM and Communications strategy will be initiated and supported as noted in the previous item. Important inputs will be initial meetings with the Executive Leadership Contract Management (EL/CM) group, and Super User/Functional Area Expert (FEA) groups who will provide direct advisement on these strategies. They will be asked to identify needs and most relevant approaches to both in their specific organizational context. So specifically, we will base these identified needs and approaches on the most successful methods that have been identified up to this point in time, and will design new additional approaches as needed for this project.

Development of the OCM and Communications strategies will be further supplemented by two other sources. The first will be the developed Quality Management system for the project, loosely modeled on the components of the ISO 9001/ISO 54001 Standards applicable to this project. This modeling will document project operations, roles, resources, and other key areas, to ensure the highest quality of delivered components. It will also of necessity, include an initial statement of the vision, goals and objectives, and benefits as part of the organizational context. It will create a basis for a thorough discussion and sharing of relevant ideas between the contractor and the county. A complete summary of requirements as defined in ISO will also include a first draft of the OCM framework and approach; the guiding principles that will govern the project; the Change Management and Communications team(s) structure, including change sponsors/champions; Project risk and risk factors; Stakeholder groups and audiences including requirements development; processes to gather feedback, and; Key Performance Indicators (KPIs) for the OCM effort. As stated in the previous item, this ISO document will define the quality management system for the project, and will be provided to the Executive Leadership/Contract Management (EL/CM) group for review and approval.

Deliverables:

- OCM and Communications Strategies as a part of an approved Quality Management System document for the project, loosely modeled on the components of the ISO 9001/ISO 54001 Standards.

2.1.3 Develop the Organizational Change Management and Communications Plan

[Contractor] will develop and deliver an OCM and Communications Plan to execute the OCM and Communications Strategy as defined in Deliverable I2.1.2. The OCM and Communications Plan will articulate the activities and structure that will be used to support stakeholders impacted by the new EMS through the change journey and to enable end user adoption. The OCM and Communications Plan will include, at minimum, the following elements:

- Roles, responsibilities, and assignments of both the County and [Contractor] personnel who will execute the OCM and Communications Plan
- Communications Schedule Matrix to manage ongoing stakeholder communications, including:
 - Key messaging by stakeholder group / audience
 - Timeline and frequency of communications
 - Communication delivery mechanisms with recommendations of when to use each
- Stakeholder feedback loops including the process to review feedback and reflect changes to the OCM and Communications Plan, as necessary
- Mechanisms to measure against and report on KPIs for the OCM effort

[Contractor] will adjust the OCM and Communications Plan, as necessary and at any point throughout the Project life cycle.

Deliverable	I2.1.3 Organizational Change Management and Communications Plan
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

A specific outline of the planned OCM activities, regular project communications, and related information will be developed in this phase. It will of necessity include a work breakdown structure and timeline for OCM activities as noted above, and a Communications plan to match. Development of the content areas will begin with strategy development in the initial meetings with the Executive Leadership/Contract Management (EL/CM) group, and Super User/Functional Area Expert (FEA) groups and will likely continue in parallel as the Quality Management System plan is completed and approved. The Functional Area Expert groups will operate in each primary deployment area, and so strategies for each user/stakeholder group will be specific to those needs. Important additional information will be obtained from the all-staff change management survey, and the survey of key stakeholders.

At that time sufficient evidence and perspectives will have been gathered to develop a specific draft Communications Plan. The Communications Plan will need to include roles, responsibilities, and assignments of both the County and The Canton Group personnel who will execute the OCM and Communications Plan. It will be structured to use the existing leadership structure and existing mediums and modes of communication, since our plan will regularly involve and consult with the Executive Leadership/Contract Management (EL/CM) group, and Super User/Functional Area Expert (FEA) groups.

The plan will include a Communications Schedule Matrix to show the nature and frequency of communications to each key group, and the mediums and means of communicating with each key group. As noted, each channel of communication will seek feedback as a means of evaluating its effectiveness, and the feedback will be used as a key performance indicator of the overall effort. These key performance indicators will be included in the project dashboard.

The needed communication types and audiences will be the focus of this plan, and it will be designed to obtain high interest and attention. The creation of an initial communications plan was discussed in the previous item, and its continued refinement and use will be part of the ISO plan quality management structure. As a minimum, quarterly updates to the communication plan and resultant refinement of communication activities will be provided to the Executive Leadership/Contract Management (EL/CM) group quarterly. Feedback from readers of these communications will be obtained, as a means of determining effectiveness and completeness of the communications. These defined communication activities will be provided to all users, based on the mediums and methods that are determined to have been the most successful methods at LA CCRR in the past. This Communications plan will also be submitted in draft for the County review and comment and submitted for approval as a final with comments addressed. It will be reviewed, refined, and updated quarterly as the project transitions.

Deliverables:

- Draft Communications Plan for County review and comment.
- Approved Communications Plan.
- Communications Schedule Matrix to show the nature and frequency of communications with each key group, and the mediums and means of communicating with each key group.
- Quarterly updates of the Communications Plan and its deployment methods, based on feedback and project needs.

2.2 Conduct Organizational Change Management

The County and [Contractor] will perform the activities required and provide guidance to execute against the OCM and Communications Plan as defined in Deliverable 12.1.3.

2.2.1 Develop Communication Materials

[Contractor] will develop communication materials in alignment with the OCM and Communications Plan as defined in Deliverable 12.1.3. Materials will be tailored to the delivery mechanism and the stakeholder group / audience. Communications will answer, at minimum, the following questions:

- “What is changing?”
- “Why is it changing?”
- “How will this impact me?”
- “How will this benefit me?”

[Contractor] will review the draft Communication Materials with the County and gather feedback. [Contractor] will incorporate the County’s feedback prior to release.

Deliverable	I2.2.1 Communication Materials
Delivery Frequency	Throughout the Project life cycle, in accordance with the OCM and Communications Plan as defined in Deliverable I2.1.3.

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will conduct activities required to execute against the OCM and Communications Plans. The context of these activities are related to the ADKAR framework described in item 2.1.1, and are focused on building Awareness, Desire, Knowledge, Ability, and Reinforcement. Some of the key areas of focus will be:

- **Awareness:** To answer possible user questions about things they may want to know, before they need to know, and in time so appropriate personal and unit planning can take place.
- **Desire:** To ensure employees are motivated to seek the greater good of the organization, to soldier through difficult periods of change and overcome transitional inconveniences, and to help each other through to successful adoption.
- **Knowledge:** Employees needs to know what changes are coming, and how to respond. They need to understand the role and expectations that are coming, the schedule and steps, and where to get any training or support to step into that new role.
- **Ability:** The actual uptake of plans and training in individuals so that project change flows smoothly into future operations.
- **Reinforcement:** The communication of positive feedback and recognition for performance. If support of planned and expected actions occurs and is recognized, positive behaviors can be expected to continue. If others ignore planned and expected actions, and there are no consequences, others may also be diverted from the required changes. Results in using new systems must also receive recognition to be sustained.

This will all need to occur through an effective communications plan and the specific communications materials developed, and these will depend on the partnership between The Canton Group and the County. These materials will be based on the principal that each individual must see what is changing, why it is changing, how it will impact them, and that there is a benefit for them – at least through a more effective job and organization. A quality assurance group for both understanding these issues and seeing they are addressed will come through our continuing use of the Functional Area Expert (FEA) groups in each defined functional area. Specific feedback from each focus group meeting, from the scheduled surveys, and from the communications plan feedback will result in advisements to the project manager regarding tasks and activities, and revisions both in the approach and deployment of project activities, but also of the communications plan itself.

The deployment of each set of communications materials will include review and comment by both the relevant Functional Area Expert (FEA) group (or groups), as well as by the Executive Leadership/Contract Management (EL/CM) group. The overall communications plan will also seek to develop a role for second level managers, as another means of ensuring that critical messages get out and are appropriately explained.

Deliverables:

- Communications materials as outlined in the Communications Schedule Matrix and specified in the work breakdown structure by quarter.

2.2.2 Provide Communications Updates

[Contractor] will support the County in its communications to impacted stakeholders. Communications will occur throughout the Project life cycle to ensure awareness leading up to critical points in the Project and to enable successful adoption of the new EMS. [Contractor] will track and report on communications engagement metrics (e.g., number of stakeholders reached with messaging, participation in events, etc.).

Communications will also provide opportunities to gather stakeholder feedback for continuous improvement of the OCM and Communications Plan as defined in Deliverable I2.1.3 as well as Communication Materials as defined in Deliverable I2.2.1.

Deliverable	I2.2.2 Communications Engagement Report
Delivery Frequency	Throughout the Project life cycle, in accordance with the OCM and Communications Plan as defined in Deliverable I2.1.3.

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

As noted above, regular communications will be structured as outlined in the Communications Schedule Matrix and specified in the work breakdown structure by quarter. These will be fully targeted in each quarterly communications plan updates and will provide a specific outline and schedule for planned communications. The strategy and content of each communication will be developed in conjunction with the Functional Area Expert (FEA) groups in each defined functional area. It is anticipated that the most difficult area for significant engagement, and for meaningful two-way communications, will be with impacted external stakeholders, such as the vote centers and external agencies.

The Canton Group's OCM team will remain in close contact with the County, primarily through the Executive Leadership/Contract Management (EL/CM) group and other experienced staff whom they identify. The most sensitive communications with each impacted stakeholder group will be during the times leading up to critical points in the project and to enable successful adoption of the new EMS. These will be identified by the OCM lead working in conjunction with The Canton Group's Project Manager and will be identified during regular project meetings. We will work with the County to determine the nature and content of appropriate communications, and the contractor will create proposed communications for issuance either by the project staff, or separately by the County. These will be specifically outlined in the Communications plan updates for each quarter, and in the project plan.

The identification and structure of each of these communications will be further supported by the risk management plan. As noted earlier, each of these communications will be designed to obtain feedback and will encourage stakeholder feedback, which will provide opportunities to modify and tailor project activity as well as for continuous improvement of the OCM and Communications Plan. We will track and report on communications engagement metrics that will include the number of such communications issued, the number individually opened, feedback numbers and types, and similar relevant measures.

Deliverables:

- A specific outline and schedule for planned communications and project updates, included in each quarterly update of the Communications Plan and in the work breakdown schedule of the project plan.
- Specific OCM action plan included in the Organizational Change Management strategy and included work breakdown schedule of the project plan.

3.0 Requirements Validation

3.1 Validate the Use Cases

The County has developed a set of Use Cases that reflect the desired functionality of the System. The Use Cases are technology agnostic and captured from the business perspective.

[Contractor] will facilitate working sessions with the County subject matter experts to review and validate the County-developed Use Cases (see Procurement Library), making revisions as needed to ensure the Use Cases reflect the optimal target state while adhering to Elections Code and any other applicable law or regulations/official guidance documents. [Contractor] will work with the County to identify who from the County will participate. After each working session, [Contractor] will be responsible for updating the Use Cases to reflect working session input.

[Contractor] will review the updated Use Cases with the County and gather feedback.

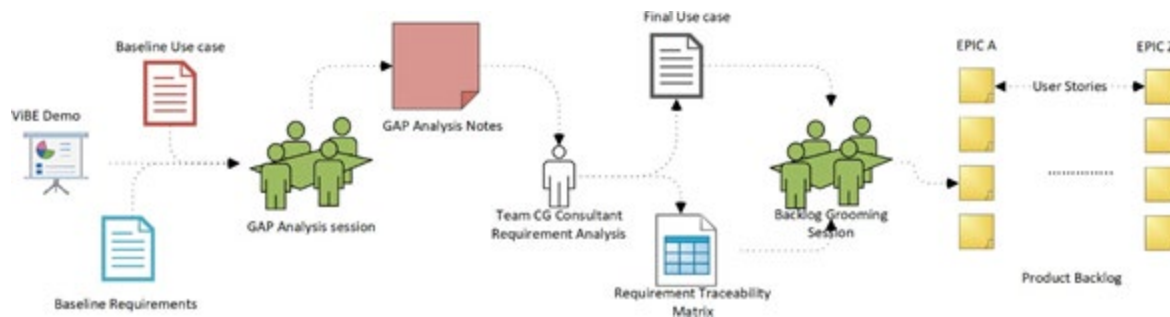
[Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I3.1 Final Use Cases
Delivery Frequency	Once for each Module/Domain

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group reviewed the baseline Use Cases provided in the Procurement Library. As confirmed by LA RR/CC, these Use Cases represent a combination of current and target states. While baseline Use Cases provided insight into county's desired system functionalities, The Canton Group works with each Functional Area Experts (FAE) to refine all the Uses Cases to reflect the target state.

Requirement Management below demonstrates how Use Cases and requirements are validated and decomposed into User Stories. Use Cases represent the high-level interaction between the user and system to accomplish the user's goal. During Gap Analysis sessions, users assess how well ViBE meets the user's goal and provides feedback on modification necessary to Use Cases and/or ViBE functionality. Sessions also clarifies the context of the baseline requirements and helps to determine how requirements will be met by the system (e.g., out of the box, configuration, new development/customization, etc.).



Requirement Management

During the Planning phase, The Canton Group's Elections SME (Subject Matter Expert) in coordination with the County Project Manager prepares a schedule for Gap Analysis sessions. Gap Analysis sessions are conducted separately at the domain level with the Functional Area Experts (FAE). Similar sessions are conducted for Non-functional requirements.

At the end of Gap Analysis sessions, The Canton Group compiles the meeting notes and finalizes the Use Case. A walkthrough of the deliverable is conducted to identify any defects before it is officially submitted for approval.

3.2 Validate the Functional and Non-Functional Requirements

[Contractor] will facilitate working sessions to review and validate the County-developed Functional Requirements (Technical Proposal Response Template [Section H.1](#) Functional Requirements Matrix), and Non-Functional Requirements (the collective set of requirements from the Technical Proposal Response Template [Section I.1](#) Technical Requirements Matrix, [Section J.1](#) Implementation Requirements Matrix, [Section K.1](#) Hosting (On-Prem or Cloud) Requirements Matrix, and [Section L.1](#) Maintenance and Support Matrix), making revisions as needed to ensure they reflect the optimal target state while adhering to Elections Code and any other applicable laws or regulations/official guidance documents and documenting business rules. After each working session, [Contractor] will be responsible for updating the Functional and Non-Functional Requirements Traceability Matrices to reflect working session input. This includes specifying how each Functional and Non-Functional Requirement will be met by the System (e.g., out of the box, configuration, new development / customization, etc.). Functional Requirements will be traced to the applicable Use Case(s) as defined in [Deliverable I3.1](#).

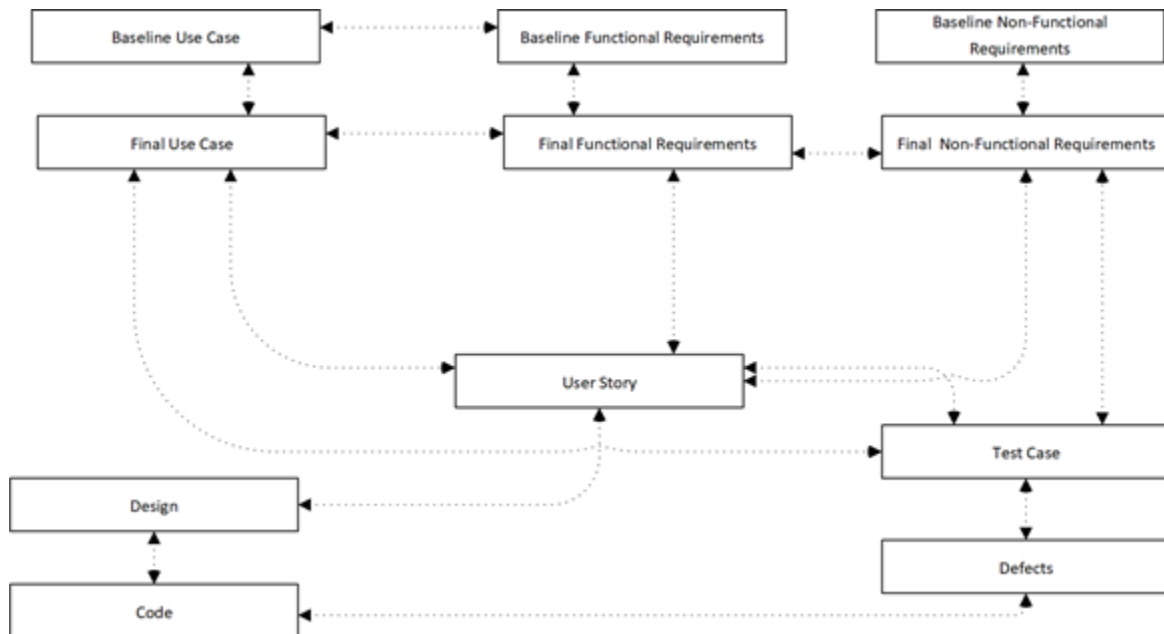
[Contractor] will review the updated Functional and Non-Functional Requirements with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval. Any major modifications will follow the County's governance process for a decision before proceeding.

Deliverables	I3.2.1 Final Functional Requirements Traceability Matrix I3.2.2 Final Non-Functional Requirements Traceability Matrices
Delivery Frequency	I3.2.1 Once for each Module/Domain I3.2.2 Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Our objectives of Requirement Traceability Matrix (RTM) are to:

- Define the approach linking functional requirements so they can be linked backward to non-functional requirements and forward through design, coding, and testing.
- Aid in the management of Functional and Non-functional Requirements that encompass the needs and scope of LA EMS Project and support the development and configuration of ViBE EMS solution.
- Prevent features from being implemented unless they are derived from approved requirements and receive the appropriate level of review and control.
- Require that changes to requirements are evaluated for their impact on schedule, budget, resources, and quality through the formal project change control process.



Scope of Requirement Traceability Matrix

At the completion of Gap Analysis sessions, The Canton Group creates RTM. As shown in Scope of Requirement Traceability Matrix, the several types of traces that are created and maintained include:

- Baseline to Final Use Case and Requirement.
- Final Use Case to Functional Requirement, User Story, and Test Case.
- Functional Requirement to User Story, Non-Functional Requirement, and Use Case.
- Non-Functional Requirement to User Story, Functional Requirement, and Test Case.
- User Story to Design, Code, and Test Case.
- Design to Code.
- Code to Defect.

- Test Case to Defect.

Requirement traceability is managed on Azure DevOps with Modern Requirements4DevOps plugin. The Canton Group creates custom queries on Azure DevOps to show coverage across the different Requirement types. This includes Baseline Requirement to Use Case and User Story. The reports reveal any inconsistencies and redundancies and provide coverage of the baseline requirements. This must include removing and adding requirements as the scope changes through Change Requests.

In addition to traceability, RTM captures how each Functional and Non-Functional Requirement will be met by the System (e.g., out of the box, configuration, new development/customization, etc.).

RTM is submitted once per each domain. Non-functional RTM is submitted once. The Canton Group Project Manager updates the RTM throughout the Project lifecycle.

3.3 Develop the Product Backlog

[Contractor] will develop the Product Backlog, including defining the Epics and developing the respective User Stories, leveraging the Final Functional Requirements Traceability Matrix and Final Non-Functional Requirements Traceability Matrices as defined in Task 3.2 and facilitating working sessions with the County subject matter experts. User Stories will include predefined acceptance criteria.

Epics are groups of functionality that deliver business value. They are likely to contain multiple related Use Cases. User Stories are smaller units of functionality that are delivered within one Sprint. It is the smallest unit of work that is tracked to indicate progress. Unlike the Use Cases, the User Stories are specific to the target implementation and not technology agnostic.

[Contractor] will use a strong definition of “done” to determine whether all aspects of the User Story are complete, including testing based on the acceptance criteria.

During the initial backlog development, [Contractor] will develop the first-cut User Stories. User Stories will be refined prior to Sprints as the User Stories are prioritized for development/configuration. As part of the iterative development process, [Contractor] will work with the County to groom the backlog to prioritize and refine the User Stories. At the end of each sprint, the format of the demonstration will be agreed upon by all parties. In addition to regular sprints, there will also be hardening sprints and spikes into the timeline to allow for uncertainty of custom development.

The County is familiar with Atlassian Jira® as an agile project management tool and has an enterprise account that may be used for the EMS Project. [Contractor] can select an alternative application if it is mutually agreed upon by County and [Contractor].

Deliverables	I3.3.1 Epics I3.3.2 User Stories
Delivery Frequency	I3.3.1 Once I3.3.2 One for each Module/Domain

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group begins round two (2) of requirement analysis phase to create a Product Backlog of User Stories (work items) that should be completed to close the gaps identified with EMS solutions. A user story is a brief explanation of a product feature written from the end user's perspective that articulates how the user will experience value. This is generally captured in the format of, "As a <who>, I want <what> so that <why>".

- Who: The job role or user type, also known as the user persona.
- What: The goal that the user wants the EMS to accomplish or implement.
- Why: The reason why the user needs the feature or functionality.

Similar to Gap Analysis session, The Canton Group schedules Backlog Grooming sessions by Domain with the Functional Area Experts (FAE). With the input from FAE, additional staff to represent user persona are invited to these sessions. With Requirement Traceability Matrix (RTM) as the input, the team reviews each requirement that are identified as requires EMS modification. The County users describe what the EMS needs to accomplish to complete the requirement. The Canton Group facilitators capture them as first-cut User Stories.

The first-cut User Stories are group and categories into EPICs. A feature large enough that it takes multiple Sprints (development iteration) can be considered an EPIC. By that definition, User Stories that are large feature are recategorized as EPIC and collection of User Stories that describe a common feature are also grouped as EPIC. This provides the team with the Product Backlog of EPICs and User Stories.

First-cut User Stories and EPICs are not necessarily detailed enough or prioritized for development and requires further refinement and triaging. Using the Agile scrum methodology, The Canton Group conducts periodic Product Backlog grooming sessions by Domain area. The goals of Product Backlog grooming sessions include:

- Assign Priority, Risk, and target Sprint to User Stories and EPICs.
- Decompose EPICs and User Stories into more detailed User Stories as needed. As new User Stories are added, The Canton Group maintains a backward traceability to Functional Requirements, Non-Functional Requirements, and Use Cases.

Product Backlog is maintained in Azure DevOps using Modern Requirements4DevOps plugin. At the end of elicitation of First-Cut User Stories and EPICs, The Canton Group publishes the Product Backlog by Domain to LA RR/CC for review and approval. As needed, The Canton Group conducts deliverable walkthrough with reviewers to promptly resolve any findings. The approved Product Backlog becomes the baseline for tracking of development progress throughout the project.

4.0 Design

[Contractor] will develop the Solution Architecture that will be used to guide the development and configuration of the System. [Contractor] will prepare the Security Plan, detailing how security will be controlled during the Implementation of the System.

4.1 Define Solution Architecture

[Contractor] will define the Solution Architecture that will fulfill the County's requirements and can be technically realized. The Solution Architecture will lay out a conceptual design model that defines the structure and behavior of the EMS. It will capture the technical layers with core components in each, and relationships between them. The Solution Architecture will also capture external interfaces and integrations.

The Solution Architecture will capture the main usage patterns of the System based on the Use Cases and Requirements, and illustrate how the design supports these patterns. The architecture will serve as a validation point to have a reasonable expectation that the System design meets the needs of the County, and will also serve to guide downstream configuration and development work. It is not intended to be exhaustive (i.e., avoiding a traditional "Big Design Up-Front" effort), but focuses on the core design elements.

The Solution Architecture will offer a perspective on the configuration capabilities and driving decisions for limited customization, if needed.

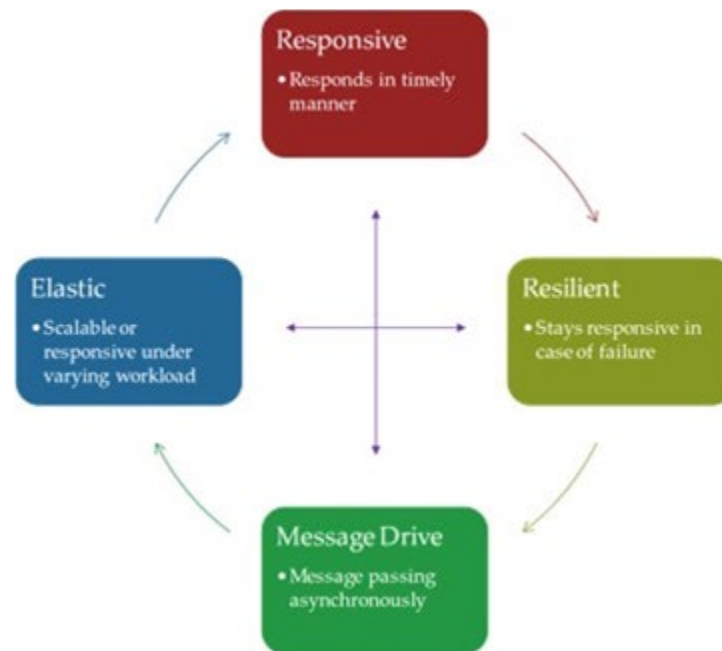
The System will include an integration capability to avoid point-to-point interfaces that become difficult to maintain over time. The Solution Architecture will describe the integration technology, integration patterns, and use of queuing, mediation, transformation, and orchestration capabilities. The Solution Architecture will define the lines of demarcation between the EMS and the integration capability.

[Contractor] will review the draft Solution Architecture with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I4.1 Solution Architecture
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Overall Solution Architecture follows the Reactive Architecture Principles: The solution is responsive, scalable, resilient, and message driven.



Architecture Quality

- **Responsive:** We assure that the architecture and infrastructure allow for timely responses to request independent of the number of users or load size.
- **Scalable:** Our solution architecture supports horizontal scalability of the micro services based on the container size and capacity. When a microservice is reaching its capacity, our platform creates a new microservice to support the excess of load, it knows how to route the requests to the microservices automatically.
- **Resilient:** When a microservices health is deteriorating, the platform fires a new microservice to replace the failing one. This allows our system to be 24X7 up and running.
- **Message Driven:** Each microservice maps a functional domain and only knows how to do that business logic. It does not persist state (stateless), so the API requests from the clients do not interfere with each other. The microservices therefore are decoupled services communicating via messaging to achieve workflows.

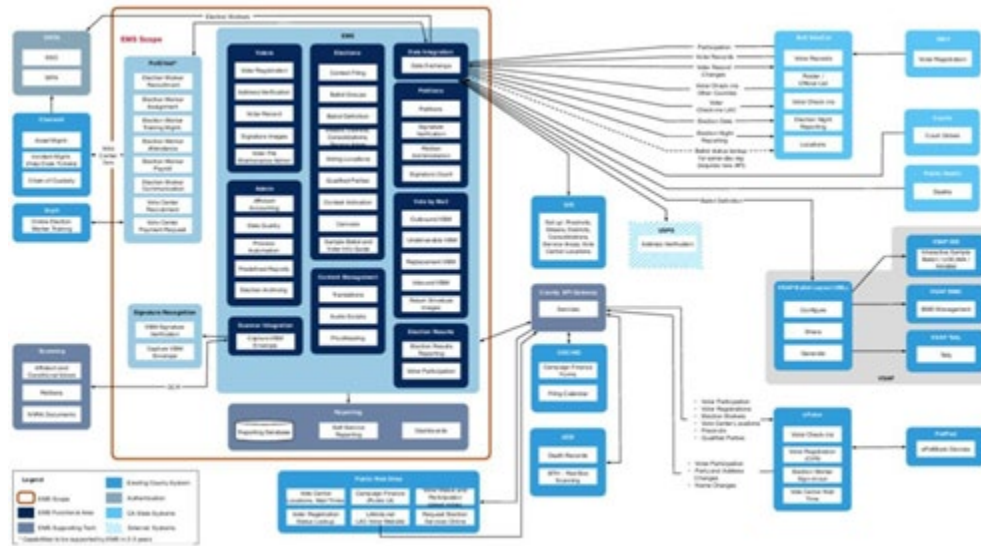
Our Solution Architecture is based on the requirements of the Election Management System. We use an iterative process to understand, define, and design models. We start with a Contextual Model of the EMS, then we define the Functional Architecture, the Technical Architecture.

Requirements:

Following our Agile Methodology, we capture our requirements in product backlogs containing Epics, User Stories, and Tasks. We use Microsoft DevOps Boards to achieve this process. We can migrate to another scrum-based tool such as Jira if the project decides to use a different tool.

The Conceptual Model:

In this model we define the systems that interact with the EMS. The following context diagram shows the systems that interact with the LA EMS.

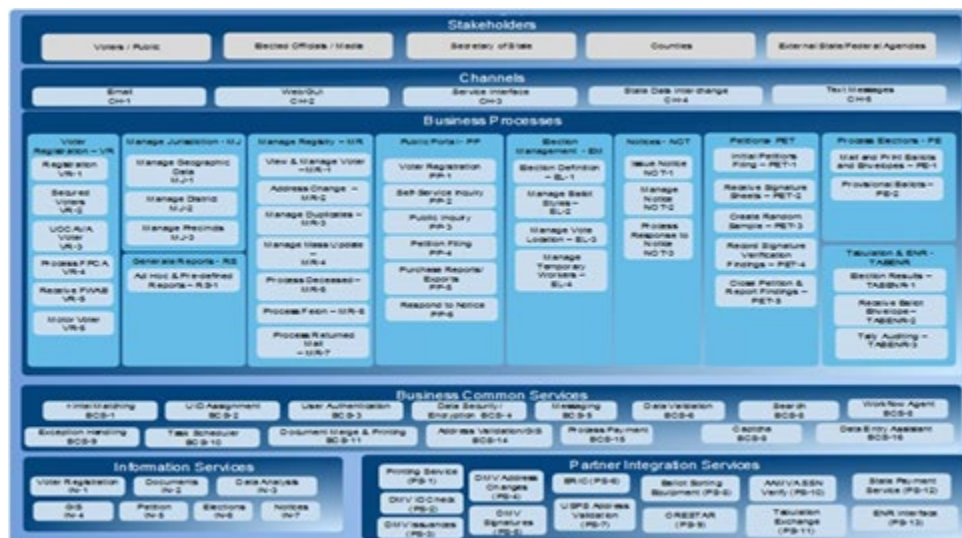


Conceptual Model

Functional Architecture:

The EMS Functional Architecture is where we define the EMS Domain components (functional domains). We use Domain Driven Design (DDD) to develop the Functional Architecture. This method of design uses business domain decomposition to divide the solution in functional domains. We define the boundaries of the domains using bounded context. Bounded Context is a pattern for strategic design of the solution. We use DDD tactical patterns to manage the complexity of the solution and make sure we have a clear understanding of the behavior of the solution. This encompasses the definition of the object model (aggregates, value objects and entities), services, repositories, events, etc. of the domain.

The following diagram is a representation of the EMS Functional Architecture, a layered approach to show the main components of the solution.



Functional Architecture

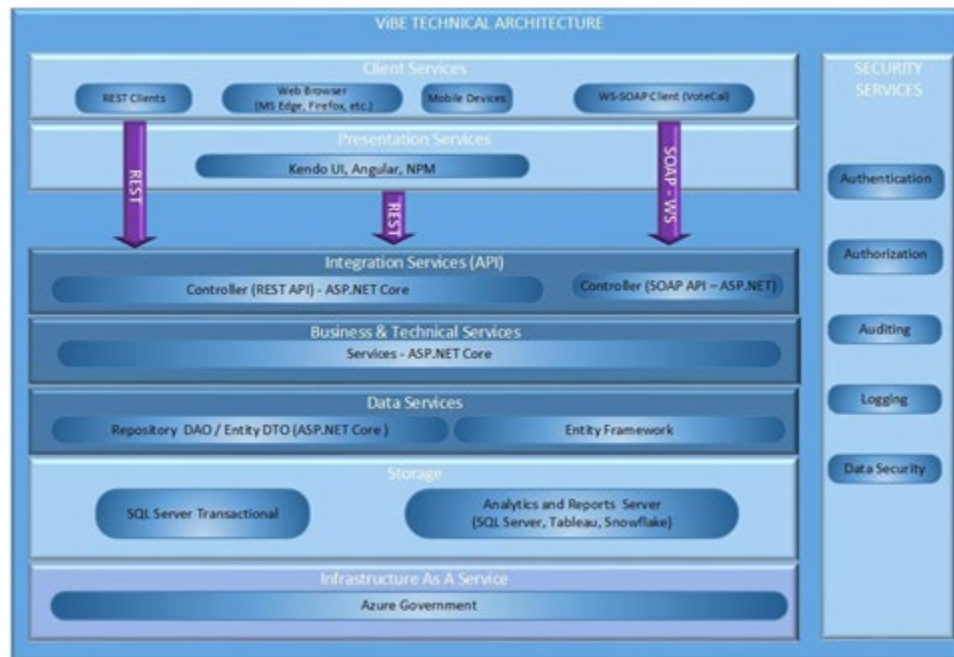
The functional architecture includes the following components.

- **Stakeholders:** The LA EMS solution accommodates several stakeholder groups, including the voters, elected officials, media, the County staff, and Agency partners. Customer service begins with people, and our solution accommodates voters by providing increased customer services and self-service capabilities.
- **Channels:** The set of IT capability of the EMS solution to meet stakeholder needs. A Channel is the communication interface for stakeholders into the EMS. The Channels into ViBE (our EMS solution product) are web, desktop/tablet, e-mail, and API.
- **Business Processes:** Business processes comprised of business functions provide the foundation for the solution. They orchestrate the business activities required for the Agency and counties to conduct voter registration and election management.
- **Business Common Services (BCS):** Business functions which are leveraged by multiple business processes or external systems are extracted and created as BCS to limit redundancy and enhance availability.
- **Information Services:** The foundation of our EMS vision is wide availability of a higher volume of more accurate data. Data from various sources are combined to create a more accurate list of EMS voters. Information components of our Functional Architecture and the services that expose them are central to our solution.
- **Partner Services:** The EMS provide Partner Services to support the Agency Partner's role in providing centralized and accurate voter registration information

Technical Architecture

The Technical Architecture is designed to provide technology implementation and support to the Functional Architecture. Different architectural views are created to describe the Technical Architecture: The System View, The Information View, The Infrastructure View and the Integrations View. Across all these architecture views we have the Security architecture.

System View. Describes the solution systems and services that will support the solution functional architecture. The following image shows the System View as a high-level layered design, that maps to the Functional Architecture.



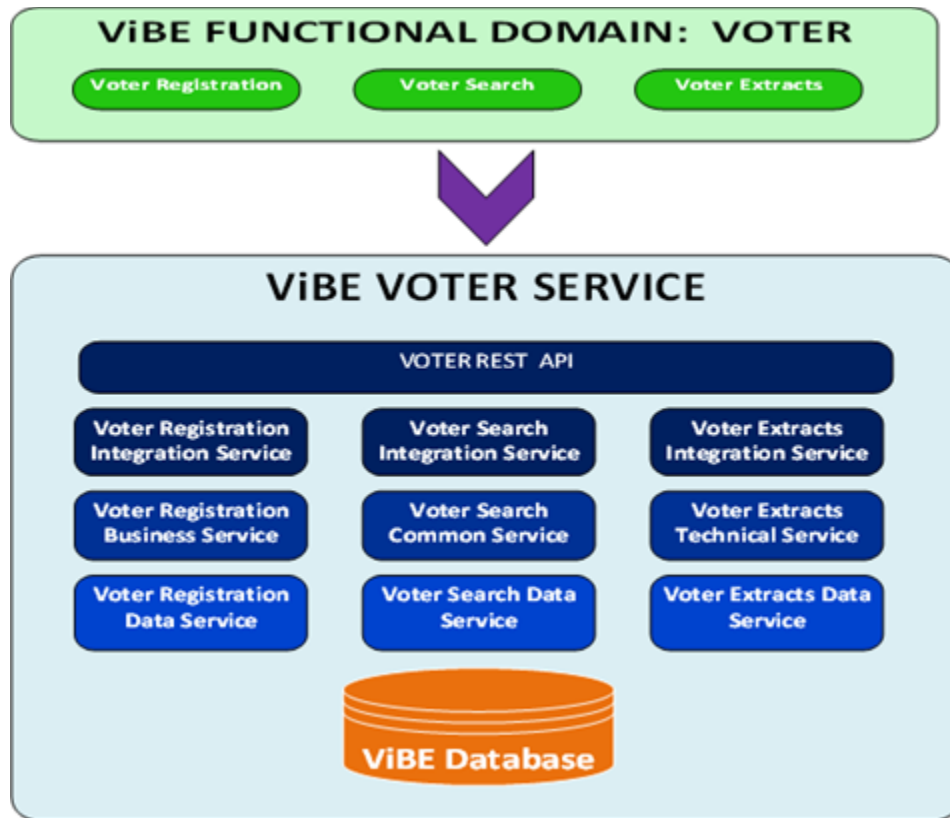
Technical Architecture

The Functional Stakeholders and Channels are represented by the Client Services and Presentation Services. In this layer we show the technology used by the client to communicate with the backend of ViBE: REST and SOAP clients, web browser users, mobile devices.

The Business layer has two sub layers: A controller (APIs) layer that exposes the services APIs to the clients. We use Microsoft ASP Dot Net Core (C#). The Services layer (business and technical) where we develop the components that implement the functional domain logic.

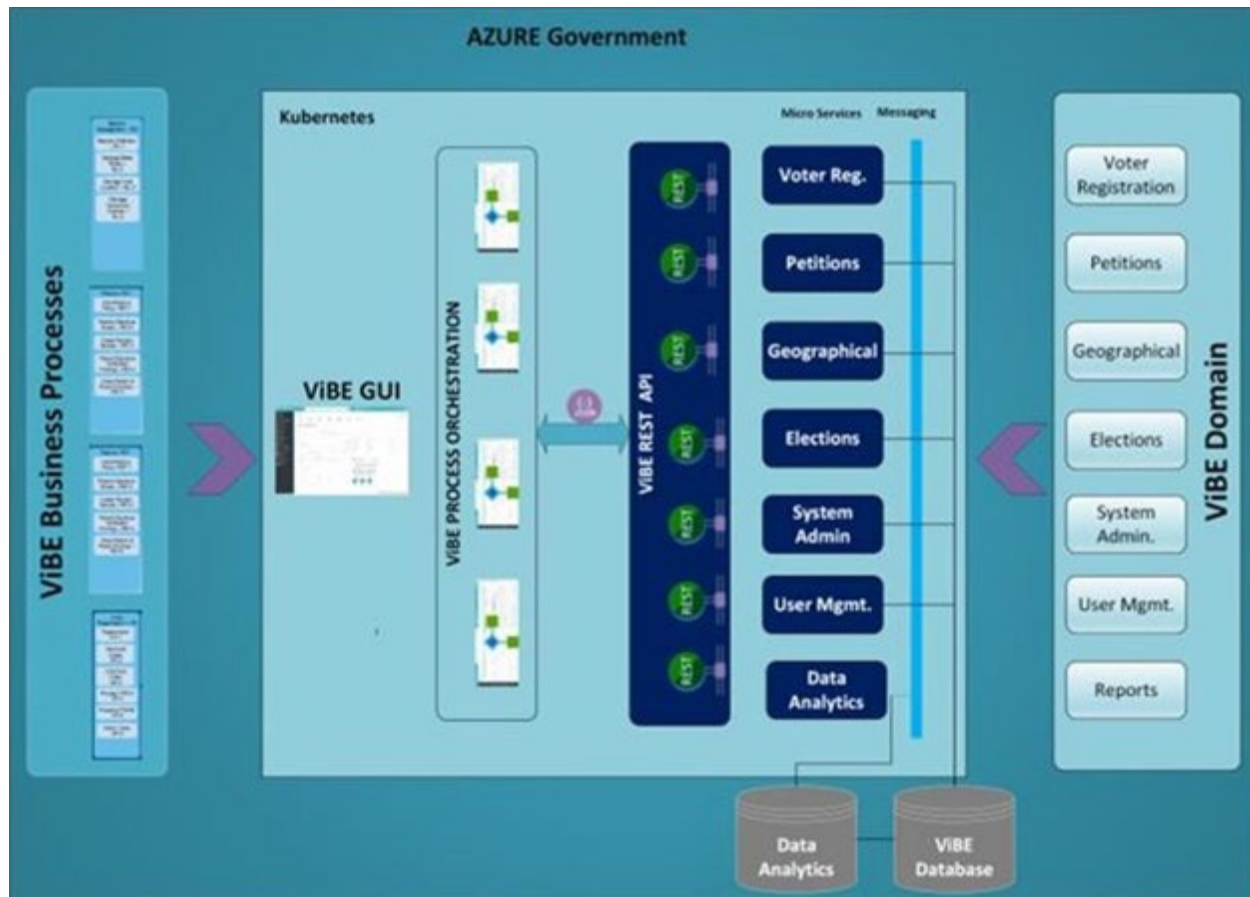
The Data Services layer allows the Business Services to communicate with the database(s) of the Solution. These services use an Object Relational Mapping tool (ORM), Entity Framework, to decouple the physical database from the logical implementation of the data model.

The Technical Architecture uses the System View to map each functional domain to a backend component (Microservice). The following diagram shows how we map a functional domain to a Microservice. As an example, let's say the Functional Voter Domain defines three sub domains: Voter Registration, Voter Search and Voter Extracts. Technically we implement a Microservice: Voter Microservice that provides 3 APIs: Voter Registration API, Voter Search API, and Voter Extract API. Each API tasks to wait for a request from the clients and when it gets one it passes to the Services layer. In the services layer, we create business services to implement the logic of each sub domain. In turn these business services will need to read or write to the database, so they pass this responsibility to their corresponding Data Service.



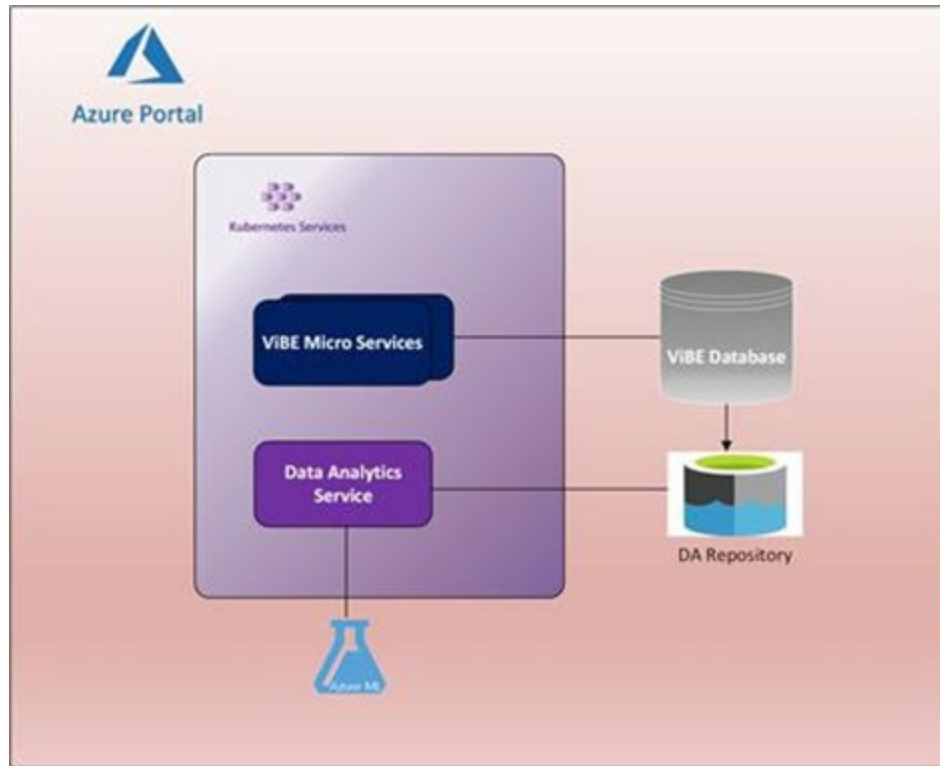
Functional Domain to Microservice View

In the next diagram we show how the business processes defined in the functional design process are implemented in the solution. The business processes are implemented with the help of the application GUI and the orchestration of requests to the microservices APIs. The GUI implements the business flows in one view or a sequence of views. The backend orchestrates internal inter microservices calls, using our messaging framework, to perform the requests from the client.



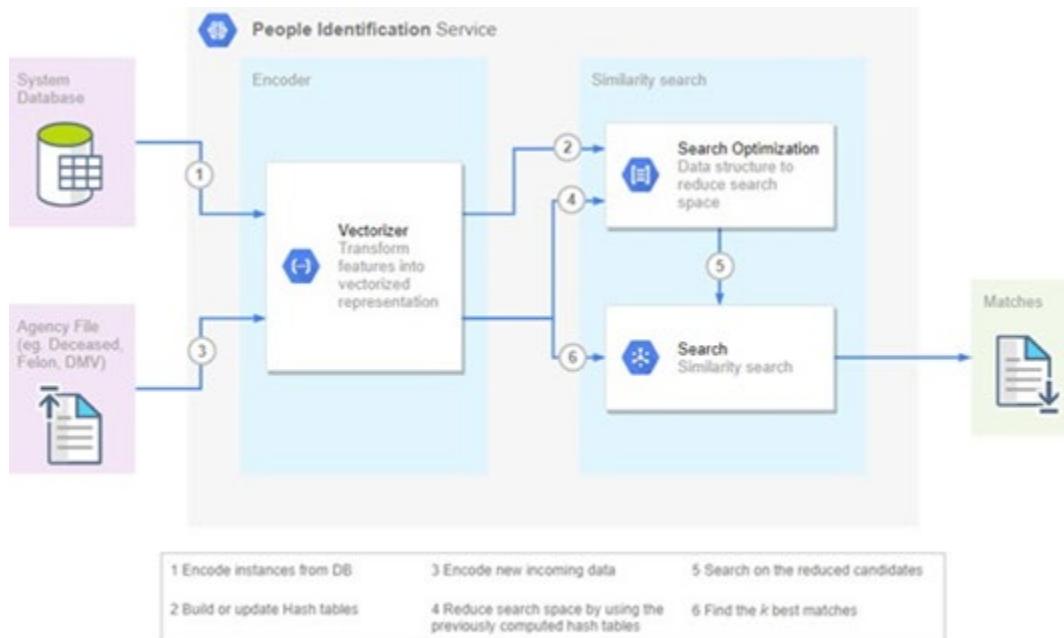
System View

Information View. This view is the representation of the Information Architecture. It defines the databases and storage, how the data required to support the system will be implemented, and the data access. This architecture also defines how the reporting component, and tools (Tableau) are integrated and implemented. It also provides solution to the Data Lake (Snowflake) implementation for Data Analytics. In general, it helps with defining the database of record for the system, data compliance, integration, and reporting. The diagram below shows the Data Analytics Service interacting with the Data Lake and using Azure ML (Machine Learning) to develop models or algorithms to be used by several business processes.



Information View

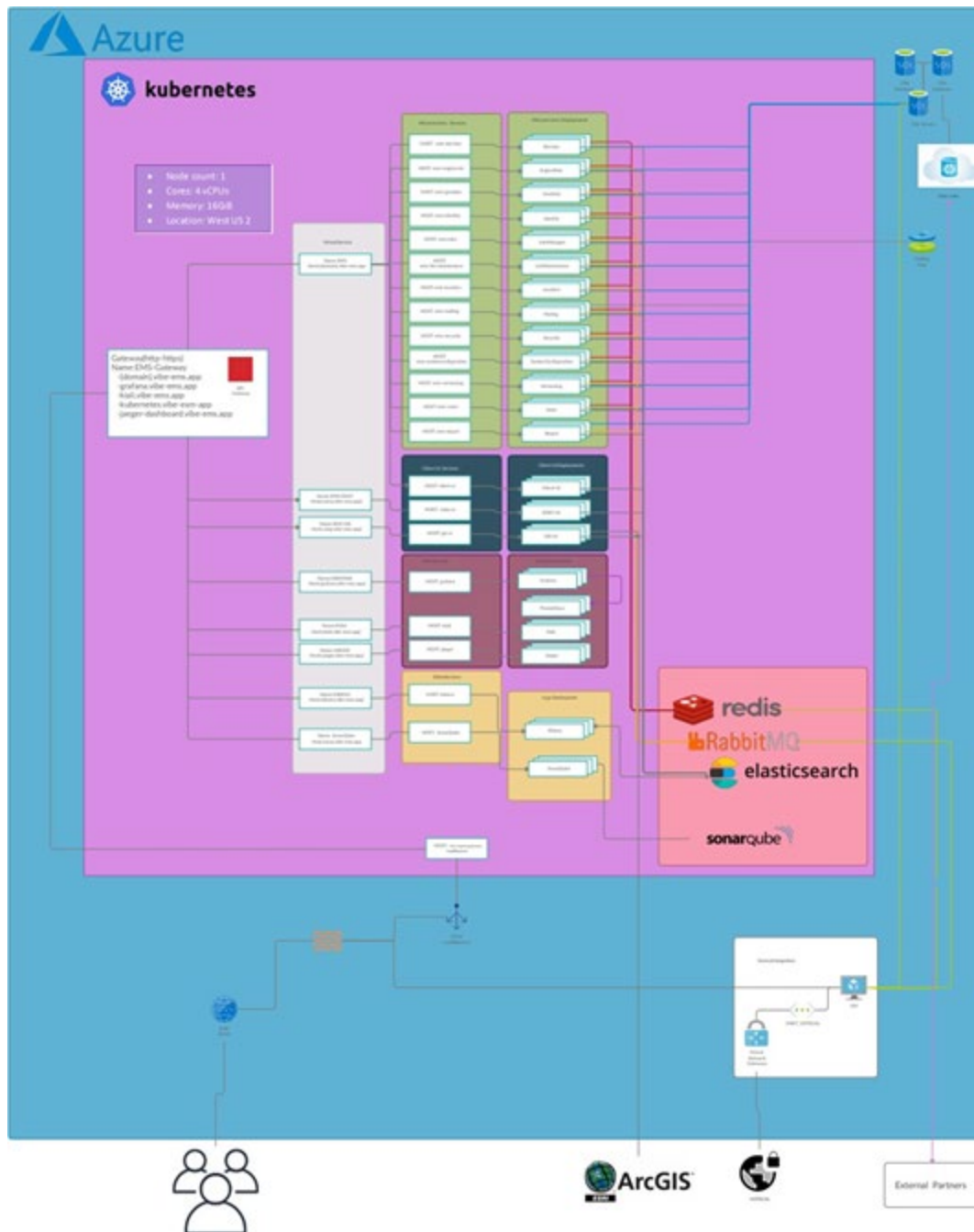
The image below is a diagram showing our matching using Data Science and Machine Learning concepts, algorithms, and processes to solve matching issues.



Matching Service

Infrastructure View. Our solution is deployed in Azure Government, a cloud computing environment designed to support government systems that require high availability, performance, scalability, resilience, security, protection, monitoring, economic and compliance with Government organizations. ViBE takes advantage of all these capabilities to satisfy the strictest system requirements.

The infrastructure below shows a high-level representation of our solution infrastructure deployed on Azure.



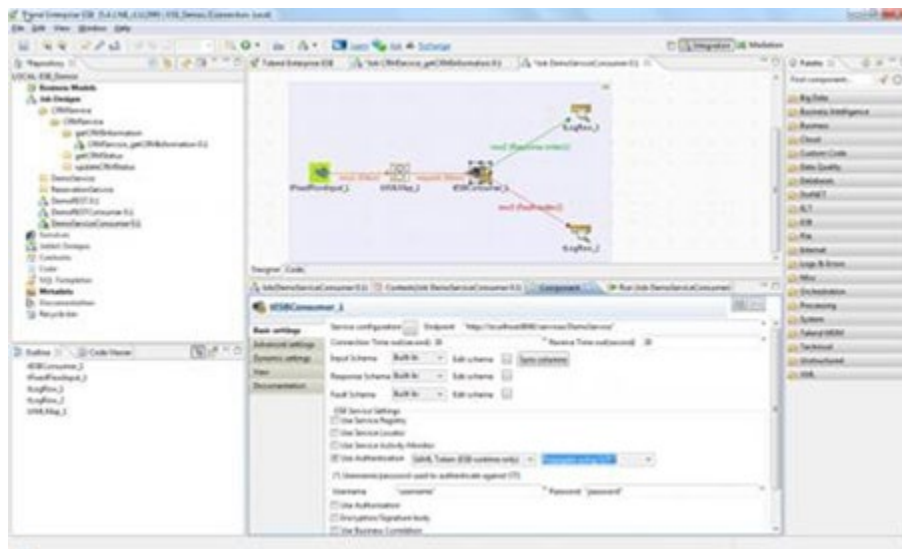
Infrastructure View

The solution infrastructure is based on containerization. A container (Docker) image is a set of instructions that describe all components and dependencies needed to deploy a service in the infrastructure. In our solution, a container hosts one microservice (POD). PODs have to expose their APIS (Microservice Services component in the diagram).

A container orchestrator (Kubernetes) manages the PODs to handle the life cycle and monitoring of the microservices. When the microservices are overloaded or when the containers are failing, the container orchestrator automatically creates replicas of the microservices. When the load is small and there are unused or barely used containers, the container orchestrator releases (removes) the microservice container automatically. This horizontal scalability allows the system to be responsive and resilient, providing 99.9% up time. When the loads are too high, our architecture supports clustering of our container orchestrator providing an even higher degree of scalability of the solution.

A Gateway (ISTIO) routes and load balances client requests routing them to the appropriate microservice. An external Firewall (Sophos) protects the entire solution from external attacks. Our architecture then allows our solution to have 99.9% availability. We can deploy our solution on premises or in the cloud as our resources are not tied to any cloud managed service. For this proposal, we are proposing to deploy our solution in Azure Government Cloud.

Integration Component. This component responsibility is to provide data interchange with external partners. Talend is an implementation of several Enterprise Application Integration (EAI) patterns such as: messaging, end points, data and protocol transformations, routing, data enrichment, sync/async messaging, etc. Our partner Integration is a robust, scalable, modern Enterprise Service Bus. This component combines the powerful messaging and connectivity features of an ESB, without the trappings of a 'classic' monolithic architecture. Talend provides the ease of use afforded by no-code, drag and drop integration and delivers it with a modular, agile, microservices design. It can serve as a focal point for business operations or work independently, in concert with other integrations. This architecture aligns with our Solution Reactive Architecture, integrating seamlessly with the different components of VIBE. Talend provides a GUI to graphically create configurable integration workflows, empowering business users to take control of their data.



We use the Integration Component for ingesting data coming from multiple systems in different file formats and protocols. We support File base integration, data integration, queue, SOAP and REST integration. The integration component provides multiple out of the box connectors, and

provides data transformations tools. The data can be routed to internal services, databases or external systems. The integration component provides a Scripting Connector for custom integrations.

For more information on the Integration component, please refer to Section 4. Integration Services Layer Requirements in the REQUEST FOR PROPOSALS – I.2 TECHNICAL REQUIREMENTS APPROACH RESPONSE TEMPLATE FOR ELECTION MANAGEMENT SYSTEM IMPLEMENTATION AND SERVICES - RFP: #21-006 Document.

The Canton Group will review the draft Solution Architecture with the County and gather feedback. The Canton Group will incorporate the County's feedback and submit a final version for approval.

4.2 Prepare the Security Plan

[Contractor] will develop and deliver a CISO/DISO approved Security Plan that will include, at minimum, the following elements:

- Security policies
- Logical security controls (privacy, user access and authentication, user permissions, etc.)
 - Includes an Access Control Matrix, which defines the access profiles and identifies the roles and permissions each user will receive
- Technical security controls and security architecture (communications, hardware, data, physical access, software, operating system, encryption, etc.)
- Security processes (security assessments, risk assessments, incident response, etc.)
- Technical approach to satisfy the following:
 - Network segmentation
 - Perimeter security
 - Application security and data sensitivity classification including management of restrictive access to confidential voters
 - Personally Identifiable Information (PII) data elements
 - Intrusion detection and management
 - Monitoring and reporting
 - Host hardening
 - Local vs Remote access
 - At-rest and in transit data encryption
 - Interface security
 - Security test procedures
 - Managing network security devices
 - Security patch management
 - Detailed diagrams depicting all security-related devices and subsystems, and their relationships with other systems for which they provide controls

- Secure communications over the internet
- Enhanced user access security including roles and segmented access levels
- Secure coding/configuration practices
- Multi Factor Authentication
- Security required by VoteCal

[Contractor] will be responsible for monitoring ongoing security threat changes and responding to evolving threats, including monitoring common vulnerabilities and exposures and any ability to receive and share real-time threat information.

[Contractor] will review the draft Security Plan with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for CISO/DISO approval.

Deliverable	14.2 Security Plan
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Our Solution Security design is at the center of every component or resource of the solution. We include security in every step of our development process from the conceptual stage to development, releases, and operations as shown in the diagram below:



Solution Security Design

Security is also implemented at the platform level, by addressing separately the Application from the Infrastructure as shown in the image below:



Platform Security

Having these two security design approaches, our Solution Security Plan is designed to meet the horizontal SDLC security and vertical platform security.

Security Policies. Mentions the security policies required by the County and how the system meets them. We deploy our solution in Azure Government, and we take advantage of the strong infrastructure provided by Azure Government to meet the security and privacy standards. As per Microsoft: “Azure Government delivers a dedicated cloud enabling government agencies and their partners to transform mission-critical workloads to the cloud. Azure Government services handle data that is subject to certain government regulations and requirements, such as FedRAMP, NIST 800.171 (DIB), ITAR, IRS 1075, DoD L4, and CJIS. In order to provide you with the highest level of security and compliance, Azure Government uses physically isolated datacenters and networks (located in U.S. only).”

We will address controls in the following areas:

- Infrastructure (Servers and Network) Policies.
- Access Policies.
- Backup Policies.
- Information Security (Data) Policies.

Perimeter Security. Our Security Plan will explain how we configure the Sophos Firewall to protect the subscription where the application is deployed. In the Infrastructure view diagram, we show how the firewall sits in between the user and the Azure subscription.

Application security and data sensitivity classification including management of restrictive access to confidential voters. The Security plan describes how we protect data at the application level. Source code analysis is an automated step of the Solution DevOps

Continuous Integration, Continuous Delivery (CI/CD) pipeline processes that are executed when we build (compile) the source code. We integrate with Web Application Security Testing tool (SonarQube) to provide configurable metrics:

- Bugs (Expectation: 0 bugs)
- Security Vulnerabilities (Expectation: 0 Vulnerabilities)
- Code Coverage (Expectation: 80% Code Coverage or defined with the client)
- Duplicate Code (Expectation: <=10% Duplicated Code or defined with the client)

Access to confidential voters is managed by our Security Microservice, where the user management includes credentials management, role-based authentication. Sensitive data (confidential voter data) can only be accessed by users with the appropriate role.

Personally Identifiable Information (PII) data elements. The Security Plan will include PII elements as defined by the County. We will define direct identifiers such as Social Security Number, Passport Number, etc. and quasi-identifiers: DOB, Zip Code, etc.

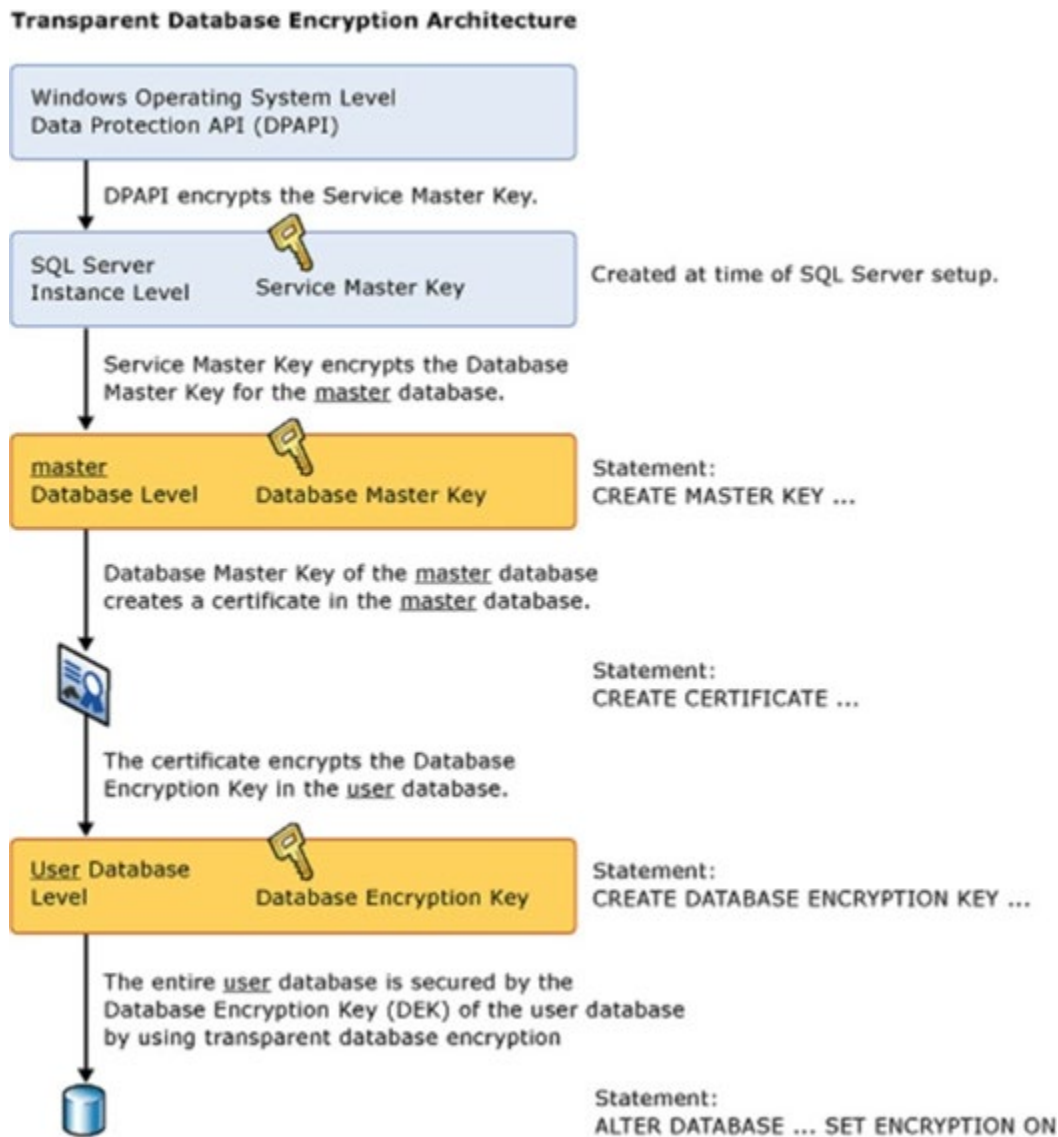
Intrusion detection and management. The Security Plan will describe the process and the implementation of security standards. The plan will also include a scheduled Penetration Test to make sure that the system is implementing the most current intrusion detection rules. Our Solution uses Sophos Firewall, a highly available Firewall that protects the entire solution from external threats. Amongst other features, the Firewall supports monitoring of incoming and outgoing traffic. We can centrally create allow or deny network filtering rules by source and destination IP address, port, and protocol. The Firewall is fully stateful, so it can distinguish legitimate packets for different types of connections. The Firewall Rules enforces and logs across subscriptions and virtual networks

Monitoring and reporting. The solution Security Plan will describe the monitoring and reporting tools. It will also show all the places where the solution is monitoring the user activities, such as firewall, Microservice APIs, Data Access, etc.

Host hardening. In the Security Plan we will explain the methods and processes that we follow to make the host secure. Our infrastructure does not have public Ip addresses, or ports. The networks are private and cannot be accessed from the outside.

Local vs Remote access. Remote access is only permitted to users with the right privileges, usually administrators. They are allowed to access the production environment only using a VPN connection and with named credentials. Local access is granted to users that are authenticated via the security service or using Single Sign On when integrated with an IDP such as Active Directory. Multi factor authentication is an out of the box feature of the application.

At-rest and in transit data encryption. Our solution uses industry standards for data encryption. We encrypt data at rest and in transit. We encrypt data at rest using Transparent Data Encryption (TDE) within MS SQL Server database. TDE encrypts the storage of an entire database by using a symmetric key called the database encryption key. The image below shows the architecture for TDE. Our Security Microservice encrypts the passwords using sha512 as specified in FIPS 180-4 and NIST SHS standards (SHA-2 type).



Transparent Data Encryption (TDE) Architecture

Interface security. The Integration component, which handles integration with external partners (Interfaces) implements security at different points. When an external system is sending data to our solution, we ask for credentials before accepting the data. All the external partners must be registered in our system. We use connectors to handle the processing of the payload (data transformations, protocol transformations, routing, etc.). These connectors support security standards TLS1.0 up to 1.3, AES and 3DES encryption, SHA signatures.

Security test procedures. We perform several types of security tests. We implement procedures to execute the tests. For Security Static testing, we include the use of SonarQube, a static code analyzer, when the developer creates a pull request to check in his code. The test results show vulnerabilities, bugs, code smells, code coverage, and the developer must fix them to pass the check in his code in the Git Repository Development branch. Our Automated CI/CD also performs static code analysis in the CI/CD pipelines. We also use the daily security reports from Azure Security Center. These reports are not only for source code, but also show vulnerabilities at the infrastructure level.

Our security policy is to conduct at least an annual third-party penetration test to our Solution to keep the system as secure as possible. Penetration testing is a simulated cyber-attack executed against our solution to check for vulnerabilities. This test is performed in several stages: Planning, Scanning, Gaining Access, Maintaining Access, and Analysis. All these phases can be executed manually or automatically.

The main attacks performed in this test are:

- Cross site scripting.
- SQL injection.
- Server misconfiguration.
- Web form manipulation.
- Cookies poisoning.
- Platform vulnerabilities.
- Weak session management.
- Command injection.

The metrics for the number and severity of the vulnerabilities found during Security testing.

- Rate of flaw creation.
- Average time to fix.
- Rate of URL attacks.
- Application security checklist.

Managing network security devices. Our solution is deployed in Azure Government and all the infrastructure is virtualized. We use Azure Security Center to tighten and comply with the county security policies. Azure Security Center reports security vulnerabilities for each resource in the solution.

Security patch management. Any security patches to the Operating Systems or infrastructure resources are monitored and implemented or reported by Microsoft Azure. We also have a comprehensive list of the software used in the solution and we track patches, end of life dates, updates and upgrades of them.

Detailed diagrams depicting all security-related devices and subsystems, and their relationships with other systems for which they provide controls. In Azure we are able to obtain the Network diagram including all the solution resources (devices, virtual machines, etc.). From this diagram we will be able to identify the security resources (Firewalls, etc.) and sub systems (Sub Nets) and how they provide security controls to connected resources.

Secure communications over the internet. Communication over the internet is inherently not secure. We will use secure Virtual Private Network (VPN) which provides a secure tunnel to send and receive information online. In our solution the messages must be encrypted. REST requests use HTTPS protocols, File transfers use SFTPS.

Enhanced user access security including roles and segmented access levels. We implement Role Based Access Control (RBAC) to and will include the procedures by which authorized users access the system and unauthorized users are kept from accessing the system. Our Security Microservice helps define roles and access to the functions in the system. Users get assigned roles and individual functions to perform their jobs.

Secure coding/configuration practices. The solution source code and configuration files are stored in Microsoft DevOps GIT repository. Only GIT repository authorized users can access the source code. We delegate access control of the source code to Microsoft DevOps tool. The developer computers are encrypted to protect the source code when the device is compromised (lost). Sensitive configuration information such as passwords, connection strings, usernames, IP addresses, etc. must be encrypted. We will document the procedures for secure coding/configuration practices.

Multi Factor Authentication. Our solution offers out of the box Multi Factor Authentication (MFA) using Microsoft Azure MFA services. We document the steps to setup MFA in our solution.

Security required by VoteCal. Our solution strictly follows the CA Secretary of State (SOS) security practices to integrate with VoteCal. We have a VPN connection from our VoteCal Integration Services. We store VoteCal credentials in an encrypted configuration file, and we embed this information in the VoteCal messages (XML data files) at run time just before sending the SOAP request to VoteCal.

The Canton Group will be responsible for monitoring ongoing security threat changes and responding to evolving threats, including monitoring common vulnerabilities and exposures and any ability to receive and share real-time threat information. To achieve this, the logs of the solution firewall are inspected continuously, and the monitoring system notifies the administrator and any other authorized person when a security threat occurs.

The Canton Group will review the draft Security Plan with the County and gather feedback. The Canton Group will incorporate the County's feedback and submit a final version for approval.

5.0 Development and Configuration

System development and configuration efforts will be guided by the outputs of Task 3.0 Requirements Validation and Task 4.0 Design. [Contractor] will follow an agile process that emphasizes short iterations with frequent feedback loops. The County prefers that [Contractor] uses a Sprint-based approach with a set cadence that the extended team can organize around. [Contractor] will lead Sprint planning sessions, lead the Sprints, prepare System demos and continuously manage the Product Backlog to plan subsequent work. The County does not seek to deploy releases at the Sprint level, but favors incremental delivery in a test environment to allow stakeholders to gain insights into the development of the System and facilitate meaningful feedback. [Contractor] will fully document each System module. The document will support knowledge transfer activities as detailed in Task 10.0 Training and Knowledge Transfer.

5.1 Develop System Development and Configuration Plan

[Contractor] will develop and configure the System to reflect and satisfy the County's requirements. This may also require System customization, however the County desires these be very minimal and only if absolutely necessary. [Contractor] will develop the System Development and Configuration Plan that will include, at minimum, the following elements:

- Resources, roles, and responsibilities (County and [Contractor])
- System configuration and development process
- Mechanisms to iterate the development work based on stakeholder feedback
- Configuration Management Plan to allow simultaneous work on different versions in different environments

- Release plans based on Epics in the Product Backlog
- Guidance to drive decisions between configuration and customization
- Approach to ensure that custom components will be incorporated into the product-based solution and maintained as such by [Contractor]

[Contractor] will review the draft System Development and Configuration Plan with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I5.1 System Development and Configuration Plan
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will develop and configure the System to reflect and satisfy the County's requirements. This may also require System customization, however the County desires these be very minimal and only if absolutely necessary.

The Canton Group will develop the System Development and Configuration Plan that will include, at minimum, the following elements:

1. Resources, roles, and responsibilities (the County and The Canton Group):

We will provide the key resources, as per the RFP, and other lead members. We will list their roles and responsibilities in the project. Some critical roles are Test Lead, Certification Lead, Solutions Architect, Elections SME, Project Manager, etc.

2. System configuration and development process:

Our solution is configurable to allow authorized users to modify the behavior of the system without making code changes. Not all the components of the systems are configurable. Some are more flexible than others. At the application level, configuration can be achieved via configuration files, environment variables, database tables, and UI views that allow business functionality to be configurable. We will describe the processes for each type of configuration.

The configurable option within our solution includes (not an exhaustive list):

- Business Rules Engine: Supports authoring of data validation and business rules with minimal code changes.
- Workflow Engine: Supports orchestration of work-flow path using configurable components such as Business Rules Engine, Data Entry Assist, Custom Notices, and Standard Values.
- Data Entry Assist: Intelligent assistant to complete data entry from paper documents. Supports setting up templates for new documents to automatically read data from.
- Custom Notices: Supports setup of custom templates to print or extract notices. Prints with jurisdiction specific details. Previous versions of the documents can be preserved.
- User Interface: Supports configuration at jurisdiction level with specific logos, dashboards, office locations with hours, contacts, and so on.

- **Standard Values:** Supports creation of standard values at both state and local level. Local level values are automatically mapped to default state values on search, view, and reports.

3. Mechanisms to iterate the development work based on stakeholder feedback.

Our Agile with scrum methodology ceremonies has the mechanism to capture stakeholders' feedback into the process. Initially the stakeholders create the product backlog, and during development, at the end of the sprint there is a demo of the user stories developed in that sprint. In this demo the stakeholders participate and can provide feedback on the developed features. This feedback may generate a change in the implementation, or the addition or suppression of some user stories. This feedback is then materialized as user stories, added to the product backlog, and be ready for grooming for the next sprint.

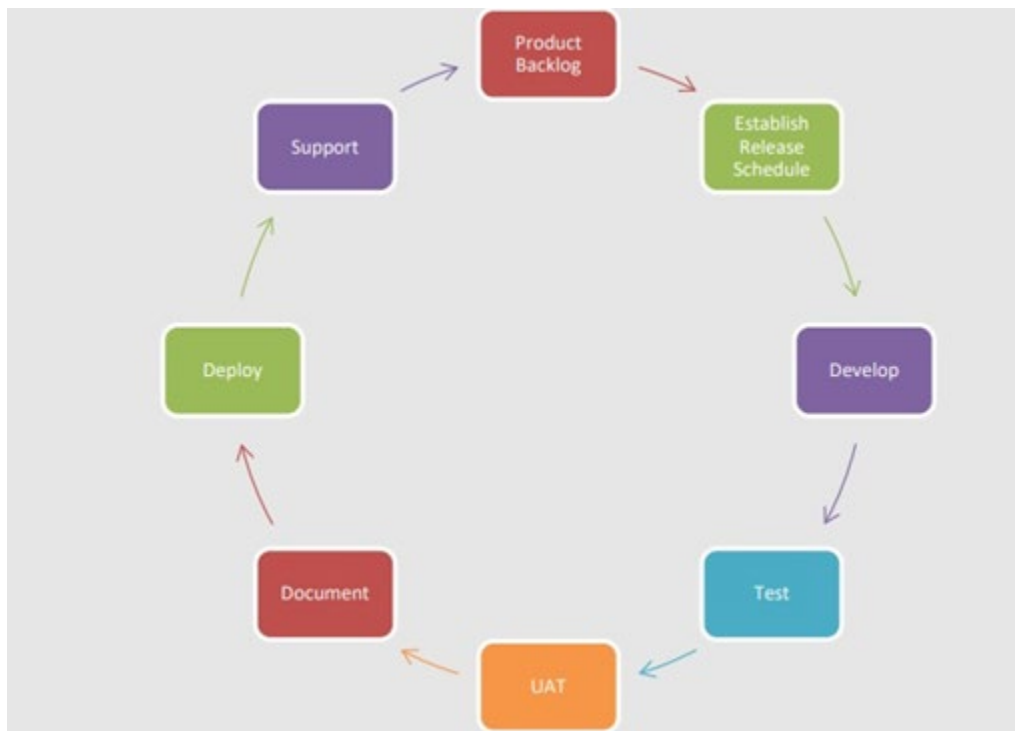
4. Configuration Management Plan to allow simultaneous work on different versions in different environments:

Our Configuration Management Plan follows the DevOps process and includes source code management, build, test, release and promotion to different environments. This process can be automated or based on schedule and with controls. We use CI/CD pipelines to automate the process as much as possible. We will adapt the Configuration Management process to the County procedures.

We use Git repository for source control and Git Flow with Feature branches as our Git Workflow. We have a Master Branch which contains pristine code and includes the code we use for generating releases to the Production environment. We create a Develop branch out of Master, which is used for integrating source code that the developers create during the sprint. Each developer creates a Feature branch from the Develop branch to implement his/her assigned user story or task. Before the developer merges the Feature branch to the Develop branch, Git triggers a Pull Request where we perform a code review, security checks (source code scanning) and determine if the user story source code passes standard requirements such as: meets the user story acceptance criteria, code standards, unit test implementation, code duplication, SQL injection, etc. If the checks pass, we promote (merge) the code into the Develop branch, otherwise the developer will fix the code to the comments of the code reviewer. The Feature branches merge into the Develop branches and at the end of the sprint, the CI/CD pipelines execute automated tests on the code from the Develop branch. This review includes Unit Tests, behavior tests and integration tests. Unit tests will test methods or operations, behavior tests are for UI testing using tools such as Selenium, and integration tests are scripts that test the APIs of the solution. When all tests have passed, the pipelines next step is to build and crate the release artifacts: Docker images. The pipelines release the solution components (Microservices and database changes) to the Develop Environment. Each environment has an associated Git Branch: Test, UAT, Training, Production, etc. We classify the environments as Lower (DEV, Test, UAT, Training, etc.) and Upper (Staging, and Production). The development team merges the source code from the development branch into the other lower environments for testing, training, user acceptance, etc. Once the source code reaches the UAT environment, the release manager decides when to promote the Upper environment (Staging and Production) This process allows for simultaneous work on different versions and in different environments since each environment has its own branch, and its own version, especially when there are hot fixes that need to be fixed immediately and they are done in the Staging to be tested and promoted to Production. In this case, the source code has to be merged back to the lower environments to synchronize these usually critical modifications.

5. Release plans based on Epics in the Product Backlog

The Canton Group's Release Management Process is a structured approach to manage software changes. The release plans are based on EPICs in the Product backlog. As described above, we follow the Agile with scrum Methodology for the Development process. Source Code and bug fixes are entered in the backlog and the Control Management Board determines what gets entered into the sprints. We anticipate to have 3–4-week sprints through the term of the project, except during the blackout periods. The following figure shows The Canton Group's release management process.



Release Management Process

- Product Backlog: Capture the defects, corrective and adaptive maintenance requests, and enhancements in Azure DevOps.
- Establish Release Schedule: Collaboration between The Canton Group and the County to jointly determine a release schedule and time of implementation via a Release Implementation and Roll-Back Plan.
- Develop: Design, develop, and perform unit tests/code peer reviews.
- Test: Conduct thorough Integration and Regression Tests. The team will resolve problems and incidents found in the testing phase.
- User Acceptance Testing (UAT): Submit internal test results, conduct demonstrations, support UAT activities, and prepare for deployments.
- Update Documentation: Submit updated user documentation, release notes, impact of change to workflows, impacted training materials, and any data exchange workflows with VoteCal that could be impacted by this change.
- Deploy: After the County's approval, our team will deploy the release to both the Production and Sandbox environments. This stage includes synchronization of data.

- Support: Continuous monitoring of incidents and issues.

6. Guidance to drive decisions between configuration and customization:

The Configuration and Release Plan will dictate the processes to determine if a feature can be done via configuration or must be developed. The Canton Group knows the capability of the system and will advise the implementation of one or another process.

7. Approach to ensure that custom components will be incorporated into the product-based solution and maintained as such by The Canton Group:

Our approach to ensure that custom components are incorporated into the product-based solution and maintained as such by us is based on our Agile with scrum methodology. Any customization is captured as an EPIC or User Story in the product backlog. The implementation of this new features are merged into the Development branch and eventually in the Prod branch. In this way the new features are incorporated as part of the product-based solution, and therefore they are maintained with the rest of the features.

The Canton Group will review the draft System Development and Configuration Plan with the County and gather feedback. The Canton Group will incorporate the County's feedback and submit a final version for approval.

5.2 Develop and Configure System

[Contractor] will follow an agile approach to configuring the System and developing custom components or functionality, where needed. The approach emphasizes frequent feedback loops to ensure that [Contractor] and the County are building the right solution and allowing adjustments as early as possible.

The County prefers to use a set cadence for development and configuration activities that includes:

- Prioritizing and grooming the Product Backlog based on immediacy of need, value, effort, and risk while increasing the level of mutual understanding of Epics and User Stories between [Contractor] and the County; this may result in new User Stories
- Sprint planning to establish the Sprint objective, based on a User Story or set of like User Stories as the unit of work; each Sprint will deliver a well-defined set of User Stories that show incremental progress and contribute to the System
- A strong definition of "done" to guide whether individual User Stories have been completed, including testing to the acceptance criteria
- System demos that incrementally show progress to stakeholders with frequent iterations
- Sprint retrospectives to drive continuous improvement of the joined development process between [Contractor] and the County.

[Contractor] will record issues/bugs identified by the County during the Sprint review meeting in the bug tracking tool. County will accept or reject the User Story based on the User Story's acceptance criteria.

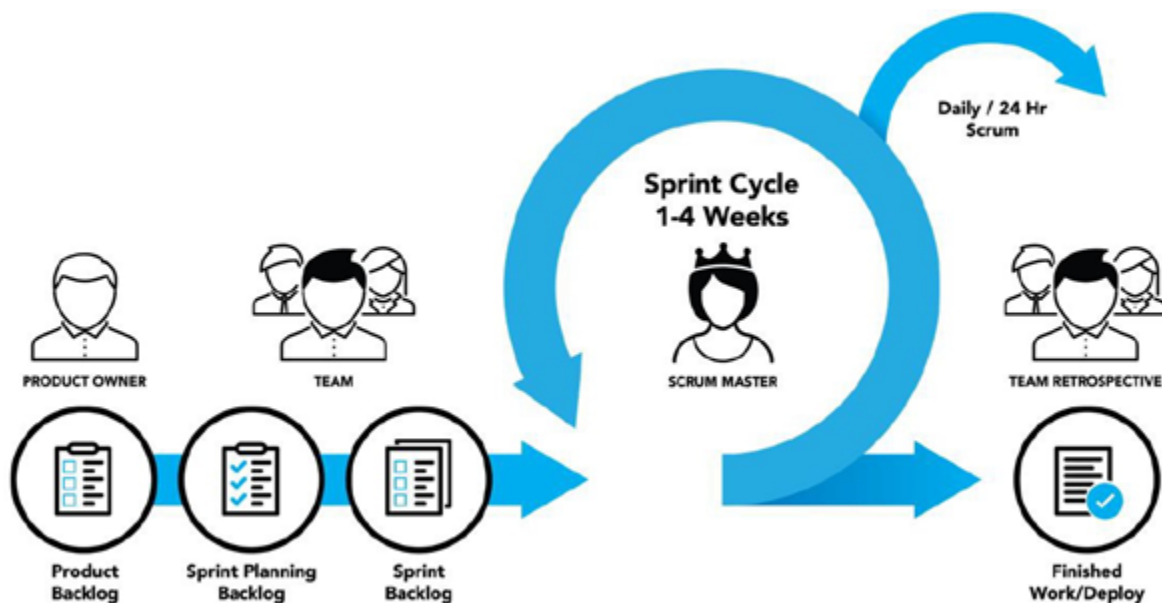
[Contractor] will be responsible for facilitating Backlog grooming sessions, which will be an ongoing activity during each Sprint to define the scope of the upcoming Sprint.

Deliverables	I5.2.1 Sprint Backlog I5.2.2 Increments
Delivery Frequency	Ongoing

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

We consider that the Software Development is Software Engineering, therefore we not only envision developing software but also how to successfully sustain and maintain the software for its expected life span. Our Software Development Life Cycle (SDLC) is about software sustainability. This property depends on three elements: time, change, and scale. For the life span of our software, we react to business or technical changes. We use the term scale in this context to denote our capacity to scale the project team during the software development. The same as we scale the software; we also scale the developer work with the size of the code base. The County will benefit financially when we identify defects or changes earlier in the process, which is why being Agile is so effective.

We use Agile Development Process with scrum methodology to manage and implement our SDLC. The Agile with scrum Methodology shown in Agile Process with SCRUM describes the Development process as a series of increments called Sprints. Each sprint is another iteration of concept (requirements), design, development, testing, integration, delivery (deploy), and retrospective evaluation (evaluate). Within each iteration there is a deliverable, which is usually a functional service that is a part of the end product.



Agile Process with SCRUM

The Agile team captures the product requirements as EPICs, User Stories, and Tasks. The Product Backlog is the entire set of requirements. The sprint backlog is a subset of User Stories selected in the sprint planning for development in each sprint. A sprint lasts between 2 or 3 weeks. During the sprint, daily scrum sessions (stand ups) are held to review the progress of the user stories in development. The team answers the following questions:

- What did I do yesterday?

- What am I going to do today?
- Are there any impediments that are stopping my work?

The Scrum Master is the person that helps remove the impediments.

At the end of the sprint, the team presents a demonstration of deliverables using the last release to the Develop branch to the persons involved directly and indirectly in the project (stake holders, users, SMEs, product owner, etc.). The Product owner accepts or rejects the user stories based on their acceptance criteria. It is important to avoid technical debt (rejected user stories) as they will be introduced in the next sprint or the Product Owner may decide not to implement them at all.

After the demonstration, the Agile team performs a retrospective, where they evaluate their work by listing what went wrong and what went well, so they can improve in the next sprint.

This cycle repeats until the Product Owner decides that he/she has the desired product or external forces cause the project to end.

The Agile team:

- Product Owner: In this role a person drives the requirements and functional design of the product. Usually, a member of the Agency or County which is involved full time in the project.
- Scrum Master: A role of facilitator leader. Helps write user stories and facilitates the resolution of any impediments that the team may encounter. This is not a Project Management role.
- Full Stack Developers: There are different roles in this area such as Technical Architect, Senior Developer, DevOps Engineer. Full stack means the developer can develop front end, back end, and database. The DevOps Engineer develops the build and release pipelines, stands up the environments and maintains the CI/CD process. Some tests are part of the CI/CD such as Unit tests and Static Code Analysis.
- Testers: Design and perform test strategically. The testers execute different Test types as per the Test plan.

6.0 Integration

[Contractor] will be responsible for seamless integration of the EMS and external systems, including VoteCal. [Contractor] will obtain California Secretary of State (CA SOS) certification of the VoteCal integration; certification must be achieved prior to Go-Live. [Contractor] will be responsible when any functional, security, or technology issues arise related to the integration with VoteCal and will provide immediate resolution and regression testing of all impacted components. Where issues arise with external third-party system vendors, [Contractor] will coordinate with the County for resolution.

[Contractor] will work with County on data VoteCal synch, scope, acceptance, and setting thresholds.

6.1 Prepare VoteCal Certification Plan

Pursuant to the proposed California Code of Regulations 19066-19070, any EMS used by county elections officials shall be certified with the CA SOS and shall adhere to all applicable Federal and State laws. [Contractor] will be responsible for completing the application to initiate the certification process, to develop and submit all deliverables required for certification, and to ultimately ensure successful certification between the System and VoteCal prior to System Go-Live.

CA SOS documents are available at: <https://www.sos.ca.gov/administration/regulations/current-regulations>

Recounts

Statewide Voter Registration System

Stamped and Approved Form 400 (PDF)



California Application for Certification of an Election Management System, version 1.0 (PDF)

Federal Information Processing Standards Publication 140-2, published May 25, 2001

National Institute of Standards and Technology Special Publication 800-175B, Published August, 2016 (PDF)



Secretary of State VoteCal Data Standards (revised January 27, 2020) (PDF)

VoteCal System EMS Intergration and Data Exchange Specifications Document, revised June 29, 2016 (PDF)

[Contractor] will establish a VoteCal Certification Plan that includes, at minimum, the key activities, milestones, deliverables, risks, and timeline to achieve certification. This Deliverable should reflect the EMS certification phases and steps outlined by CA SOS in the EMS Certification Plan v1.1 document produced March 2021 (see Procurement Library).

[Contractor] will track progress against the VoteCal Certification Plan and will conduct weekly meetings with the County to review.

Deliverables	I6.1 VoteCal Certification Plan
Delivery Frequency	Once

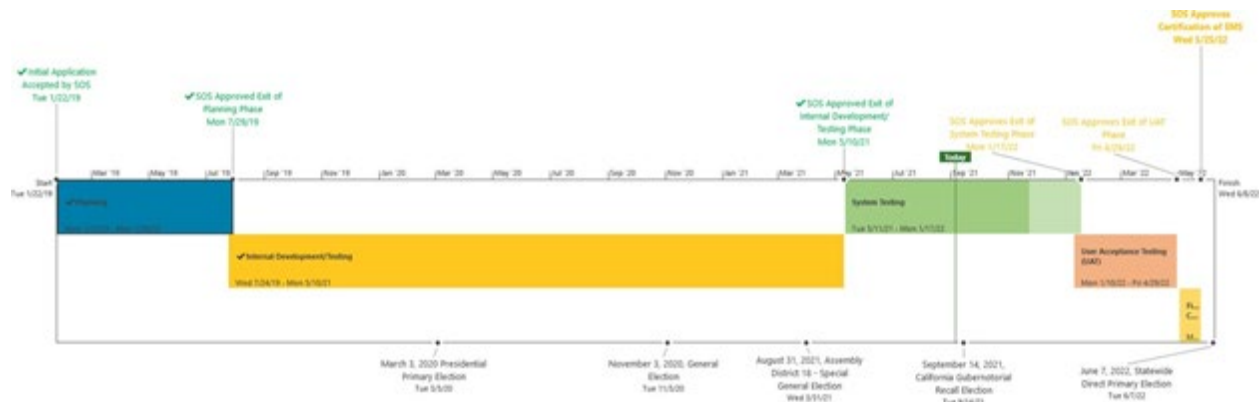
The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Before the start of LA EMS implementation project, The Canton Group anticipates all major activities related to ViBE EMS Certification Process will be completed. The Canton Group's current EMS certification progress presents the least risk and an opportunity to LA RR/CC, to

remain focused on implementing an EMS solution that meets the needs for next decade or more.

Certification Progress

As shown in VoteCal Certification Schedule, The Canton Group has completed initiation, planning, and internal development/testing phases. With the approval of the CA SOS, the team began System Testing Phase in May 2021. The CA SOS and The Canton Group are in-progress of coordinated execution and verification of Certification System Test Cases. As of September 2021, The Canton Group has completed 66% of System Testing. At this rate, The Canton Group should complete System Testing well before the SOS deadline of December 4, 2021.



VoteCal Certification Schedule

User Acceptance Testing (UAT) Phase is anticipated to start in January 2022 and complete by April 2022. In accordance with the CA SOS Certification Plan, UAT will be conducted between the CA SOS and our pilot County, Nevada County. As part of UAT readiness, The Canton Group and the pilot county have planned to complete the following activities:

- Migrate county data from legacy system (DIMSNET) to ViBE EMS and complete verification of data migration
- Create UAT Test Cases.
- Train UAT users.

The last phase, Final Certification is similar to a project close-out where The Canton Group would update and resubmit the County Specific Deliverables and Certification Documentation Package for the final approval and successful EMS certification.

Deliverables

CA EMS Certification Process identifies eleven (11) deliverables that should be submitted and approved by the SOS during the six (6) project phases. Error! Reference source not found., captures each of the deliverables along with which The Canton Group team member is responsible for the deliverables, and the current status of the deliverables. The Canton Group has so far completed nine (9) of the deliverables and received interim approval from the SOS. The remaining four (4) deliverables are in progress to be submitted during the UAT phase.

During the last phase, The Canton Group will update and resubmit all the required deliverables for final approval.

Table 1: VoteCal Certification Deliverables Summary

Deliverable	Description	Responsible	Completion Status
Work Breakdown Structure	Deliverable captures: <ul style="list-style-type: none"> Major certification milestones All deliverables required in the final submission of software design package Tasks required to complete the deliverables Dependencies between tasks and milestones SOS, County, Provista, and CGI resource requirements and allocation Deadlines, time frames, and task durations Assumptions 	The Canton Group – VoteCal Certification Lead	Final Approval
Software System Design Document	Deliverable describes the logical design of the software. This deliverable clearly indicates the various modules of the software, their functions, and their interrelationships with each other. This includes the database design, input formats, output layouts, human-machine interfaces, and external interfaces. Design document sections should be mapped to and cover all requirements.	The Canton Group – Solution Architect	Interim Approval
System Architecture Document	Deliverable describes the logical representation of the system, consisting of system components, systems developed, communication paths and end points, that work together to implement the overall Election Management System.	The Canton Group – Solution Architect	Interim Approval
EMS Source Code	EMS software code representing the version being submitted at the end of a phase, including all county installation and setup instructions/requirements. Also included the SonarQube code scan report showing the code quality and vulnerabilities against the following target: <ul style="list-style-type: none"> The code will have 0 bugs, The code will have 0 Security Vulnerabilities Automated testing will have at least 90% code coverage, and Codebase will have less than 5% Duplicated Code. 	The Canton Group – Solution Architect	Interim Approval
System Test Plan	Deliverable describes testing approach for the EMS Application with VoteCal system to meet the VoteCal System EMS Integration and Data Exchange Specifications, County requirements and State requirements. Deliverable to include testing results from The Canton Group's internal testing. The tests and results are mapped to EMS requirements, Integration Services and their operations per the Integration Service Catalog. Internal test results show the coverage of all integration services and their operations.	The Canton Group – Test Lead	Interim Approval
Performance Test Plan	Deliverable includes all the performance requirements (VoteCal Certification Plan, Performance Requirements P1-P17) along with the testing approach that will be followed to ensure that all these requirements are met.	The Canton Group – Test Lead	Interim Approval
Security Test Plan	Deliverable describes in detail how each of the county security requirements included within the VoteCal Draft Regulations document, section "19064. County Security" are addressed.	The Canton Group – Test Lead	Interim Approval
User Acceptance Test Plan	Deliverable to be developed by The Canton Group in collaboration with pilot county, and the SOS at the start of the UAT phase.	The Canton Group – Test Lead	In progress

Deliverable	Description	Responsible	Completion Status
	<ul style="list-style-type: none"> Data Migration tests and test results will be written by the county and The Canton Group. County specific test cases will be written and executed by the County and The Canton Group. VoteCal integration test cases will be written and executed by the County, SOS and The Canton Group. 		
System User Manual	Deliverable includes “how to” instructions for all EMS functionalities and supplied to county user. The documentation covers all requirements of the system, including all interactions with the VoteCal system.	The Canton Group – Training Lead	In progress
System Training Plan	Deliverable includes how The Canton Group’s approach to train county elections officials’ staff in the use of the remediated EMS, including all technical and user-facing EMS functionality.	The Canton Group – Training Lead	In progress
County Migration Plan	Deliverable includes the detailed steps to be taken to migrate an existing county from one EMS to the remediated EMS being certified and shall include roles and responsibilities for all necessary cutover activities. The County’s Migration Plan includes county preparation activities required for migration readiness, contingency and fallback plans should the transition fail, and the general approach for county support through and following the cutover processes.	The Canton Group – VoteCal Certification Lead	In progress

Deliverable Schedule, summarizes what deliverables should be submitted in each of the phases.

Approval Authority	Deliverable	Certification Phases					
		Initiation	Planning	Internal Development/Testing	System Testing	User Acceptance Testing	Final Certification
SOS	Application to initiate the Certification Process	X					
	Work Breakdown Structure		X				
	Software System Design Document	X	X	X	X	X	X
	System Architecture Document	X	X	X		X	X
	EMS Software Code		X	X	X		X
	System Test Plan		X	X	X		X
	Performance Test Plan		X			X	X
	Security Test Plan		X	X	X		X
	UAT Acceptance Test Plan					X	X
County	System User Manual	X					X
	System Training Plan						X
	County Migration Plan						X

Deliverable Schedule

Ongoing Certification

The CA SOS releases new features, enhancements, and fixes defects to VoteCal on a quarterly basis. The Canton Group correspondingly remediates the EMS in coordination with counties and the SOS. Major changes to VoteCal-EMS integration are available for the County to test prior to release to Production. The County users are trained by The Canton Group’s helpdesk shortly before the changes are deployed to Production. After each major release, The Canton Group submits the EMS Code to the SOS with the consent that the remediated EMS is in compliance with VoteCal requirements.

As stipulated in the VoteCal EMS Certification Plan, The Canton Group maintains an active maintenance contract with SOS and completes annual re-certification process.

6.2 Establish VoteCal Integration and Achieve VoteCal Certification

[Contractor] will be responsible for establishing the EMS and VoteCal integration. This includes completing the requisite planning, internal development / testing, system testing, and user acceptance activities as well as associated deliverables required by the CA SOS per the VoteCal Certification Plan (Deliverable I6.1). [Contractor] will provide evidence that the EMS received VoteCal integration certification by the CA SOS.

The VoteCal integration consists of multiple data exchanges for different purposes. There may be an opportunity to reduce the complexity of integration relative to the current implementation.

Deliverables	I6.2 VoteCal Certification
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group's proposed solution, ViBE, is on track to be certified by the CA SOS before the 2022 Statewide Direct Primary Election.

ViBE is built for CA counties to seamlessly interface with VoteCal. The Canton Group had first-hand knowledge of the complexity of VoteCal-EMS Integration and adopted the following win-themes to successfully complete the certification process:

County, SOS, and The Canton Group Team

- Pilot County: EMS is primarily a county system, so we partnered with a pilot county, Nevada County, to design an EMS that is tailored for CA county users and processes.
- CA SOS: ViBE is the first EMS to go through the 2018 CA EMS Certification Process. We understood there would be lessons learned along the way for both CA SOS and The Canton Group. When roadblocks or delays were anticipated, The Canton Group collaborated with SOS to navigate the competing priorities such as statewide elections and turnover of SOS reviewers.
- The Canton Group: Our team members were part of the original VoteCal implementation team so have extensive knowledge of VoteCal design, interface specification, and rules. This helped to quickly bridge the gaps in the VoteCal documentation as needed. Table 2: VoteCal Certification Team, captures the roles played by our team members in VoteCal implementation versus proposed role in LA EMS implementation.

Table 2: VoteCal Certification Team

Team Member	Role in VoteCal Implementation	Role in LA EMS Implementation
Roberto Obando	Technical Solution Architect	Solution Architect
Siv Shanmugam	Business Solution Architect, Release Manager	VoteCal Certification Lead
Ross Underwood	Business Lead	Engagement Director

Requirement Management

The Canton Group Team maintained a Requirements Traceability Matrix (RTM) that traced the dependencies between:

- County Requirements.
- ViBE Use Stories.
- VoteCal Use Cases (40 Use Cases).
- VoteCal EMS Requirements.
- VoteCal Integration Services and Operations (23 Services and 62 Operations).
- ViBE Services and Interfaces.
- The Canton Group Test Cases (284 Test Cases).
- VoteCal Test Cases (395 Test Cases).

This ensured we had design and test coverage to meet all the VoteCal EMS Requirements. VoteCal RTM sample captures a sample of the RTM The Canton Group has implemented for CA EMS certification process.

Work Item Type	Domain	VC Use Case	Service	Operation	ID	Title	EMS Requirement
Test Case	Voter Registration	VR-5.02 Voter Search from EMS	VoterSearchIntgSvc	GetVoter	7423	View State Version of a Voter Record	E001
Test Case	Voter Registration	VR-5.02 Voter Search from EMS	VoterSearchIntgSvc	GetVoter	7424	View State Version of a Voter Record from Another Co	E001
Test Case	Voter Registration	VR-5.02 Voter Search from EMS	VoterSearchIntgSvc	GetVoter	7429	View State Version of a Voter Record via the Voter Rec	E001
Test Case	Voter Registration	VR-5.02 Voter Search from EMS	VoterSearchIntgSvc	SearchVoter	7422	Search Across State for Voters Outside of ViBE but with E001	
Test Case	Voter Registration	VR-1.01 Voter Registration	VoterRegistrationIntgSvc	RegisterVoter	7383	Update a Voter Record for a voter within County	E002
Test Case	Voter Registration	VR-1.01 Voter Registration	VoterRegistrationIntgSvc	RegisterVoter	7358	Register a New Voter with an existing High Confidence	E002
Test Case	Voter Registration	VR-1.11 Move Voter From Another Co	EMSInboundIntgSvc	GetData	7416	Receive "MoveVoter" message from VoteCal and Park	E003
Test Case	Voter Registration	VR-1.11 Move Voter From Another Co	EMSInboundIntgSvc	GetData	7417	Receive "MoveVoter" Record is Verified, Add Voter to	E003
Test Case	Voter Registration	VR-1.11 Move Voter From Another Co	EMSInboundIntgSvc	GetData	7418	Receive "MoveVoter" Record is NOT Verified, Add Voter	E003
Test Case	Voter Registration	QM-1.01 Send Message	EMSInboundIntgSvc	GetData	11502	VoteCal updates voter registration of a voter and send	E004, E009

VoteCal RTM sample

Deliverable Management

To gain SOS confidence and to facilitate the review process, The Canton Group conducted walkthrough of the deliverables as many times as necessary with the SOS Project Management Office, the SOS ITD Application team, the SOS Risk Management Office, and others. After The Canton Group sufficiently addressed the SOS feedback, the SOS approved our deliverables.

Modern Architecture, Design, and Development

- Functional design using progressive elaboration: User stories are elaborated using high fidelity prototypes (designed using Justinmind), business process flow diagrams, interface specification document, business rules specification, and so on. The documentation is supplemental for design review sessions and walkthrough with development team.
- Microservices based Architecture: Our architecture is built on the principles to vertical and horizontal auto-scaling and ensured 99% uptime.
 - Responsive: Responds in a timely manner.
 - Resilient: Stays positive in case of failure.
 - Message Driven: Message passing asynchronously.
 - Elastic: Scalable or responsive under varying loads.
- Just-in-Time Technical Design: At the beginning of development, developers converted the functional design into Data Models, Controller, Services, and Methods design, and

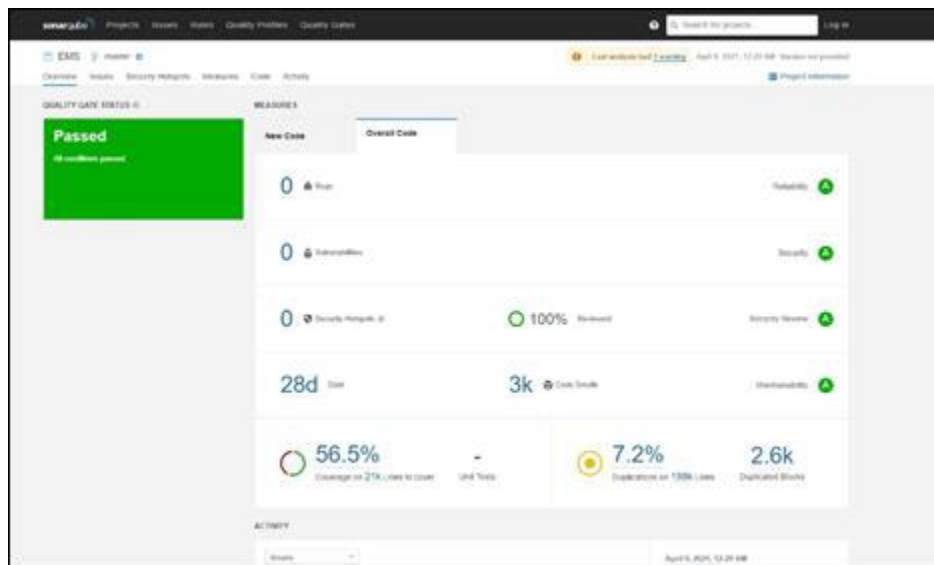
Security Definition (e.g., define permissions). This Just-in-Time design, ensures we build a maintainable code that can be refactored to accommodate new features.

- Test-Driven-Development: Developers began by writing tests to match the acceptance criteria of the user stories. Iteratively working code is added or refactored to build the features necessary to pass the tests. This ensures following code quality standards are met right at the coding stage.
 - Automated testing will have at least 90% code coverage.
 - Codebase will have less than 5% Duplicated Code.

Embedded Security

System or application security is about ensuring that the system is designed to resist attacks. The Canton Group considers that application security has two (2) development phases: Static Analysis (white box method) and Dynamic Testing (black box testing) both of them following NIST cybersecurity framework. Our DevSecOps process as explained below goes above and beyond EMS Security Requirements (VoteCal Regulations – County Security - Chapter 3, Section 20112).

- Static Application Security Testing: Team uses SonarQube, market leader in Static Code Analysis, to raise critical security risk to developers early in the process. SonarQube detects Vulnerabilities and Security Hotspots, explains the issues to developers, and giving them appropriate next steps to remediate issues. By implementing DevSecOps, combining Agile scrum, SonarQube, and Azure DevOps CI/CD, we are compliant with Top 10 OWASP security vulnerabilities.



SonarQube scan

- Dynamic Application Security Testing - The Penetration Test is periodically performed by a third-party company to our platform (application plus infrastructure), last one was completed on 04/01/2021. The results can be made available at County request. The following list details the tests that are covered using the OWASP methodology:
 - Information Gathering.
 - Testing for Configuration Management.

- Identity Management Testing.
- Authentication Testing.
- Authorization Testing.
- Session Management Testing.
- Input Validation Testing.
- Testing Error Handling.
- Testing for Weak Cryptography.
- Business Logic Testing.
- Client-Side Testing.

6.3 Develop Interfaces and Integrations

[Contractor] will be responsible to develop all interfaces and integration with internal and external third-party vendor systems, beyond VoteCal. [Contractor] will:

- Develop an Interface Specifications document that describes each interface being developed and implemented
- Develop a release schedule for interfaces
- Iteratively build the interfaces until the full build of the interface content and functionality is complete
- Leverage the integration platform to implement the integration with internal and external systems outside the EMS
- Regularly release new functionality in a structured and scheduled manner to the County and test environment
- On an ongoing basis, provide the County Program Manager with an updated release schedule reflecting the new content and functionality delivered in each recent release of the interface
- Report weekly on progress toward complete build and alert the County of any issues or risks
- Notify the County when each interface has been fully configured to meet the County's requirements
- Implement a complete end-to-end VBM operation in a new facility to accommodate the County's significant increase in mailed ballots. Install and test equipment, configure equipment to accommodate County's specific envelope requirements

[Contractor] will develop an Interface Validation Report indicating that the required interfaces have been developed, function as expected, and meet the County's requirements.

Deliverables	I6.3.1 Interface Specifications I6.3.2 Interface Validation Report
Delivery Frequency	I6.3.1 Once I6.3.2 Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

We have reviewed the integration requirements and understand there are thirteen (13) integrations with external systems excluding VoteCal. The integrations are a combination of file and service based where some of them have bidirectional data flows. The ViBE Partner Interface is a modern standards-based integration platform built on Talend Data Fabric that supports API, event, file-based integration with a low/no code user interface. It also has a robust API library to simplify design, development, and testing. APIs are published as Web Services and closely align with application business functions.

Consistent with Enterprise Application Integration (EAI) the best practices we use the following approach:

- Agile scrum for development and release of changes to interfaces.
- Iteratively design, build, and release the complex integrations.
- Maintain high percentage of automated test cases and update with changing Use Cases.

We used the above approach to deliver the complex VoteCal Integration.

During the Planning phase of the project, we will hold a series of discovery workshops with the County to review the interfaces in detail and gather sufficient information to define detailed specifications. The detailed specification captures:

- Scrum Team: Minimum designate a product owner (can be a combination of business and IT), Vendor Support/Subject Matter Expert, and The Canton Group development, and technical teams.
- Interface Documentation Library: Maintains interface assets such as DLLs, Business Rules, WSDLs, Sample files, etc.
- Technical Approach: Reuse capabilities of ViBE Partner Interface to build file-based and API Integrations.
- Design Specification: Source System, Target System, Interface Type, Exchange Frequency (As shown in examples below)

ATTRIBUTE	VALUE
Source System	Department of Motor Vehicles
Target System	ViBE
Interface Type	File Drop
Exchange Frequency	OnDemand (typically Daily)

ATTRIBUTE	VALUE
Source System	Department of Motor Vehicles
File Name	"D"yyddd.txt (year, Julian date)
File Type	Non-tab delimited, non-comma separated
Estimated Transaction Volume	~150000 per month
File-Level Validations	Naming convention, file uniqueness
File-Level Error Handling	Refer to Section 2.10
File Folder Location Legacy	Mainframe : SS.PRODCV.DMVCOA.PROD.DATA
File Folder Location ViBE	Secure location DMVCOA

- Service Specifications: For each Operation captures the name of the operation and the parameters. Parameter name, Type, Description, Return Value Type, and Description. (As shown in example below)

2.1.3.1 Operation Name: verifyNameDId

The following table lists the operation parameters and return value for this service.

Table 2 – verifyNameDId Parameters

PARAMETER NAME	PARAMETER TYPE	DESCRIPTION
request	verifyNameDIdRequest	Verifies Name and California Driver's License number
RETURN VALUE TYPE		DESCRIPTION
verifyNameDIdResponse		Response code

- File Specification: Format, Specifications, Parsing and Validation (As shown in example below).

Table 16 – DMV COA Inbound File Parsing

VIBE		DMV-COA				RULES		
TARGET: XML		SOURCE: FIXED LENGTH FILE				RULE NUMBER	TRANSFORMATION	VALIDATION
ELEMENT NAME	TYPE(LENGTH)	FIELD NAME	LOCATION	FIELD TYPE	FIELD LENGTH			
CountyCode	string (2)	Destination County	1	Char	2		Used for county when Change of Address Type = 'S' or NewCounty Code = '60'	
TransactionCode	string(2)	Change of Address Type	2	Char	2		Acceptable values are 'S', and 'CO'. In 'S' records (in-county move) the Destination County Code is moving to county. In 'CO' records (out of county move) both old and new county are populated and the New county is used.)	
DateSent	string (8)	Transaction Date	3	Char	6	MR002	MMDDCCYY	Must be a valid date
EffectiveDate	string (8)	Change of Address Date	4	Char	6	MR002	MMDDCCYY	Must be a valid date
NewMailingAddress	string(35)	New Mail Street Address	5	Char	35			
NewMailingCity	string (13)	New Mail City	6	Char	13	MR003		Cannot be blank
NewMailingState Code	string(2)	New Mail State Code	7	Char	2		Two digit number representing a State. For example '04' = CA.	Please see Appendix below to see mapping and

- Interface Environment: Document the integration environments, on target and source systems, used for development, testing, and production.
- Testing Tools: Apart from Nunit, Jmeter, and Selenium for automation, we built custom tool to generate test data. (e.g., VoteCalFileGenerator used to generate mock Felon, Deceased, DMVCOA, NCOA files).

The Canton Group updates the design specification throughout the project as transformations, operation, rules, etc. change. The drafts and revisions are submitted for the County's review and approval. At the end of interface testing for readiness, The Canton Group submits a validation report to the County for approval.

7.0 Data Migration

[Contractor] will be responsible for managing all activities related to migrating legacy data (legacy data includes all live and historical data stored in existing source systems) to the EMS. [Contractor] will complete the data migrations required to support election operations during implementation, consistent with the Go-Live dates as defined in Deliverable I11.1.1 Deployment Plan.

7.1 Prepare for Data Migration

[Contractor] will develop a Data Migration Plan that will include the identification of source systems and data to be migrated, approach to migration, validation and data cleansing processes, roles and responsibilities of the County, [Contractor], and County's third-party system vendor(s), and policies and procedures to ensure controls are in place in accordance with Federal, State, and local rules and regulations.

[Contractor] will work with the County to define the specifications for migration of data from the County's legacy systems into [Contractor]'s EMS, including alternatives for archiving and accessing data that will not be migrated but that is necessary for election operations.

7.1.1 Develop the Data Migration Plan

In collaboration with the County, [Contractor] will develop a Data Migration Plan that includes, at minimum, the following elements:

- Roles, responsibilities, and assignments of the County, [Contractor], and County's third-party system vendor(s) personnel
- Inventory of legacy data sources and all data the County expects to be migrated to the EMS
 - [Contractor] will provide alternative recommendations to the data types for and/or duration of data to be extracted from each data source if it could offer better outcomes, lower cost, and/or lower risk to the County
- County owner for each data source
- Data migration map to minimally include:
 - Data dictionary
 - Detailed data map of all elements of the current database(s)
 - Data transformation rules
 - Code translation rules
 - Relationship rules
 - Validation rules
 - Process of migrating images (e.g., signatures, applications, documents, etc.)
 - Processes and rules of validating and "cleaning" data
 - Process and rules for recovering missing or erroneous data
- Migration type (i.e., automated, semi-automated, manual) and respective processes and tools

- Gap assessment between legacy data and EMS data requirements, and options to address the gaps
- Issues, risks, and/or barriers that may interfere with data migration and recommendations to resolve or mitigate
- Data migration timelines including if or how long the EMS and legacy system(s) will run in parallel
- Testing and quality assurance plans and protocols to ensure the data is migrated accurately
- Contingency plan in the event the County must fallback to legacy system(s)
- Should Contractor have access to Data Dictionary/data model/SME (or appointed data steward), they will run the data extract scripts
 - Data includes but not limited to DIMS, JEDI, Poll Chief, SPDE, VSAP, and ECBMS

In collaboration with County and VoteCal, [Contractor] shall define data synchronization plan between EMS and VoteCal for legacy data. The data synchronization plan shall define the scope of data synchronization, document known data sync issues in the legacy system, establish sync resolution thresholds, and propose solution approach to resolving the differences.

[Contractor] will review the draft Data Migration Plan with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	17.1.1 Data Migration Plan
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Alex Guedea from The Canton Group leads the Data Migration Activities for the LA EMS Project. He has more than thirty (30) years of Data Management Experience and twenty-five (25) years of DIMS Database Management Experience.

The Canton Group works together with the County data stewards to identify all data, electronic or hardcopy, required for a successful migration. We assist the County data stewards to acquire all data for migration to vendor schema. We catalog all the County data received and the County data is stored in a highly secure environment with limited access.

The Canton Group has a created established DIMS-ViBE Migration Solution that we have successfully used in the Nevada County Implementation Project. DIMS-ViBE Migration Solution is a suite of data migration scripts based on best practices. The most important part of any data migration is preserving data quality. Our processes migrate the data from the current DIMS database to new ViBE database with an extreme high level of accuracy. The County data will be migrated with VoteCal data validation rules as required by the State of California and the County.

We employ the ETL (extract, transform, and load) or ELT (extract, load, and transform) strategies of data migration from the DIMS into the ViBE database. Given both databases are built on Microsoft SQL Server, we anticipate a standard migration process without additional technical complications.

Security: The Canton Group persist the data in a secure environment and allows access only to the authorized staff. We work with the County data stewards to identify all data tables or data columns deemed to have sensitive data.

Data Quality: Our migration solution uses custom built logic to migrate the county databases from the DIMS tables to the ViBE database tables. The logic source code is revised and approved by the county data stewards. The logic used to migrate the data does not update the source county data. All migrations read source data, apply the appropriate logic to the data and then transform the data to meet the ViBE database and business rules while maintaining the intent of the county data values. Our migration team members in collaboration with the County data subject matter experts perform the appropriate table, field, and data mapping as rules for the data migration solution.

Data Accuracy: Our migration solution has been built with a core migration engine that provides “plug and play” logic that can be customized very quickly for any application. By utilizing custom built logic, the migration services treat each data element in relationship to itself or to other values as necessary to maintain the highest level of accuracy as possible.

Repeatable Process: Our solution has been built to be customizable so that rules of migration can be controlled externally from the migration process itself. For example, the exact same code logic is used if a migration is initiated as a “full” or “partial” execution. This provides the ability to initiate a migration that is “re-run safe” where only new rows are processed into the migration, targeted identifiers can be safely re-migrated, or a full migration re-run at any time. Our solution also includes “checkpoints” of migrated data so a completed migration run of a domain segment of tables can be safely stored away and updated only when new records are identified.

Fully Logged Operations: For every data element, the migration solution logs clearly identify the source table, source column and source value of each data element. As the data element is migrated all transformations, lookups, or cleansing are logged into a separate database. This provides a high level of information for each data element that can be inspected for accuracy. Additionally, the rules required to migrate the data element are logged as well.

Data Cleansing: Our migration solution has built-in data cleansing capabilities such that if a variation of a data value can be identified, custom logic cleanses the data based on the rules specified by the customer.

Data Validation: Our migration solution logs the migration for every column regardless of the column value was migrated with any errors or not. Additionally, a count of each successful and unsuccessful column will be logged such that 100% of the data column values will be accounted for. Migration services include a suite of scripts to validate migrated data such that all lookup data values are fully contained within their types and data relationships remain intact. Furthermore, The Canton Group targets a set number of use cases to compare the source data to the migrated data. The use cases will include the targeted data in its existing user interfaces and the same data as it exists in the stored database tables, to be compared to the same migrated data displayed in the ViBE application user interfaces and how the data is stored in the ViBE database tables.

Error Logging: Our migration solution captures all error conditions whether the error source was due to invalid data, data that could not be transformed properly, or other conditions. This provides timely information to migration team members to quickly react to errors.

Checkpoints: Our migration solution has built in “migration checkpoints” such that migrated data can be preserved in the event an error condition occurs and the migration requires a roll back to a step within the migration.

Formats: The Canton Group's Data Migration Lead works with county data stewards to identify all data formats available to ensure no additional custom-built code is required to perform any migration processes.

Data Dictionary: The Canton Group creates a data dictionary of the DIMS database(s) to display all of the database objects such as tables, columns, indexes, datatypes, ordinal positions, nullability and additional meta data if included in the source databases. The data dictionary will include detailed information of the database(s) such as data file locations, database size, number of rows per table, etc.

Code translation rules: The Canton Group works with the County data subject matter experts to identify all the required table, field, and data mapping from the DIMS databases to the ViBE databases. These data mapping rules are documented and approved by the County. These data mapping rules are then incorporated into our migration solutions' rules engine.

Relationship rules: The Canton Group creates a database diagram for all DIMS database tables and their relationship to each other. Relational databases store their information in relational models where data can be accessed between the database tables through unique values common to each table. Our team may consider using the meta data within the relational database structure of the DIMS database to create the database diagram (e.g., Entity relationship Diagram).

Validation rules: For every column migrated, the migration scripts indicate the source table, column name, and source column value, a transformation rule used to transform the value into a ViBE code value and the resulting column value. In the event the source column value cannot be transformed into a ViBE code value, the source table, source column name, source column value is written to an error log indicating the reason the transformation error occurred.

Process of migrating images (e.g., signatures, applications, documents, etc.): The DIMS databases store all images as "blob" binary data within the database. The Canton Group has written custom application scripts that will extract all binary image data from within each of the DIMS database tables and into their individual identifiable disk files with each image contained within. These application scripts in conjunction with T-SQL scripts stores file location data pointers for each image file created and store those values into the ViBE database to keep each image intact.

Processes and rules of validating and "cleaning" data: Our migration solution uses string manipulation capabilities to perform any required data cleaning. If more complex logic is required, our migration team uses custom built Microsoft C# libraries to extend data manipulation routines be included in migration scripts. In most cases data cleaning needs to be identified as a string "mask" where an identified pattern needs to be cleaned to a county standard string value. Our migration solution can identify duplicate source data based on known criteria. The team works with county data stewards to identify data patterns resulting in duplicate rows and document how to address the data. The migration services identify the duplicate rows and report the duplicate groups that can be worked through. For example, there are common values such as street names that are abbreviated using variations of the same abbreviation, like "Martin Luther King, Jr". In some cases, the street may be abbreviated as "MLK" or "M.L.K." or "M L K" or "M. L. K.". A migration rule can be created to search for invalid patterns for a source column value and clean it to a required standardized column value.

Duplicate Data: Our migration solution includes a subset of custom scripts that can identify duplicate rows based on customizable criteria. The duplicate search scripts identify potential duplicate rows and report the percentage of potential duplicated data. These identified rows are flagged into a separate table identifying the match groups and their percentages, allowing data

migration staff to correctly work through cleaning the data by removing the duplicate rows, while preserving referential integrity with associated tables.

Process and rules for recovering missing or erroneous data: The migration processes do not update the source data. Our processes logs all before and after data column values into a migration log. Our migration solutions accommodate custom rules to include missing data such as defaults for VoteCal or required data for the ViBE business rules. All custom rules will be fully documented by our migration team and the custom script will be included into the core migration scripts.

Migration type (i.e., automated, semi-automated, manual) and respective processes and tools: Our migration solution executes using a semi-automated process. The migration setup is a one-time configuration that can be used for all migration types and passes. The migration strategy is based on domain data types within the database. For example, the Voter domain migrates voter, address, party, etc., while the affidavit domain migrates affidavits, signatures, and other associated data. Our migration processes are initiated by either a master T-SQL Script or a custom C# application depending on the migration data targeted. As such, the processes required to migrate the data is based on the areas of domain within the databases.

Our migration solution is built with Microsoft Visual Studio C#, Microsoft SQL Management Studio, and Microsoft SQL Server. For migration reporting purposes, The Canton Group uses Microsoft Excel.

Our migration team members have years of migration experience, many of those years include directly working with DIMS databases. Although every data migration faces unique challenges and edge conditions, risks are managed and mitigated by The Canton Group.

Hardware considerations: Given the size of the county data, an appropriately sized host with reasonable amounts of memory and disk space be made available specific to migration. Additionally, redundant and fault tolerant components should be included on the host computer, such as power supplies, hot swappable drives, etc. Consider using fast SSD drives with fast disk controllers. An external storage unit should be allocated to keep iterations of migrated data.

Our migration solution can direct the migration of data to test, stage, or production through external configuration values. The exact same scripts and logic is used, the only change is made to configuration values indicating where the data is persisted after migration.

The Canton Group has built in data validators that log all data migration regardless of the source data error or transformation errors. We have custom scripts built to mine the logs and report errors for customer review. By including the data validators at migration runtime, the accuracy of the data can be validated in real time. As with all data migration projects, the data migration rules may need to be adjusted to meet customer requirements. Our team makes necessary adjustments as required and documents the same for county review and approval. Once the custom adjustments are made to the core migration logic, that same logic will be applied to all future migrations regardless of the migration type.

Contingency plan in the event the County must fallback to legacy system(s): Our migration solution does not modify the customer source data, as such, the customer will not have to perform any data validations in the event a fallback condition occurs. Additional contingency options are identified in discussion with County.

The Canton Group completes Data Migration Plan that expands on the items requested in section 7.1.1 and discussed above. Team conducts a deliverable walkthrough to cure any findings then it is submitted for approval.

7.2 Conduct Data Migration

For each data source, [Contractor] will conduct a mock data migration following the Data Migration Plan as defined in Deliverable I7.1.1. Based on the Data Migration Plan as defined in Deliverable I7.1.1 as well as the outcomes and lessons learned from the mock data migration, [Contractor] will migrate data into relevant environments (e.g., staging, production, etc.).

If a phased implementation approach is used, [Contractor] is responsible for continued data migration as well as synchronization between the System with legacy system(s) and data exchanges with VoteCal and other external systems until full implementation is achieved.

7.2.1 Prepare Mock Data Migration Reports

[Contractor] and the County will conduct mock data migrations progressively using a sample set of data and the entirety of the data prior to deployment into relevant go live environments (e.g., staging, production, etc.) to:

- Verify migration load sequence and dependencies
- Determine approximate timing for every load, validation, and quality assurance review to estimate how long data migration activities will take
- Validate that legacy data is “cleaned” while keeping the intent of the data – e.g., missing data is recovered where possible, duplicate rows are eliminated, data types are accurate, etc.
- Document any remapping, combining, splitting, appending, recovery, and data type conversion of legacy data required for the new EMS
- Refine existing data validation procedures that ensure each migration is loaded properly and that interdependent data migrations reconcile

The County and its third-party system vendor(s) will identify a sample set of data to be used for the mock data migration. [Contractor] will review the sample data with the County, solicit and incorporate input, then finalize the dataset.

In collaboration with County and VoteCal, [Contractor] shall conduct mock data synchronization between EMS and VoteCal. Based on data synchronization results and feedback from County and VoteCal, refine and redo synchronization until the expected synchronization thresholds are achieved.

The County and its third-party system vendor(s) will be responsible for extracting the data from the source systems. [Contractor] will design and develop the tools necessary to perform the data migration. [Contractor] will be responsible for transforming all the new target databases to the correct format and loading the sample dataset.

[Contractor] will support the County to validate the data in the EMS including:

- Verification of conversion load sequence and dependencies (e.g., loading the parent data prior to child data)
- Verification of migration load sequence / timing
- Missing data is recovered / highlighted / created
- “Dirty” data issues are identified, and remediation plans are reviewed and executed
- Data loaded is validated and reconciled against legacy data

- Validation that legacy data is “clean”
- Validation that data is loaded in the correct business context

[Contractor] will log issues discovered during the mock data migration and recommend resolution approaches. [Contractor] will resolve issues and repeat the mock data migration until all critical issues have been resolved and approved by the County.

[Contractor] will monitor the data migration and validation processes. [Contractor] will prepare a Mock Data Migration Report that will include:

- Recommendations for refining the Data Migration Plan
- Estimated duration and schedule to migrate all data based on successful sample dataset
- Recommendations to mitigate impact on System performance / response time while data migration is in progress
- Refinement of validation and quality assurance procedures to ensure that each migration is loaded properly and that interdependent migrations reconcile

[Contractor] will review the Mock Data Migration Report with the County and gather feedback. Upon completion of the final successful mock data migration, [Contractor] and the County will decide when the data migration for each source system is ready for integration testing.

Deliverable	I7.2.1 Mock Data Migration Report
Delivery Frequency	Once per mock data migration

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Our Data Migration Lead submits migration reports at the end of mock data migration.

Our migration solution uses custom T-SQL scripts and C# applications to migrate data to test, stage, and production environments. In order to designate the target migration environment, the migration services are configured through a set of table-based configuration settings.

Configuration settings also trigger the migration services to either preserve existing migrated data or remove any existing data prior to execution. There are no other dependencies. The migration services include a script to validate the targeted source data locations, target the destination data, data and error logging and other pre-run validations.

Our migration team conducts test migrations to establish the timing for every load, validation, and quality assurance review to calculate the estimate the duration of data migration activities.

Validate that legacy data is “cleaned” while keeping the intent of the data (e.g., missing data is recovered where possible, duplicate rows are eliminated, data types are accurate, etc.). Our migration solution logs every operation into a database table to indicate how every column value was migrated from its source value, transformation rules applied, and resulting value stored into the ViBE database. Our migration solution provides the capability to include custom data migration rules to recover missing data, provide default data, and standardize data where applicable. All custom rules required as part of the migration are documented by the migration team and applied to the core migration scripts. All future migrations for all types include these custom rules going forward.

The migration solution includes a subset of custom scripts that can identify duplicate rows based on customizable criteria. The duplicate search scripts identify potential duplicate rows

and report the percentage of potential duplicated data. These identified rows are flagged into a separate table identifying the match groups and their percentages, allowing data migration staff to correctly work through cleaning the data by removing the duplicate rows, while preserving referential integrity with associated tables.

Refine existing data validation procedures that ensure each migration is loaded properly and that interdependent data migrations reconcile – Our migration solutions have successfully migrated DIMS databases to the ViBE database. Each DIMS customer uses the same DIMS database schema and is managed by the DIMS suite of applications. The only interface to the DIMS database tables is through the DIMS applications. However, each DIMS customer may also include variations of data that meet DIMS application business rules and are accepted by the database rules. When these conditions occur, the migration scripts need to be slightly altered to meet the ViBE database requirements while maintaining data standardization with VoteCal. Our migration solution has a subset of validation processes to validate the interdependency of data. The team targets a set number of Use Cases to compare the source data to the migrated data. These Use Cases includes the targeted records to be displayed in DIMS user interfaces and the same data as it exists in database tables and compared to the same migrated data displayed in the ViBE application user interfaces and stored in ViBE database tables. The purpose is so the end users can see their data from their familiar interfaces migrated to the ViBE interface with the highest level of accuracy as possible.

The Canton Group Data Conversion and Migration process approach is to deliver data conversion in progressive phases. The data conversion process starts early in the proposed project plan. The data conversion process is iterative, consisting of data conversion passes 1-3, plus a training database pass, plus a go-live practice data pass, and the final data conversion pass immediately prior to Phase I go-live.

Recommendations to mitigate impact on system performance/response time while data migration is in progress: The Canton Group recommends performing all migration activities on a separate host computer with the required hardware resources for maximum processing. Our migration solution runs within the context of the database by issuing T-SQL scripts which are disk and at times CPU intensive. Furthermore, our migration scripts can be run in parallel to provide additional throughput capabilities on the same host computer. If a separate host migration server cannot be made available, we recommend performing all migration tasks at non-peak service hours such as evenings and weekends.

Refinement of validation and quality assurance procedures to ensure that each migration is loaded properly and that interdependent migrations reconcile: The Canton Group migration team members will work with the county data stewards to create the data mapping for tables and fields. This will serve as the basis for core migration rules. Migration test execution will identify any data validation error and the transformation rules can be adjusted to produce the correct values. Every table migrated will receive the same level of scrutiny to make sure transformations are being properly applied. The error logs will also be reviewed for any data issues during the migration process.

One of the tenets of best practices for data migration is to document a repeatable process. Any change to the migration process will be documented fully resulting in a very scripted migration that can be duplicated and repeated with little effort. This approach eliminates any missed steps that resulted in transforming data outside of the core migration scripts.

Our validation scripts will validate for data inter-dependencies from the source data and compare the output with the migrated data to make sure the same inter-dependencies are verifiable. We will also target specific records for use cases. Each targeted record will be displayed in the DIMS user interfaces so that all inter-dependent data can be identified. That

same targeted data will be used to perform the same functions within the ViBE user interfaces to verify the same inter-dependencies are in place. We will then execute custom scripts at the database level on the DIMS databases and compare to the same output from ViBE databases and validate the same values are returned.

7.2.2 Conduct Data Migration and Prepare Reports

[Contractor] will migrate all relevant data from current County system(s) to the relevant environments in accordance with the Data Migration Plan as defined in Deliverable 17.1.1. [Contractor] will monitor the data migration process, report any issues to the County, and complete data migration tests. [Contractor] shall execute the synchronization check procedures to check for data differences between EMS and VoteCal. [Contractor] submits the results to County for final review and approval. [Contractor] will also coordinate all data migration activities with other relevant implementation activities set forth in this SOW.

Upon successful completion of data migration tests, [Contractor] will prepare a Data Migration Report that will include, at minimum, the following elements:

- Number of data records used for each input type, number of records migrated, and number of records modified
- Dataset with an itemized field-level validation of data in each row and column between legacy and loaded system
- Exceptions discovered as part of the migration - itemized if not accounted for in the Data Migration Plan and grouped if an expected exception per the Data Migration Plan
- Process of migrating images

[Contractor] will certify, in writing, that it successfully migrated all data.

Deliverable	17.2.2 Data Migration Report
Delivery Frequency	Once per data migration

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Number of data records used for each input type, number of records migrated, and number of records modified: The Data Migration Report (DMR) will include the number of records for each input type (tables, process), the number of records migrated for each input type, and the number of records modified during the conversion process.

Dataset with an itemized field-level validation of data in each row and column between legacy and loaded system: The DMR will include a list of all the field level data validations for each column between legacy and the load system.

Exceptions discovered as part of the migration - itemized if not accounted for in the Data Migration Plan and grouped if an expected exception per the Data Migration Plan – As part of each migration execution, The Canton Group migration service scripts will log every exception encountered. The execution timestamp, migration type, error type, execution number, table, field, transformation rule, source value, and resulting value, if any will be logged. The error log error type will indicate the severity of the error from valid, informational, warning, fatal. All error types other than valid must be investigated, determine the source of the error, and plan for

correction. Every correction will be well documented, and the correction will be included into the core migration logic for every future migration.

Process of migrating images: Best practices on how to store images has changed over time and at times flip-flopped. DIMS stores images in the database as a binary data type in a table and also stores images as stand-alone, identifiable files in a series of folders on the file system. Our migration solution stores all images as stand-alone files in the file system. To extract DIMS images from a table, The Canton Group has written custom C# routines that will read the binary data from within the database table and write an identifiable stand-alone file. The Canton Group has a convention for naming each type to include a record Id. This combination of naming type convention with the record Id will ensure each file name is unique. The image processing routines will then store the path and filename to a ViBE database table. For retrievable purposes, ViBE will use the unique identifier for the record and use the stored path and filename to read the image data for display purposes. Our image processing routines will migrate all DIMS binary information from the DIMS databases.

The Canton Group will certify, in writing, that it successfully migrated data.

8.0 Testing

[Contractor] will be responsible for leading the planning activities to prepare for testing, for developing all necessary testing artifacts (e.g., test scripts, test scenarios, etc.), establishing testing environments prior to each testing phase, and leading and conducting all testing for all in-scope elements including integrations and hardware (ASR machines), except for User Acceptance Testing. [Contractor] will assist and support the County with acceptance testing.

8.1 Plan for Testing

[Contractor] will develop a comprehensive Test Plan with input and participation from the County, covering all testing necessary to confirm that the Licensed Software, Third-Party Products (if applicable), Modules and all elements of the EMS, including hardware (ASR Machines) and interfaces, function in an integrated fashion.

[Contractor] will lead the development of Test Scripts and Test Scenarios with participation by and input from the County. Test Scripts and Test Scenarios will account for County workflows, policies, and procedures.

[Contractor] will work with County staff to set testing schedule parameters, including UAT session, and construct testing schedule

8.1.1 Develop Test Plan

[Contractor] will develop a Test Plan that identifies all major aspects and phases of testing through the Project life cycle. The Test Plan will detail [Contractor]'s approach to performing and/or supporting the various testing phases including:

- Unit Testing — *Validates that modular configuration values and individual development objects operate according to approved design specifications.*
- System Testing — *Validates that business processes and functional requirements within a functional area can be fully executed and produce the predefined and expected results for each test script.*

- *Integration Testing — Validates that dependent business processes across functional areas and System elements interact seamlessly including VoteCal. Validates that customizations, security, workflow, configurations, data migration programs, interfaces, reports, and forms work together.*
- *End-to-End Testing — Validates that the System operates as intended from the beginning to the end of all business processes, including verification that the System's functionality conforms to the functional and non-functional requirements as defined in Task 3.2. The County expects that End-to-End Testing is conducted in an environment synchronized with the target production environment and is conducted by [Contractor]'s testing team, which is independent of the development team. End-to-End Testing will also ensure that the migration and use of legacy system data does not generate any errors.*
- *Negative Testing — Analytic, ad-hoc or exploratory testing that employs an attitude to try to break the system by using extreme ranges, values, data types or performing actions within a flow that would have been unexpected to the designer but within the range of potential action.*
- *Usability Testing — Validates that the flow of activities through the user interface follows logical, rational, or readily understandable progression in a way that minimizes extraneous mouse or keyboard activity. Icons, shortcut keys, window labeling and screen element tabbing order are consistent. Audio and/or visual cues and warnings are reasonable, obvious and not overly intrusive.*
- *Performance (Load/Stress) Testing — Validates the readiness of the System to support the County's transaction and user volumes and will include both interface/batch transactions and online/end-user response times. The County's transaction and user volumes for performance testing will simulate full production scale. Additionally, the state of the System for performance testing will simulate, to the extent possible, the configurations, security, and workflow planned for the production version of the System. In addition to overall volume testing, each tier of the infrastructure will be load tested and stressed – i.e., database, application or middle-tier, web tier, and the integration points.*
- *Regression Testing — Validates that previously developed and tested functionality still perform as expected after a change is introduced.*
- *Recovery Testing — Validates the System and each Module may be recovered and synchronized to a specific point in time.*
- *Security Testing — Validates security by incorporation into each testing phase. The testing will address all Federal, State, and local policies and standards for protecting election data/information from unauthorized access, use, disclosure, disruption, modification, or destruction to provide integrity, confidentiality, availability, accountability, and assurance. Security Test Plan will also address each item included within the VoteCal Draft Regulations document, section "19064. County Security".*
- *User Acceptance Testing (UAT) — Validates the System is functioning as designed, verifies the data migration process, and confirms that the System is ready to move to the production environment.*
- *Smoke Testing — Validates that a deployment of changes into an environment is successful, prior to making the environment available to users.*

The Test Plan will include a test approach for each testing phase, including:

- Test overview, including objectives and scope

- Testing controls
- Resources, including personnel (i.e., testing user roles), infrastructure, and communication protocols
- Roles and responsibilities of the County and [Contractor] personnel
 - Note: County and [Contractor] are mutually responsible for prioritization of defect remediation
- Test schedule with key dates and Deliverables
- Recommended prerequisites to beginning each testing phase
- Testing sequence and interdependencies between testing phases
- Testing metrics (expected outcomes, including reports)
- Mock interfaces and integrations
- Configuration management
- Change control
- Test environments
- Tester training
- Entrance and exit criteria
- Required artifacts including:
 - Test Scripts (step-by-step)
 - Test Scenarios (narrative)
 - Test data including synthetic test data to test edge cases
- Requirements for resetting the test environment and test data to a County-defined save point
- Defect severity definitions
- Communication procedures and tracking tool for defect identification, resolution, retesting, and escalation
- Test tools, both [Contractor] provided and County-owned
- Test cycle control sheets
- Assumptions, issues, and risks

[Contractor] will review the draft Test Plan with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I8.1.1 Test Plan
Delivery Frequency	Once, updated prior to each testing phase, and as needed to increase testing effectiveness and efficiency and resolve testing problems

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The basis of The Canton Group's test methodology is a software lifecycle model that supports early defect detection throughout the software lifecycle. Our testing methodology promotes comprehensive test coverage in an organized fashion traced back to requirements and design. This allows the teams to conduct "the right test at the right time". We have eight test phases (Unit Testing, System Testing, Performance Testing, Penetration Testing, Backup and Recovery Testing, Sandbox Testing, User Acceptance Testing, Smoke Testing) together they provide comprehensive test coverage to the ViBE solution. Table 3: Testing Phases captures how The Canton Group's Testing Phases maps to County's Requirement in section 8.1.1 Develop Test Plan.

The Canton Group's Testing Phase	County Requirement (Section 8.1.1 Develop Test Plan)
Unit Testing	Unit Testing, Security Testing (Code Analysis)
System Testing	System Testing, Usability Testing, Negative Testing, Regression Testing
Performance Testing	Performance (Load/Stress) Testing
Penetration Testing	Security Testing
Backup and Recovery Testing	Recovery Testing
Sandbox Testing	End-to-End Testing
User Acceptance Testing	User Acceptance Testing
Smoke Testing	Smoke Testing

Table 3: Testing Phases

Our test team is responsible for planning and executing all test phases except for UAT which is planned and executed by the County (or other designee), with support from the test team.

Throughout testing, The Canton Group's technical team and application development team will collaborate with the County staff (including business SME's), the County Partners (such as vendors from PollChief, Cherwell), and the BRDR vendor for the Backup and Recovery testing. An integrated testing effort builds quality in to the test process in a number of ways:

- More thorough test planning. More input, suggestions, and review during test planning helps improve planning accuracy and thoroughness.
- Improved buy in and acceptance of test outcomes. If the various levels of participants support the test effort in each step of the testing process and transparency is maintained, integrity is preserved.

Leveraging expertise improves effectiveness. Leveraging the different expertise of various groups will improve the effectiveness of ViBE testing. Detailed roles and responsibilities for each team member will be provided in our Test Plan.

A variety of tools are used to support our test effort. The Canton Group proposed the following tools to support the planning, execution, and reporting for the testing effort:

- Azure DevOps: Used to support defect management. Defects are logged for discrepancies between expected and actual test results for all test phases except for Unit Test. In addition, this tool will serve as the requirements repository for the project.

- Azure Test Plans: Maintains the test cases and execution status for System testing, Performance testing, Sandbox testing, and UAT. Test cases trace to Use Cases and project requirements.
- Selenium: A popular testing framework, we use for automated testing of ViBE on presentation layer (web browsers).
- NUnit: Unit Testing Framework for .NET. Primary tool in our Test-Driven Development (TDD) approach.
- Apache JMeter: Used from performance testing of our APIs.
- SonarQube: Static Code Analyzer used to enforce CA SOS code quality and security requirements.
- SharePoint: Document library to store Test Assets

During the Planning Phase, The Canton Group develops a draft Test Plan, that is updated in a collaborative effort between The Canton Group and the County staff to be submitted for approval after a formal review by the County. The VoteCal Test Plan may be updated for various reasons including, process improvements, updates to testing tools, and modifications to the testing scope or approach.

8.1.2 Develop Test Scripts, Test Scenarios, and Test Data

[Contractor] will:

- Identify, document, and finalize relevant Test Scripts and Test Scenarios for each testing phase with input from the County
 - Test Scripts will trace back to the functional requirements
 - Wherever possible, [Contractor] and the County will build upon Deliverable 3.1 Use Cases
 - [Contractor] will ensure Test Scripts and Test Scenarios are comprehensive and effective to test all functionality
- Work with the County to identify and document relevant elections test data
- Support the County to develop common elections test data and identify the volume of data required to perform thorough testing
- Monitor progress on Test Script, Test Scenario, and common elections test data development
- Notify the County of any risks to the schedule or quality and completion of the Test Scripts, Test Scenarios, and/or common elections test data being developed
- Identify systemic issues related to completion of the Test Scripts, Test Scenarios, or elections test data (e.g., time management, complexity, data quality, etc.) and provide the County with recommendations to address them (e.g., augmenting resources, etc.)
 - [Contractor] will provide additional resources to address issues where necessary
- Provide recommendations on grouping Test Scenarios and conditions into test cycles to maximize efficient test execution
- Develop issue tracking form

- Develop a test cycle control sheet, which details when and by whom test cycles will be executed
- Archive Test Scripts and Test Scenarios after all testing phases are complete
- Respond to all County ad hoc communications (e.g., calls, emails, etc.) in a timely manner to address questions as they arise

[Contractor] will review the draft Test Scripts and Test Scenarios with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit final versions for approval.

Deliverables	I8.1.2.1 Test Scripts I8.1.2.2 Test Scenarios I8.1.2.3 Test Data
Delivery Frequency	I8.1.2.1 Once for each testing phase I8.1.2.2 Once for each testing phase I8.1.2.3 Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The test team designs and constructs test cases from Use Cases, Requirements, and design documents, procedure manuals, and other available information. The set of master test cases is maintained in Azure Test Plans.

In designing test cases, the test team considers the overall objective of the test, including which Use Cases are being covered, and the types of test cases needed to satisfy a test scenario. The test team coordinates interdependencies between test cases with the testers so that hand-offs can be managed. The test case design includes:

- Positive tests that follow the exact process and prescribed steps as designed and described in the requirements.
- Negative tests that deviate from the prescribed path in an effort to confirm or determine how the system will react when the user does not provide the expected values or responses.
- Creating multiple small, single purpose test scripts that can be linked to achieve a complete business cycle or to demonstrate an end-to-end business process rather than a single large test case (this facilitates test result analysis).
- Identification of input and output files, specific data needs, and appropriate sources of data.
- Identification of expected results, including citations to system documentation such as file format specifications and design documents.

The testers schedule a peer review when a set of test cases is complete. Information about the peer review is recorded in the test case. Once the test cases have been updated and the peer review is complete, a walkthrough of the test cases (typically in groups) is conducted with County.

To conduct thorough testing, thorough test data sets are needed. The teams obtain a variety of data from multiple, independent sources. This improves the ability to detect errors that arise only with a particular type of test data. Test data are obtained in the following ways:

- **Pristine Data:** Create specific data from scratch (either before or during the test). The teams either enter data using completed portions of the application, using SQL, or enter the data directly into the database. This test data setup is described during the test planning activities and takes place prior to test execution.
- **Generate Data Using Automated Tools:** This is most important for performance and load testing, which require large data sets. In these cases, data volume is important but content (such as functional details) generally is not.
- **Converted Data:** The system must work with both system-generated and converted data. It is critical to fully exercise the system using converted data.

Our test team works collaboratively with the County staff to create test scripts, scenarios, and test data. The Canton Group submits the test scripts and scenarios for each phase to county review and approval. Test data is submitted to county as needed.

8.1.3 Establish Testing Environments

[Contractor] will establish testing environments prior to each testing phase. This will include:

- Loading of elections test data
- Setting up the database
- Configuring the environment
- Selecting and implementing the necessary hardware and operating system
- Configuring the network
- Configuring the agile project management tool (e.g., Jira) for issue management and defect tracking

[Contractor] will prepare detailed documentation of the testing environments.

Deliverable	I8.1.3 Detailed Testing Environments Documentation
Delivery Frequency	Once per testing environment setup

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Installation, configuration, and maintenance of the test environments are important aspects of test success. The Canton Group's technical team will manage and monitor the test environments. Table 4: Test Environments shows the test environments planned for the project. Dedicated testing environments are provided for distinct test phases. These environments are independent installations of the application, each with its own database, configuration data, and application code.

Testing Phase	Environment
---------------	-------------

Unit Testing	Development Environment
System Testing	Testing Environment
Performance Testing	Production Environment (prior to Cutover)
Penetration Testing	Production Environment (prior to Cutover)
Backup and Recovery Testing	Production Environment (prior to Cutover)
Sandbox Testing	User Acceptance Test Environment (prior to UAT)
User Acceptance Testing	User Acceptance Test Environment

Table 4: Test Environments

One of the key coordination activities for the environments is release management. The technical team coordinates with the test team in managing releases into the applicable test environments. The other important consideration is connectivity to VoteCal for each environment. This needs discussion with the CA SOS, the County, and The Canton Group.

The Canton Group submits the details of the test environments for county to review when they are ready to go for testing activities.

8.2 Perform Testing

All elements of the EMS will be subjected to testing performed by a Test Team composed of [Contractor] and County staff. [Contractor] will lead and conduct all test phases except for UAT. These tests must be thorough enough to ensure UAT is not used to uncover errors that should have been found in prior testing phases. [Contractor] will assist and support the County with acceptance testing.

The County expects much of the testing to be automated and repeatable, based on a managed and comprehensive set of Test Cases that trace back to the requirements.

8.2.1 Conduct Testing and Prepare Test Results Report

[Contractor] will conduct testing for each testing phase in accordance with the approved Test Plan as detailed in Deliverable I8.1.1. [Contractor] will document all test results, analyze exceptions, and correct any software defects. Test Results Reports will include:

- Test coverage / scope
- Test configuration parameters
- Test methodology
- Test tools
- Outcomes of all test levels and Test Cases
- Test trends and “hot spots” of the software that are more prone to defects than others

In addition to the formal test results report, [Contractor] will provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.

[Contractor] will perform security tests in accordance with the Security Plan as detailed in Deliverable I4.2. [Contractor] will record and report the results for review and approval by the

County. [Contractor] will fix any errors or issues encountered, conduct root cause analyses as required, and document outcomes of any re-testing activities.

In addition to [Contractor]'s security tests, the County may, at its discretion, conduct its own tests such as: penetration and vulnerability tests to validate all or portions of the security requirements. The County will record and report the results and [Contractor] will fix any errors, omissions, or issues identified in the tests report. [Contractor] will conduct root cause analyses, as required, and document outcomes of any remediation activities.

Deliverables	18.2.1.1 Unit Testing Results Report 18.2.1.2 System Testing Results Report 18.2.1.3 Integration Testing Results Report 18.2.1.4 End-to-End Testing Results Report 18.2.1.5 Negative Testing Results Report 18.2.1.6 Usability Testing Results Report 18.2.1.7 Performance (Load/Stress) Testing Results Report 18.2.1.8 Regression Testing Results Report 18.2.1.9 Recovery Testing Results Report 18.2.1.10 Security Testing Results Report 18.2.1.11 Smoke Testing Results Report
Delivery Frequency	18.2.1.1 Once per release 18.2.1.2 Once per release 18.2.1.3 Once per release 18.2.1.4 Once per release 18.2.1.5 Once per release 18.2.1.6 Once per release 18.2.1.7 Once per release 18.2.1.8 Once per release 18.2.1.9 Once per release 18.2.1.10 Once per release 18.2.1.11 Once per release

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Prior to executing a test script, the tester confirms the test environment is configured as expected and that the test data is available, either by creating the test data or using existing test data. The tester executes the test in accordance with the test script and procedures; The tester records the results of each step as they execute that step to include approved deviations, actual results/comments, and whether or not the test step passed or failed. If defects are discovered during the test, the tester logs a defect in Azure DevOps and includes the defect number in the

test result. The tester attaches documentation such as screen prints and reports that demonstrate the actual results of executing the test script.

Once test script execution is complete, the tester reviews the actual results against the expected results to determine if the overall test script passed or failed. If the test script failed due to an error in the test procedure, the tester corrects the test procedure and re-executes the test script.

In general, the overall execution status of a test script is:

- “Pass” if each step in the test case has been executed and actual results match the expected results.
- “Pass” if each step in the test case has been executed and if one or more test steps have failed and any resulting defects are severity 3 (Medium) or lower.
- “Fail” if each step in the test case has been executed and if one or more test steps have failed and any resulting defects are severity 2 (High) or higher.
- “Fail” if one or more of the test steps could not be executed.

Each tester records the overall test case execution results based on the above criteria. The tester has the authority to modify the execution results; however, they must record the reason for the modification.

Manage Defects: Azure DevOps provides robust set of fields to record defect details. Table 5: Defect Tracking Detail below shows the set of information that is available to define defects:

Field	Usage
Defect ID	Defect reference ID
Defect Title	Short description of the defect
Repro Steps	Steps to reproduce the defect
Found in Build	Release version the defect was found in
Integrated in Build	Release version the defect was fixed in
Priority	Priority of the defect
Severity	Severity of the defect
Planned Fix Iteration	Targeted iteration for resolution of defect
Domain Area(s)	Domain areas impacted by defect
State	Current state of the defect
Reason	Current state reason of the defect
Assignee	Person or team currently assigned to
Linked Work Items	Test cases/User Story/requirements linked to
Attachments	Supporting documents

Table 5: Defect Tracking Detail

Triage Defects: The Canton Group uses a severity priority defect rating to triage the defects. Severity rating is the impact of a defect on the project or Application. Table 6: Defect Bug Severity Definitions below shows the definitions of severity ratings to be used for testing.

Value	Severity
1-Critical	Prevents the accomplishment of an Essential Function. ¹ Jeopardizes safety, security, or causes unrecoverable data loss. No work around solution is known.
2-High	Adversely affects the accomplishment of an essential function and no known work-around solution. Causes recoverable data loss but with high impact to users. Impacts reliability of public-facing functionality or data.
3-Medium	Adversely affects the accomplishment of an essential function and a workaround solution is known or adversely affects the accomplishment of VoteCal functions. Causes recoverable data loss
4-Low	Results in user/operator inconvenience or annoyance but does not affect a required operation or mission essential function. Cosmetic or documentation issue to non-public facing functionality.

¹ "Essential Function" is defined as critical functionality at the time when it is needed for execution

Table 6: Defect Bug Severity Definitions

Defect Priority is a value from 1 to 4, giving equal weighting to both Impact and Severity. The Defect Prioritization below provides a consistent, objective way to set the initial priority based on impact and severity of the defect.

		Severity			
		1	2	3	4
Impact	1	1	1	2	2
	2	1	2	3	3
	3	2	3	3	4
	4	2	3	4	4

Defect Prioritization

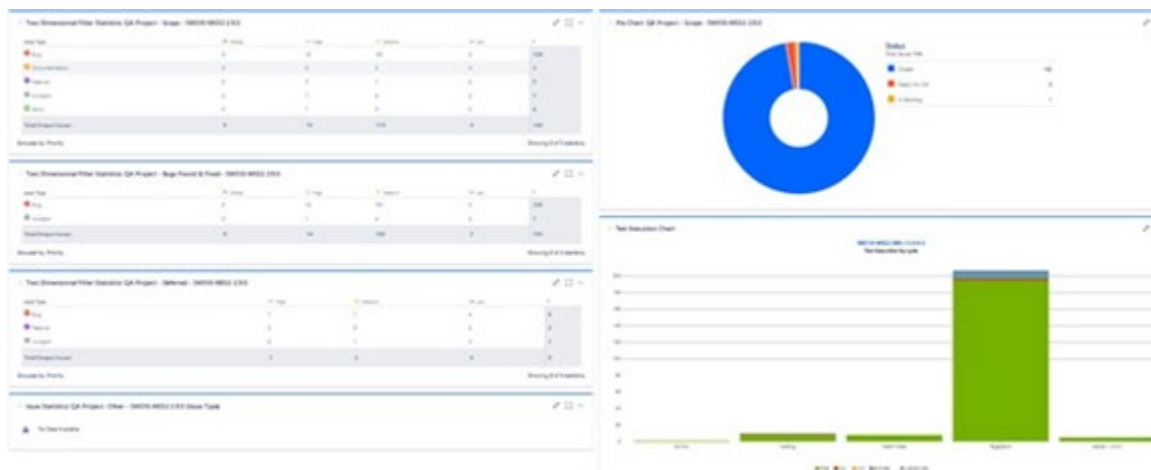
Fix, resolve, and close defects: Once defects have been triaged, they are assigned to Development Team to get fixed. After the defect is fixed, it is tested and closed.

Resumption/Suspension of Testing Criteria: Test team reviews the impact of defect to other active Test Cases and if there are test cases that cannot be executed then they are suspended from test execution and tracked as blocked. A test case can be blocked by one or more defects, each of those defects are linked to the affected test case. Test case execution resumes when defects blocking it are all resolved.

Test Status and Reports: The Canton Group uses the reporting capabilities within Azure DevOps to report on status and completion of testing. Test reports are created for each phase and support the following questions:

- How many and what percentage of Test Cases were never run vs blocked vs failed vs passed grouped by functional domain?
- How many defects by severity and priority are open vs closed?
- How long has those defects been open (age)?
- How many and what percentage of Use Cases and requirements are not linked to any Test Cases (Coverage)?

Test status and reports are submitted at the end of each testing phase to County. Example of Test Status and Reports below shows the sample of the test report.



Example of Test Status and Reports

8.2.2 Prepare User Acceptance Test Results Report

[Contractor] will assist the County in performing UAT activities including:

- Creating the acceptance testing environments on the production sized hardware
- Loading configuration values, migrating data, and establishing user security in accordance with the Deployment Plan
- Developing the acceptance Test Scripts and UAT tester training materials
 - Test Scripts will thoroughly test each functional requirement

- Ensuring that all integrations to other systems, including VoteCal, are connected to the testing environment for valid acceptance testing
- Submitting offline jobs. The setup, configuration, and run of batch jobs will be included and complete with upstream/downstream dependencies implemented and in/out conditions defined
- Performing backups. Backups will include data, application, configuration, and interface files
- Restoring databases as required, including the setup parameters and non-baseline configurations to the point agreed upon by the County
- Providing System training for the UAT testers
- Providing on-site support during UAT in accordance with the Test Plan detailed in Deliverable 8.1.1
- Providing an application for the capturing, reporting, and tracking of errors identified during UAT
- Reviewing the County's log of errors and defects
- Resolving all errors and defects
- Answering questions from UAT testers as they arise
- Documenting, analyzing, explaining test results
- Communicating regularly with the County regarding status and schedule of UAT
- Assisting the County with re-testing defect fixes

During UAT, [Contractor] will conduct daily wrap up sessions that will cover:

- UAT progress update
- Review of open issues
- Strategy and schedule for defect resolution

[Contractor] will prepare a UAT Results Report that documents all the test results, including any errors and resolutions identified as part of the UAT. The UAT Results Report will include, at minimum, the following elements:

- Achievement of UAT objectives
- Test execution results by test cycle
- Test execution statistics and trends
- Plan to address any UAT issues still unresolved
- Near real-time and maintained access to UAT progress

Deliverable	18.2.2 User Acceptance Testing Results Report
Delivery Frequency	Once per user acceptance test

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

UAT provides the County (and other stakeholders) an opportunity for the user community to validate that the ViBE solution meets requirements and supports the business need. UAT is a series of the County (or other designee) defined tests that are executed to validate functionality is properly coded and implemented and is performed in the UAT environment (which is a production like environment). The Canton Group and the County will develop UAT exit criteria to be met prior to go-live activities. In general, the following activities are performed by the test team to support the UAT effort:

- Establish the County user access to test environment.
- Support the County access to and use of testing tools, as required.
- Log defects found by the County through the UAT execution activities.
- Conduct a test readiness review to determine readiness to begin acceptance test execution.
- Work with the appropriate staff from The Canton Group to provide test data needed to execute the County provided test cases.
- Support the County creation of UAT test cases and scripts.
- Support the County execution of UAT script execution.
- Support the County evaluation of test results.
- Work with the Applications Development team to triage defects discovered during UAT and coordinate the re-testing of defect corrections.

The Canton Group supports UAT activities by addressing questions and fixing defects as well as coordinating UAT activities where appropriate. In addition, The Canton Group provides detailed training to the County (or other designee) staff on the testing methodology and testing tools required to perform UAT. The Canton Group submits UAT test results to the County at the end of UAT phase.

9.0 Reporting

Reporting is a multi-faceted aspect of the overall System. It will consist of:

- Predefined operational reports to support election operations
- Self-service ad-hoc reports to support election operations
- Self-service reporting and analytics to support data requests
- Dashboards to support executive, management, and operational users

The County expects the different aspects will be supported through different tooling, and different ways of providing reporting capabilities.

[Contractor] will facilitate working sessions with the County to assess and identify reports requirements. [Contractor] will develop report specifications, design and build reports in accordance with the specifications, and maintain the reports including modifying as needed.

9.1 Conduct Reports Working Sessions and Develop List of Required Reports

Throughout the Project, [Contractor] will ensure that the System gathers the data required to produce reports needed by the County. This includes areas such as, but not limited to:

- Election Operations
- Quality Assurance
- System Administration and Security

Reports may take different formats such as:

- Data extracts into CSV, PDF, JSON, or other file formats
- Summaries
- Dashboards

[Contractor] will work with the County to identify report areas and stakeholders who should participate in [Contractor]-facilitated report working sessions. At a minimum of one (1) month prior to reporting working sessions, [Contractor] and the County will confirm sessions, including area(s) to be covered by session, schedule, and County attendees.

[Contractor] will facilitate working sessions for each area and a follow-up session, as required, to determine the list of reports required for Go-Live. [Contractor] will prepare a final, prioritized (e.g., critical for Go-Live, etc.) list of all required reports. [Contractor] will identify opportunities to consolidate reports (i.e., into ad-hoc, parameter driven reports).

[Contractor] will review the draft List of Required Reports with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

After the working sessions are completed and the List of Required Reports approved by the County, [Contractor] will update the Project Schedule (Deliverable 1.1.2), as needed, to reflect the schedule and resource requirements to complete the activities associated with developing the specifications, designing, building, validating, and testing all reports on the List of Required Reports.

Deliverable	I9.1 List of Required Reports
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

We have reviewed the inventory of reports provided in the Procurement Library and propose an approach where The Canton Group will work jointly with the County to meet your reporting needs through a combination of business intelligence and embedded analytics. We believe that delivering business analytics to your end users requires that the County fully participate and become engrained with The Canton Group to complete the Election Data Analysis Platform, ViBE reporting solution.

During the Planning phase of the project, combined teams of the County and The Canton Group staff will conduct discovery workshops to review the County's inventory of reports, their function, and user base in more detail. These discovery workshops will help the project understand the

reports that require development and those that can be replaced with another data access source such as an existing online inquiry screen or dashboard. After the discovery workshops and report disposition is complete, we submit the final List of Required Reports.

9.2 Develop Reports Specifications

[Contractor] will document and develop Report Specifications for each report identified in the List of Required Reports (Deliverable I9.1). This includes:

- Providing an inventory of all available, prebuilt reports
- Providing a future state plan for the County's production system reporting
- Mapping available reports to required reports in the future state plan
- Identifying gaps and required modifications to existing production reports or rules to address County's report requirements

Deliverable	I9.2 Reports Specifications
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

During the planning phase, the team establishes the guidelines in place which are applicable to all the reports (headers, placement of minerva, footers, etc.). As The Canton Group and the County reviews inventory of existing reports during discovery workshops, team captures the report specification as acceptance criteria for the final version of the report. The acceptance criteria addresses the following:

- Report completeness: Are all the fields available as specified (parameters, values, etc.)?
- Authorization: Who should be authorized to view this report?
- Accessibility: Is way the reports can be approached by the user intuitive?
- Report lay-out: Is the lay-out of the report as specified and does it make sense?
- Performance: Is the performance of executing the report and navigating within the report acceptable?

List of required reports along with report acceptance criteria are managed as User Stories and Product Backlog for The Canton Group reporting team. At the end of discovery workshops, The Canton Group submits the Reports Specification to the County for review and approval.

9.3 Design, Build and Test Reports

[Contractor] will provide all reports identified in the List of Required Reports (Deliverable I9.1) either through an available production report, by modifying an existing production report, or by developing a new custom report.

[Contractor] will:

- Manage all report requests using a tracking tool and provide reports according to the Project Schedule

- Work with the County to prioritize custom report requests and provide the County with an estimated effort for implementation
- Facilitate weekly reporting meetings with the County to report status of custom report requests and raise issues affecting report creation or maintenance
- Maintain the reports tracker for use on the weekly reporting meetings
- Advise and assist the County reporting team, as needed
- Assist in troubleshooting issues with custom reports in production
- Modify and test reports

[Contractor] will define test scripts and data for the County to validate that designed reports meet the requested intent. [Contractor] will review the reports with the County and gather feedback. [Contractor] will incorporate the County's feedback, modifying the reports as needed.

Deliverable	I9.3 Reports
Delivery Frequency	Ongoing until all reports identified in the List of Required Reports (Deliverable I9.1) are complete

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group encourages report work to be performed jointly in an effort to enhance the County's report development skills moving forward. Our knowledge transfer activities start with tool specific training during the Planning phase of the project. They continue with your employees working directly with our reporting team members as reports are designed, developed, tested, and implemented. In collaboration with the County team, we will identify the various roles and responsibilities of team members and develop a specific knowledge transfer plan so that your team members will be able to take ownership of report development.

Consistent with our project methodology, our reporting team develops and conducts demonstrations of reports in our Agile scrum Sprint Iterations.

As part of our Quality Assurance Model, reports are tested at multiple levels both at information and report level. Election Data Analytics Platform is supported by Information model used as a semantic layer to shield business users from technical nomenclature inherent within the technical layers of a solution. We deploy automation using Talend to cover the following type of tests:

- Metadata testing (e.g., Data type checks, Data length checks, Constraint checks, naming convention checks).
- Data completeness testing (e.g., Row count validation, Aggregate column data values validation, Value distribution validation, Primary key validation, Full-value comparison validation).
- Data quality testing (e.g., Duplicate data validation, Rules validation, Data integrity validation).
- Data transformation testing (e.g., Test transformation procedures, Test transformation results).
- Regression testing (e.g., when Data Definitions change how does it affect the Data Lake).

- End-to-end testing (e.g., Check if Tableau has the same row counts, primary keys, data distribution, and aggregated metrics (min., max., avg.) as data lake and source data).
- Performance testing (e.g., can scale with increased data volumes and ingestion velocity).

Deliverable: Reports are delivered throughout the sprint development cycle until all approved reports are developed.

9.4 Provide Self-Service Reporting Capability

[Contractor] will provide self-service report capabilities that allow election operations to:

- Create their own reports for ad-hoc needs
- Respond to data requests by creating data extracts

Election operations staff must be able to use the self-service capability without assistance from programming staff and require limited training.

[Contractor] will provide the self-service capability by:

- Implementing tooling that is either part of the System or delivered in addition to the System
- Providing an easy to consume information model that helps users navigate the System data model (examples: Voter current, Voter history, Election, GeoData, Event, Petition and List maintenance)
- Segmenting self-service reporting data access from access to the System, such that reporting does not impact performance of the operational system
- Providing a means to publish reports and make them discoverable for other users

[Contractor] will support the County in the development of self-service reports, including review of and feedback on County-created reports.

Deliverable	I9.4 Self-Service Reporting Capability
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group brings our best practices, experience, and tools to help our clients evaluate their reporting needs. Election Data Analytics Platform is an advanced Business Intelligence (BI), analytics, and reporting platform designed and constructed to provide business users the ability to:

- Create interactive analytics and visualizations without the need for advanced programming knowledge through an intuitive user experience.
- Access integrated data using familiar business terminology making use of the data easier for analytics and reporting.
- Run ad-hoc queries.

- Conduct data science activities (e.g., predictive analytics) using interactive features.
- Access an information model that is streamlined and optimized for reports, queries, and analytics encouraging BI/analytics self-service.
- Report against County's consolidated ViBE Solution data integrated with data from other County internal systems.

Deliverable: ViBE's Data Analytics Platform offers an industry leading Self-Service Reporting Capability backed by Tableau and Snowflake technologies.

9.5 Provide Dashboards

In addition to predefined and self-service reporting capabilities, [Contractor] will provide dashboards to support data-driven decision making for executive, management, and operational users.

The dashboards will be organized around KPIs to help staff better plan and manage all functions covered by the System. They must be easy to access, easy to consume, and provide drill-down capability to show the underlying data.

[Contractor] will work with the County to identify stakeholders who should participate in [Contractor]-facilitated dashboard working sessions. At a minimum of one (1) month prior to reporting working sessions, [Contractor] and the County will confirm sessions, including area(s) to be covered by the session, schedule, and County attendees.

[Contractor] will provide the dashboard capability by:

- Implementing tooling that is either part of the System or delivered in addition to the EMS (e.g., third-party analytics tool, interfaces)
- Develop an initial set of KPIs and sample dashboards to facilitate working sessions
- Providing a means to add additional dashboard elements over time

After each session, [Contractor] will hold follow-up sessions, as required, to validate the dashboards and their use to manage election operations.

For some dashboards, [Contractor] may be required to combine EMS data with other data in the County's data warehouse or [Contractor] may be required to share EMS data to County's data warehouse.

Depending on the defined purpose, dashboards may be one of the following types:

- Near real-time
- Delayed refresh
- Historical

Deliverable	I9.5 Dashboards
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The ViBE Data Analytics Platform uses Tableau to create analytics that can be embedded into the application and are available as Dashboards. Embedded analytics bring information closer

to the user with rich content and visual information that can facilitate decision-making and analysis. With our reporting and analytics tools and experience, we can help the County develop simple to complex analytics with a variety of data visualizations such as bar charts, pie charts, line graphs, maps, tree maps, and bubble charts. The embedded analytics user view is governed by role-based configurations. Furthermore, analytics support row level security allowing users only see information based on their role assignments.



The figure above is an example of an analytic embedded within Election Data Analytics Platform where a user can easily see key performance indicators on variety of data visualizations.

Deliverable: ViBE's Data Analytics Platform offers an industry leading embedded analytics (dashboard) Capability backed by Tableau and Snowflake technologies.

10.0 Training and Knowledge Transfer

Effective training must provide users with the required skills to use the EMS, including any operational process changes. [Contractor] will be responsible for conducting comprehensive training of all end users as well as for providing Train-the-Trainer trainings.

[Contractor] will ensure knowledge transfer occurs to key County staff. This includes identifying key roles (e.g., County operational staff, County technical staff, County training staff, etc.) early in the Project and actively engaging them throughout to ensure they receive the knowledge required to fill their role. [Contractor] will provide checkpoints to ensure the required knowledge is being transferred and will establish corrective action plans, where required.

10.1 Plan for Training and Knowledge Transfer

[Contractor] will be responsible for leading the planning activities to prepare for trainings and knowledge transfer. [Contractor] will coordinate training efforts with election subject matter experts who will provide policy and practice support to [Contractor] and be present at trainings to provide input, as necessary, regarding practice and policy questions or implications. [Contractor] will develop a Training and Knowledge Transfer Strategy and the Training and Knowledge Transfer Plan to execute the agreed upon Strategy.

10.1.1 Define the Training and Knowledge Transfer Strategy

In collaboration with the County, [Contractor] will define a learner-centric Training and Knowledge Transfer Strategy to establish the direction and purpose for training and knowledge

transfer activities. The Training and Knowledge Transfer Strategy will define the approach the County and [Contractor] will follow to effectively train end users, including how trainings and each trainee's competence will be evaluated.

The Training and Knowledge Transfer Strategy will include, at minimum, the following elements:

- Vision, goals, and objectives
- Training methodology
- Approach to develop training curriculum and training materials
- Approach to access training tools and materials
- Approach to provide knowledge transfer
- Guiding principles that will govern training and knowledge transfer activities
- Training and Knowledge Transfer team(s) structure
- Project risk and risk factors specific to training
- Logical groupings of end users to be trained
- Training metrics and a description of the methodology to evaluate effectiveness of the trainings

[Contractor] will review the draft Training and Knowledge Transfer Strategy with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	I10.1.1 Training and Knowledge Transfer Strategy
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group is committed to development of most effective training that will provide users with the required skills to use the EMS, including any operational process changes. We understand and agree to be responsible for conducting comprehensive training of all end users as well as for any transfer of knowledge and/or Train-the-Trainer sessions. We will ensure that appropriate knowledge transfer occurs to key staff from the County.

This discussion anticipates two different kinds of training and knowledge transfer. The first and the largest category has to do with the preparation of materials and training on the functionality and use of the EMS. The second category has to do with the transfer of O&M of the EMS system and its associated help desk to the County. The following discussion will first deal with strategy and strategy development related to the use of the EMS.

Our planning activities to prepare for training and knowledge transfer and to build our overall training strategy regarding use of the EMS will be initiated at the project onset. This will begin when we validate Use Cases. We will use those forums to deploy a parallel first meeting of the Client Super User/Functional Area Expert (FAE) groups in each defined Functional area – as nominated by the Executive leadership/Contract Management (EL/CM) group. This will allow us to correlate each use case to appropriate training functional groups, and to design logical groupings for that training. This will also provide information to build a training and knowledge transfer plan, and the basis of our Training Strategy. The Super User/Functional Area Expert

designations will provide our project with a core group who will be used throughout the project to define system design, define training groups and requirements, and become the trainers and coaches to support ultimate deployment. In many ways this will provide for real-time knowledge transfer and provides another part of our strategy.

Consultation with the Executive leadership/Contract Management (EL/CM) group will be used to develop a vision for this training initiative, and to refine the goals and objectives defined here.

Our initial project training methodology – including the approach to develop training curriculum, tools, and training materials – will be based on several things. It will be based first on our considerable experience in past projects of this type; secondly based on the training experience of our consulting team and of the training staff at LA CCR; and finally on the lessons learned by LA CCR in its VSAP and similar efforts. While the introduction of new tools and methods for training may add a great deal, we recognize that the development of a training model that is most supportable and familiar to the County is also a key to its success. For this reason, we will use discussion with the Executive leadership/Contract Management (EL/CM) group as a launching pad to formalize our training strategy, blending all the cited components.

The work described in this section will be directed toward incorporating all the analysis, examination, discussion, and decisions described, and including those in an initial draft Training and Knowledge Transfer Strategy which will be submitted to the County for review and feedback. We will then incorporate the County's feedback and submit a final version for approval.

The approach we take to developing and providing access to training materials will be a basic part of the strategy document. This approach will be derived from our own experience in past projects, from the training experience of our consulting team and the training staff at LA CCR, and from the lessons learned by LA CCR in its VSAP and similar efforts. While any of this could be modified, we are initially planning to build the training curriculum for each unit at the conclusion of each sprint, and conclusion of its design and testing. At that time the subject matter experts who assisted in the sprint will be convened, and will be asked to work with Consulting staff to prepare its training materials. These materials will be developed and held in a library, for later large-scale training of all users in their specific functional and role-based EMS system applications, at the time of planned deployment and use of these functionalities. These training activities are initially planned to be at the end of project Phase 1 and Phase 2 "go-live".

Part of this activity will include production of a training dataset to be deployed to the training environment. This activity will also include providing a plan to provide appropriate testing environments to use during training activities.

The logical groupings of the various training components provided in each sprint (or 'Epic') will likely be based on a determination of which functional groups within the Elections Operations Bureau and its external partners use them for that defined outcome. For example, Voter Roll management will likely include Registration, List Maintenance, and Notices functions. Likewise, Ballot Management will likely include VBM, CVR, Provisional, and Standard functionality. These proposed training groups will be documented after initial OCM focus group meetings with Super User/Functional Area Expert (FEA) groups in each defined functional area, and the specific personnel needing each training will be designated by supervisors. These proposed functional training groupings will likely occur in two phases of the project, with the goal of providing this training two weeks prior to its intended use. This is in line with our project philosophy of just-in-time training, which maximizes the uptake of needed skills while providing for real-time feedback that the skills have been transferred, and which is another key part of our initial strategy planning.

Following this strategy, we plan to work with Super User/Functional Area Expert (FEA) groups to design training at the conclusion of each sprint. A format for each unit will be developed that will begin with a document of differences between the DIMS interface and the new EMS interface. It will also include:

- Course Outlines: A description of the scope of the course material.
- User Guides: A quick reference on the module, with references for further source material, including both instructional slides and videos.
- Instructional videos or slide presentations: These may include YouTube-styled videos, (whether on a private or public server) WebEx recorded training sessions, or power point presentations. These will be designed to walk users through the use of the new functionality.
- User Manual Instructional Pages: These will consist of documents and graphic illustrations and will be indexed in a searchable format.
- Train-the-trainer materials: Since our model is based on identification of Super Users as trainers in the initial project start-up, and involvement of those Super Users throughout project deployment, our train the trainer materials will be limited to learning objectives, training tips, and supplemental trainer references. This may be modified in future training plan updates depending on project needs.

A matching process to the above will be used in knowledge transfer regarding the transfer of O&M of the EMS system and its associated help desk to the County.

All the above noted materials for EMS functional users are considered the means used to provide access to users. The access to and positioning of these materials will need to be determined as a part of implementation and will be addressed in knowledge transfer. For example, a web-based training library is initially favored, in an acceptable cloud-based system or systems. Training materials could also be located on the County intranet, where a searchable database may also be desired. The overall strategy will be to provide training materials in multiple formats, to best serve users with different preferred learning styles.

Learning objectives will be developed for each sprint training module, and skills transfer criteria will be established using those objectives, with corresponding skills exercises. A small test class for each module will be created and conducted, using the skills exercises at its conclusion to verify the quality of materials. Any corrections needed to materials will be made at that time. This strategy will provide quality assurance for later knowledge transfer, and it will be supplemented by use of the skills exercises at the conclusion of later “all-staff” training.

The Training and Knowledge Transfer team(s) structure will be as noted above, using a core of Super User/Functional Area Expert (FEA) groups in each unit development and deployment, and following up with each group to develop and test training materials for each module. This will be done under the direction of the Consulting Training and Knowledge Transfer lead, and the support staff, and results will be reported back to the project manager and the Executive leadership/Contract Management (EL/CM) group.

Project risk and risk factors specific to training will have been obtained in the risk identification and development of a risk management plan, as discussed in Section 2.1.1 and this will be monitored by The Canton Group’s OCM lead.

Training metrics will be based on the skills exercises, both in the pilot class and in subsequent classes, and will be a part of the project scorecard.

The second category of training and knowledge transfer has to do with the transfer of O&M of the EMS system and its associated help desk to the County. While the timing of this is uncertain due to the possible optional contract extensions, this discussion will relate to the strategy of this transfer only.

Three months prior to the likely closure of this contract, we will be expected to have a stable and mature approach and deployment of its software, architecture, and help desk functions, and an able staff in place to carry out these functions. At that time, a transfer meeting will need to be scheduled, involving LA CCRR and its assigned staff. A training and transfer plan will be established as a work breakdown structure, with a schedule, tasks, roles and responsibilities. A transfer initiative manager will be named to oversee the planning and completion of all these tasks, to develop risk identification and risk management, and to provide regular reports to the Executive leadership/Contract Management (EL/CM) group on task completion and results. Appropriate modifications of the plan will be recommended and implemented based on Executive Leadership feedback.

In scheduling both categories of trainings, we will consult with the County prior to final schedule selection, to ensure staff training is conducted in a manner that is least disruptive of normal election operations. As a part of overall training management, The Canton Group will work with County staff to select a software tool that best supports generation, presentation and maintenance of computer-based training.

Deliverables:

Documentation and submission of draft training and knowledge transfer strategy to the County (regarding materials and training on the functionality and use of the EMS) for review and feedback.

10.1.2 Develop the Training and Knowledge Transfer Plan

[Contractor] will develop and deliver a Training and Knowledge Transfer Plan to execute the Training and Knowledge Transfer Strategy as defined in Deliverable I10.1.1. The Training and Knowledge Transfer Plan will include, at minimum, the following elements:

- Roles, responsibilities, and assignments of both the County and [Contractor] personnel involved in training and knowledge transfer
 - Includes the different type of trainers required and respective quantities
 - Includes the minimum competencies for the County trainers, including approach for remediation of gaps related to County personnel skills
- Types of training (e.g., troubleshooting, technical training, scenario and role-based end user, train-the-trainer, etc.) and the audience for each
 - Audiences will include, at minimum, “Train-the-Trainer” trainers, County end users (including County Level 1 Help Desk staff), and the Executive Team
- Details for recommended courses for each type of training and knowledge transfer activities, including:
 - Course name
 - Objective
 - Description and course outline (e.g., specific topics to be covered, etc.)
 - Delivery method and activities (e.g., classroom, video, other media, etc.)

- Duration
- Intended audience
- Maximum number of participants in each course
- Corequisites and prerequisites
- Evaluation methodology to test participant competency and provide opportunities for course improvement
- Overview of the tools and training materials to be employed including workbooks, handouts, evaluation material, computer-based training, and training database to store completed training materials
- High-level projections for the physical space required to conduct trainings, including any hardware or infrastructure requirements
- Training schedule including:
 - Logical sequence of how content will be delivered
 - Number of days
 - Preliminary agendas
- Training maintenance and support plans including how trainings will be updated to account for any regulatory or procedure changes

[Contractor] will adjust the Training and Knowledge Transfer Plan, as necessary and at any point throughout the Project life cycle.

Deliverable	I10.1.2 Training and Knowledge Transfer Plan
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Immediately following approval of the training and knowledge transfer strategy regarding materials and training on the functionality and use of the EMS, The Canton Group will develop a schedule for the needed training associated with completion of each sprint (or ‘functional unit’), and its associated all-staff training to be scheduled near the end of Project Phase 1 and Phase 2.

It is expected that this training plan will also restate and incorporate the class development methodology and structure as outlined in the previous strategy section but updated with joint decisions reached in discussion with the Executive leadership/Contract Management (EL/CM) group that will modify the plan. As initial training pilots are conducted, there will be direct experience and learning about what works best that can be incorporated in Training Plan updates.

The first training plan will be created and submitted for review and approval by the Executive leadership/Contract Management (EL/CM) group no later than six months after project initiation, and this plan will be updated and resubmitted to the executive group monthly afterwards. This will ensure its most effective deployment and the greatest success of knowledge transfer. In this process, the Consultant Training Lead will be coordinating training efforts with election subject matter experts who will provide policy and practice support to The Canton Group and be present

at trainings to provide input, as necessary, regarding practice and policy questions or implications.

As requested in the statement of work, each of our Training and Knowledge Transfer Plans will include the following elements, and in a progressive elaboration based on the continuing refinement of project knowledge (as presented throughout our response) and based on the learning from first pilot class delivery. Elements will cover:

- Roles, responsibilities, and assignments (immediate and prospective) of both the County and The Canton Group personnel involved in training and knowledge transfer, including resumes of the assigned contractor trainers.
- A characterization of the different types of trainers required and the numbers to be used for each immediate or prospective class.
- The competencies for the selected trainers from the County and any advanced training or preparation or train-the-trainer needed.
- A listing of the types of training planned, their proposed schedule, and the projected audience by position, function, and current area of assignment.
- Detailed information regarding each type of training and/or knowledge transfer activities that will include:
 - Course name.
 - Objective.
 - Description and course outline (e.g., specific topics to be covered, etc.) including the logical sequence of how content will be delivered, and a preliminary agenda IF the class is to be offered within the next 30 days.
 - Delivery method and activities (e.g., classroom, video, other media, etc.).
 - Duration (number of hours or days) and planned schedule.
 - Intended audience.
 - Maximum number of participants in each course.
 - Corequisites and prerequisites.
 - Evaluation methodology to test participant competency and provide opportunities for course improvement.
 - Overview of the tools and training materials to be employed including workbooks, handouts, evaluation material, computer-based training, and training database to store completed training materials.
 - High-level projections for the physical space required to conduct training, including any hardware or infrastructure requirements.

No later than the scheduling of the 'all-staff' training at the end of Phase 1 and Phase 2 of this contract, a supplement will need to be created to the Training Plan to address Training maintenance and support plans for each delivered area. This supplemental documentation will address the continuing management of training materials, the selection and training of new Super Users/Functional Area Expert (FAE) groups in each defined Functional area, and a methodology and plan for how trainings will be updated to account for any regulatory or procedure changes.

A specific training and knowledge transfer plan regarding transfer of O&M of the EMS and its associated help desk to the County will be submitted at least six months prior to the proposed transfer. It will be submitted to the Executive leadership/Contract Management (EL/CM) group for review and feedback. The report will follow the same structure as noted above and it will be considered final only after formal approval.

In carrying out this activity, we will ensure the appropriate transfer of all training elements. This will include managing and support of all training datasets and testing environments that will be used during subsequent training activities.

Deliverables:

- Initial training plan will be created and submitted for review and approval by the Executive leadership/Contract Management (EL/CM) group no later than six months after project initiation.
- Updates to the Training Plan submitted to the executive group monthly afterwards after the initial plan, following the format specified above.
- Supplemental Training Plan to address Training maintenance and support plans for each delivered area at the end of Phase 1 and Phase 2 of this contract.
- Documentation and submission of draft training and knowledge transfer plan to the County (regarding transfer of O&M of the EMS system and its associated help desk to the County) for review and feedback.
- Approved final training and knowledge transfer plan for the transfer of O&M of the EMS system and its associated help desk to the County.

10.2 Conduct Training

[Contractor] will be responsible for the development of training curricula, schedules, training materials, participant testing methods, and training evaluation materials.

[Contractor] will be responsible for the setup and maintenance of the online training environment that allows trainees to access the EMS. [Contractor] will install and test the training environment and enter all testing data including, at minimum:

- Hardware and operating software
- Networking and communications infrastructure
- Training version of the EMS
- Other hardware and software required to conduct training
- Loading of test data
- Nightly refreshes of the training environment

[Contractor] will be responsible for conducting comprehensive in-person, hands-on trainings for all end users (in logical groups) and for managing all training planning and logistics. [Contractor] will also be responsible for providing Train-the-Trainer trainings to enable County trainers to train future staff. Trainings may occur virtually if previously approved by the County.

[Contractor] will be responsible for facilitating and designing supplemental training sessions with the implementation of any significant changes or upgrades to the System

10.2.1 Develop Training and Knowledge Transfer Materials

[Contractor] will be responsible for developing all Training Materials with input from the County. The Training Materials will include items to be used to conduct the training sessions to ensure training objectives are met. Materials can include presentations, demonstrations, activities, handouts, computer-based training, and other required documentation and media. It will also include participant testing vehicles and training evaluation materials. [Contractor] will provide an electronic copy of all Training Materials to the County.

Training Materials will be required for each of the training types described in Deliverable I10.1.2 Training and Knowledge Transfer Plan. Each individual trainee will receive a copy of the training materials.

[Contractor] will update Training Materials with the implementation of any significant changes or upgrades to the System. Additional training platforms / methods may be required, depending on the County's needs and the specific changes that occur.

[Contractor] will be responsible for developing all Knowledge Transfer Materials with input from the County. The Knowledge Transfer Materials will include items to be used to conduct the knowledge transfer sessions with key County staff. Knowledge transfer sessions are small group sessions where County staff have an opportunity to learn directly from [Contractor] subject matter experts in a hands-on environment. Materials can include presentations, demonstrations, activities, handouts, and other required documentation and media. [Contractor] will provide an electronic copy of all Knowledge Transfer Materials to the County.

Deliverable	I10.2.1 Training and Knowledge Transfer Materials
Delivery Frequency	Once per training type, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group accepts the responsibility for the development of training curricula, schedules, training materials, participant testing methods, and training evaluation materials as noted above in 10.1.1 and 10.1.2. We recognize that the setup and maintenance of the online training environment will be needed, and that it will install and test the training environment and enter all testing data including, at minimum:

- Hardware and operating software.
- Networking and communications infrastructure.
- Training version of the EMS.
- Other hardware and software required to conduct training.
- Loading of test data.
- Nightly refreshes of the training environment.

The Canton Group recognizes and will fulfill its responsibility to conduct comprehensive in-person, hands-on training for all end users (in logical groups) and for managing all training planning and logistics as further outlined in Section 10.1.2. The need for Train-the-Trainer training to enable the County trainers to train future staff is recognized and will be established according to the analysis of need as noted in Section 10.1.1 and 10.1.2. We recognize that

training may occur virtually if previously approved by the County, and such strategies and plans will be incorporated in those updated plans as needed.

We recognize and accept responsibility for developing all Training Materials with input from the County, according to the training plans as approved. Such training may include presentations, demonstrations, activities, handouts, computer-based training, and other required documentation and media as described above. It will also include participant testing vehicles and training evaluation materials. When in-person training is scheduled, each individual trainee will receive a copy of the training materials.

The Canton Group recognizes and accepts that it will provide an electronic copy of all Training Materials to the County, and these will be stored in the agreed-on cloud-based or intranet-based library location. We will update Training Materials with the implementation of any significant changes or upgrades to the System prior to close of Phase 1 and Phase 2 of this contract. Any reasonable and necessary modification of training materials or methods, and any reasonable and necessary update of training platforms will be included.

The Canton Group recognizes and accepts responsibility for developing all Knowledge Transfer Materials with input from the County, and as referenced in Sections 10.1.1 and 10.1.2 above. Its Knowledge Transfer Materials will include items to be used to conduct knowledge transfer sessions with key staff from the County. We agree with the statement in the scope of work that Knowledge transfer sessions will be small group sessions where the County staff have an opportunity to learn directly from our subject matter experts in a hands-on environment. The methods and materials used in these sessions may include presentations, demonstrations, activities, handouts, and other required documentation and media. As with other materials, The Canton Group agrees to provide an electronic copy of all Knowledge Transfer Materials to the County.

Deliverables:

- Training curricula, schedules, training materials, participant testing methods, and training evaluation materials in hard copy and electronic formats.
- Installation, setup, testing and maintenance of the online training environment.
- Comprehensive in-person, hands-on training for all end users.
- Electronic copy of all Training Materials stored in the agreed-on cloud-based or intranet-based library location.

10.2.2 Conduct Training and Provide Training Metrics

[Contractor] will be responsible for providing comprehensive training to all end users and conducting “Train-the-Trainer” trainings. Trainings will be of sufficient length to ensure adequate comprehension. [Contractor] will provide training “just in time” prior to Go-Live. The County expects a total of two hundred (200) staff will be trained, including one hundred fifty (150) operational end users and fifty (50) IT end users.

End users will include County Level 1 Help Desk staff that will be tasked with handling EMS-related issues. Training will focus on the process County Help Desk staff will use to support end users in resolving EMS issues that are referred to the Help Desk. For issues that are best addressed by specialists employed by [Contractor], [Contractor] will train the County staff in the manner and means by which such issues to Help Desk Level 2 are to be escalated and the resolution communicated back to the Help Desk Level 1.

After each training, [Contractor] will provide the County with documented evidence of each trainee's competence to use the EMS to conduct their duties. The Reporting of Training Metrics will include training metrics and progress towards achieving training objectives. Metrics may include the number of participants registered to be trained, number of participants trained, and number of participants receiving training certification.

Deliverable	I10.2.2 Report of Training Metrics
Delivery Frequency	Once after each training and final aggregated metrics once all training is complete

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group recognizes and accepts that it will be responsible for providing comprehensive training to all end users and conducting "Train-the-Trainer" trainings as needed. As noted above, the need for Train-the-Trainer training to enable the County trainers to train future staff is recognized and will be established according to the analysis of need as noted in Section 10.1.1 and 10.1.2. The training planning described in the previous sections will ensure that training is of sufficient length to ensure adequate comprehension, especially in view of subsequent and documented skills testing. Training scheduling will be "just in time" prior to Go-Live. Our training planning will include a baseline of two hundred (200) staff to be trained, including one hundred fifty (150) operational end users and fifty (50) IT end users. Some of these training needs will be provided in pilot training sessions.

The training sessions focused on the process the County Help Desk staff will use to support end users (e.g., in resolving EMS issues that are referred to the Help Desk) will initially be planned to occur as a part of the knowledge transfer plan regarding transfer of O&M of the EMS system and its associated Help Desk to the County. That will be planned in detail at least six months prior to the proposed transfer, and a specific training plan will be submitted in advance. We recognize and accept that training for identified Help Desk staff from the County will include the manner and means by which such issues referred to Help Desk Level 2 are to be escalated, and how that resolution will be communicated back to the Help Desk Level 1. Process guidelines for this activity will be created. All help desk forms, templates, scripts, and procedures necessary for interactive online help of system users will be a part of this transfer.

The Canton Group recognizes and accepts that documented evidence of each trainee's competence to use the EMS to conduct their duties will be made available to the County after each training. We will provide the County with the Reporting of Training Metrics and progress towards achieving training objectives on a regular basis. Metrics will include the number of participants registered to be trained, the number of participants trained, and number of participants receiving training certification.

Deliverables:

- Comprehensive training for all end users, and train-the-trainer support as noted in the sections above.
- Training sessions focused on the process the County Help Desk staff will use to support end users in resolving EMS issues that are referred to the Help Desk, and that will be fully described in submitted Training Plans.
- Monthly reports of training metrics, including progress towards achieving training objectives, and skills transfer success rates within each training cohort.

- Post-training reports to the County on each trainee's competence to use the EMS to conduct their duties.

10.2.3 Conduct Knowledge Transfer

[Contractor] will be responsible for conducting knowledge transfer sessions with key County staff. The County expects up to fifty (50) staff will participate in knowledge transfer sessions. Knowledge transfer sessions will be of sufficient length and interactivity to ensure sufficient knowledge comprehension and skill competency. Sessions will include no more than five (5) County staff per session.

Upon completion of all knowledge transfer sessions, [Contractor] will prepare a Knowledge Transfer Report documenting the sessions conducted, County participants in each session, and the topic(s) covered in each session.

Deliverable	I10.2.3 Knowledge Transfer Report
Delivery Frequency	Once upon completion of all knowledge transfer sessions

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group recognizes and accepts that it will be responsible for conducting knowledge transfer sessions with key staff from the County, and that these sessions will be fully defined in the approved and updated training strategy and training plan documents as described above, and as fully articulated in the sections above. Our team has planned for this need to include up to fifty (50) staff who will participate in these knowledge transfer sessions. Knowledge transfer sessions will be of sufficient length and interactivity to ensure sufficient knowledge comprehension and skill competency, and post training surveys will be used to ensure the successful transfer of knowledge.

Issues raised in post-training evaluations will be logged and responded to in a reasonable period, and resolution will be recorded. It is acknowledged that each of these sessions will include no more than five (5) staff from the County per session, unless different numbers are approved in formal training plans, as described in Section 10.1.2.

Upon completion of all knowledge transfer sessions, The Canton Group will prepare a Knowledge Transfer Report documenting the sessions conducted, participants from the County in each session, and the topic(s) covered in each session.

Deliverables:

- Knowledge transfer sessions as defined in Training plan.
- Post training surveys to ensure the successful transfer of knowledge.
- Knowledge Transfer Reports documenting the sessions conducted.

10.2.4 Provide User Guide and Help Documentation

[Contractor] will be responsible for providing User Guide and Help Documentation for the System to cover all aspects of the EMS functions. The User Guide will be available electronically (e.g., through the System, online) with the ability to print if necessary.

The User Guide and Help Documentation should follow principals of good information design and will explain to the user what the functions are and how the System is intended to be operated. The User Guide and Help Document will include:

- Searchable content
- Step-by-step sequences
- Simple, plain language
- Logical hierarchy and flow
- Visual content including screen shots and graphics
- Context sensitive help
- Keyword Index and Table of Contents
- Accessibility

[Contractor] will update the User Guide and Help Documentation throughout the Project life cycle to reflect applicable changes based on new Releases, system enhancements, and system updates.

Deliverable	110.2.4 User Guide and Help Documentation
Delivery Frequency	As needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group recognizes and accepts that it will be responsible for providing a User Guide and Help Documentation for the System to cover all aspects of the EMS functions, as described in Section 10.1.1 and subsequent sections. The User Guide will be available electronically (e.g., through the System, online) with the ability to print if desired by users.

The User Guide and Help Documentation will follow principals of good information design and will explain to the user what the functions are and how the system is intended to be operated. This is further described in Section 10.1.1 above. The User Guide and Help Document will include:

- Searchable content.
- Step-by-step sequences.
- Simple, plain language.
- Logical hierarchy and flow.
- Visual content including screen shots and graphics.
- Context sensitive help.
- Keyword Index and Table of Contents.
- Accessibility features will address reasonable accommodation agreements with existing users.

The Canton Group agrees to update the User Guide and Help Documentation throughout the project life cycle to reflect applicable changes based on new releases, system enhancements, and system updates.

Deliverables:

- User Guide and Help Documentation for the System to cover all aspects of the EMS functions.
- Necessary updates to the User Guide and Help Documentation throughout the Project life cycle.

10.2.5 Provide Level 1 Help Desk Scripts

In collaboration with the County, [Contractor] will be responsible for developing Level 1 Help Desk Scripts for use by the County. Scripts should cover all common end user questions and triaging to Level 2, which is the responsibility of [Contractor].

[Contractor] will update the Level 1 Help Desk Scripts throughout the Project life cycle to reflect applicable changes based on new Releases, system enhancements, and system updates.

Deliverable	I10.2.5 Level 1 Help Desk Scripts
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group recognizes and accepts that it will be responsible for collaboratively developing Level 1 Help Desk Scripts for use by the County, as a part of its planned knowledge transfer. Scripts will cover all common end user questions and triaging to Level 2. We agree to update the Level 1 Help Desk Scripts throughout the project life cycle to reflect applicable changes based on new releases, system enhancements, and system updates.

Deliverables:

- Level 1 Help Desk Scripts, delivered as part of the knowledge transfer sessions with key County staff, as noted above.
- Updates to the Level 1 Help Desk Scripts throughout the Project life cycle to reflect applicable changes.

11.0 Implementation

[Contractor] will implement the System for the County's use by the 2024 Presidential Primaries. [Contractor] and the County will deploy the EMS and included Third-Party Products in accordance with the Deployment Plan. Deployment will include cutover to the EMS and Third-Party Products, data conversion, activation of interfaces, providing Go-Live support, resolving issues, and conducting post Go-Live assessment.

11.1 Plan for Production Release

[Contractor] will develop an extensive and carefully structured plan to provide services for the implementation of the System. These services will include organization and execution of cutover activities necessary to transition the County to the new System.

11.1.1 Develop Deployment Plan

[Contractor] will develop a detailed Deployment Plan to reflect all activities that affect deployment of the System into the production environment. The Deployment Plan will document, at minimum, the following elements:

- All tasks required to make a successful cutover to the production environment including, but not limited to:
 - Data conversion activities
 - Training activities
 - Help Desk preparation activities
 - Activation of integration interfaces
 - Activation of batch cycle processes
 - Activation of hosting services
 - Resolution of all identified security issues
- Cutover activities checklist
- Scope of deployment (if phased implementation)
- Roles and responsibilities during each deployment
- Resource (e.g., staff, tools, infrastructure, etc.) requirements
- Deployment schedule including start and end dates, key milestones, and dependencies by phase (if applicable)
- Go/No-Go decision model
 - The County expects zero outstanding Severity 1, 2 or 3 issues prior to cutover
- Post Go-Live conditions for transition to Warranty
- Deployment closeout checklist
- Risks that may affect deployment with respective contingency plans to mitigate
 - Contingency plans will include one or more alternate solutions for the County's consideration
 - Upon approval by the County, [Contractor] will be responsible for executing any contingency plans should issues arise during deployment
- Strategies for business and System continuity planning and backing out resulting from deployment issues

[Contractor] will review the draft Deployment Plan with the County and gather feedback.

[Contractor] will incorporate the County's feedback prior to release.

[Contractor] will provide in-person support throughout the entire deployment and stabilization period.

Deliverable	I11.1.1 Deployment Plan
Delivery Frequency	Once per deployment (if phased implementation)

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group proposes a three-phase implementation for the LA EMS Project. It is essential in this approach to maintain integrations between ViBE and systems that are not replaced such VoteCal. The Canton Group will create a detailed Deployment Plan that captures the counties requirements:

- Deployment Readiness Checklist.
- Cutover Activities Checklist.
- Implementation Approach (Scope of functionality available and system replaced in each phase).
- Roles and Responsibilities for each deployment.
- Resources requirements.
- Deployment schedule including start and end dates, key milestones, and dependencies by phase (if applicable).
- Go/No-Go decision model (ensure zero outstanding Severity 1, 2 or 3 issues prior to cutover).
- Post Go-Live conditions for transition to Warranty.
- Deployment closeout checklist.
- Risks that may affect deployment with respective contingency plans to mitigate.
- Contingency plans will include one or more alternate solutions for the County's consideration.
- Strategies for business and system continuity planning and backing out resulting from deployment issues.

The Canton Group will draft the deployment plan in collaboration with the County Staff during the Planning Phase. After the deliverable walkthrough and when the County feedback is sufficiently addressed, our team will submit for approval.

11.1.2 Prepare Production Readiness Report

[Contractor] will develop, review, and finalize a production readiness framework that will allow [Contractor] and the County to assess Go-Live readiness from operational, functional, and technical perspectives including:

- Functional readiness assessment framework including status of the System, plan for resolution of remaining issues, production support and scheduled downtime plans, and Help Desk status

- Technical readiness framework including guidelines to assess the County infrastructure, hosting infrastructure, plans and procedures for System backup/restore, security, and performance monitoring

[Contractor] will assess production readiness against the approved framework and prepare a Production Readiness Report that documents any risks or issues that may affect successful deployment. [Contractor] will recommend mitigation or resolution plans to address identified risks or issues, respectively, and execute against the plans upon approval from the County.

Deliverable	I11.1.2 Production Readiness Report
Delivery Frequency	Once per deployment (if phased implementation)

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will develop review and finalize a production readiness framework that will allow The Canton Group and the County to assess Go-Live readiness from operational, functional, and technical perspectives.

The Functional readiness assessment framework helps answer the following questions:

- Is the system functionally and features complete as per the requirements of the project?
- Did the system pass Quality Tests?
- Did the System pass User Acceptance Tests?
- Is there a plan for resolution of issues remaining?
- Are there plans for production support?
- Are there plans for schedule downtime?
- Are there Help Desk status plans?
- Is the system compliant with regulatory standards?
- Is there a fallback plan in place?
- Are the people participating in the process trained and knowledgeable of their responsibilities, to minimize human errors?
- Is there a backup person for everyone involved in the process?

Technical readiness framework includes guidelines to assess:

- County and hosting infrastructure. Our solution is deployed in the cloud. The readiness plan asks for verification that the DevOps steps are in place. Ensure that the Virtual Servers, storage, networking, application gateways, firewall, and all the resources required by the application are available, to meet the requirements, tested and operational ready.
- The security plans: Static and Dynamic tests.
- Software and Operating systems patched and up to the most current versions.
- Operations staff should be trained on supporting the infrastructure.
- The system meets the SLAs in the performance tests.

- The monitoring systems are operational.
- The system meets the build criteria.
- Verification of required dependencies.
- Detailed plan for the Build and Release processes.
- The plans and procedures for backup and restore of the system.

The Canton Group will assess production readiness against the approved framework and prepare a Production Readiness Report that documents any risks or issues that may affect successful deployment.

The Canton Group will recommend mitigation or resolution plans to address identified risks or issues, respectively, and execute against the plans upon approval from the County.

11.2 Develop the Disaster Recovery Plan

[Contractor] will develop and provide a Disaster Recovery Plan and related services, including System and software backups as well as backups of County data for the System.

[Contractor] will provide all services related to issues pertaining to disaster recovery. The range of services covers the spectrum from partial loss of function or data for a brief amount of time to a “worst-case” scenario in which a man-made or natural disaster or IT failure may result in the loss of the entire System.

In collaboration with the County, [Contractor] will categorize System disruptions by the severity of the event. The Hosting (On-Prem or Cloud) Statement of Work ([Section K.2](#) of the Technical Response) captures the severity levels with expected incident response and resolution times. These expectations are meant to drive the System architecture, resiliency, and disaster recovery capabilities to meet the desired System availability levels.

[Contractor] will develop the Disaster Recovery Plan, which will serve as the master plan when responding to System outages, ensuring continuity of business operations, and recovering from a disaster.

[Contractor] will test critical recovery connections to external third parties.

[Contractor] will ensure key Project resources, both of from [Contractor] and the County, are trained in recovery procedures.

The Disaster Recovery Plan will include, at minimum, the following elements:

- Overview of the technical infrastructure to achieve the expected levels of availability. The County anticipates a combination of a High Availability (HA) configuration on the primary site, with failover capabilities to a secondary site, within the Recovery Time Objective (RTO) and Recovery Point Objectives documented in the Hosting (On-Prem or Cloud) Requirements Matrix ([Section K.1](#) of the Technical Response).
- Business impact analysis of the System functionality and the County data for the System that identifies and prioritizes the critical systems and components
- Data replication procedures from the primary site to a failover site to replace the primary site in case of a catastrophic failure
- Data backup/recovery procedures for backing up, retrieving, and restoring exact copies of the most current County data, including non-baseline configurations for all components of the System and integration components

- Includes procedures to ensure the physical safety of media upon which the System and County data for the System is backed up
- Includes approach to secure storage of all backup media, both on-site and off-site, and proposed response time for recovery of the media from off-site storage
- System backup/recovery procedures for backing up, retrieving, and restoring the System
 - Includes approach for the backup and recovery of the System, both on-site and off-site, including the proposed response time for recovery
- Emergency mode of operations that provides the procedures to enable business continuity, protect the security of electronic information during and immediately after an emergency, and recover from the emergency mode of operation with minimal impact on end users
- Command and control processes and procedures that delineate specific roles and responsibilities, communication, and actions that [Contractor]'s staff will follow in an emergency
 - Includes escalation plans that specify the necessary points of contact and decision-making authority at the County
- Procedures for performing disaster recovery testing during Implementation and post-implementation when implementing major changes, and at least every six (6) months
 - Each test will continue until all test results are approved by the County
 - In addition to the testing during Implementation, the disaster recovery / business continuity testing will be conducted annually. Each test will include:
 - Automated switch-over to the backup site to meet performance requirements under full load in the hosted environment for Production Use
 - Interfaces or integrations to all external systems
 - Test results reports
 - Updates to the Disaster Recovery / Business Continuity Plan
- Procedures for replacing data center facilities, if required by the nature of the disaster or emergency
- Exercise logs that document the calendar day(s) when the Disaster Recovery Plan is tested, the nature of the test(s), problems identified during each test, and corrective actions to be taken
- Revision history that documents any changes made to the Disaster Recovery Plan, including the date and details of the changes as well as the persons responsible for initiating and approving the changes

[Contractor] will verify that all data replications and backups are complete, accurate, and functional.

Deliverable	I11.2 Disaster Recovery Plan
Delivery Frequency	I11.2 Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Business Continuity and Disaster Recovery (BC/DR) is a very important process we implement in our solution. For our solution to be available 99.99% uptime, our strategy started at design time, development and during implementation following a Reactive Architecture: Fault Tolerant, Responsive and Elastic using Messaging for inter service communication. We use Domain Driven Design (DDD) to discover the functional domains and developed stateless Microservice to support and implement each functional domain. We deploy the Microservices in containers (Docker) and they communicate using messaging to remain flexible and scalable. A Kubernetes service manages the containers providing auto scale with a default initial configuration of container replicas. Based on the load to the application and only limited by the resources of the Azure subscription, Kubernetes scales the services horizontally and vertically assuring 99.99% uptime.

Recovery Point Objectives (RPO) refer to the backup frequency of data and other persistence resources that hold the state of the system. Our solution implements a replica of the Production environment in a Recovery Site physically located in a different Azure Geographical Region. We will implement Azure Recovery Site (ARS) to replicate Virtual Machines, Azure Backup to replicate the Data Bases and Data Repository, resulting in a RPO of 15 minutes. To achieve an RPO of 0 minutes of data loss, the backup frequency must be in be real time. In this case, we use our replication methods (stored procedures and triggers) in the transactional database to send in real time the new or modified records to the replica data base. As a record is created, updated, or removed in the transactional database, a trigger is initiated to send the record(s) to insert, update, or delete in the replica database.

Recovery Time Objective (RTO) refers to the duration of time needed to recover the application after a disaster occurs. To meet the 60 minutes or less requirement, the Recovery Site is ready for use anytime (Active-Active DR strategy). The DevOps Release Pipelines will create a copy of the container images in the Recovery Site. The Recovery Site maintains the same Production resources created, implemented, and configured as a mirror of the Production Environment.

Since we replicate the state of the application (data) in real time (0 minutes of data loss), we deploy the latest (most current) Production container images in the Kubernetes Cluster and route the DNS to point to the Recovery Site IP Addresses.

We deploy our solution in the Azure Government, and we use Azure Backup managed services for Voter and election management databases, and application configurations. Once we deploy the solution in Azure Management, we turn on the backup services and automatically Azure backups the database and storage. This solution for built-in backups of Azure provides security to the process and reduces costs by not having infrastructure and management overhead.

Azure backup protects the data from ransomware and only authorized users create critical backups. Azure sends a notification to the administrator in the case of any suspicious activity allowing us to react immediately. If for some reason data is erased, Azure keeps a copy of the backups for up to two weeks so we can recover the data during that period. This meets the Non-Functional Requirement.

The Canton Group Disaster Recovery Plan will include, at minimum, the following elements:

- Overview of the technical infrastructure to achieve the expected levels of availability. The County anticipates a combination of a High Availability (HA) configuration on the primary site, with failover capabilities to a secondary site, within the Recovery Time Objective

(RTO) and Recovery Point Objectives documented in the Hosting (On-Prem or Cloud) Requirements Matrix (Section K.1 of the Technical Response).

- Business impact analysis (BIA) of the System functionality and the County data for the System that identifies and prioritizes the critical systems and components. The SLAs for the system require the implementation of a comprehensive BIA. In this type, the BIA is conducted for all critical components of the system. All of them must be restored in less than 60 minutes with 0 minutes of data loss. The BIA will list all the components of the system at the infrastructure and data levels.
- Data replication procedures from the primary site to a failover site to replace the primary site in case of a catastrophic failure. The plan will contain data replication procedures using Azure and custom replication services, as explained above in the RTO section.
- Data backup/recovery procedures for backing up, retrieving, and restoring exact copies of the most current County data, including non-baseline configurations for all components of the System and integration components.
 - Includes procedures to ensure the physical safety of media upon which the System and County data for the System is backed up.
 - Includes approach to secure storage of all backup media, both on-site and off-site, and proposed response time for recovery of the media from off-site storage.
- System backup/recovery procedures for backing up, retrieving, and restoring the System
 - Includes approach for the backup and recovery of the system, both on-site and off-site, including the proposed response time for recovery.
- Emergency mode of operations that provides the procedures to enable business continuity, protect the security of electronic information during and immediately after an emergency, and recover from the emergency mode of operation with minimal impact on end users.
- Command and control processes and procedures that delineate specific roles and responsibilities, communication, and actions that The Canton Groups staff will follow in an emergency.
 - Includes escalation plans that specify the necessary points of contact and decision-making authority at the County
- Procedures for performing disaster recovery testing during Implementation and post-implementation when implementing major changes, and at least every six (6) months.
 - Each test will continue until all test results are approved by the County. Tests include automated unit tests, integration tests, security tests, smoke tests to determine availability and correct operation of the system.
 - In addition to the testing during Implementation, the disaster recovery / business continuity testing will be conducted annually. Each test will include:
 - Automated switch-over to the backup site to meet performance requirements under full load in the hosted environment for Production Use.
 - Interfaces or integrations to all external systems.
 - Test results reports.
 - Updates to the Disaster Recovery/Business Continuity Plan.

- Procedures for replacing data center facilities, if required by the nature of the disaster or emergency. All data is in the cloud, and to replace the “data center” we will follow Azure procedure for backup and recovery to another subscription (recovery subscription).
- Exercise logs that document the calendar day(s) when the Disaster Recovery Plan is tested, the nature of the test(s), problems identified during each test, and corrective actions to be taken.
- Revision history that documents any changes made to the Disaster Recovery Plan, including the date and details of the changes as well as the persons responsible for initiating and approving the changes.

The Canton Group will verify that all data replications and backups are complete, accurate, and functional.

11.3 Go-Live

For Go-Live, [Contractor] will deploy the EMS and Third-Party Products. [Contractor] will:

- Implement the Deployment Plan (Deliverable I11.1.1)
- Ensure that all data migration activities per Task 7.0 Data Migration are successfully completed
- Facilitate Go/No-Go decisions per the agreed upon criteria
- Track and monitor progress
- Identify, escalate, and help resolve issues

[Contractor] will be required to provide on-site support with personnel who are technically competent to fully support the EMS, including VoteCal integration and data synchronization, to resolve issues during deployment.

[Contractor] will be responsible for:

- Working with the County to track deployment status, identify and escalate issues, and identify resolution plans
- Communicating issue resolution
- Assigning [Contractor] resources to resolve issues and providing additional resources, if necessary, to address issues and execute resolution plans

11.3.1 Prepare Deployment Report

Post Go-Live, [Contractor] will prepare a Deployment Report that captures the execution of the Deployment Plan including:

- Summary of deployment activities and results/outcomes
- Summary of errors and issues identified by [Contractor] or the County
- Summary of lessons learned and action items for [Contractor] and/or the County to consider and complete prior to subsequent deployment(s) of the EMS, if applicable
- Recommendations for process changes to improve the effectiveness of the System
- Recommendations for any improvements to the EMS and/or Third-Party Products

- Summary of items not addressed in the deployment with timeline of completion (if phased deployment)

Deliverable	I11.3.1 Deployment Report
Delivery Frequency	Once per deployment (if phased implementation)

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group Deployment Report will include the following requirements:

- Summary of deployment activities and results/outcomes such as build, release, tests, acceptance criteria.
- Summary of errors and issues identified by The Canton Group or the County. List of all the issues encountered during the deployment process such as build errors, unit test or integration test failures, performance issues, data integrity problems, etc.
- Summary of lessons learned and action items for The Canton Group and/or the County to consider and complete prior to subsequent deployment(s) of the EMS, if applicable
- Recommendations for process changes to improve the effectiveness of the System. If any process is considered not efficient and nor performant, The Canton Group will report on this fact and assess how such process can change to avoid the issues. There should be a timeline to present the new process, so it is in approved and in place before the next deployment.
- Recommendations for any improvements to the EMS and/or Third-Party Products. This will include pipelines scripts improvement, structural data elements migration tools, etc.
- Summary of items not addressed in the deployment with timeline of completion (if phased deployment). Any non-addressed tasks or items should be included in the deployment report. This may be new tasks that require new items such as libraries implementation, or modifications to the data bases or include new scheduled jobs, integration with new external parties, etc. If possible, associate a completion date to include these new tasks in next releases.

11.3.2 Receive Final Acceptance

The System will achieve Final Acceptance when all the following conditions are met:

1. Achievement of California Secretary State certification of VoteCal integration
2. Successful completion of the Tasks and Deliverables in this Implementation SOW and the Hosting SOW
3. Successful completion of all work necessary for the System to be available for Production Use by the County end users
4. Deficiencies identified by [Contractor] or the County have been corrected by [Contractor] in accordance with the Contract
5. Corrections of such Deficiencies have been approved by the County Program Manager
6. Following the County Program Manager's approval of all such corrections, the System has performed for ninety (90) consecutive days in compliance with the Contract, including all performance requirements with any Deficiencies of Error Severity 1 or Error Severity 2 as defined in the Hosting SOW

[Contractor] will provide the Final Acceptance Report, documenting the achievement of Final Acceptance.

Deliverable	I11.3.2 Final Acceptance Report
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will comply with the Final Acceptance conditions mentioned in this section:

- At this moment ViBE is in the middle of the Achievement of the CA SOS certification of VoteCal integration. Our expectation is to be fully VoteCal Integration Certified before the June 2022 Statewide Primary, so we will be meeting this requirement by the deployment date.
- By having a good methodology and our Agile DevOps process, we ensure a successful completion of the Tasks and Deliverables in this Implementation SOW and the Hosting SOW.
- The Technical Architect with collaboration with the DevOps Engineers and the full stack developers, using our Agile process will successfully complete all work necessary for the System to be available for Production Use by the County end users. The definition of complete is a functional, performant, resilient, scalable, and responsive system compliant with the County SLAs.
- The Canton Group or the County will identify any deficiencies and will be corrected following the appropriate procedures corresponding to the deficiency type and in accordance with the contract.
- The Canton Group will work with the County to obtain the County's approval of the deficiency's corrections.

- Following the County Program Manager's approval of all such corrections, the System has performed for ninety (90) consecutive days in compliance with the Contract, including all performance requirements with any Deficiencies of Error Severity 1 or Error Severity 2 as defined in the Hosting SOW. The Canton Group will comply with this request.

The Canton Group will provide the Final Acceptance Report, documenting the achievement of Final Acceptance.



EXHIBIT A.2

HOSTING STATEMENT OF WORK

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Introduction

This Statement of Work (SOW) describes the Services and Deliverables [Contractor] will provide related to Hosting Services for the Election Management System (EMS).

Deliverable Development and Approval Process

This Section specifies a repeating process for developing Deliverables for this SOW. Each deliverable will be developed in accordance with the following [Contractor] obligations:

1. All Deliverables must be developed in the form and format agreed to by the County and [Contractor] using a Deliverable Expectations Document (DED) approved by the County prior to work commencing on the Deliverable. As each Deliverable is submitted, [Contractor] must include a copy of the approved DED as the cover sheet.
2. Develop agendas, coordinate scheduling with the County, and facilitate all necessary sessions (e.g., workshops, meetings, etc.) to develop the Deliverables.
3. Record and analyze the input received from the sessions and distribute results / minutes for review to participants.
4. Prepare drafts of the Deliverables for the County's review.
5. Provide a structured process for the County to provide feedback on drafts, including sessions, as appropriate.
6. Compile and incorporate the County's feedback to the draft Deliverables and prepare revised Deliverables.
7. Distribute the revised Deliverables to the County for review. Obtain and analyze the County's feedback as above and repeat, if necessary.
8. Prepare final versions of the Deliverables including, prior to distribution for approval by the County, validation by [Contractor] that the Deliverables conform to the DED.

After receipt of a Deliverable from [Contractor], the County Program Manager or designee will distribute to the appropriate Project team to review and provide feedback. The County Program Manager or designee will notify [Contractor] in writing with specific changes requested, including a reasonably detailed explanation of the reason(s) why the Deliverable should be modified, in a mutually agreed upon timeframe based on the nature of the Deliverable and the schedule.

1.0 Hosting

1.1 Plan and Prepare for Hosting Services

Team members from [Contractor] and the County will be introduced, and their specific roles described. [Contractor] will provide training, as required, for the County resources related to Hosting Services and will introduce its tools, existing Hosting Services, Hosting-related artifacts, Hosting methodologies, and best practices that it will use throughout this SOW. [Contractor] will define a network connectivity architecture that meets the County's requirements and prepare a Hosting Services Delivery document which articulates its approach to providing Hosting Services.

1.1.1 Conduct Kickoff

[Contractor] will conduct a Hosting Services Kickoff meeting to introduce the County resources to the services covered by this SOW, including the timelines and nature of the work effort that will be required.

Before the Hosting Services Kickoff meeting, [Contractor] will:

- Work with the County to identify all [Contractor] and County resources required to complete the tasks outlined in this SOW
- Develop an agenda, including meeting objectives, for the Hosting Services Kickoff meeting

The Hosting Services Kickoff meeting will cover, at minimum, the following topics:

- The catalog of Hosting Services, licensed software modules, and third-party products (if applicable)
- Hosting Services SOW dependencies
- The tasks, deliverables, and milestones for the planning and configuration of Hosting Services
- The roles and respective assignments of [Contractor] and County resources needed to complete the tasks outlined in this SOW

After the Hosting Services Kickoff meeting, [Contractor] will prepare a Hosting Services Kickoff Summary Report including attendance sheet/roster, observations, opportunities, challenges, and any new items identified as part of the Kickoff.

Deliverable	H1.1.1 Hosting Services Kickoff and Summary Report
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

In order to prepare for the Hosting services needed to support a successful implementation subsequent Maintenance and Support (M&S) services, The Canton Group will follow our best practices for project transitions. This would include spending time reinforcing the Agile software methodology approach, reviewing existing documentation, looking through the code, working

with the County for identification of resources, and developing an agenda and meeting objectives for the Hosting Services Kickoff meeting.

The Hosting Services Kickoff meeting would be attended by all key stakeholders and team members to ensure all members are aligned on the upcoming project goals. During this meeting, there would be a thorough review of a project plan – based on the current understanding by The Canton Group – to cover the tasks, deliverables, and milestones for the hosting services. While reviewing the plan, the team and stakeholders would be strongly encouraged to speak up and add, modify, and/or remove tasks to ensure the project plan covers all necessary elements.

Additionally, the meeting would cover the full scope of hosting services including any licensed modules or third-party products, Statement of Work (SOW) dependencies, and roles and respective responsibilities of both The Canton Group and the County. After the Hosting Services Kickoff meeting is completed, The Canton Group will prepare and distribute a summary report noting the meeting attendance, notes and observations, areas for improvement and opportunities, challenges, and any action items or outcomes identified as a part of the kickoff meeting.

1.1.2 Define Connectivity Architecture

[Contractor] will document and propose a network connectivity architecture to provide the Hosting Services that meets the County's requirements for:

- Delivery to the agreed demarcation point(s)
- Bandwidth
- Uptime
- Latency
- Redundancy within the hosting environment and network connectivity to the hosted environment

[Contractor] will review the proposed network connectivity architecture, which includes a connectivity architecture schematic, with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	H1.1.2 Connectivity Architecture
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The network bandwidth needs for the system play an important role in providing the LA EMS stakeholders timely and reliable services. Our solution introduces a new set of communication characteristics that will be different from the existing systems that it replaces, the interconnected networks should be reviewed, and any changes made to address the bandwidth needs of the LA EMS solution.

The bandwidth recommendations are separated into the following four consumers of network resources as follows:

- Internet for Public Facing services (VIBE GUI).

- Internet for Partner Agency Connectivity.
- Intranet for internal clients.
- VPN/MPLS for Connectivity with VoteCal Services.

The Connectivity Architecture includes the parameters for bandwidth, latency, uptime, redundancy. The delivery of the agreed demarcation points is specified in the Connectivity Architecture.

Network connectivity disaster recovery recommendations will be a collaborative effort with the LA County stakeholders. Metrics will be refined to meet the connectivity requirements.

The Canton Group will review the proposed network connectivity architecture, which includes a connectivity architecture schematic, with the County and gather feedback. The Canton Group will incorporate the County's feedback and submit a final version for approval.

1.1.3 Develop Hosting Services Delivery Document

[Contractor] will develop, maintain, and update a Hosting Services Delivery Document that includes [Contractor]'s approach to the following:

- Transition of Licensed Software from responsibility of [Contractor]'s Implementation team to [Contractor]'s Hosting Services team
- Operation and administration of [Contractor] infrastructure
- Capacity planning and management, including:
 - Storage, network, and processing capabilities
 - Monitoring performance
- If the solution will be deployed to a County on-premise data center, in full, or integrated via a hybrid computing, storage, and services environment that would include County on-premises infrastructure on private cloud, [Contractor's] approach to County infrastructure support, including:
 - Initial and ongoing evaluation and monitoring of County infrastructure and operations
 - At the County's request, diagnostics and validation of County infrastructure and operations
 - Recommendations for improvements to County infrastructure and EMS-related operational procedures
- Management of servers and preventative maintenance, including:
 - Infrastructure, Operating System, and Application Monitoring
 - Upgrade and patch management
 - Capacity management
 - Review and response to audit log issues
 - Optimizing performance
 - Hardware refreshes to remain current with vendor support lifecycles and applicable industry standards
- Performance
 - Infrastructure, Operating System, and Application Performance Monitoring

- Optimizing performance and responding to operational anomalies
- Dynamically allocate resources to accommodate peak demand or workloads
- Maintaining service levels
- Defining and developing alerts (network latency alert, saturation alert, etc.)
- Service Level monitoring and reporting, including:
 - Alerts
 - Service metrics
 - Monitoring tools
 - Service request tracking system
 - Audits
 - Weekly meetings with the County
 - Processes for communicating scheduled outages
- Access management in accordance with Maintenance and Support SOW, including:
 - County user accounts
 - [Contractor] accounts
- Maintaining security, including:
 - Physical security
 - Logical security
 - Security log incident review
 - Periodic vulnerability testing
- Defining procedures for backups and restores, including:
 - Frequency
 - Method
 - Validation
 - Restore checkpoints
- Providing disaster recovery services, including periodic failover and recoverability testing
- Providing business continuity recommendations for the County's consideration during disaster recovery situations

[Contractor] will review the draft Hosting Services Delivery Document with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	H1.1.3 Hosting Services Delivery Document
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will develop, maintain, and update – as appropriate – a thorough Hosting Services Delivery Document, outlining our overall hosting approach. This Hosting Services Delivery Document will detail our proposed FedRamp certified cloud-based hosting solution which will allow for continual upgrades, server patches, compliance with changing security needs and recommendations. Additional processes covered in the document will include evaluation, monitoring, operational and administrative details (e.g., transition of any applicable licensed software), and capacity planning and management (e.g., outlining capabilities and performance monitoring).

The document will cover server management and maintenance, performance, maintaining service levels (including monitoring and reporting), definition and development of alerts, access management, security, and defined procedures for backups and restores. Disaster recovery services and business continuity recommendations will be documented and included. This Hosting Services Delivery Document will be reviewed by the County to gather any feedback related to additions, updates, or modifications needed. A final version of the document will then be provided to the County.

1.2 Configure Hosting Environments

[Contractor] will document and configure the Hosting Environments in accordance with the contents in this SOW.

1.2.1 Prepare Hosting Environments Configuration Document

[Contractor] will prepare a Hosting Environments Configuration Document for all production and non-production environments including:

- Production (including failover nodes and/or sites)
- Development
- Production staging
- Testing, including User Acceptance Testing
- Training
- Other non-production environments required for the successful implementation and support of the EMS including a County test environment with VoteCal connectivity
 - [Contractor] will work with CA SOS to establish the County test environment

The Hosting Environments Configuration Document will include, for each environment:

- The name and version of all licensed and third-party software
- A description of the key characteristics that control the relative capacity, performance, and reliability. For example:
 - Number and type of physical servers, processors, and amount of RAM
 - Number of virtual machine environments and allocated processors and RAM
 - Storage speed, capacity, and allocation

- Networking interfaces, connections, throughput, and speeds
- Any other hosting environment components or attributes that contribute materially to its capacity, performance, or reliability
- Any other hosting environment components or attributes that form a basis for County costs

[Contractor] will review the draft Hosting Environments Configuration Document with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	H1.2.1 Hosting Environments Configuration Document
Delivery Frequency	Once, and updated as required for new Releases, Upgrades, and Revisions

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will develop, maintain, and update – as appropriate – a thorough Hosting Environments Configuration Document for all production and non-production environments. The environments include: Development, Testing, Training, Production Staging, Production, and any other non-production environments that would be required for a successful project implementation. Information relevant to each environment will be specified in the document and include the name and version as well as details related to the environment's key characteristics (e.g., capacity, performance, and reliability).

This Hosting Environments Configuration Document will be reviewed by the County to gather any feedback related to additions, updates, or modifications needed. A final version of the document will then be provided to the County.

1.2.2 Configure Hosting Environments

[Contractor] will configure the non-production Hosting Environments required for:

- Development
- Production Staging
- Testing (including data conversion testing)
- Training
- Other non-production environments required for successful implementation and maintenance of the EMS including a County test environment with VoteCal connectivity

Environments will be configured according to the applicable specifications in Deliverable H1.2.1 Hosting Environments Configuration Document. Configuring a Hosting Environment will include installation and setup of all hardware and software necessary to support the intended purposes.

[Contractor] will provide the County with an opportunity to perform environment acceptance testing for each new environment instance. [Contractor] will address identified issues, reconfigure the environments, and submit to the County for approval.

Deliverable	H1.2.2 Configured Hosting Environments
Delivery Frequency	Once, and updated as required for new Releases, Upgrades, and Revisions

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will configure the non-production environments (development, production staging, testing, training, and any other applicable environments) necessary for a successful project implementation. All environments will be configured (installed and all necessary hardware and software setup) per the Hosting Environments Configuration Document. The County will perform environment acceptance testing for each new environment. If issues arise, The Canton Group will identify and document the issue, reconfigure an environment as necessary, and submit for the County's approval.

1.3 Provide Hosting Services

[Contractor] will initiate and provide Hosting Services, and manage, monitor, and maintain the Hosting Environments to meet the Hosting Service Level Requirements set forth in Section 2.0. Hosting Services will include documentation of account management, operations and administration, database administration, change management, capacity management, performance management, security, and Service Level monitoring and reporting.

1.3.1 Operate Hosting Environments

Through the Contract term, [Contractor] will provide Hosting Services in accordance with Deliverables H1.1.3 Hosting Services Delivery Document and H1.2.1 Hosting Environments Configuration Document. [Contractor] will:

- Provide the County with access to the County data via the EMS and hosting services over dedicated network connections or redundant, secure internet connections from the Hosting Environment on a 24x7x365 basis
- Operate the licensed software and the hosting services on a 24x7x365 basis
- Provide, monitor, and maintain hosting services hardware, software, and communications infrastructure including:
 - Physical infrastructure for data center (e.g., facility, environment, power, etc.)
 - Shared networking, storage, computing, services, and application infrastructure
 - Computer systems, network equipment, and [Contractor] WAN
 - End-to-end connectivity
- In coordination with the Maintenance and Support (M&S) team, provide and maintain all Licensed Software, Hosting Software, and Third-Party Product licenses and sublicenses, and documentation required to provide the Hosting Services
- In coordination with the M&S team, monitor all inbound and outbound Interfaces, including VoteCal data exchanges, and provide the County with notice of inactive Interfaces or other potential connectivity issues

- Manage, monitor, and maintain [Contractor]-owned equipment in the County facilities (if any)
- Provide technical support in the installation, maintenance, and troubleshooting of network termination devices

Hosting Environments identified in Subtask 1.2.1 Prepare Hosting Environments Configuration Document will be required to be addressed in the Hosting Services. [Contractor] will maintain all necessary environments as needed and in the instance of integrated County infrastructure, provide direction and feedback to maintain as needed.

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss hosting operations activities and related issues.

[Contractor] will report monthly, and as needed, on hosting operations activities including the tracking, reporting, and resolution plans of any issues.

Deliverable	H1.3.1 Monthly Hosting Services Reports
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will provide the County with 24x7x365 access to their data via the EMS and hosting services over dedicated and secure internet connections. We will operate both the licensed software and hosting services on a 24x7x365 basis. Our hosting services include providing, monitoring, and maintaining the hardware, software, and communications infrastructure. This includes shared networking and application infrastructure, computer systems, and end-to-end connectivity. We will coordinate with the Maintenance and Support (M&S) team to provide and maintain all applicable licenses and software required to provide the Hosting Services. Additional coordination with the M&S team will focus on monitoring data exchanges (e.g., with VoteCal) and we will notify the County of any connectivity issues (e.g., inactive interfaces).

As this is a full cloud-based solution, The Canton Group does not anticipate needing to store any company equipment at the County's facilities. Our team will provide technical support regarding the installation, maintenance, and troubleshooting of network termination devices. The Canton Group will maintain all necessary environments and when needing to integrate with the County infrastructure, we will provide direction and feedback.

The Canton Group will conduct a weekly call with the County to discuss hosting operations activities. We will provide a monthly report on hosting operations activities (including tracking, reporting, and issue resolution). If calls or reports are needed more frequently than weekly and monthly, The Canton Group will ensure the County receives any relevant information as needed.

1.3.2 Monitor and Report on Service Levels

[Contractor] will monitor and report on Service Levels to the County including:

- Continuously monitoring the Hosting Environment
- Developing and delivering to the County monthly reports showing Service Level performance

- Providing the County with tools to measure licensed software and hosting services response time within the data center and end-to-end

[Contractor] will provide Service Level reports (e.g., performance metrics, system accounting information, etc.) monthly, and as needed, to the designated County representatives in a format agreed to by the County.

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss Service Level monitoring activities and adherence to performance metrics.

Deliverable	H1.3.2 Monthly Service Level Reports
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Our team will continuously monitor and report on the Service Levels including the hosting environment, developing and delivering monthly reports on performance, and provide the County with tools to measure response times. The Canton Group will conduct a weekly call with the County to discuss Service Level report activities (e.g., adherence to performance metrics). We will provide a monthly report on the Service Level reports and as needed, to the County.

1.3.3 Maintain Security

[Contractor] will, at a minimum:

- Provide and ensure data center physical security measures and controls
- Govern physical access to [Contractor] facilities with access entitlement control
- Utilize best practice encryption in storing and transmitting County data
- Provide and ensure physical and logical security for all service components (hardware, software) and data
- Provide proactive security scanning
- Monitor for EMS security errors, exceptions, intrusions, and attempted violations
- Implement and monitor network intrusion and virus detection systems throughout the hosted services network and computing infrastructure
- Provide and maintain up to date virus, malware, and security protection
- Protect against DoS, DDoS, ransomware, and other cyber attacks
- Limit or contain the impact of a cybersecurity incident
- Provide a Security Manager to enforce security procedures and resolve issues
- Implement physical and logical security plans for all Hosting Environment components consistent with [Contractor] security policies and industry standards
- Implement logical security plans for all Hosting Environment components consistent with applicable federal, state, and local security policies as it relates to the EMS
- Respond immediately and proactively and report security violations to the County

- Provide and maintain all documentation required for security audits and internal control and control testing

[Contractor] will provide all Security Services in compliance with applicable Federal, State, and County requirements including those provided in Exhibit J (Information Security and Privacy Requirements) to the Contract.

[Contractor] will conduct calls, as needed, with the County to discuss security activities and related issues.

[Contractor] will report monthly, and as needed, on security activities. In the case of a security breach, incident, intrusion or issue, the report must be submitted to the County immediately but no more than two (2) hours of the event.

Deliverable	H1.3.3 Security Reports
Delivery Frequency	Monthly, and as needed; in the case of a security breach, incident, intrusion, or issue, immediately but no more than two (2) hours of the event

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Cloud Security

The Canton Group's solution deploys in Microsoft Azure Government, one of the top Cloud Secure Cloud Services Providers in the world.

Incident detection

Our Solution uses Azure Firewall, a highly available Firewall that protects the entire solution from external threats. Among other features, the Azure Firewall supports monitoring of incoming and outgoing traffic. We can centrally create allow or deny network filtering rules by source and destination IP address, port, and protocol. Azure Firewall is fully stateful, so it can distinguish legitimate packets for different types of connections. The Azure Firewall Rules enforce and log across subscriptions and virtual networks.

We can detect irregularities such as multiple log-in attempts, above average traffic, large amounts of data transmission with our logs, metrics and monitoring implementation. In addition to that, we recommend enabling Azure diagnostics logging, to allow Azure to notify us of these types of threats as soon as they occur.

Deploying our Solution in Azure also gives us the advantage of getting protection at the infrastructure level, including network and resources. Azure will notify us and tell us what actions we should take in case of attacks. If Azure detects, for example, a distributed denial-of-service (DDOS) attack, it immediately closes the connection to the IP address of the resource where the attack is happening. Fortunately, we do not expose public IP addresses and all the solution resources are private and the only way of entry is via the Firewall.

A typical mitigation plan is to put out of service (turn off) the affected resource, determine if we need to use the Disaster Recovery Site to route the traffic to that system, or maybe we just need to re-instantiate a new resource using our creation scripts. Then forensics process is applied to the affected resource to determine the degree of the attack and what was compromised. We believe that by having only one point of entry to our application, we largely minimize this risk.

Data encryption

Our solution uses industry standards for data encryption. We encrypt data both at rest and in transit. We encrypt data at rest using Transparent Data Encryption (TDE) within MS SQL Server database. TDE encrypts the storage of an entire database by using a symmetric key called the database encryption key. Our Security Microservice encrypts the passwords using sha512 as specified in FIPS 180-4 and NIST SHS standards (SHA-2 type).

For data in transit, we use a secure channel using security certificates with at least TLS 1.2 to implement HTTPS protocol. We encrypt the data inside the secure channel using FIPS 140-2 encryption mechanism. Non-relational data is persisted in Azure Storage. We encrypt the data in using Azure Storage 256-bit AES encryption, one of the strongest block ciphers available, and is FIPS 140-2 compliant.

At the infrastructure level, we take advantage of Azure Government Security services. Data encryption at the server side uses service-managed keys in compliance with FIPS 140.

Vulnerability scanning

To keep the system as secure as possible, our security policy is to conduct semi-annual third-party penetration tests. We can conduct more frequent scheduled pen tests to meet the County requirements. We also get regular Vulnerability reports from Azure Security Center. These reports show for example patches needed to be applied to our software, versions of software used in the solution that are getting close to their end of support, Database and OS version updates, etc. We are continually monitoring these reports and we create user stories to fix them in the next sprints or in the current sprint as a hot fix if needed.

Security monitoring

Our solution provides logging and monitoring at different levels: Security, Network, and Data. For security, we use the Azure Firewall monitoring and logging capabilities, as well as activity logs for operations audit on the Azure Firewall resources.

Network logging and monitoring allows us to log, audit, and validate HTTPS requests to the backend of the solution. We use Jaeger to expose Prometheus metrics and show them in a dashboard. Prometheus collects traffic-related metrics and provides a query language for them. It also has an alerting agent (alert manager) that sends email notifications based on configurable alerting rules such as detecting unauthorized users or inappropriate activity.

Our solution embeds custom logging the Microservices. We use SeriLog for application logs, to capture information about transactions and faults at the business logic layer of the Microservices. Our data services connect to the database to perform transactional CRUD operations. Since we store in MS SQL Server RDBMS, we designed Journal tables for each transactional table and we use database triggers (before update, create, and delete) to write to the Journal tables recording the creation, modification, or deletion date of the record in the transactional table.

We also capture the following audit fields: Transaction identifier, Transaction Type (CRUD), User, Create Date Time, Update Date Time, Change number. The Transaction identifier helps us correlate the records (entities – tables) that participated in the same transaction. The transaction type represents the CRUD operation, the User is the user that initiated the transaction, The Create Date Time tells the first creation date and timestamp. The Update Date Time tells the modification date time stamp of the record. The Change Number indicates the number of changes that the record had until the Update Date Time. When the user creates a new record, the value is zero, when the system updates the record for the first time, the value is one, and so on.

We capture not only the history of the events that modified a record, but also who, when, and what was done to that record. This model is very useful and allows us to get answers to questions such as “what happened to Voter ABC after the last election?” and enables us to view the state of the system at any point in time.

We follow the Open Web Application Security Project (OWASP) and other security sources such as Firewall vendor reports. We rely in Azure Government Security Center to monitor ongoing security threat changes. The Azure Security Center reports are continuously (real time) being updated, with an administrator task to review the reports to react to potential threats. The Canton Group will coordinate with different sharing networks including the Sector Coordinating Council of the Elections Infrastructure Subsector (EIS-SSC), the Information Technology Information Sharing & Analysis Center (IT-ISAC), the Election Infrastructure ISAC (EI-ISAC), and others.

Cybersecurity/Threat Identification

The main threats to the solution in Azure Government are DDOS, unauthorized access, and some of the OWASP top 10 application security Risks. We implement ISO-27001 to assess the residual risk that follows the mitigation actions. Our risk management iterative process involves identification, impact assessment, prioritization analysis, tracking, and mitigation planning implementation and progress management.

Infrastructure and Application security

All the database IP addresses and all the solution resources (VMS, Containers, VNETS, SUBNETS etc.) are private. As a result, direct network, application, and data level access to databases are restricted. Only an administrator has access to the Production environment. Application users access the application via authentication in the user interface (UI). The database can be accessed directly by the administrator or the application. The application accesses the database only when a request from an authorized user reaches the data services. The data service uses a private connection with the database to execute the user requests. Our logging and journal tables capture – using database triggers – any activity requested to the database, either from the application or from connections external to the application, such as the administrator.

All the database IP addresses and all the Solution resources (VMS, Containers, VNETS, SUBNETS etc.) are private. As a result, direct network level access to databases is restricted. We are protecting our solution using the Firewall, which is the only resource with public IP.

The Canton Group will ensure all security services comply with all applicable County, State, and Federal requirements and regulations. We will conduct regular security calls with the County (as often as needed) and will report monthly on security activities. In the event of a security breach, incident, intrusion, or issue, The Canton Group will provide a report to the County immediately and no more than two hours of the event.

1.3.4 Manage Support Service Requests

In coordination with the M&S team, [Contractor] will support service requests as required. [Contractor] will:

- Participate in weekly meetings with the County to discuss status of, and improvement of response time to, service requests
- Provide technical guidance to the County on the configuration of internal network, workstations, and other County hardware to enable connectivity to hosting services

- Provide recommendations to the County for issue identification and resolution procedures, including steps to diagnose whether issues originate in County-owned or [Contractor]-hosted systems
- Notify the County of any issues [Contractor] discovers that may adversely impact the hosted services or performance
- Notify the County in advance of any planned outages
- Provide, manage, and maintain a method for proper notification and escalation of issues
- Log all incidents and problems
- Provide incident and management reports and statistics to the County once a month, at minimum, and as requested by the County

[Contractor] will configure and operate a Service Request Tracking System.

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss service requests and related issues.

[Contractor] will report monthly, and as needed, on service requests, including the tracking and reporting of any issues.

Deliverable	H1.3.4 Service Request Reports
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will provide technical guidance and recommendations to the County regarding configuration of workstations, connectivity of hosting services, and issue identification and resolution procedures. We will notify the County of any issues found that may have adverse impacts on the hosted services or application performance. Additionally, any planned outages will be communicated in advance to the County.

Our goal regarding incident management is to restore normal service operation as quickly as possible and to minimize the adverse impact on business operations of the County. The six steps in The Canton Group's incident management process are: (1) incident logging (2) ticket creation (3) incident categorization (4) incident prioritization (5) incident resolution and (6) incident closure.

All incidents and service requests are routed through the Support Helpline or mail. Level 1 Help Desk gathers enough details to fill out the Incident/Service request form on IT Service Management tool. The request is categorized as Defect, Service Request, Change Request, etc. Each request is assigned a priority. Resolution and Closure of the defects is supported to through Service Level Agreements as determined by the contract.

In addition to configuring and operating a Service Request Tracking System (e.g., Microsoft Team Foundation Server (TFS) or Jira), we will conduct weekly calls and provide monthly reports regarding service requests, their tracking, and reporting of issues. If calls or reports are needed more frequently than weekly and monthly, The Canton Group will ensure the County receives any relevant information as needed.

1.3.5 Maintain Hosting Environments

[Contractor] will perform all required Hosting Environment maintenance as required by Subtask 1.1.3 Develop Hosting Services Delivery Document and Subtask 1.4.1 Perform Backups and Restores including:

- Hardware refreshes to remain current with applicable industry standards
- Hosting Environment software updates to remain current with applicable industry standards
- Physical Environment maintenance
- Updates to the Hosting Environments Configuration Document as required for new Releases, Upgrades, and Revisions

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss hosting environment maintenance activities.

[Contractor] will report monthly, and as needed, on hosting environment maintenance activities.

Deliverable	H1.3.5 Hosting Environment Maintenance Reports
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

As required, The Canton Group will provide maintenance for hosting environments (e.g., backups and restores) that include software updates, physical environment maintenance, and will appropriately update in the Hosting Environments Configuration Document as needed.

The Canton Group will conduct a weekly call and a monthly report with the County to discuss hosting environment maintenance activities. If calls or reports are needed more frequently than weekly and monthly, The Canton Group will ensure the County receives any relevant information as needed.

1.4 Prepare for Disaster Recovery

[Contractor] will perform backups and restores, provide disaster preparedness, and provide Disaster Recovery Services to meet the County's requirements.

1.4.1 Perform Backups and Restores

[Contractor] will conduct the backups and restores including:

- Regular backups of all EMS data
- Backups of licensed software and third-party products
- Backup validation

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss backup and restore activities and related issues.

[Contractor] will provide reports monthly, and as needed, certifying successful backup validation.

Deliverable	H1.4.1 Backup and Restore Reports
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group's solution is deployed in the Azure Government, and we use Azure Backup managed services for voter and election management databases, as well as application configurations. Once The Canton Group deploys the solution in Azure Management, we turn on the backup services and automatically Azure backups the database and storage. This solution for built-in backups of Azure provides security to the process and reduces costs by not having infrastructure and management overhead.

Azure backup protects the data from ransomware and only authorized users create critical backups. Azure sends a notification to the administrator in the case of any suspicious activity allowing us to react immediately. If for some reason data is erased, Azure keeps a copy of the backups for up to two weeks so data can be recovered during that period.

The Canton Group will conduct a weekly call with the County to discuss backup and recovery activities. We will provide a monthly report validating the completed successful backups. If calls or reports are needed more frequently than weekly and monthly, The Canton Group will ensure the County receives any relevant information as needed.

1.4.2 Provide Disaster Recovery

[Contractor] will provide prioritized disaster recovery services for the hosting services and associated infrastructure (e.g., servers, network connection, etc.). [Contractor] will:

- Maintain and provide access to key data required to continue election operations during a downtime
- Develop and maintain a detailed Disaster Recovery Plan
- Review and update the Disaster Recovery Plan on an annual basis, at minimum
- Develop action plans to mitigate risks and issues discovered during the Disaster Recovery Plan review
- Provide the County with copies of all updated Disaster Recovery Plans
- Perform an annual, full System and database check, and after all major releases
- Conduct annual failover and disaster recovery exercises to ensure that the business continuity measures are complete and operational

[Contractor] will initiate the Disaster Recovery Plan in the event of a [Contractor] disaster recovery situation.

[Contractor] will notify and coordinate with the County during a [Contractor] disaster recovery situation per the disaster recovery policies and procedures.

[Contractor] will report monthly, and as needed, on the disaster recovery activities and related issues.

Deliverables	H1.4.2.1 Disaster Recovery Plan
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	H1.4.2.2 Report of Disaster Recovery Plan Test Results H1.4.2.3 Disaster Recovery Reports
Delivery Frequency	H1.4.2.1: Once, and updated annually, at minimum H1.4.2.2: Once, and annually, at minimum H1.4.2.3: Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Business Continuity and Disaster Recovery (BC/DR) is a very important process we implement in our solution. For our solution to be available 99.99% uptime our strategy started at design time, development and during implementation following a Reactive Architecture: Fault Tolerant, Responsive and Elastic using Messaging for inter service communication. We use Domain Driven Design (DDD) to discover the functional domains and developed stateless Microservice to support and implement each functional domain. We deploy the Microservices in containers (Docker) and they communicate using messaging to remain flexible and scalable. A Kubernetes service manages the containers providing auto scale with a default initial configuration of container replicas. Based on the load to the application and only limited by the resources of the Azure subscription, Kubernetes scales the services horizontally and vertically assuring 99.99% uptime.

Recovery Point Objectives (RPO) refer to the backup frequency of data and other persistence resources that hold the state of the system. Our solution implements a replica of the Production environment in a Recovery Site physically located in a different Azure Geographical Region. We will implement Azure Recovery Site (ARS) to replicate Virtual Machines, Azure Backup to replicate the Data Bases and Data Repository, resulting in a RPO of 15 minutes.

To achieve an RPO of zero minutes (HOST-6, K.1), the backup frequency must be in be real time. In this case, we use our replication methods (stored procedures and triggers) in the transactional database to send the new or modified records in real time. As a record is created, updated, or removed in the transactional database, a trigger is initiated to send the record(s) to insert, update, or delete in the replica database. The DevOps Release Pipelines will create a copy of the container images in the Recovery Site. The Recovery Site maintains the same Production resources created, implemented, and configured as a mirror of the Production Environment.

Recovery Time Objective (RTO) refers to the duration of time needed to recover the application after a disaster occurs. To meet the 60 minutes or less requirement, the Recovery Site is ready for use anytime as specified in K.1 (HOST-7). Since we replicate the state of the application (data) in real time, we deploy the latest (most current) Production container images in the Kubernetes Cluster and route the DNS to point to the Recovery Site IP Addresses.

The Canton Group will initiate a Disaster Recovery Plan in the event it occurs and will notify and coordinate with the County per the disaster recovery policies and procedures. We will report monthly – or more frequently if needed – on the disaster recovery activities and any related issues.

2.0 Hosting Service Level Requirements

This Section describes the Service Level Requirements (SLRs) for Hosting Services. The County reserves the right to modify or add SLRs.

Table 1. Overall System Availability Service Level

Overall System Availability Service Level	
Service Measure	Availability, defined as the availability of all infrastructure and software components required to conduct the normal election operations including, but not limited to, processors, external storage, system software, and network connection. Excludes scheduled maintenance.
Performance Metric	Sunday – Saturday, 00:00 – 24:00
Performance Target	<u>Production Servers:</u> 99.99% <u>Non-Production Servers:</u> 99.0%
Formula	[Availability (%) = 100% — Unavailability (%)] Where Unavailability is defined as: (sum outage duration x 100%) ÷ (schedule time — planned outage)
Measurement Period	Weekly
Reporting Period	Monthly

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group's architecture of our solution is one that is responsive, elastic, and resilient. The components of our solution communicate with each other using asynchronous messaging. By designing our solution using Domain Driven Design (DDD), it allows for 99.99% availability.

Our solution to be available 99.99% uptime, our strategy started at design time, development and during implementation following a Reactive Architecture: Fault Tolerant, Responsive and Elastic using Messaging for inter service communication. Our solution implements a replica of the Production environment in a Recovery Site physically located in a different Azure Geographical Region. We will implement Azure Recovery Site (ARS) to replicate Virtual Machines, Snowflake to back up the replicated Data Base and Azure Backup Services to replicate our Data Repository, resulting in a RPO of 60 minutes or configurable to the client needs.

Error Severity Levels

Error Severity 1

The System or a main subsystem/module is unavailable, preventing the System or a core function from operating or causing core functions or major functionality to operate with grossly incorrect results such as material data processing errors. There is no workaround.

Error Severity 2

Use of the System or a subsystem/module is interrupted, or a System failure otherwise causes major functions to not operate or to operate with significantly incorrect results such as material data processing errors. There is no workaround.

Error Severity 3

Incident(s) prevent minor functionality from operating or causes minor functions to operate with incorrect results. There is a clear business need to have the System repaired, but workaround(s) exist for election operations.

Error Severity 4

Incident does not affect functionality of the System. Low priority with no direct impact election operations. Cosmetic or nonessential in nature.

Table 2. Incident Response Time Service Level

Incident Response Time Service Level	
Service Measure	<u>Response Time</u> : Elapsed time from when the Incident is escalated from the Help Desk to the time the incident is responded to by the Hosting Service provider
Performance Metric*	
Severity 1	≤15 minutes
Severity 2	≤15 minutes
Severity 3	≤30 minutes
Severity 4	≤60 minutes
Performance Target*	
Severity 1	95% within 15 minutes
Severity 2	95% within 15 minutes
Severity 3	95% within 30 minutes
Severity 4	95% within 60 minutes
Formula	[Number of Incidents that met SLR ÷ the total number of Incidents in the Measurement Period]
<i>Response Time</i>	
Measurement Period	Weekly
Reporting Period	Monthly

*The County will evaluate the Performance Metric and Performance Target on a quarterly basis, and may, at its sole discretion, decide to modify based on election operations activities (e.g., candidate filing, petitions, etc.).

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Due to the elastic nature of our solution, The Canton Group will meet all required response times for incident response service levels.

Table 3. Incident Resolution Time Service Level

Incident Resolution Time Service Level	
Service Measure	Resolution Time: Elapsed time from when the Incident is escalated from the Help Desk to the time the Incident is resolved
Performance Metric*	
Severity 1	2 hours
Severity 2	2 hours
Severity 3	8 hours
Severity 4	72 hours
Performance Target*	
Severity 1	95% within 2 hours
Severity 2	95% within 2 hours
Severity 3	95% within 8 hours
Severity 4	95% within 72 hours
Formula	[Number of Incidents that met SLR ÷ the total number of Incidents in the Measurement Period]
<i>Response Time</i>	
Measurement Period	Weekly
Reporting Period	Monthly

*The County will evaluate the Performance Metric and Performance Target on a quarterly basis, and may, at its sole discretion, decide to modify based on election operations activities (e.g., candidate filing, petitions, etc.).

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Due to the elastic nature of our solution, The Canton Group will meet all required response times for incident response service levels.

Table 4. Recovery Time Objective and Recovery Point Objective Service Levels

Recovery Time Objective (RTO) and Recovery Point Objective (RPO) Service Levels	
Service Measure	Recovery time and data recovery
Performance Metric	Recovery time and recovery point
Performance Target	≤60 minutes with 0 minutes of data loss
Formula	[Number of instances within Performance Target] ÷ [Total number of instances during Measurement Period]
Measurement Period	Designated recovery period following a disaster

Recovery Time Objective (RTO) and Recovery Point Objective (RPO) Service Levels

Reporting Period Periodically throughout the recovery period

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

Our solution is to be available 99.99% uptime, our strategy started at design time, development and during implementation following a Reactive Architecture: Fault Tolerant, Responsive and Elastic using Messaging for inter service communication. Our solution implements a replica of the Production environment in a Recovery Site physically located in a different Azure Geographical Region. We will implement Azure Recovery Site (ARS) to replicate Virtual Machines, Snowflake to back up the replicated Data Base and Azure Backup Services to replicate our Data Repository, resulting in a RPO of 60 minutes or configurable to the client needs.

To meet the Recover Point Objective of zero minutes (RPO), our solution replicates the Production environment, a Recovery Site, in a different Azure Geographical Region. We will implement Azure Recovery Site (ARS) to replicate Virtual Machines. The solution has two methods of database backup. We use Azure Backup to replicate the databases and data repository, but the RPO here is 15 minutes. To achieve Recovery Point Objective of Zero minutes, the backup frequency must be in real time. In this case, we use our replication methods (stored procedures and triggers) in the transactional database to send in real time the new or modified records. As a record is created/updated/removed in the transactional database, a trigger is fired to send those record to insert/update/delete in the replica database. Our DevOps Release Pipelines will create a copy of the container images in this Recovery Site.

The Recovery Site will have the Production resources already created, implemented, and configured as a mirror of the Production Environment. With minimal steps involved, we deploy the container images in the Kubernetes Cluster, route the DNS to point to the Recovery Site IP Address in less than 30 minutes.

Table 5. Response Time (Performance) Service Levels

Response Time (Performance) Service Levels	
Service Measure	Number of seconds after user commits transaction until response appears on user's screen, operated from within the County network
Performance Metric	Response time is ≤ 2 seconds
Performance Target	95%
Formula	$\frac{[\text{Number of agreed actions that are completed within the target dates}]}{[\text{Total number of agreed actions in the Measurement Period}]}$
Measurement Period	Monthly
Reporting Period	Monthly

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group's solution will meet all system performance service levels as specified in this RFP.

Table 6. Staff Availability Service Levels

Staff Availability Service Levels	
Service Measure	Staff availability to participate in person for meetings and/or on-site support as scheduled by the County
Performance Metric	<p>Available during normal business hours, Monday through Friday 9:00 AM to 5:00 PM PST, except Federal, State, and County holidays.</p> <p>Available outside of normal business hours, on weekends, and on holidays beginning on E-120 through Election Day for the first election in which the EMS is used and beginning on E-90 through Election Day in each subsequent election.</p> <p>ASV Machine Operations and Maintenance - County will call during the hours of 8 AM – 5 PM, Monday-Friday, on call service for non-Countywide elections and no election periods. These days and hours are modified for Countywide election mail processing periods.</p> <ul style="list-style-type: none"> • The Baseline Coverage for 40 Days per year for hours of 8 AM – 5 PM, Monday-Friday, and weekdays/ extended coverage 30 Days & weekend days- 7AM-7PM coverage of 10 Days included on call service for non-Countywide elections and no election periods. These days and hours are modified for Countywide election mail processing periods. • The Additional 50 Days per Year over the 40 Day Baseline Coverage for a total of 90 Days. The additional 50 days of ASR call out days is comprised of an additional 38 days of weekday coverage 7AM-7PM, and 12 days of weekend coverage 7AM-7PM. • Parts includes all required replacement (break/fix) and preventative maintenance parts for up to 4.5 million pieces per year <p>VBM/ASV On Site Operations Manager - on-site operational support for up to 90 days per year, Monday-Friday from 8AM-5PM. After hour or weekend support can be made available at an additional fee per the rates specified in Exhibit B.1.</p>
Performance Target	100%
Formula	<p>[Number of meetings attended]</p> <p>÷</p> <p>[Total number of meetings scheduled]</p>
Measurement Period	Monthly

Staff Availability Service Levels**Reporting Period** Monthly

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group team will meet all staff availability service levels as specified in this RFP.



EXHIBIT A.3

**MAINTENANCE AND SUPPORT
STATEMENT OF WORK**

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Introduction

This Statement of Work (SOW) describes the Services and Deliverables [Contractor] will provide related to Warranty Services and Maintenance & Support (M&S) Services of the Election Management System (EMS).

Deliverable Development and Approval Process

This Section specifies a repeating process for developing Deliverables for this SOW. Each deliverable will be developed in accordance with the following [Contractor] obligations:

1. All Deliverables must be developed in the form and format agreed to by the County and [Contractor] using a Deliverable Expectations Document (DED) approved by the County prior to work commencing on the Deliverable. As each Deliverable is submitted, [Contractor] must include a copy of the approved DED as the cover sheet.
2. Develop agendas, coordinate scheduling with the County, and facilitate all necessary sessions (e.g., workshops, meetings, etc.) to develop the Deliverables.
3. Record and analyze the input received from the sessions and distribute results / minutes for review to participants.
4. Prepare drafts of the Deliverables for the County's review.
5. Provide a structured process for the County to provide feedback on drafts, including sessions, as appropriate.
6. Compile and incorporate the County's feedback to the draft Deliverables and prepare revised Deliverables.
7. Distribute the revised Deliverables to the County for review. Obtain and analyze the County's feedback as above and repeat, if necessary.
8. Prepare final versions of the Deliverables including, prior to distribution for approval by the County, validation by [Contractor] that the Deliverables conform to the DED.

After receipt of a Deliverable from [Contractor], the County Project Manager or designee will distribute to the appropriate Project team for review and feedback. The County Project Manager or designee will notify [Contractor] in writing with specific changes requested, including a reasonably detailed explanation of the reason(s) why the Deliverable should be modified, in a mutually agreed upon timeframe based on the nature of the Deliverable and the schedule.

1.0 Warranty

Warranty Services and M&S Services requirements will be identical except that the County will pay an annual fee for these services during the M&S period. During Warranty, the services will be provided at no additional cost to the County.

1.1 Warranty Terms

The Warranty period for the EMS will be through one federal general election cycle and at least six (6) months after the 2024 General Election.

1.1.1 Third-Party Warranty Terms

The Warranty period for third-party hardware (i.e., Automated Signature Recognition) and software provided by [Contractor] will be the duration as provided by the third-party manufacturer.

1.2 Warranty Initiation

The Warranty period will begin once all the following have occurred:

1. The County conducted a full deployment of the EMS in the same Countywide Election and the deployment is deemed successful by the County, and
2. The County has formally accepted the EMS for Production Go-Live.

2.0 Maintenance and Support

[Contractor] will provide M&S Services after completion of the Warranty period. The County will pay an annual fee for such Services as determined in the Contract.

2.1 Plan and Prepare for Maintenance and Support Services

Team members from [Contractor] and the County will be introduced, and their specific roles described. [Contractor] will provide training, as required, for the County resources related to M&S Services and will introduce its tools, existing M&S-related artifacts, M&S methodologies, and best practices that it will use throughout this SOW.

2.1.1 Conduct Kickoff

[Contractor] will conduct a M&S Services Kickoff meeting to introduce the County resources to the services covered by this SOW, including the timelines and nature of the work effort that will be required.

Before the M&S Services Kickoff meeting, [Contractor] will:

- Work with the County to identify all [Contractor] and County resources required to complete the tasks outlined in this SOW
- Develop an agenda, including meeting objectives, for the M&S Services Kickoff meeting
- Complete the transition from [Contractor]’s Implementation Team to [Contractor]’s M&S Team

The M&S Services Kickoff meeting will cover, at minimum, the following topics:

- The catalog of M&S Services including the licensed software modules and third-party products (if applicable) for which M&S Services will be provided
- M&S Services SOW dependencies
- The tasks, deliverables, and milestones for the planning and initiation of M&S Services
- The roles and respective assignments of [Contractor] and County resources needed to complete the tasks outlined in this SOW

After the M&S Services Kickoff meeting, [Contractor] will prepare a M&S Services Kickoff Summary Report including attendance sheet/roster, observations, opportunities, challenges, and any new items identified as part of the Kickoff meeting.

Deliverable	MS2.1.1 M&S Services Kickoff and Summary Report
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

After successful implementation and in order to prepare for the ongoing Maintenance and Support (M&S) services, The Canton Group will follow our best practices for project transitions. This would include spending time working with both the implementation and M&S teams, reinforcing the Agile software methodology approach, reviewing existing documentation, looking through the code, working with the County for identification of resources, and developing an agenda and meeting objectives for the M&S services kickoff meeting.

The M&S services kickoff meeting would be attended by all key stakeholders and team members to ensure all members are aligned on the upcoming project goals. During this meeting, there would be a thorough review of a project plan – based on the current understanding by The Canton Group – to cover the tasks, deliverables, and milestones for the M&S services. While reviewing the plan, the team and stakeholders would be strongly encouraged to speak up and add, modify, and/or remove tasks to ensure the project plan covers all necessary elements.

Additionally, the meeting would cover the full scope of M&S services including any licensed modules or third-party products, Statement of Work (SOW) dependencies, and roles and respective responsibilities of both The Canton Group and the County. Finally, a preliminary review of the backlog would be done and the first M&S Quarterly Road Mapping Session would be scheduled.

The focus of this first M&S Quarterly Road Mapping Session would be to review the backlog and determine planned work and priority is still relevant and correct. If the backlog has been groomed and is already aligned with Epics, the team would focus on these high-level requirements, working with the stakeholders to review each one. In cases where the requirements are not associated with Epics (or are loosely done so), an additional exercise would be done to create Epics by grouping the stories together based on purpose. Once that has been done, the attendees would then revisit prioritizing those Epics along with any new efforts which stemmed from the M&S kickoff meeting.

After the M&S services kickoff meeting is completed, The Canton Group will prepare and distribute a summary report noting the meeting attendance, notes and observations, areas for improvement and opportunities, challenges, and any action items or outcomes identified as a part of the kickoff meeting.

2.2 Conduct Maintenance and Support Planning

[Contractor] will prepare M&S planning documents, including development of a M&S Plan, definition of M&S Services, communication methods, and delivery of M&S Services.

2.2.1 Develop and Maintain Maintenance and Support Plan

[Contractor] will develop a M&S Plan that includes, at minimum, a detailed description of:

- [Contractor]-provided M&S Services as defined in the Contract and this SOW
- M&S delivery model including:
 - [Contractor] staffing model
 - Roles and responsibilities of the County and [Contractor] personnel
 - Governance process and governance model for interaction with the County
- Approach to ensure continuity and knowledge transfer should [Contractor]’s M&S personnel change
- Approach to provide ongoing training to ensure County users are using the EMS efficiently and effectively
 - Includes training on new functionality resulting from System enhancements, Releases, and Upgrades
- Service Level Agreements
- Reporting frequency and method, including approach for updating changes as metrics, requirements, and the application evolves
- Maintenance of the System and user documentation
- Maintenance of the M&S Plan

[Contractor] will update the M&S Plan as required to provide for new Releases, Upgrades, and Revisions.

[Contractor] will review the draft M&S Plan with the County and gather feedback. [Contractor] will incorporate the County’s feedback and submit a final version for approval.

Deliverable	MS2.2.1 Maintenance and Support Plan
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group has a robust M&S plan which is based on our Manage Change and Release Management processes. Our team’s change management process ensures that changes to the supported software are understood, planned, communicated, and implemented in a controlled and organized manner with minimal impact on operational activities. All M&S services provided by The Canton Group follow our Agile software delivery method including collaboration with the client to determine and refine the backlog and assign priorities based on requirements and

timelines, where tasks will follow our development, QA, User Acceptance Testing, and demonstrations for approval and deployment.

Our comprehensive M&S services will include the implementation of new releases and software upgrades as well as ongoing training for both new staff orientation and reinforcing training for existing staff. Training would cover new functionality as a result of EMS enhancements, releases, and upgrades. Maintenance of the system, documentation, and reporting frequencies and methods would be covered in the plan as well. The Canton Group's M&S plan will detail team roles and responsibilities and ensure the team will follow the model and processes used by our implementation team with interactions with the County (including adherence to all applicable Service Level Agreements (SLAs) and requirements as specified in this RFP).

Our M&S team will be staffed with a team of highly skilled resources that are either part of the development and implementation team or personnel that have worked on similar engagements in the past. A critical component for project success is the seamless substitution of qualified personnel; The Canton Group provides rapid substitution of personnel by maintaining a full roster of our own, using efficient and proven recruitment strategies, vetting, selection, and onboarding of talented people. If needed, we can also reassign qualified personnel from other projects as we recruit the right replacement. At The Canton Group, an element that sets us apart is that we have mature teams in our organization, allowing us to allocate an individual, an entire team, or a portion of a team that is already up to speed.

Customer satisfaction is of the utmost importance to The Canton Group and as a result, our executive team is committed to engaging as sponsors for this project. Our dedicated effort ensures direct lines of communication remain open should any critical issues arise and allows us to resolve them quickly and effectively.

We will update our M&S Plan to account for new releases, upgrades, and revisions. Updates will be reviewed with the County for their feedback and once incorporated, we will formally submit the final version for approval.

2.2.2 Define Notification Process for Security Issues and Incidents

[Contractor] will define its process to notify the County of security issues and incidences, including:

- Breaches of Licensed Software, and [Contractor] systems and databases
- Unauthorized exposure or transmission of County data
- Unauthorized physical access to [Contractor] facilities where County data is held

[Contractor]'s process to notify the County will include:

- Timeline to notify the County of the security issue or incident
- Method to notify the County
- County recipient(s) of [Contractor] notifications
- [Contractor] personnel responsible for notifying the County

In collaboration with the County, [Contractor] will define levels of severity for security issues and incidents.

[Contractor] will review the draft [Contractor] Notification Process for Security Issues and Incidents with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	MS2.2.2 [Contractor] Notification Process for Security Issues and Incidents
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

We include security in every step of our development process from the conceptual stage to development, releases, and operations. Our infrastructure architecture includes a standard notification via email of any security risks, or performance of the application. Users with the role of administrators or appropriate privileges receive these notifications so they can react to them in a timely manner to avoid issues such as performance degradation, attacks, etc. If a security incident or issue is found, The Canton Group will promptly notify the County in writing within that same business day.

The Canton Group will collaborate with the County to define the severity levels for security issues and incidents. Once defined, we will provide a draft Notification Process for Security Issues and Incidents document for the County to review. A final copy will be submitted for the County's approval.

2.2.3 Define Notification Process for Issues and Events Impacting Operations

[Contractor] will define its processes to notify the County of issues, events, incidents, and problems impact operations, including:

- Issue, event, incident, and problem types and severity definitions
- [Contractor] required maintenance windows and downtimes, including [Contractor]'s scheduled outages

[Contractor]'s processes to notify the County will include:

- Timeline for notifying the County of issues, events, incidents, and problems based on severity
- Method to notify the County
- County recipient(s) of [Contractor] notifications
- [Contractor] personnel responsible for notifying the County

[Contractor] will review the draft [Contractor] Notification Process for Issues and Events Impacting Operations with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.

Deliverable	MS2.2.3 [Contractor] Notification Process for Issues and Events Impacting Operations
Delivery Frequency	Once, and updated as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will ensure that any issues, events, incidents, or problems impacting operations will be defined and communicated in writing to the County. This includes required maintenance windows, downtimes, and any scheduled outages. The Canton Group will promptly notify the County in writing within the same business day and detail the severity of operational impact.

A draft Notification Process for Security Issues and Events Impacting Operations document will be provided for the County to review. A final copy will be submitted for the County's approval.

2.3 Provide Application Management Services

[Contractor] will provide M&S Services per the Contract, including this SOW. There will be no cap on the County's use of and requests for M&S.

2.3.1 Provide Application Monitoring and Management

[Contractor] will provide application monitoring and management services, including:

- Monitoring and managing all Licensed Software and Third-Party Products used in the System
- Proactively and reactively notifying the County Help Desk of issues, incidents, and problems found by [Contractor] that affect or may affect the Service, and of any required County intervention to avoid or resolve the issue, incident, or problem
- Monitoring and managing the following activities related to interfaces:
 - Outbound interface queue counts, status, and settings
 - Inbound interface queue counts, status, and settings
- Reviewing and providing feedback on County-proposed changes to County's integration platform

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss application monitoring and management activities and related issues.

[Contractor] will report monthly, and as needed, on application monitoring and management activities, including the tracking and reporting of any issues.

Deliverable	MS2.3.1 Monthly Application Monitoring and Management Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will provide both application monitoring and management services. These services include monitoring and managing all licensed software and any third-party products used throughout the system; notifying the County Help Desk of any reported issues and relevant next steps; monitoring and managing interface activities; and reviewing and providing feedback to proposed changes to the County's integration platform.

The Canton Group will facilitate weekly calls and provide monthly reports for the application monitoring and management activities. If more frequent calls and/or reports are requested, we will meet the County's needs.

2.3.2 Provide Application Support

[Contractor] will provide application support for all Licensed Software and Third-Party Product issues and County support requests. [Contractor] will:

- Address issues escalated from the County Level 1 Help Desk related to Licensed Software and Third-Party Products
- Provide a single point of contact for application support issues
- Support the County Help Desk incident resolution as needed
- Participate in the process for "hand off" from the County Help Desk to [Contractor]
- Maintain a record of incidents handed off from the County Help Desk
- Monitor County Help Desk tickets to identify patterns and improve services
- Identify recurring issues, conduct root cause analysis, recommend solutions, and implement based on the County's request / approval
- Support the County in addressing recurring issues as needed and agreed upon
- Troubleshoot and resolve interface errors that originate in [Contractor]'s System
- Maintain a list of outstanding issues with the EMS
 - The County will have access to the list
 - The County and [Contractor] will jointly prioritize issue resolution (e.g., hot fix)
- Participate in the resolution of interface errors that originate in the County's or third-party vendor systems
- Develop and maintain workflow documentation
- Review and provide input to Help Desk scripts as necessary to improve the efficiency and effectiveness of the incident resolution processes
- Build and maintain reference database elements
- Provide monthly service reports that include:
 - Number of service requests
 - Description of issues
 - Root cause analysis
 - Resolutions implemented

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss application support activities and related issues.

[Contractor] will report monthly, and as needed, on application support activities, including the tracking and reporting of any issues.

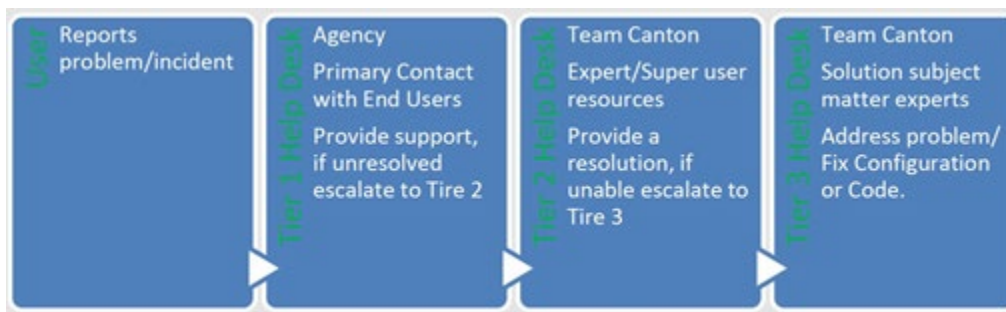
Deliverable	MS2.3.2 Monthly Application Support Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group's proposed Application Support Team consists of Application Support Manager, Help Desk Lead, and Help Desk Analyst. We are proposing Sarah Garland to manage the Application Support, this provides continuity for the County as users would be familiar working with her during the implementation phase.

Our help desk will provide a single point of ingress for advanced support for the County users. The Canton Group works with County to ensure there is a common understanding of the tools, processes, and escalation procedures necessary to create a seamless end-user experience for advanced application support.

Under The Canton Group's support model, Level 1 help desk support is provided by the County and includes initial triage and primary contact with the end users reporting any problems/incident. Level 2 and 3 support is provided by The Canton Group. Level 2 support consists of expert/super user resources that can provide troubleshooting. Level 2 support attempts to provide a resolution, and if unable to do so the issue is escalated to Level 3. Level 3 support consists of product subject matter experts who are involved in product development. Level 3 support typically addresses problems believed to be related to a code defect. The exhibit below shows the escalation process.



All applications support requests and incidents are logged, tracked, and reported using IT Service Management tool. The Application Support Manager reviews the status with the County PM on a weekly basis and provides reports on the same on a monthly basis.

2.3.3 Provide Operations Management

[Contractor] will provide operations management services, including:

- Monitoring scheduled operations jobs to ensure scheduled tasks start and process without error
- Detection of abnormal conditions or alarms
- Logging of failed operations jobs, and corrective action taken
- Restarting operations as required
- Documenting and reporting operations jobs and issues

- Adding and removing operations jobs

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss operations management services activities and related issues.

[Contractor] will report monthly, and as needed, on operations management services activities, including the tracking and reporting of any issues.

[Contractor] will provide a VBM/ASV On Site Operations Manager responsible for on-site operational support for up to 90 days per year, Monday-Friday from 8AM-5PM. After hour or weekend support can be made available at an additional fee per the rates specified in Exhibit B.1. On-site operational support shall include training and assisting County staff, as well as, helping to resolve equipment, technical and software issues. Testing and maintenance of signature verification equipment shall be completed on or before E-29.

ASV Machine Operations and Maintenance - County will call during the hours of 8 AM – 5 PM, Monday-Friday, on call service for non-Countywide elections and no election periods. These days and hours are modified for Countywide election mail processing periods.

- The Baseline Coverage for 40 Days per year for hours of 8 AM – 5 PM, Monday-Friday, and weekdays/ extended coverage 30 Days & weekend days- 7AM-7PM coverage of 10 Days included on call service for non-Countywide elections and no election periods. These days and hours are modified for Countywide election mail processing periods.
- The Additional 50 Days per Year over the 40 Day Baseline Coverage for a total of 90 Days. The additional 50 days of ASR call out days is comprised of an additional 38 days of weekday coverage 7AM-7PM, and 12 days of weekend coverage 7AM-7PM.
- Parts includes all required replacement (break/fix) and preventative maintenance parts for up to 4.5 million pieces per year

Deliverable	MS2.3.3 Monthly Operations Management Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will provide operations management services including monitoring scheduled jobs, detecting abnormal operational conditions, logging failures and relevant corrective actions, restarting, adding, or removing operations jobs, and documenting and reporting operations jobs and issues. The Canton Group will facilitate weekly calls and provide monthly reports for the operations management activities. If more frequent calls and/or reports are requested, we will meet the County's needs.

2.3.4 Conduct Maintenance Checks

[Contractor] will conduct maintenance check activities, including:

- Monitor Licensed Software and Third-Party Product notifications (e.g., flashes, advisories, security updates, etc.) and take necessary action
- Perform software update certification as needed, including:
 - Review of software update guidelines

- Test software updates and fixed in non-production environment
- Validate software updates to production
- Implement software updates
- Validate software updates/application enhancements and fixes

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss maintenance check activities and related issues.

[Contractor] will report monthly, and as needed, on maintenance check activities, including the tracking and reporting of any issues.

Deliverable	MS2.3.4 Monthly Maintenance Checks Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will provide maintenance check activities including monitoring licensed software and third-party products and taking any required action, performing and implementing software updates, and validating software updates and/or application enhancements and fixes. The Canton Group will facilitate weekly calls and provide monthly reports for the maintenance check activities. If more frequent calls and/or reports are requested, we will meet the County's needs.

2.3.5 Provide Incident / Problem Management and Resolution

[Contractor] will provide incident/problem management and resolution services using a structure IT Service Management methodology, including:

- Response to [Contractor] or County-identified incidents/problems
- Assessment of impact on County operations
- Triaging
- Tracking
- Escalation
- Notification
- Resolution

In providing incident/problem management and resolution services, [Contractor] will:

- Provide a single point of contact for incident reporting, resolution, and escalation
- Provide multiple channels for problem or incident reporting (e.g., chat, email, telephone) to single point of contact
- Maintain ownership of all problems through resolution and closure
- Perform root cause analysis on problems
- Notify the County Help Desk of incidents or problems found by [Contractor]
- Provide on-call incident and problem management and resolution staff 24x7x365

- Ensure notification and escalation of incidents in accordance with the M&S Plan, Service Level Agreements, and applicable sections of the Contract

[Contractor] will provide the County with a monthly report on incident/problem management, including:

- Number of incidents
- List of all open problems
- Priority of problems
- Owner of problems
- Progress on open problems
- Estimate time to resolve open problems
- Root cause analysis for resolved problems as requested by the County

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss incident/problem management activities and related issues.

[Contractor] will report monthly, and as needed, on incident/problem management activities, including the tracking and reporting of any issues.

Deliverable	MS2.3.5 Monthly Incident/Problem Management Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will provide incident/problem management and resolution services to include notifying the County, assessment of operational impacts, triaging, tracking, escalation, and resolution of all incidents. By following the M&S Plan, SLAs, and any other applicable sections of this RFP, The Canton Group will maintain ownership of all issues through their resolution and closure. We will utilize multiple communications channels (e.g., email, telephone) for incident reporting, escalation, and resolution through a single point of contact to the County and the County Help Desk. The Canton Group will provide root cause analysis documentation on problems as well as provide on-call staff for any incident and problem management (staff to be available 24x7x365).

Given our solution's monitoring and logging capabilities, we can easily query metrics and provide accurate and real-time monitoring and reports to meet the incident response requirements of the County. The Canton Group will facilitate weekly calls and provide monthly reports for the incident response and resolution services. The monthly report will include the number of incidents, list of open problems (with priority, owner, progress, and estimated resolution time for each), and any root cause analysis done for previously resolved issues. If more frequent calls and/or reports are requested, we will meet the County's needs.

2.3.6 Implement New Releases and Software Upgrades

[Contractor] will manage and implement Licensed Software and Third-Party Product Releases, Upgrades, and configuration changes. [Contractor] will develop Release and Upgrade Plans, including:

- Release and Upgrade Management Plan
- Technical assessment of affected System areas (e.g., module, etc.)
- Functional assessment of affected System areas
- Impact of the change including required County workflow changes, training needs, and data exchanges with VoteCal
- Test plan
- Backout plan
- Test scripts
- Validation of code packages upon the install of the package

The County expects [Contractor]’s product will continuously evolve and [Contractor] will be transparent about its backlog. New Releases, Upgrades, and configuration changes may be prompted by [Contractor], County and/or CA SOS (VoteCal).

[Contractor] and the County will jointly determine Release and Upgrade schedule and time of implementation. CA SOS may at its sole discretion determine upgrade schedule for changes required to VoteCal.

[Contractor] will conduct required testing such as Regression Testing and Integration Testing including VoteCal.

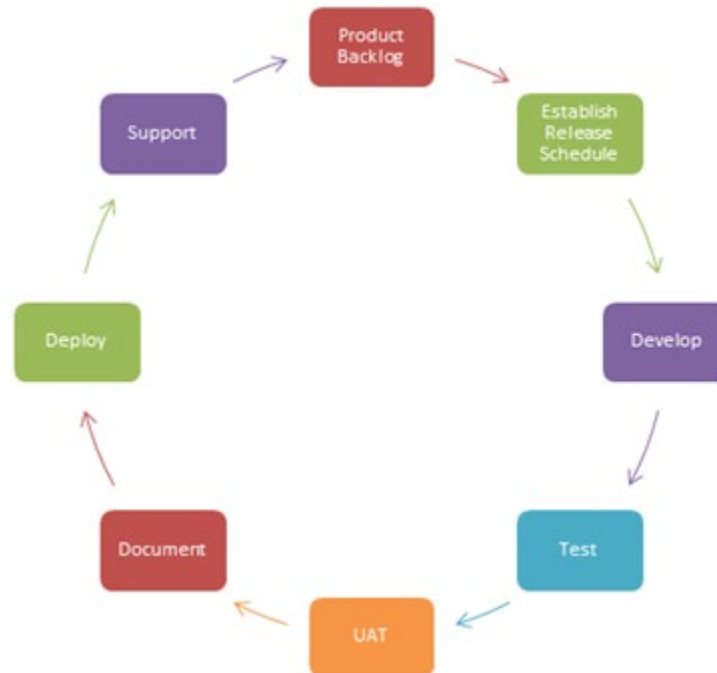
[Contractor] will resolve problems/incidents found in testing.

[Contractor] will update Training and Knowledge Transfer Materials as well as User Guide and Help Documentation as needed.

Deliverable	MS2.3.6.1 Release and Upgrade Plan MS2.3.6.2 Testing Results Report MS2.3.6.3 Updated Training and Knowledge Transfer Materials MS2.3.6.4 Updated User Guide and Help Documentation
Delivery Frequency	MS2.3.6.1 Once, and updated as needed MS2.3.6.2 Once per System testing MS2.3.6.3 As needed based on impact of Release or Upgrade MS2.3.6.4 As needed based on impact of Release or Upgrade

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group uses the following structured Release Management Process to manage software changes. As noted, our team follows an Agile software delivery method for our development, testing, and deployment process.



Each stage of this process has its own set of activities.

1. Product Backlog: Capture the defects, corrective and adaptive maintenance requests, and enhancements in Azure DevOps.
2. Establish Release Schedule: Collaboration between The Canton Group and the County to jointly determine a release schedule and time of implementation via a Release Implementation and Roll-Back Plan.
3. Develop: Design, develop, and perform unit tests/code peer reviews.
4. Test: Conduct thorough Integration and Regression Tests. The team will resolve problems and incidents found in the testing phase.
5. User Acceptance Testing (UAT): Submit internal test results, conduct demonstrations, support UAT activities, and prepare for deployments.
6. Update Documentation: Submit updated user documentation, release notes, impact of change to workflows, impacted training materials, and any data exchange workflows with VoteCal that could be impacted by this change.
7. Deploy: After the County's approval, our team will deploy the release to both the Production and Sandbox environments. This stage includes synchronization of data.
8. Support: Continuous monitoring of incidents and issues.

The Canton Group's approach is based on transparent and honest communication as our backlog and product evolves. We will collaborate with the County to jointly determine Release and Upgrade schedule and time of implementation. We acknowledge the California Secretary of State (CA SOS) may at its sole discretion determine upgrade schedule for changes required to VoteCal.

2.3.7 Provide Application Change Control

[Contractor] will design and implement a formal process for managing configuration and technology changes made to Licensed Software and Third-Party Products, including:

- Coordination of configuration and technology changes during the Project
- Communication between the Implementation Team and the M&S Team during deployment
- Criteria and processes for “hand off” of configuration and technology change control procedures from [Contractor]’s Implementation Team to [Contractor]’s M&S Team
- Production environment change control process
- Configuration and technology change control procedure including submission, analysis, and prioritization of requests
- Configuration and technology change approval meetings at a frequency agreed upon with the County
- Execution of configuration and technology change
- Validation of configuration and technology change

[Contractor] will assist the County in establishing a Configuration and Technology Change Control Board, including:

- Criteria for identifying representations to comprise the County’s Configuration and Technology Change Control Board and County’s responsibilities
- Recommendations for governance structure and processes to support configuration and technology change control activities and meetings

[Contractor] will work with the County to establish and mutually agree upon configuration and technology change processes.

[Contractor] will provide configuration and technology change control services, including:

- Participating on the Configuration and Technology Change Control Board to provide advice and direction to change requests
- Providing and maintaining an automated change control system to report and track changes made by [Contractor]
- Developing a production change schedule and reviewing with the County
- Providing risk management analysis, mitigation, and remediation
- Testing all changes to Licensed Software prior to moving them to production
- Testing application Enhancements, Upgrades, and other changes
- Developing test scripts and test data
- Developing training materials

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss configuration and technology change activities and related issues.

[Contractor] will report monthly, and as needed, on configuration and technology change activities, including the tracking and reporting of any issues.

Deliverable	MS2.3.7 Monthly Configuration and Technology Change Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group's manage change process ensures that changes to the supported software are understood, planned, communicated, and implemented in a controlled and organized manner with minimal impact on operational activities. The following figure shows the core activities.



- **Log Change Request:** Initiated by County staff, or The Canton Group's Application Support Staff. This maybe also be legislatively driven changes. All changes are logged in the backlog by the help desk. The changes may belong to any of the following categories:
 - **Corrective:** Rectify defects observed while the solution or to enhance the performance of the system.
 - **Adaptive:** Modifications and updates for the product to run on new platforms, on new operating systems, or when the product needs to interface with new hardware and software.
 - **Perfective:** Support new features or change different types of functionalities of the system.
- **Assess & Approve:** After the request is recorded, it is assessed in order to verify The Canton Group's understanding of all details and analyzes the associated impacts. This involves ensuring the request is legitimate (not already duplicated with another request),

compliant with the scope of the contract, and issued by an authorized end-user, client or a representative from The Canton Group. The County PM approves the change.

- Plan & Schedule: Activities are supported by the Release Management Process.
- Implement: Activities are supported by the Release Management Process.
- Report: Report to the County monthly the status of the change requests on the Configuration and Technology Change Report.

2.3.8 Provide Configuration Management

[Contractor] will provide configuration management of the System, including:

- Identifying, controlling, maintaining, and verifying installed hardware, Licensed Software, and Third-Party Productions
- Verifying configuration records against the infrastructure and correcting any exceptions
- Providing configuration records in a centralized location
- Developing and maintaining configuration management policies and procedures
- Establishing and maintaining a process to track configuration changes
- Establishing and maintaining guidelines for physical and logical separation between development, test, and production domains
- Establishing and maintaining a process for deploying and backing out of configuration items
- Establishing and maintaining configuration baselines as reference points for rebuilds
- Providing the ability to revert to stable configuration states
- Establishing and maintaining a process for verifying the accuracy of configuration items, adherence to configuration management processes, and identifying process deficiencies

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss configuration management activities and related issues.

[Contractor] will report monthly, and as needed, on configuration management activities, including the tracking and reporting of any issues.

Deliverable	MS2.3.8 Monthly Configuration Management Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group employs a deployment methodology using industry-standard best practices such as Information Technology Infrastructure Library (ITIL)-based configuration and change management. This approach has been used successfully in our system implementations. This standard SDLC-based release management reduces the risk of negatively impacting the production operating environment.

The processes in our deployment methodology that reduce deployment risks include:

- Identify and manage configuration items.

- Define, manage, and support Configuration Management Plan consistent with ITIL and Project Management Body of Knowledge (PMBOK) principles and methods.
- Manage releases in accordance with our Configuration Management Plan.
- Identify and create a schedule for application and system software patches and upgrades.

The Canton Group in collaboration with County establishes Configuration Management approach, processes, and monthly reporting that meets the requirements mentioned in section 2.3.8.

2.3.9 Provide Interface Support

[Contractor] will provide the County with interface support for the System, including:

- Monitoring outbound interface queue counts and status to ensure active outbound interfaces are operational
- Monitoring inbound interface queue counts and status to ensure active inbound interfaces are operational
- Timely notification of unresolved interface errors and remediation of any issues caused by an interface error
- Maintaining and updating interfaces
- Update interface documentation, including diagrams and schematics
- Provide feedback on interface specifications for new interfaces

[Contractor] is responsible for monitoring and managing the EMS and VoteCal integration. The County will submit additional interface requests as needed. [Contractor] and the County will agree on the process by which interface requests are submitted to [Contractor] and prioritized.

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss interface support activities and related issues.

[Contractor] will report monthly, and as needed, on interface support activities, including the tracking and reporting of any issues.

Deliverable	MS2.3.9 Monthly Interface Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

As part of project implementation, The Canton Group builds Business Intelligence (BI) reports that provides visibility into inbound and outbound message queue performance and errors on integration services and data pipelines. Our Partner Integration Service supported by Talend Data Fabric provides active Data Profiling capabilities to persist errors detected on the data pipelines and sent alerts to the team.

Our Agile scrum methodology is best suited to manage changes to Interface Use Cases and Specification. The Application Support Team conducts discovery sessions with the County/Vendor Support Staff to complete impact analysis and update the Interface Specification document. The Canton Group uses the Change Management Process described in section MS

2.3.7 to log and implement the changes to interface.

The California Secretary of State (CA SOS) releases new features, enhancements, and fixes defects to VoteCal on a quarterly basis. The Canton Group correspondingly remediates the EMS in coordination with counties and the SOS. Our team maintains active maintenance contract with the SOS and completes the annual re-certification process.

The Application Maintenance Technical Team Lead is available to advise the County on new requests for Interface changes. They also provide monthly and as needed conduct weekly calls, to report on Interface support activities and related issues.

2.3.10 Conduct Training and Provide Metrics

[Contractor] will be responsible for providing ongoing training to impacted County end users and conducting “Train-the-Trainer” trainings where new functionality will be implemented due to System enhancements, Releases, and Upgrades.

Trainings will be of sufficient length to ensure adequate comprehension. [Contractor] will provide training “just in time” prior to go-live of new functionality.

End users will include County Level 1 Help Desk staff that will be tasked with handling EMS-related issues. Training will focus on the process County Help Desk staff will use to support end users in resolving EMS issues that are referred to the Help Desk. For issues that are best addressed by specialists employed by [Contractor], [Contractor] will train the County staff in the manner and means by which such issues to Help Desk Level 2 are to be escalated and the resolution communicated back to the Help Desk Level 1.

After each training, [Contractor] will provide the County with documented evidence of each trainee’s competence to use the EMS to conduct their duties. The Reporting of Training Metrics will include training metrics and progress towards achieving training objectives. Metrics may include the number of participants registered to be trained, number of participants trained, and number of participants receiving training certification.

Deliverable	MS2.3.10 Report of Training Metrics
Delivery Frequency	Once after each training

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group’s approach to deliver user training is to develop custom training materials focused on meeting the requirements of the system, providing a custom training database that is reset after each class, and delivering training to the various users just in time for user acceptance testing, mock election testing, and go-live. The Canton Group will plan to utilize three different types of training for the EMS implementation, including: (1) class lectures with custom handouts and slides; (2) class discussions; and (3) workbooks for the users to practice what was learned in each class. Different training delivery methods offer different benefits to the class participants. Training delivery not only helps the class participant learn faster but it can also help them understand what they are expected to do after they have completed their training.

We develop the training curriculum based on the different types of users, each with their own roles and responsibilities. The Canton Group will deliver the appropriate training to each of these different types of users. Training documents, slides, workbooks, surveys, and training

database are delivered to the state so the state and County elections officials can conduct user training for onboarding new staff or reinforcing the training for existing staff.

Our proposed training plan focuses on how state and local elections officials are trained to meet the operational and procedural goals of the California Secretary of State (SOS). Like the other components of our proposed training, the scope will combine training delivered directly to SOS and county staff by The Canton Group trainers, self-guided training using materials developed during the analysis and assessment stage, and ongoing support and coaching from our training team. The stage comprises three specific tasks: (1) Develop classroom and online training materials; (2) Deliver classroom training; and (3) Assess training effectiveness.

The user training materials include business process manuals, Voter Registration Policy Manuals, Quick Reference Guides, and other related materials. The user training team will develop the materials in conjunction with state and local elections officials. Materials will be made available in hard copy for classroom training participants, as well as in electronic (online) format. The content of the user training materials derives from the business functional and technical requirements of the RFP. The user training materials focus on understanding the new and changed voter registration operations and procedures. In addition, the materials walk users and county users through the new and changed voter registration business processes, leveraging the 'To-Be' business process models.

At the end of each user training session, the instructor will collect evaluations of the course content and delivery from each participant. Additionally, the training team will survey classes to assess the effectiveness of the training. Based on the lessons learned from these evaluations and surveys, especially related to the county training, the training team will modify and adapt the training materials and/or revise the structure, content, or delivery methodology of the classroom training. Similar assessments will be completed after each user training wave.

2.3.11 Maintain Reports and Provide Support

[Contractor] will maintain reports developed during Implementation per Section 9.0 Reporting of the Implementation SOW. The County will submit additional report (including self-service reporting capabilities) or dashboard requests as needed. [Contractor] and the County will agree on the process by which report requests are submitted to [Contractor] and prioritized.

For reports and dashboards agreed to be developed, [Contractor] will complete the requirements and produce the Deliverables in accordance with Task 9.2 Develop Reports Specifications, Task 9.3 Design, Build and Test Reports, Task 9.4 Provide Self-Service Reporting Capability, and Task 9.5 Provide Dashboards of the Implementation SOW.

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss reporting development and support activities and related issues.

Deliverable	MS2.3.11.1 Report Specifications MS2.3.11.2 Reports MS2.3.11.3 Self-Service Reporting Capability MS2.3.11.4 Dashboards
Delivery Frequency	MS2.3.11.1 Ongoing, as needed MS2.3.11.2 Ongoing, as needed MS2.3.11.3 Ongoing, as needed

	MS2.3.11.4 Ongoing, as needed
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The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group's Election Data Analytics Platform powered by Snowflake and Tableau technologies and provides robust business intelligence and embedded analytics to meet the Self-Service Reporting and Dashboard needs. Our knowledge transfer activities during the LA EMS implementation are to train the County report authors who can effectively support the changing reporting needs of the County. Additionally, The Canton Group's M&S team includes a Data Engineer to advise the County on new reports, analytics, and dashboard.

When the County's request for additional report or dashboard is received, The Canton Group's Application Support team follows the Change Management Process described in section MS 2.3.7 to log and implement the change. The implementation of the report follows the Release Management Process described in MS2.3.6.1. Consistent with our Agile scrum development methodology, the report specification is captured as acceptance criteria on the report User Stories based on report discovery session with the County Subject Matter Expert.

Our Quality Assurance processes ensure the Information Model that supports our Election Data Analytics Platform maintains its data quality, completeness, and integrity even when the Application Data Model changes due to new features, enhancements, and defect fixes.

2.3.12 Maintain Security and Manage Authorization Controls and Processes

[Contractor] will provide application specific security services based on County guidelines, including:

- Provide and maintain virus and malware protection
- Monitor for System security errors, exceptions, and attempted violations
- Report security violations to the County per County policies

[Contractor] will provide System security services in compliance with applicable Federal, State, and County requirements including those provided in Exhibit J (Information Security and Privacy Requirements) to the Contract.

[Contractor] agrees to provide County with the current Azure SOC TSP compliance report or equivalent upon request.

[Contractor] will manage and implement authorization controls and processes, including:

- Maintaining and updating security technology architecture
- Providing and maintaining a user database for application-specific security including task access, positions, and roles
- Conducting batch user account provisioning for Licensed Software accounts as requested by the County
- Creating and managing [Contractor]'s user accounts

[Contractor] will develop a change control process for the creation and modification of [Contractor] user accounts and submit for County approval.

[Contractor] will conduct calls on a weekly basis, and as needed, with the County to discuss security and authorization management activities and related issues.

[Contractor] will report monthly, and as needed, on security and authorization management activities, including the tracking and reporting of any issues.

Deliverable	MS2.3.12 Monthly Security and Authorization Management Report
Delivery Frequency	Monthly, and as needed

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will maintain security and manage access controls to the application. This will include providing and maintaining virus/malware protection and monitoring for security errors and attempted violations. All security violations will be reported to the County. Our security services will comply with all applicable County, State, and Federal requirements.

Our solution uses Role Base Access Control (RBAC) for user authorization. Our Security Microservice supports custom roles, which are created by an administrator that has this privilege assigned when creating the Day Zero database (code tables, administrative users and roles, and pre-defined user roles based on access to modules and confidential data).

These roles are enforced by the application at the client side and the back end. When a new users is created, they create their credentials for authentication. If Single-Sign On (SSO) is utilized, our solution will interface with the County's Active Directory. Each user is assigned a role by the administrator. When the user logs in the system, a token with the user roles returns to the User Interface (UI). The UI uses these roles to provide access to the Views and Functions (Menu and Menu items). The UI automatically disables action buttons that the user role does not have access to. When the user sends requests to the back end (Microservices implemented layer architecture: Controller (REST APIs), Business Services and Data Services), the controller intercepts the requests that contain the security token, and it performs authentication and authorization. If the user does not have access to that Microservice, the user gets an unauthorized error in the UI. This allows our solution to accept other types of clients such as requests from third-party agencies or external parties. These external clients require to have a token that is given to them under a process of request and approval.

The users also can have access to some information of database entity (database table). For instance, users can have access only to non-confidential voter information. In this case, a Non-Confidential role is assigned to this type of users. All requests are logged on the back-end so that it's documented who is invoking the microservices and what operations are performed. At the data base layer, we use Journal (historical) tables to record each transaction performed to the records database. These two pieces of information allow for auditability of the requests to the system. These logs are fully exportable and easy to interpret.

The Canton Group will provide a change control process for the creation and modification of user accounts to the County for their approval. The Canton Group will facilitate weekly calls and provide monthly reports for the security and authorization management activities and any related issues. If more frequent calls and/or reports are requested, we will meet the County's needs.

2.4 Provide Internal Product Roadmap Presentations

[Contractor] will provide the County a presentation of its internal product Roadmap for the EMS and other products that are of interest to the County for no additional charge. Each Product Roadmap Presentation will be provided to the County whenever [Contractor] makes any significant change to its product Roadmap.

Deliverable	MS2.4 Product Roadmap Presentation
Delivery Frequency	As needed based on significant changes to product Roadmap

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group leverages Agile software development and its associated best practices for successful project implementation. Adhering to these best practices involves frequent and transparent communication throughout the entire project lifecycle. If and when significant changes occur to the internal product roadmap, The Canton Group will update and provide a presentation to the County (at no additional charge).

2.5 Provide Transition Services

[Contractor] will provide transition services to either transition the County's data to another product, or the hosting platform to a new provider, in the event:

1. Contract term has ended.
2. [Contractor] is in default of any obligation and requirement or [Contractor]'s work or performance is determined by the County to be defective, substandard, or if the County finds [Contractor] in breach of Contract.
3. [Contractor] can no longer provide support for the Software due to divestiture, insolvency, or other business reason.

[Contractor] will provide the transition services, including:

- Completing a thorough assessment of the status and priority of all:
 - Current work activities
 - Risks and issues
 - Deliverables
 - Configurations
 - Integrations
 - Development items
 - Environments
 - Personnel
- Conducting a review with the Program Manager to identify any documentation that must be updated because of changes during the Warranty or M&S periods
 - [Contractor] will update the documentation and provide it to the County for review and final acceptance

- Transferring the Project Information Library and all contents within to the County
- Identifying any County proprietary documentation and returning it to the County
 - Any electronic copies of County proprietary information stored on [Contractor]'s equipment must be destroyed and/or transferred back to the County
- Identifying any required tools, data, scripts, configuration items, source code assets, or other resources required for transition.

In collaboration with the County, [Contractor] will develop the Transition Plan that will guide the transfer of responsibilities and work activities. The Transition Plan will include, at minimum, the following elements:

- Schedule
- Milestones
- Cost impacts
- Work activities
- Assigned personnel
- Completion criteria for all items in the assessment

To the extent that transition services are required for any mandatory or optional hosting elements, [Contractor] will provide relevant transition services to support the move from the existing hosting environment to another hosting environment or County facility, as appropriate.

Deliverable	MS2.5 Transition Plan
Delivery Frequency	Once

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group recognizes that a complete knowledge transfer of the system is necessary for the County to establish a successful transition to an incoming contractor. Our Transition-Out support will be focused on achieving three major objectives: (1) to provide the County with all relevant technology elements and documentation; (2) a thorough transition plan; and (3) a complete knowledge transfer of the system to assist the County with establishing a successful transition to an incoming Contractor.

At least 30 days prior to the conclusion of the contract, The Canton Group will provide the County with complete and accurate copy of all code, technical components, and documentation used to develop, administer, maintain and operate the existing solution. At the conclusion of the contract and at the direction of the County, The Canton Group will fully participate in the transition of the application and data to a new environment.

The Canton Group will provide the transition-out support plan no later than 90 days prior to the end of the contract. This plan will outline the following:

- Any staffing concerns
- Issues and mitigations
- Steps and approach to provide a complete security and system access review

- Inventory of all hardware and software licensing (including plans for transferring appropriate licenses)
- Connectivity services and activities required for the transition
- Schedule of all tasks to ensure timelines are defined

The Canton Group will prepare the County with information and documentation related to the current system environments as well as the business procedures, practices, and processes surrounding them. The Canton Group will review the current work in progress and any incomplete backlog items, including known bugs and issues, and provide the County with plans for completion and/or transition to the new Contractor. Finally, The Canton Group will notify the County of any risks to the transition-out process and schedule and document them along with mitigation strategies.

3.0 Additional Services

3.1 Provide Additional Goods and Services (Based on a Negotiated Work Order)

Additional Goods and Services will allow the County flexibility to use the Contract to have [Contractor] perform tasks not anticipated at the time of contract execution but identified later. A pool of dollars will be set aside in the Contract and used via fee-based negotiated work orders.

The Deliverable(s) will be determined based on a negotiated work order.

The Contractor agrees to complete all the requirements set forth above in this section. The information below is intended to provide additional detail about how the requirements will be executed by the Contractor.

The Canton Group will work with the County to perform and complete tasks identified post-contract execution. Deliverables that fall under this scenario will be determined based on the negotiated work order.



APPENDIX A

STATEMENT OF REQUIREMENTS

TO

EXHIBIT A

STATEMENT OF WORK



A.1

TECHNICAL REQUIREMENTS MATRIX

TO

APPENDIX A

STATEMENT OF REQUIREMENTS

Department of Registrar-Recorder/County Clerk
Election Management System Implementation and Services Contract
Appendix A.1 Technical Requirements Matrix

Field	Definitions
Req. #	This should be used to refer to requirements in correspondence. DO NOT EDIT THIS FIELD.
Category	The technical requirement domain. DO NOT EDIT THIS FIELD.
Requirement	The detailed description of the requirement. DO NOT EDIT THIS FIELD.
Requirement Met	Proposer's response whether the technical requirement will be met by its solution. <u>Yes</u> : Requirement will be met. <u>Modification</u> : Proposed modification to requirement that will be met. Note: Modifications must be explained under 'Suggested Modification to Requirement or Clarifying Comments'. <u>No</u> : Requirement will not be met.
Method	Proposer's response to how the technical requirement will be met by its solution. O = Out of the Box: The requirement will be met through available functionality. C = Configuration: The requirement will be met through changes to tables, rules, etc. without modification to the source code. N = New Development/Customization: The requirement will be met through customization, which requires custom code development. Note: The level of complexity for new development/customization must be indicated under 'Suggested Modification to Requirement or Clarifying Comments'. T = Third Party Product: The requirement will be met by commercially available third-party software and is included in this Proposal. Note: The name of the proposed third-party software vendor and proposed components must be indicated under 'Suggested Modification to Requirement or Clarifying Comments'. F = Future: The requirement will be met by software that is currently under development, in Beta test, or not yet released. Note: The expected timing of when the functionality will be released must be indicated under 'Suggested Modification to Requirement or Clarifying Comments'. N = Requirement Not Met: The requirement will not be provided.
Suggested Modification to Requirement or Clarifying Comments	Provide comments/explanation on the Proposer's response, where required.

Department of Registrar-Recorder/County Clerk

Election Management System Implementation and Services Contract

Appendix A.1 Technical Requirements Matrix

GENERAL SYSTEM REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
GEN1-1	Audit and Compliance	The System shall have robust exception handling. The exceptions should be captured and recorded at all layers - the database, services, User Interface (UI) and all the components involved in processing user requests.	Yes	O = Out of the Box	
GEN1-2	Audit and Compliance	The System error logging and reporting shall be easy for administrators to use, and must not interfere or degrade System performance.	Yes	O = Out of the Box	
GEN1-3	Audit and Compliance	The System shall support full auditing and validation capabilities for changes to voter records and specified election data.	Yes	O = Out of the Box	
GEN1-4	Audit and Compliance	Fully auditable log of voter records and election management system records, including changes occurring throughout the lifecycle of those records.	Yes	O = Out of the Box	
GEN1-5	Audit and Compliance	The System shall provide notifications to the appropriate personnel for anomalous activities occurring.	Yes	O = Out of the Box	
GEN1-6	Audit and Compliance	The audit logs must be secure, fully exportable, and easy to interpret. The logs will be securely stored and non-modifiable.	Yes	O = Out of the Box	
GEN1-7	Audit and Compliance	The System shall provide reporting capability to query for audit log records matching specific criteria (e.g., audit logs for a specific user between certain dates).	Yes	O = Out of the Box	
GEN1-8	Audit and Compliance	The System shall provide the ability to identify configuration differences between two environments and migrate or sync environments (e.g., promote configurations from development to test environments).	Yes	O = Out of the Box	
GEN1-9	Integration	The System shall be able to scan supporting documentation as images using common formats (TIFF, JPG).	Yes	O = Out of the Box	
GEN1-10	Integration	Analytics on external interfaces, for the purpose of knowing where and when System failures occur.	Yes	O = Out of the Box	
GEN1-11	Integration	Full audit history of interfacing transactions.	Yes	O = Out of the Box	
GEN1-12	Regulatory and Security	The System operation shall be transparent and fully documented.	Yes	O = Out of the Box	
GEN1-13	Scalability and Extensibility	The System shall be "future proof" in terms of operating on widely used technology components and infrastructure, and be able to evolve with these components as their capabilities improve.	Yes	O = Out of the Box	
GEN1-14	Scalability and Extensibility	The programming environment shall use a widely-used programming platform, framework and runtime environment that ensures the longevity of the System.	Yes	O = Out of the Box	
GEN1-15	Scalability and Extensibility	The System shall be based on a product (i.e. not a bespoke solution) with a product roadmap that is informed by the needs of large counties and the State of California.	Yes	O = Out of the Box	
GEN1-16	Scalability and Extensibility	The System shall be configurable to report different severity of error logging for each component.	Yes	O = Out of the Box	
GEN1-17	Scalability and Extensibility	The System shall be adaptable to changing business needs and legislative changes, supporting rapid modifications through configuration, without dependency on rigidly-scheduled releases.	Yes	O = Out of the Box	
GEN1-18	Scalability and Extensibility	The System shall contain a configuration mechanism that drives the System's behavior, with the ability to implement modifications more quickly than through traditional programming changes.	Yes	O = Out of the Box	
GEN1-19	Scalability and Extensibility	The System shall be able to be extended to support new voter registration and election management innovations (e.g., ranked choice voting).	Yes	O = Out of the Box	
GEN1-20	Scalability and Extensibility	The application infrastructure shall provide a robust, secure, highly available, and scalable environment for EMS business capabilities.	Yes	O = Out of the Box	
GEN1-21	Scalability and Extensibility	The application infrastructure shall be able to distribute the workload among multiple instances in a cluster.	Yes	O = Out of the Box	

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GENERAL SYSTEM REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
GEN1-22	Scalability and Extensibility	The System shall provide a module or subsystem to permit City Clerks or 3rd party jurisdictions to search and view voter registration data within their jurisdictions including but not limited to: - Voter records - Voter signatures - Voter affidavits	Yes	O = Out of the Box	
GEN1-23	Usability	The System shall include predefined reporting as well as self-service reporting through Business Intelligence capabilities.	Yes	O = Out of the Box	

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INTERFACE REQUIREMENTS						
Req. #	Interface	Data Flow	Frequency	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
INT-1	Courts: Court Orders	From Courts		Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-2	ePulse: Voter Participation, Election Workers, Vote Center Locations, Precincts, Qualified Parties, Party and Address Changes, Name Changes, Cancelled Voters, Signatures, Provisionals/CVR	Bidirectional	On-demand	Yes	N = New Development / Customization	March 2022: Clarified Method as not previously assigned to "N = New Development / Customization" March 2022: Requirement clarified
INT-3	Esri Geographic Information System (GIS): Precinct, Subprecinct, District, and Street Segment Geography	Bidirectional	On-demand	Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-4	Okta (Single-Sign-On, Multifactor Authentication).	Bidirectional	On-demand	Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-5	Online Reviewable Campaign History and Information Database (ORCHID).	Bidirectional		Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-6	PollChief: Vote Centers, Vote-by-Mail Drop Boxes, Check-In Centers, Election Workers.	Bidirectional		Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-7	Public Health Dept: Deaths.	From Public Health		Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-8	Public Web Site (lavote.net): Voter Registration Status Lookup, Vote Center Locations and Wait Times, Candidate/Measure Status and Intake.	Bidirectional	On-demand	Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-9	Signature Recognition (hardware).	Bidirectional	On-demand	Yes	O = Out of the Box	TCG March 2022: Clarified Method as not previously assigned to "O = Out of the Box"
INT-10	United States Postal Service (USPS).	To USPS	On-demand	Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-11	VoteCal: Participation, Voter Records, Voter Record Changes, Voter Check-ins from other counties, Voter Check-ins from the County, Election Data, Election Night Reporting, Ballot Status Lookup.	Bidirectional		Yes	O = Out of the Box	TCG March 2022: Clarified Method as not previously assigned to "O = Out of the Box"
INT-12	VSAP (Voting Solutions for All People) Ballot Layout (VBL) Ballot Definition.	To VBL		Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"
INT-13	Cherwell: Voters, Vote Center and Election Worker data to Cherwell, Vote Center Phones (equipment assignment, chain of custody) to EMS	Bidirectional		Yes	N = New Development / Customization	TCG March 2022: Clarified Method as not previously assigned to "N = New Development / Customization"

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PRESENTATION LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH1-1	Accessibility	The System shall comply with applicable California state and federal laws and regulations for accessibility, including Section 508 of the Rehabilitation Act and the Americans with Disability Act.	Yes	O = Out of the Box	
TECH1-2	Accessibility	Public-facing portions of the System shall be mobile friendly, meet Web Content Accessibility Guidelines (WCAG) 2.0, and be available in 18 threshold languages identified by the County in addition to English. <ul style="list-style-type: none"> •Armenian •Chinese •Cambodian/Khmer •Farsi •Korean •Spanish •Tagalog/Filipino •Vietnamese •Hindi •Japanese •Thai •Russian •Bengali •Burmese •Gujarati •Indonesian •Mongolian •Telugu 	Yes	O = Out of the Box	
TECH1-3	Data Validation	The System shall ensure that input validation is applied whenever input is received through user or external data interfaces. The validation approach is to constrain, reject, and then sanitize input.	Yes	O = Out of the Box	
TECH1-4	Data Validation	The System shall not rely on client-side validation. The System design should assume that user input is malicious.	Yes	O = Out of the Box	
TECH1-5	Data Validation	Data is validated for type, length, format, and range. Data validation is consistent across the System.	Yes	O = Out of the Box	
TECH1-6	Data Validation	The System shall avoid untrusted input of file name and file paths. <ul style="list-style-type: none"> - System shall not accept file names or file paths from calling functions. - Security decisions shall not be made based on user-supplied file names and paths. 	Yes	O = Out of the Box	
TECH1-7	Data Validation	The System shall not use parent paths when data within the System is being accessed. Attempts to access resources using parent paths are blocked.	Yes	O = Out of the Box	
TECH1-8	Data Validation	The web server shall always assert a character set: a locale and a country code, such as en_US.	Yes	N = New Development / Customization	Phase One – Core System – August 23, 2023 Prior to Presidential Primary Election.
TECH1-9	Data Validation	All input parameters shall be validated (including form fields, query strings, cookies, and Hypertext Transfer Protocol (HTTP) headers).	Yes	O = Out of the Box	

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PRESENTATION LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH1-10	Portal	Cookies with sensitive data (e.g., authentication cookies, etc.) shall be encrypted.	Yes	O = Out of the Box	
TECH1-11	Portal	Sensitive data shall not be passed in query strings or form fields.	Yes	O = Out of the Box	
TECH1-12	Portal	Security decisions shall not rely on HTTP header information.	Yes	O = Out of the Box	
TECH1-13	Usability	The user interface of the System shall operate in a browser-based environment without device or operating system constraints/dependencies.	Yes	O = Out of the Box	
TECH1-14	Usability	The System presentation tier shall meet industry standards for design, performance, reliability, and security for dynamic content and user interaction.	Yes	O = Out of the Box	

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INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-1	Data Integration	The integration component shall provide the technology to manipulate data values, and the representation of those values for transport or conversion purposes. This processing logic is used to establish a common meaning of data, improve data quality or federate data from multiple sources.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-2	Data Integration	The integration component shall provide tooling that supports data profiling: the process of examining the data available in an existing data source (for example, a database or a file), and collecting statistics and information about that data. The purpose of these statistics may be to: a. Find out whether existing data can easily be used for other purposes. b. Give metrics on data quality, including whether the data conforms to company standards. c. Assess the risk involved in integrating data for new applications. d. Track data quality. e. Assess whether metadata accurately describes the actual values in the source database. f. Establish an understanding of data challenges early in any data-intensive project, so that late project surprises are avoided. Finding data problems late in the project can incur time delays and project cost overruns.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-3	Data Integration	The integration component shall provide tools for data source connectivity: Adapters for a range of source types beyond Relational Database Management integration components (RDBMS's) and legacy databases (access to data stored in non-relational structures), including packaged applications and Web services, the ability to access semi-structured and unstructured data (such as e-mail, websites, office productivity tools, content repositories and rich media)and the ability to interpret (as a source) XML structures.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-4	Data Integration	The integration component shall provide tools to support the Extract-Transform-Load (ETL) process that involves: a. Extracting data from data sources b. Transforming it to fit business needs (which can include quality levels) c. Loading it into the target data store d. Caching: The ability to cache federation results and various subsets of the source data to improve performance in situations where source data volumes are large; therefore, retrieving all data required for integration directly from the source is not feasible e. Verbose ETL process logging to allow for ease of support and debugging	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-5	Data Integration	The integration component shall have the ability to load data in a variety of approaches including (but not limited to) the following: a. Bulk data extraction and loading b. Granular trickle-feed acquisition and delivery c. Changed-data capture (ability to identify and extract modified data) d. Event-based acquisition (time-based or data-value-based)	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio

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INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-6	Data Integration	The integration component shall include the following types of transformation: a. Simple transformations such as data-type conversions, string manipulations and Simple calculations b. Moderate-complexity transformations, such as lookup and replace operations, aggregations, summarizations, deterministic matching and management of slowly changing dimensions c. Higher-order transformations, such as sophisticated parsing operations on free-form text and rich media Facilities for developing custom transformations and extending packaged transformations d. Facilities for developing custom transformations and extending packaged transformations	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-7	Data Integration	The integration component shall provide tools that enables the recording (storage) or retrieving (reading) of information (data) from data stores. An example is distributed query functionality that parses incoming queries into subqueries and the execution of those subqueries, via the connectivity layer, against the respective sources where the desired data resides.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-8	Data Integration	The integration component shall comply with all relevant HIPAA standards (Health Insurance Portability and Accountability Act), including national standards for electronic health care transactions and code sets, unique employee and provider identifiers, and security and privacy of individually identifiable health information (called "protected health information" or PHI).	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-9	Data Integration	The integration component shall prepare the necessary data conversion programs using Extract Transform and Load (ETL) from the existing database and file integration components to the new Data base/file integration component.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-10	Data Integration	Test Data Management (TDM): The integration component shall have the ability to create test data in Development and Test environments from production datasources using Extract, Transform and Load (ETL) mechanisms.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-11	Data Integration	Data Sub-setting: The integration component shall provide the ability in selecting sub-set of data elements from a set of data sources for a given criteria, follow the Referential Integrity constraints, and prepare the data to be copied to a Target destination or repository.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-12	Data Integration	Data Masking: The integration component shall provide the ability to mask data for PII (Personally Identifiable Information) fields such as name and address etc.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio

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INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-13	Data Integration	The integration component shall have the ability to interact with a range of different data structure types including: a. Connectivity and native access data stored in relational database management system b. Connectivity to, and native access to, data stored in nonrelational structures c. Support for access to and interpretation of a variety of flat-file formats d. Support for "interpret" and "create" (eXtensible Markup Language) XML and JavaScript Object Notation (JSON) and structures e. Interfaces to common packaged applications via the standard application interfaces provided by a vendor f. Interpretation and creation of industry-standard message formats g. Connectivity to message queues, including those provided by application integration middleware products and standards-based architectures h. Support for data structures such as graph-oriented, XML and other NoSQL-style database management system i. Connectivity to data resident in popular mobile device operating integration components and mobility platforms j. Connectivity to Application Programmer Interfaces (APIs) and data structures of popular social media sources k. Connectivity to popular spatial data sources (e.g., common GIS integration components, Esri) l. Support for in-memory database management system and in-memory data grids m. Ability to access data in nontraditional source types, such as email, Web, office productivity tools and content repositories	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-14	Data Integration	The integration component shall have the ability to profile data in existing databases (without the need to extract or move the data).	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-15	Data Integration	The integration component shall have the ability to profile data external to existing databases (by importing the data into the tool).	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-16	Data Integration	The integration component shall include a range of prebuilt analyses on individual attributes/columns/fields such as minimum, maximum, frequency distributions of values and patterns and others.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-17	Data Integration	The integration component shall include a range of prebuilt analyses to identify relationships, patterns, integrity gaps and duplication between and across multiple attributes/columns/fields and across tables, databases and files.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-18	Data Integration	The integration component shall have the ability to configure and execute user-defined profiling analyses.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-19	Data Integration	The integration component shall include a prebuilt functionality to analyze trends in profiling results over time.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-20	Data Integration	The integration component shall have the ability to present profiling results in a graphical manner (using various chart formats, for example).	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio, Tableau
TECH2-21	Data Integration	The integration component shall have the ability to present profiling results in textual report format.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-22	Data Integration	The integration component shall provide standard reports for exposing profiling results.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio, Tableau
TECH2-23	Data Integration	The integration component shall include prebuilt graphical dashboards presenting profiling results (gauges and meters comparing actual metrics to user-specified limits/controls, for example).	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio, Tableau
TECH2-24	Data Integration	The integration component shall have the ability to customize graphical, dashboard, and tabular presentation formats.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio, Tableau
TECH2-25	Data Integration	The integration component shall have the ability to present profiling results using third-party reporting or business intelligence tools (graphically or in tabular form).	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio, Tableau

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INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-26	Data Integration	The integration component shall provide ad hoc execution of profiling processes via user interface.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio
TECH2-27	Data Integration	The integration component shall provide scheduled execution of profiling processes (via built-in or third-party scheduling).	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-28	Data Integration	The integration component shall provide a number of parsing capabilities including: a. Ability to split text fields based on delimiters such as space or commas b. Ability to split text fields by matching character strings against packaged knowledge bases of terms, names and more c. Facilities for adding to, or customizing terms in, packaged knowledge bases, and the ability to create new knowledge bases d. Ability to perform parsing operations using knowledge bases from third-party sources e. Facilities for configuring user-defined parsing rules	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-29	Data Integration	The integration component shall provide a number of standardization and cleansing capabilities, including: a. Simple transformations, such as data-type conversions, string splitting and concatenation operations b. Moderately complex transformations such as look-up and replace operations c. Higher-order transformations, such as sophisticated parsing operations on free-form text and rich media d. Prebuilt rules for common standardization and cleansing operations, such as formatting addresses or telephone, social security and tax ID numbers e. Facilities for developing custom transformations and extending packaged transformations	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-30	Data Integration	The integration component shall provide a number of matching/relationship identification capabilities, including: a. Predefined rules for performing exact value-based matching b. Predefined algorithms/rules for matching, based on mathematical models, rather than on exact data values c. Linguistic techniques and other types of matching algorithms, for example (indicate types in comments column)" d. Entity identification/resolution across data of differing linguistic and cultural nuances e. Ability to weight, prioritize and tune matching rules (to optimize the frequency and number of potential matches, or the "tightness" or "looseness" of matching, for example) f. Facilities for implementing and customizing rules by which duplicate or related records can be merged into a single "survivor" g. Automatic removal of duplicate records based on rules for determining survival h. Ability to create logical groups of records by relating those with user-determined properties i. Ability for users to extend and/or customize the algorithms for matching, merging, linking and deleting duplications j. Ability to switch on/off data masking of records so that users are able to address data quality issues without compromising privacy and data security rules	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio, ViBE Data Analytics Component

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INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-31	Data Integration	The integration component shall include mechanisms for aiding the ongoing understanding and assurance of data quality, including: a. Ability to develop business rules that check for specific quality issues b. Ability to deploy monitoring rules within existing applications and data flows (explain deployment mechanism in comments column) c. Ability to deploy monitoring rules as a stand-alone process (explain deployment mechanism in comments column) d. Ability to generate alerts of various types (such as email, page and error message) if monitoring rules have been violated e. Prebuilt and customizable reports that show numbers and types of monitoring rule violations over time	Yes	T = Third Party Product	Talend Data Fabric - Data Integration,Talend Studio. Modify or configure the system wo implement the COunty defined business rules.
TECH2-32	Data Integration	The integration component shall include packaged functionality to address specific requirements of party data quality issues, such as standardization of names, addresses, contact details and hierarchies, and merging of duplicate party records.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration,Talend Studio. Will have to define the integration with Third Party Systems or include libraries for standarizations
TECH2-33	Data Integration	The integration component shall include the following support for location-related data standardization and cleansing: a. Vendor-provided libraries certified by relevant postal authorities b. Support for address extensions (such as the U.S. Postal Service's Zip+4 code look-up service), change of address notification and delivery-point validation c. Ability to provide some degree of email address validation (domain-level or user-level) d. Frequency and mechanism by which updates to postal libraries are delivered and applied e. Ability to tag records with geocoding information (such as latitude and longitude) f. Level of precision of geocoding data in relevant countries (street, block or rooftop, for example)	Yes	T = Third Party Product	Talend Data Fabric - Data Integration,Talend Studio. Modify to integrate with County approved third party systems for address extensions.
TECH2-34	Data Integration	The integration component shall provide process flow and user interface capabilities to enable business users to perform data-quality-related tasks and fulfill stewardship functions, including: a. Packaged processes, including steps used to perform common quality tasks (providing values for incomplete data, resolving conflicts of duplicate records, specifying custom rules for merging records, profiling, auditing, for example) b. User interface in which quality processes and issues are exposed to business users, stewards, and others c. Functionality to manage the data quality issue resolution process through the stewardship workflow (status tracking, escalation, and monitoring of the issue resolution process) d. Ability to customize the user interface and workflow of the resolution process e. Ability to execute data quality resolution steps in the context of a process orchestrated by BPM tools (packaged integration or other ability to work with popular BPM suites, for example)	Yes	T = Third Party Product	Talend Data Fabric - Data Integration,Talend Studio
TECH2-35	Data Integration	The integration component shall provide content publication capabilities including: a. Support in-context (what you see is what you get - WYSIWYG) editing and the ability to preview rendered content in a staging area. Verifying content for hygiene (for example, accessibility, spelling, format validation, privacy, security, speed of deployment) b. Publish to multiple locations and channels based on predefined attributes c. Roll back content publication if unsuccessful d. Automatically publishing on a scheduled date e. Support dynamic and event-driven presentation of content	Yes	N = New Development / Customization	Need to add either third party vendor or modify the system to support this capability.

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INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-36	Data Integration	The integration component shall include metadata capabilities including: a. Automated discovery and acquisition of metadata from data sources, applications and other tools b. Generation of lineage and impact analysis reports via graphical and tabular formats c. Open metadata repository with the ability to share metadata bidirectionally with other tools d. Automated synchronization of metadata across multiple instances of the tools e. Ability to extend metadata repository with customer-defined attributes and relationships f. Documentation of project/program delivery definitions and design principles that support requirements definitions g. Business analyst/end-user interfaces that view and work with metadata h. Capabilities that offer metadata management across unstructured data (e.g., using search, taxonomy management) alongside structured data (e.g., rules, data models) that serve the needs for data quality across the entire enterprise information landscape	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-37	Data Integration	The existing data from the current database tables and/or files shall be run through the Data quality checks and all Data quality issues will be reported to the County. Necessary corrective action will be performed under County's supervision, before final data conversion takes place in the new integration component.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Data Quality, Talend Studio.
TECH2-38	Data Integration	The integration component shall contain the capacity to transfer millions of records of data asynchronously or synchronously to external systems that meets the satisfaction of the County for expected high transfer rates, refreshing updated data and readily mitigate contention to respond seamlessly without degradation.	Yes	T = Third Party Product	Talend Data Fabric - Data Integration, Talend Studio
TECH2-39	Service Integration	The integration component shall provide reliable, once-only delivery of messages (guarantee of reliable and non-repetitive delivery).	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-40	Service Integration	The integration component shall support varying message payloads, ranging from individual transactions to large files containing multiple transactions.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-41	Service Integration	The integration component shall track messages from their origin to their destination, inquire on the status of messages and address exceptions (for example, resend a message if a target times out).	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-42	Service Integration	The integration component shall support all standard protocols and be able to bridge between protocols, such as Transmission Control Protocol (TCP), Hypertext Transfer Protocol (HTTP) and secure HTTP, File Transfer Protocol (FTP), Simple Mail Transfer Protocol (SMTP), etc.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-43	Service Integration	The integration component shall support manipulation of in-flight messages, such as transformation (typically XML-based), intelligent routing, naming and addressing.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-44	Service Integration	The integration component shall be able to apply logic to the routing of messages, including support for the following file interaction styles: a. Store and forward: Ability to persist a message and then send it to destinations. b. Publish/subscribe: Ability to distribute a message to multiple destinations based on a message attribute usually described as the subject area of the message. c. Request/reply: Ability to correlate asynchronous messages so that the target's response is associated with the appropriate request made by the source. d. Content-based: The ability to route a message based on a value or values within a message. For example, the ability to route a referral message whose target turnaround time is small to a different set of targets than a referral message whose turnaround time is high.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio

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Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-45	Service Integration	The integration component shall provide for syntactic conversion and semantic transformation of messages, including ease of use and reuse, number of built-in functions, ease of extending the transformation function with custom-coded logic.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-46	Service Integration	The integration component shall provide technology that combines design tools and runtime software to implement multiple-step integration scenarios to transform among protocols, connect to databases and link to APIs and non-API-enabled endpoints.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-47	Service Integration	The integration component shall provide operational monitoring (services, applications, processes and application infrastructure), and to collect events and usage information.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio, ViBE monitoring services
TECH2-48	Service Integration	The integration component shall provide for any combination of Alert Destinations such as Email, Simple Network Management Protocol (SNMP), reporting services, and server logs. The alerts shall be customizable with respect to the frequency of the alert, the ability to enable/disable an alert, rule expiration dates, starting and ending times for an alert, and customizable conditions for an alert.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-49	Service Integration	The integration component shall control access to the services and the connected resources (for example, other services and databases) through: a. Authentication b. Authorization c. Encryption/decryption d. Digital signatures e. Credential mapping	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-50	Service Integration	The integration component shall provide internal functionality for asynchronous or synchronous transfer (i.e. dependent of the receiving system) of voter data to external systems.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-51	Service Integration	The integration component, in combination with EMS, shall provide an API to access voter records for existing voter registration and vote by mail status lookup tools capable of refreshing updated data and readily mitigate contention to respond seamlessly without degradation, servicing more than 500,000 hits on peak performance sessions. The subset of voter data may include but is not limited to: - Name - Date of Birth - House Number - Zip Code	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-52	Service Integration	Integrate with the scanning solution to ingest images from Affidavits, Conditional Voter Registrations, Petitions, NVRA Cards, correspondences, etc. and capture content (via Optical Character Recognition) within EMS.	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH2-53	Service Integration	The vendor shall provide a list of scanners that are compatible with EMS to enable ingestion of Affidavits, Conditional Voter Registrations, Petitions, NVRA Cards, correspondences, etc.	Yes	O = Out of the Box	
TECH2-54	VoteCal	The integration component, in combination with EMS, shall provide the capability for staff to start the synch process	Yes	O = Out of the Box	
TECH2-55	VoteCal	The integration component, in combination with EMS, shall send a synch request to VoteCal and receives a response	Yes	O = Out of the Box	
TECH2-56	VoteCal	The integration component, in combination with EMS, shall monitor VoteCal notifications relative to the active synch request	Yes	O = Out of the Box	
TECH2-57	VoteCal	The integration component, in combination with EMS, shall provide status feedback according to the different stages of synch	Yes	O = Out of the Box	

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Appendix A.1 Technical Requirements Matrix

INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-58	VoteCal	The integration component, in combination with EMS, shall provide VoteCal notification feedback to include but not limited to: - Synch request ID and time submitted - Synch request processing - Currently downloading x files of n - Download complete	Yes	O = Out of the Box	
TECH2-59	VoteCal	The integration component, in combination with EMS, shall display feedback on hash status and activities.	Yes	O = Out of the Box	
TECH2-60	VoteCal	The integration component shall provide statistics on out of synch conditions: - Voters missing from EMS - Voters missing from VoteCal - Voters in both systems but with different data including but not limited to: - Addressees or precinct - Status - Political party - Birth date *Registration date - Voter Participation History (VPH) - Correspondence	Yes	C = Configuration	
TECH2-61	VoteCal	The integration component, in combination with EMS, shall provide a visual and email alert the user as each synch stage is completed including but not limited to: - Synch request ID - Time/date, - Outcome - Results.	Yes	O = Out of the Box	
TECH2-62	VoteCal	The integration component, in combination with EMS, shall automatically synchronize data between the VoteCal and EMS according to rules which include but are not limited to: - In cases where a record exists in both systems but data different, The integration component, in combination with EMS, shall correctly determine which data to replace. - If the differences are due to a newer registration, the record with the newer registration should be used. - If the difference(s) are due to a correction of the record, the latest date timestamp of the edits should be used. - If the difference is administrative data, then only the most recent administrative data should be used.	Yes	O = Out of the Box	
TECH2-63	VoteCal	The integration component, in combination with EMS, shall have the ability to validate that the data processed for synch has been synched.	Yes	O = Out of the Box	
TECH2-64	VoteCal	The integration component, in combination with EMS, shall report on any records that could not be synchronized, with their reason, and make available such records for export.	Yes	C = Configuration	
TECH2-65	VoteCal	The integration component, in combination with EMS, shall provide the option for IT staff to manage the system to monitor out of sync variances between the EMS & VoteCal and initiate automatic sync requests.	Yes	O = Out of the Box	
TECH2-66	VoteCal	The integration component, in combination with EMS, shall provide human centric UI controls to monitor & manage sync activities and related data.	Yes	O = Out of the Box	
TECH2-67	VoteCal	The integration component, in combination with EMS, shall provide auto scheduling configurations to initiate the sync process.	Yes	C = Configuration	
TECH2-68	VoteCal	The integration component, in combination with EMS, shall provide the capacity to report on end-to-end tracking through EMS tables and services.	Yes	N = New Development / Customization	

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Appendix A.1 Technical Requirements Matrix

INTEGRATION SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH2-69	VoteCal	The integration component, in combination with EMS, shall identify and apply the solution to sync the EMS data with the VoteCal record based on historical process solutions of the variance.	Yes	O = Out of the Box	
TECH2-70	VoteCal	The integration component, in combination with EMS, shall allow the County to manage tolerance and parameter settings to identify and apply the solution to sync the EMS data with the VoteCal record based on historical process solutions of the variance.	Yes	N = New Development / Customization	Phase Two – Interfaces and External Systems – November 27, 2023 Prior to Presidential Primary Election.
TECH2-71	VoteCal	The integration component, in combination with EMS, shall provide a complete Full sync solution request including but not limited to monitoring syncs statuses, requesting the sync variance status, remediating voter records to bring them in sync, exportable records by category or type of record set.	Yes	O = Out of the Box	
TECH2-72	VoteCal	The integration component, in combination with EMS, shall provide a complete Precinct sync solution request (i.e. redistricting) including but not limited to monitoring syncs statuses, requesting the sync variance status, remediating precincting records to bring them in sync.	Yes	O = Out of the Box	
TECH2-73	VoteCal	The integration component, in combination with EMS, shall manage running Precinct or Full sync requests within the complete scope of business requirements in a timely manner acceptable to the County.	Yes	O = Out of the Box	
TECH2-74	VoteCal	The integration component, in combination with EMS, shall provide a set of distinct reports to disseminate synced data by categories for Executive, operations and technical audiences per each run.	Yes	C = Configuration	
TECH2-75	VoteCal	The integration component, in combination with EMS, shall provide a historical archive of sync activity and relative reports.	Yes	C = Configuration	
TECH2-76	VoteCal	The integration component, in combination with EMS, shall provide the capacity to compare sets of historical reporting data for tracking and comparable values between reports.	Yes	C = Configuration	
TECH2-77	VoteCal	The integration component, in combination with EMS, shall identify & minimize duplication affects in the reporting mechanism.	Yes	O = Out of the Box	
TECH2-78	VoteCal	The integration component, in combination with EMS, shall function at peak performance at scale, managing hundreds of millions of records for the sync process within a short limited time acceptable by the County.	Yes	O = Out of the Box	
TECH2-79	VoteCal	The integration component, in combination with EMS, shall have the capacity to integrate to current local & future systems not limited to on premises County owned applications to meet current and future business requirements.	Yes	N = New Development / Customization	Phase Two – Interfaces and External Systems – November 27, 2023 Prior to Presidential Primary Election.

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Appendix A.1 Technical Requirements Matrix

DATA SERVICES LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH3-1	Business Intelligence	The System shall provide access to all data for real-time operational reporting.	Yes	O = Out of the Box	
TECH3-2	Business Intelligence	The System shall be able to support real-time analytics and reporting through a separate repository.	Yes	O = Out of the Box	
TECH3-3	Business Intelligence	The BI component shall provide the ability to manage access to reports based on user role.	Yes	O = Out of the Box	
TECH3-4	Business Intelligence	The BI component's business intelligence and reporting capabilities shall be scalable to accommodate changes in usage and data volume.	Yes	O = Out of the Box	
TECH3-5	Business Intelligence	The BI component shall have a mechanism to share specific data (e.g. limited data sets, detailed data at the level of the individual but with the data anonymous and completely de-identified, etc.) in a controllable fashion with data requestors.	Yes	O = Out of the Box	
TECH3-6	Business Intelligence	The BI component shall provide tooling to allow predictive modeling and analysis utilizing production data.	Yes	O = Out of the Box	
TECH3-7	Business Intelligence	The BI component shall provide self-service capability for users to create and customize reports, queries, and dashboards without needing programmer staff.	Yes	O = Out of the Box	
TECH3-8	Database Management Systems	The System shall support retention policies that comply with the relevant sections. There is a distinction between the voter record and the voter file. The voter record must remain within the System indefinitely. The voter file, which may include applications, certificates, investigations, etc. does not need to be maintained indefinitely. The voter file retention requirements are that voter files must be kept within the System and readily available as long as the voter registration is active, plus 5 years upon registration cancellation.	Yes	C = Configuration	
TECH3-9	Database Management Systems	The California Secretary of State and the Los Angeles County Department of Registrar-Recorder/County Clerk are the owners of all data and will remain so during the entirety of the Contract. Contractor, including any Subcontractor, shall not use or access the data except as authorized, and shall not disclose the data to any other person or entity without the County's express written consent.	Yes	O = Out of the Box	
TECH3-10	Database Management Systems	The System shall protect all data from corruption.	Yes	O = Out of the Box	

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Appendix A.1 Technical Requirements Matrix

SECURITY LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH4-1	Identity and Access Management	The System shall be able to limit or detect access to critical components in order to guard against loss of Solution integrity, availability, confidentiality, and accountability.	Yes	O = Out of the Box	
TECH4-2	Identity and Access Management	All System software (including third-party software to be installed such as operating systems and drivers) and installation programs shall be documented.	Yes	O = Out of the Box	
TECH4-3	Identity and Access Management	The System shall have protections against external threats and be able to monitor and respond to those threats.	Yes	O = Out of the Box	
TECH4-4	Identity and Access Management	The System shall allow authorized site-specific users to manage site-specific user groups and user accounts up to and including their level of authority. The system shall automatically log any changes to access right for review by management.	Yes	O = Out of the Box	
TECH4-5	Identity and Access Management	The System shall allow administrators to delegate authority, by user group, to reset passwords and restore access for locked-out users.	Yes	O = Out of the Box	
TECH4-6	Identity and Access Management	The System shall provide the ability to restrict access based on user's account roles and privileges.	Yes	O = Out of the Box	
TECH4-7	Identity and Access Management	The System shall allow restricting the rights, privileges or access of processes to the minimum required for authorized tasks.	Yes	O = Out of the Box	
TECH4-8	Identity and Access Management	The System shall have the ability to display the last date and time the user logged onto the System at the time of logon.	Yes	O = Out of the Box	
TECH4-9	Identity and Access Management	The System shall allow revocation of the access privileges of a user without requiring deletion of the user.	Yes	O = Out of the Box	
TECH4-10	Identity and Access Management	The System shall allow assigning multiple roles to one user.	Yes	O = Out of the Box	
TECH4-11	Identity and Access Management	Administration interfaces shall require strong authentication and authorization.	Yes	O = Out of the Box	
TECH4-12	Identity and Access Management	Remote administration channels shall be secured, such as Secure Socket Layer (SSL) or Virtual Private Network (VPN).	Yes	O = Out of the Box	
TECH4-13	Identity and Access Management	Configuration stores shall be secured from unauthorized access and tampering.	Yes	O = Out of the Box	
TECH4-14	Identity and Access Management	Configuration credentials and authentication tokens shall be encrypted in configuration files (e.g., ssh client config file with remote login ID and password).	Yes	O = Out of the Box	
TECH4-15	Identity and Access Management	The System shall use MS Active Directory for authentication.	Yes	O = Out of the Box	
TECH4-16	Identity and Access Management	The System shall have the ability to support web based client access or other internet based client access technologies, with appropriate security access controls.	Yes	O = Out of the Box	
TECH4-17	Identity and Access Management	The System shall integrate with a third-party identity provider (iDP) for authentication with known protocols and has the capability of notifying the end user of account password expiration date as well as the ability to reset the password through the Solution's user interface. Examples include Lightweight Directory Protocol (LDAP), Security Assertion Markup Language (SAML) or the Open Authorization framework (OAuth).	Yes	O = Out of the Box	
TECH4-18	Identity and Access Management	The System shall perform secure and seamless logon for all third party integrated Solutions.	Yes	O = Out of the Box	
TECH4-19	Identity and Access Management	The System shall require password re-entry before user is allowed to perform functions predefined as "high security".	Yes	O = Out of the Box	
TECH4-20	Identity and Access Management	The System shall encrypt sensitive data transmitted between clients and servers using SSL Certificates, Transport Layer Security (TLS), or by other means.	Yes	O = Out of the Box	
TECH4-21	Identity and Access Management	The System shall restrict users without specific database administrator access privileges from directly accessing the database.	Yes	O = Out of the Box	
TECH4-22	Identity and Access Management	The System shall provide the option for multi-factor authentication for users with higher security access.	Yes	O = Out of the Box	
TECH4-23	Identity and Access Management	The System shall use privileged account management to protect and track access of sensitive data by users with administrative accounts.	Yes	O = Out of the Box	
TECH4-24	Identity and Access Management	The System shall use least-privileged accounts.	Yes	O = Out of the Box	

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Appendix A.1 Technical Requirements Matrix

SECURITY LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH4-25	Identity and Access Management	The System prevent, detect, and log unauthorized attempts to access the System. The system shall notify administrators of such events.	Yes	O = Out of the Box	
TECH4-26	Identity and Access Management	The database shall restrict access to stored procedures to authorized accounts only.	Yes	O = Out of the Box	
TECH4-27	Identity and Access Management	Direct access to database tables shall be prohibited.	Yes	O = Out of the Box	
TECH4-28	Identity and Access Management	All account IDs that are used by the System shall be identified and the resources accessed by each account is known.	Yes	O = Out of the Box	
TECH4-29	Identity and Access Management	The System shall support integrity mechanisms for transmission of both incoming and outgoing files, such as parity checks and Cyclic Redundancy Checks (CRCs).	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio.
TECH4-30	Identity and Access Management	The System shall support measures to prevent the upload of unauthorized files (e.g., executable files).	Yes	T = Third Party Product	Talend Data Fabric - Application & API Integration, Talend Studio
TECH4-31	Identity and Access Management	The System shall encrypt voter data at rest or in motion, and support all required encryption processes.	Yes	O = Out of the Box	
TECH4-32	Identity and Access Management	The System shall support Role-Based Access Control (RBAC) in managing user permissions with no limit on the number of roles created in the System.	Yes	O = Out of the Box	March 2022: Requirement clarified
TECH4-33	Identity and Access Management	The System shall provide granular access control to different types of data records based on the following permissions: - Read - Write - Modify - Delete	Yes	O = Out of the Box	
TECH4-34	Identity and Access Management	The System shall automatically revoke access for inactive users who have not accessed the system for over 180 days. It does not delete the user, and a system administrator can reactivate the user's access.	Yes	O = Out of the Box	

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Appendix A.1 Technical Requirements Matrix

INFRASTRUCTURE LAYER REQUIREMENTS					
Req. #	Category	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
TECH5-1	Development, Operations and Support Tools	All infrastructure components shall provide performance monitoring capability. The performance characteristics shall reported near real-time.	Yes	O = Out of the Box	
TECH5-2	Development, Operations and Support Tools	The System shall be operated according to best practices for IT service management.	Yes	O = Out of the Box	
TECH5-3	Development, Operations and Support Tools	The System shall include a means for automated testing to ensure that deployment of changes is successful.	Yes	O = Out of the Box	
TECH5-4	Network Infrastructure	The network infrastructure shall be consistent with County standards.	Yes	O = Out of the Box	
TECH5-5	Network Infrastructure	The Department of Registrar-Recorder/County Clerk prefers infrastructure maintenance approaches that leverage automation and reduce the chances for errors causes by manual configuration.	Yes	O = Out of the Box	
TECH5-6	Platform	The platform shall be a Windows-based platform with common and widely used technologies.	Yes	O = Out of the Box	
TECH5-7	Server Infrastructure	The server infrastructure shall use commodity hardware that does not create any limitations for third-party hosting and/or cloud deployment.	Yes	O = Out of the Box	
TECH5-8	Server Infrastructure	The System shall include and integrate with Signature Recognition capability for Vote by Mail (VBM) signature verification.	Yes	N = New Development / Customization	Talend Data Fabric - Application & API Integrates using Integration,Talend Studio. Phase Two – Interfaces and External Systems – November 27, 2023 Prior to Presidential Primary Election.
TECH5-9	Virtualization	The System shall run in a virtualized server environment.	Yes	O = Out of the Box	



A.2

FUNCTIONAL REQUIREMENTS MATRIX

TO

APPENDIX A

STATEMENT OF REQUIREMENTS

Department of Registrar-Recorder/County Clerk
Election Management System Implementation and Services Contract
Appendix A.2 Functional Requirements Matrix

Field	Definitions
Req. #	This should be used to refer to requirements in correspondence. DO NOT EDIT THIS FIELD.
Component	The component for which the functional requirement supports. DO NOT EDIT THIS FIELD.
Requirement	The detailed description of the requirement. DO NOT EDIT THIS FIELD.
Requirement Met	Proposer's response whether the functional requirement will be met by its solution. <u>Yes</u> : Requirement will be met. <u>Modification</u> : Proposed modification to requirement that will be met. Note: Modifications must be explained under 'Suggested Modification to Requirement or Clarifying Comments'. <u>No</u> : Requirement will not be met.
Method	Proposer's response to how the functional requirement will be met by its solution. <u>O = Out of the Box</u> : The requirement will be met through available functionality. <u>C = Configuration</u> : The requirement will be met through changes to tables, rules, etc. without modification to the source code. <u>N = New Development / Customization</u> : The requirement will be met through customization, which requires custom code development. <u>T = Third Party Product</u> : The requirement will be met by commercially available third-party software and is included in this Proposal. Note: The name of the proposed third-party software vendor and proposed components must be indicated under 'Suggested Modification to Requirement or Clarifying Comments'. <u>F = Future</u> : The requirement will be met by software that is currently under development, in Beta test, or not yet released. Note: The expected timing of when the functionality will be released must be indicated under 'Suggested Modification to Requirement or Clarifying Comments'. <u>N = Requirement Not Met</u> : The requirement will not be provided.
Suggested Modification to Requirement or Clarifying Comments	Provide comments / explanation on the Proposer's response, where required.

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Appendix A.2 Functional Requirements Matrix

VOTERS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-VR001	Voters Folder Search for voter				
	UC-VR001-01		<p>The System shall present data entry fields to search voter records including, but not limited to:</p> <ul style="list-style-type: none"> - EMS Voter ID - Affidavit # - State ID - AV Ballot ID - Names (last, first, middle) - Birthdate - Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) - Perm status - Precinct - District and district type - Registration date - Source and delivery of registration - Email - Phone number 	Yes	O = Out of the Box	
	UC-VR001-02		<p>The System shall provide user the option to select and modify search including, but not limited to:</p> <ul style="list-style-type: none"> - Barcode mode search - Phonetic, nickname or fuzzy match of names - Street alias - Optimized search (where if an account holder is not found, the result(s) provided shall be a close matches). 	Yes	O = Out of the Box	
	UC-VR001-03		<p>The System shall allow the use of wildcards in a search. Wild cards shall include (SQL examples are given but could be any standard wildcard notation)</p> <ul style="list-style-type: none"> - Zero or more characters (%) - A single character (_) - A single number or letter (#,?) - Ranges or lists and their negation (*,!) 	Yes	O = Out of the Box	
	UC-VR001-04		<p>The System shall accept entry from a barcode reader, including but not limited to:</p> <ul style="list-style-type: none"> - Fields for barcode entry include: - EMS Voter ID - Driver License - State ID 	Yes	O = Out of the Box	
	UC-VR001-05		The System shall provide validation on data entered by user.	Yes	O = Out of the Box	
	UC-VR001-06		<p>The System must permit the following voter record fields in matching search results set to be selectable for The System to drill down and return specific voter record metadata, including but not limited to:</p> <ul style="list-style-type: none"> - EMS Voter ID - Affidavit - State ID - Names (last, first, middle) - Voter status - Birthdate - Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) - Perm status - Precinct - Party - Registration date - Signature (security role permitting) - Language 	Yes	O = Out of the Box	
	UC-VR001-07		The System shall provide user the capability to sort results by any summary fields returned.	Yes	O = Out of the Box	
	UC-VR001-08		The System shall provide user the capability to return to the original search screen to modify previously entered search parameters.	Yes	O = Out of the Box	
	UC-VR002	View or update Voter				
	UC-VR002-01		<p>The System shall display search results for a voter record displaying primary administrative voter information. These shall include but is not limited to:</p> <ul style="list-style-type: none"> - EMS Voter ID (fixed) - State ID (fixed) - Status - Latest applied reason code 	Yes	O = Out of the Box	
	UC-VR002-02		<p>The System shall display primary voter registration information for a voter record search at a minimum including, but not limited to:</p> <ul style="list-style-type: none"> - Names (last, first, middle) - Birthdate - Residence Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) - Driver license # - Last 4 digits of Social Security Number (SSN4) - Perm Category, type of application and how received, and Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) flags - Party - Gender - Language preference - Email - Phone number - Registration dates - Date received - Mailing address (if different from residence address) 	Yes	O = Out of the Box	

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VOTERS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-VR002-03		The System shall display voter registration information in the order it appears on an affidavit.	Yes	F = Future	
	UC-VR002-04		The System shall display administrative voter registration information returned in a search including, but not limited to: - HAVA ID and status (fixed) - Source of registration - Delivery type of registration	Yes	O = Out of the Box	
	UC-VR002-05		The System shall display affidavit information associated with the voter record returned in a search including, but not limited to: - Current affidavit - Affidavit ID # - Signature - Affidavit Image - Registration date - Past affidavits - Affidavit ID # - Signature - Affidavit Image - Registration date	Yes	O = Out of the Box	
	UC-VR002-06		The System shall provide current and previous signatures viewable side-by-side in order of affidavits from most recent to first when requested (1) per voter record or (2) automatically displayed.	Yes	O = Out of the Box	
	UC-VR002-07		The System shall allow the Affidavit images to be scalable and opened in a child window(s).	Yes	O = Out of the Box	
	UC-VR002-08		The System shall provide the option to drill down and display secondary voter information . At a minimum these shall include, but not limited to: - Voter History - Districts (fixed) - Election information (fixed) - Comments - Petitions (fixed)	Yes	O = Out of the Box	
	UC-VR002-09		The System shall display historical transaction information in a sortable tabular form listing all additions, changes and deletions to the voter record including users affecting record changes and the related date and time of the changes. System shall have a search feature for users to search for information by keywords.	Yes	O = Out of the Box	
	UC-VR002-10		The System shall display historical VoteCal messages and transactions.	Yes	O = Out of the Box	
	UC-VR002-11		The System shall display historical ballot information such as ballots issued, status and challenge codes.	Yes	O = Out of the Box	
	UC-VR002-12		The System shall allow authorized users to update any non-fixed information to voter records permitted by the user's security role.	Yes	O = Out of the Box	
	UC-VR002-13		The System shall validate changes to a voter record against election law and auto-correct.	Yes	O = Out of the Box	
	UC-VR002-14		The System shall populate a fatal pend status and a fatal pend code/flag to a record that has functional or legal issues when specific conditions are met including but limited to: - Voter is under 18 years prior to next election - Affidavit registration lacks signature - Voter is not a United States citizen - Voter residence address is not in Los Angeles County - Voter residence address is at a business, post office or mail drop address - Voter is incarcerated for a felony conviction	Yes	O = Out of the Box	
	UC-VR002-15		The System shall provide the capability for users to add unlimited comments on the voter registration record and be able to view/edit results and sort by date.	Yes	O = Out of the Box	
	UC-VR002-16		The System shall automatically assign a voter to a precinct when a user updates a residence address eligible for precincting.	Yes	O = Out of the Box	
	UC-VR002-17		The System shall provide the user with a selectable list of appropriate street name(s), street direction(s), house number range(s), street type(s), city or zip when the residence address is minimally incomplete, a near match or ambiguous.	Yes	O = Out of the Box	
	UC-VR002-18		The System shall allow non-standard residential addresses.	Yes	O = Out of the Box	
	UC-VR002-19		The System shall allow manual precincting of voter address.	Yes	O = Out of the Box	
	UC-VR002-20		The System shall provide the ability to modify VoteCal transactions (unmerge record) and resend record to VoteCal.	Yes	O = Out of the Box	
	UC-VR002-21		The System shall require an explicitly selected reason code prior to saving the record, if not auto generated by system configurations.	Yes	O = Out of the Box	
	UC-VR002-22		The System shall validate changes to a voter record according to conformance to data type, content, election law and County policies.	Yes	O = Out of the Box	
	UC-VR002-23		The System shall display alerts of any deficiencies in the voter record and provide the specific resolution instructions to correct the deficiencies.	Yes	O = Out of the Box	
	UC-VR002-24		The System shall autocorrect a VoteCal record fault whenever possible if it does not conflict with VoteCal or EMS business rules.	Yes	O = Out of the Box	
	UC-VR002-25		The System shall update local data tables and send updates of the voter record to VoteCal in accordance to VoteCal business rules.	Yes	O = Out of the Box	
	UC-VR002-26		The System shall log all changes to a voter record in a transaction table.	Yes	O = Out of the Box	
	UC-VR003	Delete Voter				
	UC-VR003-01		The System shall provide the option to search for and display the returned voter record information to delete.	Yes	O = Out of the Box	

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	UC-VR003-02		<p>The System shall display the selected voter record administrative voter information. At minimum these shall include, but not limited to:</p> <ul style="list-style-type: none"> - EMS Voter ID (fixed) - Status - Reason Code - Affidavit - Driver's License # - Names (last, first, middle) - Birthdate - Residence Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) - Last 4 digits of Social Security Number (SSN4) - Perm Category, type of application and how received, and Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) flags - Party - Gender - Language preference - Email - Phone number - Registration dates - Date received - Mailing address (if different from residence address) - The User selects option to delete a voter record. - The System shall delete a voter record and remove it from the list of eligible voters. - The System shall log changes and save transaction. 	Yes	O = Out of the Box	
	UC-VR003-03		The System shall permit the voter record to be deleted and removed from the list of eligible voters when selected and confirmed by the user.	Yes	O = Out of the Box	
	UC-VR003-04		The System shall log changes and save transaction when a voter record is delete.	Yes	O = Out of the Box	
	UC-VR005	Manage confidential Voter records				
	UC-VR005-01		The System shall allow authorized users to view and update any non-fixed information to a confidential voters record's information according to the user's security role.	Yes	O = Out of the Box	
	UC-VR005-02		The System shall automatically assign a voter record to a precinct based on an eligible residence address.	Yes	O = Out of the Box	
	UC-VR005-03		<p>The System shall provide the user with a selectable list of appropriate / expected data fields when the residence address is minimally incomplete, a near match or ambiguous that would include but not limited to:</p> <ul style="list-style-type: none"> - street name(s) - street directional(s) - house number range(s) - street type(s) - city - zip 	Yes	O = Out of the Box	
	UC-VR005-04		The System shall allow non-standard residential addresses.	Yes	O = Out of the Box	
	UC-VR005-05		The System shall allow manual precincting of voter address.	Yes	O = Out of the Box	
	UC-VR005-06		<p>The System shall apply a fatal pend status and a fatal pend code/flag to a record that has functional or legal issues when specific conditions are met including but limited to:</p> <ul style="list-style-type: none"> - Voter is under 18 years prior to next election - Affidavit registration lacks signature - Voter is not a United States citizen - Voter residence address is not in Los Angeles County - Voter residence address is at a business, post office or mail drop address - Voter is incarcerated for a felony conviction 	Yes	O = Out of the Box	
	UC-VR005-07		<p>The System shall validate voter record fields according to conformance to data type, content and conformance to election law informing the user for verification by the following or agreeable communication methods:</p> <ul style="list-style-type: none"> - System alerts user to any deficiencies in voter record and provides user with specific resolution instructions to correct any deficiencies - System autocorrects issues that would result in a VoteCal record fault whenever possible. 	Yes	O = Out of the Box	
	UC-VR005-08		The System shall update local data tables and sends updates to VoteCal.	Yes	O = Out of the Box	
	UC-VR005-09		The System shall log all changes to voter record in a transaction table.	Yes	O = Out of the Box	
	UC-VR005-10		The System shall log all changes to VoteCal's new voter record in a transaction table.	Yes	O = Out of the Box	
	UC-VR006	Process VoteCal pending DMV COA changes				
	UC-VR006-01		The System shall display the proposed address changes to the voter record.	Yes	O = Out of the Box	
	UC-VR006-02		<p>The System shall display additional voter information supplied by VoteCal in the DMV COA packet. These fields are to include but is not limited to: *Names (last, first, middle, suffix) *Driver license *Addresses (mailing and residence) *Previous address (mailing and residence) *Date of Birth *Date sent *Effective date *Match Score *Match Set Name.</p>	Yes	O = Out of the Box	
	UC-VR006-03		The System shall parse the DMV COA address information into the appropriate voter record fields including, but not limited to: *DMV New Mailing Address to Mailing address fields *DMV Residence Address to Residence Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) *The System shall allow user to place DMV COA mailing address into residence address fields.	Yes	F = Future	
	UC-VR006-04		The System shall display the proposed voter record with NCOA changes. The System shall display a before and after preview comparing the changes to summary information from the voter record (name, address, mailing address) before and after the proposed change.	Yes	F = Future	
	UC-VR006-05		The System shall allow authorized users to update any non-fixed information on voters record according to the user's security role.	Yes	O = Out of the Box	
	UC-VR006-06		The System shall only apply changes, or allow updates, to the voter record that are from DMV COA including but not limited to: *Names (last, first, middle, suffix) *Drivers license *Addresses (mailing and residence) *Previous address (mailing and residence) *Date of Birth *Other administrative information.	Yes	F = Future	
	UC-VR006-07		The System shall automatically assign a voter to a precinct when given an eligible residence address.	Yes	O = Out of the Box	
	UC-VR006-08		The System shall provide the user with a selectable list of appropriate street name(s), street direction(s), house number range(s), street type(s), city or zip when the residence address is minimally incomplete, a near match or ambiguous.	Yes	O = Out of the Box	
	UC-VR006-09		The System shall allow non-standard residential addresses.	Yes	O = Out of the Box	

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	UC-VR006-10		The System shall allow manual precincting of voter address.	Yes	O = Out of the Box	
	UC-VR006-11		The System shall default registration date to effective date.	Yes	O = Out of the Box	
	UC-VR006-12		The System shall validate changes to a voter record against election law and auto-correct.	Yes	O = Out of the Box	
	UC-VR006-13		The System shall apply a fatal pend status and a fatal pend code/flag to a record that has functional or legal issues when specific conditions are met including but limited to: - Voter is under 18 years prior to next election - Affidavit registration lacks signature - Voter is not a United States citizen - Voter residence address is not in Los Angeles County - Voter residence address is at a business, post office or mail drop address - Voter is incarcerated for a felony conviction	Yes	F = Future	
	UC-VR006-14		The System shall validate changes to a voter record according to conformance to data type, content and election law.	Yes	O = Out of the Box	
	UC-VR006-15		The System shall alert users to any deficiencies in voter record and provide users with specific resolution instructions to correct any deficiencies	Yes	O = Out of the Box	
	UC-VR006-16		The System shall autocorrects issues that would result in a VoteCal record fault whenever possible.	Yes	O = Out of the Box	
	UC-VR006-17		The System shall update local data tables and sends updates to VoteCal.	Yes	O = Out of the Box	
	UC-VR006-18		The System shall log all changes to voter record in a transaction table.	Yes	O = Out of the Box	
	UC-VR006-19		The System shall log all changes to DMV COA record in a transaction table.	Yes	O = Out of the Box	
	UC-VR007	Felons				
	UC-VR007-01		The System shall receive felon updates from the SOS.	Yes	O = Out of the Box	
	UC-VR007-02		The System shall attempt to identify exact matches between potential voters and convicted felons: If The Systems finds an exact match between the voter and a potential felon, The System shall automatically update the voter record as being a felon, add any additional court information, automatically change status and add them to the queue to be processed by user. The System shall automatically display a felon queue to be processed.	Yes	O = Out of the Box	
	UC-VR007-03		The System shall add record to the queue for records to be generated.	Yes	F = Future	
	UC-VR007-04		The System shall automatically change the voter status to "cancelled" unless the voter has returned a notice or contacted Los Angeles County.	Yes	O = Out of the Box	
	UC-VR007-05		The System shall remove the voter from the felon queue, if user indicates a non-match.	Yes	O = Out of the Box	
	UC-VR008	Deceased Voter				
	UC-VR008-01		The System shall allow the User the option to search for a voter record.	Yes	O = Out of the Box	
	UC-VR008-02		The System shall displays selected voter record with pertinent administrative voter information. At minimum these shall include but no limited to: - EMS Voter ID (fixed) - Status - Reason Code - Affidavit - Driver's License # - Names (last, first, middle) - Birthdate - Residence Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) - Last 4 digits of Social Security Number (SSN4) - Perm Category, type of application and how received, and Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) flags - Party - Gender - Language preference - Email - Phone number - Registration dates - Date received - Mailing address (if different from residence address)	Yes	O = Out of the Box	
	UC-VR008-03		The System shall provide the User the option to modify the voter is deceased by changing at minimum, but not limited to: *Status *Reason Code (Death).	Yes	O = Out of the Box	
	UC-VR008-04		The System shall reflect that the voter is deceased and remove the voter from the list of eligible voters.	Yes	O = Out of the Box	
	UC-VR008-05		The System shall log changes and save transaction.	Yes	O = Out of the Box	
	UC-VR009	Deficiency				
	UC-VR009-01		The System shall allow Users to import voter data and the module shall have relevant selection fields. At minimum, these shall include, but not limited to: *Data Type *Use Bulk Insert *Use Line Input *Import Fatal Only? *Delete Current Deficiencies? *Delete Current FataIs? *Preview *Import *Cancel	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR009-02		The System shall begin to look at every record and provide a count of the number of records imported.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR009-03		The System shall allow Users to Apply voter data and the module shall have relevant selection fields. At minimum, these shall include, but not limited to: *Import Type *Reason Code *Import Bypass Date *Delete Updated? *Update Sig/Req dates? *Notify Voter?	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR009-04		The System shall log changes and saves transactions.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR010	Search for pending VoteCal Voter				
	UC-VR010-01		The System shall provide the capability for user to select one or more VoteCal queues to search from. Pertinent queues include, but not limited to: *SOS online registration *DMV Motor Voter *Potential deceased match *Potential felon matches *Potential duplicate matches *Potential DMV COA matches *Potential NCOA matches *Push voter *Faulted VoteCal Record.	Yes	O = Out of the Box	
	UC-VR010-02		The System shall provide the capability for user to choose all or one VoteCal/County categories to search from. Subcategories can be added to by county but minimally includes and not limited to: *New county voter *In county move/ voter reregistration *Out of county move *Mailing address change *Missing signature *Non-resolved precinct *Research *Return to State.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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	UC-VR010-03		The System shall present data entry fields to search for voter(s). At a minimum these shall include but not limited to: - EMS Voter ID - Affidavit - State ID (i.e. VoteCal pending ID) - Names (last, first, middle) - Birthdate - Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) - Perm status - District and/or election - Email - Phone number - Status	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR010-04		The System shall allow searches by dates and date ranges to include but not limited to: - Registration dates - Date received.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR010-05		The System shall allow users to select options to modify search. to include but not limited to: - Processed or unprocessed records.	Yes	O = Out of the Box	
	UC-VR010-06		The System shall default to unprocessed records *Phonetic, nickname or fuzzy match of names *Street alias *Optimized search (where if no voter is found the search fields are reduced or transposed using a set of known search criteria patterns to result in close matches).	Yes	O = Out of the Box	
	UC-VR010-07		The System shall allow users to use wildcards including, but not limited to: - Zero or more characters (%) - A single character (_) - A single number or letter (#,?) - Ranges or lists and their negation (*[!])	Yes	O = Out of the Box	
	UC-VR010-08		The System shall provide validation on data entered.	Yes	O = Out of the Box	
	UC-VR010-09		The System shall display results. A summary list of voter(s) matching search criteria must be displayed, with pertinent identifying information, where items in the list are selectable to open the pertinent voter record. Pertinent identifying information include, but not limited to: *VoteCal category *EMS Voter ID *Affidavit *State ID *Names (last, first, middle) *Voter status *VoteCal Raw data (formatted list of VoteCal packet data) *Birthdate *Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) *Perm status *Party *Registration date *Match score *Receive date *Signature (security role permitting).	Yes	O = Out of the Box	
	UC-VR010-10		The System shall provide the capability for user sort results by any summary fields returned.	Yes	O = Out of the Box	
	UC-VR010-11		The System shall provide the capability for user to be able to return to original search screen to modify previously entered search parameters.	Yes	F = Future	
	UC-VR011	Merge Duplicate Voter				
	UC-VR011-01		The System shall display a side-by-side comparison of fields. The primary record for comparison shall be the one with the most recent registration date and latest editing date. *All fields in a voter registration are relevant for comparison but specifically these fields: *Driver license Number *Names (First, middle, last) *Current Addresses (residence and mailing) *Date of Birth *SSN4 *Signature *Voting history *Email addresses *Phone numbers *Birth place *Party *Registration date *Last date/time edited *Gender *Additional fields should include *Prior Addresses (residence and mailing) *Name portions, phonetic, nicknames and hypocorisms.	Yes	O = Out of the Box	
	UC-VR011-02		The System shall make any field(s) that match visually distinct for user.	Yes	F = Future	
	UC-VR011-03		The System shall allow suppression of any field where compared records are mutually missing information.	Yes	F = Future	
	UC-VR011-04		The System shall allow user to process records.	Yes	O = Out of the Box	
	UC-VR011-05		The System shall validate changes to the voter record according to conformance to data type, content and conformance to election law.	Yes	O = Out of the Box	
	UC-VR011-08		The System shall allow user to update local data tables.	Yes	O = Out of the Box	
	UC-VR011-09		The System shall log all changes to voter records in a transaction table.	Yes	O = Out of the Box	
	UC-VR011-10		The System shall be able to mark Potential match as processed and removed from unprocessed queue.	Yes	O = Out of the Box	
	UC-VR012	Active Voter Registration				
	UC-VR012-01		The System shall allow User option to search for a voter record.	Yes	O = Out of the Box	
	UC-VR012-02		The System shall allow User to change Status, Pend Code, Reason Code to Voter Record.	Yes	O = Out of the Box	
	UC-VR012-03		The System shall reflect change to record by changing Reason code, Status, and color code.	Yes	O = Out of the Box	
	UC-VR012-04		The System shall log changes and save transaction.	Yes	O = Out of the Box	
	UC-VR012-05		The System shall alert user to any deficiencies in voter record and provide user with specific resolution instructions to correct any deficiencies.	Yes	O = Out of the Box	
	UC-VR012-06		The System shall autocorrect or alert user to any record deficiency that would result in a record fault.	Yes	O = Out of the Box	
	UC-VR013	Batch Scanning Management				
	UC-VR013-01		Vendor will propose a scanning solution, which is independent of scanning hardware, to address but not limited to the following processes/document-types. The scanned documents will be tied to the records within EMS. The scanning solution will include scanning interface, OCR and any other pertinent workflow of how scanned documents are ingested and tied with records stored within EMS. a. Affidavits b. 8x2 cards c. Voter records d. Petitions"	Yes	O = Out of the Box	TCG March 2022: Clarified Method to "O = Out of the Box" and met via Bluecrest.
	UC-VR013-02		The department currently utilizes batch scanners and desktop scanners. Examples of such scanners are Kodak i42 series. As part of the project, the vendor will assess the scanning hardware inventory and recommend the newer hardware as per the appropriate workflows. The scanning solution (including OCR) should support off-the-shelf hardware.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR013-03		The System shall allow Staff to process voter registration using Batch feature.	Yes	O = Out of the Box	
	UC-VR013-04		The System shall have a Batch entry display. Which will include data entry fields and scan feature: - Batch ID "	Yes	O = Out of the Box	
	UC-VR013-05		The System shall save saves multipage TIF. or appropriate for image type	Yes	F = Future	
	UC-VR013-06		The System may perform Optical Character Recognition (OCR) of key fields which may include but not be limited to: - Document ID number - Voter_id - Names - Addresses - Checkbox status	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR013-07		The System shall have the ability to allow Users a view of processed batches.	Yes	O = Out of the Box	
	UC-VR013-08		The System shall have the ability to remove a batch out of the workflow (Abort or Archive)	Yes	F = Future	

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	UC-VR013-09		The System shall point to the image location of the batch.	Yes	O = Out of the Box	
	UC-VR013-10		The System shall have the option to change status to "Verified"	Yes	O = Out of the Box	
	UC-VR013-11		The System will display Affidavits with the Signature highlighted	Yes	O = Out of the Box	
	UC-VR013-12		The System shall link all related images to the voter record that is easily accessible to the user to view, auto populate record data, extract or deliver to print queues, bulk or individual records that includes but is not limited to: - affidavits - signature images - VNC postcards - supportive documentation.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015	Managing Bulk Apply				
	UC-VR015-01		The System shall provide User with various types or options of mass updates / bulk apply including, but not limited to: "Cancelling all voter registrations for inactive individuals that have not voted in the last two federal elections and are in inactive status. "Cancelling all voter registrations have had their address found to be invalid. "Cancelling outstanding tasks and updating application status for applicants that have been issued a Notice of Incompleteness and no response had been received within a given time. "Precinct, zip code changes "Redistricting "Under Age Voter Activation and Deactivation "Voting History (Rosters) "Purge (Return Mail and Return AV Mail) "Poll Worker (Cards, Class Rosters) "Voter opt Out / IN "Suspend and Reissue "8D2 Notices "AV Ballot Returned (voted) "AV Ballot Requests (Applications) "Perm AV Ballot Requests.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-02		The System shall allow for the bulk standardization of addresses.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-03		The System shall include the capability to standardize residential and mailing addresses against USPS standards.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-04		The System shall provide a means of overriding address standardizations needed to account for non-traditional residential addresses or non-US mailing addresses.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-05		The System shall provide a means to export addresses for external validation against (CASS) certified address standardization software.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-06		The System shall provide the capability to import and update addresses validated against (CASS) certified address standardization software.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-07		The System shall allow the User to verify the mass update / bulk apply prior to applying the records in The System such as through previewing the changes or testing the update in a test database.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-08		The System shall allow the User to mass update / bulk apply transactions to multiple records at one time.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR015-09		The System shall log changes and save transaction based on specific mass update / bulk apply.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR016	Process VoteCal supplied duplicate voter				
	UC-VR016-01		The System shall display a side-by-side comparison of fields. "The primary record for comparison shall be the one with the most recent registration date and latest editing date. "All fields in a voter registration are relevant for comparison but specifically these fields: "Driver license Number "Names (First, middle, last) "Current Addresses (residence and mailing) "Date of Birth "SSN4 "Signature "Voting history "Email addresses "Phone numbers "Birth place "Party "Registration date "Last date/time edited "Gender "Additional fields should include "Prior Addresses (residence and mailing) "Name portions, phonetic, nicknames and hypocorisms.	Yes	O = Out of the Box	
	UC-VR016-02		The System shall make any field(s) that match visually distinct for user.	Yes	F = Future	
	UC-VR016-03		The System shall allow suppression of any field where compared records are mutually missing information.	Yes	F = Future	
	UC-VR016-04		The System shall allow user to process the record.	Yes	O = Out of the Box	
	UC-VR016-05		The System shall validate changes to the voter record according to conformance to data type, content and conformance to election law.	Yes	O = Out of the Box	
	UC-VR016-06		The System shall alert the user to any deficiencies in voter record and provides user with specific resolution instructions to correct any deficiencies.	Yes	O = Out of the Box	
	UC-VR016-07		The System shall autocorrect or alert user to any record deficiency that would result in a VoteCal record fault.	Yes	O = Out of the Box	
	UC-VR016-08		The System shall update local data tables and sends updates to VoteCal.	Yes	O = Out of the Box	
	UC-VR016-09		The System shall log all changes to voter records in a transaction table.	Yes	O = Out of the Box	
	UC-VR019	Preregistration Voter				
	UC-VR019-01		The System shall allow User option to search for a voter record.	Yes	O = Out of the Box	
	UC-VR019-02		The System shall displays Voter Record with primary administrative voter information.	Yes	O = Out of the Box	
	UC-VR019-03		The System shall give option to add Voter Pend Code to record.	Yes	O = Out of the Box	
	UC-VR019-04		The System shall log transaction and flags that the voter is not eligible to vote.	Yes	O = Out of the Box	
	UC-VR020	Inactive Voter				
	UC-VR020-01		The System shall allow User option to search for a voter record.	Yes	O = Out of the Box	
	UC-VR020-02		The System shall display Voter Record with primary administrative voter information	Yes	O = Out of the Box	
	UC-VR020-03		The System shall log all changes to voter record.	Yes	O = Out of the Box	
	UC-VR021	Fatal Pend Voter Registration				
	UC-VR021-01		The System shall allow User option to search for a voter record.	Yes	O = Out of the Box	
	UC-VR021-02		The System shall allow User to change Pend Code and Reason Code to Voter Record.	Yes	O = Out of the Box	
	UC-VR021-03		The System shall reflect change to record by changing Reason code, Status, and Color code.	Yes	O = Out of the Box	
	UC-VR021-04		The System shall log changes and saves transaction.	Yes	O = Out of the Box	
	UC-VR022	Cancel Voter Registration				
	UC-VR022-01		The System shall allow User option to search for a voter record.	Yes	O = Out of the Box	
	UC-VR022-02		The System shall allow User to cancel Voter Registration.	Yes	O = Out of the Box	
	UC-VR022-03		The System shall require user to indicate a reason for Voter Registration Cancellation including but not limited to: Deceased, Felon, Duplicate Record, Mental Incompetence	Yes	O = Out of the Box	
	UC-VR022-04		The System shall allow user to cancel a Voter Registration and remove potential voter from the list of eligible voters.	Yes	O = Out of the Box	
	UC-VR022-05		The System shall log changes and save transaction.	Yes	O = Out of the Box	
	UC-VR023	Alternate Residency Confirmation				
	UC-VR023-01		The System shall have the ability to target voters who failed to have activity within the last four years.	Yes	F = Future	
	UC-VR023-02		The System shall have the ability to import file and apply ARC Failure to Voter Purge. The System shall also have the ability to: "Overwrite Files "Append Files "Election Nonvoters check "Tran Date Cutoff.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-03		The System shall provide a count of the number of records imported and note the date the file was created.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-VR023-04		The System shall have ability to generate a variety of reports based on User-defined parameters. The reports available depend on the import method selected.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-05		The System shall have the ability to sort by the following fields but is not limited to: *Name *Zip Code *Category / Name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-06		The System shall have the ability to set date ranges by the following fields but is not limited to: *Date Start *Date End.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-07		The System shall have the ability to include comments about the report.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-08		The System shall have the ability to Cancel the report.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-09		The System shall have the ability to place records in Residence Confirmation Procedures (RCOP) and remove records from the Address Change Service (ACS).	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-10		The System shall have the ability to apply ARC file.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-11		The System shall display the Apply Voter Import Data Module. The module shall include informational fields to apply the file in the following fields but is not limited to: *Status *Reason Code *Transaction Date *Import Bypass Date *Delete if Updated *Notify Voter *Apply *Cancel.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR023-12		The System shall log all changes to voter record in a transaction table.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VR024	Push Voter				
	UC-VR024-01		The System shall allow User option to search for a voter record.	Yes	O = Out of the Box	
	UC-VR024-02		The System shall allow User to Push Voter Record to another county. The System displays Push Voter tab with data entry fields. Which include but are not limited to: *Address (Residence and mailing address) *Source Code *Delivery Method.	Yes	O = Out of the Box	
	UC-VR024-03		The System shall display option to attach correspondence.	Yes	O = Out of the Box	
	UC-VR024-04		The System shall display changes to record.	Yes	O = Out of the Box	
	UC-VR024-05		The System shall logs changes and saves transaction.	Yes	O = Out of the Box	
	UC-VR025	Process New Voter from VoteCal				
	UC-VR025-01		The System shall have all affidavit data from VoteCal in their respective fields. These fields shall include but are not limited to: *Names (last, first, middle, suffix) *Addresses (mailing and residence) *Date of Birth *Affidavit ID *Signature *Party *Citizenship affirmation *Place of birth *Perm VBM status.	Yes	O = Out of the Box	
	UC-VR025-02		The System shall create a standardized affidavit form generated from the VoteCal voter data.	Yes	F = Future	
	UC-VR026	Process Voter reregistration from VoteCal				
	UC-VR026-01		The System shall have all affidavit data from VoteCal in their respective fields. These fields shall include but are not limited to: *Voter ID *Names (last, first, middle, suffix) *Addresses (mailing and residence) *Date of Birth *Affidavit ID *Signature *Party *Citizenship affirmation *Place of birth *Perm VBM status.	Yes	O = Out of the Box	
	UC-VR026-02		The System shall create a standardized affidavit form generated from the VoteCal voter data: *The affidavit for FPCA and UOCAVA voters should clearly state their UOCAVA category; *The signature shall be visible on the affidavit.	Yes	F = Future	
	UC-VR026-03		The System shall automatically insert the source and delivery of registration to their respective values.	Yes	O = Out of the Box	
	UC-VR026-04		The System shall allow authorized users to update any non-fixed information on voters record according to the user's security role.	Yes	O = Out of the Box	
	UC-VR026-05		The System shall automatically assign a voter to a precinct when given an eligible residence address.	Yes	O = Out of the Box	
	UC-VR026-06		The System shall provide the user with a selectable list of appropriate street name(s), street direction(s), house number range(s), street type(s), city or zip when the residence address is minimally incomplete, a near match or ambiguous.	Yes	O = Out of the Box	
	UC-VR026-07		The System shall allow non-standard residential addresses.	Yes	O = Out of the Box	
	UC-VR026-08		The System shall allow manual precincting of voter address.	Yes	O = Out of the Box	
	UC-VR026-09		The System shall validate the voter record against election law and auto-correct.	Yes	O = Out of the Box	
	UC-VR026-10		The System shall apply a fatal pend status and a fatal pend code/flag to a record that has functional or legal issues when specific conditions are met including but limited to: - Voter is under 18 years prior to next election - Affidavit registration lacks signature - Voter is not a United States citizen - Voter residence address is not in Los Angeles County - Voter residence address is at a business, post office or mail drop address - Voter is incarcerated for a felony conviction	Yes	O = Out of the Box	
	UC-VR026-11		The System shall validate voter record fields according to conformance to data type, content and conformance to election law.	Yes	O = Out of the Box	
	UC-VR026-12		The System shall alert user to any deficiencies in voter record and provides user with specific resolution instructions to correct any deficiencies.	Yes	O = Out of the Box	
	UC-VR026-13		The System shall auto correct issues that would result in a VoteCal record fault whenever possible.	Yes	O = Out of the Box	
	UC-VR026-14		The System shall update local data tables and sends updates to VoteCal.	Yes	O = Out of the Box	
	UC-VR026-15		The System shall log all changes to voter record in a transaction table.	Yes	O = Out of the Box	
	UC-VR026-16		The System shall log that user is eligible for a Voter Notification Card and other respective notices.	Yes	O = Out of the Box	
	UC-VR026-17		The System shall send processing outcome is sent to VoteCal.	Yes	O = Out of the Box	
	UC-VR026-18		The System shall log all changes to VoteCal new voter record in a transaction table.	Yes	O = Out of the Box	
	UC-VR027	Soft Pend Voter Registration				
	UC-VR027-01		The System shall allow User to search for Voter.	Yes	O = Out of the Box	
	UC-VR027-02		The System shall allow User to change Pend Code and Reason Code to Voter Record.	Yes	O = Out of the Box	
	UC-VR027-03		The System shall reflect change to record by changing Reason code, Status, and color code.	Yes	O = Out of the Box	
	UC-VR027-04		The System logs changes and save transaction.	Yes	O = Out of the Box	
	UC-VR030	Process VoteCal pending NCOA changes				
	UC-VR030-01		The System shall display the proposed forwarding address changes to the voter record. These fields include but is not limited to: *Forwarding Address *Deliver Address.	Yes	O = Out of the Box	
	UC-VR030-02		The System shall display the 'forwarding effective date' of the NCOA data.	Yes	O = Out of the Box	
	UC-VR030-03		The System shall display the prior address information from NCOA data.	Yes	O = Out of the Box	
	UC-VR030-04		The System shall display additional voter and forwarding information supplied by VoteCal in the NCOA packet. These fields may include the following fields but is not limited to: *Names (last, first, middle) *Forwarding type, response code, registrant ID, carrier route.	Yes	O = Out of the Box	

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	UC-VR030-05		The System shall parse the NCOA forwarding address information into the appropriate voter record fields but is not limited to: *NCOA forwarding Address to Residence Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) *NCOA Deliver address to Mailing address fields.	Yes	O = Out of the Box	
	UC-VR030-06		The System shall display the proposed voter record with NCOA changes.	Yes	O = Out of the Box	
	UC-VR030-07		The System shall display a before and after preview comparing the changes to summary information from the voter record (e.g. name, address, mailing address) before and after the proposed change.	Yes	O = Out of the Box	
	UC-VR030-08		The System shall allow authorized users to update any non-fixed information on voters record according to the user's security role.	Yes	O = Out of the Box	
	UC-VR030-09		The System shall apply changes, or allow updates, to the voter record that are from NCOA including the following fields but is not limited to: *Addresses (mailing and residence) *Registration date *Other administrative information.	Yes	O = Out of the Box	
	UC-VR030-10		The System shall validate changes to a voter record against election law and auto-correct.	Yes	O = Out of the Box	
	UC-VR030-11		The System shall apply a fatal pend status and a fatal pend code/flag to a record that has functional or legal issues when specific conditions are met including but limited to: - Voter is under 18 years prior to next election - Affidavit registration lacks signature - Voter is not a United States citizen - Voter residence address is not in Los Angeles County - Voter residence address is at a business, post office or mail drop address - Voter is incarcerated for a felony conviction	Yes	O = Out of the Box	
	UC-VR030-12		The System shall automatically assign a voter to a precinct when given an eligible residence address.	Yes	O = Out of the Box	
	UC-VR030-13		The System shall provide the user with a selectable list of appropriate street name(s), street direction(s), house number range(s), street type(s), city or zip when the residence address is minimally incomplete, a near match or ambiguous.	Yes	O = Out of the Box	
	UC-VR030-14		The System shall allow non-standard residential addresses.	Yes	O = Out of the Box	
	UC-VR030-15		The System shall allow manual precincting of voter address.	Yes	O = Out of the Box	
	UC-VR030-16		The System shall validate changes to a voter record according to conformance to data type, content and election law.	Yes	O = Out of the Box	
	UC-VR030-17		The System shall alert user to any deficiencies in voter record and provides user with specific resolution instructions to correct any deficiencies.	Yes	O = Out of the Box	
	UC-VR030-18		The System shall autocorrect issues that would result in a VoteCal record fault whenever possible.	Yes	O = Out of the Box	
	UC-VR030-19		The System shall update local data tables and sends updates to VoteCal.	Yes	O = Out of the Box	
	UC-VR030-20		The System shall log all changes to voter record in a transaction table.	Yes	O = Out of the Box	
	UC-VR030-21		The System shall send processing outcome to VoteCal.	Yes	O = Out of the Box	
	UC-VR030-22		The System shall log all changes to NCOA record in a transaction table.	Yes	O = Out of the Box	
	UC-VR031	Create New Voter				
	UC-VR031-01		The System shall allow the user the option to create a new voter record and system shall present primary administrative voter information data entry fields to create a voter record(s). At minimum these shall include but not limited to: - EMS Voter ID (fixed) - Status - Reason Code - Affidavit - Driver's License # - Names (last, first, middle) - Birthdate - Residence Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) - Last 4 digits of Social Security Number (SSN4) - Perm Category, type of application and how received, and Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) flags - Party - Gender - Language preference - Email - Phone number - Registration dates - Date received - Mailing address (if different from residence address)	Yes	O = Out of the Box	
	UC-VR031-02		The System shall allow User to save Voter record.	Yes	O = Out of the Box	
	UC-VR031-03		The System shall create voter record with unique ID.	Yes	O = Out of the Box	
	UC-VR032	Process Voter Registration Manually		Yes	O = Out of the Box	
	UC-VR032-01		The System shall display the new voter record. The System shall have all affidavit data from Voter Registration Card in their respective fields. The fields shall include but are not limited to: *Citizenship Affirmation *Age Verification Flag *Names (last, first, middle, suffix) *Addresses (mailing, residence, previous) *Date of Birth *Place of Birth *Driver's License # *Last 4 digits of Social Security Number (SSN4) *Email Address *Party Field *Language Field *Gender *Signature Field *Signature Date Field *Perm AV Field *Poll Worker option *Provide Vote Center Field	Yes	O = Out of the Box	
	UC-VR032-02		The System shall validate the voter record against election law and auto-correct.	Yes	O = Out of the Box	
	UC-VR032-03		The System shall apply a fatal pend status and a fatal pend code/flag to a record that has functional or legal issues when specific conditions are met including but limited to: - Voter is under 18 years prior to next election - Affidavit registration lacks signature - Voter is not a United States citizen - Voter residence address is not in Los Angeles County - Voter residence address is at a business, post office or mail drop address - Voter is incarcerated for a felony conviction	Yes	O = Out of the Box	
	UC-VR032-04		The System shall validate voter record fields according to conformance to data type, content and conformance to election law.	Yes	O = Out of the Box	
	UC-VR032-05		The System shall alert user to any deficiencies in voter record and provides user with specific resolution instructions to correct any deficiencies.	Yes	O = Out of the Box	
	UC-VR032-06		The System shall alerts user if duplicate records exists.	Yes	O = Out of the Box	
	UC-VR032-07		The System shall allow authorized users to update any non-fixed information on voters record according to the user's security role.	Yes	F = Future	
	UC-VR032-08		The System shall automatically assign a voter to a precinct when given an eligible residence address.	Yes	O = Out of the Box	

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VOTERS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-VR032-09		The System shall provide the user with a selectable list of appropriate street name(s), street direction(s), house number range(s), street type(s), city or zip when the residence address is minimally incomplete, a near match or ambiguous.	Yes	O = Out of the Box	
	UC-VR032-10		The System shall allow non-standard residential addresses.	Yes	O = Out of the Box	
	UC-VR032-11		The System shall allow manual precincting of voter address.	Yes	O = Out of the Box	
	UC-VR032-12		The System shall allow User to add comments to pending record.	Yes	O = Out of the Box	
	UC-VR032-13		The System shall assign unique Voter ID to each unique voter record.	Yes	O = Out of the Box	
	UC-VR032-14		The System shall update local data tables with new voter registration record.	Yes	O = Out of the Box	
	UC-VR032-15		The System shall log that voter is eligible for a Voter Notification Card and other respective notices.	Yes	O = Out of the Box	

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-CAN001	Candidate Filing Folder Candidate - Create Candidate				
	UC-CAN001-01		The System shall provide office filing capability, including write-in candidates.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-02		The System shall provide for the public user to create a login identification name/number	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-03		The System shall provide the option to create a short name based on the candidates first, middle and last name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-04		The System shall provide the ability for the candidate statement to be other languages such as Spanish.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-05		The System shall provide the ability to spellcheck the document.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-06		The System shall provide the ability for statements to be in rich text e.g. bold, color, underline, etc.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-07		The System shall provide the candidate the ability to securely login into The System to review and edit the candidate information and filing status for the office applied.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-08		The System shall have the ability to Qualify a Candidate using a Qualified Flag and issue a qualified date.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-09		The System shall be able to generate email notifications to include but not limited to: <input type="checkbox"/> Initial system receipt of their filing of completed forms. <input type="checkbox"/> Final filing status. <input type="checkbox"/> Payment receipt <input type="checkbox"/> Payment pending	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-10		The System shall automatically generate a candidate filing application number.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-11		The System shall display the candidate filing application number.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-12		The System shall provide the capability for the public to preview and review their candidate filing.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-13		The System shall provide the ability for the public shall be able pay filing fee on-line.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-14		The System shall provide the option for staff to select the option to enter candidate information. Candidate information fields include but not limited: • Name • Address (Street name, city, zip code) • Office Filing • Email address • Telephone address(es) • Occupation • Ballot designation • Ballot designation reason • Candidate statement	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-15		The System shall provide the option to create a short name based on the candidates first, middle and last name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-16		The System shall allow staff to attach documents into The System	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-17		The System shall allow staff to make a candidate address confidential and not to appear	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-18		The System shall provide the ability for staff to waive fees using pre-designated reasons.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-19		The System shall provide a means to track candidate filings.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-20		The System shall provide a means for a submission to go through varies stages such as application received, payment received/not received/waivered, application accepted, application rejected.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-21		The System shall allow the public to resubmit an statement for a rejected application for an office without resubmission of all the forms.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-22		The System shall provide a list of the all requirements for that office (residency requirements, etc.)	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-23		The System shall qualify the potential candidate for the office based on the residency requirements.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN001-24		The System shall provide for the electronic signature for the candidate for the public facing website and onsite.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN002	Candidate - View and Manage Candidates				
	UC-CAN002-01		The System shall provide a list of fields that can be used to search for a candidate. Candidate information fields include but not limited.1.1.1. Name ,Address (Street name, city, zip code),Office Filing, Email address, Telephone address(es),Occupation, Contest, Election date, Election year.	Yes	O = Out of the Box	
	UC-CAN002-02		The System shall be able to display a list of possible candidates to the search criteria	Yes	O = Out of the Box	
	UC-CAN002-03		The System shall jump directly the candidate record when the search results in a single match.	Yes	F = Future	

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-CAN002-04		The System shall display information about the candidate. Candidate information to be displayed include but not limited to: 1. All search criteria listed in 1.1 2. Candidate filing date 3. Filing fee	Yes	O = Out of the Box	
	UC-CAN002-05		The System shall allow staff to update candidate information and save resulting changes.	Yes	O = Out of the Box	
	UC-CAN002-06		The System shall have the ability to Qualify a Candidate using a Qualified Flag and issue a qualified date.	Yes	O = Out of the Box	
	UC-CAN002-07		The System shall allow staff to manually order the candidate name for a contest.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN002-08		The System shall allow staff the ability to delete candidate information and save.	Yes	O = Out of the Box	
	UC-CAN002-09		The System shall provide the capability to indicate that the candidate paid the filing fees and/or the candidate filed a supporting petition with signatures.	Yes	O = Out of the Box	
	UC-CAN002-10		The System shall allow staff to enter statement information.	Yes	O = Out of the Box	
	UC-CAN002-11		The System shall allow staff to identify statement and biography word limits.	Yes	O = Out of the Box	
	UC-CAN002-12		The System shall provide a spell checker when entering candidate information.	Yes	O = Out of the Box	
	UC-CAN002-13		The System shall provide a method for uploading and formatting candidate pictures.	Yes	O = Out of the Box	
	UC-CAN002-14		The System shall allow for an approval process for statements.	Yes	F = Future	
	UC-CAN002-15		If statement is rejected by staff, The System shall automatically generate a letter or email to the candidate with the rejection reason(s) based on a common list of rejection reasons.	Yes	F = Future	
	UC-CAN002-16		The System shall provide the ability to qualify the candidate based on the residence address.	Yes	O = Out of the Box	
	UC-CAN002-17		The System shall provide the ability for staff to review ballot proofs.	Yes	O = Out of the Box	
	UC-CAN005	Candidate-Create Office	The System shall provide for measure and enclosure information to be in rich text format.			
	UC-CAN005-01		The System shall display office information. Office information includes but not limited to: Office Title Office Type Office District Rotation Code Office Term Term length Term Limit	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN005-02		The System shall save the new entered office information.	Yes	O = Out of the Box	
	UC-CAN005-03		The System shall display of filing application forms.	Yes	O = Out of the Box	
	UC-CAN005-04		The System shall record the filing form(s) for the office.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN005-05		The System shall allow staff to add forms for an office.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN005-06		The System shall allow staff to remove forms for an office.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN006	Candidate- Manage and update office				
	UC-CAN006-01		The System shall have the ability for staff to select an election.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN006-02		The System shall display options for an office search. Office search options include but not limited to: Office Title Office Type Office District Rotation Code Office Term Term length Term Limit	Yes	O = Out of the Box	
	UC-CAN006-03		The System shall display office information. Office information includes but not limited to: Office Title Office Type Office District Rotation Code Office Term Term length Term Limit	Yes	O = Out of the Box	
	UC-CAN006-04		The System must validate all fields entered.	Yes	O = Out of the Box	
	UC-CAN006-05		The System shall save the new entered office information.	Yes	O = Out of the Box	
	UC-CAN006-06		The System shall allow staff to update office information and save resulting changes.	Yes	O = Out of the Box	
	UC-CAN006-07		The System shall have the ability to select an election.	Yes	O = Out of the Box	
	UC-CAN006-08		The System shall display options for an office search. Office search options include but not limited to: Office Title Term limits Term length.	Yes	O = Out of the Box	

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	UC-CAN006-09		The System shall display office information. Office information includes but not limited to: Office Title Office Type Office District Rotation Code Office Term Term length Term Limit	Yes	O = Out of the Box	
	UC-CAN006-10		The System must validate all fields entered.	Yes	O = Out of the Box	
	UC-CAN006-11		The System shall have the ability to delete an Office.	Yes	O = Out of the Box	
	UC-CAN006-12		The System shall have display a deletion confirmation.	Yes	O = Out of the Box	
	UC-CAN006-13		The System shall save resulting changes.	Yes	O = Out of the Box	
	UC-CAN011	Candidate - Create Measure				
	UC-CAN011-01		The System shall have the ability for staff to select an Election.	Yes	O = Out of the Box	
	UC-CAN011-02		The System shall have the ability for staff to add/edit/delete/view measures.	Yes	O = Out of the Box	
	UC-CAN011-03		The System shall display and alphabetically list Measures with scrolling capabilities.	Yes	O = Out of the Box	
	UC-CAN011-04		The System shall have the ability to add/edit/delete/view measure text.	Yes	O = Out of the Box	
	UC-CAN011-05		The System shall populate Measure information in data fields: Fields will include: Measure ID Measure Name Short Description Measure Pass Rate At Large Measure Text Lines 1-10	Yes	O = Out of the Box	
	UC-CAN011-06		The System shall be able to indicate maximum characters each line is allowed.	Yes	O = Out of the Box	
	UC-CAN011-07		The System shall be able to provide rich text such as bold, underline, color.	Yes	O = Out of the Box	
	UC-CAN011-08		The System shall have the ability to allow Users to save the measure text at any time.	Yes	O = Out of the Box	
	UC-CAN011-09		The System shall provide a spell and grammar checker.	Yes	O = Out of the Box	
	UC-CAN012	Candidate-View and Manage Measures				
	UC-CAN012-01		The System shall provide a list of fields that can be used to search for a measure.	Yes	O = Out of the Box	
	UC-CAN012-02		The System shall provide the ability to autogenerate the identification number.	Yes	O = Out of the Box	
	UC-CAN012-03		The System shall provide the ability for staff to spell check entered text for a measure.	Yes	O = Out of the Box	
	UC-CAN012-04		The System shall provide the ability count and display the number of characters entered in for each text field for a measure.	Yes	O = Out of the Box	
	UC-CAN012-05		The System shall have the ability to calculate and display the total number of characters entered for all the measure text fields.	Yes	O = Out of the Box	
	UC-CAN012-06		The System shall provide the ability for staff to bold, underline and italic characters in the text.	Yes	O = Out of the Box	
	UC-CAN012-07		The System shall provide the ability to limit the amount of text that can be entered for each text line.	Yes	O = Out of the Box	
	UC-CAN012-08		The System shall jump directly the candidate record when the search results in a single match.	Yes	O = Out of the Box	
	UC-CAN012-09		The System shall be able to define the type of Measure (i.e. countywide, statewide, or local).	Yes	O = Out of the Box	
	UC-CAN012-10		The System shall allow staff to enter Measure Pass Rate in an election.	Yes	O = Out of the Box	
	UC-CAN012-11		The System shall allow staff to update or delete measure information.	Yes	O = Out of the Box	
	UC-CAN012-12		The System shall have the ability to allow Users to save the measure text at any time.	Yes	O = Out of the Box	
	UC-CAN012-13		The System shall log changes.	Yes	O = Out of the Box	
	UC-CAN015	Typeset Candidate Statements				
	UC-CAN015-01		The System shall have the ability for staff to select an Election.	Yes	O = Out of the Box	
	UC-CAN015-02		The System shall display Contest, Measures and their perspective candidates in a tree view. The list should be in alphabetical order with scrolling capability.	Yes	O = Out of the Box	
	UC-CAN015-03		The System shall populate data fields from selection. Data fields include: 1.1. Filing Number 1.2. Enclosure Type 1.3. Language 1.4. Add Date 1.5. Withdraw Date 1.6. Approved Flag 1.7. Date Approved 1.8. Page Count 1.9. Regular Extract Date 1.10. Updated Flag 1.11. Updated Extract Date	Yes	F = Future	
	UC-CAN015-04		The System shall be able to deploy and create a Microsoft Word Document using a predefined template. All functions and formatting supported by word can be used.	Yes	F = Future	
	UC-CAN015-05		The System shall be able to support the use of multiple languages when inputting statements.	Yes	F = Future	
			The System shall be able to log & save transaction.	Yes	O = Out of the Box	
	UC-CAN017	Create Press Bulletin				
	UC-CAN017-01		The System shall have the ability for staff to select an Election.	Yes	O = Out of the Box	
	UC-CAN017-02		The System shall display all the contests and Board of Supervisors to appear on the press bulletin in the order listed.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-03		The System shall be able to allow staff the ability to add & remove Board of Supervisors names.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-CAN017-04		The System shall be able to insert & add text to corresponding Board of Supervisor names.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-05		The System shall be able to allow staff the ability to change a contest order. Staff should be able to have the ability to scroll & select multiple contests from Semi Final & Final Official Press Bulletins.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-06		The System shall be able to save & log changes when order of contest is modified.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-07		The System shall be able to allow staff the ability to create templates in four formats. These include: 1. TXT File 2. PDF File 3. Results File 4. MTS Format	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-08		The System shall have the ability to create & export Press Bulletin Templates.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-09		The System shall be able to allow staff the ability to lock Press Bulletin Layout to prevent further changes.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-10		The System shall be able to allow Administrators the ability to unlock locked Press Bulletin Layouts for modifications.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-11		The System shall log & save changes.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN017-12		The System shall have an option for a create a press bulletin.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN018	Copy Winners				
	UC-CAN018-01		The System shall have the ability for staff to select an Election.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN018-02		The System shall display Import Winners window and have the option to Load List to display all the winners and contests for the selected election.	Yes	F = Future	
	UC-CAN018-03		The System shall have the ability if the Contest Already Exists, to: 1. Append to Existing 2. Delete and Recreate.	Yes	F = Future	
	UC-CAN018-04		The System shall have the ability to copy the winners and their contest.	Yes	F = Future	
	UC-CAN018-05		The System shall have the ability to cancel selection.	Yes	F = Future	
	UC-CAN018-06		The System shall log and save transaction.	Yes	F = Future	
	UC-CAN018-07		The System shall the capability to copy election winners.	Yes	F = Future	
	UC-CAN019	Proofreading Election Materials				
	UC-CAN019-01		The System shall have the ability for staff to select an Election.	Yes	F = Future	
	UC-CAN019-02		The System shall be able to give staff the ability to review & manage the approval of election materials. Three groups should be made for approval, each group has two proofers: 1.1. Team 1 Proofer 1 1.2. Team 1 Proofer 2 1.3. Team 2 Proofer 1 1.4. Team 2 Proofer 2 1.5. Supervisor 1.6. Supervisor (optional)	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-03		The System shall have the ability to list & display SB by ballot group.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-04		The System shall have the ability to load a tree with all the sample ballot booklets in the ballot group number order and sort.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-05		The System shall be able to show each Voter Recorder Type within each ballot group.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-06		The System shall be able to give staff the ability to check an Approval Flag for entire Sample Ballot Booklets.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-07		The System shall have the ability to automatically fill in the name of Team 1 and save display time of approval or clear all fields including reviewer's name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-08		The System shall log and save transactions.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-09		The System shall have the ability for staff to select an Election.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-10		The System shall display and list a tree view of Precincts.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-11		The System shall be able to give staff the ability to check an Approval Flag for entire Sample Ballot Booklets.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-12		The System shall have the ability to automatically fill in the name of Team 1 and save display time of approval or clear all fields including reviewers name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN019-13		The System shall log and save transactions.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020	Order Sample Ballots				
	UC-CAN020-01		The System shall have the ability to update Sample Ballot Pages. Fields that can be edited include:Booklet Size,Page Cost, Price level max quantity.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-02		The System shall have the ability to Update Print Cost Table that is used to calculate cost. Fields in the table/form include. "Booklet Size, "Plate Cost, "Press , "Setup Cost.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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	UC-CAN020-03		The System shall display Sample Ballot Books information with editable fields that shall include but not to: *Grouping *Associated Parties *Unassigned Parties *Mail Overage Percent *VBM Flat rate.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-04		The System shall display the registration update date.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-05		The System shall have the ability assign or remove associated party to grouping that it corresponds to.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-06		The System shall allow user to enter sample ballot quantity for each group. NOTE: The default values are derived from current voter registration numbers for that election. Parameters shall include the following: Mail Overage Percent, VBM Flatrate Flag, VBM Overage Percent Flat rate flag, VBM Flatrate Quantity, VBM Overage Percent, EOC Qt per Precinct, EP Qt per Group, BMS Qt per Group.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-07		The System shall have the ability to determine the booklet size for each VR type and ballot group.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-08		The System shall use Sample Ballots Order Quantity to Order and the printing cost information to calculate the total printing cost for each ballot group based on the booklet size for that group.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-09		The System shall have the ability to recalculate all the quantity to order and the printing costs of each of the booklets.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN020-10		The System shall have the ability to export files that is generated for other sections to use in the sub-system to track the number of ballot booklets that being received and mailed out.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN021	Create Contest				
	UC-CAN021-01		The System shall have the ability for staff to select an election.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-CAN021-02		The System shall display election information.	Yes	O = Out of the Box	
	UC-CAN021-03		The System shall have an option to create contest.	Yes	O = Out of the Box	
	UC-CAN021-04		The System shall have an option to find an office.	Yes	O = Out of the Box	
	UC-CAN021-05		The System will populate the new contest with default information from selected office information. Contest information shall include but not limited to the following fields: Filing fee Title Type of office Flags Term Language Statement paid by Ballot title	Yes	O = Out of the Box	
	UC-CAN021-06		The System shall save the new contest and validate the data	Yes	O = Out of the Box	
	UC-CAN021-07		The System will present a confirmation message.	Yes	O = Out of the Box	
	UC-CAN022	Update Contest				
	UC-CAN022-01		The System shall have the ability for staff to select an election.	Yes	O = Out of the Box	
	UC-CAN022-02		The System shall display election information.	Yes	O = Out of the Box	
	UC-CAN022-03		The System will display contests from the selected election.	Yes	O = Out of the Box	
	UC-CAN022-04		The System will display contest information that shall include but not limited to the following fields:Filing fee Title Type of office Flags Term Language Statement paid by Ballot title	Yes	O = Out of the Box	
	UC-CAN022-05		The System shall save the updated contest and validate the data	Yes	O = Out of the Box	
	UC-CAN022-06		The System will present a confirmation message	Yes	O = Out of the Box	
	UC-CAN022-07		The System shall provide the ability to make a contest inactive and hidden.	Yes	O = Out of the Box	
	UC-CAN022-08		The System shall provide the ability to make a contest active an unhidden.	Yes	O = Out of the Box	
	UC-CAN022-09		The System shall provide the ability for staff to view hidden contests.	Yes	O = Out of the Box	
	UC-CAN23	Press Bulletin Special Reporting				
	UC-CAN023-01		The System shall provide staff the ability to select an Election	Yes	O = Out of the Box	
	UC-CAN023-02		The System will display election information	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-CAN023-03		The System will display all contests related to the selected election	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN023-04		The System will have a generate press bulletin selection	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN023-05		The System will display a form for district selection.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN023-06		The System will generate a press release for voting in those districts for the selected contest.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024	Add Contest forms				
	UC-CAN024-01		The System shall have the ability for staff to select an Election.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-02		The System shall display election information.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-03		The System will display contests from the selected election.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-04		The System shall display contest with the selected office information. Contest information shall include but not limited to the following fields: • Filing fee • Title • Type of office • Flags • Term • Language • Statement paid by • Ballot title	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-05		The System shall have the ability for staff to manage forms.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-06		The System will display all forms.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-07		The System will display an option to add a form to a contest.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-08		The System will display an option to remove a form from a contest.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-09		The System will update the contest with the new form.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-CAN024-10		The System will present a confirmation message.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	NEW Solution	RESO Folder	Request Election Services Online (R.E.S.O) System			
	US-RESO-001	Add User				
	UC-RESO-001-01		The System shall provide users the ability creates customer’s account.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-001-02		The System shall provide users the ability to maintain (add/delete/update) jurisdictional contact information.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-001-03		The System shall provide the ability for user to categorize customers by jurisdiction type.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-001-04		The System shall provide the ability for users to maintain a table of users/customers and their privileges.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-002	Update User				
	UC-RESO-002-01		The System allows staff to maintain (add/delete/update) jurisdictional contact information.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-002-02		The System will record/update transaction logs.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-002-03		The System will provide user the ability to search for user id.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-003	Make Inactive User				
	UC-RESO-003-01		The System allows staff to maintain (add/delete/update) jurisdictional contact information.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-003-02		The System will record/update transaction logs.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-003-03		The System will allow staff to make a user inactive.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-004	Browse Website				
	UC-RESO-004-01		The System provides the ability for Customers to send emails to RR/CC’s general email account through RESO.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-004-02		The System shall provide the ability for Customer to view/edit/approve ballot pages, enclosures, and other documents via pdf editor.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-004-03		The System shall provide the ability for customer to access RR/CC contact information.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-004-04		The System shall provide the ability for the customer to access an online help page and FAQ.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-004-05		The System shall provide the ability for the customer to download generic office/measure forms.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-004-06		The System shall provide the ability for the customer to search, view and download specific English/Multilingual sample ballot booklet(s) from the customer’s workspace.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”

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	UC-RESO-005	View Contact Information				
	UC-RESO-005-01		The System will provide the customer access RR/CC contact information.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-005-02		The System will provide a “contact us” form.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-005-03		system will send form information to designated parties including public if public entered in their email address	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-006	Access online Help				
	UC-RESO-006-01		The System provides the customer the ability to access an online help page and FAQ.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-006-02		The System provides conceptual help throughout the application to the user.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-007	View FAQ				
	UC-RESO-007-01		The System will provide access to customers to access an online help page and FAQ.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008	Send Communication to RRCC				
	UC-RESO-008-01		The System provides the ability for Customers to send emails to RR/CC’s general email account through RESO.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008-02		The System provides the customer access to RR/CC contact information.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008-03		The System provides customers and users the ability to correspond within The System about a specific election (chat/discussion thread).	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008-04		The System provides an automated help chatbox to assist in problem resolution.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008-05		The System provides Customer the ability to view/edit/approve ballot pages, enclosures, and other documents.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008-06		The System provides customer and the public the ability to access an online help page.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008-07		The System provides the customer the ability to download generic office/measure forms from the main page.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-008-08		The System provides the customer the ability to search, view and download specific English/Multilingual sample ballot booklet(s).	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-009	Download General Forms				
	UC-RESO-009-01		The System shall provide the customer the ability to download generic office/measure forms.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-009-02		The System shall provide the ability for the customer to view a list of forms grouped by category.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-010	User Login				
	UC-RESO-010-01		The System provides the ability for the Customer/user to login once username/password has been created.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-010-02		The System provides the ability for users and customer to login.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-010-03		The System provides the ability to authenticate users.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-011	Reset Password				
	UC-RESO-011-01		The System provides the ability for Customers to reset/change their own password.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-011-02		The System provides the ability for an administrator to reset all customer and user passwords.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-012	Change Password				
	UC-RESO-012-01		The System provides the ability for Customers to reset/change their own password.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-012-02		The System validates that new password meets complexity and re-use rules.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-013	Update Customer profile				
	UC-RESO-013-01		The System provides the ability for Customers to view/update their profile.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-013-02		The System provides the ability for staff and/administrator to update customer profiles.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-014	Create new Election				
	UC-RESO-014-01		The System provides the ability for users to maintain an election schedule in the System.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-014-02		The System provides the ability for users to assign a project code to the election.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-014-03		The System provides a User the ability to override the type of services that are pre-marked by the System based on the election type.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-014-04		The System should automatically checks/marks all type of services that are applicable based on the election type.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-014-05		The System must not accept any ESR submissions after e-88 for an election and any other business rules.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-015	Update an election				
	UC-RESO-015-01		The System provides the ability for users to maintain an election schedule in the System.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”

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	UC-RESO-015-02		The System validates updated election information.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-016	Make Inactive an election				
	UC-RESO-016-01		The System provides the ability for users to maintain an election schedule in the System.	Yes	O = Out of the Box	
	UC-RESO-016-01		The System provides the ability for users to make “active” an election that has been made “inactive”.	Yes	O = Out of the Box	
	UC-RESO-017	Election Service Request				
	UC-RESO-017-01		The System provides the ability for the customer to select an election from the election schedule when creating an ESR.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-02		The System provides the ability for the customer to request for either Specified Election Services or Consolidation ESR type.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-03		The System provides the ability for the customer will walk through each specific question in a “wizard” fashion based on the type of services the customer is requesting.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-04		The System provides the ability for the customer to upload documents.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-05		The System provides the ability for the customer to view their data submitted.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-06		The System provides the ability for the customer to leave a comment.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-07		The System provides the ability for the customer to stop/save/resume/cancel the election service request process.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-08		The System provides the ability for the customer to save ESR as a template.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-09		The System provides the ability for the customer to upload /attach a resolution and other relevant documents related to an ESR.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-10		The System provides the ability for the customer to designate a document type when uploading/attaching a document related to an ESR.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-11		The System provides the ability for the Charter cities customers to create ESR on behalf of other jurisdictions if they are the Election Official for those jurisdictions.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-12		The System provides the ability for the users to complete an ESR on behalf of a customer.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-13		The System will generate automatic email notification to customers and users based on e-date or event type.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-14		The System can only allow jurisdiction to submit the questionnaire once the required questions have been completed.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-15		The System will show a summary statement of the ESR to the customer, who will be required to review and confirm the ESR prior to final submission.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-16		The ESR process will be a four-step process of ESR creation/submission/ Substantiation/Updating/ Approving/Rejecting of ESR: a.Submit ESR b.Update/Confirm ESR c.RR/CC Review d.RR/CC Approve/Reject with legal documents and final confirmation	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-17		The System needs to display the status of an ESR in the form of a status bar.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-18		The System will enforce submission deadlines associated with the filing of election document.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-19		The System will record/update transaction logs.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-20		The System must not allow the customer to request more than 8 contests for an election and notify the customer of such action.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-21		The System must do data validation.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-22		The System must generate different types of questionnaires: •Local Jurisdiction requesting for Special Specified Services from RR/CC but with other supplier. •Local jurisdictions requesting election services from RR/CC with RR/CC being the supplier. •Election Coordination defining the federal/Statewide/Countywide contests for SOS and BOS.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-017-23		The System needs to automatically notify users of any new submissions, updates, or cancellations.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-018	Update and Election Service Request				
	UC-RESO-018-01		The ESR process will be a four-step process of ESR creation/submission/ Substantiation/Updating/ Approving/Rejecting of ESR with legal documents and final confirmation. a.Submit ESR b.Update/Confirm ESR c.RR/CC Review d.RR/CC Approve/Reject	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-018-02		The System needs to display the status of an ESR .	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-018-03		The System must do data validation.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-018-04		The System needs to automatically notify users of any new submissions, updates, or cancellations.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-019	View an active or Historical ESR				

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	UC-RESO-019-01		The System provides Customers and users the ability to view historical ESRs.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-019-02		The System provides Certain customers with the ability to view other jurisdictions’ activities if they are over those jurisdictions.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-019-03		The System shall provide the user the ability to view election service request (ESR) at any point in its life cycle.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-019-04		The System shall provide users the ability to query ESRs and linked documents based on various search criteria.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020	Update an ESR status				
	UC-RESO-020-01		The System provides the ability for Users to able to approve/reject an ESR.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-02		The System provides Users the ability to review and QC an ESR.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-03		The System provides Users the ability set the ESR status of an election on the election schedule to one of the followings:	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-04		The System provides Users the ability ESR is set to either “Delayed/Held”, “Postponed” or “Cancelled”, the user can set customer’s ERS to one of the following reasons.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-05		The System provides Users the ability approve/view/edit Jurisdictions’ ERS with an authorized password from a supervisor.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-06		The System provides for an ESR process will be a four-step process of ESR creation/submission/ Substantiation/Updating/ Approving/Rejecting of ESR with legal documents and final confirmation; a.Submit ESR b.Update/Confirm ESR c.RR/CC Review d.RR/CC Approve/Reject	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-07		The System needs to send emails to jurisdiction when there is a change in the ESR status.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-08		The System needs to keep track of the different stages and time of approval.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-09		The System needs the ability to display the status of an ESR to the user.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-10		The System needs the ability to display the ESR Summary Statement will inform the customer of the approval status of the ESR with optional supporting comments.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-11		The System must do data validation.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-020-12		The System needs to automatically notify users of any new submissions, updates, or cancellations.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-021	Download files and documents				
	UC-RESO-021-01		The System shall provide the user/customer the ability to download specific candidate filing forms, general and measures forms, GIS files from their account.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-022	Customer uploads files and or documents				
	UC-RESO-022-01		The System will enforce submission deadlines associated with the filing of election document.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-022-02		The System will record/update transaction logs.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-022-03		The System must not accept any resolution submissions after e-83.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-022-04		The System will provide the ability for users to upload documents for an ESR.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-022-05		The System will provide the ability for users to add a comment for documents that are uploaded.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-022-06		The System will provide the ability for files to be uploaded to designated location for a particular ESR.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-022-07		The System shall track various document statuses.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-023	User uploads files and or documents				
	UC-RESO-023-01		The System shall provide the ability for the User to upload forms and consolidation information to customers’ account that is required for an election (arguments and rebuttals) with questions (measures).	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-023-02		The System shall provide the ability for the user to upload samples of ballot pages, enclosures, and other documents for review and approval to customer’s account.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-023-03		The System shall keep track of date and time when a document has been uploaded/submitted, changes or approved.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-024	Approve or Reject Documents				
	UC-RESO-024-01		The System shall record/update the transactions log	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-024-02		The System shall send email notifications on the change of a document’s status.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-024-03		The System shall have an approval process for documents.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-025	User activities contests for an election				
	UC-RESO-025-01		The System provides the ability for Users to select/add/update/delete Federal/Statewide/Countywide contests.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”

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	UC-RESO-025-02		The Systems provide the ability for the User to select single/multiple Federal/Statewide/Countywide contests at one time for an election.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-025-03		The System will record/update transaction logs.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-025-04		The System must generate and support different types of questionnaires: •Local Jurisdiction is requesting for Specified Services from RR/CC but with another supplier. •Local jurisdiction is requesting election services from RR/CC with RR/CC being the supplier. •Election Coordination defining the Federal/Statewide/Countywide contests for SOS and BOS. •Local jurisdiction is requesting election services from RR/CC with RR/CC being the supplier.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-026	User adds an email message				
	UC-RESO-026-01		The System shall provide the ability to set up the email distribution list, the content of the email and the e-date to be sent for each of the type of automated emails.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-026-02		The System will record/update transaction logs.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-026-03		The System should know that based on the current election year, the Jurisdiction’s election cycle, election date and the e minus date, it would send out certain type of emails to certain jurisdictions to notify them of the questionnaire submission.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-027	User updates an email message				
	UC-RESO-027-01		The System shall provide the ability for a user to update an email template/distribution list.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-028	User makes inactive an email message				
	UC-RESO-028-01		The System shall provide the user the ability to make an email message/distribution list inactive.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-028-02		The System shall the ability for staff to see email message/distribution list status.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-028-03		The System shall provide the user the ability to an email distribution list active.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-029	User generates reports				
	UC-RESO-029-01		The System provides the ability to print reports.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-029-02		The System provides the ability to save the report in different formats including PDF, CSV, and Excel.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-030	Download sample ballots				
	UC-RESO-030-01		The System provides the ability to print a sample ballot specific to an election.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-RESO-030-02		The System provides the ability to download the sample ballot in different formats.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-GIS001	GIS Folder Manage GIS Information				
	UC-GIS001-01		The System shall allow user to manage GIS information by integrating seamlessly with existing GIS systems and procedures. ESRI GIS software shall be the master system for managing precinct, subprecinct, district, and street segment geography. Edits to these geographies shall be made in County GIS and/or EMS.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive) March 2022: Requirement clarified
	UC-GIS001-08		The System shall seamlessly integrate with ESRI GIS products to accept and proliferate data updates.	Yes	O = Out of the Box	
	UC-GIS001-16		The System shall interface with VoteCal to accommodate regular and semi-annual data transfers and synchronizations.	Yes	O = Out of the Box	
	UC-GIS001-17		The System shall provide user the capability to create and update Ballot Groups.	Yes	O = Out of the Box	
	UC-GIS001-18		The System shall provide user the capability to create and update consolidations or election precincts through the EMS or via integration with GIS.	Yes	O = Out of the Box	
	UC-GIS001-19		The system shall allow the user to manage, create, update and delete GIS data versions.	Yes	O = Out of the Box	March 2022: Requirement added
	UC-GIS001-20		The system shall be compatible with the current County ArcGIS server version	Yes	O = Out of the Box	March 2022: Requirement added
	UC-GIS002	Manage Districts				
	UC-GIS002-01		The System shall allow ESRI GIS products to interface with, write to and download from the EMS database in order to manage streets and geographic information including making updates to the voter street, precinct, and district tables	Yes	O = Out of the Box	
	UC-GIS002-02		The System shall have the capability to identify residential addresses as a valid address and planned zoned for residences or individual addresses.	Yes	O = Out of the Box	
	UC-GIS002-03		The System shall have the capability to identify residential addresses (or block of address) as business address or PMB addresses to prevent the address being used for registration.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” (GoLive)
	UC-GIS002-04		The System shall have the capability to validate zip codes against valid zip codes including using plus 4 zip codes.	Yes	O = Out of the Box	
	UC-GIS002-05		The System shall display a summary of geographic information in The System including but not limited to: Information that has been uploaded or modified, date, time, user that uploaded and/or modified information.	Yes	O = Out of the Box	
	UC-GIS002-06		The System shall allow user to update the index of streets.	Yes	O = Out of the Box	
	UC-GIS002-07		The system shall allow the user to create, manage, update and delete Districts.	Yes	O = Out of the Box	March 2022: Requirement added
	UC-GIS003	Manage Precincts				
	UC-GIS003-01		The System shall the capability to assign visual indicators such as color to indicate precinct status.	Yes	O = Out of the Box	
	UC-GIS003-02		The System shall allow the maintaining of separate concurrent elections by use of versioning of precinct election data by maintaining multiple concurrent precinct data sets.	Yes	O = Out of the Box	
	UC-GIS003-03		The System shall allow user to manage, create, update and delete precincts including name, ID, districts, including area and boundaries.	Yes	O = Out of the Box	March 2022: Requirement clarified
	UC-GIS003-04		The System shall display a summary of precinct information in The System including but not limited to: number of voters by status, Information that has been uploaded/transferred or modified, date, time, user that uploaded and/or modified information.	Yes	O = Out of the Box	
	UC-GIS003-05		The System shall allow user to validate and review precinct information updates prior to saving them.	Yes	O = Out of the Box	

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	UC-GIS003-06		The System shall allow user to undo precinct updates.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-GIS003-08		The System shall allow user to manage precincts including but not limited to the ability to merge and split precincts, and add, copy or remove districts.	Yes	O = Out of the Box	
	UC-GIS003-09		The System shall validate all the precincts over all the geographic area of an election.	Yes	O = Out of the Box	
	UC-GIS003-10		The System shall allow ESRI GIS software to interface with, write to, and download from the EMS database in order to manage precinct data.	Yes	O = Out of the Box	
	UC-GIS003-11		The System shall self validate precinct data for possible errors for quality control purposes. The system shall allow self validation to be bypassed by authorized persons.	Yes	F = Future	
	UC-GIS003-12		The Systems shall allow synchronization with inhouse GIS data.	Yes	O = Out of the Box	
	UC-GIS004	Address				
	UC-GIS004-01		The System shall have the capability to identify addresses (or block of address) as business address or Postal Mail Boxes addresses to prevent the address being used for registration.	Yes	O = Out of the Box	
	UC-GIS004-03		The System shall allow for quick inquiries by GIS products and/or quick search functions for user to assist voters locate and display their precinct and district information.	Yes	O = Out of the Box	
	UC-GIS004-04		The System shall support business/residency distinction to multi-floor and multi-unit street addresses.	Yes	O = Out of the Box	
	UC-GIS004-05		The System shall provide the ability for user to enter "homeless" and non-traditional or alternative addresses.	Yes	O = Out of the Box	
	UC-GIS004-06		The System shall validate address entered by user are formatted S42 International Addressing standards.	Yes	O = Out of the Box	
	UC-GIS004-09		The System shall interface with data sources from other agencies such as USPS, assessor and building departments.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-GIS004-10		The System shall provide output of voter mailing data that can be read by postal printing software.	Yes	O = Out of the Box	
	UC-GIS004-11		System shall allow the user to view, identify and validate non precinctable addresses.	Yes	O = Out of the Box	March 2022: Requirement added
	UC-GIS004-12		System to allow users to add fractions in streets' addresses	Yes	O = Out of the Box	March 2022: Requirement added
	UC-GIS004-13		The system shall identify any voters added to business, government buildings and mail drop addresses and restrict them from receiving election material.	Yes	O = Out of the Box	March 2022: Requirement added
	UC-GIS005	Streets				
	UC-GIS005-01		The System shall allow user to manage GIS information by integrating seamlessly with existing GIS systems and procedures.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-GIS005-02		The System shall allow user to manage, create, update and delete the street segment data and geometry.	Yes	O = Out of the Box	March 2022: Requirement clarified
	UC-GIS005-03		The System shall allow user to update street alias information.	Yes	O = Out of the Box	
	UC-GIS005-04		The System shall seamlessly integrate with ESRI GIS products to accept and proliferate data updates using bi-directional read/write connection between County GIS and the EMS. Street geometries and locations shall be managed in GIS. Associated districts and precincts shall be transmitted to the EMS when changes are made to street locations or their associated precincts and districts.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive) March 2022: Requirement clarified
	UC-GIS005-05		The System shall use a street alias, alternative city including phonetic, AI or any combination to match a registrants declared street address with an eligible residential address in the System.	Yes	O = Out of the Box	
	UC-GIS005-06		The System shall accurately parse declared street addresses from incoming registrations to street indexes/addresses and precincts in the System.	Yes	O = Out of the Box	
	UC-ELE001	Election Activation Folder Create an Election				
	UC-ELE001-01		The System shall provide user the ability to configure an election within the System based on type of election. (e.g. statewide, local, primary, general, etc.).	Yes	O = Out of the Box	
	UC-ELE001-02		The System shall provide user the ability to configure an election to sync with VoteCal database and ensure Voting History is transmitted as changes occur.	Yes	O = Out of the Box	
	UC-ELE001-03		The System shall allow the user to update data to configure the election including but not limited to: <input type="checkbox"/> Election name(s) <input type="checkbox"/> Job ID (a LA County defined field) <input type="checkbox"/> Type of election (primary, general, special election, etc.) <input type="checkbox"/> Election dates • Election day, • UOCAVA start date • VBM start/end dates • Early Voting/Vote Center dates • Close of registration • Candidate filing <input type="checkbox"/> Specific election characteristics • Vote center • Mail only • HAVA required • Closed primary • Presidential Election • Sample ballot configuration • Countywide Election <input type="checkbox"/> Jurisdiction running the election (County vs city) <input type="checkbox"/> Election Tally and supplier	Yes	O = Out of the Box	
	UC-ELE001-04		The System shall allow user to create a unique election ID.	Yes	O = Out of the Box	
	UC-ELE001-05		The System shall allow user to edit any saved portion without requiring re-creating of any other portion of the election configuration (except the election id which should remain fixed).	Yes	O = Out of the Box	
	UC-ELE001-06		The System shall allow user to match local defined election with a State defined election.	Yes	O = Out of the Box	
	UC-ELE001-07		The System shall allow user to set election as a State mock election or local mock/test election. A local mock/test election shall not send any election data to the State.	Yes	O = Out of the Box	

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	UC-ELE001-08		The System shall allow users to define the districts in the election. <input type="checkbox"/> The System shall allow user to include districts in the election by selecting districts, jurisdictions and/or precincts. <input type="checkbox"/> The System shall allow user to identify precincts in the election from the district selection. <input type="checkbox"/> Users shall allow user to add/delete districts in an election.	Yes	O = Out of the Box	
	UC-ELE001-09		The System shall allow user to create ballot types for the election: <input type="checkbox"/> The System shall allow user to identify the ballot types for the election from election configuration and districts.	Yes	O = Out of the Box	
	UC-ELE001-10		The System shall allow user to create precinct consolidations for the election using different options: The System shall allow user to interface with ESRI GIS data files, or allow import of a GIS file to set up consolidations. <input type="checkbox"/> The System shall allow user to serialize consolidated precincts. <input type="checkbox"/> The System should allow user to define constraints for max/min voters and maximum precincts for consolidations.	Yes	O = Out of the Box	March 2022: Requirement clarified
	UC-ELE001-11		The System shall allow the user to create Polling places and/or Vote Center placements for the election as applicable from configuration. <input type="checkbox"/> The System shall allow copying from eligible poll place /vote center locations, copying from an existing election, or creation of empty polling places (which would be filled out by the "Create Polling Place/Vote Center" use cases).	Yes	O = Out of the Box	
	UC-ELE001-12		The System shall allow user to create contests for the election. <input type="checkbox"/> Contests shall be derived from offices.	Yes	O = Out of the Box	
	UC-ELE001-13		The System shall allow user to create candidates for the election.	Yes	O = Out of the Box	
	UC-ELE001-14		The System shall allow user to specify the directories that Election files are located: <input type="checkbox"/> Election Archives <input type="checkbox"/> AV exported image directory	Yes	F = Future	
	UC-ELE001-15		The System shall allow user to perform quality assurance steps to ensure integrity of all entered and derived data.	Yes	O = Out of the Box	
	UC-ELE001-16		The System shall allow user the ability to interface with LA Counties ECBMS and ECU systems for the following: <input type="checkbox"/> Candidate, <input type="checkbox"/> Offices and contests <input type="checkbox"/> Ballot ordering <input type="checkbox"/> Initial election configuration	Yes	O = Out of the Box	
	UC-ELE001-17		The System shall allow for multiple overlapping elections to be managed.	Yes	O = Out of the Box	
	UC-ELE001-18		The System shall allow user to extract a report on election configuration.	Yes	O = Out of the Box	
	UC-ELE001-19		The System shall allow user to save the election configuration.	Yes	O = Out of the Box	
	UC-ELE001-20		The system shall allow user to perform a QA audit to the newly created consolidations against a defined set of variables. The audit shall check for: multiple ballot types, multiple political jurisdictions, multiple poll use, too many precincts and too many or few voters.	Yes	N = New Development / Customization	
	UC-ELE002	Process Voter History				
	UC-ELE002-01		The System shall allow user the option for user to apply voter history.	Yes	O = Out of the Box	
	UC-ELE002-02		The System shall display the participation methods with their respective options: <input type="checkbox"/> VBM voters <input type="checkbox"/> CVR voters <input type="checkbox"/> Provisional <input type="checkbox"/> Polls <input type="checkbox"/> Non-voters Eligible voters that did not vote are marked as eligible but with no participation method.	Yes	O = Out of the Box	
	UC-ELE002-03		The System shall allow user to change the status of inactive voters to active from voters with a participation method.	Yes	O = Out of the Box	
	UC-ELE002-04		The System shall allow user to remove the HAVA ID flag to confirm or provide ID from voters with a participation method.	Yes	O = Out of the Box	
	UC-ELE002-05		The System shall apply participation history to both records if voter has been merged with another voter ID before voter history was processed.	Yes	O = Out of the Box	
	UC-ELE002-06		The System shall allow user the capability to remove voters from voter history.	Yes	O = Out of the Box	
	UC-ELE002-07		The System shall allow voter history to be updated live to VoteCal.	Yes	O = Out of the Box	
	UC-ELE002-08		The System shall allow user to log changes in a transaction table.	Yes	F = Future	
	UC-ELE002-09		The System shall allow user the ability to auto process voter history upon ballot acceptance. <input type="checkbox"/> After a VBM ballot is processed as returned with no challenge, the voter history shall be sent to VoteCal. <input type="checkbox"/> After a provisional or CVR ballots is issued to ballots are issued.	Yes	O = Out of the Box	
	UC-ELE002-10		The System shall provide user the capability to batch import voter IDs and apply to history to specific history type. <input type="checkbox"/> Bulk import of voter ID's scanned from rosters or downloaded from ePollbook's.	Yes	F = Future	
	UC-ELE003	Search for Election				

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	UC-ELE003-01		The System shall present data entry fields to search for election(s). These shall include but are not limited to: Year Name(s) Type District/Jurisdiction/Contest	Yes	O = Out of the Box	
	UC-ELE003-02		The System shall allow user to enter required data into at least one search field. If searching by "year" the value defaults to the current year.	Yes	O = Out of the Box	
	UC-ELE003-03		The System shall allow users to use wildcards. Wildcards shall include (SQL examples are given but could be any standard wildcard notation): Zero or more characters (%) A single character (_) A single number or letter (#,?) Ranges or lists and their negation (^[,])	Yes	O = Out of the Box	
	UC-ELE003-04		The System shall display results of election search. A summary list of election(s) matching search criteria is displayed, with pertinent identifying information, where items in the list are selectable to open the pertinent election configuration. Pertinent identifying information include: Election Date Election ID Election name(s) Election Type Default election SOS ID	Yes	O = Out of the Box	
	UC-ELE010	Search for and open voter in Election				
	UC-ELE010-01		The System shall provide a module/screen that allows a user to access voters information for a selected election.	Yes	O = Out of the Box	
	UC-ELE010-02		The System shall present data entry fields for user to search for voter(s). At a minimum, these fields shall include: Election EMS Voter ID Affidavit Driver license and/or SSN4 AV Ballot ID Names (last, first, middle) Birthdate Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) Perm status Precinct District and district type Email Phone number	Yes	O = Out of the Box	
	UC-ELE010-03		The System shall allow user ability to select modify search options, including: Barcode scanning Phonetic, nickname or fuzzy match of names Street alias Optimized search (where if no voter is found the search fields are reduced or transposed using a set of known search criteria patterns to result in close matches).	Yes	O = Out of the Box	
	UC-ELE010-04		The System shall allow user to perform partial searches, using a wildcard (e.g. %), including (SQL examples are given but could be any standard wildcard notation) Zero or more characters (%) A single character (_) A single number or letter (#,?) Ranges or lists and their negation (^[,]).	Yes	O = Out of the Box	
	UC-ELE010-05		The System shall accept entry from a barcode reader. Fields for barcode entry include: EMS Voter ID AV voter ID Affidavit	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ELE010-06		The System shall allow user to return to original search screen to modify previously entered search parameters.	Yes	O = Out of the Box	
	UC-ELE010-07		The System shall allow user to cancel search and close search screen.	Yes	O = Out of the Box	
	UC-ELE010-08		The System shall limit the listing of Confidential Voters to only a name and redact personally identifiable information unless user has a sufficient security permission.	Yes	O = Out of the Box	

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	UC-ELE010-09		The System shall display voter specific election information including, but not limited to: EMS Voter ID Affidavit (provisional) Names (last, first, middle) Voter status Birthdate Birth place Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) Mailing address Precinct Party Registration date Signature (security role permitting) Contact information Eligibility status Polling place VBM ballot status (mailed, returned, challenged) State ballot status	Yes	O = Out of the Box	
	UC-ELE010-10		The System shall display functionality features, including: All transactions within voter's record Comments Provisional ballot information Outstanding and processed ballots local and statewide	Yes	O = Out of the Box	
	UC-ELE010-11		The System shall allow users with appropriate security role to open specific menus to: Issue and/or manage AV voters and ballots Create and/or manage Provisional voters and ballots Create and/or manage Conditional Voter Registrations (CVR) voters and ballots	Yes	O = Out of the Box	
	UC-PRO001	Provisional Folder Process Provisional Voters				
	UC-PRO001-01		The System shall provide a solution capable of managing, processing, and auditing all elements of Conditional Voter Registration (CVR) processes as required in: -- California Election Code: DIVISION 2. VOTERS [2000 - 2700]; CHAPTER 2. Registration [2100 - 2194.1]; ARTICLE 4.5. Conditional Voter Registration [2170 - 2173] -- California Secretary of State: Title 2. Administration; Division 7. Secretary of State; Chapter 1. Voter Registration; Article 3.5. Conditional Voter Registration and related official guidance. The System shall have the capability and flexibility to meet large scale CVR volume and related technology requirements relative to local, state and election law, regulation and guidance. This includes providing CVR services to voters -- as described in those laws, regulations, and guidance - in near real time at central elections office and any remote sites.	Yes	O = Out of the Box	
	UC-PRO001-02		The System shall allow staff to process receipt of a provisional / Conditional Voter Registration (CVR) ballot.	Yes	O = Out of the Box	
	UC-PRO001-03		The System shall allow staff to record information provided on the outside of a provisional / CVR ballot.	Yes	O = Out of the Box	
	UC-PRO001-04		The System shall have the capability to record a scanned copy of the outside of a provisional / CVR ballot.	Yes	O = Out of the Box	
	UC-PRO001-05		The System shall allow voter to enter their information into device to locate their record.	Yes	O = Out of the Box	
	UC-PRO001-06		The System shall allow staff to identify the registered voter associated with the provisional ballot / CVR ballot and confirm their voter registration eligibility, including but not limited to : the voter's address and precinct if the voter's residence is within Los Angeles County, verification that the voter has not cast a ballot in another county for the same election and verification that the voter does not exist on another county's roster of voters.	Yes	O = Out of the Box	
	UC-PRO001-07		The System shall display the voters signature from the voter registration.	Yes	O = Out of the Box	
	UC-PRO001-08		The System shall display an image of the signature of voter's provisional / CVR ballot if scanned into The System.	Yes	O = Out of the Box	
	UC-PRO001-09		The System shall provide for a side by side/top and bottom comparison of the two signatures from the scanned provisional / CVR ballot and the voter's registration card, determine if the signature match and provide information on the potential match to staff.	Yes	O = Out of the Box	
	UC-PRO001-10		The System shall allow staff to indicate if a handwritten signature matches between the voter's registration and their provisional / CVR ballot.	Yes	O = Out of the Box	
	UC-PRO001-11		The System shall allow staff to verify address written on the provisional / CVR to addresses that are allowed to vote in a precinct.	Yes	O = Out of the Box	
	UC-PRO001-12		The System shall verify if a voter that submits a provisional / CVR ballot has not already submitted a ballot for the same election within California and if it was accepted, the voter will not be eligible to cast a provisional/CVR ballot.	Yes	O = Out of the Box	
	UC-PRO001-13		The System shall display to staff whether a ballot has been accepted or rejected.	Yes	O = Out of the Box	
	UC-PRO001-14		The System shall require staff to indicate a disposition of the received ballot in The System, the receipt number of the provisional / CVR ballot and if rejected, a reason for the rejected provisional / CVR ballot.	Yes	O = Out of the Box	
	UC-PRO001-15		The System shall have the capability to track why the provisional / CVR ballots was submitted, as well as reason for rejection.	Yes	O = Out of the Box	
	UC-PRO001-16		The System shall auto correct address and precincts entered into The System by staff to correctly precinct the voter.	Yes	O = Out of the Box	
	UC-SB001	Sample Ballot Folder Sample Ballot Extraction				
	UC-SB001-01		The System shall allow user to select election for Sample Ballot Extraction.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) - May 2022 to May 2023 "EMS CORE" (GoLive)

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-SB001-02		The System shall display an Election Status module with the following options: <ul style="list-style-type: none"> • Districts • Contests • Candidates • Ballot Types • Polls • Consolidations • Ballot Order • Workers • VBM • Voting History • Extract Series • Extraction Instructions • Use VoteCal Official List • Last transaction • Comments • Copy Record • Language 	Yes	O = Out of the Box	
	UC-SB001-03		The System shall have the capability for user to include/exclude: underage voters precinct counts verification counts Confidential voters Permanent VBM voters Out of country voters	Yes	O = Out of the Box	
	UC-SB001-04		The System shall allow user to uncheck the Use VoteCal Official List.	Yes	O = Out of the Box	
	UC-SB001-05		The System shall allow user to select Extraction Instructions.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-06		The System shall display an Extractions Instructions page with the following options: <ul style="list-style-type: none"> • Full Extraction • Update Extraction • Extraction with Underage Voters • Extraction with Precinct Counts • Extraction with Verification Counts • Extraction Series • Purpose of Extraction 	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-07		The System shall allow user to select Full Extraction without Underage Voters and without Precinct Counts.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-08		The System shall allow user to indicate purpose of extraction.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-09		The System shall allow user to select Extract Now and wait until "Election Extraction Precinct Counts Completed" message appears to complete extraction process.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-10		The System shall allow user to query The System to confirm if the extraction completed and the extraction series.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-11		The System shall display to user extraction summary statistics. Summary statistics to be displayed include but not limited to: Number of voters extracted Number of active voters extracted Length of time needed for the extraction	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-12		The System shall be able to issue ballots in bulk for eligible voters based on date and an update flag (to select only records that have changed as of X date).	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-13		The System shall be able to generate an extraction number.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-14		The System shall have the capability for user to add comments to the extraction.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-15		The System shall extract the voter information into a standard vendor mailing receipt file.	Yes	O = Out of the Box	
	UC-SB001-16		The System shall increment and keep track of the number of extractions performed for an election.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB001-17		The System shall provide the capability for the vendor receipt file to be exported in a number of different formats including but not limited to flat file and CSV for two separate files: <ul style="list-style-type: none"> • English Sample Ballot File • Multilingual Sample Ballot File 	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB002	Mail additional Sample ballot				
	UC-SB002-01		The System shall display options to search for a voter.	Yes	O = Out of the Box	

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-SB002-02		The System shall present a list of fields that can be used to search for a voter, including: Last name First Name City Place of Birth State Date of Birth ZIP Voter ID Email Social Security Number Driver's License Number	Yes	O = Out of the Box	
	UC-SB002-03		The System shall display a list of matches to the search criteria.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB002-04		The System shall display the voter record when the search results in only one match.	Yes	O = Out of the Box	
	UC-SB002-05		The System shall display information about the voter. All search criteria from 1.1 District Party Registration date Precinct Ballot Group Number Serial Number Language	Yes	O = Out of the Box	
	UC-SB002-06		The System shall user an option to send an additional ballot.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB002-07		The System shall allow user to generate and mail an additional sample ballot to the voter.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-SB002-08		The System shall increment the number of sample ballots sent to the voter.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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VOTE BY MAIL (VBM) MANAGEMENT & SIGNATURE RECOGNITION						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
		Vote By Mail & Signature Recognition Folder				
	UC-VBM001	Absentee Voter mass transfer				
	UC-VBM001-01		The System will display deactivate voter options, including but not to *Activate Voters who are of age by election date *Deactivate voters who are under age by election date *Election date *Voter change status reason *Generate Voter Notification Cards.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM001-02		The System shall record voters that have been deactivated due to being less than 18 years old by the election date.	Yes	O = Out of the Box	
	UC-VBM001-03		The System shall record the change in voter status.	Yes	O = Out of the Box	
	UC-VBM001-04		The System shall issue voter notification cards for activated voters.	Yes	O = Out of the Box	
	UC-VBM001-05		The System shall display options to search for an election. Election identification fields include: *Election Name *Election Year *Election Type.	Yes	O = Out of the Box	
	UC-VBM001-06		The System shall display a list of elections that matches to the search criteria.	Yes	O = Out of the Box	
	UC-VBM001-07		The System shall display election information. For example, election information may include: *Election Date *Election Name *Election Status *Election close registration date *Secretary of State election identification number *Election Management System election identification number *Number of extractions.	Yes	O = Out of the Box	
	UC-VBM001-08		The System shall display Absentee voter information. For example, absentee voter information displayed includes: *Permanent Absentee voters *Voter by Mail.	Yes	O = Out of the Box	
	UC-VBM001-09		The System shall identify all voters that meet the search criteria.	Yes	O = Out of the Box	
	UC-VBM001-10		The System shall update the status of all voters that meet the search criteria.	Yes	O = Out of the Box	
	UC-VBM001-11		The System shall assign all identified voters to a specific election.	Yes	O = Out of the Box	
	UC-VBM001-12		The System shall be able to support overlapping elections.	Yes	O = Out of the Box	
	UC-VBM001-13		The System shall assign to voters a unique ID which is linked to specific election.	Yes	O = Out of the Box	
	UC-VBM001-14		The System shall allow wildcard characters or other methods to be used in text fields for search for text.	Yes	O = Out of the Box	
	UC-VBM004	Issue Sample ballot				
	UC-VBM004-01		The System shall display the current default election.	Yes	O = Out of the Box	
	UC-VBM004-02		The System shall provide the capability for staff to change the election.	Yes	O = Out of the Box	
	UC-VBM004-03		The System shall display extraction options.	Yes	O = Out of the Box	
	UC-VBM004-04		The System shall have the capability for staff to include/exclude: *underage voters *precinct counts *verification counts *Confidential voters *Permanent VBM voters *Out of country voters.	Yes	O = Out of the Box	
	UC-VBM004-05		The System shall be able to issue ballots in bulk for eligible voters based on date and an update flag (to select only records that have changed as of X date).	Yes	O = Out of the Box	
	UC-VBM004-06		The System shall produce voter details and ballot style details by voter type in order to support delivery of the ballots.	Yes	O = Out of the Box	
	UC-VBM004-07		The System shall be able to generate an extraction number.	Yes	O = Out of the Box	
	UC-VBM004-08		The System shall have the capability for staff to add comments to the extraction.	Yes	O = Out of the Box	
	UC-VBM004-09		The System shall extract the voter information into a standard vendor mailing receipt file.	Yes	O = Out of the Box	
	UC-VBM004-10		The System shall increment and keep track of the number of extractions performed for an election.	Yes	O = Out of the Box	
	UC-VBM004-11		The System shall provide the capability for the vendor receipt file to be exported in a number of different formats including but not limited to flat file and CSV.	Yes	N = New Development / Customization	
	UC-VBM004-12		The System shall display to staff extraction summary statistics. Summary statistics to be displayed include but not limited to: *Number of voters extracted *Number of active voters extracted *Length of time needed for the extraction.	Yes	O = Out of the Box	
	UC-VBM004-13		The System shall provide the ability for staff to issue an single sample ballot for a voter.	Yes	O = Out of the Box	
	UC-VBM004-14		The System shall allow wide card characters or other method to be used in text fields to search for text that begin or end with specific characters.	Yes	O = Out of the Box	
	UC-VBM004-15		The System shall be able to support overlapping elections.	Yes	O = Out of the Box	
	UC-VBM004-16		The System shall capture date, time, and issued method (mail, counter, in-person) when a ballot is issued.	Yes	O = Out of the Box	
	UC-VBM004-17		The System shall have the capability for staff to enter a mailing date and assigned to a group of ballots at the time of creation.	Yes	O = Out of the Box	
	UC-VBM004-18		The System shall have the capability for staff to create an update extraction.	Yes	O = Out of the Box	
	UC-VBM004-19		The System shall provide the capability for staff to include/exclude confidential voters.	Yes	O = Out of the Box	
	UC-VBM004-20		The System shall provide the capability for the creation of a multiple language extract file.	Yes	O = Out of the Box	
	UC-VBM005	Mail additional Sample ballot				
	UC-VBM005-01		The System shall display option to search for a voter	Yes	O = Out of the Box	
	UC-VBM005-02		The System shall present a list of fields that can be used to search for a voter. Fields include: *Last name *First Name *City *Place of Birth *State *Date of Birth *ZIP *Voter ID *Email *Social Security Number *Driver's License Number.	Yes	O = Out of the Box	
	UC-VBM005-03		The System shall be able to display a list of matches to the search criteria.	Yes	O = Out of the Box	
	UC-VBM005-04		The System shall jump directly to the voter record when the search results in only one match.	Yes	O = Out of the Box	
	UC-VBM005-05		The System shall display information about the voter. *All search criteria from 1.1 *District *Party *Registration date *Precinct *Ballot Group Number *Serial Number *Language.	Yes	O = Out of the Box	
	UC-VBM005-06		The System shall have an option to send an additional ballot.	Yes	O = Out of the Box	
	UC-VBM005-07		The System shall generate and mail an additional sample ballot to the voter.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM005-08		The System shall increment the number of sample ballots sent to the voter.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM008	Absentee Voter mass export				
	UC-VBM008-01		The System will display export options, including but not to *Export date range *Absentee voter category *Absentee voter source *Political party *Challenge code *File type *Languages *Districts *Ballot type *Election Name *Comments.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM008-02		The System shall export signatures to designated network/computer location.	Yes	N = New Development / Customization	

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	UC-VBM008-03		The System shall capture date and time and issued method.	Yes	O = Out of the Box	
	UC-VBM008-04		The System shall allow a mailing date to be manually entered at the time of creation.	Yes	O = Out of the Box	
	UC-VBM008-05		The System shall produce voter details and ballot type details in order to support delivery of ballots.	Yes	O = Out of the Box	
	UC-VBM008-06		The System shall display the total number of voter records and signature exported.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM008-07		The System shall be able to prepare a list email address and/or phone numbers for voters that are eligible for the selected election.	Yes	O = Out of the Box	
	UC-VBM008-08		The System shall be able to generate a unique extraction number for each extract for the selected election.	Yes	O = Out of the Box	
	UC-VBM008-09		The System shall provide the ability to identify voters that were missed between extractions.	Yes	O = Out of the Box	
	UC-VBM008-10		The System shall provide the ability to export all signatures for an extraction without producing the export mailing file.	Yes	O = Out of the Box	
	UC-VBM009	Cancel registration				
	UC-VBM009-01		The System allow staff to search for a voter (See Search and manage voter use case.	Yes	O = Out of the Box	
	UC-VBM009-02		The System shall allow staff to cancel voter registration.	Yes	O = Out of the Box	
	UC-VBM009-03		The System shall require staff to enter a reason for the voter registration change.	Yes	O = Out of the Box	
	UC-VBM009-04		The System shall cancel the voter and remove the voter from the list of eligible voters.	Yes	O = Out of the Box	
	UC-VBM009-05		The System shall provide staff the ability to create comments.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM009-06		The System shall add cancelled voters to the queue for notice generation (See Issue Notice use case).	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM012	Suspend and re-issue				
	UC-VBM012-01		The System will display options to search for a Vote By Mail voter. Voter identification fields include but not limited to: *First Name *Last Name *Address *Absentee Voter Identification Number (AVID) *State *Country *Date of Birth *Drivers License Number *Voter ID.	Yes	O = Out of the Box	
	UC-VBM012-02		The System shall display information about the voter. Voter information may include but not limited to: *All search criteria from 1.1 *Voter Status *Ballot Status *Issued Ballot information *Registration *Most recent signature date *Election Name *Comments *Last Transactions *Attachments.	Yes	O = Out of the Box	
	UC-VBM012-03		The System shall be able to present warning alert about possible ballot change status.	Yes	O = Out of the Box	
	UC-VBM012-04		The System shall present voter information. Voter information may include but limited to: *Search results from 2.2.	Yes	O = Out of the Box	
	UC-VBM012-05		The System shall present option to issue a notice (See Use Case – Issue Notice).	Yes	O = Out of the Box	
	UC-VBM012-06		The System shall save updated voter information.	Yes	O = Out of the Box	
	UC-VBM012-07		The System shall create a new absentee voter identification number.	Yes	O = Out of the Box	
	UC-VBM012-08		The System shall be able to issue a new Vote by Mail Ballot to a voter.	Yes	O = Out of the Box	
	UC-VBM012-09		The System shall be able to issue multiple ballots of the same ballot type for a given voter during an election. The System shall ensure that only one ballot is active.	Yes	O = Out of the Box	
	UC-VBM012-10		The System shall be able to issue multiple ballots of different ballot types due to an address or precinct change for a given voter during an election. It must also ensure that only one ballot of the correct ballot type is accepted/counted. The System will restrict address and precinct changes to those that are within the eligible district for the given election.	Yes	O = Out of the Box	
	UC-VBM012-11		The System shall be capable of interfacing with ballot on demand printers for counter delivery (including address labels and ballot).	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM012-12		The System shall identify voters for whom a replacement ballot was issued with date and time of issuance.	Yes	O = Out of the Box	
	UC-VBM013	Update mailing address				
	UC-VBM013-01		The System shall provide the option to search for a VBM voter. Voter identification fields include but not limited to: *First Name *Last Name *Address *Absentee Voter Identification Number *State *Country *Date of Birth *Drivers License Number *Voter ID".	Yes	O = Out of the Box	
	UC-VBM013-02		The System will display a list of possible voter matches from a user search *The System will jump directly to the voter's record when there is only one match.	Yes	O = Out of the Box	
	UC-VBM013-03		The System shall display information about the voter. Voter information may include but not limited to: *All voter search criteria *Voter Status *Ballot Status *Issued Ballot information *Registration *Most recent signature date *Election Name *Comments *Last Transactions *Attachments.	Yes	O = Out of the Box	
	UC-VBM013-04		The System shall be able to present warning alert about possible ballot change status, when a voter record is selected.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM013-05		The System shall have to capability to display voter information.	Yes	O = Out of the Box	
	UC-VBM013-06		The System shall have the capability for staff to to update/add the voters mailing address and the source of update.	Yes	O = Out of the Box	
	UC-VBM013-07		The System will display mailing information fields, not limited to: *Address *In Care Of *City *State *County *Country *Postal code *Email address *Fax number *Telephone Number *Telephone Number type *Receive text (SMS) messages.	Yes	O = Out of the Box	
	UC-VBM013-08		The System shall allow for standardized international address fields (E.g. based on USPS/Fedex postal standards).	Yes	O = Out of the Box	
	UC-VBM013-09		The System shall save updated/added mailing address information.	Yes	O = Out of the Box	
	UC-VBM013-10		The System shall use the mailing address and not the residential address when issuing a ballot. If a ballot has already been issued to the residence address, the original ballot will be suspended and a new ballot generated with the updated address information.	Yes	O = Out of the Box	
	UC-VBM013-11		The System shall allow staff to add the voters to the queue for notice generation.	Yes	O = Out of the Box	
	UC-VBM020	Receive ballot				
	UC-VBM020-01		The System shall allow staff to process receipt of a VBM ballot.	Yes	O = Out of the Box	
	UC-VBM020-02		The System shall allow staff to scan a barcode to identify receipt of the VBM ballot.	Yes	O = Out of the Box	
	UC-VBM020-03		The System shall allow staff to record the received method (Counter, mail, drop off), location e.g., specific drop off location, date and time of ballot received).	Yes	O = Out of the Box	

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-VBM020-04		The System shall be able group ballots into batches, matching the physical batch of ballots.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM020-05		The System shall provide the capability for the batch number to be assigned by the System.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM020-06		The System shall provide the ability to display and report on batch status.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM020-07		The System shall have the capability to interface with a mail ballot verification machine to verify voter signatures.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-VBM020-08		The System shall display the voters signature from their voter registration or VBM application.	Yes	O = Out of the Box	
	UC-VBM020-09		The System shall display an image of the signature from the voter's returned VBM ballot.	Yes	O = Out of the Box	
	UC-VBM020-10		The System shall provide the capability of side by side/up and down comparison between the voter's registration signature and voter's VBM ballot.	Yes	O = Out of the Box	
	UC-VBM020-11		The System shall allow staff to manually indicate if a hand written signature matches between a voter's registration and their VBM ballot.	Yes	O = Out of the Box	
	UC-VBM020-12		The System shall be able to display a scanned ballot signature image and the corresponding voter registration signature image on the same screen (and preferably, multiple sets of signatures at a time).	Yes	O = Out of the Box	
	UC-VBM020-13		The System shall allow signatures top checked side by side or above/below.	Yes	N = New Development / Customization	
	UC-VBM020-14		The System shall allow zooming in and out of the signature images.	Yes	O = Out of the Box	
	UC-VBM020-15		The System allows staff to indicate a status (accepted, challenge, rejected, suspend) of the received ballot and if rejected, include a rejection reason.	Yes	O = Out of the Box	
	UC-VBM020-16		The System shall allow staff to add voter records to the queue to issue notices (See use Case Issue Notice).	Yes	O = Out of the Box	
	UC-VBM020-17		The System will allow the ballot status to be changed and for the ballot to be accepted.	Yes	O = Out of the Box	
	UC-VBM020-18		The System shall allow for scanning and attaching returned notice letters.	Yes	O = Out of the Box	
	UC-VBM020-19		The System shall allow staff the ability to inactivate/activate a voter.	Yes	O = Out of the Box	
	UC-VBM020-20		The System shall have the capability to alert staff if a ballot has already been received from the voter.	Yes	O = Out of the Box	
	UC-VBM020-21		The System will provide a way of tracking ballots that are in into various categories such as duplicate voters, different voter status besides active and having staff adjudicate the final ballot status.	Yes	O = Out of the Box	
	UC-VBM020-22		The System shall provide the ability to track RAVBM ballots.	Yes	O = Out of the Box	
	UC-VBM053	Sample ballot return update information				
	UC-VBM053-01		The System shall present a list of fields that can be used to search for a voter. Fields include: *Last name *First Name *City *Place of Birth *State *Date of Birth *ZIP *Voter ID *Email *Social Security Number *Driver's License Number	Yes	O = Out of the Box	
	UC-VBM053-02		The System shall be able to display a list of matches to the search criteria.	Yes	O = Out of the Box	
	UC-VBM053-03		The System shall jump directly to the voter record when the search results in only one match.	Yes	O = Out of the Box	
	UC-VBM053-04		The System shall display information about the voter. *All search criteria from 1.1 *District *Party *Registration date *Precinct *Comments *Voting History of the voter *Ballot status *Voter Status *Most recent signature.	Yes	O = Out of the Box	
	UC-VBM053-05		The System shall allow for viewing of Uniformed and Overseases Citizens Absentee Voting Act (UOCAVA) flags.	Yes	O = Out of the Box	
	UC-VBM060	Manage VBM Scenario Management				
	UC-VBM060-01		The System shall display a list of VBM parameters. List of parameters/configurations include but not limited Address, Voter Status, Voter Record changes, VBM Application.	Yes	O = Out of the Box	
	UC-VBM060-02		The System shall display address configurations that include but not limited to: *Resident change but in same precinct *Resident change different precinct *Resident any change * Mail address change* Mail change in precinct*Mail change out of precinct.	Yes	O = Out of the Box	
	UC-VBM060-03		The System shall allow staff to make changes to the address parameters and save the changes.	Yes	O = Out of the Box	
	UC-VBM060-04		The System shall display Voter status parameters. List of parameters include but not limited to: *Active to Cancel *Active to inactive *Active to Pending *Active to Fatal Pending.	Yes	O = Out of the Box	
	UC-VBM060-05		The System shall allow staff to make changes to the status parameters and save the changes.	Yes	O = Out of the Box	
	UC-VBM060-06		The System shall display voter record changes configurations that include but not limited to: *Party changes (partisan elections) *Name change *Language change.	Yes	O = Out of the Box	
	UC-VBM060-07		The System shall allow staff to make changes to the address parameters and save the changes.	Yes	O = Out of the Box	
	UC-VBM060-08		The System shall display VBM application configurations that include but not limited to: *Changed Mailing address *Permanent VBM status change *Changed delivery source . Modified PVM category.	Yes	O = Out of the Box	
	UC-VBM060-09		The System shall allow staff to make changes to the application parameters and save the changes.	Yes	N = New Development / Customization	
	UC-VBM060-10		The System shall flag the voter record and the voter, if staff selected "Need Evaluation" for staff review.	Yes	O = Out of the Box	
	UC-VBM060-11		The System shall automatically "suspend and re-issue" a received ballot, if staff selected "Suspend and re-issue".	Yes	O = Out of the Box	
	UC-VBM060-12		The System shall take no action, if selected "No Nothing".	Yes	O = Out of the Box	
	UC-VBM060-13		The System shall "suspend" a received ballot, if staff selected "Suspend"	Yes	O = Out of the Box	
	UC-VBM060-14		The System shall provide the capability of having a precedence order of the requested parameter for example from highest to lowest [Symbol]Suspend and Re-issue, Suspend, Do Nothing, Needs Evaluation".	Yes	O = Out of the Box	
	UC-VBM060-15		The System shall flag the voter record and the voter, if staff selected "Need Evaluation" for staff review.	Yes	O = Out of the Box	
	UC-VBM060-16		The System shall automatically "suspend and re-issue" a received ballot, if staff selected "Suspend and re-issue".	Yes	O = Out of the Box	
	UC-VBM060-17		The System shall take no action, if selected "No Nothing".	Yes	O = Out of the Box	
	UC-VBM060-18		The System shall "suspend" a received ballot, if staff selected "Suspend"	Yes	O = Out of the Box	
	UC-VBM060-19		The System shall provide the capability of having a precedence order of the requested parameter for example from highest to lowest *Suspend and Re-issue, Suspend, Do Nothing, Needs Evaluation.	Yes	O = Out of the Box	
	UC-VBM060-20		The System shall have the capability of displaying a decision table/decision tree of the proposed changes.	Yes	O = Out of the Box	

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	UC-VBM060-21		The System shall provide the ability to evaluate records after the close of registration based on the election registration date.	Yes	O = Out of the Box	

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	UC-PET001	Create Petition	Petition Administration				
	UC-PET001-01			The System shall have the capability for a user to create a petition.	Yes	O = Out of the Box	
	UC-PET001-02			The System shall display Petition details. The Petition detail fields include but not limited to: *Petition Name *Status *District *Contest Number *Maximum Signature, *Petition deadline *Petition Received date *Circulation Start Date *Circulation End Date *Comments *Proponent information *Petition Type.	Yes	O = Out of the Box	
	UC-PET001-03			The System shall provide the option to display information about: *Petition Segments *Linked Petitions.	Yes	O = Out of the Box	
	UC-PET001-04			The System shall provide the capability for user to create petition segments.	Yes	O = Out of the Box	
	UC-PET001-05			The System shall provide the capability for user to link petitions to candidates.	Yes	O = Out of the Box	
	UC-PET001-06			The System shall display all the segment information. These segment fields include but not limited to: *Segment Number *Number of Sections *Signatures per section, *Beginning Section Number *Ending Section Number *Total Signatures *Submitted Date.	Yes	O = Out of the Box	
	UC-PET001-07			The System shall provide the option to accept the sections and signers that have been entered.	Yes	O = Out of the Box	
	UC-PET001-08			The System shall calculate the petition sections and signers for each section.	Yes	O = Out of the Box	
	UC-PET001-09			The System shall display an alert that the segment has been created.	Yes	O = Out of the Box	
	UC-PET001-10			The System shall provide the ability for the user to update and delete a petition.	Yes	O = Out of the Box	
	UC-PET001-11			The System shall provide the ability for the user to delete a petition segment.	Yes	F = Future	
	UC-PET001-12			The System shall provide the ability to recalculate the sections numbers if a segment is added or deleted.	Yes	O = Out of the Box	
	UC-PET002	Create Random Sample for Signature Verification	Signature Verification				
	UC-PET002-01			The System shall provide the option to create a random draw.	Yes	O = Out of the Box	
	UC-PET002-02			The System shall display options for a random draw. System shall present fields including: Sample percent.	Yes	F = Future	
	UC-PET002-03			The System shall calculate the total number of signatures to be verified.	Yes	O = Out of the Box	
	UC-PET002-04			The System shall generate a report of the sheet number and line numbers that need to be labeled by user for signature verification. If the signature sheets and signature lines are in The System, The System shall mark the signature lines that shall be reviewed/verified.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-PET003	Close Petition	Petition Administration				
	UC-PET003-01			The System shall allow a supervisor to determine the final disposition of a petition.	Yes	O = Out of the Box	
	UC-PET003-02			The System shall determine the percentage of signatures found to be invalid from the signature verification.	Yes	O = Out of the Box	
	UC-PET003-03			The System shall apply the percentage of signatures found to be invalid from the random sample to the signatures for verification and determine the number of signatures for the whole petition that are likely valid.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-PET003-04			The System shall compare the total number of signatures that are likely to be valid from the whole petition to the number of signatures required for the petition.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-PET003-05			The System shall allow the supervisor to close or finalize the petition and report the results.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-PET003-06			The System shall be capable of generating a report if a petition is deemed to have enough number of signatures for the matter to be placed on the ballot.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-PET003-07			The System shall have the capability to determine that the likely number of remaining valid signatures is less than the number required for the petition, then The System shall deem the petition as not having a sufficient number of signatures for the matter to be placed on the ballot.	Yes	O = Out of the Box	
	UC-PET003-08			The System shall have the capability to generate a notice to the Elections Official/candidate and/or Secretary of State that submitted the petition with the final counts and results of the signature verification as compared to the number of signatures required for the petition and the final disposition of the petition.	Yes	O = Out of the Box	
	UC-PET003-09			The System shall be capable of generating a Close Out Petition breakdown report listing the different invalid/challenge codes and numbers associated with each code.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations”
	UC-PET004	Check and manage information	Petition Administration				
	UC-PET004-01			The System shall provide an option for petition searches.	Yes	O = Out of the Box	
	UC-PET004-02			The System shall display a list of fields that can be used to search for a petition. *Petition Name *Contest Number *Election name *District *Petition deadline *Petition Received date *Circulation Start Date *Circulation End Date *Petition Status *Petition Type *Linked petition name *Required number of signatures *Petition Year.	Yes	O = Out of the Box	
	UC-PET004-03			The System shall allow wild-card characters or other methods to be used in text fields to search for text that begin or end with specific characters.	Yes	O = Out of the Box	
	UC-PET004-04			The System shall be able to display a list of possible petitions matches to the search criteria.	Yes	O = Out of the Box	
	UC-PET004-05			The System shall be capable of verifying the remaining signature lines of eligible voters.	Yes	O = Out of the Box	

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	UC-PET004-06			The System shall display petition information. For example, petition information may include: *Verification date *Comments *Last Transactions *Segment Information, *Number of signatures required *Number of signatures submitted.	Yes	O = Out of the Box	
	UC-PET004-07			The System shall provide the ability for users to add unlimited number of comments on the petition.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET004-08			The System shall provide the ability for the user to update and delete a petition signer.	Yes	O = Out of the Box	
	UC-PET006	Receive Signature sheets	Signature Verification				
	UC-PET006-01			The System shall have the capability of determining if whole sheets should be disqualified.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET006-02			The System shall determine the total number of signature sheets and signature lines submitted.	Yes	O = Out of the Box	
	UC-PET006-03			The System shall have the capability of determining if whole sheets should be disqualified.	Yes	F = Future	
	UC-PET006-04			The System shall identify the remaining signature line of eligible voters after determining the whole sheets and signature lines on the remaining sheets that are disqualified.	Yes	F = Future	
	UC-PET006-05			The System shall be capable of determining signature lines to be disqualified.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET006-06			The System shall allow user to enter information about all sheets submitted.	Yes	O = Out of the Box	
	UC-PET006-07			The System shall allow user to assign sheet numbers to all the initial signature sheets.	Yes	O = Out of the Box	
	UC-PET006-08			The System shall allow user to view scanned images of the sheets and any automatic determination made by The System regarding each sheet if the sheets are already in The System.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET006-09			The System shall allow user to disqualify petition sheets, indicate the specific sheet number disqualified and the reason for the sheet disqualification.	Yes	O = Out of the Box	
	UC-PET006-10			The System shall update the number of qualified sheets based on the number of disqualified sheets.	Yes	F = Future	
	UC-PET006-11			The System shall allow user to view scanned images of each signature line of the remaining sheets and any automatic determination made by The System regarding each signature line if the signature line of each sheet is already in The System.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET006-12			The System shall allow user to indicate in The System that a specific signature line was disqualified and indicate a reason for the signature line disqualification.	Yes	O = Out of the Box	
	UC-PET006-13			The System shall be able to calculate the number of remaining signature lines and disqualified signature lines per sheet.	Yes	O = Out of the Box	
	UC-PET006-14			The System shall be able to calculate the total number of remaining signature lines, and disqualified lines for the petition.	Yes	O = Out of the Box	
	UC-PET006-15			The System shall compare the total number of signatures remaining to the number required for the petition.	Yes	O = Out of the Box	
	UC-PET006-16			The System shall deem the petition still valid if The System determines that the total number of signatures remaining is greater or equal to the number required for the petition.	Yes	O = Out of the Box	
	UC-PET006-17			The System shall deem the petition failed for not having enough signatures after receiving the petition f The Systems determines that total number of signatures remaining is less than the number required for the petition.	Yes	O = Out of the Box	
	UC-PET006-18			The System shall allow user to update the petition status.	Yes	O = Out of the Box	
	UC-PET006-19			The System shall allow user to indicate that the signature sheets have been reviewed and ready for the creation of the random sample of eligible signatures.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET006-20			The System shall have the ability to track page statistics by accepted and rejected voter signatures.	Yes	O = Out of the Box	
	UC-PET007	Record Signature Verification Findings	Signature Verification				
	UC-PET007-01			The System shall display a list of petition management options.	Yes	O = Out of the Box	
	UC-PET007-02			The System shall allow user to view the signature lines to be verified. If the random sample is not used, the next signature line is used to be verified.	Yes	O = Out of the Box	
	UC-PET007-03			The System shall allow user to link and identify a voter for the petition line if the signature lines are not scanned into The System.	Yes	O = Out of the Box	
	UC-PET007-04			The System shall allow user the ability to view selected signature line at the same time they are viewing the voter registration information if signature line has been scanned into The System.	Yes	O = Out of the Box	
	UC-PET007-05			The System shall display information about the voter and the signature line. Information displayed shall include but not limited to: *Petition Name *Line Number *Sign Date, *Voter Name *Voter Address *City *Zip code *Latest signature.	Yes	O = Out of the Box	
	UC-PET007-06			The System shall allow user to record the result of the signature verification for each signature line.	Yes	O = Out of the Box	

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PETITIONS							
Req. #	Use Case #	Use Case File Name	Component	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-PET007-07			The System shall allow user to update the voter registration record of the signer with the history that the voter signed the petition if the signature line is verified.	Yes	O = Out of the Box	
	UC-PET007-08			The System shall allow user to indicate a reason for the signature line is not qualified if the signature line is not verified.	Yes	O = Out of the Box	
	UC-PET007-09			The System shall allow user to indicate on the petition sheet the disposition of the signature line if the signature line has not been scanned into The System.	Yes	O = Out of the Box	
	UC-PET007-10			The System shall allow user to indicate different dispositions of a signature line.	Yes	O = Out of the Box	
	UC-PET007-11			The System shall allow user to indicate a reason for the signature line is not qualified if the signature line is not verified.	Yes	O = Out of the Box	
	UC-PET007-12			The System shall allow user to also indicate on the petition sheet the disposition of the signature line if the signature line has not been scanned into The System.	Yes	F = Future	
	UC-PET007-13			The System shall allow user to indicate different dispositions of a signature line.	Yes	O = Out of the Box	
	UC-PET007-14			The System shall allow user to finalize each signature line.	Yes	O = Out of the Box	
	UC-PET007-15			The System shall record the disposition of each signature line.	Yes	O = Out of the Box	
	UC-PET007-16			The System shall calculate and display the total number of verified signature lines, total number of disqualified signature lines, and the total number of any other status.	Yes	O = Out of the Box	
	UC-PET007-17			The System shall allow user to certify their signature verification findings.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET007-18			The System shall provide the capability for user to lock down petitions after the challenge period.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET007-19			The System shall user to report on the petition status (See Use Case – Check and manage a Petition).	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET007-20			The System shall have the ability for user to change the recorded disposition for each signature line.	Yes	O = Out of the Box	
	UC-PET008	Link to candidate	Petition Administration				
	UC-PET008-01			The System shall have the capability to search for a candidate in the petition module.	Yes	O = Out of the Box	
	UC-PET008-02			The System shall present a list of fields that can be used to search for the candidate. These candidate identification fields include but not limited to: *First Name, *Last Name *Year *Contest Number *Election Name *Office.	Yes	O = Out of the Box	
	UC-PET008-03			The System shall be able to display a list of possible candidates matches to the search criteria.	Yes	O = Out of the Box	
	UC-PET008-04			The System shall provide the option to link a petition to a candidate in the ECBMS system.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET008-05			The System shall display the option to search for a petition. For example, petition information may include: *Petition ID Number *Petition Name *Petition Type.	Yes	O = Out of the Box	
	UC-PET008-07			The System shall link a candidate to the selected petition.	Yes	O = Out of the Box	
	UC-PET008-08			The System shall display the number of valid and invalid signatures to user.	Yes	O = Out of the Box	
	UC-PET008-09			The System shall provide the ability to unlink a candidate to petition.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET008-10			The System shall provide the ability to link multiple candidates to the same petition.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET008-11			The System shall provide the ability to replace the petition link to a candidate with another petition.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET009	Adjudicate signers	Signatures in Lieu				
	UC-PET009-01			The System shall present the option for a petition search.	Yes	O = Out of the Box	
	UC-PET009-02			The System shall present a list of options to search for a petition. The identification fields include but not limited to: *Petition Name *District *Contest *Type, *Petition status.	Yes	O = Out of the Box	
	UC-PET009-03			The System shall allow wildcard characters or other methods to search in text.	Yes	O = Out of the Box	
	UC-PET009-04			The System shall display a list of possible signers that meet the search criteria. Fields displayed include but not limited to: *Voter first name *Voter last name, *Voter address *Perm Status *Registration date.	Yes	O = Out of the Box	
	UC-PET009-05			The System shall have the ability to display detailed petition information. Information and fields include: *Petition Name *Signature date *Voter ID number *Voter first name, *Voter last name *Voter address *Precinct *Voter signatures *Last transaction date *Comments *Voter signature *User challenge status.	Yes	O = Out of the Box	
	UC-PET009-06			The System shall provide user the ability to update a petition challenge code.	Yes	O = Out of the Box	
	UC-PET009-07			The System shall allow user to record the results of signature verification "If the signature line is verified, The System shall allow user to update the voter registration record of the signer with the history that they have signed. "If the signature is not disqualified, The System shall allow user to select a disqualification reason.	Yes	O = Out of the Box	
	UC-PET009-08			The System shall alert user if a petition signer has signed the petition more than once and display information as where the petition signer may have signed. The identification fields include but not limited to: *Section Number *Signature line number *Challenge Code.	Yes	F = Future	
	UC-PET009-09			The System shall allow user to certify the results of their line item signature verification.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET009-10			The System shall indicate to user how many signature lines have been verified, how many have been disqualified, pending or any other status.	Yes	O = Out of the Box	

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PETITIONS							
Req. #	Use Case #	Use Case File Name	Component	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-PET009-11			The System shall allow user to report on signature on signature verification findings during the challenge period for petitions.	Yes	O = Out of the Box	
	UC-PET011	Withdrawal cards	Signature Count				
	UC-PET011-01			The System shall provide the capability for user match/ link/relink a withdrawal card record to voter.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-02			The System shall allow user to search for a petition with petition information (See use case – Search for a Petition).	Yes	O = Out of the Box	
	UC-PET011-03			The System shall allow user to search for a voter (See use case – Search for a voter).	Yes	O = Out of the Box	
	UC-PET011-04			The System shall display information about the voter and the withdrawal card if the withdrawal card is scanned. Information displayed shall include but not limited to: *Petition Name *Signature withdrawal date *Date withdrawal card was submitted to RR/CC *Signature section (page) *Signature number *Voter Name *Voter Address *City *Zip code *Latest signature *last transaction date.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-05			The System shall provide the ability for user to enter and update information regarding a withdrawal card.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-06			The System shall allow user to record the result of the signature and address verification and the date submitted for each petition withdrawal card.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-07			The System shall automatically calculate the disposition of the withdrawal card based on the signature status, address status and date submitted. Status may include the but not limited to the following: *Accepted – Address and signature verified and submitted date is before the petition submitted date *Not Accepted – Cannot verify signer's registered status, signature or Address *Too Late –Address and signature verified and the submitted date is after the petition is submitted.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-08			The System shall record and display additional user verification (By ID)of voter's information from the withdrawal card i.e. more than one user may verify the same withdrawal card. The System shall record the date and time who did the verification.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-09			The System shall automatically match the voters that have a valid withdrawal card with the designated petition and challenge the petition signatures with "Withdrawn".	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-10			The System shall provide Withdrawal card statistics including but not limited to: *The System shall calculate the quantity of valid and invalid withdrawal cards.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"
	UC-PET011-11			The System shall automatically recalculate the number of valid signatures on the petition due to valid withdrawal cards.	Yes	N = New Development / Customization	Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations"

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ELECTION RESULTS							
Req. #	Use Case #	Use Case File Name	Component	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-REP01-02	Vote By Mail Voter Participation	Voter Participation	The System shall have the capability to export voter signatures to a folder location for use in signature verification a. Signatures that correspond with av extracts performed in a specific election and time/date range b. All voters in a district (usually by active/pending status).	Yes	F = Future	
	UC-REP01-04	Election Results Reporting	Election Results Reporting	The System shall have the capability to integrate views, API's or data set extractions that allow web apps to make requests or basic queries of the following data but not limited to: A. Incoming to EMS: 1. Sample ballot request for specific election 2. Temporary change of perm category request for specific election 3. Poll worker training signup B. Outgoing to web services 1. Voter registration counts 2. Vote center details with statistics	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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REPORTING						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-REP01-01	Data Requests	The System shall have the capability to create a CSV/TXT and additional exportable datasets in the following file formats including but not limited to flat file, tab delimited, comma delimited, or any reporting tool or reporting medium of voter data with the following optional or filterable criteria but not limited to: status = active; pending a nonconfidential record; within a user specified district or election; with on demand user specified data columns; with their voting history in specified election(s).	Yes	O = Out of the Box	
	UC-REP01-03	Data Requests	The System shall have the capability to generate, save, print or email an extraction of voter data with the option to integrate an API or view for: 1. population of the RRCC Voter information Management system (VIMS) thin client system for city clerks to query basic statistics about a voter data including latest voter signatures. 2. any external reporting tool or reporting medium	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-REP01-05	Data Requests	The System must permit generation of data to create specific ad hoc reports on EMS data, via programming, scripting, or reporting methodologies to generate specific, customized datasets including but limited to: a. Transactions including update, insert or delete before/after states, user making the transactions, records effected and date/time b. Voter data including but not limited to voter_id, names, addresses, birthdates, DL, SSN4, voter status, perm status – Any data that would be on an affidavit, precinct c. Av ballot data including but not limited to voter_id, names, addresses on envelope, VBM envelope ID, language, perm category, challenges, return date, undeliverable state, return batch and envelope ID d. Voter history data including but not limited to Voter_id, election_id, request methods(s), eligibility for election, ballot return methods, participation methods(s), time/date of transaction, votecal reported return method e. Street, precinct, district data joinable to voter, vote center data f. QC data that allows validation of the count and output of extracts that may be otherwise blind g. VoteCal incoming and outgoing queues h. Specialized work lists for operations user regarding data failing to conform to but not limited to EMS business rules, election law or VoteCal guidance and business requirements	Yes	T = Third Party Product	Tableau (We have developed the datalake for the Tableau reporting db)

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ELECTION WORKERS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
		Election Workers Folder				
	UC-PW001	Search for Worker				
	UC-PW001-01		The System shall allow user various types of ways to search for election workers.	Yes	O = Out of the Box	
	UC-PW001-02		The System shall display search results based on the search criteria.	Yes	O = Out of the Box	
	UC-PW001-03		The System shall display the election worker record if there is only one record and display a list of election workers if there are multiple matches.	Yes	O = Out of the Box	
	UC-PW001-04		The System shall allow User to sort results if search result in multiple match.	Yes	O = Out of the Box	
	UC-PW001-05		The System shall validate the election worker's address and auto precinct the new record once the address is updated.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW001-06		The System shall save any changes updated to a record.	Yes	O = Out of the Box	
	UC-PW001-07		The System shall store and display a history of transaction(s) for users to view and sort by headers, as necessary.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW001-08		The System shall provide the ability for user to view election Worker payroll history which shall include but not limited to: Election ID, Election title, Job title(s), Vote Center, Total Amount paid, warrant number and date issued.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW001-09		The System shall display a pop-up window to notify User if the workers record changed in their voter file.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW001-10		The System shall allow user the option to update or ignore the changes suggested from their voter file	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW002	Add New Worker				
	UC-PW002-01		The System shall validate information entered, to prevent a duplicate worker from being added.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW002-02		The System shall copy the election worker's voter record into the worker table if a match is found.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW002-03		The System shall exclude confidential voters from this search.	Yes	O = Out of the Box	
	UC-PW002-04		The System shall create a new worker record in the worker table and pre populate the workers information from the election worker's voter record.	Yes	O = Out of the Box	
	UC-PW002-05		The System shall allow user to modify the new worker record.	Yes	O = Out of the Box	
	UC-PW002-06		The Systems shall validate the new address and auto populate the new precinct if different, in case an address change is necessary.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW002-07		The Systems shall not transfer the Voter information through the worker module. Changes in worker profile shall remain in the worker table.	Yes	O = Out of the Box	
	UC-PW002-08		The System shall require and validate SSN and ensure that there is not a duplicate SSN record within the worker table. If an SSN is not available, the Supervisor shall be required to override this requirement and ONLY allow the following information to be entered "000 00 0000" .	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW002-09		The System shall auto assign a worker ID.	Yes	O = Out of the Box	
	UC-PW002-10		The System shall allow a Voter's signature to also be linked or possibly duplicated in the worker table. Workers signature shall be available for viewing in the Workers table.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW002-11		The new EMS System shall allow integration with PolChief via API. New EMS shall allow display of voters by Service Area in the PolChief - Worker - Map Recruitment Screen for recruitment purpose. (When a voter is selected on the map, the voter's information such as name, address, mailing address, DOB, phone, email and possibly image of signature shall display in PolChief as a potential new election workerfor recruitment purposes).	Yes	N = New Development / Customization	March 2022: Requirement added
	UC-PW003	Assign Election Worker to Service Area				
	UC-PW003-01		The System shall have Calendar System for assigning the Election Workers to the Service Area on the days the Vote Center is operational.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW003-02		The System shall provide option to use parameters for user to select unassigned workers Example: select workers that have completed training, job title, language spoken etc.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW003-03		The System shall replicate a worker record from the worker maintenance table to an election worker table and store the chosen data from the worker maintenance table into the election worker table.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW003-04		The System shall link the Election Worker to the Service Area (and to the location by association to the Service Area).	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW003-05		The System shall provide the screen or a form for user to view the status of recruitment of workers sorted by Service Area. The form shall display the information by Service Area * Number of workers required (targeted) * Number of workers already hired * Number of workers still needed to fulfill hiring requirements for Service Area (related to UC-PW008 Election Workers user Requirement driven by Vote Center Size).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW003-06		The System shall provide reports of Service Area and workers assigned to them.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW003-07		The System shall allow all transactions be captured.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW003-08		The System shall provide a check box field called "Talking Points" to ensure Users review the talking points during recruitment for every election.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW004	Agile Development of Reports_New				
	UC-PW004-01		The System shall have a REPORTS module.	Yes	O = Out of the Box	
	UC-PW004-02		The System shall allow users to select criterias needed to to generate reports, as needed and develop reports for user without requiring users to submit a Change Request to the vendor.	Yes	O = Out of the Box	
	UC-PW004-03		The System shall allow Admin access to develop new report or modify existing reports.	Yes	O = Out of the Box	
	UC-PW004-04		The System shall allow Admin to save reports in the Reports Module for other Users to generate.	Yes	O = Out of the Box	
	UC-PW004-05		The System shall allow users to build reports based on a selected criteria, print reports, as well as save reports in pdf, excel or csv format.	Yes	O = Out of the Box	
	UC-PW004-06		The System shall allow users to build reports module with options for parameters and criteria.	Yes	O = Out of the Box	
	UC-PW004-07		The System shall allow users to group selected data criteria into reports	Yes	O = Out of the Box	

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	UC-PW004-08		The System shall provide the following reports, including but not limited to: a. Control Log – by Supervisorial District. Report shall include service area, languages, size voting period. b. Service Area – One page per service area. Comprehensive report shall list Workers assigned, job title, election name, election date, election id, voting period, ML Targeted worker requirements, supervisorial district, vote center name and address, schedules requirements, workers information and schedule. Sort by Service per page and to print one page per service area as PDF. c. Productivity Report – Report displays progress required and recruited workers.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW004-09		The System shall allow Admin user to control Security level for Supervisor to create a report tab for non Supervisor user to print report without the capability of modifying, deleting, editing, adding the report or saving the report as a new report.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
			The System shall provide a report that can be refreshed/generated by Individual Worker, Department and/or Source and/or provide data source for report.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW004-10		Dashboard Reports - The System shall provide Tabs to show Stats such as: Election Worker Recruiting Status by Program, Election Worker Training Status by Job Title, Multilingual Target Summary and recruitment status (by language), Upcoming in Person/Virtual Training Classes, Upcoming in Person/Virtual Training Classes for Current Week, Completed Classes, etc.....	Yes	O = Out of the Box	March 2022: Requirement clarified
	UC-PW005	Troubleshooter Election Night Release				
	UC-PW005-01		The System shall provide a screen to view the following information grouped by Troubleshooters including but not limited to: "Date and time when CIC within Troubleshooters jurisdiction is closed "Status (Open/Close) of CIC within Troubleshooters jurisdictions.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW005-02		The System shall provide a module for User to view a display of the following information, including but not limited to: Troubleshooter ID, Troubleshooter Name, CIC number, CIC status (open or close), if close Date/Time it closed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW005-03		The System shall record (time stamp) the date and time the Troubleshooter is released or sent to Headquarters.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW005-04		The System shall have two transaction records for the Troubleshooter's Working Status: 1) sent to Headquarters and , 2) released.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW005-05		The System shall provide a report of the Troubleshooters' released status or sent to Headquarters status information that can be used as proof of their attendance.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW005-06		The System shall provide or identify by font color the Troubleshooters that are yet to be released.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW005-07		The System shall provide a proof of attendance/timcard in a letter format to confirm the Troubleshooter's attendance.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006	Phone App or Web Site for Attendance				
	UC-PW006-01		The System shall have the following criteria, including but not limited to: Check in and Check out date, time, location, class ID, data which shall be uploaded for the workers into EMS.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-02		The System shall have the app which shall refresh and default to current date and time every day.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-03		The System shall create a new check in/out record each day election workers check in/out	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-04		The System shall track all County Cell Phones which shall be associated to Service Area in EMS so that EMS shall know which Service Location the Election Workers checked in.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-05		The System shall have real time data of check in/out.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-06		The System shall track Phone app which shall have option for Election Workers to enter new phone number or address. This data shall be uploaded in EMS on a separate tab for users to review and reconcile manually.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-07		The System shall have attendance marked and appropriate fees applied for attendance shall be populated if fees applies.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-08		The System shall have the Class ID and attendance information and class pay shall be applied to the record if fees applies.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-09		The System shall provide a dashboard reflecting attendance status for each Vote Center, each day.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW006-10		The System shall have an API for Check in/out data to be transmitted into EMS and update the attendance in real time.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW006-11		The System shall allow users to add pre check process check in/out for Lead and Assistant Lead on the schedule.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW007	Transaction When PW's Voter's Rec				

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-PW007-01		The System shall display an alert/pop-up when the election worker's voter information has changed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW007-02		The System shall have alert/pop-up which shall include but not limited to the following information: a. Display a check box next to each field(s). b. Display the date and time the fields were updated. c. List the field updated d. Display the before information e. Display the after information f. Display the User Name that made the update. g. Display the name of the user (First name and last name) h. Display the last transaction date and time of the field in the worker module workers information has been changed in the voter file. i. "The	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW007-03		The System shall allow only the following update fields qualify to enable alert: a. Last Name change b. home address c. mailing address d. All phone numbers e. Email address f. Date of birth	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW007-04		The System shall provide a checkbox next to each field to allow the user to only update the fields marked/checked.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW007-05		The System shall display an alert or pop-up "Are you sure you want to update the record?".	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW007-06		The System shall update fields that are checked by the user if the User confirms."	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW008	Election Workers user Requirement				
	UC-PW008-01		The System shall allow user to create a recruitment template as a guide for other users by location size, voting period and schedule in the beginning of worker recruitment.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW008-02		The System shall automatically change the worker requirement if the location size or days of operation schedule changes and shall update the information in the worker module.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW008-03		The System shall automatically change the requirement if an election location (Real) is confirmed and the size, voting period or schedule of operation is different from the pseudo set up in the start of recruitment.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW008-04		The System shall display recruitment progress and display how many election workers are required, have been recruited, required by job title and scheduled within the service area.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW008-05		The System shall provide report summary and detail of recruitment status.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW008-06		The System shall recalculate the number of workers required when location size changes, and shall display on the worker module the following information including, but not limited to: 1) # of required workers 2) Schedule change	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW008-07		The System shall provide the screen or a form for user to view the status of recruitment of workers sorted by Service Area. The form shall display how many target workers and how many is fulfilled by service area (related to UC-PW003 Assign Election Worker to Service Area).	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW009	Election Worker Job Title - Managen				
	UC-PW009-01		The System shall provide ability for users to create, add or modify Job Titles.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW009-02		The System shall use the data set up within the Job Title Settings and link/refer with Schedule, Payroll, Training Requirements, Portal access and communication.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW009-03		The System shall use the Job Titles as reference when setting up worker requirements.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW009-04		The System shall have columns for Special Projects and Source.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW010	Allow to change Election Default on t				
	UC-PW010-01		The System shall always use and display The System default election unless changed by user.	Yes	O = Out of the Box	
	UC-PW010-02		The System shall allow user to change to a different election.	Yes	O = Out of the Box	
	UC-PW011	Attendance Management				
	UC-PW011-01		The System shall have an API connection with ePulse (electronic election poll book) or an app for workers to check in/out.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-02		The System shall track attendance source imported from electronic election poll book check in/out, the election worker's record shall be considered approved by Supervisor and transferred to payroll if there is a pay amount.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-03		The System shall require Supervisor to approve attendance records if source is not imported from electronic election poll book.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-04		The System shall require Managers approval of records exeeding payment threshold set for the job title, set in the Job Title settings.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.

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	UC-PW011-05		The System shall track all attendance records that are marked Payroll Ready or Payroll Complete in different color so that users can immediately see that the task has been completed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-06		The System shall provide Payroll Exception Report listing records with anomaly that require review/revision, as needed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-07		The System shall provide Payroll Summary Counts to validate number of records and total amount from the file.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW011-08		The System shall display the detailed pay such as base pay, training, bonus etc. including total.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW011-09		The System shall track status when the Users are approved to send to payroll and calculate all the fees based on the requirement, sum up all the fees for each worker and generate a file containing 1 record for each worker (even if Election Worker worked in multiple Vote Centers) if their records have a value of Ready in the Payroll.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW011-10		The System shall create a worker history for all election workers who have served in an election as long as there is an attendance record , even for workers and County Employees without payments.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW011-11		The System shall track the status of a record, after it has been approved on EMS by marking a field in each of the election worker record as “attendance approved”.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-12		The System shall provide exception reports.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-13		The System shall allow supplemental payments for a worker within the same election.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW011-14		The System shall keep historical records of all payments for IRS 1099 or W2 reporting.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW011-15		The System shall allow user to generate on demand Timecard like report for County Employees for attendance even without pay.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW011-16		The System shall allow user to search by the following categories, including but not limited to: Workers No Pay, Attendance Verified and Unverified, approved, name, no fee, stipend and source.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-17		The System shall have 3 Tabs: a. Unverified Tab -If worker is missing Sign-in/Sign-out on any date assigned, changed name or address via electronic election poll book this worker shall be placed in sub tab “Unverified”. b. Once worker information has been verified, there shall be an option to move record to either “Verified” tab or “Workers No Pay” tab. c. No Pay Tab - County Worker or No Pay Workers Sign-in/Sign-out on all dates assigned with no corrections via electronic election poll book these worker shall be placed in sub tab “Workers No Pay” in Worker Attendance.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW011-18		The System shall provide a report that can be generated by Individual Worker, Department and/or Source and/or provide data source for report.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW012	Provide Work Schedule Calendar for				
	UC-PW012-01		The System shall provide a calendar module for users to set up the calendar schedule every election.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW012-02		The System shall track election setup tasks including, but not limited to: voting period, size and worker schedules by job title. Management shall create worker schedules by job title, size and voting period (i.e. Schedule A, Schedule B and etc.) in election set up.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW012-03		The System shall only allow user to only select predetermined schedules if available and option to select/view each day or alter work schedule.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW012-04		The System shall have a function for user to copy requirements from one service area to another.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW012-05		The System shall track the drop down list of working schedule which shall only display the groups that fall within the Vote Center’s operational days.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW012-06		The System shall track when Election Workers are assigned to a location with the Schedule and account as fulfilled job-title requirement for each day.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW012-07		The System shall provide a Calendar module to display WHERE, WHEN and WHO are the the Election Workers assigned every day.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW012-08		The System shall allow user to view a calendar in different views, including but not limited to: daily or entire days that the vote center is open as well as all the workers assigned.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW012-09		The System shall provide an alert if Users try to double book an Election Worker. System shall not allow Election Worker to work in the same date/time.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW012-10		The System shall have the ability to display information in the calendar including, but not limited to: name, Job title, language etc.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW012-11		The System shall allow Admin user to create customized schedule for special projects.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW012-12		The System shall provide a report of the Work Schedule by service area in detail and summary.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.

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	UC-PW013	Election Worker History				
	UC-PW013-01		The System shall track the details of Election Worker's History and allow user to view in the Worker Module for each election they served.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW013-02		The System shall track anyone who was marked as having served with record of confirmed attendance shall have a record in the table.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW013-03		The System shall record the following information for the election worker including but not limited to: election name, election date (days), job title, Service area, vote center location name, vote center address, amount paid in details (such as daily pay, training pay etc...) date check was issued and warrant number.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW013-04		The System shall include accumulative of Payment totaled by year.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW013-05		The System shall track the number of times an election worker has served in an election and incrementally increase by one election, after each election the election worker attendance's date/time is confirmed.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW013-06		The System shall provide a report that can be printed in pdf or exported as xls.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014	Create Payroll File for Election election Workers				
	UC-PW014-1		The System shall provide options for users to group workers to include in payroll file including, but not limited to group or types of workers	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014-2		The System shall only add records in Payroll Module that are approved by the Supervisor.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-3		The System shall require Managers approval when record payment amounts exceed threshold set for the job title.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014-4		The System shall annotate records as Payroll Ready or Payroll Complete in different color so that users can tell immediately verify that the task has been completed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-5		The System shall provide Payroll Exception Report that list records with anomaly and require review.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-6		The System shall provide Payroll Summary Counts to validate # of records and total amounts from the file.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014-7		The System shall calculate all the fees when the Supervisor creates the payroll file fees based on the requirement, sum up all the fees for each worker and generate a file containing one record for each worker and election owner (even if Election Worker worked in multiple Vote Centers) if their records have a value of Ready in the Payroll Status.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-8		The Systems shall only allow 1 payment per day even when the worker has multiple assignments for the day such as Coordinators or Reservist.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-9		The System shall create a file, which shall mark a field in each of the election worker record created/submitted as - "pay status", that shall be updated to "Pay Submitted" with a date and time, when a payment is submitted and in process or left unmarked if payment has not been submitted.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014-10		The System shall allow import of Payroll updateback file from the Auditor Controller to update the payments records such as payment date, amount and warrant number.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-11		The System shall have an API connection with ePulse (electronic election poll book).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-12		The System shall allow supplemental payments for a worker within the same election.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014-13		The System shall display history of worker's attendance and their payments for each election in the Worker Election Module.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014-14		The System shall provide Summary and Detail Payroll Reports.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-15		The System shall provide a history and view of all payroll files generated and all updateback files uploaded from the Auditor Controller.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW014-16		The System shall create unique Payroll File Name(s) using a combination of date and incrementing numeric at the end of the file name.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW014-17		The System shall keep historical records of all payments for IRS 1099 reporting.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW015	Create 1099 or W2 File for Election				
	UC-PW015-01		The System shall provide an exception report if election worker's SSN is invalid.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW015-02		The System shall provide user a button to generate 1099 file / W2 file report.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-PW015-03		The System shall provide a Parameter of: "YEAR".	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW015-04		The System shall allow user to generate 1099/W2 report file in a format required by the Auditor Controller.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-PW015-05		The System shall provide an option to generate a 1099/W2 Detail report of all payments for audit purposes. The report shall have a breakdown list including, but not limited to: a. Worker SSN b. Worker Name c. Worker Address d. Job Title e. Election_id f. Election date g. Election name h. Payment Date i. Payment Amount j. Warrant Number	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW015-06		The System shall allow Supervisor to generate a supplemental file, on demand if the following information changes while the file was generated: SSN, name, address, mailing address.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016	Communication to Election Workers				
	UC-PW016-01		The System shall provide user the capability to maintain and manage the contents of each template letters and make updates if needed.	Yes	O = Out of the Box	
	UC-PW016-02		The System shall create a transaction history of record of all communications sent to the workers.	Yes	O = Out of the Box	
	UC-PW016-03		The System shall create a Communication log to include date /time, subject of communication to prevent duplicate mailings, when supplemental file of messages are required to be sent.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016-04		The System shall allow User to view the actual communication (letters, email or text).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016-05		The System shall allow User to view the letters, email, test before sending.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016-06		The System shall track if communication was set as “Yes” for communication to be sent/printed. Log shall include, but not limited to: a. Date/Time b. User full name c. Worker_id d. Login ID (user)	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016-07		The System shall be able to either generate letters on demand or set up an auto communication when triggers are set up.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016-08		The System shall have capability to send mass email of Appointment Notice, in addition to letters.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016-09		The System shall allow Users to create groups or individual mailings on all communications.	Yes	O = Out of the Box	
	UC-PW016-10		The System shall allow communication to be sent to groups by: job title, election id, job type etc.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW016-11		The System shall allow Users to add Sender’s email address information on all communications.	Yes	O = Out of the Box	
	UC-PW017	API between EMS and Cherwell				
	UC-PW017-01		The System shall have an API set up with Cherwell starting at E-15 until E+1 of election date.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW017-02		The System shall pull County Cell Phone data from Cherwell using API.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW017-03		The System shall update the data in the Service Area as it is assigned to.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW018	Manage Cancellation and Changes				
	UC-PW018-01		The System shall only cancel a worker if a worker is not working at all for the election.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW018-02		The System shall have an option for Supervisor to mark all workers records as “No display” as another category, if they do not have proof of worker attendance.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW018-03		The System shall keep a full history of transactions of changes in status, service area, schedule, job title etc.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW018-04		The System shall provide a report with option for user to select type of changes/changes as well as date of update.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW019	Election Worker Signature				
	UC-PW019-01		The System shall allow User to upload and attach image of worker’s signature to the worker record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW019-02		The System shall allow User to download image of worker’s signature from the voter’s record and attach it to Workers record.	Yes	O = Out of the Box	
	UC-PW019-03		The System shall allow User to replace image worker’s signature to the worker records.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW019-04		The System shall never allow for a Voter’s signature to be altered even if the Election Worker’s signature is updated or deleted in the Worker’s record.	Yes	O = Out of the Box	
	UC-PW019-05		The System shall allow display of worker’s signature by providing signature button.	Yes	O = Out of the Box	
	UC-PW020	Attach Documents and Images to E				

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	UC-PW020-01		The System shall provide options as a dropdown to store attachments such as: correspondence, pictures etc.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW020-02		The System shall allow all attachments to link to the Worker table (maintenance table).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW021	Location Size and Service Area Upd				
	UC-PW021-01		The System shall provide a form/tab in the Worker Module which list the Service Areas that have been added or deleted, or locations sizes that have changed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW021-02		The System shall have a Tab/form which shall display the following columns, including but not limited to: a. Service Area b. Location name/address c. Location Size d. Job Title and Names of workers e. Column change (service area, location size etc...) f. Changed From g. Changed to h. Fixed (check box, way for Recruitment user to mark that this changed has been acknowledged and fixed)	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW021-03		The System shall allow user to mark the Service Area after the User has acknowledge that the Service Area has fulfilled the required workers/retransferred excess workers.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW022	Election Worker Comments				
	UC-PW022-01		The System shall have Comments which are saved and protected from deletion or modification when the record is saved.	Yes	O = Out of the Box	
	UC-PW022-02		The System shall track the transaction once the record is saved so the User can only add a new line of comment but cannot edit or delete saved comments.	Yes	O = Out of the Box	
	UC-PW022-03		The System shall track when priority is checked and display this comment at the top of the list of comments. The remaining comments shall be sorted by date, descending order.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW022-04		The System shall track Comments as a transaction record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW022-05		The System shall provide a report of comments.and have a parameter of criteria including, but not limited to: worker name, election id, year.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW022-06		The System shall require a comment to be made by the user when the worker updates the record and not allow a record to be saved without a comment, including but not limited to assignment change.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW022-07		The System shall display a confirmation message that the record has been “saved”	Yes	O = Out of the Box	
	UC-PW023	Form to list Available and Unassigned				
	UC-PW023-01		The System shall have a tab for unassigned and available workers.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW023-02		The System shall display available worker’s by the following categories, including but not limited to: name, job title, status last time served, etc.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW023-03		The System shall allow Users to sort results by the following categories, including but not limited to: Job title, status or nearest Vote Centers.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW023-04		The System shall open the workers assignment screen and allow available workers to be assigned.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW024	Troubleshooters and Coordinators b				
	UC-PW024-01		The System shall provide a screen that allows import of Troubleshooters Routes and Coordinators Routes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW024-02		The System shall track the uploaded file from GIS which shall define the Route assignments of service areas.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW024-03		The System shall provide a screen that allows users to assign worker with job_titles of Troubleshooter and Coordinator to Routes instead of the regular workers assigned to service areas.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW024-04		The System shall track work assignments by assigning Troubleshooters to Troubleshooter_Route and Coordinators to Coordinator_Route, and automatically assign them to Service Areas and Locations associated to the Routes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW024-05		The System shall provide report of Route groupings and workers assigned to the Routes.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW024-06		The System shall provide report of Routes without assigned Troubleshooter or Coordinator.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW025	Self Service Portal for Election Work				
	UC-PW025-01		The System shall assign a unique login for each worker that will be used to identify the worker in future elections.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-02		The System shall allow workers to reset their own password, as needed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-03		The System shall allow user to manage, reset passwords, as needed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-04		The System shall track and ensure that the Portal and EMS are in sync.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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	UC-PW025-05		The System shall create transaction log.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW025-06		The System shall allow workers to view their assignment, roster and building contacts.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-07		The System shall allow any changes in schedule or location assignment to display in Portal for the workers to view in real time.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-08		The System shall allow Workers to view messages including but not limited to reminders to attend training, training location etc.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-09		The System shall allow Workers to send comments and questions back to user from Portal thru EMS, which can be viewed by workers thru Portal.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-10		The System shall have a Portal allowing volunteers to apply based on worker types, including but not limited to: community workers, County Employees, Students and CIC Workers etc.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-11		The System shall have New applicant records displayed in their respective worker type tabs waiting for review and approval.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW025-12		The System shall allow Workers to view the Training required, training schedule and location and schedule their training classes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW025-13		The System shall allow Workers to select availability and select the election they want to serve.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW026	Manage Multilingual (ML) Requirement				
	UC-PW026-01		The System shall allow election workers to save multiple languages spoken, as needed.	Yes	O = Out of the Box	
	UC-PW026-02		The System shall allow import of ML Requirement to the Service Area module and manually updated, as needed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW026-03		The System shall display the ML requirement in the Election Worker module.	Yes	O = Out of the Box	
	UC-PW026-04		The System shall provide the ability for user to update/add new languages.	Yes	O = Out of the Box	
	UC-PW026-05		The System shall display progress of meeting the required languages.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW026-06		The System shall provide report of workers if they are assigned and their language is not required in the service area they are assigned to. This is needed so user can reassign where needed. Include if excess language also.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW026-07		The System shall also provide a report of workers and service areas where there are more than 1 worker speaking the same language.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW027	API between EMS and JEDI				
	UC-PW027-01		The System shall have an API connection with JEDI starting at E-15 until E+1 of election date.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW027-02		The System shall pull CIC and CIC closing date/time data from JEDI using API.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW027-03		The System shall update the data in the Service Area/Locations in the CIC section.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW028	Geographical Map Display				
	UC-PW028-01		The System shall display workers residence and locations in the map and allow user to select make assignments.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW028-02		The System shall color code worker icons for: recently served, assigned, available etc.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW028-03		The System shall display the workers information when User hovers to the icon.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW028-04		The System shall direct the user to the Workers record and ready to be assigned when the icon is selected.	Yes	O = Out of the Box	
	UC-PW029	Election Worker Type - Manager				
	UC-PW029-01		The System shall allow L.A. County to manage the worker type -add new.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW029-02		The System shall allow Worker type to always be displayed with the workers record.	Yes	O = Out of the Box	
	UC-PW029-03		The System shall provide reports of workers by type, job title, assigned/unassigned.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW030	Worker Portal Management by RRC				
	UC-PW030-01		The System shall allow different security levels for users to manage worker portal.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW030-02		The System shall allow user to modify information displayed in the portal.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW030-03		The System shall keep records of all transactions made in portal.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW030-04		The System shall allow User Admin to add messages on the portal.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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Appendix A.2 Functional Requirements Matrix

ELECTION WORKERS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-PW030-05		The System shall allow User Admin to have the following controls, including but not limited to: disabling, enabling, making some columns invisible.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW031 - 01	Assign CIC Workers to CIC Location	The System shall allow worker to complete the follow transactions, including but not limited to: a. user shall have option to recruit by CIC location or by CIC workers b. Assign workers with CIC job titles to CIC locations only c. Use CIC location schedule as days available to assign CIC workers. d. Provide mass, group or individual communication such as email, letters, text. e. Allow Users to upload communication template. f. Provide report of recruitment status in detail and summary. g. Track all transactions which shall be logged.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW031 -02	Assign VBM Drop Box Workers to VBM Drop Box Locations.	The System shall allow worker to complete the follow transactions, including but not limited to: a. user shall have option to recruit by VBM Drop Box Location or by VBM Drop Box workers b. Assign workers with VBM Drop Box job titles to VBM Drop Box locations only c. Use VBM Drop Box location schedule as days available to assign VBM Drop Box workers. d. Provide mass, group or individual communication such as email, letters, text. e. Allow Users to upload communication template. f. Provide report of recruitment status in detail and summary. g. Track all transactions which shall be logged.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election. March 2022: Requirement clarified
	UC-PW032	Read access to database including T				
	UC-PW032-01		The System shall create a security level for Admin (for Analyst) to have read ONLY access to Views of Worker related tables including but no limited to Worker, Training, Schedule, Transaction, etc.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW032-02		The System shall have full Transaction tables to all Worker related updates.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW032-03		The System shall allow Users with Admin access to create custom reports from the view.	Yes	O = Out of the Box	
	UC-PW033	User Management - Security Level, I				
	UC-PW033-01		The System shall allow User with Admin rights to Add, Modify, Reset Password of User.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW033-02		The System shall allow User with Admin right to modify security levels including, but not limited to: disabling, enabling, invisible sections or fields within security levels.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW033-03		The System shall provide User reports.	Yes	O = Out of the Box	
	UC-PW033-04		The System shall provide Transactions Reports of Security activities.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW033-05		The System shall have functionality to create group of Users (Units).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW034	User Assignment of Service Areas				
	UC-PW034-01		The System shall have functionality for user to create group of Users (Units).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW034-02		The System shall allow User to only make assignments to Service Areas assigned to her.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW034-03		The System shall allow Users only viewing capabilities for service areas not assigned to the user.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW034-04		The System shall allow Supervisor to assign Service Areas to specific User instead of Unit.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-PW034-05		The System shall provide report of unassigned service areas, Users without assignments, Counts of assignment by Users.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-PW035	Vaccination Requirements				
	UC-PW035-01		The System shall require the New Workers to be fully vaccinated, vaccination dates to be entered, and copy of vaccination record to be uploaded before being allowed to enter the new record information in the portal and/or the EMS application.	Yes	N = New Development / Customization	March 2022: Requirement added
	UC-PW035-02		The System shall require the User to have a special security role for reviewing and approving vaccination related documents.	Yes	N = New Development / Customization	March 2022: Requirement added
	UC-PW035-03		The System shall require approval of vaccination requirements before a worker can receive election assignment. Only Vaccine approved workers (New or Old) can work.	Yes	N = New Development / Customization	March 2022: Requirement added
	UC-PW035-04		The System shall allow certain type of workers to be exempted from Vaccine Requirements (such as County Employees).	Yes	N = New Development / Customization	March 2022: Requirement added
	UC-PW035-05		The System shall allow election workers to upload vaccine requirements into Portal.	Yes	N = New Development / Customization	March 2022: Requirement added
	UC-PW035-06		The System shall auto send an email to election workers when the vaccination card is approved or denied.	Yes	N = New Development / Customization	March 2022: Requirement added
		Election Worker Training Folder				
	UC-WT001	Election Worker Training Class Man	Classroom Training Classes:			
	UC-WT001-01		The System shall allow user to create and/or upload schedule of training classes with dates and type of classes.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT001-02		The System shall provide a calendaring schedule for these classes.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.

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	UC-WT001-03		The System shall allow Training Admin (User) to schedule Election Workers to a class training using the calendar.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT001-04		The System shall allow Election Workers to sign up for training classes through the Worker Portal.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-05		The System shall save the record and include the worker as 1 attendee for the class.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT001-06		The System shall allow the Training Class Module to sync with the Trainer Manager Scheduler and Training locations module and shall display training locations.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-07		The System shall allow user to track capacity of classes, calculate the quantity of workers signed up to attend class, track of quantity of workers scheduled for each class, and how many available seats are remaining.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT001-08		The System shall display alert when class capacity is full and shall not allow more than capacity and only Supervisor level can override.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-09		The System shall allow Training Admin (User) and Training Team (in Field) to scan the class slips OR use app to check in workers as proof of class training attendance and update EMS so that details are stored for the class(es) taken.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
			Online Training Classes:			
	UC-WT001-010		The System shall have a Portal to provide links to required online training classes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-011		The System shall have an Online Class training System for election workers and track their registrations of classes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-012		The System shall have a Portal to allow Election Workers to take Quizes, if needed	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-013		The System shall keep historical data of classes completed and results of quiz scores.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
			Virtual Training Classes:			
	UC-WT001-014		The System shall allow Election Workers to sign up to a virtual class using calendar scheduler to track registrations, and attendees.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-015		The System shall have fields to capture details of the virtual class.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT001-016		The System shall auto populate class pay if class payment is required upon completion of required classes if applicable.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-017		The System shall create history of classes taken by election workers.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
			Report and Letters needed:			
	UC-WT001-018		The System shall provide report list of which Election Workers need to attend required classes (classroom, online and virtual).	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT001-019		The System shall provide generate letters to mail or generate email to Election Workers to remind and give information of class dates and locations.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-020		The System shall allow Training Admin (User) to upload downloadable training materials for Election Workers.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT001-021		The System shall allow communication to election workers and Training Locations in the form of email, letter or text.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-022		The System shall provide agile development of reports as needed.	Yes	O = Out of the Box	
			API with Scytll (current Online Training Class Management vendor). In the event that RRCC decides to keep Scytll.			
	UC-WT001-023		The System shall have 2 way API connection with Scytll so that as workers are scheduling themselves for training, Scytll shall be updated and when workers complete their online class, the information shall be transmitted into EMS.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT001-024		The System shall sync with Scytll every 15 minutes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002	Trainers Schedule Management				
	UC-WT002-01		The System shall allow user to create and/or upload schedule of training classes with dates and type of classes.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT002-02		The System shall provide a calendaring schedule for Training Events.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT002-03		The System shall allow Training Admin (User) to create Teams.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-04		The System shall allow Training Admin (User) to schedule Teams to training event using the calendar.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-05		The System shall allow Training Admin (User) to track capacity and calculate sign ups, track scheduled trainers.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT002-06		The System shall allow Training Teams at Training Classes to check in/out Election Workers as proof of their attendance.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT002-07		The System shall prevent overbooking of a trainer to same date and time (Many Training Teams, Trainers can be Scheduled Out or In-House.) and provide a pop up message alerting them of overbooking.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-08		The System shall allow Training Admin (User) to define Classroom training capacity to prevent overscheduling. Trainer's schedule and assignment shall be displayed on the Portal.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-WT002-09		The System shall allow Training Admin (User) to create set up event schedule, where Trainers shall come into the training locations to deliver, set up and remove equipment prior and after training events.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-010		The System shall create a timecard for Trainers Assigned Schedule.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-011		The System shall allow Trainers Schedule Assignment Management to sync with Training Class Manager and Training locations module.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-012		The System shall allow a Trainer to be borrowed/assigned to another Training Team or Training Event if needed for a training event without breaking the original Team.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-013		The System shall allow Training Admin (User) to set up mandatory Day Off during scheduling so that Trainers are not scheduled without day off.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-014		The System shall create Types of Assignment including, but not limited to: In-House: (Location assigned, no class scheduled), Scheduled Out: Day Off, Training Day: Out in the field, Room Setup: Class Setup Trainers, Deployment: Delivery, Room Breakdown: Class Breakdown Trainers, Deployment: Pickup.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-015		The System shall allow Training Admin (User) to view assignment, class dates and locations, Teams, contacts, lunch schedule on-screen and print the Master Schedule Trainers.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-016		The System shall allow Training Admin (User) to upload downloadable training materials for Trainers.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-WT002-017		The System shall allow Training Admin (User) to update comments on Portal for other Trainers to view for communication.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-WT002-018		REPORTS - The System shall provide the following reports including but not limited to: a. The System shall provide report list Events without Teams/Trainers assigned. b. The System shall provide Trainers without assignment/Team. c. The System shall provide Training events without locations associated. d. The System shall provide Table Views or Read access to tables. e. The System shall allow Training Admin (User) permission to create reports. f. The System shall provide Report to allow Training Admin (User) to group by selection. g. The System shall provide Ad-Hoc reports created from this schedule. h. The System shall have Flexibility to remove and add fields which is critical to training schedules.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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VOTE CENTERS, DROP BOXES, AND CHECK-IN CENTERS (CIC)						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
		Vote Centers Folder				
	UC-LOC001	Search for location				
	UC-LOC001-01		The System shall present data entry fields for users to search for Locations – Vote Centers (i.e. Vote Center, Mobile, Flex, Pop-Up, Other), Vote By Mail Drop Offs (i.e. 24 Hour VBM Drop Box and user VBM Drop Boxes), Check In Centers (CIC) and Training Centers.	Yes	O = Out of the Box	
	UC-LOC001-02		The System shall accept data entry into search fields and allow user ability to complete partial searches for the record(s) by keyword: Category Designation Building Status Recruitment Status Vote Center ID Owner Building Name Room/Area Partial addresses	Yes	O = Out of the Box	
	UC-LOC001-03		The System shall displays search results and sortable by all column headers: If Multiple results: A summary list of location(s) matching search criteria is displayed with pertinent location information, where items in the list are selectable to open the location's record details. If single Location result: The single location matching search criteria is displayed with pertinent location information, where record is selectable to open the location's record details.	Yes	O = Out of the Box	
	UC-LOC002	Add New Location				
	UC-LOC002-01		The System shall have the ability to add via API and/or import multiple types of locations - Vote Centers (i.e. VC, Mobile, Flex, Pop-Up, Other), Vote By Mail Drop Box (i.e. 24 Hour VBM Drop Box and user VBM Drop Boxes), Check In Centers (CIC) and Training Centers.	Yes	O = Out of the Box	
	UC-LOC002-02		The System shall accept data entry into search fields and allow user ability to complete partial searches for the record(s) by keyword: Category Designation Building Status Recruitment Status Vote Center ID Owner Building Name Room/Area Partial addresses	Yes	O = Out of the Box	
	UC-LOC002-03		The System shall provide the ability to display the result of location search(es). If system doesn't find record match(es), The System shall provide ability for user to select "NEW" to add new location record. The screen shall have all the fields in the location table for users to add new record(s). If The System finds match(es), The System shall allow user to update and save record(s).	Yes	O = Out of the Box	
	UC-LOC002-04		The System shall display pop up alert if required fields are not populated.	Yes	O = Out of the Box	
	UC-LOC002-05		The System shall validate the spelling and city name of an address based on system's Precinct and Street Module.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC002-06		The System shall provide a report to indicate spelling errors and provide partial address matches for user to correct record(s) in PollChief.	Yes	O = Out of the Box	
	UC-LOC002-07		The System shall auto assign Precinct number and unique Location ID for address to be saved if address is valid.	Yes	O = Out of the Box	
	UC-LOC002-08		The System shall allow user to view the imported fields. (Fields required for VoteCal or other APIs that take place through this system would need to transfer across. For example, website search tools for VC and VBMD, Cherwell, etc.)	Yes	O = Out of the Box	
	UC-LOC002-09		The System shall use the VCID integrated from PollChief to identify the Location. If a internal ID must be generated, that number will not be used by other systems and is for internal use only.	Yes	O = Out of the Box	
	UC-LOC002-10		The System shall calculate the size of the building based on designated requirements.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC002-11		The System shall provide a map displaying preview of location when adding as well as displaying for records in system.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC002-12		The System shall allow user to upload photos and attachments, at least 100 MB in size including but not limited to the file formats (MS-Word, MS-Excel, MS-Visio, pdf, jpg)	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC002-13		The System shall require Meghan's Law to be triggered if the Single Family Residence is selected as "yes".	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC002-14		The System shall include the election specific operational days and hours for imported sites.	Yes	O = Out of the Box	

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	UC-LOC002-15		The System shall display the following details in this module: VCID, Building Name, Room/Area, Assigned Service Area, recruitment status, election specific operational days and hours, publication ready yes/no indicator, designation, SOS ID#, Longitude/Latitude.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC003	Assign location to an Election				
	UC-LOC003-01		The System shall automatically identify a matching record in the Locations Module or add a new record to the locations Module from the API/import record(s). The System will automatically add those records to the Elections Module.	Yes	O = Out of the Box	
	UC-LOC003-02		The System shall allow user to open a query screen to search for the location within the Location Module.	Yes	O = Out of the Box	
	UC-LOC003-03		The System's "Find Location screen" shall have different options to search for the location, including but not limited to VCID, building name, address, etc. and also allow for partial searches.	Yes	O = Out of the Box	
	UC-LOC003-04		The System shall display a list location(s) that match the search criteria.	Yes	O = Out of the Box	
	UC-LOC003-05		The System shall automatically identify a matching record in the Locations Module or add a new record to the locations Module from the API/import record(s). The System will automatically add those records to the Elections Module.	Yes	O = Out of the Box	
	UC-LOC003-06		The System shall automatically update a Locations/s status to "Active" and attach to the election.	Yes	O = Out of the Box	
	UC-LOC003-07		The System shall activate this Location in the default election selected.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC003-08		The System shall carry over duration of days for example 11 days, 5 days, 4 days, even 1 day from election location module as imported from PollChief.	Yes	O = Out of the Box	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC003-09		The System shall carry over election operation Hours Section from the records API/imported from PollChief.	Yes	O = Out of the Box	
	UC-LOC004	Manage Equipment and Supply for location				
	UC-LOC004-01		The System shall provide a table to store and manage all required equipment(s) and supplies.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-02		The System shall provide search screen for user to find matching location after entering data in search fields.	Yes	O = Out of the Box	
	UC-LOC004-03		The System shall provide Equipment and Supplies Tab within each location record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-04		The System shall provide the ability for the user to select Equipment and Supplies Tab to update/delete equipment and supplies information.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-05		The System shall present data entry fields or dropdown list for user to select equipment(s) and supplies to add to location, including but not limited to Chairs, signs, ramps, tables, etc.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-06		The System shall allow user to save the updated/deleted equipment(s) and/or supplies information for the location.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-07		The System shall have an equipment and supplies option within Facility Details Tab of each location to allow user to copy equipment/supplies stock for location to new default election.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-08		The System shall provide user a report of Locations with equipment and supply information. This report needs to include but not limited to: Vote Center name, room, address, contact info, Vote Center specific supplies, equipment, delivery appointment and time, generic supplies, etc. The report shall be able to be sorted by location type to help assist the delivery of special supplies and equipment to the locations.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-09		The System shall have the ability to interface or upload bulk files from other election systems.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC004-10		The System shall allow user to categorize Heavy Equipment by each designation and calculate needs based on formulas.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC004-11		The System shall allow user to edit, import and export allocated devices.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC006	Ability to Link Attachments				
	UC-LOC006-01		The System shall provide a screen for user to find matching location record after entering data in search fields, including option of location type (e.g. vote center, VBM drop off, check in center or training center).	Yes	O = Out of the Box	
	UC-LOC006-02		The System shall allow user to select/open record from a list of matching record(s).	Yes	O = Out of the Box	
	UC-LOC006-03		The System shall allow user to select "New Attachment" button.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC006-04		The System shall display a "Attachment" screen to allow user to browse folders/files and select documents (e.g. pdf, ms-word, ms-excel, vizio ppt and pictures) to upload/link to location's record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC006-05		The System shall show all the attachments within the record, when the user selects the attachment button within the election record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC006-06		The System shall provide the user the ability to view and delete attachments with the proper security level.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC007	Location Payroll				
	UC-LOC007-01		The System shall have a Payment Module (Tab) to allow user to add payees and payments for location(s) used in an election.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC007-02		The System shall calculate the total payments amount for each payee (location's owner).	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC007-03		The System shall allow user to create a payroll file, designated by County for approved records in txt format.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.

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VOTE CENTERS, DROP BOXES, AND CHECK-IN CENTERS (CIC)						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-LOC007-04		The System shall provide report of approved records ready for payroll.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC007-05		The System shall allow users to import Postback file from the Auditor Controller back into The System and update information for each location's record payments.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC007-06		The System shall allow supplemental payments (multiple) payments to be generated, as long as it's not on the same day.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC007-07		The System shall provide a report to confirm the successful and unsuccessful updates of the payroll Postback file.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC007-08		The System shall post history of payment(s) for payees.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC007-09		The System shall allow user to override default pay.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC007-10		The System shall ensure that custodial fields are addressed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC008	Manage location Contracts				
	UC-LOC008-01		The System shall provide user the ability to manage, including but not limited to updating, editing and issuing contracts.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC008-02		The System shall provide a screen for user to find matching record after entering data in search fields, including option of location type (e.g. vote center, VBM drop off, check in center or training center).	Yes	O = Out of the Box	
	UC-LOC008-03		The System shall provide user Contracts Tab within Location record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC008-04		The System shall allow users ability to store, generate, print Contracts with barcodes for mailing based on Location Type and tracking when returned . The barcode should be linked to Vote Center record and based on Recruitment status and attachment to an Assigned Service Area. Contract fields should be populated like a mail merge	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC008-05		The System shall create a transaction log to note that a contract has been printed and the print date, after the user completed printing.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC008-06		The System shall provide the ability for user to process responses to the contract. As the Contracts are being received, system shall provide a scanning feature so that the barcode on the contracts can be scanned and marked as received.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC008-07		The System shall allow users to upload the scanned images and attach to Location(s), as well as update the record with "contract received date" with the date received.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC008-08		The System shall provide contract/notice reports on the contract status. Reports shall include but not limited to: <input type="checkbox"/> Locations with missing Contracts <input type="checkbox"/> Location that need to print contracts <input type="checkbox"/> Locations contracts – completed	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC008-09		The System shall allow users to view and print the image of the contracts on file.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC008-10		The System shall allow users to delete and scan additional contracts, as needed.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC008-11		The System shall have the ability to generate mass quantity of contracts by type (e.g. vote center, VBM drop box, check in center, training) and not just one record at a time.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC010	Location Operational Calendar				
	UC-LOC010-01		The System shall provide a screen in the Location record to show the days and times the Location is open	Yes	O = Out of the Box	
	UC-LOC010-02		The System shall provide a screen for user to find matching record after entering data in search fields, including option of location type (e.g. vote center, VBM drop off, check in center or training center).	Yes	O = Out of the Box	
	UC-LOC010-03		The System shall display a Calendar/Schedule Tab screen where user can update or view the days and hours of operation.	Yes	O = Out of the Box	
	UC-LOC010-04		The System shall allow user to enter how many days the location shall be open, closed.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC010-05		The System shall auto generate a tab for the number if days entered.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC010-06		The System shall provide an operation scheduler button for user to select a template.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC010-07		The System shall display a screen where user can view the days and hours of operation.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC010-08		The System shall allow user to assign a task for each date/time set up from a drop down list, for example, Building open/closed, Set-up, delivery.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC010-09		The System shall allow user to save the record and close the screen.	Yes	O = Out of the Box	

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VOTE CENTERS, DROP BOXES, AND CHECK-IN CENTERS (CIC)						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-LOC010-10		The System shall provide user the ability to generate a report of location(s) operation schedule and tasks.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC011	Post Location History				March 2022: Requirement clarified
	UC-LOC011-01		The System shall allow user to create a record of all active Locations (Vote Centers (i.e. LOC, Mobile, Flex, Pop-Up, Other), Vote By Mail Drop Box (i.e. 24 Hour VBM Drop Box and user VBM Drop Boxes), Check In Centers (CIC) and Training Centers.) used for the election.	Yes	O = Out of the Box	
	UC-LOC011-02		The System shall have the ability to calculate and update number of times used for the location as well as keep a history of which locations were used for each consolidation or service area.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC011-03		The System shall provide user the ability to apply location history.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC012	Facility Comments				
	UC-LOC012-01		The System shall provide user the ability to open the Location module to add a location record.	Yes	O = Out of the Box	
	UC-LOC012-02		The System shall provide user the ability to add comments to records and flag the comment as a priority.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC012-03		The System shall provide user the ability to save comments.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC012-04		The System shall protect the comment updated to the record from being edited, change the font color to red and prioritize the prioritized comment to the top of the list.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC012-05		The System shall provide user the ability to Print comments for records selected.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC012-06		The System shall display color coded comments depending on comments status.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC013	Manage Field Survey and Function for Accessibility Rating				
	UC-LOC013-01		The System shall provide the ability for user to search for a location in the location’s modules (Vote Centers (i.e. VC, Mobile, Flex, Pop-Up, Other), Vote By Mail Drop Box (i.e. 24 Hour VBM Drop Box and user VBM Drop Boxes), Check In Centers (CIC) and Training Centers).	Yes	O = Out of the Box	
	UC-LOC013-02		The System shall display location’s information.	Yes	O = Out of the Box	
	UC-LOC013-03		The System shall allow user to enter data from surveys or other evaluations, into fields, such as Access Survey Result, Accessibility Survey Date, # Parking Spaces for Voters, # Van Accessible Spaces, # Auto Accessible Spaces, Parking Lot Gated? Single Family Residence, Restrooms Available, Data Survey Date, Electrical Survey Date, Load Test Date, Load Test Pass, etc.	Yes	O = Out of the Box	
	UC-LOC013-04		The System shall have the ability to save the record.	Yes	O = Out of the Box	
	UC-LOC013-05		The System shall calculate the location’s Accessibility Rating based on the requirement and information updated by User. Calculation design and requirements shall be determined by the user.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC013-06		The System shall have the ability to update, assign, and display accessibility rating in the “Access Rating” field.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC013-07		The System shall have the ability to store an accessibility survey for each location.	Yes	O = Out of the Box	
	UC-LOC013-08		The System shall provide user the ability for user to update the accessibility survey.	Yes	O = Out of the Box	
	UC-LOC015	Create 1099 File for Location Payments				
	UC-LOC015-01		The System shall provide the users an option to generate 1099 file (xls) within the Locations Module. Report shall include Payee, address, SSN and/ or Vendor ID, total amount for the year.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC015-02		The System shall provide the users an option to generate 1099 detail report, containing each records’ warrant number, date issued, amount issued, payee name, payee address, SSN and or Vendor ID, election id.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC015-03		The System shall have the ability to generate 1099 file or Report using parameter of a four-digit “YEAR”.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016	Communications				
	UC-LOC016-01		The System shall allow user to open Communications Module and select the type of email message to be sent. Fields should be populated like a mail merge.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-02		The System shall allow user to select to send the email message as a test.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-03		The System shall allow user to send the message to either a group or individual email address.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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	UC-LOC016-04		The System shall allow user to type in the subject matter for the email.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-05		The System shall allow user to select type (survey, schedule) of email message to be sent.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-06		The System shall allow user to select email contact options (e.g. Primary contact, additional contact1, additional contact2, election primary contact, IT contact, after hours/emergency contact or select all).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-07		The System shall allow user to enter in email address to be contacted.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-08		The System shall allow user to enter the content into the email message.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-09		The System shall allow user to conduct the follow for all emails: Preview Save as template Send Save as draft. Delete	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-10		The System shall allow user to open Communications Module and select the type of sms message to be sent. Fields should be populated like a mail merge.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-11		The System shall allow user to select to send the sms message as a test.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-12		The System shall allow user to send the sms message to either a group or individual person.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-13		The System shall allow user to type in the sms subject matter.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-14		The System shall allow user to select type (schedule) of message to be sent.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-15		The System shall allow user to select sms contact options (e.g. Primary contact, additional contact1, additional contact2, election primary contact, IT contact, after hours/emergency contact, mobile phone, or select all).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-16		The System shall allow user to enter in phone number for the sms message.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-17		The System shall allow user to enter the content into the sms message.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-18		The System shall allow user to conduct the follow for sms messages: Preview Save as a template Send Save as draft. Delete	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-19		The System shall allow user to open Communications Module and select the type of phone message to be sent. Fields should be populated like a mail merge.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-20		The System shall allow user to select to send the phone message as a test.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-21		The System shall allow user to send the phone message to either a group or individual person.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-22		The System shall allow user to type in the subject matter for the phone message.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-23		The System shall allow user to select type (survey, schedule) of phone message to be sent.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-24		The System shall allow user phone contact options (e.g. Primary contact, additional contact1, additional contact2, election primary contact, IT contact, after hours/emergency contact, mobile phone, work phone, or select all).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-LOC016-25		The System shall allow user to enter in caller id number for the phone message.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-26		The System shall allow user to enter the content into the phone message or record the message.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-27		The System shall allow user to conduct the follow for all phone messages: Save as Template Send Save as draft Delete Upload Audio	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC016-28		The System shall allow user to open Communications Module and select the type of letter message to be sent.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-29		The System shall allow user to select whom to send the letter to either a group or individual person.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-30		The System shall allow user to type in the subject matter for the letter.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-31		The System shall allow user to select the owner as either (owner, building) for the letter.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-32		The System shall allow user to select contact options (e.g. Agent contact or select all) for the letter.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-33		The System shall allow user to enter the content into the letter.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-34		The System shall allow user the ability conduct the following for all the letters: Preview the letter Test Print Print All Save as Template Delete Add New	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-35		The System shall allow user to review the delivery results either by email, sms, phone message, letter or postcard, a total count and list of users sent the message including their email, sms, phone or address.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-36		The System shall allow user to store message as templates to be sent via email, sms, phone message, letter or post card.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-37		The System shall allow user to enter in the subject line to be saved as the name of the template.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-38		The System shall allow user to User shall enter content into the message.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-39		The System shall allow user to add/edit/delete templates and keep track of template by Subject, Created By, Modified By, Modified date.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC016-40		The System shall allow user to generate statistical reports based on the communications sent including but not limited to (e.g. # of messages sent, # of message successfully delivered, # of messages returned, etc.).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC017	Precincts				
	UC-LOC017-01		The System shall allow user to open Precincts module.	Yes	O = Out of the Box	
			The System shall allow user to select to add precinct with the following information:			
	UC-LOC017-02		Precinct id Precinct name Registered voter count Vote by mail voter count Vote center voter count Expected voter turnout Action	Yes	O = Out of the Box	
	UC-LOC017-03		The System shall allow user to use a template to import precinct files.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC017-04		The System shall allow user to import precinct shapes as kmz files.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC017-05		The System shall allow user to export precinct files for review.	Yes	O = Out of the Box	
	UC-LOC017-06		The System shall allow user to export precinct files for import.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC017-07		The System shall allow user to add, update, and delete precinct information as restricted by security rules.	Yes	O = Out of the Box	

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	UC-LOC018	Service Areas				
	UC-LOC018-01		The System shall allow user to open Service Areas module	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-02		The System shall allow user to select the Service Areas dates of operation and add the Service Area.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-03		The system shall import fields required and display those fields in each record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-04		The System shall allow user to use a template to integrate with GIS service area files.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-05		The System shall allow user to add new service areas manually.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-06		The System shall allow user to export service area data.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC018-07		The System shall allow user to import service areas shapes as kmz files.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC018-08		The System shall allow user to export for import (Label and Info) service areas info for labeling election material.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC018-09		The System shall allow user to import (Label and Info) service areas for review and reimport, as needed.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC018-10		The System shall allow user to export for import (Precinct and Vote Center) service areas.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC018-11		The System shall allow user to import (Precinct and Vote Center) for review and reimport, as needed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC018-12		The System shall allow user (GIS) to add/delete/edit service area information	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-13		The System shall allow user to print service area labels.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-14		The System shall allow user to add precincts.	Yes	O = Out of the Box	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-15		The System shall allow user to remove and save service area record.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC018-16		The System shall allow user to export service area barcodes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC018-17		The System shall display the following information in the module screen once the Vote Center is assigned to the Service Area; Service Areas Vote Center ID Vote Center Name Room/Area Type	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC019	Street Index				
	UC-LOC019-01		The System shall allow user to open Street Index module.	Yes	O = Out of the Box	

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	UC-LOC019-02		The System shall allow user to add Street Index with the following information: Precinct (precinct and portion) Beginning and ending house number Pre Direction Street Name Post Direction Type of Street Odd or Even Zip County/Area	Yes	O = Out of the Box	
	UC-LOC019-03		The System shall allow user to use a template to import Street Index files.	Yes	O = Out of the Box	
	UC-LOC019-04		The System shall allow user to add new Street Index manually.	Yes	O = Out of the Box	
	UC-LOC019-05		The System shall allow user to export Street Index.	Yes	O = Out of the Box	
	UC-LOC020	Locations Owners				
	UC-LOC020-01		The System shall allow user to open Locations and Owners module.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC020-02		The System shall allow user to view a list of all Buildings with the following fields: Voter Center ID Poll ID Consolidation Building Name Room/Area City Category Designation Size Status Action (Edit) Date Created, owner	Yes	O = Out of the Box	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC020-03		The System shall allow user to search for the building by entering information into the following fields: Keyword Category , owner Designation: Vote Center 24 HR VBM Drop Box VBM Drop Box Training Mobile Pop Up CIC Flex Special/Other Status: Potential Inactive Unusable	Yes	O = Out of the Box	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-LOC020-04		<p>The System shall allow user to select and new to add New Building with the following information if the location cannot be located:</p> <p>SOS ID Poll ID Vote Center ID Building Name Room/Area Street Number Pre-Direction Street Name Street Type Post Direction City State Zip Consolidation ID Consolidation Name Consolidation # Established Precinct Supervisory District # Days Service Area CIC VBMD Service Area Owner Category (e.g.Church, School, Park, Recreation Center) Size Type Status (Inactive, Active, Unusable) Designation (e.g. voter center, VBM Drop Box, Training, Mobile, Pop Up, CIC, Flex, Special/Other. Category (Business Address Category)</p>	Yes	O = Out of the Box	
	UC-LOC020-05		The System shall allow user to view Activity Log of all transactions made to Building record beginning when the record was initially made and every single modification moving forward.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-06		The System shall allow user to view Communication Log of all communications made to Building record.	Yes	O = Out of the Box	
	UC-LOC020-07		The System shall allow user to view “Election Used Log” listing all elections that Building has been used.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC020-08		The System shall allow user to export Building Information.	Yes	O = Out of the Box	
	UC-LOC020-09		The System shall allow user to export for import Building Information.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-10		The System shall allow user to import Building information.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-11		The System shall allow user to produce Building information as “Address label”.	Yes	O = Out of the Box	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC020-12		The System shall allow user to produce “Mailing Label for Building”.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC020-13		The System shall allow user to produce “Building Category List”.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-14		The System shall allow user to “Update Established Precinct”.	Yes	O = Out of the Box	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start. March 2022: Requirement clarified
	UC-LOC020-15		<p>The System shall allow user to view a list of all the Owners with the following fields:</p> <p>Owner Name Building Count (Total)</p>	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-16		<p>The System shall allow user to search for the Owner by entering information into the following fields:</p> <p>Keyword Owner</p>	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-LOC020-17		<p>The System shall allow user to select add new to add New Owner with the following information if the owner cannot be located:</p> <p>Owner Name Owner Name Abbreviation Owner Address Owner City State/Zip Owner Mailing Address (Same as Owner address defined above) Owner Phone number, extension Owner Cell Phone Owner Other Phone Owner Email Pay Status (Free, Base Stipend Pay, Special Pay) Type (Public or Private) Authorizing Agent Title Authorizing Agent First Name Authorizing Agent Last name Authorizing Agent Phone, Extension Authorizing Agent Cell Phone Authorizing Agent Other Phone Authorizing Agent Email</p>	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-18		The System shall allow user to view a list of all Associated Buildings owned by Owner.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-19		The System shall allow user to send a communication message to owner.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-20		The System shall allow user to view a Communication Log of all communications made by Owner through EMS system.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-21		The System shall allow user to export Owner Information.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-22		The System shall allow user to export for import Owner Information.	Yes	O = Out of the Box	
	UC-LOC020-23		The System shall allow user to import Owner information.	Yes	O = Out of the Box	
	UC-LOC020-24		The System shall allow user to produce a list of Owner Type.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC020-25		The System shall allow user to add comments to Building record and Owner record.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021	Consolidations				
	UC-LOC021-01		The System shall allow user to open Consolidations module.	Yes	O = Out of the Box	
	UC-LOC021-02		The System shall allow user to select the Consolidations dates of operation between 30 and 1 day, for example 11 days, 5 days, 4 days, even 1 day to add the Consolidation.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021-03		<p>The System shall allow user to select add New to add Consolidations with the following information:</p> <p>Consolidation ID Consolidation Name Consolidation Outline Service Area Group Precincts Registered Voters Location ID Election Location ID Vote By Mail Election Location Name Room/Area Type # of voters, priority Languages Serial number CIC Sequence County Cell Phone Comment</p>	Yes	O = Out of the Box	

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	UC-LOC021-04		The System shall allow user to use a template to import Consolidations.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC021-05		The System shall allow user to add new Consolidations manually.	Yes	O = Out of the Box	March 2022: Requirement clarified
	UC-LOC021-06		The System shall allow user to export consolidation data.	Yes	O = Out of the Box	
	UC-LOC021-07		The System shall allow user to import Consolidations shapes as kmz files.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC021-08		The System shall allow user to export for import (Label and Info) Consolidations info for labeling election material.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021-09		The System shall allow user to import (Label and Info) Consolidations for review and reimport, as needed.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC021-10		The System shall allow user to export for import (Precinct and Election Location) Consolidations.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021-11		The System shall allow user to import (Precinct and Election Location) for review and reimport, as needed.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021-12		The System shall allow user to add/delete/edit consolidation information.	Yes	O = Out of the Box	
	UC-LOC021-13		The System shall allow user to print consolidation labels.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021-14		The System shall allow user to export consolidation barcodes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021-15		The System shall allow user to add precincts.	Yes	O = Out of the Box	
	UC-LOC021-16		The System shall allow user to remove and save consolidation record.	Yes	O = Out of the Box	
	UC-LOC021-17		The System shall allow user to export consolidation barcodes.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC021-18		The System shall allow user to assign a Vote Center to the consolidation and to view the following information in the Consolidation module screen with the following information to be displayed in the module screen: Areas Group Precincts Registered Voters Location ID Election Location ID Vote Center ID Vote Center Name Room/Area Type	Yes	O = Out of the Box	
	UC-LOC022	Coordinators				
	UC-LOC022-1		The System shall allow user to import the file (Coordinator ID and Service Area Code) into The System for each election.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC022-2		The System shall allow user to Search for the Coordinator ID by Keyword.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC022-3		The System shall allow the user to have the ability to import the file (Coordinator ID and Service Area Code) into The System.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC022-4		The System shall allow user to manually add New information (Coordinator ID and Service Area Code) into The System.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC022-5		The System shall allow user to add New Coordinator ID.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC022-6		The System shall allow user to export a list of Coordinator ID and Service Area Code.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC022-7		The System shall allow user to export a list of Coordinator ID and Service Area Code for import.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC022-8		The System shall allow user to have the ability add/remove new Service Area Code, Vote Center Name and Vote Center Address within the Coordinator ID sub module.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC022-9		The System shall allow user to recruit Coordinators and within Election Worker Module assign them to a Coordinator ID - grouped by Service Areas.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC022-10		The System shall allow user to have the ability to create agile Coordinator reports, as needed. Fully customizable up to and including to all fields related to records.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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VOTE CENTERS, DROP BOXES, AND CHECK-IN CENTERS (CIC)						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-LOC023	Troubleshooters				
	UC-LOC023-1		The System shall allow user to import the file (Troubleshooter ID and Service Area Code) into The System sor each election.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC023-2		The System shall allow user to Search for the Troubleshooter ID by Keyword.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC023-3		The System shall allow user to manually add New information (Troubleshooter ID and Service Area Code) into The System.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC023-4		The System shall allow user to manually add New information (Troubleshooter ID and Service Area Code) into The System.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC023-5		The System shall allow user to add New Troubleshooter ID.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC023-6		The System shall allow user to export a list of Troubleshooter ID and Service Area Code.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC023-7		The System shall allow user to export a list of Troubleshooter ID and Service Area Code for import.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC023-8		The System shall allow user to have the ability add/remove new Service Area Code, Vote Center Name and Vote Center Address within the Troubleshooter ID sub module.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC023-9		The System shall allow user to recruit Troubleshooters and within Election Worker Module assign them to a Troubleshooter ID - grouped by Service Areas.	Yes	O = Out of the Box	
	UC-LOC023-10		The System shall allow user to have the ability to create agile Trouble shooter reports, as needed. Fully customizable up to and including to all fields related to records.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC024	Assigned Area Owner				
	UC-LOC024-1		The System shall allow user to select Assigned Area/Owner module.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC024-2		The System shall allow user to select the Election to assign member(s) to manage Service Area and Owner.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC024-3		The System shall allow user to search for the Member by Keyword and Member Role in either the Service Area Assigned or Owner Assigned tab.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC024-4		The System shall allow user to assign member(s) to either the Service Area Assigned or Owner Assigned tab.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC024-5		The System shall have three columns: Member Name (Last name, First Name), Member Role (e.g. Clerk, Supervisor, Manager, etc), Assigned Service Area, Action (Delete, Edit) within the Service Area Assigned Tab.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC024-6		The System shall allow user to add New Member to an assigned Service Area(s) filtered by role.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC024-7		The System shall allow user to delete Member from an assigned Service Area(s) filtered by role.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC024-8		The System shall allow user to edit Member from an assigned Service Area(s) filtered by role.	Yes	F = Future	Assigned to Sprint for CA UAT Release and/or Active Development. Anticipated Jan 2022 or prior to LA County Project Start.
	UC-LOC024-9		The System shall have three columns: Member Name (Last name, First Name), Member Role (e.g. Clerk, Supervisor, Manager, etc), Assigned Owner, Action (Delete, Edit) within the Owner Assigned Tab..	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC024-10		The System shall allow user to add New Member to an assigned Owner(s) filtered by role.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC024-11		The System shall allow user to delete Member from an assigned Owner(s) filtered by role.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC024-12		The System shall allow user to edit Member from an assigned Owner(s) filtered by role.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC024-13		The System shall allow user to search by alphabetical order.	Yes	O = Out of the Box	
	UC-LOC025	Notification Settings				
	UC-LOC025-1		The System shall allow user to have the ability to access the Notification Setting Module, which contains three columns: Subject, Enabled, Action (Edit).	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.
	UC-LOC025-2		The System shall allow user to be able to add a new notification within the “Notification Setting Edit” Module with the following fields: Alert Title Alert Who: (Superadmin, Supervisor, Manager, Cler, PWMS Supervisor, Clerk PWMS, Account Manager, etc) Type (Email or Phone) Sender Email/Phone Alert Content	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 “EMS CORE” and Phase 2 (12 Sprints) – May 2023 to Oct 2023 “EMS Integrations” to target release for use in the 2024 Presidential Primary Election.

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VOTE CENTERS, DROP BOXES, AND CHECK-IN CENTERS (CIC)						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-LOC025-3		The System shall allow user to be able to edit the notification and change the content within the "Notification Setting Edit" Module with the following fields: Alert Title Alert Who: (Superadmin, Supervisor, Manager, Cler, PWMS Supervisor, Clerk PWMS, Account Manager, etc) Type (Email or Phone) Sender Email/Phone Alert Content	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.
	UC-LOC025-4		The System shall allow user to have the ability to save the Notification Setting Content.	Yes	N = New Development / Customization	Work can be prioritized across Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" and Phase 2 (12 Sprints) – May 2023 to Oct 2023 "EMS Integrations" to target release for use in the 2024 Presidential Primary Election.

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ADMINISTRATIVE AND CONTENT MANAGEMENT FUNCTIONAL REQUIREMENTS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
		Affidavit Accounting Folder				
	UC-AFF001	Create Account Holder				
	UC-AFF001-01		The System shall present data entry fields for user to create account Holder(s). At minimum, these fields shall include but not limited to: *Account Holder ID (fixed) *Group *Organization Name *Contact *Address (house number, fraction, street and street type, pre- and post-directional, secondary unit and unit type, city) *Drivers License information, as mandated by State *Precinct *Contact Phone number *Status.	Yes	O = Out of the Box	
	UC-AFF001-02		The System shall allow user to record and save an Account Holder information with unique ID.	Yes	O = Out of the Box	
	UC-AFF002	Affidavit Accounting Update Account Holder				
	UC-AFF002-01		The System shall display affidavit accounting options including, but not limited to searching for an account holder or searching for an account group.	Yes	O = Out of the Box	
	UC-AFF002-02		The System shall present a list of fields to search for Account Holder(s) including, but not limited to: * Organization Name * Group Type * Affidavit #.	Yes	O = Out of the Box	
	UC-AFF002-03		The System shall require user to enter data in at least one of the following search fields: * Organization Name * Group Type * Affidavit number * Affidavit range * Affidavit Holder identification number.	Yes	O = Out of the Box	
	UC-AFF002-04		The System shall allow user to select options to modify search including, but not limited to: * Phonetic, nickname or fuzzy match of names * Affidavit # * Group Type * Optimized search (where if an account holder is not found, the result(s) provided will be a close matches).	Yes	O = Out of the Box	
	UC-AFF002-05		The System shall allow user to use a random search feature (e.g. wildcards). Wildcards shall include (SQL examples are given but could be any standard wildcard notation) * Zero or more characters (%) * A Single character (_) * A Single number or letter (#?) * Ranges or lists and their negation (!,[]).	Yes	O = Out of the Box	
	UC-AFF002-06		The System shall display account holder search results including, but not limited to: * Single Result or * Multiple results: * A summary list of Account Holder(s) matching search criteria is displayed, with pertinent identifying information, where items in the list are selectable to open into he pertinent Account Holder record. Pertinent identifying information include, but not limited to: * Status *Organization Name * Contact 4.1.5. Contact Phone Number * Affidavit ranges.	Yes	O = Out of the Box	
	UC-AFF002-07		The System shall allow authorized user to update any non-fixed information on Account Holder's record according to user's security role, including but not limited to: * Under Account Holder details user updates: * Status * Group (Organization, Individual, etc.) * Registration Distribution Site Flag * Organization Name * Contact * Location * Language (English, Spanish, Mandarin etc.) * Contact Phone number * Permanent Location Flag.	Yes	O = Out of the Box	
	UC-AFF002-08		The System allow user to update existing Account Holder information.	Yes	O = Out of the Box	
	UC-AFF002-09		The System shall allow user to log all changes into Account Holder record.	Yes	O = Out of the Box	
	UC-AFF003	Find Account Holder				
	UC-AFF003-01		The System shall present a list of fields to search for Account Holder(s), including but not limited to: * Organization Name * Group Type * Affidavit # * Affidavit Ranges * Account holder number.	Yes	O = Out of the Box	
	UC-AFF003-02		The System shall require user to enter data into at least one of the following search fields: * Organization Name * Group Type * Affidavit.	Yes	O = Out of the Box	
	UC-AFF003-03		The System shall allow user to select options to modify search including, but not limited to: * Phonetic, nickname or fuzzy match of names * Affidavit # * Group Type * Optimized search (where if an account holder is not found, the result(s) provided will be a close matches).	Yes	O = Out of the Box	
	UC-AFF003-04		The System shall allow user to use a random search feature (e.g. wildcards). Wildcards shall include (SQL examples are given but could be any standard wildcard notation) * Zero or more characters (%) * A Single character (_) * A Single number or letter (#?) * Ranges or lists and their negation (!,[]).	Yes	O = Out of the Box	
	UC-AFF003-05		The System shall validate data entered by user.	Yes	O = Out of the Box	
	UC-AFF003-06		The System shall display search results, including but not limited to: *Single result or * Multiple results: * A summary list of Account Holder(s) matching search criteria is displayed, with pertinent identifying information, where items in the list are selectable to open the pertinent Account Holder record. Pertinent identifying information include, but not limited to: * Status * Organization Name * Contact * Contact Phone Number * Affidavit identification number.	Yes	O = Out of the Box	
	UC-AFF003-07		The System shall provide the capability for user to sort results by any fields returned.	Yes	O = Out of the Box	
	UC-AFF003-08		The System shall provide capability for user to return to original search screen to modify previously entered search parameters.	Yes	O = Out of the Box	
	UC-AFF004	Affidavit Accounting Research Account Holder				
	UC-AFF004-01		The System shall present a list of fields to search for Account Holder(s), including but not limited to: *Organization Name *Group Type *Affidavit #	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 *EMS CORE* (GoLive)

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ADMINISTRATIVE AND CONTENT MANAGEMENT FUNCTIONAL REQUIREMENTS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-AFF004-02		The System shall provide options to modify search including, but not limited to: *Phonetic, nickname or fuzzy match of names *Affidavit # *Group Type *Optimized search (where if no voter is found the search fields are reduced or transposed using a set of known search criteria patterns to result in close matches) .	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF004-03		The System shall allow user to use a random search feature (e.g. wildcards). Wildcards shall include (SQL examples are given but could be any standard wildcard notation) * Zero or more characters (%) * A Single character (_) * A Single number or letter (#,?) * Ranges or lists and their negation (!,).	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF004-04		The System shall display search results, including but not limited to: *Single result or * Multiple results: *A summary list of Account Holder(s) matching search criteria is displayed, with pertinent identifying information, where items in the list are selectable to open the pertinent Account Holder record. Pertinent identifying information include, but not limited to: *Status *Organization Name *Contact *Contact Phone Number.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF004-05		The System shall provide the capability for user to sort results by any fields returned.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF004-06		The System shall provide capability for user to return to original search screen to modify previously entered search parameters.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF004-07		The System shall allow authorized user to update any non-fixed information on Account Holder record according to the user's security role. *Account Holder information shall include but not limited to: *Status *Group (Organization, Individual, etc.) *Registration Distribution Site Flag *Organization Name *Contact *Location *Language (English, Spanish, Mandarin etc.) *Contact Phone number *Permanent Location Flag *Language for the affidavit range *Number of returned for the affidavit range.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF004-08		The System shall allow user to log all changes into Account Holder's record.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF005	Find Account Group				
	UC-AFF005-01		The System shall present a list of fields to search for Account Group(s) including, but not limited to: *Organization Name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF005-02		The System shall require user to enter data in required search field(s), including but not limited to: * Organization Name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF005-03		The System shall allow user to use a random search feature (e.g. wildcards). Wildcards shall include (SQL examples are given but could be any standard wildcard notation)) * Zero or more characters (%) * A Single character (_) * A Single number or letter (#,?) * Ranges or lists and their negation (!,).	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF005-04		The System shall display search results, including but not limited to: *Single result or *Multiple results: * A summary list of Account Group(s) matching search criteria is displayed, with pertinent identifying information, where items in the list are selectable to open the pertinent Account Group record. Pertinent identifying information include, but not limited to: * Organization Name * Contact * Contact Phone Number * Source.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF005-05		The System shall provide the capability for user to sort results by any fields returned.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF005-06		The System shall allow user to return to original search screen to modify previously entered search parameters.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF006	Create Account Group				
	UC-AFF006-01		The System shall display user data entry fields to create an Account Group(s). At minimum these fields shall include, but not limited to: *Account Group ID (fixed) *Organization Name *Contact *Source *Delivery Source (In Person, In Office etc.) *Contact Phone Number *Email *Fax *Organization Flag *By Mail Flag *Address.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF006-02		The System shall user to create Account Group with a unique ID.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007	Affidavit Accounting Update Account Group				
	UC-AFF007-01		The System shall display affidavit options including, but not limited to: Create Account holder, Find Account Holder, Create Account Group, Find Account Group.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-02		The System shall present a list of fields to search for Account Group(s), including but not limited to: * Organization Name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-03		The System shall require user to enter data into required search fields, including but not limited to: * Organization Name.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-04		The System shall be provide the capability for user to use wildcards to search for texts. For example "T%" to search for text that begins with T. Wildcards shall include (SQL examples are given but could be any standard wildcard notation) * Zero or more characters (%) * A Single character (_) * A Single number or letter (#,?) * Ranges or lists and their negation (!,).	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-05		The System shall display search results, including but not limited to: *Single result or * Multiple results: * A summary list of Account Group(s) matching search criteria is displayed, with pertinent identifying information, where items in the list are selectable to open the pertinent Account Group. Pertinent identifying information include, but not limited to: * Account Group ID (fixed) * Organization Name * Contact * Contact Phone Number.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-06		The System shall provide the capability for user to sort results by any fields returned.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-07		The System shall provide the capability for user to return to original search screen to modify previously entered search parameters.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)

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ADMINISTRATIVE AND CONTENT MANAGEMENT FUNCTIONAL REQUIREMENTS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-AFF007-08		The System shall allow authorized user to update any non-fixed information on Account Group record according to the user's security role. Under Account Group Details user Updates: * Organization Name * Contact * Source * Delivery Source (In Person, In Office etc.) * Contact Phone Number * Email * Fax * Organization Flag * By Mail Flag.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-09		The System shall allow user to update and save existing Account Group record.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF007-10		The System shall allow user to log all changes to the Account Group record.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF008	Affidavit Accounting Find Affidavit Inventory				
	UC-AFF008-01		The System shall display a summary of existing Affidavit Inventory with pertinent information. Pertinent identifying information include, but not limited to: * Language * Inventory * Status * Type * Quantity * Affidavit From * Affidavit To * Quantity / Box * Last Transaction Date * Quantity Left * Comments.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF008-02		The System shall provide user the capability to split existing inventory.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF008-03		The System shall validate any split inventory to make certain any split inventory is not allocated/issued.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009	Affidavit Accounting Create Affidavit Inventory				
	UC-AFF009-01		The System shall present data entry fields to create new Affidavit Inventory. At minimum these fields shall include but not limited to: * Status (Office, Ordered, Received, Distributed, SOS, other) * Language * Quantity * Affidavit From * Affidavit To * Qty per Box * Boxes * Last Transaction * Comments * Last Transaction.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009-02		The System shall allow user to enter Affidavit inventory fields including, but not limited to: * Status (Office, Ordered, Received, Distributed, Other) * Language (English, Spanish, etc.) * Quantity * Affidavit From * Affidavit To * Qty per Box * Comments.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009-03		The System shall create an Affidavit Inventory with unique ID #.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009-04		The System shall calculate Affidavit To from beginning affidavit number and the quantity entered.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009-05		The System shall validate the number of affidavits entered "TO" and "From" with the quantity entered.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009-06		The System shall present an alert if the numbers entered fails validation such as an affidavit entered has already been issued.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009-07		The System shall display the total number of affidavits per language and per status.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF009-08		The System shall user to update and recalculate the total the number of existing affidavits per language and per status.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF010	Affidavit Accounting Update Affidavit Inventory				
	UC-AFF010-01		The System shall display Affidavit Inventory Information. At minimum these shall include: *Inventory ID (fixed) *Status (Office, Ordered, Received, Distributed, other) *Language Type (English, Spanish, etc.) *Quantity *Affidavit From *Affidavit To *Qty per Box *Boxes *Last Transaction.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF010-02		The System shall display secondary Affidavit Inventory Information. At minimum these shall include: *Split Items *Audit *Comments *Last Transaction.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF010-03		The System shall allow authorized user to update any non-fixed information on Affidavit Inventory record according to the user's security role. *Under Inventory Details user updates: *Status (Office, Ordered, Received, Distributed, Basement) *Affidavit Type (English, Spanish, Confidential, etc.) *Quantity *Affidavit From *Affidavit To *Qty per Box.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF010-04		The System shall log all changes to Affidavit Inventory record.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF011	Affidavit Accounting Issuing Affidavit				
	UC-AFF011-01		The System shall provide the capability for user to generate and print a receipt.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF011-02		The System shall validate range entered by user against the current inventory ranges.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF011-03		The System shall provide an alert on validation errors e.g. issues range is out of range of current inventory, duplicate ranges have already been issued, etc.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF011-04		The System shall reduce the affidavit inventory by the affidavit range entered by user and recalculate existing inventory.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF011-05		The System shall calculate the total number of affidavits issued from the start and end range entered.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF012	Research affidavit returned				
	UC-AFF012-01		The System shall log all changes to Affidavit Inventory record.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF012-02		The System shall display returned information for the selected affidavit range, including but not limited to:Total Returns, Active, Cancelled, Pending.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-AFF012-03		The System shall provide reports on account holders or groups that return information consistent with an individual account holder.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
		EMS Management Folder				

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ADMINISTRATIVE AND CONTENT MANAGEMENT FUNCTIONAL REQUIREMENTS						
Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-ADM001	Create User				
	UC-ADM001-01		The System shall display new account fields, including but not limited to: *Login Name *Last name *First Name *Title *Location *Email address *Phone number *Employee type *Account status *User role(s) *Account creation date and time.	Yes	O = Out of the Box	
	UC-ADM001-02		The System shall allow user to enter in user information.	Yes	O = Out of the Box	
	UC-ADM001-03		The System shall allow user to attach the security paperwork to the user account.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 *EMS CORE* (GoLive)
	UC-ADM001-04		The System shall display and indicate required fields.	Yes	O = Out of the Box	
	UC-ADM001-05		The System shall save entered information.	Yes	O = Out of the Box	
	UC-ADM001-06		The System shall display an alert that the information has been saved.	Yes	O = Out of the Box	
	UC-ADM001-07		The System shall record the account creation date and time.	Yes	O = Out of the Box	
	UC-ADM001-08		The System shall allow user to create new users.	Yes	O = Out of the Box	
	UC-ADM002	View and manage User				
	UC-ADM002-01		The System shall allow user to search for a voter.	Yes	O = Out of the Box	
	UC-ADM002-02		The System shall present a list of fields that can be used to search for a user including, but not limited to: *Login Name *Last name *First Name *Title *Location *Email address *Phone number *Employee type *Account status *User role(s) *Account creation date and time.	Yes	O = Out of the Box	
	UC-ADM002-03		The System shall display a list of users. If Multiple results: A detailed list of user(s) matching search criteria is displayed, with pertinent identifying information, where items in the list are selectable to open the pertinent user record. Pertinent identifying information include: *Login Name *Last Name *First Name *Account Creation Date *Title *Account Status *If Single record, The System shall display the user account record.	Yes	O = Out of the Box	
	UC-ADM002-04		The System shall allow user to edit/manage the voter account.	Yes	O = Out of the Box	
	UC-ADM002-05		The System shall allow user to able to use wild cards in searches. Wild cards shall include (SQL examples are given but could be any standard wildcard notation) *Zero or more characters (%) *A single character (.) *A single number or letter (#,?) *Ranges or lists and their negation (!,)	Yes	O = Out of the Box	
	UC-ADM005	Manage system parameters				
	UC-ADM005-01		The System shall allow user to manage system parameters.	Yes	O = Out of the Box	
	UC-ADM005-02		The System shall display various system parameters, including but not limited to: *Ballot Workers *Voter *Streets *Reports *Notices *Email *Precinct *Vote Center *Petition *Images and signatures *Election *District *GIS Information.	Yes	O = Out of the Box	
	UC-ADM005-03		The System shall allow user to make changes to system parameters and save changes.	Yes	O = Out of the Box	
	UC-ADM006	Generate Report				
	UC-ADM006 -01		The System shall display options for the user to run reports on all information in The System.	Yes	O = Out of the Box	
	UC-ADM006 -02		The System shall allow the user to filter the report to a subset of the data based on any information in The System.	Yes	O = Out of the Box	
	UC-ADM006 -03		The System shall allow authorized users access to database tables to query the data.	Yes	O = Out of the Box	
	UC-ADM006 -04		The System shall allow only authorized users with write access to update database tables.	Yes	O = Out of the Box	
	UC-ADM006 -05		The System shall provide the availability for a report to be scheduled, run and delivered to the user(s).	Yes	O = Out of the Box	
	UC-ADM006 -06		The System shall provide the selected report in a graphical display and data table format available for export from The System.	Yes	O = Out of the Box	
	UC-ADM006 -07		The System shall provide the capability for user to generate a report on underage voters.	Yes	O = Out of the Box	
	UC-ADM006 -08		The System shall provide the capability for user to generate extractions such UOCAVA/Mass VBM, etc.	Yes	O = Out of the Box	
	UC-ADM006 -09		The System shall provide the capability for user to save, print and email reports and extractions.	Yes	O = Out of the Box	

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-ADM006 -10		The System shall provide the capability for user to extract voter registration data, for example files such as, UOCAVA ballot files, Sample Ballots, VBM ballots, etc.	Yes	O = Out of the Box	
	UC-ADM006 -11		The System shall provide multiple "canned" reports for the user to select, generate or modify prior to generating.	Yes	O = Out of the Box	
	UC-ADM006 -12		The System shall provide the capability for user to export files to a number of different file formats including flat file, tab delimited, comma delimited.	Yes	O = Out of the Box	
	UC-ADM009	Manage Notices				
	UC-ADM009-01		The System shall allow user to manage a notice.	Yes	O = Out of the Box	
	UC-ADM009-02		The System shall allow user to create new templates.	Yes	O = Out of the Box	
	UC-ADM009-03		The System shall allow user to update an existing template including format and content.	Yes	O = Out of the Box	
	UC-ADM009-04		The System shall allow user to set a review period for notices and generate a second notice once the time period has lapsed with no response from the first notice.	Yes	F = Future	
	UC-ADM009-05		The System shall allow user to create notice templates with static content.	Yes	O = Out of the Box	
	UC-ADM009-06		The System shall allow user to create notice templates with dynamic content based on data from specific voter records.	Yes	O = Out of the Box	
	UC-ADM009-07		The System shall allow user to make a notice inactive.	Yes	O = Out of the Box	
	UC-ADM009-08		The System shall allow user to identify notices including versions of each notices.	Yes	O = Out of the Box	
	UC-ADM010	Issue Notice				
	UC-ADM010-01		The System shall have an option to generate a notice.	Yes	O = Out of the Box	
	UC-ADM010-02		The System shall display a queue of records that notices need to be created.	Yes	O = Out of the Box	
	UC-ADM010-03		The System shall create various types of notices for various reasons, including but not limited to: "A new registration notification card "Request for signature for voters that did not sign their ballot envelope "A request for signature update for a voter who's signature did not match the signature on the envelope. "A request for signature for voters without a signature on file before an election "A notice to voters who submitted a late registration "Notice of incomplete voter registration application, with areas to provide missing information. "Notice to verify voters address when new address information is received from the USPS. "Notice requesting if a voter wants to be cancelled since they moved out of the county. "Notice requesting potential address update based on different address provided on a petition compared to registration record.	Yes	O = Out of the Box	
	UC-ADM010-04		The System shall record what notice template and version was used to create the voter specific notice.	Yes	O = Out of the Box	
	UC-ADM010-05		The System shall allow user to print notices to be mailed "The System shall allow the user to print one notice at a time "The System shall the user to print a batch of notices at time from a queue.	Yes	O = Out of the Box	
	UC-ADM010-06		The System shall have the ability to export a file that can be used to create a mail merge.	Yes	O = Out of the Box	
	UC-ADM010-07		The System shall allow user to send a text message (SMS) to voters.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM010-08		The System shall allow notices to be sent to a voter's email address.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM011	Process Responses to Notices				
	UC-ADM011-01		The System shall allow user to process a response.	Yes	O = Out of the Box	
	UC-ADM011-02		The System shall allow user to scan in receipt of a notice.	Yes	O = Out of the Box	
	UC-ADM011-03		The System shall allow user to update the corresponding outstanding notice status when a new voter registration record or update is received for a potential voter.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM011-04		The System shall allow user to indicate receipt of a response to a notice and information provided in the response.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM011-05		The System shall allow user to close an outstanding or pending notice when a response to a notice is received.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM011-06		The System shall allow user to capture the signature from a received notice and link it back to the voter.	Yes	O = Out of the Box	
	UC-ADM012	Manage Mass Updates				
	UC-ADM012-01		The System shall provide user with multiple types of mass updates options, including but not to the following: "Redistricting "ZIP Code Changes "Poll worker class rosters "VBM application for one election requests "VBM ballots returned.	Yes	O = Out of the Box	
	UC-ADM012-02		The System shall provide user the capability to categorize the source of the mass updates.	Yes	O = Out of the Box	

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Req. #	Use Case #	Use Case File Name	Requirement	Requirement Met	Method	Agreed to Modification to Requirement or Clarifying Comments
	UC-ADM012-03		The System shall provide user the capability to enter the date and time of the mass update.	Yes	O = Out of the Box	
	UC-ADM012-04		The System shall allow user to verify the mass update, such as previewing the change.	Yes	O = Out of the Box	
	UC-ADM012-05		The System shall allow user to undo a mass update that has been done in The System.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM012-06		The System shall display a list of mass updates.	Yes	O = Out of the Box	
	UC-ADM013	Ballot Layout				
	UC-ADM013-01		The System shall allow user to specify which election to complete task.	Yes	O = Out of the Box	
	UC-ADM013-02		The System shall support the creation and modification of a standard ballot in multiple languages for Federal, state and local contests. Language requirements for election materials are governed under the federal Voting Rights Act and the state Elections Code. The system shall support the creation and modification of a standard ballot in all mandated languages for Federal, state, and local contests. In the event of additional mandated languages, the system shall have the ability to add these languages.	Yes	O = Out of the Box	
	UC-ADM013-03		The System shall support the printing of the ballot.	Yes	O = Out of the Box	
	UC-ADM013-04		The System shall have a process for user to extract ballot data including contests, precincts, candidates, measures, districts, district-contest relationships, and district-precinct relationships.	Yes	O = Out of the Box	
	UC-ADM013-05		The System shall have a process for user to extract ballot data identically regardless of media of the ballot media. Ballot data includes but not limited to contests, precincts, candidates, measures, districts, district-contest relationships, and district-precinct relationships.	Yes	O = Out of the Box	
	UC-ADM013-06		The System shall have the capability for user to generate a ballot and enclosures that can be delivered electronically via the Interactive sample ballot (ISB) application.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM013-07		The System shall have the capability for user to generate a ballot that can be delivered electronically via the Ballot Marking Device Manager and Ballot Marking Device.	Yes	F = Future	
	UC-ADM013-08		The System shall provide the capability to interface with Ballot on Demand Printer for the ballot to be printed.	Yes	C = Configuration	
	UC-ADM013-09		The System shall produce a standard export file of election data that can be imported into the tabulation system.	Yes	O = Out of the Box	
	UC-ADM013-10		The System shall export ballot data into different formats including PDF and a ready-print format supporting vector format.	Yes	O = Out of the Box	
	UC-ADM013-11		The System shall have the capability for user to generate reports of the ballot layout proofing process.	Yes	O = Out of the Box	
	UC-ADM013-12		The System shall allow user to view, edit and approve ballot layouts.	Yes	O = Out of the Box	
	UC-ADM013-13		The System shall have a public self-service portal which must consistently and accurately display all state, county and local races and ballot measures that are on the current or upcoming election ballot.	Yes	F = Future	
	UC-ADM013-14		The System shall have a public self-service portal which shall have the capability to display electronically delivered ballots for overlapping elections at the same time for a single voter.	Yes	F = Future	
	UC-ADM013-15		The System shall interface with Registrar Recorder County Clerk ECBMS system.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM013-16		The System shall support the creation and validation of audio files to be used in the ballot marking device.	Yes	N = New Development / Customization	Phase 1 (26 Sprints) – May 2022 to May 2023 "EMS CORE" (GoLive)
	UC-ADM013-17		The System shall provide the ability for user to track the review process of both the Vote by Mail and ISB ballot layout.	Yes	O = Out of the Box	
	UC-ADM013-18		The system shall capture Ballot Enclosures (candidate statements, arguments for and against a measure, etc.) in all mandated languages. The system shall support export of Ballot Enclosures to the VSAP VBL System for Sample Ballot Books.	Yes	O = Out of the Box	



APPENDIX B

DELIVERABLES DEFINITION TABLE

TO

EXHIBIT A

STATEMENT OF WORK

EMS Deliverable Definition Table – Implementation

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
11.1.1	Project Information Library	Develop and maintain a Project Information Library in a single online repository used to store, organize, track, control, and disseminate all information and artifacts produced. The Project Information Library will be used by [Contractor], County staff, and other key stakeholders including other vendors contracted by the County.	No	No	1.1.1	11.1.1
11.1.2	Project Control Documents	<p>Prepare and submit a Project Control Document (PCD) that encompasses all activities related to the design, development, integration, testing, data migration, and implementation of the EMS. Activities included in the PCD will reflect the Project through Maintenance and Support (M&S).</p> <p>The PCD will include:</p> <ul style="list-style-type: none"> • Project Schedule • Project Assumptions • Scope Management Plan • Schedule Management Plan • Project Change Management Plan • Risk and Issue Management Plan • Quality Control Plan • Resource and Staffing Plan • Deliverables Acceptance Process • Project Communication Plan • Closure Approach 	No	Yes	1.1.2	11.1.2
11.1.3	Project Kickoff and Summary Report	<p>Conduct a Project Kickoff meeting within three (3) weeks of the Project Commencement Date to introduce County leadership and County staff to the services covered by this SOW, including the timelines, dependencies, risks, and nature of the work effort that will be required to implement the EMS. Other key stakeholders may participate in the Project Kickoff meeting as determined by the County.</p> <p>After the Project Kickoff meeting, [Contractor] will prepare a Project Kickoff Summary Report including attendance sheet/roster, observations, opportunities, challenges, and any new items identified as part of the Kickoff.</p>	No	No	1.1.3	11.1.3

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
11.1.4	Project Orientation Materials	Prepare Project Orientation Materials, which will be used by [Contractor] and the County to orient new project team members to the goals, objectives, and approach of the EMS Project.	No	No	1.1.4	11.1.4
11.2	Project Status Reports	Track the Project status and update applicable portions of the Project Schedule no less than twice per month to reflect the status of the Project against the baseline Project Schedule. In addition, [Contractor] will update risks and issues logs for the Project a minimum of twice per month, proactively identifying risks and issues to be reviewed with the County Project Management Team. Provide the County Program Manager with written bi-weekly (every other week) Project Status Reports. Schedule and facilitate project team weekly status meetings and bi-weekly executive team status meetings with the County Project Management Team to discuss Project progress, risks/issues, resolutions, and next steps. [Contractor] will prepare and provide an agenda prior to each status meeting and meeting minutes following each status meeting. In addition, [Contractor] will participate in a monthly status meeting with the Elections Steering Committee and as requested by the County, assist in the preparation of the agenda and minutes for such meeting.	No	No	1.2	11.2
11.3	Project Closeout Checklist	Collaborate with the County to develop the Project Closeout Checklist, which will capture all activities required to consider the Project complete. Conduct a Project Closeout Session to review the Project Closeout Checklist with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.	No	No	1.3	11.3
12.1.1	Change Readiness Assessment	Assess the County's readiness, willingness, and ability to adopt business process and system changes. In collaboration with the County, [Contractor] will define the Change Readiness Assessment objectives, determine key change readiness indicators to be measured, and identify the key impacted stakeholders from the Candidate and Voter Services Bureau, the Election Operations and	No	No	2.1.1	12.1.1

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		Logistics Bureau, the Information Technology Bureau, and Executive Leadership. [Contractor] will solicit input from identified stakeholders. [Contractor] may gather input through a variety of methods such as surveys, stakeholder interviews, and/or focus groups. [Contractor] will analyze the results, identify change management gaps, and provide recommendations to improve readiness. Conduct an initial baseline assessment at the beginning of the Project, followed by subsequent assessments after readiness activities, communications, and/or trainings have occurred to determine progress.				
I2.1.2	Organizational Change Management and Communications Strategy	In collaboration with the County, define the OCM and Communications Strategy to establish the direction and purpose for OCM and communications activities. The OCM and Communications Strategy will define the approach the County and [Contractor] will follow to effectively manage change resulting from the new EMS. Review the draft OCM and Communications Strategy with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.	No	No	2.1.2	I2.1.2
I2.1.3	Organizational Change Management and Communications Plan	Develop and deliver an OCM and Communications Plan to execute the OCM and Communications Strategy as defined in <u>Deliverable I2.1.2</u> . The OCM and Communications Plan will articulate the activities and structure that will be used to support stakeholders impacted by the new EMS through the change journey and to enable end user adoption. Adjust the OCM and Communications Plan, as necessary and at any point throughout the Project life cycle.	Yes	Yes	2.1.2	I2.1.3
I2.2.1	Communication Materials	Develop communication materials in alignment with the OCM and Communications Plan as defined in <u>Deliverable I2.1.3</u> . Materials will be tailored to the delivery mechanism and the stakeholder group / audience. Review the draft Communication Materials with the County and gather feedback. [Contractor] will incorporate the County's feedback prior to release.	No	No	2.2.1	I2.2.1

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
12.2.2	Communications Engagement Report	Support the County in its communications to impacted stakeholders. Communications will occur throughout the Project life cycle to ensure awareness leading up to critical points in the Project and to enable successful adoption of the new EMS. [Contractor] will track and report on communications engagement metrics (e.g., number of stakeholders reached with messaging, participation in events, etc.). Provide opportunities to gather stakeholder feedback for continuous improvement of the OCM and Communications Plan as defined in <u>Deliverable 12.1.3</u> as well as Communication Materials as defined in <u>Deliverable 12.2.1</u> .	No	No	2.2.2	12.2.2
13.1	Final Use Cases	Facilitate working sessions with the County subject matter experts to review and validate the County-developed Use Cases (see Procurement Library), making revisions as needed to ensure the Use Cases reflect the optimal target state while adhering to Elections Code and any other applicable law or regulations/official guidance documents. [Contractor] will work with the County to identify who from the County will participate. After each working session, [Contractor] will be responsible for updating the Use Cases to reflect working session input. Review the updated Use Cases with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.	No	No	3.1	13.1
13.2.1 13.2.2	Final Functional and Non-Functional Requirements Traceability Matrices	Facilitate working sessions to review and validate the County-developed Functional Requirements (Technical Proposal Response Template <u>Section H.1</u> Functional Requirements Matrix), and Non-Functional Requirements (the collective set of requirements from the Technical Proposal Response Template <u>Section I.1</u> Technical Requirements Matrix, <u>Section J.1</u> Implementation Requirements Matrix, <u>Section K.1</u> Hosting (On-Prem or Cloud) Requirements Matrix, and <u>Section L.1</u> Maintenance and Support Matrix), making revisions as needed to ensure they reflect the optimal target state while	No	Yes	3.2.1 3.2.2	13.2.1 13.2.2

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		<p>adhering to Elections Code and any other applicable laws or regulations/official guidance documents and documenting business rules.</p> <p>Update the Functional and Non-Functional Requirements Traceability Matrices to reflect working session input. This includes specifying how each Functional and Non-Functional Requirement will be met by the System (e.g., out of the box, configuration, new development / customization, etc.). Functional Requirements will be traced to the applicable Use Case(s) as defined in <u>Deliverable I3.1</u>.</p> <p>Develop the Product Backlog, including defining the Epics and developing the respective User Stories, leveraging the Final Functional Requirements Traceability Matrix and Final Non-Functional Requirements Traceability Matrices as defined in Task 3.2 and facilitating working sessions with the County subject matter experts. User Stories will include predefined acceptance criteria.</p>				
I3.3.1	Epics	Develop the Product Backlog, including defining the Epics and developing the respective User Stories, leveraging the Final Functional Requirements Traceability Matrix and Final Non-Functional Requirements Traceability Matrices as defined in Task 3.2 and facilitating working sessions with the County subject matter experts. User Stories will include predefined acceptance criteria.	No	No	3.3.1	I3.3.1
I3.3.2	User Stories	Develop the first-cut User Stories. User Stories will be refined prior to Sprints as the User Stories are prioritized for development/configuration. As part of the iterative development process, [Contractor] will work with the County to groom the backlog to prioritize and refine the User Stories. At the end of each sprint, the format of the demonstration will be agreed upon by all parties. In addition to regular sprints, there will also be hardening sprints and spikes into the timeline to allow for uncertainty of custom development.	No	No	3.3.2	I3.3.2
I4.1	Solution Architecture	Define the Solution Architecture that will fulfill the County's requirements and can be technically realized. The				

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		<p>Solution Architecture will lay out a conceptual design model that defines the structure and behavior of the EMS. It will capture the technical layers with core components in each, and relationships between them. The Solution Architecture will also capture external interfaces and integrations.</p> <p>Review the draft Solution Architecture with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.</p>	Yes	Yes	4.1	I4.1
14.2	Security Plan	<p>Develop and deliver a CISO/DISO approved Security Plan that will include, at minimum, the following elements: Security policies, Logical security controls (privacy, user access and authentication, user permissions, etc.), Technical security controls and security architecture (communications, hardware, data, physical access, software, operating system, encryption, etc.), Security processes (security assessments, risk assessments, incident response, etc.), and Technical approach.</p> <p>Monitor ongoing security threat changes and responding to evolving threats, including monitoring common vulnerabilities and exposures and any ability to receive and share real-time threat information.</p> <p>Review the draft Security Plan with the County and gather feedback. Incorporate the County's feedback and submit a final version for CISO/DISO approval.</p>	Yes	Yes	4.2	I4.2
15.1	System Development and Configuration Plan	<p>Develop and configure the System to reflect and satisfy the County's requirements. This may also require System customization, however the County desires these be very minimal and only if absolutely necessary.</p> <p>Review the draft System Development and Configuration Plan with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.</p>	Yes	Yes	5.1	I5.1
		Follow an agile approach to configuring the System and developing custom components or functionality, where needed. The approach emphasizes frequent feedback loops to ensure that [Contractor] and the County are				

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
I5.2.1	Sprint Backlog	building the right solution and allowing adjustments as early as possible. Record issues/bugs identified by the County during the Sprint review meeting in the bug tracking tool. County will accept or reject the User Story based on the User Story's acceptance criteria. Facilitate Backlog grooming sessions, which will be an ongoing activity during each Sprint to define the scope of the upcoming Sprint.	No	No	5.2.1	I5.2.1
I5.2.2.2	Increment 1	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.1
I5.2.2.2	Increment 2	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.2
I5.2.2.2	Increment 3	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.3
I5.2.2.2	Increment 4	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.4
I5.2.2.2	Increment 5	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.5
I5.2.2.2	Increment 6	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.6
I5.2.2.2	Increment 7	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.7
I5.2.2.2	Increment 8	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.8
I5.2.2.2	Increment 9	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.9
I5.2.2.2	Increment 10	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.10
I5.2.2.2	Increment 11	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.11
I5.2.2.2	Increment 12	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.12
I5.2.2.2	Increment 13	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.13

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
I5.2.2.2	Increment 14	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.14
I5.2.2.2	Increment 15	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.15
I5.2.2.2	Increment 16	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.16
I5.2.2.2	Increment 17	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.17
I5.2.2.2	Increment 18	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.18
I5.2.2.2	Increment 19	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.19
I5.2.2.2	Increment 20	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.20
I5.2.2.2	Increment 21	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.21
I5.2.2.2	Increment 22	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.22
I5.2.2.2	Increment 23	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.23
I5.2.2.2	Increment 24	Product backlog items determined in conjunction with the County for each sprint development.	No	No	5.2.2.2	I5.2.2.24
I6.1	VoteCal Certification Plan	Complete the application to initiate the certification process, to develop and submit all deliverables required for certification, and to ultimately ensure successful certification between the System and VoteCal prior to System Go-Live. Establish a VoteCal Certification Plan that includes, at minimum, the key activities, milestones, deliverables, risks, and timeline to achieve certification. This Deliverable should reflect the EMS certification phases and steps outlined by CA SOS in the EMS Certification Plan v1.1 document produced March 2021 (see Procurement Library). Track progress against the VoteCal Certification Plan and will conduct weekly meetings with the County to review.	No	Yes	6.1	I6.1

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I6.2	VoteCal Certification	Establish the EMS and VoteCal integration. This includes completing the requisite planning, internal development / testing, system testing, and user acceptance activities as well as associated deliverables required by the CA SOS per the VoteCal Certification Plan (Deliverable I6.1). Provide evidence that the EMS received VoteCal integration certification by the CA SOS.	Yes	Yes	6.2	I6.2
I6.3.1	Interface Specifications	Develop all interfaces and integration with internal and external third-party vendor systems, beyond VoteCal. Develop an Interface Validation Report indicating that the required interfaces have been developed, function as expected, and meet the County's requirements.	No	Yes	6.3.1	I6.3.1
I6.3.2	Interface Validation Report	Develop an Interface Validation Report indicating that the required interfaces have been developed, function as expected, and meet the County's requirements.	No	No	6.3.2	I6.3.2
I7.1.1	Data Migration Plan	Develop a Data Migration Plan. Define data synchronization plan between EMS and VoteCal for legacy data. The data synchronization plan shall define the scope of data synchronization, document known data sync issues in the legacy system, establish sync resolution thresholds, and propose solution approach to resolving the differences. Review the draft Data Migration Plan with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	Yes	7.1.1	I7.1.1
I7.2.1	Mock Data Migration Report	Conduct mock data migrations (in conjunction with the County) progressively using a sample set of data and the entirety of the data prior to deployment into relevant go live environments. In collaboration with County and VoteCal, conduct mock data synchronization between EMS and VoteCal. Based on data synchronization results and feedback from County and VoteCal, refine and redo synchronization until the expected synchronization thresholds are achieved. Log issues discovered during the mock data migration and recommended resolution approaches. Resolve issues and	No	No	7.2.1	I7.2.1

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		repeat the mock data migration until all critical issues have been resolved and approved by the County. Monitor the data migration and validation processes. Prepare a Mock Data Migration Report that will include: Review the Mock Data Migration Report with the County and gather feedback.				
17.2.2	Data Migration Report	Migrate all relevant data from current County system(s) to the relevant environments in accordance with the Data Migration Plan as defined in Deliverable 17.1.1. Monitor the data migration process, report any issues to the County, and complete data migration tests. Execute the synchronization check procedures to check for data differences between EMS and VoteCal. Submit the results to County for final review and approval. Coordinate all data migration activities with other relevant implementation activities set forth in this SOW. Upon successful completion of data migration, prepare a Data Migration Report that will include, at minimum, the following elements: Certify, in writing, that it successfully migrated all data.	Yes	Yes	7.2.2	17.2.2
18.1.1	Test Plan	Develop a Test Plan that identifies all major aspects and phases of testing through the Project life cycle. The Test Plan will detail [Contractor]'s approach to performing and/or supporting the various testing phases Review the draft Test Plan with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	Yes	8.1.1	18.1.1
18.1.2.1 18.1.2.2 18.1.2.3	Test Scripts Test Scenarios Test Data	Identify, document, and finalize relevant Test Scripts and Test Scenarios for each testing phase with input from the County. Work with the County to identify and document relevant elections test data. Support the County to develop common elections test data and identify the volume of data required to perform thorough testing. Monitor progress on Test Script, Test Scenario, and common elections test data development. Notify the County of any risks to the schedule or quality and completion of the Test Scripts,	No	No	8.1.2.1 8.1.2.2 8.1.2.3	18.1.2.1 18.1.2.2 18.1.2.3

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		<p>Test Scenarios, and/or common elections test data being developed. Identify systemic issues related to completion of the Test Scripts, Test Scenarios, or elections test data (e.g., time management, complexity, data quality, etc.) and provide the County with recommendations to address them (e.g., augmenting resources, etc.).</p> <p>Provide recommendations on grouping Test Scenarios and conditions into test cycles to maximize efficient test execution. Develop issue tracking form. Develop a test cycle control sheet, which details when and by whom test cycles will be executed. Archive Test Scripts and Test Scenarios after all testing phases are complete. Respond to all County ad hoc communications (e.g., calls, emails, etc.) in a timely manner to address questions as they arise.</p> <p>Review the draft Test Scripts and Test Scenarios with the County and gather feedback. Incorporate the County's feedback and submit final versions for approval.</p>				
I8.1.3	Detailed Testing Environments Documentation	Establish testing environments prior to each testing phase. Prepare detailed documentation of the testing environments.	No	No	8.1.3	I8.1.3
I8.2.1.1	Unit Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable I8.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.1	I8.2.1.1
I8.2.1.2	System Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable I8.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.2	I8.2.1.2

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
I8.2.1.3	Integration Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable I8.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.3	I8.2.1.3
I8.2.1.4	End-to-End Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable I8.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	Yes	Yes	8.2.1.4	I8.2.1.4
I8.2.1.5	Negative Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable I8.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.5	I8.2.1.5
I8.2.1.6	Usability Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable I8.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.6	I8.2.1.6
I8.2.1.7	Performance (Load/Stress) Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable I8.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.7	I8.2.1.7

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
18.2.1.8	Regression Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable 18.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.8	18.2.1.8
18.2.1.9	Recovery Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable 18.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.9	18.2.1.9
18.2.1.10	Security Testing Results Report	Perform security tests in accordance with the Security Plan as detailed in <u>Deliverable 14.2</u> . Record and report the results for review and approval by the County. Fix any errors or issues encountered, conduct root cause analyses as required, and document outcomes of any re-testing activities. Fix any County reported errors, omissions, or issues identified in the tests report. Conduct root cause analyses, as required, and document outcomes of any remediation activities.	No	No	8.2.1.10	18.2.1.10
18.2.1.11	Smoke Testing Results Report	Conduct testing for each testing phase in accordance with the approved Test Plan as detailed in <u>Deliverable 18.1.1</u> . Document all test results, analyze exceptions, and correct any software defects. In addition to the formal test results report, provide real-time (or close to real-time) test dashboards to provide the County with visibility to understand trends for the various test types.	No	No	8.2.1.11	18.2.1.11
18.2.2	User Acceptance Testing Results Report	Assist the County in performing UAT activities. During UAT, [Contractor] conduct daily wrap up sessions. Prepare a UAT Results Report that documents all the test results, including any errors and resolutions identified as part of the UAT.	Yes	Yes	8.2.2	18.2.2

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
19.1	List of Required Reports	<p>Work with the County to identify report areas and stakeholders who should participate in [Contractor]-facilitated report working sessions. Facilitate working sessions for each area and a follow-up session, as required, to determine the list of reports required for Go-Live. Prepare a final, prioritized (e.g., critical for Go-Live, etc.) list of all required reports. Identify opportunities to consolidate reports (i.e., into ad-hoc, parameter driven reports).</p> <p>Review the draft List of Required Reports with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.</p> <p>After the working sessions are completed and the List of Required Reports approved by the County, update the Project Schedule (Deliverable 1.1.2), as needed, to reflect the schedule and resource requirements to complete the activities associated with developing the specifications, designing, building, validating, and testing all reports on the List of Required Reports.</p>	No	Yes	9.1	19.1
19.2	Reports Specifications	Document and develop Report Specifications for each report identified in the List of Required Reports (Deliverable 19.1).	No	No	9.2	19.2
19.3	Reports	<p>Provide all reports identified in the List of Required Reports (Deliverable 19.1) either through an available production report, by modifying an existing production report, or by developing a new custom report.</p> <p>Define test scripts and data for the County to validate that designed reports meet the requested intent. Review the reports with the County and gather feedback. Incorporate the County's feedback, modifying the reports as needed.</p>	Yes	Yes	9.3	19.3
19.4	Self-Service Reporting Capability	Provide self-service report capabilities that allow election operations to: Create their own reports for ad-hoc needs and Respond to data requests by creating data extracts. Support the County in the development of self-service reports, including review of and feedback on County-created reports.	No	No	9.4	19.4

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I9.5	Dashboards	In addition to predefined and self-service reporting capabilities, provide dashboards to support data-driven decision making for executive, management, and operational users. Work with the County to identify stakeholders who should participate in [Contractor]-facilitated dashboard working sessions. After each session, hold follow-up sessions, as required, to validate the dashboards and their use to manage election operations.	No	Yes	9.5	I9.5
I10.1.1	Training and Knowledge Transfer Strategy	In collaboration with the County, define a learner-centric Training and Knowledge Transfer Strategy to establish the direction and purpose for training and knowledge transfer activities. The Training and Knowledge Transfer Strategy will define the approach the County and [Contractor] will follow to effectively train end users, including how trainings and each trainee's competence will be evaluated. Review the draft Training and Knowledge Transfer Strategy with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	No	10.1.1	I10.1.1
I10.1.2	Training and Knowledge Transfer Plan	Develop and deliver a Training and Knowledge Transfer Plan to execute the Training and Knowledge Transfer Strategy as defined in <u>Deliverable I10.1.1</u> . Adjust the Training and Knowledge Transfer Plan, as necessary and at any point throughout the Project life cycle.	No	Yes	10.1.2	I10.1.2
I10.2.1	Training and Knowledge Transfer Materials	Develop all Training Materials with input from the County. Provide an electronic copy of all Training Materials to the County. Update Training Materials with the implementation of any significant changes or upgrades to the System. Develop all Knowledge Transfer Materials with input from the County. Provide an electronic copy of all Knowledge Transfer Materials to the County.	No	No	10.2.1	I10.2.1
I10.2.2	Report of Training Metrics	Provide comprehensive training to all end users and conducting "Train-the-Trainer" trainings. Provide training				

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		“just in time” prior to Go-Live. Train the County staff in the manner and means by which such issues to Help Desk Level 2 are to be escalated and the resolution communicated back to the Help Desk Level 1. After each training, provide the County with documented evidence of each trainee’s competence to use the EMS to conduct their duties.	Yes	Yes	10.2.2	I10.2.2
I10.2.3	Knowledge Transfer Report	Conduct knowledge transfer sessions with key County staff. Upon completion of all knowledge transfer sessions, prepare a Knowledge Transfer Report documenting the sessions conducted, County participants in each session, and the topic(s) covered in each session.	No	No	10.2.3	I10.2.3
I10.2.4	User Guide and Help Documentation	Provide User Guide and Help Documentation for the System to cover all aspects of the EMS functions. Update the User Guide and Help Documentation throughout the Project life cycle to reflect applicable changes based on new Releases, system enhancements, and system updates.	Yes	Yes	10.2.4	I10.2.4
I10.2.5	Level 1 Help Desk Scripts	In collaboration with the County, develop Level 1 Help Desk Scripts for use by the County. Scripts should cover all common end user questions and triaging to Level 2, which is the responsibility of [Contractor]. Update the Level 1 Help Desk Scripts throughout the Project life cycle to reflect applicable changes based on new Releases, system enhancements, and system updates.	No	Yes	10.2.5	I10.2.5
I11.1.1	Deployment Plan	Develop a detailed Deployment Plan to reflect all activities that affect deployment of the System into the production environment. Data conversion activities Review the draft Deployment Plan with the County and gather feedback. Incorporate the County’s feedback prior to release. Provide in-person support throughout the entire deployment and stabilization period.	Yes	Yes	11.1.1	I11.1.1
I11.1.2	Production Readiness Report	Develop, review, and finalize a production readiness framework that will allow [Contractor] and the County to				

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		<p>assess Go-Live readiness from operational, functional, and technical perspectives.</p> <p>Assess production readiness against the approved framework and prepare a Production Readiness Report that documents any risks or issues that may affect successful deployment.</p> <p>Recommend mitigation or resolution plans to address identified risks or issues, respectively, and execute against the plans upon approval from the County.</p>	No	No	11.1.2	I11.1.2
I11.2	Disaster Recovery Plan	<p>Develop and provide a Disaster Recovery Plan and related services, including System and software backups as well as backups of County data for the System.</p> <p>Provide all services related to issues pertaining to disaster recovery.</p> <p>In collaboration with the County, categorize System disruptions by the severity of the event.</p> <p>Develop the Disaster Recovery Plan, which will serve as the master plan when responding to System outages, ensuring continuity of business operations, and recovering from a disaster.</p> <p>Test critical recovery connections to external third parties.</p> <p>Ensure key Project resources, both of from [Contractor] and the County, are trained in recovery procedures.</p>	No	Yes	11.2	I11.2
I11.3.1	Deployment Report	Post Go-Live, prepare a Deployment Report that captures the execution of the Deployment Plan.	No	No	11.3.1	I11.3.1
I11.3.2	Final Acceptance Report	Provide the Final Acceptance Report, documenting the achievement of Final Acceptance.	No	Yes	11.3.2	I11.3.2
H1.1.1	Hosting Services Kickoff and Summary Report	<p>Conduct a Hosting Services Kickoff meeting to introduce the County resources to the services covered by this SOW, including the timelines and nature of the work effort that will be required.</p> <p>Before the Hosting Services Kickoff meeting, work with the County to identify all [Contractor] and County resources required to complete the tasks outlined in this SOW.</p> <p>Develop an agenda, including meeting objectives, for the Hosting Services Kickoff meeting.</p>	No	No	H1.1.1	H1.1.1

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		After the Hosting Services Kickoff meeting, prepare a Hosting Services Kickoff Summary Report including attendance sheet/roster, observations, opportunities, challenges, and any new items identified as part of the Kickoff.				
H1.1.2	Connectivity Architecture	Document and propose a network connectivity architecture to provide the Hosting Services that meets the County's requirements for delivery to the agreed demarcation point(s), bandwidth, uptime, latency, and redundancy within the hosting environment and network connectivity to the hosted environment. Review the proposed network connectivity architecture, which includes a connectivity architecture schematic, with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	No	H1.1.2	H1.1.2
H1.1.3	Hosting Services Delivery Document	Develop, maintain, and update a Hosting Services Delivery Document that includes [Contractor]'s approach. Review the draft Hosting Services Delivery Document with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	No	H1.1.3	H1.1.3
H1.2.1	Hosting Environments Configuration Document	Prepare a Hosting Environments Configuration Document for all production and non-production environments. Review the draft Hosting Environments Configuration Document with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	Yes	H1.2.1	H1.2.1
H1.2.2	Configured Hosting Environments	Configure the non-production Hosting Environments required for Development, Production Staging, Testing (including data conversion testing), Training, and other non-production environments required for successful implementation and maintenance of the EMS including a County test environment with VoteCal connectivity. Provide the County with an opportunity to perform environment acceptance testing for each new environment instance. Address identified issues,	Yes	Yes	H1.2.2	H1.2.2

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		reconfigure the environments, and submit to the County for approval.				
H1.3.1	Monthly Hosting Services Report	Through the Contract term, provide Hosting Services in accordance with <u>Deliverables H1.1.3</u> Hosting Services Delivery Document and <u>H1.2.1</u> Hosting Environments Configuration Document. Hosting Environments identified in <u>Subtask 1.2.1</u> Prepare Hosting Environments Configuration Document will be required to be addressed in the Hosting Services. Maintain all necessary environments as needed and in the instance of integrated County infrastructure, provide direction and feedback to maintain as needed. Conduct calls on a weekly basis, and as needed, with the County to discuss hosting operations activities and related issues. Report monthly, and as needed, on hosting operations activities including the tracking, reporting, and resolution plans of any issues.	No	No	TBD	H1.2.2
H1.3.2	Monthly Service Level Reports	Monitor and report on Service Levels to the County. Provide Service Level reports (e.g., performance metrics, system accounting information, etc.) monthly, and as needed, to the designated County representatives in a format agreed to by the County. Conduct calls on a weekly basis, and as needed, with the County to discuss Service Level monitoring activities and adherence to performance metrics.	No	No	TBD	H1.3.2
H1.3.3	Security Reports	Provide all Security Services in compliance with applicable Federal, State, and County requirements including those provided in <u>Exhibit J</u> (Information Security and Privacy Requirements) to the Contract. Conduct calls, as needed, with the County to discuss security activities and related issues. Report monthly, and as needed, on security activities. In the case of a security breach, incident, intrusion or issue, the report must be submitted to the County immediately but no more than two (2) hours of the event.	No	No	TBD	H1.3.3
H1.3.4	Service Request Reports	Support service requests as required. Configure and operate a Service Request Tracking System.				

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		Conduct calls on a weekly basis, and as needed, with the County to discuss service requests and related issues. Report monthly, and as needed, on service requests, including the tracking and reporting of any issues.	No	No	TBD	H1.3.4
H1.3.5	Hosting Environment Maintenance Reports	Perform all required Hosting Environment maintenance as required by <u>Subtask 1.1.3</u> Develop Hosting Services Delivery Document and <u>Subtask 1.4.1</u> Perform Backups and Restores. Conduct calls on a weekly basis, and as needed, with the County to discuss hosting environment maintenance activities. Report monthly, and as needed, on hosting environment maintenance activities	No	No	TBD	H1.3.5
H1.4.1	Backup and Restore Reports	Conduct the backups and restores including regular backups of all EMS data, backups of licensed software and third-party products, and backup validation. Conduct calls on a weekly basis, and as needed, with the County to discuss backup and restore activities and related issues. Provide reports monthly, and as needed, certifying successful backup validation.	No	No	TBD	H1.4.1
H1.4.2.1 H1.4.2.2 H1.4.2.3	Disaster Recovery Plan Report of Disaster Recovery Plan Test Results Disaster Recover Reports	Provide prioritized disaster recovery services for the hosting services and associated infrastructure (e.g., servers, network connection, etc.). Initiate the Disaster Recovery Plan in the event of a [Contractor] disaster recovery situation. Notify and coordinate with the County during a [Contractor] disaster recovery situation per the disaster recovery policies and procedures. Report monthly, and as needed, on the disaster recovery activities and related issues.	No	Yes	TBD	H1.4.2.1 H1.4.2.2 H1.4.2.3
MS2.1.1	M&S Services Kickoff and Summary Report	Conduct a M&S Services Kickoff meeting to introduce the County resources to the services covered by this SOW, including the timelines and nature of the work effort that will be required. After the M&S Services Kickoff meeting, prepare a M&S Services Kickoff Summary Report including attendance sheet/roster, observations, opportunities, challenges, and any new items identified as part of the Kickoff meeting.	No	No	TBD	MS2.1.1

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
MS2.2.1	Maintenance and Support Plan	Develop a M&S Plan. Update the M&S Plan as required to provide for new Releases, Upgrades, and Revisions. Review the draft M&S Plan with the County and gather feedback. [Contractor] will incorporate the County's feedback and submit a final version for approval.	No	Yes	TBD	MS2.2.1
MS2.2.2	[Contractor] Notification Process for Security Issues and Incidents	Define its process to notify the County of security issues and incidences. In collaboration with the County, define levels of severity for security issues and incidents. Review the draft [Contractor] Notification Process for Security Issues and Incidents with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	No	TBD	MS2.2.2
MS2.2.3	[Contractor] Notification Process for Issues and Events Impacting Operations	Define its processes to notify the County of issues, events, incidents, and problems impact operations. Review the draft [Contractor] Notification Process for Issues and Events Impacting Operations with the County and gather feedback. Incorporate the County's feedback and submit a final version for approval.	No	No	TBD	MS2.2.3
MS2.3.1	Monthly Application Monitoring and Management Report	Provide application monitoring and management services. Conduct calls on a weekly basis, and as needed, with the County to discuss application monitoring and management activities and related issues. Report monthly, and as needed, on application monitoring and management activities, including the tracking and reporting of any issues.	No	No	TBD	MS2.3.1
MS2.3.2	Monthly Application Support Report	Provide application support for all Licensed Software and Third-Party Product issues and County support requests. Conduct calls on a weekly basis, and as needed, with the County to discuss application support activities and related issues. Report monthly, and as needed, on application support activities, including the tracking and reporting of any issues.	No	No	TBD	MS2.3.2
MS2.3.3	Monthly Operations Management Report	Provide operations management services. Conduct calls on a weekly basis, and as needed, with the County to discuss operations management services activities and related issues. Report monthly, and as needed, on	No	No	TBD	MS2.3.3

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		operations management services activities, including the tracking and reporting of any issues. Provide ongoing ASV Machine operations and maintenance support.				
MS2.3.4	Monthly Maintenance Checks Report	Conduct maintenance check activities. Conduct calls on a weekly basis, and as needed, with the County to discuss maintenance check activities and related issues. Report monthly, and as needed, on maintenance check activities, including the tracking and reporting of any issues.	No	No	TBD	MS2.3.4
MS2.3.5	Monthly Incident/Problem Management Report	Provide incident/problem management and resolution services using a structured IT Service Management methodology. Provide the County with a monthly report on incident/problem management. Conduct calls on a weekly basis, and as needed, with the County to discuss incident/problem management activities and related issues. Report monthly, and as needed, on incident/problem management activities, including the tracking and reporting of any issues.	No	No	TBD	MS2.3.5
MS2.3.6.1 MS2.3.6.2 MS2.3.6.3 MS2.3.6.4	Release and Upgrade Plan Testing Results Report Updated Training and Knowledge Transfer Materials Updated User Guide and Help Documentation	Manage and implement Licensed Software and Third-Party Product Releases, Upgrades, and configuration changes. Develop Release and Upgrade Plans. Conduct required testing such as Regression Testing and Integration Testing including VoteCal. Resolve problems/incidents found in testing. Update Training and Knowledge Transfer Materials as well as User Guide and Help Documentation as needed.	No	No	TBD	MS2.3.6.1 MS2.3.6.2 MS2.3.6.3 MS2.3.6.4
MS2.3.7	Monthly Configuration and Technology Change Report	Design and implement a formal process for managing configuration and technology changes made to Licensed Software and Third-Party Products. Assist the County in establishing a Configuration and Technology Change Control Board. Work with the County to establish and mutually agree upon configuration and technology change processes. Provide configuration and technology change control services.	No	No	TBD	MS2.3.7

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		Conduct calls on a weekly basis, and as needed, with the County to discuss configuration and technology change activities and related issues. Report monthly, and as needed, on configuration and technology change activities, including the tracking and reporting of any issues.				
MS2.3.8	Monthly Configuration Management Report	Provide configuration management of the System. Conduct calls on a weekly basis, and as needed, with the County to discuss configuration management activities and related issues. Report monthly, and as needed, on configuration management activities, including the tracking and reporting of any issues.	No	No	TBD	MS2.3.8
MS2.3.9	Monthly Interface Report	Provide the County with interface support for the System. Responsible for monitoring and managing the EMS and VoteCal integration. Conduct calls on a weekly basis, and as needed, with the County to discuss interface support activities and related issues. Report monthly, and as needed, on interface support activities, including the tracking and reporting of any issues.	No	No	TBD	MS2.3.9
MS2.3.10	Report of Training Metrics	Responsible for providing ongoing training to impacted County end users and conducting "Train-the-Trainer" trainings where new functionality will be implemented due to System enhancements, Releases, and Upgrades. Train the County staff in the manner and means by which such issues to Help Desk Level 2 are to be escalated and the resolution communicated back to the Help Desk Level 1. After each training, provide the County with documented evidence of each trainee's competence to use the EMS to conduct their duties.	No	No	TBD	MS2.3.10
MS2.3.11.1 MS2.3.11.2 MS2.3.11.3 MS2.3.11.4	Report Specifications Reports Self-Service Reporting Capability Dashboard	Maintain reports developed during Implementation per Section 9.0 Reporting of the Implementation SOW. For reports and dashboards agreed to be developed, complete the requirements, and produce the Deliverables in accordance with Task 9.2 Develop Reports Specifications, Task 9.3 Design, Build and Test Reports, Task 9.4 Provide Self-Service Reporting Capability, and	No	No	TBD	MS2.3.11.1 MS2.3.11.2 MS2.3.11.3 MS2.3.11.4

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		Task 9.5 Provide Dashboards of the Implementation SOW. Conduct calls on a weekly basis, and as needed, with the County to discuss reporting development and support activities and related issues.				
MS2.3.12	Monthly Security and Authorization Management Report	Provide application specific security services based on County guidelines. Provide System security services in compliance with applicable Federal, State, and County requirements including those provided in <u>Exhibit J</u> (Information Security and Privacy Requirements) to the Contract. Provide County with the current Azure SOC TSP compliance report or equivalent upon request. Manage and implement authorization controls and processes. Develop a change control process for the creation and modification of [Contractor] user accounts and submit for County approval. Conduct calls on a weekly basis, and as needed, with the County to discuss security and authorization management activities and related issues. Report monthly, and as needed, on security and authorization management activities, including the tracking and reporting of any issues.	No	No	TBD	MS2.3.12
MS2.4	Product Roadmap Presentation	Provide the County a presentation of its internal product Roadmap for the EMS and other products that are of interest to the County for no additional charge. Each Product Roadmap Presentation will be provided to the County whenever [Contractor] makes any significant change to its product Roadmap.	No	No	TBD	MS2.4
MS2.5	Transition Plan	Provide transition services to either transition the County's data to another product, or the hosting platform to a new provider, in the event: <ol style="list-style-type: none"> Contract term has ended. [Contractor] is in default of any obligation and requirement or [Contractor]'s work or performance is determined by the County to be defective, substandard, or if the County finds [Contractor] in breach of Contract. 	No	Yes	TBD	MS2.5

Deliverable #	Deliverable Name	Deliverable Description	Key Deliverable (Yes/No)	DED Required (Yes/No)	Task ID #	Payment Milestone #
		<p>3. [Contractor] can no longer provide support for the Software due to divestiture, insolvency, or other business reason.</p> <p>To the extent that transition services are required for any mandatory or optional hosting elements, provide relevant transition services to support the move from the existing hosting environment to another hosting environment or County facility, as appropriate.</p>				



APPENDIX C

DELIVERABLE EXPECTATIONS DOCUMENT (DED)

TO

EXHIBIT A

STATEMENT OF WORK

Contract #22-002 Election Management System Implementation and Services Deliverable Expectations Document (DED)	
Project Deliverable Number:	Title of Deliverable:
Deliverable Description:	
Frequency:	Contract/SOW Reference:
County's Review of Draft DED: [XX] Days	Initial Draft Submission Due Date:
Distribution: County Program Manager – 1 hard copy and 1 soft copy County Project Oversight – 1 soft copy	Final Submission Due Date: [XX] Days after receipt of draft comments
Detailed Deliverable Outline:	
Deliverable Acceptance Criteria (include agreed upon requirements, format and contents, related to Deliverable):	
Prepared By (please print):	Date Submitted:
Phone Number:	Date Re-Submitted 2:
E-mail:	Date Re-Submitted 3:
Contractor Project Director or Contractor Project Manager Signoff:	
Contractor Representative Name:	Contractor Representative Position:
Contractor Representative Signature:	Date:
County Approval/Comments	
Approved By:	Date:
Signature:	
Comments:	



APPENDIX D
DELIVERABLE ACCEPTANCE DOCUMENT (DAD)
TO
EXHIBIT A
STATEMENT OF WORK

DELIVERABLE ACCEPTANCE DOCUMENT

(Contractor Name and Address)		TRANSMITTAL DATE
		CONTRACT NUMBER
		TITLE
FROM: _____ Contractor's Project Director (Signature Required)	TO: <i>County Project Director,</i> _____	
<p>Contractor hereby certifies to County that as of the date of this Task/Deliverable Acceptance Certificate, it has satisfied all conditions precedent in the Contract (including the Exhibits thereto) to the completion of the Tasks and delivery of the Deliverables set forth below, including (i) satisfaction of all completion criteria applicable to such Tasks and Deliverables, and (ii) County's approval of all Work performed in connection with such Tasks and Deliverables. Contractor further represents and warrants that the Work performed in respect of such Tasks and Deliverables has been completed in accordance with Exhibit A (Statement of Work. County's approval and signature constitutes an acceptance of the Tasks and Deliverables listed below.</p>		
TASK DESCRIPTION (including Task and Subtask numbers as set forth in the Statement of Work)	DELIVERABLES (including Deliverable numbers and brief description as set forth in the Statement of Work)	
Comments:		
<p>Attached hereto is a copy of all supporting documentation required pursuant to the Contract, Exhibit A (Statement of Work), including any additional documentation reasonably requested by County.</p>		
<p><u>County Acceptance:</u></p>		
NAME _____	SIGNATURE _____	DATE _____
County's Project Manager		
NAME _____	SIGNATURE _____	DATE _____
County's IT Project Manager		
NAME _____	SIGNATURE _____	DATE _____
County's Project Director		



APPENDIX E
CONTRACTOR DISCREPANCY REPORT
TO
EXHIBIT A
STATEMENT OF WORK

CONTRACT DISCREPANCY REPORT

TO:

FROM:

DATES: **Prepared:**

Returned by Contractor:

Action Completed:

Discrepancy Problems:

Signature of County Representative

Date _____

Contractor (Cause and Action):	Response Corrective
--------------------------------------	------------------------

Signature of Contractor Representative

Date _____

County Evaluation of Contractor Response:

County Actions:

Contractor Notified of Action:

County Representative's Signature and Date:

Contractor Representative's Signature and Date:



APPENDIX F

PERFORMANCE REQUIREMENTS SUMMARY

TO

EXHIBIT A

STATEMENT OF WORK

PERFORMANCE REQUIREMENTS SUMMARY

The following tables set forth the Contractor's Key Deliverables and Help Desk Service Level Agreements (SLAs) that will be monitored for compliance and adherence by the County throughout the Project. It further sets forth the method by which the County will monitor Contractor's successful achievement of each performance requirement and the associated deduction in fees associated with not achieving each performance requirement.

PERFORMANCE REQUIREMENTS FOR KEY DELIVERABLES

Deliverable #	Deliverable Description	Expected Completion Date	Monitoring Method	Deduction in Fees
2.0 Organizational Change Management J.2 Implementation Statement of Work				
I2.1.3	Organizational Change Management and Communications Plan		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
4.0 Design J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
I4.1	Solution Architecture		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
I4.2	Security Plan		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
5.0 Development and Configuration J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
I5.1	System Development and Configuration Plan		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
6.0 Integration J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
I6.2	VoteCal Certification		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.

7.0 Data Migration J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
17.2.2	Data Migration Report		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
8.0 Testing J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
18.2.1.4	End-to-End Testing Results Report		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
18.2.2	User Acceptance Testing Results Report		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
9.0 Reporting J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
19.3	Reports		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
10.0 Training and Knowledge Transfer J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
110.2.2	Report of Training Metrics		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
110.2.4	User Guide Documentation		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
11.0 Implementation J.2 Implementation Statement of Work		Expected Completion Date	Monitoring Method	Deduction in Fees
111.1.1	Deployment Plan		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.

Table 2. Deliverable Payment Table - Hosting (One-Time)				
Deliverable #	Deliverable Description	Expected Completion Date	Monitoring Method	Deduction in Fees
1.2 Configure Hosting Environments K.2 Hosting Statement of Work				
H1.2.2	Configured Environments Hosting		On-time delivery per agreed upon Due Date and acceptance of the deliverable per signed Deliverable Acceptance Document.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.

ADMINISTRATIVE CONTRACT PROVISIONS

SPECIFIC PERFORMANCE REFERENCE	SERVICE	MONITORING METHOD	DEDUCTIONS/FEEES TO BE ASSESSED
Contract: Paragraph 4 – Term of Contract, Sub-Paragraph 4.3	Contractor shall notify Department when this Contract is within six (6) months of the expiration of the term as provided for hereinabove. Upon occurrence of this event, the Contractor shall send written notification to Department at the address herein provided in Exhibit E (County's Administration).	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract: Paragraph 5 – Notification of 75% of Total Contract Sum, Sub-Paragraph 5.3.1	The Contractor shall maintain a system of record keeping that will allow the Contractor to determine when it has incurred seventy-five percent (75%) of the total contract sum under this Contract. Upon occurrence of this event, the Contractor shall send written notification to Department at the address herein provided in Exhibit E (County's Administration).	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract: Paragraph 7.0 - Administration of Contract - Contractor, Sub-Paragraph 7.1	A listing of all of Contractor's Administration is designated in Exhibit F (Contractor's Administration). The Contractor will notify the County in writing of any change in the names or addresses shown.	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract: Paragraph 8.2 – Assignment and Delegation/ Mergers or Acquisitions, Sub-Paragraph 8.2.1	The contractor shall notify the County of any pending acquisitions/mergers of its company unless otherwise legally prohibited from doing so. If the contractor is restricted from legally notifying the County of pending acquisitions/mergers, then it should notify the County of the actual acquisitions/mergers as soon as the law allows and provide to the County the legal framework that restricted it from notifying the County prior to the actual acquisitions/mergers.	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract : Paragraph 8.5 – Complaints, Sub-Paragraph 8.5.2.1	Within thirty (30) business days after the Contract effective date, the contractor shall provide the County with the contractor's policy for receiving, investigating and responding to user complaints.	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.

Contract: Paragraph 8.24 – General Provisions for All Insurance, Sub-Paragraph 8.24.2.2 – Evidence of Coverage and Notice to County	Renewal certificates shall be provided to County not less than ten (10) days prior to contractor's policy expiration dates.	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract: Paragraph 8.24 – General Provisions for All Insurance, Paragraph 8.24.4 – Cancellation of or Changes in Insurance	Contractor shall provide County with, or Contractor's insurance policies shall contain a provision that County shall receive, written notice of cancellation or any change in Required Insurance, including insurer, limits of coverage, term of coverage, or policy period. The written notice shall be provided to County at least ten (10) days in advance of cancellation for non-payment of premium and thirty (30) days in advance for any other cancellation or policy change.	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract: Paragraph 8.37 – Publicity, Paragraph 8.37.1.2	The Contractor shall not, and shall not authorize another to, publish or disseminate any commercial advertisements, press releases, feature articles, or other materials using the name of the County without the prior written consent of the County's Project Director.	Inspection and Observation.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract: Paragraph 8.38 - Record Retention and Inspection/Audit Settlement	Contractor to maintain all required documentation as specified in Sub-paragraph 8.38	Inspection of files.	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted.
Contract: Paragraph 8.40 Subcontracting	Contractor shall obtain County's written approval prior to sub-contracting any work.	Inspection and Observation	\$1000 per occurrence. \$500 every day after occurrence until deliverable is submitted and accepted. <i>Any attempt by the contractor to subcontract without the prior consent of the County may be deemed a material breach (Termination for Default) of this Contract.</i>

HOSTING – SERVICE LEVEL REQUIREMENTS

Table 1. Overall System Availability Service Level

System Category	Performance	System Performance Requirement
Overall System Availability Service Level		<p>Overall System Availability Service Level</p> <p>Service Measure Availability, defined as the availability of all infrastructure and software components required to conduct the normal election operations including, but not limited to, processors, external storage, system software, and network connection. Excludes scheduled maintenance.</p> <p>Performance Metric Sunday – Saturday, 00:00 – 24:00</p> <p>Performance Target Production Servers: 99.99%</p> <p>Non-Production Servers: 99.0%</p> <p>Formula [Availability (%) = 100% — Unavailability (%)]</p> <p>Where Unavailability is defined as: (sum outage duration x 100%) ÷ (schedule time — planned outage)</p> <p>Measurement Period Weekly</p> <p>Reporting Period Monthly</p>

Error Severity Levels

Error Severity 1

The System or a main subsystem/module is unavailable, preventing the System or a core function from operating or causing core functions or major functionality to operate with grossly incorrect results such as material data processing errors. There is no workaround.

Error Severity 2

Use of the System or a subsystem/module is interrupted, or a System failure otherwise causes major functions to not operate or to operate with significantly incorrect results such as material data processing errors. There is no workaround.

Error Severity 3

Incident(s) prevent minor functionality from operating or causes minor functions to operate with incorrect results. There is a clear business need to have the System repaired, but workaround(s) exist for election operations.

Error Severity 4

Incident does not affect functionality of the System. Low priority with no direct impact election operations. Cosmetic or nonessential in nature.

Table 2. **Incident Response Time Service Level**

Incident Response Time Service Level		
Service Measure	Response Time: Elapsed time from when the Incident is escalated from the Help Desk to the time the incident is responded to by the Hosting Service provider	
Performance Metric*		
Severity 1	≤15 minutes	
Severity 2	≤15 minutes	
Severity 3	≤30 minutes	
Severity 4	≤60 minutes	

Performance Target*

Severity 1	95% within 15 minutes
Severity 2	95% within 15 minutes
Severity 3	95% within 30 minutes
Severity 4	95% within 60 minutes

Formula

Response Time [Number of Incidents that met SLR ÷ the total number of Incidents in the Measurement Period]

Measurement Period Weekly

Reporting Period Monthly

*The County will evaluate the Performance Metric and Performance Target on a quarterly basis, and may, at its sole discretion, decide to modify based on election operations activities (e.g., candidate filing, petitions, etc.).

Table 3. **Incident Resolution Time Service Level**

Incident Resolution Time Service Level	
Service Measure	Resolution Time: Elapsed time from when the Incident is escalated from the Help Desk to the time the Incident is resolved
Performance Metric*	
Severity 1	2 hours
Severity 2	2 hours
Severity 3	8 hours
Severity 4	72 hours

Performance Target*

Severity 1	95% within 2 hours
Severity 2	95% within 2 hours
Severity 3	95% within 8 hours
Severity 4	95% within 72 hours

Formula

Response Time [Number of Incidents that met SLR ÷ the total number of Incidents in the Measurement Period]

Measurement Period Weekly

Reporting Period Monthly

*The County will evaluate the Performance Metric and Performance Target on a quarterly basis, and may, at its sole discretion, decide to modify based on election operations activities (e.g., candidate filing, petitions, etc.).

Table 4. **Recovery Time Objective and Recovery Point Objective Service Levels**

Recovery Time Objective (RTO) and Recovery Point Objective (RPO) Service Levels	
Service Measure	Recovery time and data recovery
Performance Metric	Recovery time and recovery point
Performance Target	≤60 minutes with 0 minutes of data loss
Formula	$\frac{\text{[Number of instances within Performance Target]}}{\text{[Total number of instances during Measurement Period]}}$
Measurement Period	Designated recovery period following a disaster
Reporting Period	Periodically throughout the recovery period

Table 5. **Response Time (Performance) Service Levels**

Response Time (Performance) Service Levels	
Service Measure	Number of seconds after user commits transaction until response appears on user's screen, operated from within the County network
Performance Metric	Response time is ≤ 2 seconds

Performance Target	95%
Formula	$\frac{\text{[Number of agreed actions that are completed within the target dates]}}{\text{[Total number of agreed actions in the Measurement Period]}}$
Measurement Period	Monthly
Reporting Period	Monthly

Table 6. **Staff Availability Service Levels**

Staff Availability Service Levels	
Service Measure	Staff availability to participate in person for meetings as scheduled by the County
Performance Metric	<p>Available during normal business hours, Monday through Friday 9:00 AM to 5:00 PM PST, except Federal, State, and County holidays.</p> <p>Available outside of normal business hours, on weekends, and on holidays beginning on E-120 through Election Day for the first election in which the EMS is used and beginning on E-90 through Election Day in each subsequent election.</p>
Performance Target	100%
Formula	$\frac{\text{[Number of meetings attended]}}{\text{[Total number of meetings scheduled]}}$
Measurement Period	Monthly
Reporting Period	Monthly

Help Desk – Service Level Requirements

ID #	Specific Requirement	Performance	Monitoring Method	Deduction in Fees
1	Provide Severity Level 1 Help Desk Services		Contractor Service Level Report depicting achievement of SLA's as specified in Section 2.0 Hosting Service Level Requirements of Technical Proposal Response Template K.2 Hosting (On-Prem or Cloud) Statement of Work.	For Severity Level 1 Deficiencies, Five Thousand (\$5000) per incident.
2	Provide Severity Level 2 Help Desk Services		Contractor Service Level Report depicting achievement of SLA's as specified in Section 2.0 Hosting Service Level Requirements of Technical Proposal Response Template K.2 Hosting (On-Prem or Cloud) Statement of Work.	For Severity Level 2 Deficiencies, One Thousand (\$1000) per incident.
3	Provide Severity Level 3 Help Desk Services		Contractor Service Level Report depicting achievement of SLAs as specified in Section 2.0 Hosting Service Level Requirements of Technical Proposal Response Template K.2 Hosting (On-Prem or Cloud) Statement of Work.	For Severity Level 3 Deficiencies, Five Hundred Dollars (\$500) per incident.
4	Provide Severity Level 4 Help Desk Services		Contractor Service Level Report depicting achievement of SLAs as specified in Section 2.0 Hosting Service Level Requirements of Technical Proposal Response Template K.2 Hosting (On-Prem or Cloud) Statement of Work.	For Severity Level 4 Deficiencies, One Hundred Dollars (\$100) per incident.

Correction of Deficiencies

IDENTIFICATION OF DEFICIENCIES

The Deficiencies under this Agreement may be identified either as a result of Contractor's use of its own support system or discovered by County. Upon discovery of a Deficiency by County, County will report the Deficiency to Contractor's Help Desk for resolution in accordance with this Exhibit.

The Severity Level of the Deficiency shall be assigned mutually by County and Contractor. Based on Contractor's proposed solution and/or workaround(s) for the Deficiency, County and Contractor may reevaluate and, escalate or downgrade the Severity Level of the Deficiency pursuant to Section (Severity Level Adjustment) below. If a mutually agreed upon resolution cannot be reached, County will exercise Dispute Resolution Procedure as specified in the Base Agreement.

For purposes of this Agreement, the term Deficiency does not include any failure or delay in performance caused by reasons beyond Contractor's reasonable control, including, but not limited to, acts of God, third-party mechanical or other equipment breakdowns, fire, explosions, fiber optic cable cuts, interruption or failure of telecommunication or digital transmission links, Internet failures or delays, storms, actions of County or its personnel or agents or other similar events.

RESOLUTION OF DEFICIENCIES

PROBLEM CORRECTION PRIORITIES

County and Contractor shall mutually assign one of the Severity Levels specified below to each incident of Deficiencies reported by County to Contractor's Help Desk and/or entered in Contractor's incident tracking system. Following report of a Deficiency from County, Contractor shall respond back to County within the prescribed "Response Time" specified below, while each such Deficiency shall be resolved within the specified "Resolution Time". If a mutually agreed upon resolution cannot be reached, County will exercise Dispute Resolution Procedure as specified in the Base Agreement.

PROBLEM RESOLUTION PROCESS

For any Deficiency reported by County or discovered by Contractor, Contractor shall commence corrective action. Contractor shall correct all Deficiencies within the Resolution Times specified above. Contractor shall also immediately commence to develop a workaround or a fix for any Deficiency of Severity Level 1.

Contractor shall provide the best level of effort to correct all Deficiencies, and in particular Deficiencies of Severity Levels 2 through 3 based upon mutually agreed priorities. If multiple Severity Level 2 items and/or Severity Level 3 items exist simultaneously, the Contractor will work the County prioritized items in priority order and original items will be reprioritized and qualification for deficiency credits will be reset.

In the event that Contractor fails to correct a Deficiency within the prescribed Resolution Time Contractor shall provide County with a written or electronic report that includes a detailed explanation of the status of such Deficiency, preliminary actions taken, detailed mitigation plans and an estimated time for completing the correction of such Deficiency. This process will be repeated until the Deficiency is resolved and approved by County's Project Manager. The parties will jointly cooperate during this period of time.

SEVERITY LEVEL ADJUSTMENT

County and Contractor may mutually agree to escalate or downgrade a Severity Level of a Deficiency if the Deficiency meets the definition of the Severity Level as escalated or downgraded. A Deficiency may also be mutually escalated by County and Contractor, if the Deficiency persists or re-occurs, as determined by County's Project Manager. At the time the Deficiency is escalated or downgraded, an appropriate timeline will be applied for resolution of such Deficiency in accordance with Section (Problem Resolution Process) above. If a mutually agreed upon resolution cannot be reached, County will exercise Dispute Resolution Procedure as specified in the Base Agreement.

ASSESSMENT OF DEFICIENCY CREDITS

If Contractor fails to correct any Severity Level 1, Severity Level 2, Severity Level 3 or Severity Level 4 Deficiency within the timeframes set forth in this Exhibit, then in each instance, County may, in its sole discretion, as a non-exclusive remedy assess Deficiency Credits in amounts, for each occurrence or portion thereof, during which any Deficiency continues beyond the Resolution Time prescribed for the applicable Severity Level of such Deficiency, as set forth below:

For Severity Level 1 Deficiencies, For Severity Level 1 Deficiencies, Five Thousand (\$5000) per incident.

For Severity Level 2 Deficiencies, For Severity Level 2 Deficiencies, One Thousand (\$1000) per incident during Critical Election Periods.

For Severity Level 3 Deficiencies, For Severity Level 3 Deficiencies, Five Hundred Dollars (\$500) per incident.

For Severity Level 4 Deficiencies, For Severity Level 4 Deficiencies, One Hundred Dollars (\$100) per incident.

The amount of time elapsed for the calculation of Deficiency Credits will be determined by the timestamp or other evidence issued by the Help Desk at such time as a service request is sent by County to Contractor.

1. If during any calendar month three (3) or more Severity Level 1 Deficiencies occur, then, in each instance, County may, in its sole discretion, assess Deficiency Credits in an amount equal to Ten Thousand Dollars (\$10,000).
2. Notwithstanding anything to the contrary set forth in this Exhibit, (i) any Deficiency Credits accruing to County as a result of a Downtime or Deficiency shall be based upon its escalated or downgraded Severity Level, if applicable, assigned to such Deficiency in accordance with Section 0(Severely Level Adjustment) of this Exhibit; and (ii) the maximum amount of Deficiency Credits for any month of the term of the Agreement is Twenty-Five Thousand Dollars (\$25,000).

Contractor shall be liable to County for Deficiency Credits in the amounts as specified above. Deficiency Credits, in any amounts, are not and shall not be construed as penalties and, when assessed, will be deducted from County's payment due to Contractor.



EXHIBIT B

PRICING SCHEDULE

Department of Registrar-Recorder/County Clerk
Election Management System Implementation and Services
Contract: #22-002

Total Contract Summary

Table 1. One-Time Costs

Category	Cost
Software	\$1,484,181.60
Hardware	\$1,089,279.40
Implementation Deliverables	\$12,793,674.75
Hosting Deliverables	\$286,875.00
Maintenance and Support Deliverables	\$86,400.00
One-Time Costs Total:	\$15,740,410.75

Table 2. Ongoing Costs - Initial Term

Category	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Software	\$138,846.68	\$649,065.29	\$656,200.47	\$1,076,192.42	\$1,084,058.95	\$1,092,318.82
Hardware	\$0.00	\$191,543.27	\$198,232.13	\$205,168.78	\$212,363.01	\$219,825.04
Hosting Deliverables	\$0.00	\$182,898.78	\$182,898.78	\$182,898.78	\$182,898.78	\$182,898.78
Maintenance and Support Deliverables	\$0.00	\$0.00	\$0.00	\$644,776.06	\$644,776.06	\$667,927.80
Ongoing Costs Total:	\$138,846.68	\$1,023,507.34	\$1,037,331.38	\$2,109,036.04	\$2,124,096.80	\$2,162,970.44

Table 3. Ongoing Costs - Optional Extensions

Category	Extension 1 (2 Years)	Extension 2 (2 Years)	Extension 3 (1 Month)	Extension 4 (1 Month)	Extension 5 (1 Month)	Extension 6 (1 Month)	Extension 7 (1 Month)	Extension 8 (1 Month)
Software	\$2,281,068.23	\$2,406,351.75	\$100,264.68	\$100,264.68	\$100,264.68	\$100,264.68	\$100,264.68	\$100,264.68
Hardware	\$464,274.24	\$495,619.93	\$21,637.90	\$21,637.90	\$21,637.90	\$21,637.90	\$21,637.90	\$21,637.90
Hosting Deliverables	\$384,087.43	\$403,291.83	\$16,803.84	\$16,803.84	\$16,803.84	\$16,803.84	\$16,803.84	\$16,803.84
Maintenance and Support Deliverables	\$1,305,411.06	\$1,370,681.66	\$57,111.73	\$57,111.73	\$57,111.73	\$57,111.73	\$57,111.73	\$57,111.73
Ongoing Costs Total:	\$4,434,840.96	\$4,675,945.17	\$195,818.15	\$195,818.15	\$195,818.15	\$195,818.15	\$195,818.15	\$195,818.15

Table 4. Ongoing Costs - Optional Services

Category	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6
Onsite VBM/ASR Operations Management Support	\$110,000.00	\$113,300.00	\$116,699.00	\$120,200.30	\$123,806.10	\$127,519.70
Additional ASR On-Call Machine Maintenance	\$0.00	\$48,450.00	\$50,872.50	\$53,416.13	\$56,086.93	\$58,891.28
Ongoing Costs Total:	\$110,000.00	\$161,750.00	\$167,571.50	\$173,616.43	\$179,893.03	\$186,410.98

Table 5. Ongoing Costs - Optional Service Extensions

Category	Extension 1 (2 Years)	Extension 2 (2 Years)	Extension 3 (1 Month)	Extension 4 (1 Month)	Extension 5 (1 Month)	Extension 6 (1 Month)	Extension 7 (1 Month)	Extension 8 (1 Month)
Additional ASR On-Call Machine Maintenance	\$123,671.68	\$129,855.27	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64
Ongoing Costs Total:	\$123,671.68	\$129,855.27	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64

Table 5. Contract Summary

Category	Cost
One-Time Costs	\$15,740,410.75
Ongoing Costs - Initial Term	\$8,595,788.68
Ongoing Costs - Optional Extensions	\$10,285,695.03
Ongoing Costs - Optional Services	\$979,241.94
Ongoing Costs - Optional Service Extensions	\$285,990.79
Contract Grand Total:	\$35,887,127.19

Exhibit B - Pricing Schedule - Table B.1 Implementation						
Deliverable #	Deliverable Description	Fixed Price Fee	Less 15% ⁽¹⁾ Holdback	Invoice Amount ⁽²⁾	Due Date Phase 1	Due Date Phase 2
I1.1.1	Project Information Library	\$34,020.00	\$5,103.00	\$28,917.00	5/31/2022	Not Applicable
I1.1.2	Project Control Document	\$107,730.00	\$16,159.50	\$91,570.50	6/24/2022	Not Applicable
I1.1.3	Project Kickoff and Summary Report	\$21,060.00	\$3,159.00	\$17,901.00	5/27/2022	Not Applicable
I1.1.4	Project Orientation Materials	\$228,210.75	\$34,231.61	\$193,979.14	5/27/2022	Not Applicable
I1.2	Project Status Reports					
I1.2.1	Increment 1	\$16,537.50	\$2,480.63	\$14,056.87	6/16/2022	Not Applicable
I1.2.2	Increment 2	\$16,537.50	\$2,480.63	\$14,056.87	7/18/2022	Not Applicable
I1.2.3	Increment 3	\$16,537.50	\$2,480.63	\$14,056.87	8/17/2022	Not Applicable
I1.2.4	Increment 4	\$16,537.50	\$2,480.63	\$14,056.87	9/16/2022	Not Applicable
I1.2.5	Increment 5	\$16,537.50	\$2,480.63	\$14,056.87	10/18/2022	Not Applicable
I1.2.6	Increment 6	\$16,537.50	\$2,480.63	\$14,056.87	11/17/2022	Not Applicable
I1.2.7	Increment 7	\$16,537.50	\$2,480.63	\$14,056.87	12/19/2022	Not Applicable
I1.2.8	Increment 8	\$16,537.50	\$2,480.63	\$14,056.87	1/18/2023	Not Applicable
I1.2.9	Increment 9	\$16,537.50	\$2,480.63	\$14,056.87	2/17/2023	Not Applicable
I1.2.10	Increment 10	\$16,537.50	\$2,480.63	\$14,056.87	3/21/2023	Not Applicable
I1.2.11	Increment 11	\$16,537.50	\$2,480.63	\$14,056.87	4/20/2023	Not Applicable
I1.2.12	Increment 12	\$16,537.50	\$2,480.63	\$14,056.87	5/22/2023	Not Applicable
I1.2.13	Increment 13	\$16,537.50	\$2,480.63	\$14,056.87	6/21/2023	Not Applicable
I1.2.14	Increment 14	\$16,537.50	\$2,480.63	\$14,056.87	7/21/2023	Not Applicable
I1.2.15	Increment 15	\$16,537.50	\$2,480.63	\$14,056.87	8/22/2023	Not Applicable
I1.2.16	Increment 16	\$16,537.50	\$2,480.63	\$14,056.87	9/21/2023	Not Applicable
I1.2.17	Increment 17	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	10/23/2023
I1.2.18	Increment 18	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	11/22/2023
I1.2.19	Increment 19	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	12/22/2023
I1.2.20	Increment 20	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	1/23/2024
I1.2.21	Increment 21	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	2/22/2024
I1.2.22	Increment 22	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	3/25/2024
I1.2.23	Increment 23	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	4/24/2024
I1.2.24	Increment 24	\$16,537.50	\$2,480.63	\$14,056.87	Not Applicable	5/24/2024
I1.3	Project Closeout Checklist	\$60,750.00	\$9,112.50	\$51,637.50	6/23/2022	Not Applicable
I2.1.1	Change Readiness Assessment	\$60,750.00	\$9,112.50	\$51,637.50	7/1/2022	Not Applicable
I2.1.2	Organizational Change Management and Communications Strategy	\$40,500.00	\$6,075.00	\$34,425.00	8/12/2022	Not Applicable
I2.1.3	Organizational Change Management and Communications Plan	\$26,325.00	\$3,948.75	\$22,376.25	8/12/2022	Not Applicable
I2.2.1	Communication Materials	\$81,000.00	\$12,150.00	\$68,850.00	6/24/2022	Not Applicable
I2.2.2	Communications Engagement Report	\$27,000.00	\$4,050.00	\$22,950.00	7/1/2022	Not Applicable
I3.1	Final Use Cases	\$164,700.00	\$24,705.00	\$139,995.00	1/5/2023	6/5/2023
I3.2.1	Final Functional Requirements Traceability Matrix	\$59,400.00	\$8,910.00	\$50,490.00	9/6/2022	Not Applicable
I3.2.2	Final Non-Functional Requirements Traceability Matrices	\$21,600.00	\$3,240.00	\$18,360.00	9/20/2022	Not Applicable
I3.3.1	Epics	\$59,400.00	\$8,910.00	\$50,490.00	1/5/2023	6/5/2023
I3.3.2	User Stories	\$149,850.00	\$22,477.50	\$127,372.50	1/5/2023	6/5/2023
I4.1	Solution Architecture	\$37,192.50	\$5,578.88	\$31,613.62	8/18/2022	Not Applicable
I4.2	Security Plan	\$135,742.50	\$20,361.38	\$115,381.12	7/1/2022	Not Applicable
I5.1	System Development and Configuration Plan	\$54,742.50	\$8,211.38	\$46,531.12	7/1/2022	Not Applicable
I5.2.1	Sprint Backlog	\$338,175.00	\$50,726.25	\$287,448.75	1/5/2023	6/5/2023

Exhibit B - Pricing Schedule - Table B.1 Implementation						
Deliverable #	Deliverable Description	Fixed Price Fee	Less 15% ⁽¹⁾ Holdback	Invoice Amount ⁽²⁾	Due Date Phase 1	Due Date Phase 2
I5.2.2.1	Increment 1	\$172,546.88	\$25,882.03	\$146,664.85	6/16/2022	Not Applicable
I5.2.2.2	Increment 2	\$172,546.88	\$25,882.03	\$146,664.85	7/18/2022	Not Applicable
I5.2.2.3	Increment 3	\$172,546.88	\$25,882.03	\$146,664.85	8/17/2022	Not Applicable
I5.2.2.4	Increment 4	\$172,546.88	\$25,882.03	\$146,664.85	9/16/2022	Not Applicable
I5.2.2.5	Increment 5	\$172,546.88	\$25,882.03	\$146,664.85	10/18/2022	Not Applicable
I5.2.2.6	Increment 6	\$172,546.88	\$25,882.03	\$146,664.85	11/17/2022	Not Applicable
I5.2.2.7	Increment 7	\$172,546.88	\$25,882.03	\$146,664.85	12/19/2022	Not Applicable
I5.2.2.8	Increment 8	\$172,546.88	\$25,882.03	\$146,664.85	1/18/2023	Not Applicable
I5.2.2.9	Increment 9	\$172,546.88	\$25,882.03	\$146,664.85	2/17/2023	Not Applicable
I5.2.2.10	Increment 10	\$172,546.88	\$25,882.03	\$146,664.85	3/21/2023	Not Applicable
I5.2.2.11	Increment 11	\$172,546.88	\$25,882.03	\$146,664.85	4/20/2023	Not Applicable
I5.2.2.12	Increment 12	\$172,546.88	\$25,882.03	\$146,664.85	5/22/2023	Not Applicable
I5.2.2.13	Increment 13	\$172,546.88	\$25,882.03	\$146,664.85	6/21/2023	Not Applicable
I5.2.2.14	Increment 14	\$172,546.88	\$25,882.03	\$146,664.85	7/21/2023	Not Applicable
I5.2.2.15	Increment 15	\$172,546.88	\$25,882.03	\$146,664.85	8/22/2023	Not Applicable
I5.2.2.16	Increment 16	\$172,546.88	\$25,882.03	\$146,664.85	9/21/2023	Not Applicable
I5.2.2.17	Increment 17	\$172,546.88	\$25,882.03	\$146,664.85	Not Applicable	10/23/2023
I5.2.2.18	Increment 18	\$172,546.88	\$25,882.03	\$146,664.85	Not Applicable	11/22/2023
I5.2.2.19	Increment 19	\$172,546.88	\$25,882.03	\$146,664.85	Not Applicable	12/22/2023
I5.2.2.120	Increment 20	\$172,546.88	\$25,882.03	\$146,664.85	Not Applicable	1/23/2024
I5.2.2.21	Increment 21	\$172,546.88	\$25,882.03	\$146,664.85	Not Applicable	2/22/2024
I5.2.2.22	Increment 22	\$172,546.88	\$25,882.03	\$146,664.85	Not Applicable	3/25/2024
I5.2.2.23	Increment 23	\$172,546.88	\$25,882.03	\$146,664.85	Not Applicable	4/24/2024
I5.2.2.24	Increment 24	\$172,546.91	\$25,882.04	\$146,664.87	Not Applicable	5/24/2024
I6.1	VoteCal Certification Plan	\$25,650.00	\$3,847.50	\$21,802.50	7/1/2022	Not Applicable
I6.2	VoteCal Certification	\$21,600.00	\$3,240.00	\$18,360.00	11/4/2023	Not Applicable
I6.3.1	Interface Specifications	\$73,406.25	\$11,010.94	\$62,395.31	1/05/2023	6/5/2023
I6.3.2	Interface Validation Report	\$592,194.38	\$88,829.16	\$503,365.22	11/4/2023	5/20/2024
I7.1.1	Data Migration Plan	\$62,842.50	\$9,426.38	\$53,416.12	7/1/2022	Not Applicable
I7.2.1	Mock Data Migration Report	\$449,550.00	\$67,432.50	\$382,117.50	11/14/2022	Not Applicable
I7.2.2	Data Migration Report	\$205,706.25	\$30,855.94	\$174,850.31	1/24/2023	Not Applicable
I8.1.1	Test Plan	\$79,650.00	\$11,947.50	\$67,702.50	7/1/2022	Not Applicable
I8.1.2.1	Test Scripts	\$296,690.18	\$44,503.53	\$252,186.65	11/4/2023	5/20/2024
I8.1.2.2	Test Scenarios	\$297,463.73	\$44,619.56	\$252,844.17	11/4/2023	5/20/2024
I8.1.2.3	Test Data	\$134,156.25	\$20,123.44	\$114,032.81	11/4/2023	5/20/2024
I8.1.3	Detailed Testing Environments Documentation	\$99,049.50	\$14,857.43	\$84,192.07	9/23/2022	Not Applicable
I8.2.1.1	Unit Testing Results Report	\$364,500.00	\$54,675.00	\$309,825.00	11/4/2023	5/20/2024
I8.2.1.2	System Testing Results Report	\$607,500.00	\$91,125.00	\$516,375.00	11/4/2023	5/20/2024
I8.2.1.3	Integration Testing Results Report	\$157,950.00	\$23,692.50	\$134,257.50	11/4/2023	5/20/2024
I8.2.1.4	End-to-End Testing Results Report	\$21,718.13	\$3,257.72	\$18,460.41	11/4/2023	5/20/2024
I8.2.1.5	Negative Testing Results Report	\$131,625.00	\$19,743.75	\$111,881.25	11/4/2023	5/20/2024
I8.2.1.6	Usability Testing Results Report	\$105,300.00	\$15,795.00	\$89,505.00	11/4/2023	5/20/2024
I8.2.1.7	Performance (Load/Stress) Testing Results Report	\$348,300.00	\$52,245.00	\$296,055.00	11/4/2023	5/20/2024
I8.2.1.8	Regression Testing Results Report	\$64,800.00	\$9,720.00	\$55,080.00	11/4/2023	5/20/2024

Exhibit B - Pricing Schedule - Table B.1 Implementation						
Deliverable #	Deliverable Description	Fixed Price Fee	Less 15% ⁽¹⁾ Holdback	Invoice Amount ⁽²⁾	Due Date Phase 1	Due Date Phase 2
I8.2.1.9	Recovery Testing Results Report	\$148,500.00	\$22,275.00	\$126,225.00	11/4/2023	5/20/2024
I8.2.1.10	Security Testing Results Report	\$269,325.00	\$40,398.75	\$228,926.25	11/4/2023	5/20/2024
I8.2.1.11	Smoke Testing Results Report	\$16,200.00	\$2,430.00	\$13,770.00	11/4/2023	5/20/2024
I8.2.2	User Acceptance Testing Results Report	\$249,075.00	\$37,361.25	\$211,713.75	11/4/2023	5/20/2024
I9.1	List of Required Reports	\$47,452.50	\$7,117.88	\$40,334.62	8/1/2022	Not Applicable
I9.2	Reports Specifications	\$318,937.50	\$47,840.63	\$271,096.87	1/05/2023	6/5/2023
I9.3	Reports	\$229,500.00	\$34,425.00	\$195,075.00	11/4/2023	5/20/2024
I9.4	Self-Service Reporting Capability	\$64,125.00	\$9,618.75	\$54,506.25	11/4/2023	5/20/2024
I9.5	Dashboards	\$96,187.50	\$14,428.13	\$81,759.37	11/4/2023	5/20/2024
I10.1.1	Training and Knowledge Transfer Strategy	\$33,750.00	\$5,062.50	\$28,687.50	3/13/2023	Not Applicable
I10.1.2	Training and Knowledge Transfer Plan	\$26,325.00	\$3,948.75	\$22,376.25	7/1/2022	Not Applicable
I10.2.1	Training and Knowledge Transfer Materials	\$87,750.00	\$13,162.50	\$74,587.50	3/13/2023	3/25/2024
I10.2.2	Report of Training Metrics	\$27,000.00	\$4,050.00	\$22,950.00	10/30/2023	4/15/2024
I10.2.3	Knowledge Transfer Report	\$27,000.00	\$4,050.00	\$22,950.00	10/30/2023	4/15/2024
I10.2.4	User Guide and Help Documentation	\$327,267.00	\$49,090.05	\$278,176.95	10/30/2023	4/18//2024
I10.2.5	Level 1 Help Desk Scripts	\$81,000.00	\$12,150.00	\$68,850.00	3/13/2023	3/25/2024
I11.1.1	Deployment Plan	\$49,950.00	\$7,492.50	\$42,457.50	7/1/2022	Not Applicable
I11.1.2	Production Readiness Report	\$38,745.00	\$5,811.75	\$32,933.25	11/4/2023	5/20/2024
I11.2	Disaster Recovery Plan	\$49,950.00	\$7,492.50	\$42,457.50	7/1/2022	Not Applicable
I11.3.1	Deployment Report	\$71,820.00	\$10,773.00	\$61,047.00	11/4/2023	5/20/2024
I11.3.2	Final Acceptance Report	\$147,989.70	\$22,198.46	\$125,791.24	Not Applicable	5/20/2024
Total Implementation Fees:		\$12,793,674.75	\$1,919,051.35	\$10,874,623.40		
Footnotes: (1) & (2) Deliverables with Phase 1 and Phase 2 Due Dates will be Invoiced at 50% of stated Invoice Amount by Phase and Holdback withheld at 50% of stated Holdback amount.						

Exhibit B - Pricing Schedule - Table B.3 Software (One-Time Costs)					
Software	Version	Fixed Price Fee	Less 15% Withhold	Invoice Amount	Due Date
ViBE EMS Core	1.1	\$1,095,881.60	Not Applicable	\$1,095,881.60	11/4/2023
ViBE - VoteCal Integration Services Software	1	\$385,000.00	Not Applicable	\$385,000.00	11/4/2023
Modern Requirements4DevOps		\$3,300.00	Not Applicable	\$3,300.00	9/26/2022
Total Software One-Time Fees:		\$1,484,181.60	Not Applicable	\$1,484,181.60	

Exhibit B - Pricing Schedule - Table B.4 Software Maintenance (Annual Payments)							
Software	Fixed Fee Price Year 1	Fixed Fee Price Year 2	Fixed Fee Price Year 3	Fixed Fee Price Year 4	Fixed Fee Price Year 5	Fixed Fee Price Year 6	Total Hosting Costs
Annual Maintenance	\$0.00	\$0.00	\$0.00	\$144,375.00	\$144,375.00	\$144,375.00	\$433,125.00
Version Upgrades	\$0.00	\$0.00	\$0.00	\$185,625.00	\$185,625.00	\$185,625.00	\$556,875.00
Patch Upgrades	\$0.00	\$0.00	\$0.00	\$82,500.00	\$82,500.00	\$82,500.00	\$247,500.00
Production Application Instance on Azure	\$0.00	\$81,509.42	\$81,509.42	\$81,509.42	\$81,509.42	\$81,509.42	\$407,547.10
Disaster Recovery Application Instance on Azure	\$0.00	\$61,132.06	\$61,132.06	\$61,132.06	\$61,132.06	\$61,132.06	\$305,660.30
UAT Application Instance on Azure	\$0.00	\$57,056.59	\$57,056.59	\$57,056.59	\$57,056.59	\$57,056.59	\$285,282.95
Test Application Instance on Azure	\$52,981.12	\$52,981.12	\$52,981.12	\$52,981.12	\$52,981.12	\$52,981.12	\$317,886.72
Production Business Intelligence Instance on Azure	\$0.00	\$84,146.48	\$84,146.48	\$84,146.48	\$84,146.48	\$84,146.48	\$420,732.40
UAT Business Intelligence Instance on Azure	\$0.00	\$22,070.40	\$22,070.40	\$22,070.40	\$22,070.40	\$22,070.40	\$110,352.00
Test Business Intelligence Instance on Azure	\$13,943.16	\$13,943.16	\$13,943.16	\$13,943.16	\$13,943.16	\$13,943.16	\$83,658.96
Esri User Licenses	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Tableau User Licenses	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Talend Data Fabric	\$40,700.00	\$40,700.00	\$40,700.00	\$40,700.00	\$40,700.00	\$40,700.00	\$244,200.00
Dynamic Web Twain	\$8,247.80	\$8,247.80	\$8,247.80	\$8,247.80	\$8,247.80	\$8,247.80	\$49,486.80
SyncFusion (DoCLO - Mail Merge, Pdf Generator)	\$9,398.40	\$9,398.40	\$9,398.40	\$9,398.40	\$9,398.40	\$9,398.40	\$56,390.40
Kendo UI Developer Tools	\$5,494.50	\$5,494.50	\$5,494.50	\$5,494.50	\$5,494.50	\$5,494.50	\$32,967.00
Build Release Agents	\$528.00	\$528.00	\$528.00	\$528.00	\$528.00	\$528.00	\$3,168.00
Azure Test Plan	\$2,059.20	\$2,059.20	\$2,059.20	\$2,059.20	\$2,059.20	\$2,059.20	\$12,355.20
Azure DevOps	\$5,494.50	\$5,494.50	\$5,494.50	\$5,494.50	\$5,494.50	\$5,494.50	\$32,967.00
Modern Requirements4DevOps	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
UiPath	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Automated Signature Verification Software (4.5MM/year)	\$0.00	\$142,703.66	\$149,838.84	\$157,330.79	\$165,197.32	\$173,457.19	\$788,527.80
Postal Tracking (from mail vendor) (20MM/year)	\$0.00	\$26,600.00	\$26,600.00	\$26,600.00	\$26,600.00	\$26,600.00	\$133,000.00
Postal Tracking (for pieces mailed in house)	\$0.00	\$35,000.00	\$35,000.00	\$35,000.00	\$35,000.00	\$35,000.00	\$175,000.00
Total Software Maintenance Annual Fees:	\$138,846.68	\$649,065.29	\$656,200.47	\$1,076,192.42	\$1,084,058.95	\$1,092,318.82	\$4,696,682.63

Exhibit B - Pricing Schedule - Table B.5 Software Maintenance Optional Extensions									
Software	Software Maintenance Optional Extension 1 (2 years)	Software Maintenance Optional Extension 2 (2 years)	Software Maintenance Optional Extension 3 (1 Month)	Software Maintenance Optional Extension 4 (1 Month)	Software Maintenance Optional Extension 5 (1 Month)	Software Maintenance Optional Extension 6 (1 Month)	Software Maintenance Optional Extension 7 (1 Month)	Software Maintenance Optional Extension 8 (1 Month)	Total Software Maintenance Optional Extensions
Annual Maintenance	\$303,187.50	\$318,346.88	\$13,264.45	\$13,264.45	\$13,264.45	\$13,264.45	\$13,264.45	\$13,264.45	\$701,121.08
Version Upgrades	\$389,812.50	\$409,303.13	\$17,054.30	\$17,054.30	\$17,054.30	\$17,054.30	\$17,054.30	\$17,054.30	\$901,441.43
Patch Upgrades	\$173,250.00	\$181,912.50	\$7,579.69	\$7,579.69	\$7,579.69	\$7,579.69	\$7,579.69	\$7,579.69	\$400,640.64
Production Application Instance on Azure	\$171,169.78	\$179,728.26	\$7,488.68	\$7,488.68	\$7,488.68	\$7,488.68	\$7,488.68	\$7,488.68	\$395,830.12
Disaster Recovery Application Instance on Azure	\$128,377.33	\$134,796.20	\$5,616.51	\$5,616.51	\$5,616.51	\$5,616.51	\$5,616.51	\$5,616.51	\$296,872.59
UAT Application Instance on Azure	\$119,818.84	\$125,809.78	\$5,242.07	\$5,242.07	\$5,242.07	\$5,242.07	\$5,242.07	\$5,242.07	\$277,081.04
Test Application Instance on Azure	\$111,260.35	\$116,823.37	\$4,867.64	\$4,867.64	\$4,867.64	\$4,867.64	\$4,867.64	\$4,867.64	\$257,289.56
UAT Business Intelligence Instance on Azure	\$176,707.61	\$185,542.99	\$7,730.96	\$7,730.96	\$7,730.96	\$7,730.96	\$7,730.96	\$7,730.96	\$408,636.36
Test Business Intelligence Instance on Azure	\$46,347.84	\$48,665.23	\$2,027.72	\$2,027.72	\$2,027.72	\$2,027.72	\$2,027.72	\$2,027.72	\$107,179.39
Kendo UI Developer Tools	\$12,087.90	\$12,087.90	\$503.67	\$503.67	\$503.67	\$503.67	\$503.67	\$503.67	\$27,197.82
Build Release Agents	\$1,161.60	\$1,161.60	\$48.40	\$48.40	\$48.40	\$48.40	\$48.40	\$48.40	\$2,613.60
Azure Test Plan	\$4,530.24	\$4,530.24	\$188.76	\$188.76	\$188.76	\$188.76	\$188.76	\$188.76	\$10,193.04

Exhibit B - Pricing Schedule - Table B.5 Software Maintenance Optional Extensions									
Software	Software Maintenance Optional Extension 1 (2 years)	Software Maintenance Optional Extension 2 (2 years)	Software Maintenance Optional Extension 3 (1 Month)	Software Maintenance Optional Extension 4 (1 Month)	Software Maintenance Optional Extension 5 (1 Month)	Software Maintenance Optional Extension 6 (1 Month)	Software Maintenance Optional Extension 7 (1 Month)	Software Maintenance Optional Extension 8 (1 Month)	Total Software Maintenance Optional Extensions
Azure DevOps	\$12,087.90	\$12,087.90	\$503.67	\$503.67	\$503.67	\$503.67	\$503.67	\$503.67	\$27,197.82
Automated Signature Verification Software (4.5MM/year) (500k/month)	\$381,605.82	\$419,766.40	\$17,490.27	\$17,490.27	\$17,490.27	\$17,490.27	\$17,490.27	\$17,490.27	\$906,313.84
Postal Tracking (from mail vendor) (20MM/year) (1.6/month)	\$54,916.00	\$54,916.00	\$2,288.16	\$2,288.16	\$2,288.16	\$2,288.16	\$2,288.16	\$2,288.16	\$123,560.96
Postal Tracking (for pieces mailed in house)	\$72,220.00	\$72,220.00	\$3,009.17	\$3,009.17	\$3,009.17	\$3,009.17	\$3,009.17	\$3,009.17	\$162,495.02
Tableau User Licenses	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Talend Data Fabric	\$85,470.00	\$89,743.50	\$3,739.31	\$3,739.31	\$3,739.31	\$3,739.31	\$3,739.31	\$3,739.31	\$197,649.36
Dynamic Web Twain	\$17,320.38	\$18,186.40	\$757.77	\$757.77	\$757.77	\$757.77	\$757.77	\$757.77	\$40,053.40
SyncFusion (DoCIO - Mail Merge, Pdf Generator)	\$19,736.64	\$20,723.47	\$863.48	\$863.48	\$863.48	\$863.48	\$863.48	\$863.48	\$45,640.99
UiPath	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Total Software Maintenance Optional Extension Fees:	\$2,281,068.23	\$2,406,351.75	\$100,264.68	\$100,264.68	\$100,264.68	\$100,264.68	\$100,264.68	\$100,264.68	\$5,289,008.06

Exhibit B - Pricing Schedule - Table B.6 Hardware (One-Time Costs)					
Hardware	Quantity	Fixed Price Fee	Less 15% Withhold	Invoice Amount	Due Date
ASR Machine	2	\$1,089,279.40	Not Applicable	\$1,089,279.40	3/15/2023
Total Hardware One-Time Fees:		\$1,089,279.40	Not Applicable	\$1,089,279.40	

Exhibit B - Pricing Schedule - Table B.7 Hardware Maintenance (Annual Payments)							
Hardware	Fixed Fee Price Year 1	Fixed Fee Price Year 2	Fixed Fee Price Year 3	Fixed Fee Price Year 4	Fixed Fee Price Year 5	Fixed Fee Price Year 6	Total Hardware Maintenance Costs
Ongoing ASR Machine SW Maintenance and License	\$0.00	\$31,406.76	\$32,348.96	\$33,319.43	\$34,319.01	\$35,348.59	\$166,742.75
Baseline ASR On-Call Machine Maintenance [M&S SOW 2.3.3 paragraph 5, 1st bullet; Hosting SOW 2.0 Table 6, 1st bullet]	\$0.00	\$113,008.51	\$116,398.77	\$119,890.73	\$123,487.45	\$127,192.07	\$599,977.53
Parts Critical Onsite Spares [M&S SOW 2.3.3; Hosting SOW 2.0 Table 6]	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Parts Break Fix and Maintenance [M&S SOW 2.3.3 paragraph 5, 3rd bullet; Hosting SOW 2.0 Table 6, 3rd bullet]	\$0.00	\$47,128.00	\$49,484.40	\$51,958.62	\$54,556.55	\$57,284.38	\$260,411.95
Total Hardware Maintenance Annual Fees:	\$0.00	\$191,543.27	\$198,232.13	\$205,168.78	\$212,363.01	\$219,825.04	\$1,027,132.23

Exhibit B - Pricing Schedule - Table B.8 Hardware Maintenance Optional Extensions									
Hardware	Hardware Maintenance Optional Extension 1 (2 years)	Hardware Maintenance Optional Extension 2 (2 years)	Hardware Maintenance Optional Extension 3 (1 Month)	Hardware Maintenance Optional Extension 4 (1 Month)	Hardware Maintenance Optional Extension 5 (1 Month)	Hardware Maintenance Optional Extension 6 (1 Month)	Hardware Maintenance Optional Extension 7 (1 Month)	Hardware Maintenance Optional Extension 8 (1 Month)	Total Hardware Maintenance Optional Extensions
Ongoing ASR Machine SW Maintenance and License	\$78,552.42	\$86,407.66	\$3,816.34	\$3,816.34	\$3,816.34	\$3,816.34	\$3,816.34	\$3,816.34	\$187,858.12
Baseline ASR On-Call Machine Maintenance [M&S SOW 2.3.3 paragraph 5, 1st bullet; Hosting SOW 2.0 Table 6, 1st bullet]	\$265,945.91	\$282,142.01	\$12,287.54	\$12,287.54	\$12,287.54	\$12,287.54	\$12,287.54	\$12,287.54	\$621,813.16
Parts Critical Onsite Spares [M&S SOW 2.3.3; Hosting SOW 2.0 Table 6]	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Parts Break Fix and Maintenance [M&S SOW 2.3.3 paragraph 5, 3rd bullet; Hosting SOW 2.0 Table 6, 3rd bullet]	\$119,775.91	\$127,070.26	\$5,534.02	\$5,534.02	\$5,534.02	\$5,534.02	\$5,534.02	\$5,534.02	\$280,050.29
Total Hardware Maintenance Optional Extension Fees:	\$464,274.24	\$495,619.93	\$21,637.90	\$21,637.90	\$21,637.90	\$21,637.90	\$21,637.90	\$21,637.90	\$1,089,721.57

Exhibit B - Pricing Schedule - Table B.9 Hosting (One-Time Costs)					
Deliverable #	Deliverable Description	Fixed Price Fee	Less 15% Withhold	Invoice Amount	Due Date
H1.1.1	Hosting Services Kickoff and Summary Report	\$94,500.00	Not Applicable	\$94,500.00	12/16/2022
H1.1.2	Connectivity Architecture	\$19,237.50	Not Applicable	\$19,237.50	12/16/2022
H1.1.3	Hosting Services Delivery Document	\$19,237.50	Not Applicable	\$19,237.50	12/16/2022
H1.2.1	Hosting Environments Configuration Document	\$76,950.00	Not Applicable	\$76,950.00	2/20/2023
H1.2.2	Configured Hosting Environments	\$76,950.00	Not Applicable	\$76,950.00	2/20/2023
Total Hosting One-Time Fees:		\$286,875.00	Not Applicable	\$286,875.00	

Exhibit B - Pricing Schedule - Table B.10 Hosting ⁽¹⁾								
Deliverable #	Deliverable Description	Fixed Fee Price Year 1	Fixed Fee Price Year 2	Fixed Fee Price Year 3	Fixed Fee Price Year 4	Fixed Fee Price Year 5	Fixed Fee Price Year 6	Total Hosting Costs
H1.3.1	Monthly Hosting Services Reports	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$115,758.70
H1.3.2	Monthly Service Level Reports	\$0.00	\$34,727.62	\$34,727.62	\$34,727.62	\$34,727.62	\$34,727.62	\$173,638.10
H1.3.3	Security Reports	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$115,758.70
H1.3.4	Service Request Reports	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$115,758.70
H1.3.5	Hosting Environment Maintenance Reports	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$23,151.74	\$115,758.70
H1.4.1	Backup and Restore Reports	\$0.00	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$69,455.25
H1.4.2.1	Disaster Recovery Plan	\$0.00	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$69,455.25
H1.4.2.2	Report of Disaster Recovery Plan Test Results	\$0.00	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$69,455.25
H1.4.2.3	Disaster Recovery Reports	\$0.00	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$13,891.05	\$69,455.25
Total Hosting Annual Fees:		\$0.00	\$182,898.78	\$182,898.78	\$182,898.78	\$182,898.78	\$182,898.78	\$914,493.90

Exhibit B - Pricing Schedule - Table B.11 Hosting Optional Extensions ⁽²⁾										
Deliverable #	Deliverable Description	Hosting Optional Extension 1 (2 years)	Hosting Optional Extension 2 (2 years)	Hosting Optional Extension 3 (1 Month)	Hosting Optional Extension 4 (1 Month)	Hosting Optional Extension 5 (1 Month)	Hosting Optional Extension 6 (1 Month)	Hosting Optional Extension 7 (1 Month)	Hosting Optional Extension 8 (1 Month)	Total Hosting Optional Extensions
H1.3.1	Monthly Hosting Services Reports	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
H1.3.2	Monthly Service Level Reports	\$72,927.99	\$76,574.39	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$168,645.98
H1.3.3	Security Reports	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
H1.3.4	Service Request Reports	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
H1.3.5	Hosting Environment Maintenance Reports	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
H1.4.1	Backup and Restore Reports	\$29,171.20	\$30,629.76	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$67,458.40
H1.4.2.1	Disaster Recovery Plan	\$29,171.20	\$30,629.76	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$67,458.40
H1.4.2.2	Report of Disaster Recovery Plan Test Results	\$29,171.20	\$30,629.76	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$67,458.40
H1.4.2.3	Disaster Recovery Reports	\$29,171.20	\$30,629.76	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$1,276.24	\$67,458.40
Total Hosting Optional Extension Fees:		\$384,087.43	\$403,291.83	\$16,803.84	\$16,803.84	\$16,803.84	\$16,803.84	\$16,803.84	\$16,803.84	\$888,202.30
Footnotes: (1) & (2) Fees depicted in these Tables represent Annual Fees. As applicable, Monthly Deliverables may be Invoiced as incurred vs. submitting one Annual invoice at the end of the year or 12-month period.										

Exhibit B - Pricing Schedule - Table B.12 M&S (One-Time Costs)					
Deliverable #	Deliverable Description	Fixed Price Fee	Less 15% Withhold	Invoice Amount	Due Date
MS2.1.1	M&S Services Kickoff and Summary Report	\$21,600.00	Not Applicable	\$21,600.00	5/10/2025
MS2.2.1	Maintenance and Support Plan	\$21,600.00	Not Applicable	\$21,600.00	5/10/2025
MS2.2.2	[Contractor] Notification Process for Security Issues and Incidents	\$21,600.00	Not Applicable	\$21,600.00	5/10/2025
MS2.2.3	[Contractor] Notification Process for Issues and Events Impacting Operations	\$21,600.00	Not Applicable	\$21,600.00	5/10/2025
Total M&S One-Time Fees:		\$86,400.00	Not Applicable	\$86,400.00	

Exhibit B - Pricing Schedule - Table B.13 M&S ⁽¹⁾								
Deliverable #	Deliverable Description	Fixed Fee Price Year 1	Fixed Fee Price Year 2	Fixed Fee Price Year 3	Fixed Fee Price Year 4	Fixed Fee Price Year 5	Fixed Fee Price Year 6	Total M&S Costs
MS2.3.1	Monthly Application Monitoring and Management Report	\$0.00	\$0.00	\$0.00	\$34,727.62	\$34,727.62	\$34,727.62	\$104,182.86
MS2.3.2	Monthly Application Support Report	\$0.00	\$0.00	\$0.00	\$185,213.95	\$185,213.95	\$185,213.95	\$555,641.85
MS2.3.3	Monthly Operations Management Report	\$0.00	\$0.00	\$0.00	\$11,575.87	\$11,575.87	\$11,575.87	\$34,727.61
MS2.3.4	Monthly Maintenance Checks Report	\$0.00	\$0.00	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$69,455.22
MS2.3.5	Monthly Incident/Problem Management Report	\$0.00	\$0.00	\$0.00	\$46,303.49	\$46,303.49	\$46,303.49	\$138,910.47
MS2.3.6.1	Release and Upgrade Plan	\$0.00	\$0.00	\$0.00	\$39,357.96	\$39,357.96	\$39,357.96	\$118,073.88
MS2.3.6.2	Testing Results Report	\$0.00	\$0.00	\$0.00	\$20,836.57	\$20,836.57	\$20,836.57	\$62,509.71
MS2.3.6.3	Updated Training and Knowledge Transfer Materials	\$0.00	\$0.00	\$0.00	\$46,303.49	\$46,303.49	\$46,303.49	\$138,910.47
MS2.3.6.4	Updated User Guide and Help Documentation	\$0.00	\$0.00	\$0.00	\$46,303.49	\$46,303.49	\$46,303.49	\$138,910.47
MS2.3.7	Monthly Configuration and Technology Change Report	\$0.00	\$0.00	\$0.00	\$11,575.87	\$11,575.87	\$11,575.87	\$34,727.61
MS2.3.8	Monthly Configuration Management Report	\$0.00	\$0.00	\$0.00	\$11,575.87	\$11,575.87	\$11,575.87	\$34,727.61
MS2.3.9	Monthly Interface Report	\$0.00	\$0.00	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$69,455.22
MS2.3.10	Report of Training Metrics	\$0.00	\$0.00	\$0.00	\$34,727.62	\$34,727.62	\$34,727.62	\$104,182.86
MS2.3.11.1	Report Specifications	\$0.00	\$0.00	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$69,455.22
MS2.3.11.2	Reports	\$0.00	\$0.00	\$0.00	\$23,151.74	\$23,151.74	\$23,151.74	\$69,455.22
MS2.3.11.3	Self-Service Reporting Capability	\$0.00	\$0.00	\$0.00	\$17,363.81	\$17,363.81	\$17,363.81	\$52,091.43
MS2.3.11.4	Dashboards	\$0.00	\$0.00	\$0.00	\$28,939.68	\$28,939.68	\$28,939.68	\$86,819.04
MS2.3.12	Monthly Security and Authorization Management Report	\$0.00	\$0.00	\$0.00	\$17,363.81	\$17,363.81	\$17,363.81	\$52,091.43
MS2.4	Product Roadmap Presentation	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
MS2.5	Transition Plan	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$23,151.74	\$23,151.74
Total M&S Annual Fees:		\$0.00	\$0.00	\$0.00	\$644,776.06	\$644,776.06	\$667,927.80	\$1,957,479.92
Footnotes: (1) Fees depicted in this Table represent Annual Fees. As applicable, Monthly Deliverables may be Invoiced as incurred vs. submitting one Annual invoice at the end of the year or 12-month period.								

Exhibit B - Pricing Schedule - Table B.14 M&S Optional Extensions ⁽²⁾										
Deliverable #	Deliverable Description	M&S Optional Extension 1 (2 years)	M&S Optional Extension 2 (2 years)	M&S Optional Extension 3 (1 Month)	M&S Optional Extension 4 (1 Month)	M&S Optional Extension 5 (1 Month)	M&S Optional Extension 6 (1 Month)	M&S Optional Extension 7 (1 Month)	M&S Optional Extension 8 (1 Month)	Total M&S Optional Extensions
MS2.3.1	Monthly Application Monitoring and Management Report	\$72,927.99	\$76,574.39	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$168,645.98
MS2.3.2	Monthly Application Support Report	\$388,949.30	\$408,396.76	\$17,016.53	\$17,016.53	\$17,016.53	\$17,016.53	\$17,016.53	\$17,016.53	\$899,445.24
MS2.3.3	Monthly Operations Management Report	\$24,309.33	\$25,524.80	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$56,215.31
MS2.3.4	Monthly Maintenance Checks Report	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
MS2.3.5	Monthly Incident/Problem Management Report	\$97,237.32	\$102,099.19	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$224,861.29
MS2.3.6.1	Release and Upgrade Plan	\$82,651.73	\$86,784.31	\$3,616.01	\$3,616.01	\$3,616.01	\$3,616.01	\$3,616.01	\$3,616.01	\$191,132.10
MS2.3.6.2	Testing Results Report	\$43,756.80	\$45,944.64	\$1,914.36	\$1,914.36	\$1,914.36	\$1,914.36	\$1,914.36	\$1,914.36	\$101,187.60
MS2.3.6.3	Updated Training Materials	\$97,237.32	\$102,099.19	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$224,861.29
MS2.3.7	Monthly Configuration and Technology Change Report	\$97,237.32	\$102,099.19	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$4,254.13	\$224,861.29
MS2.3.8	Monthly Configuration Management Report	\$24,309.33	\$25,524.80	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$56,215.31
MS2.3.9	Monthly Interface Report	\$24,309.33	\$25,524.80	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$1,063.53	\$56,215.31

Exhibit B - Pricing Schedule - Table B.14 M&S Optional Extensions ⁽²⁾										
Deliverable #	Deliverable Description	M&S Optional Extension 1 (2 years)	M&S Optional Extension 2 (2 years)	M&S Optional Extension 3 (1 Month)	M&S Optional Extension 4 (1 Month)	M&S Optional Extension 5 (1 Month)	M&S Optional Extension 6 (1 Month)	M&S Optional Extension 7 (1 Month)	M&S Optional Extension 8 (1 Month)	Total M&S Optional Extensions
MS2.3.10.1	Report Specifications	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
MS2.3.10.2	Reports	\$72,927.99	\$76,574.39	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$3,190.60	\$168,645.98
MS2.3.10.3	Self-Service Reporting Capability	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
MS2.3.10.4	Dashboards	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
MS2.3.11	Monthly Security and Authorization Management Report	\$36,464.00	\$38,287.20	\$1,595.30	\$1,595.30	\$1,595.30	\$1,595.30	\$1,595.30	\$1,595.30	\$84,323.00
MS2.4	Product Roadmap Presentation	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
MS2.5	Transition Plan	\$48,618.66	\$51,049.60	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$2,127.07	\$112,430.68
Total M&S Optional Extension Fees:		\$1,305,411.06	\$1,370,681.66	\$57,111.73	\$57,111.73	\$57,111.73	\$57,111.73	\$57,111.73	\$57,111.73	\$3,018,763.10
Footnotes: (2) Fees depicted in the columns containing "(2 Years)" represent 2-year Annual Fees. As applicable, Monthly Deliverables may be Invoiced as incurred vs. submitting Annual invoices at the end of the year or 12-month period.										

Exhibit B - Pricing Schedule - Table B.15 Optional Services ⁽¹⁾							
Service	Maximum Fee Year 1	Maximum Fee Year 2	Maximum Fee Year 3	Maximum Fee Year 4	Maximum Fee Year 5	Maximum Fee Year 6	Total Optional Costs
Onsite VBM/ASR Operations Management Support [M&S SOW 2.3.3; Hosting SOW 2.0 Table 6] ⁽²⁾	\$110,000.00	\$113,300.00	\$116,699.00	\$120,200.30	\$123,806.10	\$127,519.70	\$711,525.10
Additional ASR On-Call Machine Maintenance [M&S SOW 2.3.3 paragraph 5, 2nd bullet; Hosting SOW 2.0 Table 6, 2nd bullet] ⁽³⁾	\$0.00	\$48,450.00	\$50,872.50	\$53,416.13	\$56,086.93	\$58,891.28	\$267,716.84
Total Optional Service Fees:	\$110,000.00	\$161,750.00	\$167,571.50	\$173,616.43	\$179,893.03	\$186,410.98	\$979,241.94
<i>Footnotes: (1) Fees depicted in this Table represent Annual Maximum Fees for Optional Services to be used at the discretion of the County. (2) As applicable, Onsite Operations Management Support Days may be Invoiced monthly as incurred vs. submitting one Annual invoice at the end of the year or 12-month period. (3) Additional On-Call Support may be invoiced for the full (or prorated amount as mutually agreed upon) at the initiation of the On-Call Services at the direction of the County.</i>							

Exhibit B - Pricing Schedule - Table B.16 Optional Services Extensions ⁽⁴⁾									
Hardware	Hardware Maintenance Optional Extension 1 (2 years)	Hardware Maintenance Optional Extension 2 (2 years)	Hardware Maintenance Optional Extension 3 (1 Month)	Hardware Maintenance Optional Extension 4 (1 Month)	Hardware Maintenance Optional Extension 5 (1 Month)	Hardware Maintenance Optional Extension 6 (1 Month)	Hardware Maintenance Optional Extension 7 (1 Month)	Hardware Maintenance Optional Extension 8 (1 Month)	Total Hardware Maintenance Optional Extensions
Additional ASR On-Call Machine Maintenance [M&S SOW 2.3.3 paragraph 5, 2nd bullet; Hosting SOW 2.0 Table 6, 2nd bullet] ⁽⁵⁾	\$123,671.68	\$129,855.27	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$285,990.79
Total Optional Service Extension Fees:	\$123,671.68	\$129,855.27	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$5,410.64	\$285,990.79
<i>Footnotes: (4) Fees depicted in this Table represent Maximum Fees for Optional Services to be used at the discretion of the County. (5) Additional On-Call Support may be invoiced for the full (or prorated amount as mutually agreed upon) at the initiation of the On-Call Services at the direction of the County.</i>									

Exhibit B - Pricing Schedule - Table B.2 Holdbacks Table			
Deliverable #	Holdbacks Description	Invoice Amount	Target Date
Holdback Payment #1	1st - 25% of Holdbacks paid in accordance with the terms of Contract Paragraph 5.5.6(a)	\$479,762.84	~May 2024
Holdback Payment #2	2nd - 25% of Holdbacks paid in accordance with the terms of Contract Paragraph 5.5.6(b)	\$479,762.84	~July 2024
Holdback Payment #3	3rd - 25% of Holdbacks paid in accordance with the terms of Contract Paragraph 5.5.6(c)	\$479,762.84	~December 2024
Holdback Payment #4	4th - Remaining Holdbacks paid in accordance with the terms of Contract Paragraph 5.6.7(d)	\$479,762.83	~May 2025
Total Holdback Payments:		\$1,919,051.35	



B.1

RATES FOR OTHER GOODS AND SERVICES

TO

EXHIBIT B

PRICING SCHEDULE

Exhibit B.1 - Pricing Schedule - Table B.1.1 Professional Services Rate Card	
Role Description	Hourly Rate
Off-Site Blended Team Member	\$195.00
On-Site Blended Team Member	\$220.00
Business Analyst	\$132.00
Communications/Network Specialist	\$193.00
Database Administrator	\$193.00
Database Designer	\$193.00
Elections Subject Matter Expert	\$193.00
Engagement Director	\$193.00
Help Desk Specialist	\$116.00
Hardware Specialist	\$193.00
Operations Lead / Manager	\$193.00
Project Manager	\$193.00
Programmer	\$193.00
Quality Assurance Management	\$193.00
Security Systems Engineer	\$232.00
Solution Architect	\$232.00
System Administrator	\$193.00
Technical Writer	\$163.00
Testing Lead	\$193.00
Tester	\$163.00
Training Lead	\$193.00
Training Specialist	\$193.00
VoteCal Certification Lead	\$232.00
GIS/ESRI Engineer	\$258.00
ASR Engineer call out service outside of contracted hours Saturday (4 hour block)	\$1,815.00
ASR Engineer call out service outside of contracted hours Sunday (4 hour block)	\$2,420.00
ASR Engineer call out service outside of contracted hours Holiday (4 hour block)	\$3,630.00
ASR Engineer on site coverage weekday (8 hour block)	\$1,936.00
ASR Engineer on site coverage Saturday (8 hour block)	\$2,396.00
ASR Engineer on site coverage Sunday (8 hour block)	\$3,194.00
ASR Engineer on site coverage Holiday (8 hour block)	\$4,792.00
Automation Engineer	\$193.00

Exhibit B.1 - Pricing Schedule - Table B.1.2 Rates for Other Goods (Per Unit Cost)	
Component or Unit	Per Unit Cost
Automated Signature Recognition (ASR) Machine	\$544,639.70
Ballot Tracking (increments of 5MM mailpieces)	\$9,000.00
Travel per Diem by Onsite First Day	\$1,122.00
Travel per Diem by Onsite First Day	\$405.00
Travel per Diem by Onsite First Day	\$1,122.00
Microsoft Azure DevOps License (per user per month)	\$12.00
Microsoft Azure Test Plans License (per user per month)	\$62.00
UiPath Studio License (Annual)	\$3,000.00
Orchestrator License (Annual)	\$24,000.00
Attended Robot (Annual)	\$1,800.00
Unattended Robot (Annual)	\$8,000.00
Unattended Automation - Cloud (Monthly)	\$1,400.00
Automation Team – Cloud (Monthly)	\$2,000.00
Automation Developer – Cloud (Monthly)	\$500.00
UTurn 4Tier 60Hz	\$49,652.20
LED Monitors	\$3,153.80
Label Printer, MT 5.0	\$3,315.00
3D Measurement	\$5,991.70
4.8" Verifier w/cam, Back	\$27,956.50
Separator Card Option	\$1,068.60
Double Feed Detection	\$24,876.80
Separator Cards, Letters (100pc)	\$624.00
4.8" Verifier, Back	\$23,484.50
1" Verifier, Black Back	\$6,665.10
1" Verifier, Fluor, Back	\$13,643.50
Workstation Monitor	\$845.00
RELIA VOTE 24K BASE SORT	\$39,252.20
2Tier Single-Sided 60Hz	\$77,850.50
2Tier Double-Sided 60Hz	\$78,890.50
RELIA-VOTE MSV CLIENT SOFTWARE	\$4,025.84

Exhibit B.1 - Pricing Schedule - Table B.1.2 Rates for Other Goods (Per Unit Cost)	
Component or Unit	Per Unit Cost
Esri User License - Lite (per user per year)	\$55.00
Esri User License - Basic (per user per year)	\$165.00
Esri User License - Standard (per user per year)	\$220.00
Esri User License - Advanced (per user per year)	\$440.00
Tableau User License - Viewer (per user per year)	\$118.80
Tableau User License - Explorer (per user per year)	\$346.50
Tableau User License - Creator (per user per year)	\$924.00

***** END OF EXHIBIT B.1 - PRICING SCHEDULE *****



EXHIBIT C

CONTRACTOR'S PROPOSED SCHEDULE

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
1		1	Los Angeles County Election Management System Project (Subject to Change)		3002 days	Tue 5/10/22	Wed 11/9/33	
2		1.1	Contracting		0 days	Wed 5/18/22	Wed 5/18/22	
3		1.1.1	Contract Signed		0 days	Wed 5/18/22	Wed 5/18/22	LA Registrar of Voters
4		1.2	Project Planning & Reporting		571 days?	Tue 5/10/22	Tue 7/16/24	
5		1.2.1	Project Control Documents		54 days	Wed 5/18/22	Mon 8/1/22	
6		1.2.1.1	Organization and Staffing		18 days	Wed 5/18/22	Fri 6/10/22	
7		1.2.1.1.1	Identify tasks and responsibilities for PMO and Project Leads	3	2 days	Wed 5/18/22	Thu 5/19/22	CG Engagement Director,CG Project Manager
8		1.2.1.1.2	Develop Chart for Project Organization	7	2 days	Fri 5/20/22	Mon 5/23/22	CG Engagement Director,CG Project Manager
9		1.2.1.1.3	Develop position descriptions for each of the required staff	8	2 days	Tue 5/24/22	Wed 5/25/22	CG Engagement Director,CG Project Manager
10		1.2.1.1.4	Determine number of resources required for each position and timing	9	2 days	Thu 5/26/22	Fri 5/27/22	CG Engagement Director,CG Project Manager
11		1.2.1.1.5	Determine project lead staffing and fill positions	10	2 days	Mon 5/30/22	Tue 5/31/22	CG Engagement Director,CG Project Manager
12		1.2.1.1.6	On Board Identified Project Leads	11	2 days	Wed 6/1/22	Thu 6/2/22	CG Engagement Director,CG Project Manager
13		1.2.1.1.7	Staffing posts openings and files positions	12	2 days	Fri 6/3/22	Mon 6/6/22	CG Engagement Director,CG Project Manager
14		1.2.1.1.8	Review candidates for posted jobs	13	2 days	Tue 6/7/22	Wed 6/8/22	CG Engagement Director,CG Project Manager
15		1.2.1.1.9	Project leads on board work stream consultants	14	2 days	Thu 6/9/22	Fri 6/10/22	CG Engagement Director,CG Project Manager
16		1.2.1.1.10	Staffing Complete	15	0 days	Fri 6/10/22	Fri 6/10/22	CG Engagement Director,CG Project Manager
17		1.2.1.2	Kick off meeting with LA RRCC Officials		7 days	Thu 5/19/22	Fri 5/27/22	
18		1.2.1.2.1	Organize and plan meeting	3F5+1 day	5 days	Thu 5/19/22	Wed 5/25/22	CG Project Manager
19		1.2.1.2.2	Hold pre-meeting with Advance Team	18	1 day	Thu 5/26/22	Thu 5/26/22	CG Conversion Lead,CG Dev Lead,CG Engagem
20		1.2.1.2.3	Hold Kickoff Meeting with Stakeholders	19	1 day	Fri 5/27/22	Fri 5/27/22	RRCC Project Manager,RRCC Elections Steering
21		1.2.1.2.4	Kickoff Meeting Complete	20	0 days	Fri 5/27/22	Fri 5/27/22	CG Project Manager
22	1.1.3	1.2.1.3	Deliverable# 1.1.3: Project Kickoff and Summary Report	21	0 days	Fri 5/27/22	Fri 5/27/22	CG Project Manager
23	1.1.4	1.2.1.4	Deliverable# 1.1.4: Project Orientation Materials Delivered	22	0 days	Fri 5/27/22	Fri 5/27/22	CG Project Manager
24		1.2.1.5	Project Initiation and Management		12 days	Mon 5/30/22	Tue 6/14/22	
25		1.2.1.5.1	Project Information Library	17	2 days	Mon 5/30/22	Tue 5/31/22	CG Project Manager
26		1.2.1.5.2	Project Control Document	25	2 days	Wed 6/1/22	Thu 6/2/22	CG Project Manager
27		1.2.1.5.3	Project Kickoff and Summary Report	26	2 days	Fri 6/3/22	Mon 6/6/22	CG Project Manager
28		1.2.1.5.4	Project Orientation Materials	27	2 days	Tue 6/7/22	Wed 6/8/22	CG Project Manager
29		1.2.1.5.5	Project Status Reports	28	2 days	Thu 6/9/22	Fri 6/10/22	CG Project Manager
30		1.2.1.5.6	Project Closeout Checklist	29	2 days	Mon 6/13/22	Tue 6/14/22	CG Project Manager
31	1.1.1	1.2.1.6	Deliverable# 1.1.1: Project Information Library Delivered	25	0 days	Tue 5/31/22	Tue 5/31/22	CG Project Manager
32		1.2.1.7	Scope of Work Detail Definition		46 days	Mon 5/30/22	Mon 8/1/22	
33		1.2.1.7.1	Resource Loading		2 days	Mon 5/30/22	Tue 5/31/22	
34		1.2.1.7.1.1	Resource Tasks	22	2 days	Mon 5/30/22	Tue 5/31/22	CG Project Manager
35		1.2.1.7.1.2	Resourcing Complete	34	0 days	Tue 5/31/22	Tue 5/31/22	CG Project Manager
36		1.2.1.7.2	Baseline Project		3 days	Wed 6/1/22	Fri 6/3/22	
37		1.2.1.7.2.1	Set Milestones	35	2 days	Wed 6/1/22	Thu 6/2/22	CG Project Manager
38		1.2.1.7.2.2	Critical Path	37	1 day	Fri 6/3/22	Fri 6/3/22	CG Project Manager
39		1.2.1.7.2.3	Baseline Complete	38	0 days	Fri 6/3/22	Fri 6/3/22	CG Project Manager
40		1.2.1.7.3	Develop Project Control Documents		20 days	Mon 5/30/22	Fri 6/24/22	
41		1.2.1.7.3.1	Update Project Schedule		19 days	Mon 5/30/22	Thu 6/23/22	
42		1.2.1.7.3.1.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
43		1.2.1.7.3.1.2	Review Plan with PMO	42	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
44		1.2.1.7.3.1.3	Revise Plan with PMO	43	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
45		1.2.1.7.3.1.4	Review Revised Plan with PMO	44	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
46		1.2.1.7.3.1.5	Approve Project Schedule	45	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
47		1.2.1.7.3.2	Cost Management Plan		19 days	Mon 5/30/22	Thu 6/23/22	
48		1.2.1.7.3.2.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
49		1.2.1.7.3.2.2	Review Plan with PMO	48	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
50		1.2.1.7.3.2.3	Revise Plan with PMO	49	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
51		1.2.1.7.3.2.4	Review Revised Plan with PMO	50	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
52		1.2.1.7.3.2.5	Approve Cost Management Plan	51	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
53		1.2.1.7.3.3	Risk Management Plan		19 days	Mon 5/30/22	Thu 6/23/22	
54		1.2.1.7.3.3.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
55		1.2.1.7.3.3.2	Review Plan with PMO	54	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
56		1.2.1.7.3.3.3	Revise Plan with PMO	55	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
57		1.2.1.7.3.3.4	Review Revised Plan with PMO	56	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
58		1.2.1.7.3.3.5	Approve Risk Management Plan	57	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
59		1.2.1.7.3.4	Procurement Management Plan		19 days	Mon 5/30/22	Thu 6/23/22	
60		1.2.1.7.3.4.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
61		1.2.1.7.3.4.2	Review Plan with PMO	60	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
62		1.2.1.7.3.4.3	Revise Plan with PMO	61	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
63		1.2.1.7.3.4.4	Review Revised Plan with PMO	62	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
64		1.2.1.7.3.4.5	Approve Procurement Management Plan	63	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
65		1.2.1.7.3.5	Scope Management Plan		19 days	Mon 5/30/22	Thu 6/23/22	
66		1.2.1.7.3.5.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
67		1.2.1.7.3.5.2	Review Plan with PMO	66	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
68		1.2.1.7.3.5.3	Revise Plan with PMO	67	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
69		1.2.1.7.3.5.4	Review Revised Plan with PMO	68	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
70		1.2.1.7.3.5.5	Approve Scope Management Plan	69	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
71		1.2.1.7.3.6	Schedule Management Plan		19 days	Mon 5/30/22	Thu 6/23/22	
72		1.2.1.7.3.6.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
73		1.2.1.7.3.6.2	Review Plan with PMO	72	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
74		1.2.1.7.3.6.3	Revise Plan with PMO	73	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
75		1.2.1.7.3.6.4	Review Revised Plan with PMO	74	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
76		1.2.1.7.3.6.5	Approve Schedule Management Plan	75	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
77		1.2.1.7.3.7	Project Change Management Plan		19 days	Mon 5/30/22	Thu 6/23/22	
78		1.2.1.7.3.7.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
79		1.2.1.7.3.7.2	Review Plan with PMO	78	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
80		1.2.1.7.3.7.3	Revise Plan with PMO	79	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
81		1.2.1.7.3.7.4	Review Revised Plan with PMO	80	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
82		1.2.1.7.3.7.5	Approve Project Change Management Plan	81	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
83		1.2.1.7.3.8	Quality Control Plan		19 days	Mon 5/30/22	Thu 6/23/22	
84		1.2.1.7.3.8.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
85		1.2.1.7.3.8.2	Review Plan with PMO	84	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
86		1.2.1.7.3.8.3	Revise Plan with PMO	85	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
87		1.2.1.7.3.8.4	Review Revised Plan with PMO	86	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
88		1.2.1.7.3.8.5	Approve Quality Control Plan	87	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
89		1.2.1.7.3.9	Resource and Staffing Plan		19 days	Mon 5/30/22	Thu 6/23/22	
90		1.2.1.7.3.9.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
91		1.2.1.7.3.9.2	Review Plan with PMO	90	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
92		1.2.1.7.3.9.3	Revise Plan with PMO	91	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
93		1.2.1.7.3.9.4	Review Revised Plan with PMO	92	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
94		1.2.1.7.3.9.5	Approve Resource and Staffing Plan	93	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
95		1.2.1.7.3.10	Project Communication Plan		20 days	Mon 5/30/22	Fri 6/24/22	
96		1.2.1.7.3.10.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	CG Subject Matter Expert
97		1.2.1.7.3.10.2	Review Plan with PMO	96	5 days	Mon 6/13/22	Fri 6/17/22	RRCC Project Manager,RRCC Elections Steering
98		1.2.1.7.3.10.3	Revise Plan with PMO	97	3 days	Mon 6/20/22	Wed 6/22/22	CG Subject Matter Expert
99		1.2.1.7.3.10.4	Review Revised Plan with PMO	98	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
100		1.2.1.7.3.10.5	Approve Project Communication Plan	99	1 day	Fri 6/24/22	Fri 6/24/22	RRCC Project Manager,RRCC Elections Steering
101	2.2.1	1.2.1.7.3.10.6	Deliverable# I2.2.1: Communication Materials Delivered	100	0 days	Fri 6/24/22	Fri 6/24/22	
102		1.2.1.7.3.11	Closure Approach		19 days	Mon 5/30/22	Thu 6/23/22	CG Subject Matter Expert
103		1.2.1.7.3.11.1	Prepare Plan with PMO	22	10 days	Mon 5/30/22	Fri 6/10/22	RRCC Project Manager,RRCC Elections Steering
104		1.2.1.7.3.11.2	Review Plan with PMO	103	5 days	Mon 6/13/22	Fri 6/17/22	CG Subject Matter Expert
105		1.2.1.7.3.11.3	Revise Plan with PMO	104	3 days	Mon 6/20/22	Wed 6/22/22	RRCC Project Manager,RRCC Elections Steering
106		1.2.1.7.3.11.4	Review Revised Plan with PMO	105	1 day	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
107		1.2.1.7.3.11.5	Approve Closure Approach	106	0 days	Thu 6/23/22	Thu 6/23/22	RRCC Project Manager,RRCC Elections Steering
108	1.3	1.2.1.7.3.11.6	Deliverable# I1.3: Project Closeout Checklist Delivered	106	0 days	Thu 6/23/22	Thu 6/23/22	
109	1.1.2	1.2.1.7.3.12	Deliverable# I1.1.2: Project Control Document(s) Delivered	102,95,89,77,71,65,50	0 days	Fri 6/24/22	Fri 6/24/22	
110		1.2.1.7.4	Develop Project Team's Plans		46 days	Mon 5/30/22	Mon 8/1/22	
111		1.2.1.7.4.1	Organization Change Management Plan		25 days	Mon 5/30/22	Fri 7/1/22	
112		1.2.1.7.4.1.1	Prepare Plan with PMO	22	15 days	Mon 5/30/22	Fri 6/17/22	CG Subject Matter Expert
113		1.2.1.7.4.1.2	Review Plan with PMO	112	5 days	Mon 6/20/22	Fri 6/24/22	RRCC Project Manager,RRCC Elections Steering
114		1.2.1.7.4.1.3	Revise Plan with PMO	113	3 days	Mon 6/27/22	Wed 6/29/22	CG Subject Matter Expert
115		1.2.1.7.4.1.4	Review Revised Plan with PMO	114	1 day	Thu 6/30/22	Thu 6/30/22	RRCC Project Manager,RRCC Elections Steering
116		1.2.1.7.4.1.5	Approve Change Readiness Assessment	115	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
117	2.1.1	1.2.1.7.4.1.6	Deliverable# I2.1.1: Change Readiness Assessment Delivered	116	0 days	Fri 7/1/22	Fri 7/1/22	
118		1.2.1.7.4.2	Communication Plan		25 days	Mon 5/30/22	Fri 7/1/22	
119		1.2.1.7.4.2.1	Prepare Plan	22	15 days	Mon 5/30/22	Fri 6/17/22	CG Doc Writer 1
120		1.2.1.7.4.2.2	Review Plan	119	5 days	Mon 6/20/22	Fri 6/24/22	RRCC Project Manager,RRCC Elections Steering
121		1.2.1.7.4.2.3	Revise Plan	120	3 days	Mon 6/27/22	Wed 6/29/22	CG Doc Writer 1
122		1.2.1.7.4.2.4	Review Revised Plan	121	1 day	Thu 6/30/22	Thu 6/30/22	RRCC Project Manager,RRCC Elections Steering
123		1.2.1.7.4.2.5	Approve Communication Plan	122	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
124	2.2.2	1.2.1.7.4.2.6	Deliverable# I2.2.2: Communications Engagement Report	123	0 days	Fri 7/1/22	Fri 7/1/22	
125		1.2.1.7.4.3	Change Request Plan		25 days	Mon 5/30/22	Fri 7/1/22	
126		1.2.1.7.4.3.1	Prepare Plan	22	15 days	Mon 5/30/22	Fri 6/17/22	CG Project Manager
127		1.2.1.7.4.3.2	Review Plan	126	5 days	Mon 6/20/22	Fri 6/24/22	RRCC Project Manager,RRCC Elections Steering
128		1.2.1.7.4.3.3	Revise Plan	127	3 days	Mon 6/27/22	Wed 6/29/22	CG Project Manager

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
129		1.2.1.7.4.3.4	Review Revised Plan	128	1 day	Thu 6/30/22	Thu 6/30/22	RRCC Project Manager,RRCC Elections Steering
130		1.2.1.7.4.3.5	Approve Change Request Plan	129	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
131		1.2.1.7.4.4	Training Plan		25 days	Mon 5/30/22	Fri 7/1/22	
132		1.2.1.7.4.4.1	Prepare Plan	22	16 days	Mon 5/30/22	Mon 6/20/22	CG Training Coordinator
133		1.2.1.7.4.4.2	Review Plan	132	5 days	Tue 6/21/22	Mon 6/27/22	RRCC Project Manager,RRCC Elections Steering
134		1.2.1.7.4.4.3	Revise Plan	133	3 days	Tue 6/28/22	Thu 6/30/22	CG Training Coordinator
135		1.2.1.7.4.4.4	Review Revised Plan	134	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
136	10.1.2	1.2.1.7.4.4.5	Deliverable# I10.1.2: Training and Knowledge Transfer Training Plan	135	0 days	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
137		1.2.1.7.4.5	Security Plan		25 days	Mon 5/30/22	Fri 7/1/22	
138		1.2.1.7.4.5.1	Prepare Plan	22	16 days	Mon 5/30/22	Mon 6/20/22	CG QA Lead
139		1.2.1.7.4.5.2	Review Plan	138	5 days	Tue 6/21/22	Mon 6/27/22	RRCC Project Manager,RRCC Elections Steering
140		1.2.1.7.4.5.3	Revise Plan	139	3 days	Tue 6/28/22	Thu 6/30/22	CG QA Lead
141		1.2.1.7.4.5.4	Review Revised Plan	140	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
142	4.2	1.2.1.7.4.6	Deliverable# I4.2: Security Plan Delivered	141	0 days	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
143		1.2.1.7.4.7	Disaster Recovery and Business Continuity Plan		25 days	Mon 5/30/22	Fri 7/1/22	
144		1.2.1.7.4.7.1	Prepare Plan	22	16 days	Mon 5/30/22	Mon 6/20/22	CG QA Lead
145		1.2.1.7.4.7.2	Review Plan	144	5 days	Tue 6/21/22	Mon 6/27/22	RRCC Project Manager,RRCC Elections Steering
146		1.2.1.7.4.7.3	Revise Plan	145	3 days	Tue 6/28/22	Thu 6/30/22	CG QA Lead
147		1.2.1.7.4.7.4	Review Revised Plan	146	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
148	11.2	1.2.1.7.4.8	Deliverable# I11.2: Disaster Recovery and Business Continuity Plan Delivered	147	0 days	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
149		1.2.1.7.4.9	System Development and Configuration Plan		25 days	Mon 5/30/22	Fri 7/1/22	
150		1.2.1.7.4.9.1	Prepare Plan	22	16 days	Mon 5/30/22	Mon 6/20/22	CG QA Lead
151		1.2.1.7.4.9.2	Review Plan	150	5 days	Tue 6/21/22	Mon 6/27/22	RRCC Project Manager,RRCC Elections Steering
152		1.2.1.7.4.9.3	Revise Plan	151	3 days	Tue 6/28/22	Thu 6/30/22	CG QA Lead
153		1.2.1.7.4.9.4	Review Revised Plan	152	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
154	5.1	1.2.1.7.4.9.5	Deliverable# I5.1: Approve System Development and Configuration Plan	153	0 days	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
155		1.2.1.7.4.10	VoteCal Certification Plan		25 days	Mon 5/30/22	Fri 7/1/22	
156		1.2.1.7.4.10.1	Prepare Plan	22	16 days	Mon 5/30/22	Mon 6/20/22	CG QA Lead
157		1.2.1.7.4.10.1.1	Create VoteCal project plan		16 days	Mon 5/30/22	Mon 6/20/22	
158		1.2.1.7.4.10.2	Review Plan	157	5 days	Tue 6/21/22	Mon 6/27/22	RRCC Project Manager,RRCC Elections Steering
159		1.2.1.7.4.10.3	Revise Plan	158	3 days	Tue 6/28/22	Thu 6/30/22	CG QA Lead
160		1.2.1.7.4.10.4	Review Revised Plan	159	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
161	6.1	1.2.1.7.4.10.5	Deliverable# I6.1: VoteCal Certification Plan Delivered	160	0 days	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
162		1.2.1.7.4.11	Data Migration Plan		25 days	Mon 5/30/22	Fri 7/1/22	
163		1.2.1.7.4.11.1	Prepare Plan	22	16 days	Mon 5/30/22	Mon 6/20/22	CG QA Lead
164		1.2.1.7.4.11.2	Review Plan	163	5 days	Tue 6/21/22	Mon 6/27/22	RRCC Project Manager,RRCC Elections Steering
165		1.2.1.7.4.11.3	Revise Plan	164	3 days	Tue 6/28/22	Thu 6/30/22	CG QA Lead
166		1.2.1.7.4.11.4	Review Revised Plan	165	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
167	7.1.1	1.2.1.7.4.11.5	Deliverable# I7.1.1: Data Migration Plan Delivered	166	0 days	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
168		1.2.1.7.4.12	Test Plan		25 days	Mon 5/30/22	Fri 7/1/22	
169		1.2.1.7.4.12.1	Prepare Plan	22	16 days	Mon 5/30/22	Mon 6/20/22	CG QA Lead
170		1.2.1.7.4.12.2	Review Plan	169	5 days	Tue 6/21/22	Mon 6/27/22	RRCC Project Manager,RRCC Elections Steering
171		1.2.1.7.4.12.3	Revise Plan	170	3 days	Tue 6/28/22	Thu 6/30/22	CG QA Lead
172		1.2.1.7.4.12.4	Review Revised Plan	171	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
173		1.2.1.7.4.12.5	Approve Test Plan	172	0 days	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
174	8.1.1	1.2.1.7.4.12.6	Deliverable# I8.1.1: Test Plan Delivered	173	0 days	Fri 7/1/22	Fri 7/1/22	CG QA Lead,CG QA Tester,CG Project Manager
175		1.2.1.7.4.13	List of Required Reports		46 days	Mon 5/30/22	Mon 8/1/22	
176		1.2.1.7.4.13.1	Prepare Plan	22	37 days	Mon 5/30/22	Tue 7/19/22	CG QA Lead
177		1.2.1.7.4.13.2	Review Plan	176	5 days	Wed 7/20/22	Tue 7/26/22	RRCC Project Manager,RRCC Elections Steering
178		1.2.1.7.4.13.3	Revise Plan	177	3 days	Wed 7/27/22	Fri 7/29/22	CG QA Lead
179		1.2.1.7.4.13.4	Review Revised Plan	178	1 day	Mon 8/1/22	Mon 8/1/22	RRCC Project Manager,RRCC Elections Steering
180		1.2.1.7.4.13.5	Approve List of Required Reports	179	0 days	Mon 8/1/22	Mon 8/1/22	RRCC Project Manager,RRCC Elections Steering
181	9.1	1.2.1.7.4.13.6	Deliverable# I9.1: List of Required Reports Delivered	180	0 days	Mon 8/1/22	Mon 8/1/22	
182		1.2.1.7.4.14	Deployment Plan		25 days	Mon 5/30/22	Fri 7/1/22	
183		1.2.1.7.4.14.1	Prepare Plan	22	15 days	Mon 5/30/22	Fri 6/17/22	CG QA Lead
184		1.2.1.7.4.14.2	Review Plan	183	5 days	Mon 6/20/22	Fri 6/24/22	RRCC Project Manager,RRCC Elections Steering
185		1.2.1.7.4.14.3	Revise Plan	184	3 days	Mon 6/27/22	Wed 6/29/22	CG QA Lead
186		1.2.1.7.4.14.4	Review Revised Plan	185	1 day	Thu 6/30/22	Thu 6/30/22	RRCC Project Manager,RRCC Elections Steering
187	11.1.1	1.2.1.7.4.14.5	Deliverable# I11.1.1: Approve Deployment Plan Delivered	186	1 day	Fri 7/1/22	Fri 7/1/22	RRCC Project Manager,RRCC Elections Steering
188		1.2.2	Project Reporting & Meetings		520 days	Mon 5/30/22	Fri 5/24/24	
189		1.2.2.1	Project Status Report		520 days	Mon 5/30/22	Fri 5/24/24	
190		1.2.2.1.1	Project Status Report 1	21	10 days	Mon 5/30/22	Fri 6/10/22	CG Project Manager,RRCC Project Manager
191		1.2.2.1.2	Project Status Report 2	190	10 days	Mon 6/13/22	Fri 6/24/22	CG Project Manager,RRCC Project Manager
192		1.2.2.1.3	Project Status Report 3	191	10 days	Mon 6/27/22	Fri 7/8/22	CG Project Manager,RRCC Project Manager

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
193		1.2.2.1.4	Project Status Report 4	192	10 days	Mon 7/11/22	Fri 7/22/22	CG Project Manager,RRCC Project Manager
194		1.2.2.1.5	Project Status Report 5	193	10 days	Mon 7/25/22	Fri 8/5/22	CG Project Manager,RRCC Project Manager
195		1.2.2.1.6	Project Status Report 6	194	10 days	Mon 8/8/22	Fri 8/19/22	CG Project Manager,RRCC Project Manager
196		1.2.2.1.7	Project Status Report 7	195	10 days	Mon 8/22/22	Fri 9/2/22	CG Project Manager,RRCC Project Manager
197		1.2.2.1.8	Project Status Report 8	196	10 days	Mon 9/5/22	Fri 9/16/22	CG Project Manager,RRCC Project Manager
198		1.2.2.1.9	Project Status Report 9	197	10 days	Mon 9/19/22	Fri 9/30/22	CG Project Manager,RRCC Project Manager
199		1.2.2.1.10	Project Status Report 10	198	10 days	Mon 10/3/22	Fri 10/14/22	CG Project Manager,RRCC Project Manager
200		1.2.2.1.11	Project Status Report 11	199	10 days	Mon 10/17/22	Fri 10/28/22	CG Project Manager,RRCC Project Manager
201		1.2.2.1.12	Project Status Report 12	200	10 days	Mon 10/31/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
202		1.2.2.1.13	Project Status Report 13	201	10 days	Mon 11/14/22	Fri 11/25/22	CG Project Manager,RRCC Project Manager
203		1.2.2.1.14	Project Status Report 14	202	10 days	Mon 11/28/22	Fri 12/9/22	CG Project Manager,RRCC Project Manager
204		1.2.2.1.15	Project Status Report 15	203	10 days	Mon 12/12/22	Fri 12/23/22	CG Project Manager,RRCC Project Manager
205		1.2.2.1.16	Project Status Report 16	204	10 days	Mon 12/26/22	Fri 1/6/23	CG Project Manager,RRCC Project Manager
206		1.2.2.1.17	Project Status Report 17	205	10 days	Mon 1/9/23	Fri 1/20/23	CG Project Manager,RRCC Project Manager
207		1.2.2.1.18	Project Status Report 18	206	10 days	Mon 1/23/23	Fri 2/3/23	CG Project Manager,RRCC Project Manager
208		1.2.2.1.19	Project Status Report 19	207	10 days	Mon 2/6/23	Fri 2/17/23	CG Project Manager,RRCC Project Manager
209		1.2.2.1.20	Project Status Report 20	208	10 days	Mon 2/20/23	Fri 3/3/23	CG Project Manager,RRCC Project Manager
210		1.2.2.1.21	Project Status Report 21	209	10 days	Mon 3/6/23	Fri 3/17/23	CG Project Manager,RRCC Project Manager
211		1.2.2.1.22	Project Status Report 22	210	10 days	Mon 3/20/23	Fri 3/31/23	CG Project Manager,RRCC Project Manager
212		1.2.2.1.23	Project Status Report 23	211	10 days	Mon 4/3/23	Fri 4/14/23	CG Project Manager,RRCC Project Manager
213		1.2.2.1.24	Project Status Report 24	212	10 days	Mon 4/17/23	Fri 4/28/23	CG Project Manager,RRCC Project Manager
214		1.2.2.1.25	Project Status Report 25	213	10 days	Mon 5/1/23	Fri 5/12/23	CG Project Manager,RRCC Project Manager
215		1.2.2.1.26	Project Status Report 26	214	10 days	Mon 5/15/23	Fri 5/26/23	CG Project Manager,RRCC Project Manager
216		1.2.2.1.27	Project Status Report 27	215	10 days	Mon 5/29/23	Fri 6/9/23	CG Project Manager,RRCC Project Manager
217		1.2.2.1.28	Project Status Report 28	216	10 days	Mon 6/12/23	Fri 6/23/23	CG Project Manager,RRCC Project Manager
218		1.2.2.1.29	Project Status Report 29	217	10 days	Mon 6/26/23	Fri 7/7/23	CG Project Manager,RRCC Project Manager
219		1.2.2.1.30	Project Status Report 30	218	10 days	Mon 7/10/23	Fri 7/21/23	CG Project Manager,RRCC Project Manager
220		1.2.2.1.31	Project Status Report 31	219	10 days	Mon 7/24/23	Fri 8/4/23	CG Project Manager,RRCC Project Manager
221		1.2.2.1.32	Project Status Report 32	220	10 days	Mon 8/7/23	Fri 8/18/23	CG Project Manager,RRCC Project Manager
222		1.2.2.1.33	Project Status Report 33	221	10 days	Mon 8/21/23	Fri 9/1/23	CG Project Manager,RRCC Project Manager
223		1.2.2.1.34	Project Status Report 34	222	10 days	Mon 9/4/23	Fri 9/15/23	CG Project Manager,RRCC Project Manager
224		1.2.2.1.35	Project Status Report 35	223	10 days	Mon 9/18/23	Fri 9/29/23	CG Project Manager,RRCC Project Manager
225		1.2.2.1.36	Project Status Report 35	224	10 days	Mon 10/2/23	Fri 10/13/23	CG Project Manager,RRCC Project Manager
226		1.2.2.1.37	Project Status Report 36	225	10 days	Mon 10/16/23	Fri 10/27/23	CG Project Manager,RRCC Project Manager
227		1.2.2.1.38	Project Status Report 37	226	10 days	Mon 10/30/23	Fri 11/10/23	CG Project Manager,RRCC Project Manager
228		1.2.2.1.39	Project Status Report 38	227	10 days	Mon 11/13/23	Fri 11/24/23	CG Project Manager,RRCC Project Manager
229		1.2.2.1.40	Project Status Report 39	228	10 days	Mon 11/27/23	Fri 12/8/23	CG Project Manager,RRCC Project Manager
230		1.2.2.1.41	Project Status Report 40	229	10 days	Mon 12/11/23	Fri 12/22/23	CG Project Manager,RRCC Project Manager
231		1.2.2.1.42	Project Status Report 41	230	10 days	Mon 12/25/23	Fri 1/5/24	CG Project Manager,RRCC Project Manager
232		1.2.2.1.43	Project Status Report 42	231	10 days	Mon 1/8/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
233		1.2.2.1.44	Project Status Report 43	232	10 days	Mon 1/22/24	Fri 2/2/24	CG Project Manager,RRCC Project Manager
234		1.2.2.1.45	Project Status Report 44	233	10 days	Mon 2/5/24	Fri 2/16/24	CG Project Manager,RRCC Project Manager
235		1.2.2.1.46	Project Status Report 45	234	10 days	Mon 2/19/24	Fri 3/1/24	CG Project Manager,RRCC Project Manager
236		1.2.2.1.47	Project Status Report 46	235	10 days	Mon 3/4/24	Fri 3/15/24	CG Project Manager,RRCC Project Manager
237		1.2.2.1.48	Project Status Report 47	236	10 days	Mon 3/18/24	Fri 3/29/24	CG Project Manager,RRCC Project Manager
238		1.2.2.1.49	Project Status Report 48	237	10 days	Mon 4/1/24	Fri 4/12/24	CG Project Manager,RRCC Project Manager
239		1.2.2.1.50	Project Status Report 49	238	10 days	Mon 4/15/24	Fri 4/26/24	CG Project Manager,RRCC Project Manager
240		1.2.2.1.51	Project Status Report 50	239	10 days	Mon 4/29/24	Fri 5/10/24	CG Project Manager,RRCC Project Manager
241		1.2.2.1.52	Project Status Report 51	240	10 days	Mon 5/13/24	Fri 5/24/24	CG Project Manager,RRCC Project Manager
242	1.2	1.2.2.1.53	Deliverable# 1.2: Project Status Reports	241	0 days	Fri 5/24/24	Fri 5/24/24	CG Project Manager,RRCC Project Manager
243		1.2.2.2	Project Status Meetings		520 days	Mon 5/30/22	Fri 5/24/24	
244		1.2.2.2.1	Project Status Bi-Weekly Meetings 1	21	10 days	Mon 5/30/22	Fri 6/10/22	CG Project Manager,RRCC Project Manager
245		1.2.2.2.2	Project Status Bi-Weekly Meetings 2	244	10 days	Mon 6/13/22	Fri 6/24/22	CG Project Manager,RRCC Project Manager
246		1.2.2.2.3	Project Status Bi-Weekly Meetings 3	245	10 days	Mon 6/27/22	Fri 7/8/22	CG Project Manager,RRCC Project Manager
247		1.2.2.2.4	Project Status Bi-Weekly Meetings 4	246	10 days	Mon 7/11/22	Fri 7/22/22	CG Project Manager,RRCC Project Manager
248		1.2.2.2.5	Project Status Bi-Weekly Meetings 5	247	10 days	Mon 7/25/22	Fri 8/5/22	CG Project Manager,RRCC Project Manager
249		1.2.2.2.6	Project Status Bi-Weekly Meetings 6	248	10 days	Mon 8/8/22	Fri 8/19/22	CG Project Manager,RRCC Project Manager
250		1.2.2.2.7	Project Status Bi-Weekly Meetings 7	249	10 days	Mon 8/22/22	Fri 9/2/22	CG Project Manager,RRCC Project Manager
251		1.2.2.2.8	Project Status Bi-Weekly Meetings 8	250	10 days	Mon 9/5/22	Fri 9/16/22	CG Project Manager,RRCC Project Manager
252		1.2.2.2.9	Project Status Bi-Weekly Meetings 9	251	10 days	Mon 9/19/22	Fri 9/30/22	CG Project Manager,RRCC Project Manager
253		1.2.2.2.10	Project Status Bi-Weekly Meetings 10	252	10 days	Mon 10/3/22	Fri 10/14/22	CG Project Manager,RRCC Project Manager
254		1.2.2.2.11	Project Status Bi-Weekly Meetings 11	253	10 days	Mon 10/17/22	Fri 10/28/22	CG Project Manager,RRCC Project Manager
255		1.2.2.2.12	Project Status Bi-Weekly Meetings 12	254	10 days	Mon 10/31/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
256		1.2.2.2.13	Project Status Bi-Weekly Meetings 13	255	10 days	Mon 11/14/22	Fri 11/25/22	CG Project Manager,RRCC Project Manager

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
257		1.2.2.2.14	Project Status Bi-Weekly Meetings 14	256	10 days	Mon 11/28/22	Fri 12/9/22	CG Project Manager,RRCC Project Manager
258		1.2.2.2.15	Project Status Bi-Weekly Meetings 15	257	10 days	Mon 12/12/22	Fri 12/23/22	CG Project Manager,RRCC Project Manager
259		1.2.2.2.16	Project Status Bi-Weekly Meetings 16	258	10 days	Mon 12/26/22	Fri 1/6/23	CG Project Manager,RRCC Project Manager
260		1.2.2.2.17	Project Status Bi-Weekly Meetings 17	259	10 days	Mon 1/9/23	Fri 1/20/23	CG Project Manager,RRCC Project Manager
261		1.2.2.2.18	Project Status Bi-Weekly Meetings 18	260	10 days	Mon 1/23/23	Fri 2/3/23	CG Project Manager,RRCC Project Manager
262		1.2.2.2.19	Project Status Bi-Weekly Meetings 19	261	10 days	Mon 2/6/23	Fri 2/17/23	CG Project Manager,RRCC Project Manager
263		1.2.2.2.20	Project Status Bi-Weekly Meetings 20	262	10 days	Mon 2/20/23	Fri 3/3/23	CG Project Manager,RRCC Project Manager
264		1.2.2.2.21	Project Status Bi-Weekly Meetings 21	263	10 days	Mon 3/6/23	Fri 3/17/23	CG Project Manager,RRCC Project Manager
265		1.2.2.2.22	Project Status Bi-Weekly Meetings 22	264	10 days	Mon 3/20/23	Fri 3/31/23	CG Project Manager,RRCC Project Manager
266		1.2.2.2.23	Project Status Bi-Weekly Meetings 23	265	10 days	Mon 4/3/23	Fri 4/14/23	CG Project Manager,RRCC Project Manager
267		1.2.2.2.24	Project Status Bi-Weekly Meetings 24	266	10 days	Mon 4/17/23	Fri 4/28/23	CG Project Manager,RRCC Project Manager
268		1.2.2.2.25	Project Status Bi-Weekly Meetings 25	267	10 days	Mon 5/1/23	Fri 5/12/23	CG Project Manager,RRCC Project Manager
269		1.2.2.2.26	Project Status Bi-Weekly Meetings 26	268	10 days	Mon 5/15/23	Fri 5/26/23	CG Project Manager,RRCC Project Manager
270		1.2.2.2.27	Project Status Bi-Weekly Meetings 27	269	10 days	Mon 5/29/23	Fri 6/9/23	CG Project Manager,RRCC Project Manager
271		1.2.2.2.28	Project Status Bi-Weekly Meetings 28	270	10 days	Mon 6/12/23	Fri 6/23/23	CG Project Manager,RRCC Project Manager
272		1.2.2.2.29	Project Status Bi-Weekly Meetings 29	271	10 days	Mon 6/26/23	Fri 7/7/23	CG Project Manager,RRCC Project Manager
273		1.2.2.2.30	Project Status Bi-Weekly Meetings 30	272	10 days	Mon 7/10/23	Fri 7/21/23	CG Project Manager,RRCC Project Manager
274		1.2.2.2.31	Project Status Bi-Weekly Meetings 31	273	10 days	Mon 7/24/23	Fri 8/4/23	CG Project Manager,RRCC Project Manager
275		1.2.2.2.32	Project Status Bi-Weekly Meetings 32	274	10 days	Mon 8/7/23	Fri 8/18/23	CG Project Manager,RRCC Project Manager
276		1.2.2.2.33	Project Status Bi-Weekly Meetings 33	275	10 days	Mon 8/21/23	Fri 9/1/23	CG Project Manager,RRCC Project Manager
277		1.2.2.2.34	Project Status Bi-Weekly Meetings 34	276	10 days	Mon 9/4/23	Fri 9/15/23	CG Project Manager,RRCC Project Manager
278		1.2.2.2.35	Project Status Bi-Weekly Meetings 35	277	10 days	Mon 9/18/23	Fri 9/29/23	CG Project Manager,RRCC Project Manager
279		1.2.2.2.36	Project Status Bi-Weekly Meetings 36	278	10 days	Mon 10/2/23	Fri 10/13/23	CG Project Manager,RRCC Project Manager
280		1.2.2.2.37	Project Status Bi-Weekly Meetings 37	279	10 days	Mon 10/16/23	Fri 10/27/23	CG Project Manager,RRCC Project Manager
281		1.2.2.2.38	Project Status Bi-Weekly Meetings 38	280	10 days	Mon 10/30/23	Fri 11/10/23	CG Project Manager,RRCC Project Manager
282		1.2.2.2.39	Project Status Bi-Weekly Meetings 39	281	10 days	Mon 11/13/23	Fri 11/24/23	CG Project Manager,RRCC Project Manager
283		1.2.2.2.40	Project Status Bi-Weekly Meetings 40	282	10 days	Mon 11/27/23	Fri 12/8/23	CG Project Manager,RRCC Project Manager
284		1.2.2.2.41	Project Status Bi-Weekly Meetings 41	283	10 days	Mon 12/11/23	Fri 12/22/23	CG Project Manager,RRCC Project Manager
285		1.2.2.2.42	Project Status Bi-Weekly Meetings 42	284	10 days	Mon 12/25/23	Fri 1/5/24	CG Project Manager,RRCC Project Manager
286		1.2.2.2.43	Project Status Bi-Weekly Meetings 43	285	10 days	Mon 1/8/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
287		1.2.2.2.44	Project Status Bi-Weekly Meetings 44	286	10 days	Mon 1/22/24	Fri 2/2/24	CG Project Manager,RRCC Project Manager
288		1.2.2.2.45	Project Status Bi-Weekly Meetings 45	287	10 days	Mon 2/5/24	Fri 2/16/24	CG Project Manager,RRCC Project Manager
289		1.2.2.2.46	Project Status Bi-Weekly Meetings 46	288	10 days	Mon 2/19/24	Fri 3/1/24	CG Project Manager,RRCC Project Manager
290		1.2.2.2.47	Project Status Bi-Weekly Meetings 47	289	10 days	Mon 3/4/24	Fri 3/15/24	CG Project Manager,RRCC Project Manager
291		1.2.2.2.48	Project Status Bi-Weekly Meetings 48	290	10 days	Mon 3/18/24	Fri 3/29/24	CG Project Manager,RRCC Project Manager
292		1.2.2.2.49	Project Status Bi-Weekly Meetings 49	291	10 days	Mon 4/1/24	Fri 4/12/24	CG Project Manager,RRCC Project Manager
293		1.2.2.2.50	Project Status Bi-Weekly Meetings 50	292	10 days	Mon 4/15/24	Fri 4/26/24	CG Project Manager,RRCC Project Manager
294		1.2.2.2.51	Project Status Bi-Weekly Meetings 51	293	10 days	Mon 4/29/24	Fri 5/10/24	CG Project Manager,RRCC Project Manager
295		1.2.2.2.52	Project Status Bi-Weekly Meetings 52	294	10 days	Mon 5/13/24	Fri 5/24/24	CG Project Manager,RRCC Project Manager
296		1.2.2.3	Project Status Executive Meetings		520 days	Mon 5/30/22	Fri 5/24/24	
297		1.2.2.3.1	Project Status Executive Meetings Bi-Weekly Meetings 1	21	10 days	Mon 5/30/22	Fri 6/10/22	RRCC Project Manager,CG Project Manager,CG
298		1.2.2.3.2	Project Status Executive Meetings Bi-Weekly Meetings 2	297	10 days	Mon 6/13/22	Fri 6/24/22	RRCC Project Manager,CG Project Manager,CG
299		1.2.2.3.3	Project Status Executive Meetings Bi-Weekly Meetings 3	298	10 days	Mon 6/27/22	Fri 7/8/22	RRCC Project Manager,CG Project Manager,CG
300		1.2.2.3.4	Project Status Executive Meetings Bi-Weekly Meetings 4	299	10 days	Mon 7/11/22	Fri 7/22/22	RRCC Project Manager,CG Project Manager,CG
301		1.2.2.3.5	Project Status Executive Meetings Bi-Weekly Meetings 5	300	10 days	Mon 7/25/22	Fri 8/5/22	RRCC Project Manager,CG Project Manager,CG
302		1.2.2.3.6	Project Status Executive Meetings Bi-Weekly Meetings 6	301	10 days	Mon 8/8/22	Fri 8/19/22	RRCC Project Manager,CG Project Manager,CG
303		1.2.2.3.7	Project Status Executive Meetings Bi-Weekly Meetings 7	302	10 days	Mon 8/22/22	Fri 9/2/22	RRCC Project Manager,CG Project Manager,CG
304		1.2.2.3.8	Project Status Executive Meetings Bi-Weekly Meetings 8	303	10 days	Mon 9/5/22	Fri 9/16/22	RRCC Project Manager,CG Project Manager,CG
305		1.2.2.3.9	Project Status Executive Meetings Bi-Weekly Meetings 9	304	10 days	Mon 9/19/22	Fri 9/30/22	RRCC Project Manager,CG Project Manager,CG
306		1.2.2.3.10	Project Status Executive Meetings Bi-Weekly Meetings 10	305	10 days	Mon 10/3/22	Fri 10/14/22	RRCC Project Manager,CG Project Manager,CG
307		1.2.2.3.11	Project Status Executive Meetings Bi-Weekly Meetings 11	306	10 days	Mon 10/17/22	Fri 10/28/22	RRCC Project Manager,CG Project Manager,CG
308		1.2.2.3.12	Project Status Executive Meetings Bi-Weekly Meetings 12	307	10 days	Mon 10/31/22	Fri 11/11/22	RRCC Project Manager,CG Project Manager,CG
309		1.2.2.3.13	Project Status Executive Meetings Bi-Weekly Meetings 13	308	10 days	Mon 11/14/22	Fri 11/25/22	RRCC Project Manager,CG Project Manager,CG
310		1.2.2.3.14	Project Status Executive Meetings Bi-Weekly Meetings 14	309	10 days	Mon 11/28/22	Fri 12/9/22	RRCC Project Manager,CG Project Manager,CG
311		1.2.2.3.15	Project Status Executive Meetings Bi-Weekly Meetings 15	310	10 days	Mon 12/12/22	Fri 12/23/22	RRCC Project Manager,CG Project Manager,CG
312		1.2.2.3.16	Project Status Executive Meetings Bi-Weekly Meetings 16	311	10 days	Mon 12/26/22	Fri 1/6/23	RRCC Project Manager,CG Project Manager,CG
313		1.2.2.3.17	Project Status Executive Meetings Bi-Weekly Meetings 17	312	10 days	Mon 1/9/23	Fri 1/20/23	RRCC Project Manager,CG Project Manager,CG
314		1.2.2.3.18	Project Status Executive Meetings Bi-Weekly Meetings 18	313	10 days	Mon 1/23/23	Fri 2/3/23	RRCC Project Manager,CG Project Manager,CG
315		1.2.2.3.19	Project Status Executive Meetings Bi-Weekly Meetings 19	314	10 days	Mon 2/6/23	Fri 2/17/23	RRCC Project Manager,CG Project Manager,CG
316		1.2.2.3.20	Project Status Executive Meetings Bi-Weekly Meetings 20	315	10 days	Mon 2/20/23	Fri 3/3/23	RRCC Project Manager,CG Project Manager,CG
317		1.2.2.3.21	Project Status Executive Meetings Bi-Weekly Meetings 21	316	10 days	Mon 3/6/23	Fri 3/17/23	RRCC Project Manager,CG Project Manager,CG
318		1.2.2.3.22	Project Status Executive Meetings Bi-Weekly Meetings 22	317	10 days	Mon 3/20/23	Fri 3/31/23	RRCC Project Manager,CG Project Manager,CG
319		1.2.2.3.23	Project Status Executive Meetings Bi-Weekly Meetings 23	318	10 days	Mon 4/3/23	Fri 4/14/23	RRCC Project Manager,CG Project Manager,CG
320		1.2.2.3.24	Project Status Executive Meetings Bi-Weekly Meetings 24	319	10 days	Mon 4/17/23	Fri 4/28/23	RRCC Project Manager,CG Project Manager,CG

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
321		1.2.2.3.25	Project Status Executive Meetings Bi-Weekly Meetings 25	320	10 days	Mon 5/1/23	Fri 5/12/23	RRCC Project Manager,CG Project Manager,CG
322		1.2.2.3.26	Project Status Executive Meetings Bi-Weekly Meetings 26	321	10 days	Mon 5/15/23	Fri 5/26/23	RRCC Project Manager,CG Project Manager,CG
323		1.2.2.3.27	Project Status Executive Meetings Bi-Weekly Meetings 27	322	10 days	Mon 5/29/23	Fri 6/9/23	RRCC Project Manager,CG Project Manager,CG
324		1.2.2.3.28	Project Status Executive Meetings Bi-Weekly Meetings 28	323	10 days	Mon 6/12/23	Fri 6/23/23	RRCC Project Manager,CG Project Manager,CG
325		1.2.2.3.29	Project Status Executive Meetings Bi-Weekly Meetings 29	324	10 days	Mon 6/26/23	Fri 7/7/23	RRCC Project Manager,CG Project Manager,CG
326		1.2.2.3.30	Project Status Executive Meetings Bi-Weekly Meetings 30	325	10 days	Mon 7/10/23	Fri 7/21/23	RRCC Project Manager,CG Project Manager,CG
327		1.2.2.3.31	Project Status Executive Meetings Bi-Weekly Meetings 31	326	10 days	Mon 7/24/23	Fri 8/4/23	RRCC Project Manager,CG Project Manager,CG
328		1.2.2.3.32	Project Status Executive Meetings Bi-Weekly Meetings 32	327	10 days	Mon 8/7/23	Fri 8/18/23	RRCC Project Manager,CG Project Manager,CG
329		1.2.2.3.33	Project Status Executive Meetings Bi-Weekly Meetings 33	328	10 days	Mon 8/21/23	Fri 9/1/23	RRCC Project Manager,CG Project Manager,CG
330		1.2.2.3.34	Project Status Executive Meetings Bi-Weekly Meetings 34	329	10 days	Mon 9/4/23	Fri 9/15/23	RRCC Project Manager,CG Project Manager,CG
331		1.2.2.3.35	Project Status Executive Meetings Bi-Weekly Meetings 35	330	10 days	Mon 9/18/23	Fri 9/29/23	RRCC Project Manager,CG Project Manager,CG
332		1.2.2.3.36	Project Status Executive Meetings Bi-Weekly Meetings 36	331	10 days	Mon 10/2/23	Fri 10/13/23	RRCC Project Manager,CG Project Manager,CG
333		1.2.2.3.37	Project Status Executive Meetings Bi-Weekly Meetings 37	332	10 days	Mon 10/16/23	Fri 10/27/23	RRCC Project Manager,CG Project Manager,CG
334		1.2.2.3.38	Project Status Executive Meetings Bi-Weekly Meetings 38	333	10 days	Mon 10/30/23	Fri 11/10/23	RRCC Project Manager,CG Project Manager,CG
335		1.2.2.3.39	Project Status Executive Meetings Bi-Weekly Meetings 39	334	10 days	Mon 11/13/23	Fri 11/24/23	RRCC Project Manager,CG Project Manager,CG
336		1.2.2.3.40	Project Status Executive Meetings Bi-Weekly Meetings 40	335	10 days	Mon 11/27/23	Fri 12/8/23	RRCC Project Manager,CG Project Manager,CG
337		1.2.2.3.41	Project Status Executive Meetings Bi-Weekly Meetings 41	336	10 days	Mon 12/11/23	Fri 12/22/23	RRCC Project Manager,CG Project Manager,CG
338		1.2.2.3.42	Project Status Executive Meetings Bi-Weekly Meetings 42	337	10 days	Mon 12/25/23	Fri 1/5/24	RRCC Project Manager,CG Project Manager,CG
339		1.2.2.3.43	Project Status Executive Meetings Bi-Weekly Meetings 43	338	10 days	Mon 1/8/24	Fri 1/19/24	RRCC Project Manager,CG Project Manager,CG
340		1.2.2.3.44	Project Status Executive Meetings Bi-Weekly Meetings 44	339	10 days	Mon 1/22/24	Fri 2/2/24	RRCC Project Manager,CG Project Manager,CG
341		1.2.2.3.45	Project Status Executive Meetings Bi-Weekly Meetings 45	340	10 days	Mon 2/5/24	Fri 2/16/24	RRCC Project Manager,CG Project Manager,CG
342		1.2.2.3.46	Project Status Executive Meetings Bi-Weekly Meetings 46	341	10 days	Mon 2/19/24	Fri 3/1/24	RRCC Project Manager,CG Project Manager,CG
343		1.2.2.3.47	Project Status Executive Meetings Bi-Weekly Meetings 47	342	10 days	Mon 3/4/24	Fri 3/15/24	RRCC Project Manager,CG Project Manager,CG
344		1.2.2.3.48	Project Status Executive Meetings Bi-Weekly Meetings 48	343	10 days	Mon 3/18/24	Fri 3/29/24	RRCC Project Manager,CG Project Manager,CG
345		1.2.2.3.49	Project Status Executive Meetings Bi-Weekly Meetings 49	344	10 days	Mon 4/1/24	Fri 4/12/24	RRCC Project Manager,CG Project Manager,CG
346		1.2.2.3.50	Project Status Executive Meetings Bi-Weekly Meetings 50	345	10 days	Mon 4/15/24	Fri 4/26/24	RRCC Project Manager,CG Project Manager,CG
347		1.2.2.3.51	Project Status Executive Meetings Bi-Weekly Meetings 51	346	10 days	Mon 4/29/24	Fri 5/10/24	RRCC Project Manager,CG Project Manager,CG
348		1.2.2.3.52	Project Status Executive Meetings Bi-Weekly Meetings 52	347	10 days	Mon 5/13/24	Fri 5/24/24	RRCC Project Manager,CG Project Manager,CG
349		1.3	Project Initiation	3	520 days	Mon 5/30/22	Fri 5/24/24	
350		1.3.1	Organizational Change Management (OCM) Gap Analysis		17 days	Mon 6/27/22	Tue 7/19/22	
351		1.3.1.1	Develop gap analysis	40	10 days	Mon 6/27/22	Fri 7/8/22	CG Subject Matter Expert,CG Doc Writer 1
352		1.3.1.2	Review Gap Analysis Document	351	5 days	Mon 7/11/22	Fri 7/15/22	RRCC Elections Steering Committee,External C
353		1.3.1.3	Revise Gap Analysis Document	352	1 day	Mon 7/18/22	Mon 7/18/22	CG Subject Matter Expert,CG Doc Writer 1
354		1.3.1.4	Review Final Gap Analysis Document	353	1 day	Tue 7/19/22	Tue 7/19/22	RRCC Elections Steering Committee,External C
355		1.3.1.5	Approve Gap Analysis	354	0 days	Tue 7/19/22	Tue 7/19/22	RRCC Elections Steering Committee,External C
356		1.3.2	Requirements Validation		45 days	Wed 7/20/22	Tue 9/20/22	
357		1.3.2.1	Collaborate with LA County team to validate the Use Cases	355	5 days	Wed 7/20/22	Tue 7/26/22	RRCC Elections Steering Committee,External C
358		1.3.2.2	Finalize Functional Requirements Traceability Matrix	357	30 days	Wed 7/27/22	Tue 9/6/22	RRCC Elections Steering Committee,External C
359		1.3.2.3	Finalize Non-Functional Requirements Traceability Matrices	358	10 days	Wed 9/7/22	Tue 9/20/22	CG Subject Matter Expert,CG DBA,CG Doc Wri
360	3.2.1	1.3.2.4	Deliverable# I3.2.1: Final Functional Requirements Traceability Matrix Delivered	358	0 days	Tue 9/6/22	Tue 9/6/22	CG Project Manager,RRCC Project Manager
361	3.2.2	1.3.2.5	Deliverable# I3.2.2: Final Non-Functional Requirements Traceability Matrix Delivered	359	0 days	Tue 9/20/22	Tue 9/20/22	CG Project Manager,RRCC Project Manager
362		1.3.3	Solution Architecture		59 days	Mon 5/30/22	Thu 8/18/22	
363		1.3.3.1	Develop Design Document	21	45 days	Mon 5/30/22	Fri 7/29/22	CG DBA,CG Doc Writer 1,CG Technical Lead,CG
364		1.3.3.2	Review Design Documents	363	10 days	Mon 8/1/22	Fri 8/12/22	RRCC Elections Steering Committee,External C
365		1.3.3.3	Revise Design Documents	364	2 days	Mon 8/15/22	Tue 8/16/22	CG Subject Matter Expert,CG DBA,CG Doc Wri
366		1.3.3.4	Revise Design Documents	365	2 days	Wed 8/17/22	Thu 8/18/22	RRCC Elections Steering Committee,External C
367		1.3.3.5	Review Final Design Documents	366	0 days	Thu 8/18/22	Thu 8/18/22	RRCC Elections Steering Committee,External C
368	4.1	1.3.3.6	Deliverable# I4.1: Solution Architecture Delivered	367	0 days	Thu 8/18/22	Thu 8/18/22	RRCC Project Manager,RRCC Elections Steering
369		1.3.4	Organizational Change Management (OCM) Training Strategy		101 days	Wed 7/20/22	Wed 12/7/22	
370		1.3.4.1	Organizational Change Management (OCM) Kick-off		8 days	Wed 7/20/22	Fri 7/29/22	
371		1.3.4.1.1	Organize and plan meeting	350	6 days	Wed 7/20/22	Wed 7/27/22	
372		1.3.4.1.2	Hold pre-meeting with Advance Team	371	1 day	Thu 7/28/22	Thu 7/28/22	
373		1.3.4.1.3	Hold Kickoff Meeting with Stakeholders	372	1 day	Fri 7/29/22	Fri 7/29/22	
374		1.3.4.1.4	Kickoff Meeting Complete	373	0 days	Fri 7/29/22	Fri 7/29/22	
375		1.3.4.2	OCM Preparation and Design	374	10 days	Mon 8/1/22	Fri 8/12/22	
376		1.3.4.2.1	Creation OCM Plan and Strategy	374	10 days	Mon 8/1/22	Fri 8/12/22	
377	2.1.3	1.3.4.2.2	Deliverable# I2.1.3: Organizational Change Management and Communications Plan Delivered	376	0 days	Fri 8/12/22	Fri 8/12/22	
378	2.1.2	1.3.4.2.3	Deliverable# I2.1.2: Organizational Change Management and Communications Strategy Delivered	376	0 days	Fri 8/12/22	Fri 8/12/22	
379		1.3.4.3	As-Is To-Be Analysis		74 days	Mon 8/15/22	Thu 11/24/22	
380		1.3.4.3.1	Develop As-Is To-Be Document	376	60 days	Mon 8/15/22	Fri 11/4/22	
381		1.3.4.3.2	Review Design Documents	380	10 days	Mon 11/7/22	Fri 11/18/22	
382		1.3.4.3.3	Revise Design Documents	381	2 days	Mon 11/21/22	Tue 11/22/22	
383		1.3.4.3.4	Review Design Documents	382	2 days	Wed 11/23/22	Thu 11/24/22	
384		1.3.4.3.5	Review Final Design Documents	383	0 days	Thu 11/24/22	Thu 11/24/22	

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
385		1.3.4.4	Organizational Change Management Implementation Meeting		9 days	Fri 11/25/22	Wed 12/7/22	
386		1.3.4.4.1	Organize and plan meeting	379	6 days	Fri 11/25/22	Fri 12/2/22	
387		1.3.4.4.2	Hold pre-meeting with Advance Team	386	1 day	Mon 12/5/22	Mon 12/5/22	
388		1.3.4.4.3	Hold As-Is To-Be Meeting with Stakeholders	387	2 days	Tue 12/6/22	Wed 12/7/22	
389		1.3.4.4.4	As-Is To-Be Meeting Complete	388	0 days	Wed 12/7/22	Wed 12/7/22	
390		1.3.4.5	Communications Engagement Report	389	0 days	Wed 12/7/22	Wed 12/7/22	
391		1.3.5	Deliverable Payment Increments		506 days	Thu 6/16/22	Fri 5/24/24	
392	5.2.2.2	1.3.5.1	Deliverable# I5.2.2.2: Increment 1	3F5+22 days	0 days	Thu 6/16/22	Thu 6/16/22	
393	5.2.2.2	1.3.5.2	Deliverable# I5.2.2.2: Increment 2	392FS+22 days	0 days	Mon 7/18/22	Mon 7/18/22	
394	5.2.2.2	1.3.5.3	Deliverable# I5.2.2.2: Increment 3	393FS+22 days	0 days	Wed 8/17/22	Wed 8/17/22	
395	5.2.2.2	1.3.5.4	Deliverable# I5.2.2.2: Increment 4	394FS+22 days	0 days	Fri 9/16/22	Fri 9/16/22	
396	5.2.2.2	1.3.5.5	Deliverable# I5.2.2.2: Increment 5	395FS+22 days	0 days	Tue 10/18/22	Tue 10/18/22	
397	5.2.2.2	1.3.5.6	Deliverable# I5.2.2.2: Increment 6	396FS+22 days	0 days	Thu 11/17/22	Thu 11/17/22	
398	5.2.2.2	1.3.5.7	Deliverable# I5.2.2.2: Increment 7	397FS+22 days	0 days	Mon 12/19/22	Mon 12/19/22	
399	5.2.2.2	1.3.5.8	Deliverable# I5.2.2.2: Increment 8	398FS+22 days	0 days	Wed 1/18/23	Wed 1/18/23	
400	5.2.2.2	1.3.5.9	Deliverable# I5.2.2.2: Increment 9	399FS+22 days	0 days	Fri 2/17/23	Fri 2/17/23	
401	5.2.2.2	1.3.5.10	Deliverable# I5.2.2.2: Increment 10	400FS+22 days	0 days	Tue 3/21/23	Tue 3/21/23	
402	5.2.2.2	1.3.5.11	Deliverable# I5.2.2.2: Increment 11	401FS+22 days	0 days	Thu 4/20/23	Thu 4/20/23	
403	5.2.2.2	1.3.5.12	Deliverable# I5.2.2.2: Increment 12	402FS+22 days	0 days	Mon 5/22/23	Mon 5/22/23	
404	5.2.2.2	1.3.5.13	Deliverable# I5.2.2.2: Increment 13	403FS+22 days	0 days	Wed 6/21/23	Wed 6/21/23	
405	5.2.2.2	1.3.5.14	Deliverable# I5.2.2.2: Increment 14	404FS+22 days	0 days	Fri 7/21/23	Fri 7/21/23	
406	5.2.2.2	1.3.5.15	Deliverable# I5.2.2.2: Increment 15	405FS+22 days	0 days	Tue 8/22/23	Tue 8/22/23	
407	5.2.2.2	1.3.5.16	Deliverable# I5.2.2.2: Increment 16	406FS+22 days	0 days	Thu 9/21/23	Thu 9/21/23	
408	5.2.2.2	1.3.5.17	Deliverable# I5.2.2.2: Increment 17	407FS+22 days	0 days	Mon 10/23/23	Mon 10/23/23	
409	5.2.2.2	1.3.5.18	Deliverable# I5.2.2.2: Increment 18	408FS+22 days	0 days	Wed 11/22/23	Wed 11/22/23	
410	5.2.2.2	1.3.5.19	Deliverable# I5.2.2.2: Increment 19	409FS+22 days	0 days	Fri 12/22/23	Fri 12/22/23	
411	5.2.2.2	1.3.5.20	Deliverable# I5.2.2.2: Increment 20	410FS+22 days	0 days	Tue 1/23/24	Tue 1/23/24	
412	5.2.2.2	1.3.5.21	Deliverable# I5.2.2.2: Increment 21	411FS+22 days	0 days	Thu 2/22/24	Thu 2/22/24	
413	5.2.2.2	1.3.5.22	Deliverable# I5.2.2.2: Increment 22	412FS+22 days	0 days	Mon 3/25/24	Mon 3/25/24	
414	5.2.2.2	1.3.5.23	Deliverable# I5.2.2.2: Increment 23	413FS+22 days	0 days	Wed 4/24/24	Wed 4/24/24	
415	5.2.2.2	1.3.5.24	Deliverable# I5.2.2.2: Increment 24	414FS+22 days	0 days	Fri 5/24/24	Fri 5/24/24	
416		1.4	Phase 1 - Core System (Subject to Change)		416 days	Mon 7/4/22	Tue 2/6/24	
417		1.4.1	Plan and Prepare Hosting Services for DEV/TEST SYSTEM		15 days	Mon 8/1/22	Fri 8/19/22	
418		1.4.1.1	Hosting Services Kickoff, Summary Report, Build for Dev/Test System	363	15 days	Mon 8/1/22	Fri 8/19/22	CG DBA,CG Technical Lead
419		1.4.1.2	Hosting Services Kickoff and Summary Report for Dev/Test System	418	0 days	Fri 8/19/22	Fri 8/19/22	CG DBA,CG Technical Lead
420		1.4.1.3	Connectivity Architecture for Dev/Test System	419	0 days	Fri 8/19/22	Fri 8/19/22	CG DBA,CG Technical Lead
421		1.4.1.4	Hosting Services Delivery Document for Dev/Test System	420	0 days	Fri 8/19/22	Fri 8/19/22	CG DBA,CG Technical Lead
422		1.4.2	Configure Hosting Environments for DEV/TEST SYSTEM		25 days	Mon 8/22/22	Fri 9/23/22	
423		1.4.2.1	Hosting Environments Configuration Document for Dev/Test System	417	25 days	Mon 8/22/22	Fri 9/23/22	CG DBA,CG Technical Lead
424		1.4.2.2	Configured Hosting Environments for Dev/Test System	423	0 days	Fri 9/23/22	Fri 9/23/22	CG DBA,CG Technical Lead
425	8.1.3	1.4.2.3	Deliverable# I8.1.3: Detailed Testing Environments Documentation	424	0 days	Fri 9/23/22	Fri 9/23/22	
426		1.4.3	Plan and Prepare Hosting Services for UAT SYSTEM		15 days	Mon 9/26/22	Fri 10/14/22	
427		1.4.3.1	Hosting Services Kickoff, Summary Report, Build for UAT System	422	15 days	Mon 9/26/22	Fri 10/14/22	CG DBA,CG Technical Lead
428		1.4.3.2	Hosting Services Kickoff and Summary Report for UAT System	427	0 days	Fri 10/14/22	Fri 10/14/22	CG DBA,CG Technical Lead
429		1.4.3.3	Connectivity Architecture for UAT System	428	0 days	Fri 10/14/22	Fri 10/14/22	CG DBA,CG Technical Lead
430		1.4.3.4	Hosting Services Delivery Document for UAT System	429	0 days	Fri 10/14/22	Fri 10/14/22	CG DBA,CG Technical Lead
431		1.4.4	Configure Hosting Environments for UAT SYSTEM		25 days	Mon 10/17/22	Fri 11/18/22	
432		1.4.4.1	Hosting Environments Configuration Document for UAT System	426	25 days	Mon 10/17/22	Fri 11/18/22	CG DBA,CG Technical Lead
433		1.4.4.2	Configured Hosting Environments for UAT System	432	0 days	Fri 11/18/22	Fri 11/18/22	CG DBA,CG Technical Lead
434		1.4.5	Plan and Prepare Hosting Services for PRODUCTION		20 days	Mon 11/21/22	Fri 12/16/22	
435	H1.1.1	1.4.5.1	Deliverable# H1.1.1: Hosting Services Kickoff, Summary Report, Build for Production	422,431	20 days	Mon 11/21/22	Fri 12/16/22	CG DBA,CG Technical Lead
436	H1.1.2	1.4.5.2	Deliverable# H1.1.2: Connectivity Architecture for Production	435	0 days	Fri 12/16/22	Fri 12/16/22	CG DBA,CG Technical Lead
437	H1.1.3	1.4.5.3	Deliverable# H1.1.3: Hosting Services Delivery Document for Production	435	0 days	Fri 12/16/22	Fri 12/16/22	CG DBA,CG Technical Lead
438		1.4.6	Configure Hosting Environments for PRODUCTION	434	46 days	Mon 12/19/22	Mon 2/20/23	
439	H1.2.1	1.4.6.1	Deliverable# H1.2.1: Hosting Environments Configuration Document for Production	434	46 days	Mon 12/19/22	Mon 2/20/23	CG DBA,CG Technical Lead
440	H1.2.2	1.4.6.2	Deliverable# H1.2.2: Configured Hosting Environments for Production	434	46 days	Mon 12/19/22	Mon 2/20/23	CG DBA,CG Technical Lead
441		1.4.7	Data Migration	162	151 days	Wed 7/20/22	Wed 2/15/23	
442		1.4.7.1	Data Migration Pass 1		84 days	Wed 7/20/22	Mon 11/14/22	
443		1.4.7.1.1	LA County RRCC Transports Data for Conversion		84 days	Wed 7/20/22	Mon 11/14/22	
444		1.4.7.1.1.1	Initial Data Transfer	350	1 day	Wed 7/20/22	Wed 7/20/22	CG Conversion Lead
445		1.4.7.1.1.2	SQL DB Backup Files Received	444FS+2 days	0 days	Fri 7/22/22	Fri 7/22/22	CG Conversion Lead
446		1.4.7.1.1.3	Conversion team converts LA County RRCC data and develops errors list	445	60 days	Mon 7/25/22	Fri 10/14/22	
447		1.4.7.1.1.4	LA County RRCC Reviews Data	446	10 days	Mon 10/17/22	Fri 10/28/22	
448		1.4.7.1.1.5	LA County RRCC Data Review Error List	447	1 day	Mon 10/31/22	Mon 10/31/22	

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
449		1.4.7.1.1.6	Conversion Team Corrects Errors	448	10 days	Tue 11/1/22	Mon 11/14/22	
450	7.2.1	1.4.7.1.1.7	Deliverable# 17.2.1: Mock Data Migration Report Delivered	449	0 days	Mon 11/14/22	Mon 11/14/22	
451		1.4.7.2	Data Migration Pass 2	442	51 days	Mon 11/14/22	Tue 1/24/23	
452		1.4.7.2.1	LA County RRCC Transports Data for Conversion		51 days	Mon 11/14/22	Tue 1/24/23	
453		1.4.7.2.1.1	Initial Data Transfer		1 day	Tue 11/15/22	Tue 11/15/22	CG Conversion Lead
454		1.4.7.2.1.2	SQL DB Backup Files Received		0 days	Mon 11/14/22	Mon 11/14/22	CG Conversion Lead
455		1.4.7.2.1.3	Conversion team converts LA County RRCC data and develops errors list	454	40 days	Tue 11/15/22	Mon 1/9/23	
456		1.4.7.2.1.4	LA County RRCC Reviews Data	455	5 days	Tue 1/10/23	Mon 1/16/23	
457		1.4.7.2.1.5	LA County RRCC Data Review Error List	456	1 day	Tue 1/17/23	Tue 1/17/23	
458		1.4.7.2.1.6	Conversion Team Corrects Errors	457	5 days	Wed 1/18/23	Tue 1/24/23	
459	7.2.2	1.4.7.2.1.7	Deliverable# 17.2.2: Data Migration Report Delivered	458	0 days	Tue 1/24/23	Tue 1/24/23	
460		1.4.7.3	Data Migration Pass 3 - For Training, Testing, Certification	431,451	16 days	Tue 1/24/23	Wed 2/15/23	
461		1.4.7.3.1	LA County RRCC Transports Data for Conversion		16 days	Tue 1/24/23	Wed 2/15/23	
462		1.4.7.3.1.1	3rd Data Transfer		1 day	Wed 1/25/23	Wed 1/25/23	CG Conversion Lead
463		1.4.7.3.1.2	SQL DB Backup Files Received		0 days	Tue 1/24/23	Tue 1/24/23	CG Conversion Lead
464		1.4.7.3.1.3	Conversion team converts LA County RRCC data and develops errors list	463	10 days	Wed 1/25/23	Tue 2/7/23	
465		1.4.7.3.1.4	LA County RRCC Reviews Data	464	1 day	Wed 2/8/23	Wed 2/8/23	
466		1.4.7.3.1.5	LA County RRCC Data Review Error List	465	1 day	Thu 2/9/23	Thu 2/9/23	
467		1.4.7.3.1.6	Conversion Team Corrects Errors	466	1 day	Fri 2/10/23	Fri 2/10/23	
468		1.4.7.3.1.7	Create Test Database (UAT, VoteCal, Regression, Integration, End to End)	467	3 days	Mon 2/13/23	Wed 2/15/23	
469		1.4.7.3.1.7.1	Copy Training DB from Data Pass		3 days	Mon 2/13/23	Wed 2/15/23	CG Conversion Lead
470		1.4.7.3.1.7.2	Testing Database Pass Complete	469	0 days	Wed 2/15/23	Wed 2/15/23	CG Conversion Lead
471		1.4.7.3.1.8	Deliverable# 18.1.2.3: Test Data Delivered	468	0 days	Wed 2/15/23	Wed 2/15/23	CG QA Lead,CG QA Tester,CG Project Manager
472		1.4.8	BlueCrest Hardware Deployment		382 days	Fri 8/19/22	Tue 2/6/24	
473		1.4.8.1	Host BlueCrest Kickoff Meeting	367	1 day	Fri 8/19/22	Fri 8/19/22	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
474		1.4.8.2	BlueCrest to request LA County provides sample of incoming mail test deck with associated electronic sorter info file	473	1 day	Mon 8/22/22	Mon 8/22/22	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
475		1.4.8.3	BlueCrest to review LA County facility prepared for sorters, power, network	474	1 day	Tue 8/23/22	Tue 8/23/22	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
476		1.4.8.4	SOW Design	473	20 days	Mon 8/22/22	Fri 9/16/22	
477		1.4.8.4.1	Facility Requirements finalized		20 days	Mon 8/22/22	Fri 9/16/22	
478		1.4.8.4.2	Sample reviews/design finalized		20 days	Mon 8/22/22	Fri 9/16/22	
479		1.4.8.4.3	Workflow functionality designed		20 days	Mon 8/22/22	Fri 9/16/22	
480		1.4.8.5	BlueCrest Hardware Ordered/Shipped (6 months required)	476	6 mons	Mon 9/19/22	Fri 3/3/23	
481		1.4.8.6	BlueCrest Sorter Installation Tasks	480	22 days	Mon 3/6/23	Tue 4/4/23	
482		1.4.8.6.1	Sorter 1 components ship to delivery		6 days	Mon 3/6/23	Tue 3/14/23	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
483		1.4.8.6.2	Sorter 1 and site server installed	482	15 days	Wed 3/15/23	Tue 4/4/23	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
484		1.4.8.6.3	Sorter 2 components ship to delivery		7 days	Mon 3/6/23	Tue 3/14/23	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
485		1.4.8.6.4	Sorter 2 installed	484	15 days	Wed 3/15/23	Tue 4/4/23	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
486		1.4.8.7	BlueCrest to conduct LA County staff training	481	5 days	Wed 4/5/23	Tue 4/11/23	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
487		1.4.8.8	LA County to provide to BlueCrest the complete mock election - ready for live use	909FS+5 days	10 days	Tue 10/17/23	Mon 10/30/23	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
488		1.4.8.9	Confirm that LA County systems are accepted	487	0 days	Mon 10/30/23	Mon 10/30/23	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
489		1.4.8.10	BlueCrest - LA County conduct internal testing, refresher training, and workflow finalization	1383FS-50 days,488	10 days	Tue 12/26/23	Mon 1/8/24	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
490		1.4.8.11	BlueCrest - LA County conduct Live Election Use	1383FS-20 days,489	0 days	Tue 2/6/24	Tue 2/6/24	CG Subject Matter Expert,RRCC Elections Steering Committee,RRCC Project
491		1.4.8.12	BlueCrest Ready for Election	490	0 days	Tue 2/6/24	Tue 2/6/24	
492		1.4.9	System Development and Configuration		359.88 days	Mon 7/4/22	Fri 11/17/23	
493		1.4.9.1	Development Start	422	1 day	Mon 9/26/22	Mon 9/26/22	
494		1.4.9.2	Roadmap Session - Phase 1		250 days	Tue 8/16/22	Mon 7/31/23	
495		1.4.9.2.1	Road Mapping Session 1	493FS-30 days	2 days	Tue 8/16/22	Wed 8/17/22	
496		1.4.9.2.1.1	Discuss Project Roadmap Objectives		2 days	Tue 8/16/22	Wed 8/17/22	CG Project Manager,RRCC Project Manager
497		1.4.9.2.1.2	Discuss Project Milestones Objectives		2 days	Tue 8/16/22	Wed 8/17/22	CG Project Manager,RRCC Project Manager
498		1.4.9.2.1.3	Discuss Project Deliverables		2 days	Tue 8/16/22	Wed 8/17/22	CG Project Manager,RRCC Project Manager
499		1.4.9.2.1.4	Discuss Project Resource Management		2 days	Tue 8/16/22	Wed 8/17/22	CG Project Manager,RRCC Project Manager
500		1.4.9.2.1.5	Discuss Project Timeline		2 days	Tue 8/16/22	Wed 8/17/22	CG Project Manager,RRCC Project Manager
501		1.4.9.2.1.6	Discuss Project Risks		2 days	Tue 8/16/22	Wed 8/17/22	CG Project Manager,RRCC Project Manager
502		1.4.9.2.1.7	Complete Roadmap Session 1 - Phase 1		1 day	Tue 8/16/22	Tue 8/16/22	CG Project Manager,RRCC Project Manager
503		1.4.9.2.2	Road Mapping Session 2	495FS+60 days	2 days	Thu 11/10/22	Fri 11/11/22	
504		1.4.9.2.2.1	Discuss Project Roadmap Objectives		2 days	Thu 11/10/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
505		1.4.9.2.2.2	Discuss Project Milestones Objectives		2 days	Thu 11/10/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
506		1.4.9.2.2.3	Discuss Project Deliverables		2 days	Thu 11/10/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
507		1.4.9.2.2.4	Discuss Project Resource Management		2 days	Thu 11/10/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
508		1.4.9.2.2.5	Discuss Project Timeline		2 days	Thu 11/10/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
509		1.4.9.2.2.6	Discuss Project Risks		2 days	Thu 11/10/22	Fri 11/11/22	CG Project Manager,RRCC Project Manager
510		1.4.9.2.2.7	Complete Roadmap Session 2 - Phase 1		1 day	Thu 11/10/22	Thu 11/10/22	CG Project Manager,RRCC Project Manager
511		1.4.9.2.3	Road Mapping Session 3	503FS+60 days	2 days	Mon 2/6/23	Tue 2/7/23	

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
512		1.4.9.2.3.1	Discuss Project Roadmap Objectives		2 days	Mon 2/6/23	Tue 2/7/23	CG Project Manager,RRCC Project Manager
513		1.4.9.2.3.2	Discuss Project Milestones Objectives		2 days	Mon 2/6/23	Tue 2/7/23	CG Project Manager,RRCC Project Manager
514		1.4.9.2.3.3	Discuss Project Deliverables		2 days	Mon 2/6/23	Tue 2/7/23	CG Project Manager,RRCC Project Manager
515		1.4.9.2.3.4	Discuss Project Resource Management		2 days	Mon 2/6/23	Tue 2/7/23	CG Project Manager,RRCC Project Manager
516		1.4.9.2.3.5	Discuss Project Timeline		2 days	Mon 2/6/23	Tue 2/7/23	CG Project Manager,RRCC Project Manager
517		1.4.9.2.3.6	Discuss Project Risks		2 days	Mon 2/6/23	Tue 2/7/23	CG Project Manager,RRCC Project Manager
518		1.4.9.2.3.7	Complete Roadmap Session 3 - Phase 1		1 day	Mon 2/6/23	Mon 2/6/23	CG Project Manager,RRCC Project Manager
519		1.4.9.2.4	Road Mapping Session 4	511FS+60 days	2 days	Wed 5/3/23	Thu 5/4/23	
520		1.4.9.2.4.1	Discuss Project Roadmap Objectives		2 days	Wed 5/3/23	Thu 5/4/23	CG Project Manager,RRCC Project Manager
521		1.4.9.2.4.2	Discuss Project Milestones Objectives		2 days	Wed 5/3/23	Thu 5/4/23	CG Project Manager,RRCC Project Manager
522		1.4.9.2.4.3	Discuss Project Deliverables		2 days	Wed 5/3/23	Thu 5/4/23	CG Project Manager,RRCC Project Manager
523		1.4.9.2.4.4	Discuss Project Resource Management		2 days	Wed 5/3/23	Thu 5/4/23	CG Project Manager,RRCC Project Manager
524		1.4.9.2.4.5	Discuss Project Timeline		2 days	Wed 5/3/23	Thu 5/4/23	CG Project Manager,RRCC Project Manager
525		1.4.9.2.4.6	Discuss Project Risks		2 days	Wed 5/3/23	Thu 5/4/23	CG Project Manager,RRCC Project Manager
526		1.4.9.2.4.7	Complete Roadmap Session 4 - Phase 1		1 day	Wed 5/3/23	Wed 5/3/23	CG Project Manager,RRCC Project Manager
527		1.4.9.2.5	Road Mapping Session 5 (Tentative)	519FS+60 days	2 days	Fri 7/28/23	Mon 7/31/23	
528		1.4.9.2.5.1	Discuss Project Roadmap Objectives		2 days	Fri 7/28/23	Mon 7/31/23	CG Project Manager,RRCC Project Manager
529		1.4.9.2.5.2	Discuss Project Milestones Objectives		2 days	Fri 7/28/23	Mon 7/31/23	CG Project Manager,RRCC Project Manager
530		1.4.9.2.5.3	Discuss Project Deliverables		2 days	Fri 7/28/23	Mon 7/31/23	CG Project Manager,RRCC Project Manager
531		1.4.9.2.5.4	Discuss Project Resource Management		2 days	Fri 7/28/23	Mon 7/31/23	CG Project Manager,RRCC Project Manager
532		1.4.9.2.5.5	Discuss Project Timeline		2 days	Fri 7/28/23	Mon 7/31/23	CG Project Manager,RRCC Project Manager
533		1.4.9.2.5.6	Discuss Project Risks		2 days	Fri 7/28/23	Mon 7/31/23	CG Project Manager,RRCC Project Manager
534		1.4.9.2.5.7	Complete Roadmap Session 5 - Phase 1		1 day	Fri 7/28/23	Fri 7/28/23	CG Project Manager,RRCC Project Manager
535		1.4.9.3	Use Case Specification Development		134 days	Mon 7/4/22	Thu 1/5/23	
536		1.4.9.3.1	A.2 Voters Use Case Specifications (26 Cases)	4935S-60 days	39 days	Mon 7/4/22	Thu 8/25/22	
537		1.4.9.3.1.1	Create Use Case Specification Documents – 2 days per Use Case	4935S-60 days	26 days	Mon 7/4/22	Mon 8/8/22	CG Subject Matter Expert[200%]
538		1.4.9.3.1.2	Review User Case Specification Document – 2 hours per Use Case	537	3.25 days	Tue 8/9/22	Fri 8/12/22	CG Subject Matter Expert[200%]
539		1.4.9.3.1.3	Validate Sprint Requirements – 2 hours per Use Case	538	3.25 days	Fri 8/12/22	Wed 8/17/22	CG Subject Matter Expert[200%]
540		1.4.9.3.1.4	Create Backlog of Requirements – 2 hours per Use Case	539	3.25 days	Wed 8/17/22	Mon 8/22/22	CG Subject Matter Expert[200%]
541		1.4.9.3.1.5	Designate MVP or Non-MVP – 2 hours per Use Case	540	3.25 days	Mon 8/22/22	Thu 8/25/22	CG Subject Matter Expert[200%]
542		1.4.9.3.2	A.2 Elections Use Case Specifications (28 Cases)	536	42 days	Fri 8/26/22	Mon 10/24/22	
543		1.4.9.3.2.1	Create Use Case Specification Documents – 2 days per Use Case	536	28 days	Fri 8/26/22	Tue 10/4/22	CG Subject Matter Expert[200%]
544		1.4.9.3.2.2	Review User Case Specification Document – 2 hours per Use Case	543	3.5 days	Wed 10/5/22	Mon 10/10/22	CG Subject Matter Expert[200%]
545		1.4.9.3.2.3	Validate Sprint Requirements – 2 hours per Use Case	544	3.5 days	Mon 10/10/22	Thu 10/13/22	CG Subject Matter Expert[200%]
546		1.4.9.3.2.4	Create Backlog of Requirements – 2 hours per Use Case	545	3.5 days	Fri 10/14/22	Wed 10/19/22	CG Subject Matter Expert[200%]
547		1.4.9.3.2.5	Designate MVP or Non-MVP – 2 hours per Use Case	546	3.5 days	Wed 10/19/22	Mon 10/24/22	CG Subject Matter Expert[200%]
548		1.4.9.3.3	A.2 Vote-by-Mail Management Use Case Specifications (10 Cases)	542	15 days	Tue 10/25/22	Mon 11/14/22	
549		1.4.9.3.3.1	Create Use Case Specification Documents – 2 days per Use Case	542	10 days	Tue 10/25/22	Mon 11/7/22	CG Subject Matter Expert[200%]
550		1.4.9.3.3.2	Review User Case Specification Document – 2 hours per Use Case	549	1.25 days	Tue 11/8/22	Wed 11/9/22	CG Subject Matter Expert[200%]
551		1.4.9.3.3.3	Validate Sprint Requirements – 2 hours per Use Case	550	1.25 days	Wed 11/9/22	Thu 11/10/22	CG Subject Matter Expert[200%]
552		1.4.9.3.3.4	Create Backlog of Requirements – 2 hours per Use Case	551	1.25 days	Thu 11/10/22	Fri 11/11/22	CG Subject Matter Expert[200%]
553		1.4.9.3.3.5	Designate MVP or Non-MVP – 2 hours per Use Case	552	1.25 days	Fri 11/11/22	Mon 11/14/22	CG Subject Matter Expert[200%]
554		1.4.9.3.4	A.2 Petitions Use Case Specifications (9 Cases)	548	14 days	Tue 11/15/22	Fri 12/2/22	
555		1.4.9.3.4.1	Create Use Case Specification Documents – 2 days per Use Case	548	9 days	Tue 11/15/22	Fri 11/25/22	CG Subject Matter Expert[200%]
556		1.4.9.3.4.2	Review User Case Specification Document – 2 hours per Use Case	555	1.25 days	Mon 11/28/22	Tue 11/29/22	CG Subject Matter Expert[200%]
557		1.4.9.3.4.3	Validate Sprint Requirements – 2 hours per Use Case	556	1.25 days	Tue 11/29/22	Wed 11/30/22	CG Subject Matter Expert[200%]
558		1.4.9.3.4.4	Create Backlog of Requirements – 2 hours per Use Case	557	1.25 days	Wed 11/30/22	Thu 12/1/22	CG Subject Matter Expert[200%]
559		1.4.9.3.4.5	Designate MVP or Non-MVP – 2 hours per Use Case	558	1.25 days	Thu 12/1/22	Fri 12/2/22	CG Subject Matter Expert[200%]
560		1.4.9.3.5	A.2 Election Results (1 Case)	554	3 days	Mon 12/5/22	Wed 12/7/22	
561		1.4.9.3.5.1	Create Use Case Specification Documents – 2 days per Use Case	554	2 days	Mon 12/5/22	Tue 12/6/22	CG Subject Matter Expert[200%]
562		1.4.9.3.5.2	Review User Case Specification Document – 2 hours per Use Case	561	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
563		1.4.9.3.5.3	Validate Sprint Requirements – 2 hours per Use Case	562	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
564		1.4.9.3.5.4	Create Backlog of Requirements – 2 hours per Use Case	563	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
565		1.4.9.3.5.5	Designate MVP or Non-MVP – 2 hours per Use Case	564	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
566		1.4.9.3.6	A.2 Reporting (1 Case)	554	3 days	Mon 12/5/22	Wed 12/7/22	
567		1.4.9.3.6.1	Create Use Case Specification Documents – 2 days per Use Case	554	2 days	Mon 12/5/22	Tue 12/6/22	CG Subject Matter Expert[200%]
568		1.4.9.3.6.2	Review User Case Specification Document – 2 hours per Use Case	567	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
569		1.4.9.3.6.3	Validate Sprint Requirements – 2 hours per Use Case	568	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
570		1.4.9.3.6.4	Create Backlog of Requirements – 2 hours per Use Case	569	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
571		1.4.9.3.6.5	Designate MVP or Non-MVP – 2 hours per Use Case	570	0.25 days	Wed 12/7/22	Wed 12/7/22	CG Subject Matter Expert[200%]
572		1.4.9.3.7	A.2 Administrative (14 Cases)	566	21 days	Thu 12/8/22	Thu 1/5/23	
573		1.4.9.3.7.1	Create Use Case Specification Documents – 2 days per Use Case	566	14 days	Thu 12/8/22	Tue 12/27/22	CG Subject Matter Expert[200%]
574		1.4.9.3.7.2	Review User Case Specification Document – 2 hours per Use Case	573	1.75 days	Wed 12/28/22	Thu 12/29/22	CG Subject Matter Expert[200%]
575		1.4.9.3.7.3	Validate Sprint Requirements – 2 hours per Use Case	574	1.75 days	Thu 12/29/22	Mon 1/2/23	CG Subject Matter Expert[200%]

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
576		1.4.9.3.7.4	Create Backlog of Requirements – 2 hours per Use Case	575	1.75 days	Mon 1/2/23	Wed 1/4/23	CG Subject Matter Expert[200%]
577		1.4.9.3.7.5	Designate MVP or Non-MVP – 2 hours per Use Case	576	1.75 days	Wed 1/4/23	Thu 1/5/23	CG Subject Matter Expert[200%]
578		1.4.9.3.8	Deliverable (%)		0 days	Thu 1/5/23	Thu 1/5/23	
579	3.1	1.4.9.3.8.1	Deliverable# I3.1: Final Use Cases Delivered	572	0 days	Thu 1/5/23	Thu 1/5/23	CG Project Manager,RRCC Project Manager
580	3.3.1	1.4.9.3.8.2	Deliverable# I3.3.1: Epics Delivered	579	0 days	Thu 1/5/23	Thu 1/5/23	CG Project Manager,RRCC Project Manager
581	3.3.2	1.4.9.3.8.3	Deliverable# I3.3.2: User Stories Delivered	580	0 days	Thu 1/5/23	Thu 1/5/23	CG Project Manager,RRCC Project Manager
582	5.2.1	1.4.9.3.8.4	Deliverable# I5.2.1: Sprint Backlog Delivered	581	0 days	Thu 1/5/23	Thu 1/5/23	CG Project Manager,RRCC Project Manager
583	9.2	1.4.9.3.8.5	Deliverable# I9.2: Reports Specifications	582	0 days	Thu 1/5/23	Thu 1/5/23	CG Project Manager,RRCC Project Manager
584	6.3.1	1.4.9.3.8.6	Deliverable# I6.3.1: Interface Specifications Delivered	583	0 days	Thu 1/5/23	Thu 1/5/23	CG Project Manager
585		1.4.9.4	Sprint Dev & Testing Cycle (Team n)		289 days	Mon 9/26/22	Sat 11/4/23	
586		1.4.9.4.1	Sprint 1 (3 weeks) - Voters, Elections, Petitions, Locations	493	15 days	Mon 9/26/22	Mon 10/17/22	
587		1.4.9.4.1.1	Load Sprint from Backlog Requirements		0 days	Mon 9/26/22	Mon 9/26/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
588		1.4.9.4.1.2	Technical Analysis		0 days	Mon 9/26/22	Mon 9/26/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
589		1.4.9.4.1.3	Mockup Creation		0 days	Mon 9/26/22	Mon 9/26/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
590		1.4.9.4.1.4	Mockup Review		0 days	Mon 9/26/22	Mon 9/26/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
591		1.4.9.4.1.5	Development		15 days	Tue 9/27/22	Mon 10/17/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
592		1.4.9.4.1.6	Testing		8 days	Tue 9/27/22	Thu 10/6/22	
593		1.4.9.4.1.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 9/27/22	Thu 10/6/22	
594		1.4.9.4.1.6.1.1	Write testing scenarios / Scripts		8 days	Tue 9/27/22	Thu 10/6/22	CG QA Lead,CG QA Tester
595		1.4.9.4.1.6.1.2	Review Test Scenarios / Scripts	594	0 days	Thu 10/6/22	Thu 10/6/22	RRCC Elections Steering Committee,CG Conve
596		1.4.9.4.1.6.1.3	Revise Test Scenarios / Scripts	595	0 days	Thu 10/6/22	Thu 10/6/22	CG QA Lead,CG QA Tester
597		1.4.9.4.1.6.1.4	Review Final Test Scenarios / Scripts	596	0 days	Thu 10/6/22	Thu 10/6/22	RRCC Elections Steering Committee,CG Conve
598		1.4.9.4.1.6.1.5	Approve Test Scenarios / Scripts	597	0 days	Thu 10/6/22	Thu 10/6/22	RRCC Elections Steering Committee,CG Conve
599		1.4.9.4.1.6.2	Execute Testing scenarios		7 days	Tue 9/27/22	Wed 10/5/22	
600		1.4.9.4.1.6.2.1	Execute scenarios and record test results		7 days	Tue 9/27/22	Wed 10/5/22	CG QA Lead,CG QA Tester
601		1.4.9.4.1.6.2.2	Provide feedback on problem notices	600	0 days	Wed 10/5/22	Wed 10/5/22	CG QA Lead,CG QA Tester
602		1.4.9.4.1.6.2.3	Re-test corrected problem notices	601	0 days	Wed 10/5/22	Wed 10/5/22	CG QA Lead,CG QA Tester
603		1.4.9.4.1.7	System Documentation Updates from Testing		15 days	Tue 9/27/22	Mon 10/17/22	CG QA Lead,CG QA Tester
604		1.4.9.4.1.8	UAT Demo		0 days	Mon 9/26/22	Mon 9/26/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
605		1.4.9.4.1.9	Ready for UAT		0 days	Mon 9/26/22	Mon 9/26/22	CG Project Manager,RRCC Project Manager
606		1.4.9.4.2	Sprint 2 (3 weeks) - Voters, Elections, Petitions, Locations	586	15 days	Mon 10/17/22	Mon 11/7/22	
607		1.4.9.4.2.1	Load Sprint from Backlog Requirements		0 days	Mon 10/17/22	Mon 10/17/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
608		1.4.9.4.2.2	Technical Analysis		0 days	Mon 10/17/22	Mon 10/17/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
609		1.4.9.4.2.3	Mockup Creation		0 days	Mon 10/17/22	Mon 10/17/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
610		1.4.9.4.2.4	Mockup Review		0 days	Mon 10/17/22	Mon 10/17/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
611		1.4.9.4.2.5	Development		15 days	Tue 10/18/22	Mon 11/7/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
612		1.4.9.4.2.6	Testing		8 days	Tue 10/18/22	Thu 10/27/22	
613		1.4.9.4.2.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 10/18/22	Thu 10/27/22	
614		1.4.9.4.2.6.1.1	Write testing scenarios / Scripts		8 days	Tue 10/18/22	Thu 10/27/22	CG QA Lead,CG QA Tester
615		1.4.9.4.2.6.1.2	Review Test Scenarios / Scripts	614	0 days	Thu 10/27/22	Thu 10/27/22	RRCC Elections Steering Committee,CG Conve
616		1.4.9.4.2.6.1.3	Revise Test Scenarios / Scripts	615	0 days	Thu 10/27/22	Thu 10/27/22	CG QA Lead,CG QA Tester
617		1.4.9.4.2.6.1.4	Review Final Test Scenarios / Scripts	616	0 days	Thu 10/27/22	Thu 10/27/22	RRCC Elections Steering Committee,CG Conve
618		1.4.9.4.2.6.1.5	Approve Test Scenarios / Scripts	617	0 days	Thu 10/27/22	Thu 10/27/22	RRCC Elections Steering Committee,CG Conve
619		1.4.9.4.2.6.2	Execute Testing scenarios		7 days	Tue 10/18/22	Wed 10/26/22	
620		1.4.9.4.2.6.2.1	Execute scenarios and record test results		7 days	Tue 10/18/22	Wed 10/26/22	CG QA Lead,CG QA Tester
621		1.4.9.4.2.6.2.2	Provide feedback on problem notices	620	0 days	Wed 10/26/22	Wed 10/26/22	CG QA Lead,CG QA Tester
622		1.4.9.4.2.6.2.3	Re-test corrected problem notices	621	0 days	Wed 10/26/22	Wed 10/26/22	CG QA Lead,CG QA Tester
623		1.4.9.4.2.7	System Documentation Updates from Testing		15 days	Tue 10/18/22	Mon 11/7/22	CG QA Lead,CG QA Tester
624		1.4.9.4.2.8	UAT Demo		0 days	Mon 10/17/22	Mon 10/17/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
625		1.4.9.4.2.9	Ready for UAT		0 days	Mon 10/17/22	Mon 10/17/22	CG Project Manager,RRCC Project Manager
626		1.4.9.4.3	Sprint 3 (3 weeks) - Voters, Elections, Petitions, Locations	606	15 days	Mon 11/7/22	Mon 11/28/22	
627		1.4.9.4.3.1	Load Sprint from Backlog Requirements		0 days	Mon 11/7/22	Mon 11/7/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
628		1.4.9.4.3.2	Technical Analysis		0 days	Mon 11/7/22	Mon 11/7/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
629		1.4.9.4.3.3	Mockup Creation		0 days	Mon 11/7/22	Mon 11/7/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
630		1.4.9.4.3.4	Mockup Review		0 days	Mon 11/7/22	Mon 11/7/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
631		1.4.9.4.3.5	Development		15 days	Tue 11/8/22	Mon 11/28/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
632		1.4.9.4.3.6	Testing		8 days	Tue 11/8/22	Thu 11/17/22	
633		1.4.9.4.3.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 11/8/22	Thu 11/17/22	
634		1.4.9.4.3.6.1.1	Write testing scenarios / Scripts		8 days	Tue 11/8/22	Thu 11/17/22	CG QA Lead,CG QA Tester
635		1.4.9.4.3.6.1.2	Review Test Scenarios / Scripts	634	0 days	Thu 11/17/22	Thu 11/17/22	RRCC Elections Steering Committee,CG Conve
636		1.4.9.4.3.6.1.3	Revise Test Scenarios / Scripts	635	0 days	Thu 11/17/22	Thu 11/17/22	CG QA Lead,CG QA Tester
637		1.4.9.4.3.6.1.4	Review Final Test Scenarios / Scripts	636	0 days	Thu 11/17/22	Thu 11/17/22	RRCC Elections Steering Committee,CG Conve
638		1.4.9.4.3.6.1.5	Approve Test Scenarios / Scripts	637	0 days	Thu 11/17/22	Thu 11/17/22	RRCC Elections Steering Committee,CG Conve
639		1.4.9.4.3.6.2	Execute Testing scenarios		7 days	Tue 11/8/22	Wed 11/16/22	

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
640		1.4.9.4.3.6.2.1	Execute scenarios and record test results		7 days	Tue 11/8/22	Wed 11/16/22	CG QA Lead,CG QA Tester
641		1.4.9.4.3.6.2.2	Provide feedback on problem notices	640	0 days	Wed 11/16/22	Wed 11/16/22	CG QA Lead,CG QA Tester
642		1.4.9.4.3.6.2.3	Re-test corrected problem notices	641	0 days	Wed 11/16/22	Wed 11/16/22	CG QA Lead,CG QA Tester
643		1.4.9.4.3.7	System Documentation Updates from Testing		15 days	Tue 11/8/22	Mon 11/28/22	CG QA Lead,CG QA Tester
644		1.4.9.4.3.8	UAT Demo		0 days	Mon 11/7/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
645		1.4.9.4.3.9	Ready for UAT		0 days	Mon 11/7/22	Mon 11/7/22	CG Project Manager,RRCC Project Manager
646		1.4.9.4.4	Sprint 4 (3 weeks) - Voters, Elections, Petitions, Locations	626	15 days	Mon 11/28/22	Mon 12/19/22	
647		1.4.9.4.4.1	Load Sprint from Backlog Requirements		0 days	Mon 11/28/22	Mon 11/28/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
648		1.4.9.4.4.2	Technical Analysis		0 days	Mon 11/28/22	Mon 11/28/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
649		1.4.9.4.4.3	Mockup Creation		0 days	Mon 11/28/22	Mon 11/28/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
650		1.4.9.4.4.4	Mockup Review		0 days	Mon 11/28/22	Mon 11/28/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
651		1.4.9.4.4.5	Development		15 days	Tue 11/29/22	Mon 12/19/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
652		1.4.9.4.4.6	Testing		8 days	Tue 11/29/22	Thu 12/8/22	
653		1.4.9.4.4.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 11/29/22	Thu 12/8/22	
654		1.4.9.4.4.6.1.1	Write testing scenarios / Scripts		8 days	Tue 11/29/22	Thu 12/8/22	CG QA Lead,CG QA Tester
655		1.4.9.4.4.6.1.2	Review Test Scenarios / Scripts	654	0 days	Thu 12/8/22	Thu 12/8/22	RRCC Elections Steering Committee,CG Conve
656		1.4.9.4.4.6.1.3	Revise Test Scenarios / Scripts	655	0 days	Thu 12/8/22	Thu 12/8/22	CG QA Lead,CG QA Tester
657		1.4.9.4.4.6.1.4	Review Final Test Scenarios / Scripts	656	0 days	Thu 12/8/22	Thu 12/8/22	RRCC Elections Steering Committee,CG Conve
658		1.4.9.4.4.6.1.5	Approve Test Scenarios / Scripts	657	0 days	Thu 12/8/22	Thu 12/8/22	RRCC Elections Steering Committee,CG Conve
659		1.4.9.4.4.6.2	Execute Testing scenarios		7 days	Tue 11/29/22	Wed 12/7/22	
660		1.4.9.4.4.6.2.1	Execute scenarios and record test results		7 days	Tue 11/29/22	Wed 12/7/22	CG QA Lead,CG QA Tester
661		1.4.9.4.4.6.2.2	Provide feedback on problem notices	660	0 days	Wed 12/7/22	Wed 12/7/22	CG QA Lead,CG QA Tester
662		1.4.9.4.4.6.2.3	Re-test corrected problem notices	661	0 days	Wed 12/7/22	Wed 12/7/22	CG QA Lead,CG QA Tester
663		1.4.9.4.4.7	System Documentation Updates from Testing		15 days	Tue 11/29/22	Mon 12/19/22	CG QA Lead,CG QA Tester
664		1.4.9.4.4.8	UAT Demo		0 days	Mon 11/28/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
665		1.4.9.4.4.9	Ready for UAT		0 days	Mon 11/28/22	Mon 11/28/22	CG Project Manager,RRCC Project Manager
666		1.4.9.4.5	Sprint 5 (3 weeks) - Voters, Elections, Petitions, Locations, BlueCrest Integration	646	15 days	Mon 12/19/22	Mon 1/9/23	
667		1.4.9.4.5.1	Load Sprint from Backlog Requirements		0 days	Mon 12/19/22	Mon 12/19/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
668		1.4.9.4.5.2	Technical Analysis		0 days	Mon 12/19/22	Mon 12/19/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
669		1.4.9.4.5.3	Mockup Creation		0 days	Mon 12/19/22	Mon 12/19/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
670		1.4.9.4.5.4	Mockup Review		0 days	Mon 12/19/22	Mon 12/19/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
671		1.4.9.4.5.5	Development		15 days	Tue 12/20/22	Mon 1/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
672		1.4.9.4.5.6	UAT Demo		0 days	Mon 12/19/22	Mon 12/19/22	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
673		1.4.9.4.5.7	Ready for UAT		0 days	Mon 12/19/22	Mon 12/19/22	CG Project Manager,RRCC Project Manager
674		1.4.9.4.6	Sprint 6 (3 weeks) - Voters, Elections, Petitions, Locations, BlueCrest Integration	666	15 days	Mon 1/9/23	Mon 1/30/23	
675		1.4.9.4.6.1	Load Sprint from Backlog Requirements		0 days	Mon 1/9/23	Mon 1/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
676		1.4.9.4.6.2	Technical Analysis		0 days	Mon 1/9/23	Mon 1/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
677		1.4.9.4.6.3	Mockup Creation		0 days	Mon 1/9/23	Mon 1/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
678		1.4.9.4.6.4	Mockup Review		0 days	Mon 1/9/23	Mon 1/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
679		1.4.9.4.6.5	Development		15 days	Mon 1/10/23	Mon 1/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
680		1.4.9.4.6.6	Testing		8 days	Tue 1/10/23	Thu 1/19/23	
681		1.4.9.4.6.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 1/10/23	Thu 1/19/23	
682		1.4.9.4.6.6.1.1	Write testing scenarios / Scripts		8 days	Tue 1/10/23	Thu 1/19/23	CG QA Lead,CG QA Tester
683		1.4.9.4.6.6.1.2	Review Test Scenarios / Scripts	682	0 days	Thu 1/19/23	Thu 1/19/23	RRCC Elections Steering Committee,CG Conve
684		1.4.9.4.6.6.1.3	Revise Test Scenarios / Scripts	683	0 days	Thu 1/19/23	Thu 1/19/23	CG QA Lead,CG QA Tester
685		1.4.9.4.6.6.1.4	Review Final Test Scenarios / Scripts	684	0 days	Thu 1/19/23	Thu 1/19/23	RRCC Elections Steering Committee,CG Conve
686		1.4.9.4.6.6.1.5	Approve Test Scenarios / Scripts	685	0 days	Thu 1/19/23	Thu 1/19/23	RRCC Elections Steering Committee,CG Conve
687		1.4.9.4.6.6.2	Execute Testing scenarios		7 days	Tue 1/10/23	Wed 1/18/23	
688		1.4.9.4.6.6.2.1	Execute scenarios and record test results		7 days	Tue 1/10/23	Wed 1/18/23	CG QA Lead,CG QA Tester
689		1.4.9.4.6.6.2.2	Provide feedback on problem notices	688	0 days	Wed 1/18/23	Wed 1/18/23	CG QA Lead,CG QA Tester
690		1.4.9.4.6.6.2.3	Re-test corrected problem notices	689	0 days	Wed 1/18/23	Wed 1/18/23	CG QA Lead,CG QA Tester
691		1.4.9.4.6.7	System Documentation Updates from Testing		15 days	Tue 1/10/23	Mon 1/30/23	CG QA Lead,CG QA Tester
692		1.4.9.4.6.8	UAT Demo		0 days	Mon 1/9/23	Mon 1/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
693		1.4.9.4.6.9	Ready for UAT		0 days	Mon 1/9/23	Mon 1/9/23	CG Project Manager,RRCC Project Manager
694		1.4.9.4.7	Sprint 7 (3 weeks) - Voters, Elections, Petitions, Locations, BlueCrest Integration	674	15 days	Mon 1/30/23	Mon 2/20/23	
695		1.4.9.4.7.1	Load Sprint from Backlog Requirements		0 days	Mon 1/30/23	Mon 1/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
696		1.4.9.4.7.2	Technical Analysis		0 days	Mon 1/30/23	Mon 1/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
697		1.4.9.4.7.3	Mockup Creation		0 days	Mon 1/30/23	Mon 1/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
698		1.4.9.4.7.4	Mockup Review		0 days	Mon 1/30/23	Mon 1/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
699		1.4.9.4.7.5	Development		15 days	Tue 1/31/23	Mon 2/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
700		1.4.9.4.7.6	Testing		8 days	Tue 1/31/23	Thu 2/9/23	
701		1.4.9.4.7.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 1/31/23	Thu 2/9/23	
702		1.4.9.4.7.6.1.1	Write testing scenarios / Scripts		8 days	Tue 1/31/23	Thu 2/9/23	CG QA Lead,CG QA Tester
703		1.4.9.4.7.6.1.2	Review Test Scenarios / Scripts	702	0 days	Thu 2/9/23	Thu 2/9/23	RRCC Elections Steering Committee,CG Conve

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
704		1.4.9.4.7.6.1.3	Revise Test Scenarios / Scripts	703	0 days	Thu 2/9/23	Thu 2/9/23	CG QA Lead,CG QA Tester
705		1.4.9.4.7.6.1.4	Review Final Test Scenarios / Scripts	704	0 days	Thu 2/9/23	Thu 2/9/23	RRCC Elections Steering Committee,CG Conve
706		1.4.9.4.7.6.1.5	Approve Test Scenarios / Scripts	705	0 days	Thu 2/9/23	Thu 2/9/23	RRCC Elections Steering Committee,CG Conve
707		1.4.9.4.7.6.2	Execute Testing scenarios		7 days	Tue 1/31/23	Wed 2/8/23	
708		1.4.9.4.7.6.2.1	Execute scenarios and record test results		7 days	Tue 1/31/23	Wed 2/8/23	CG QA Lead,CG QA Tester
709		1.4.9.4.7.6.2.2	Provide feedback on problem notices	708	0 days	Wed 2/8/23	Wed 2/8/23	CG QA Lead,CG QA Tester
710		1.4.9.4.7.6.2.3	Re-test corrected problem notices	709	0 days	Wed 2/8/23	Wed 2/8/23	CG QA Lead,CG QA Tester
711		1.4.9.4.7.7	System Documentation Updates from Testing		15 days	Tue 1/31/23	Mon 2/20/23	CG QA Lead,CG QA Tester
712		1.4.9.4.7.8	UAT Demo		0 days	Mon 1/30/23	Mon 1/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
713		1.4.9.4.7.9	Ready for UAT		0 days	Mon 1/30/23	Mon 1/30/23	CG Project Manager,RRCC Project Manager
714		1.4.9.4.8	Sprint 8 (3 weeks) - Voters, Elections, Petitions, Locations	694	15 days	Mon 2/20/23	Mon 3/13/23	
715		1.4.9.4.8.1	Load Sprint from Backlog Requirements		0 days	Mon 2/20/23	Mon 2/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
716		1.4.9.4.8.2	Technical Analysis		0 days	Mon 2/20/23	Mon 2/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
717		1.4.9.4.8.3	Mockup Creation		0 days	Mon 2/20/23	Mon 2/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
718		1.4.9.4.8.4	Mockup Review		0 days	Mon 2/20/23	Mon 2/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
719		1.4.9.4.8.5	Development		15 days	Tue 2/21/23	Mon 3/13/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
720		1.4.9.4.8.6	Testing		8 days	Tue 2/21/23	Thu 3/2/23	
721		1.4.9.4.8.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 2/21/23	Thu 3/2/23	
722		1.4.9.4.8.6.1.1	Write testing scenarios / Scripts		8 days	Tue 2/21/23	Thu 3/2/23	CG QA Lead,CG QA Tester
723		1.4.9.4.8.6.1.2	Review Test Scenarios / Scripts	722	0 days	Thu 3/2/23	Thu 3/2/23	RRCC Elections Steering Committee,CG Conve
724		1.4.9.4.8.6.1.3	Revise Test Scenarios / Scripts	723	0 days	Thu 3/2/23	Thu 3/2/23	CG QA Lead,CG QA Tester
725		1.4.9.4.8.6.1.4	Review Final Test Scenarios / Scripts	724	0 days	Thu 3/2/23	Thu 3/2/23	RRCC Elections Steering Committee,CG Conve
726		1.4.9.4.8.6.1.5	Approve Test Scenarios / Scripts	725	0 days	Thu 3/2/23	Thu 3/2/23	RRCC Elections Steering Committee,CG Conve
727		1.4.9.4.8.6.2	Execute Testing scenarios		7 days	Tue 2/21/23	Wed 3/1/23	
728		1.4.9.4.8.6.2.1	Execute scenarios and record test results		7 days	Tue 2/21/23	Wed 3/1/23	CG QA Lead,CG QA Tester
729		1.4.9.4.8.6.2.2	Provide feedback on problem notices	728	0 days	Wed 3/1/23	Wed 3/1/23	CG QA Lead,CG QA Tester
730		1.4.9.4.8.6.2.3	Re-test corrected problem notices	729	0 days	Wed 3/1/23	Wed 3/1/23	CG QA Lead,CG QA Tester
731		1.4.9.4.8.7	System Documentation Updates from Testing		15 days	Tue 2/21/23	Mon 3/13/23	CG QA Lead,CG QA Tester
732		1.4.9.4.8.8	UAT Demo		0 days	Mon 2/20/23	Mon 2/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
733		1.4.9.4.8.9	Ready for UAT		0 days	Mon 2/20/23	Mon 2/20/23	CG Project Manager,RRCC Project Manager
734		1.4.9.4.9	Sprint 9 (3 weeks) - Voters, Elections, Petitions, Locations - HARDENING SPRINT	714	15 days	Mon 3/13/23	Mon 4/3/23	
735		1.4.9.4.9.1	Conduct code review		15 days	Tue 3/14/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
736		1.4.9.4.9.2	Update code		15 days	Tue 3/14/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
737		1.4.9.4.9.3	Validate code		15 days	Mon 4/3/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
738		1.4.9.4.9.4	Host Sprint Demo/Release Tech Docs		0 days	Mon 3/13/23	Mon 3/13/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
739		1.4.9.4.9.5	Request signoff for sprint deliverables		0 days	Mon 3/13/23	Mon 3/13/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
740		1.4.9.4.9.6	Ready for UAT		0 days	Mon 3/13/23	Mon 3/13/23	CG Project Manager,RRCC Project Manager
741		1.4.9.4.10	Sprint 10 (3 weeks) - Candidates, Ballots, Reports, Workers	734	15 days	Mon 4/3/23	Mon 4/24/23	
742		1.4.9.4.10.1	Load Sprint from Backlog Requirements		0 days	Mon 4/3/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
743		1.4.9.4.10.2	Technical Analysis		0 days	Mon 4/3/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
744		1.4.9.4.10.3	Mockup Creation		0 days	Mon 4/3/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
745		1.4.9.4.10.4	Mockup Review		0 days	Mon 4/3/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
746		1.4.9.4.10.5	Development		15 days	Tue 4/4/23	Mon 4/24/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
747		1.4.9.4.10.6	Testing		8 days	Tue 4/4/23	Thu 4/13/23	
748		1.4.9.4.10.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 4/4/23	Thu 4/13/23	
749		1.4.9.4.10.6.1.1	Write testing scenarios / Scripts		8 days	Tue 4/4/23	Thu 4/13/23	CG QA Lead,CG QA Tester
750		1.4.9.4.10.6.1.2	Review Test Scenarios / Scripts	749	0 days	Thu 4/13/23	Thu 4/13/23	RRCC Elections Steering Committee,CG Conve
751		1.4.9.4.10.6.1.3	Revise Test Scenarios / Scripts	750	0 days	Thu 4/13/23	Thu 4/13/23	CG QA Lead,CG QA Tester
752		1.4.9.4.10.6.1.4	Review Final Test Scenarios / Scripts	751	0 days	Thu 4/13/23	Thu 4/13/23	RRCC Elections Steering Committee,CG Conve
753		1.4.9.4.10.6.1.5	Approve Test Scenarios / Scripts	752	0 days	Thu 4/13/23	Thu 4/13/23	RRCC Elections Steering Committee,CG Conve
754		1.4.9.4.10.6.2	Execute Testing scenarios		7 days	Tue 4/4/23	Wed 4/12/23	
755		1.4.9.4.10.6.2.1	Execute scenarios and record test results		7 days	Tue 4/4/23	Wed 4/12/23	CG QA Lead,CG QA Tester
756		1.4.9.4.10.6.2.2	Provide feedback on problem notices	755	0 days	Wed 4/12/23	Wed 4/12/23	CG QA Lead,CG QA Tester
757		1.4.9.4.10.6.2.3	Re-test corrected problem notices	756	0 days	Wed 4/12/23	Wed 4/12/23	CG QA Lead,CG QA Tester
758		1.4.9.4.10.7	System Documentation Updates from Testing		15 days	Tue 4/4/23	Mon 4/24/23	CG QA Lead,CG QA Tester
759		1.4.9.4.10.8	UAT Demo		0 days	Mon 4/3/23	Mon 4/3/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
760		1.4.9.4.10.9	Ready for UAT		0 days	Mon 4/3/23	Mon 4/3/23	CG Project Manager,RRCC Project Manager
761		1.4.9.4.11	Sprint 11 (3 weeks) - Candidates, Ballots, Reports, Workers	741	15 days	Mon 4/24/23	Mon 5/15/23	
762		1.4.9.4.11.1	Load Sprint from Backlog Requirements		0 days	Mon 4/24/23	Mon 4/24/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
763		1.4.9.4.11.2	Technical Analysis		0 days	Mon 4/24/23	Mon 4/24/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
764		1.4.9.4.11.3	Mockup Creation		0 days	Mon 4/24/23	Mon 4/24/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
765		1.4.9.4.11.4	Mockup Review		0 days	Mon 4/24/23	Mon 4/24/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
766		1.4.9.4.11.5	Development		15 days	Tue 4/25/23	Mon 5/15/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
767		1.4.9.4.11.6	Testing		8 days	Tue 4/25/23	Thu 5/4/23	

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
768		1.4.9.4.11.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 4/25/23	Thu 5/4/23	
769		1.4.9.4.11.6.1.1	Write testing scenarios / Scripts		8 days	Tue 4/25/23	Thu 5/4/23	CG QA Lead,CG QA Tester
770		1.4.9.4.11.6.1.2	Review Test Scenarios / Scripts	769	0 days	Thu 5/4/23	Thu 5/4/23	RRCC Elections Steering Committee,CG Conve
771		1.4.9.4.11.6.1.3	Revise Test Scenarios / Scripts	770	0 days	Thu 5/4/23	Thu 5/4/23	CG QA Lead,CG QA Tester
772		1.4.9.4.11.6.1.4	Review Final Test Scenarios / Scripts	771	0 days	Thu 5/4/23	Thu 5/4/23	RRCC Elections Steering Committee,CG Conve
773		1.4.9.4.11.6.1.5	Approve Test Scenarios / Scripts	772	0 days	Thu 5/4/23	Thu 5/4/23	RRCC Elections Steering Committee,CG Conve
774		1.4.9.4.11.6.2	Execute Testing scenarios		7 days	Tue 4/25/23	Wed 5/3/23	
775		1.4.9.4.11.6.2.1	Execute scenarios and record test results		7 days	Tue 4/25/23	Wed 5/3/23	CG QA Lead,CG QA Tester
776		1.4.9.4.11.6.2.2	Provide feedback on problem notices	775	0 days	Wed 5/3/23	Wed 5/3/23	CG QA Lead,CG QA Tester
777		1.4.9.4.11.6.2.3	Re-test corrected problem notices	776	0 days	Wed 5/3/23	Wed 5/3/23	CG QA Lead,CG QA Tester
778		1.4.9.4.11.7	System Documentation Updates from Testing		15 days	Tue 4/25/23	Mon 5/15/23	CG QA Lead,CG QA Tester
779		1.4.9.4.11.8	UAT Demo		0 days	Mon 4/24/23	Mon 4/24/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
780		1.4.9.4.11.9	Ready for UAT		0 days	Mon 4/24/23	Mon 4/24/23	CG Project Manager,RRCC Project Manager
781		1.4.9.4.12	Sprint 12 (3 weeks) - Candidates, Ballots, Reports, Workers	761	15 days	Mon 5/15/23	Mon 6/5/23	
782		1.4.9.4.12.1	Load Sprint from Backlog Requirements		0 days	Mon 5/15/23	Mon 5/15/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
783		1.4.9.4.12.2	Technical Analysis		0 days	Mon 5/15/23	Mon 5/15/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
784		1.4.9.4.12.3	Mockup Creation		0 days	Mon 5/15/23	Mon 5/15/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
785		1.4.9.4.12.4	Mockup Review		0 days	Mon 5/15/23	Mon 5/15/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
786		1.4.9.4.12.5	Development		15 days	Tue 5/16/23	Mon 6/5/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
787		1.4.9.4.12.6	Testing		8 days	Tue 5/16/23	Thu 5/25/23	
788		1.4.9.4.12.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 5/16/23	Thu 5/25/23	
789		1.4.9.4.12.6.1.1	Write testing scenarios / Scripts		8 days	Tue 5/16/23	Thu 5/25/23	CG QA Lead,CG QA Tester
790		1.4.9.4.12.6.1.2	Review Test Scenarios / Scripts	789	0 days	Thu 5/25/23	Thu 5/25/23	RRCC Elections Steering Committee,CG Conve
791		1.4.9.4.12.6.1.3	Revise Test Scenarios / Scripts	790	0 days	Thu 5/25/23	Thu 5/25/23	CG QA Lead,CG QA Tester
792		1.4.9.4.12.6.1.4	Review Final Test Scenarios / Scripts	791	0 days	Thu 5/25/23	Thu 5/25/23	RRCC Elections Steering Committee,CG Conve
793		1.4.9.4.12.6.1.5	Approve Test Scenarios / Scripts	792	0 days	Thu 5/25/23	Thu 5/25/23	RRCC Elections Steering Committee,CG Conve
794		1.4.9.4.12.6.2	Execute Testing scenarios		7 days	Tue 5/16/23	Wed 5/24/23	
795		1.4.9.4.12.6.2.1	Execute scenarios and record test results		7 days	Tue 5/16/23	Wed 5/24/23	CG QA Lead,CG QA Tester
796		1.4.9.4.12.6.2.2	Provide feedback on problem notices	795	0 days	Wed 5/24/23	Wed 5/24/23	CG QA Lead,CG QA Tester
797		1.4.9.4.12.6.2.3	Re-test corrected problem notices	796	0 days	Wed 5/24/23	Wed 5/24/23	CG QA Lead,CG QA Tester
798		1.4.9.4.12.7	System Documentation Updates from Testing		15 days	Tue 5/16/23	Mon 6/5/23	CG QA Lead,CG QA Tester
799		1.4.9.4.12.8	UAT Demo		0 days	Mon 5/15/23	Mon 5/15/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
800		1.4.9.4.12.9	Ready for UAT		0 days	Mon 5/15/23	Mon 5/15/23	CG Project Manager,RRCC Project Manager
801		1.4.9.4.13	Sprint 13 (3 weeks) - Candidates, Ballots, Reports, Workers	781	15 days	Mon 6/5/23	Mon 6/26/23	
802		1.4.9.4.13.1	Load Sprint from Backlog Requirements		0 days	Mon 6/5/23	Mon 6/5/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
803		1.4.9.4.13.2	Technical Analysis		0 days	Mon 6/5/23	Mon 6/5/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
804		1.4.9.4.13.3	Mockup Creation		0 days	Mon 6/5/23	Mon 6/5/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
805		1.4.9.4.13.4	Mockup Review		0 days	Mon 6/5/23	Mon 6/5/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
806		1.4.9.4.13.5	Development		15 days	Tue 6/6/23	Mon 6/26/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
807		1.4.9.4.13.6	Testing		8 days	Tue 6/6/23	Thu 6/15/23	
808		1.4.9.4.13.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 6/6/23	Thu 6/15/23	
809		1.4.9.4.13.6.1.1	Write testing scenarios / Scripts		8 days	Tue 6/6/23	Thu 6/15/23	CG QA Lead,CG QA Tester
810		1.4.9.4.13.6.1.2	Review Test Scenarios / Scripts	809	0 days	Thu 6/15/23	Thu 6/15/23	RRCC Elections Steering Committee,CG Conve
811		1.4.9.4.13.6.1.3	Revise Test Scenarios / Scripts	810	0 days	Thu 6/15/23	Thu 6/15/23	CG QA Lead,CG QA Tester
812		1.4.9.4.13.6.1.4	Review Final Test Scenarios / Scripts	811	0 days	Thu 6/15/23	Thu 6/15/23	RRCC Elections Steering Committee,CG Conve
813		1.4.9.4.13.6.1.5	Approve Test Scenarios / Scripts	812	0 days	Thu 6/15/23	Thu 6/15/23	RRCC Elections Steering Committee,CG Conve
814		1.4.9.4.13.6.2	Execute Testing scenarios		7 days	Tue 6/6/23	Wed 6/14/23	
815		1.4.9.4.13.6.2.1	Execute scenarios and record test results		7 days	Tue 6/6/23	Wed 6/14/23	CG QA Lead,CG QA Tester
816		1.4.9.4.13.6.2.2	Provide feedback on problem notices	815	0 days	Wed 6/14/23	Wed 6/14/23	CG QA Lead,CG QA Tester
817		1.4.9.4.13.6.2.3	Re-test corrected problem notices	816	0 days	Wed 6/14/23	Wed 6/14/23	CG QA Lead,CG QA Tester
818		1.4.9.4.13.7	System Documentation Updates from Testing		15 days	Tue 6/6/23	Mon 6/26/23	CG QA Lead,CG QA Tester
819		1.4.9.4.13.8	UAT Demo		0 days	Mon 6/5/23	Mon 6/5/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
820		1.4.9.4.13.9	Ready for UAT		0 days	Mon 6/5/23	Mon 6/5/23	CG Project Manager,RRCC Project Manager
821		1.4.9.4.14	Sprint 14 (3 weeks) - Candidates, Ballots, Reports, Workers	801	15 days	Mon 6/26/23	Mon 7/17/23	
822		1.4.9.4.14.1	Load Sprint from Backlog Requirements		0 days	Mon 6/26/23	Mon 6/26/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
823		1.4.9.4.14.2	Technical Analysis		0 days	Mon 6/26/23	Mon 6/26/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
824		1.4.9.4.14.3	Mockup Creation		0 days	Mon 6/26/23	Mon 6/26/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
825		1.4.9.4.14.4	Mockup Review		0 days	Mon 6/26/23	Mon 6/26/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
826		1.4.9.4.14.5	Development		15 days	Tue 6/27/23	Mon 7/17/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
827		1.4.9.4.14.6	Testing		8 days	Tue 6/27/23	Thu 7/6/23	
828		1.4.9.4.14.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 6/27/23	Thu 7/6/23	
829		1.4.9.4.14.6.1.1	Write testing scenarios / Scripts		8 days	Tue 6/27/23	Thu 7/6/23	CG QA Lead,CG QA Tester
830		1.4.9.4.14.6.1.2	Review Test Scenarios / Scripts	829	0 days	Thu 7/6/23	Thu 7/6/23	RRCC Elections Steering Committee,CG Conve
831		1.4.9.4.14.6.1.3	Revise Test Scenarios / Scripts	830	0 days	Thu 7/6/23	Thu 7/6/23	CG QA Lead,CG QA Tester

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
832		1.4.9.4.14.6.1.4	Review Final Test Scenarios / Scripts	831	0 days	Thu 7/6/23	Thu 7/6/23	RRCC Elections Steering Committee,CG Conve
833		1.4.9.4.14.6.1.5	Approve Test Scenarios / Scripts	832	0 days	Thu 7/6/23	Thu 7/6/23	RRCC Elections Steering Committee,CG Conve
834		1.4.9.4.14.6.2	Execute Testing scenarios		7 days	Tue 6/27/23	Wed 7/5/23	
835		1.4.9.4.14.6.2.1	Execute scenarios and record test results		7 days	Tue 6/27/23	Wed 7/5/23	CG QA Lead,CG QA Tester
836		1.4.9.4.14.6.2.2	Provide feedback on problem notices	835	0 days	Wed 7/5/23	Wed 7/5/23	CG QA Lead,CG QA Tester
837		1.4.9.4.14.6.2.3	Re-test corrected problem notices	836	0 days	Wed 7/5/23	Wed 7/5/23	CG QA Lead,CG QA Tester
838		1.4.9.4.14.7	System Documentation Updates from Testing		15 days	Tue 6/27/23	Mon 7/17/23	CG QA Lead,CG QA Tester
839		1.4.9.4.14.8	UAT Demo		0 days	Mon 6/26/23	Mon 6/26/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
840		1.4.9.4.14.9	Ready for UAT		0 days	Mon 6/26/23	Mon 6/26/23	CG Project Manager,RRCC Project Manager
841		1.4.9.4.15	Sprint 15 (3 weeks) - Candidates, Ballots, Reports, Workers	821	15 days	Mon 7/17/23	Mon 8/7/23	
842		1.4.9.4.15.1	Load Sprint from Backlog Requirements		0 days	Mon 7/17/23	Mon 7/17/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
843		1.4.9.4.15.2	Technical Analysis		0 days	Mon 7/17/23	Mon 7/17/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
844		1.4.9.4.15.3	Mockup Creation		0 days	Mon 7/17/23	Mon 7/17/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
845		1.4.9.4.15.4	Mockup Review		0 days	Mon 7/17/23	Mon 7/17/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
846		1.4.9.4.15.5	Development		15 days	Tue 7/18/23	Mon 8/7/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
847		1.4.9.4.15.6	Testing		8 days	Tue 7/18/23	Thu 7/27/23	
848		1.4.9.4.15.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 7/18/23	Thu 7/27/23	
849		1.4.9.4.15.6.1.1	Write testing scenarios / Scripts		8 days	Tue 7/18/23	Thu 7/27/23	CG QA Lead,CG QA Tester
850		1.4.9.4.15.6.1.2	Review Test Scenarios / Scripts	849	0 days	Thu 7/27/23	Thu 7/27/23	RRCC Elections Steering Committee,CG Conve
851		1.4.9.4.15.6.1.3	Revise Test Scenarios / Scripts	850	0 days	Thu 7/27/23	Thu 7/27/23	CG QA Lead,CG QA Tester
852		1.4.9.4.15.6.1.4	Review Final Test Scenarios / Scripts	851	0 days	Thu 7/27/23	Thu 7/27/23	RRCC Elections Steering Committee,CG Conve
853		1.4.9.4.15.6.1.5	Approve Test Scenarios / Scripts	852	0 days	Thu 7/27/23	Thu 7/27/23	RRCC Elections Steering Committee,CG Conve
854		1.4.9.4.15.6.2	Execute Testing scenarios		7 days	Tue 7/18/23	Wed 7/26/23	
855		1.4.9.4.15.6.2.1	Execute scenarios and record test results		7 days	Tue 7/18/23	Wed 7/26/23	CG QA Lead,CG QA Tester
856		1.4.9.4.15.6.2.2	Provide feedback on problem notices	855	0 days	Wed 7/26/23	Wed 7/26/23	CG QA Lead,CG QA Tester
857		1.4.9.4.15.6.2.3	Re-test corrected problem notices	856	0 days	Wed 7/26/23	Wed 7/26/23	CG QA Lead,CG QA Tester
858		1.4.9.4.15.7	System Documentation Updates from Testing		15 days	Tue 7/18/23	Mon 8/7/23	CG QA Lead,CG QA Tester
859		1.4.9.4.15.8	UAT Demo		0 days	Mon 7/17/23	Mon 7/17/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
860		1.4.9.4.15.9	Ready for UAT		0 days	Mon 7/17/23	Mon 7/17/23	CG Project Manager,RRCC Project Manager
861		1.4.9.4.16	Sprint 16 (3 weeks) - Candidates, Ballots, Reports, Workers	841	15 days	Mon 8/7/23	Mon 8/28/23	
862		1.4.9.4.16.1	Load Sprint from Backlog Requirements		0 days	Mon 8/7/23	Mon 8/7/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
863		1.4.9.4.16.2	Technical Analysis		0 days	Mon 8/7/23	Mon 8/7/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
864		1.4.9.4.16.3	Mockup Creation		0 days	Mon 8/7/23	Mon 8/7/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
865		1.4.9.4.16.4	Mockup Review		0 days	Mon 8/7/23	Mon 8/7/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
866		1.4.9.4.16.5	Development		15 days	Tue 8/8/23	Mon 8/28/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
867		1.4.9.4.16.6	Testing		8 days	Tue 8/8/23	Thu 8/17/23	
868		1.4.9.4.16.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 8/8/23	Thu 8/17/23	
869		1.4.9.4.16.6.1.1	Write testing scenarios / Scripts		8 days	Tue 8/8/23	Thu 8/17/23	CG QA Lead,CG QA Tester
870		1.4.9.4.16.6.1.2	Review Test Scenarios / Scripts	869	0 days	Thu 8/17/23	Thu 8/17/23	RRCC Elections Steering Committee,CG Conve
871		1.4.9.4.16.6.1.3	Revise Test Scenarios / Scripts	870	0 days	Thu 8/17/23	Thu 8/17/23	CG QA Lead,CG QA Tester
872		1.4.9.4.16.6.1.4	Review Final Test Scenarios / Scripts	871	0 days	Thu 8/17/23	Thu 8/17/23	RRCC Elections Steering Committee,CG Conve
873		1.4.9.4.16.6.1.5	Approve Test Scenarios / Scripts	872	0 days	Thu 8/17/23	Thu 8/17/23	RRCC Elections Steering Committee,CG Conve
874		1.4.9.4.16.6.2	Execute Testing scenarios		7 days	Tue 8/8/23	Wed 8/16/23	
875		1.4.9.4.16.6.2.1	Execute scenarios and record test results		7 days	Tue 8/8/23	Wed 8/16/23	CG QA Lead,CG QA Tester
876		1.4.9.4.16.6.2.2	Provide feedback on problem notices	875	0 days	Wed 8/16/23	Wed 8/16/23	CG QA Lead,CG QA Tester
877		1.4.9.4.16.6.2.3	Re-test corrected problem notices	876	0 days	Wed 8/16/23	Wed 8/16/23	CG QA Lead,CG QA Tester
878		1.4.9.4.16.7	System Documentation Updates from Testing		15 days	Tue 8/8/23	Mon 8/28/23	CG QA Lead,CG QA Tester
879		1.4.9.4.16.8	UAT Demo		0 days	Mon 8/7/23	Mon 8/7/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
880		1.4.9.4.16.9	Ready for UAT		0 days	Mon 8/7/23	Mon 8/7/23	CG Project Manager,RRCC Project Manager
881		1.4.9.4.17	Sprint 17 (3 weeks) - Candidates, Ballots, Reports, Workers	861	15 days	Mon 8/28/23	Mon 9/18/23	
882		1.4.9.4.17.1	Load Sprint from Backlog Requirements		0 days	Mon 8/28/23	Mon 8/28/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
883		1.4.9.4.17.2	Technical Analysis		0 days	Mon 8/28/23	Mon 8/28/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
884		1.4.9.4.17.3	Mockup Creation		0 days	Mon 8/28/23	Mon 8/28/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
885		1.4.9.4.17.4	Mockup Review		0 days	Mon 8/28/23	Mon 8/28/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
886		1.4.9.4.17.5	Development		15 days	Tue 8/29/23	Mon 9/18/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
887		1.4.9.4.17.6	Testing		8 days	Tue 8/29/23	Thu 9/7/23	
888		1.4.9.4.17.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 8/29/23	Thu 9/7/23	
889		1.4.9.4.17.6.1.1	Write testing scenarios / Scripts		8 days	Tue 8/29/23	Thu 9/7/23	CG QA Lead,CG QA Tester
890		1.4.9.4.17.6.1.2	Review Test Scenarios / Scripts	889	0 days	Thu 9/7/23	Thu 9/7/23	RRCC Elections Steering Committee,CG Conve
891		1.4.9.4.17.6.1.3	Revise Test Scenarios / Scripts	890	0 days	Thu 9/7/23	Thu 9/7/23	CG QA Lead,CG QA Tester
892		1.4.9.4.17.6.1.4	Review Final Test Scenarios / Scripts	891	0 days	Thu 9/7/23	Thu 9/7/23	RRCC Elections Steering Committee,CG Conve
893		1.4.9.4.17.6.1.5	Approve Test Scenarios / Scripts	892	0 days	Thu 9/7/23	Thu 9/7/23	RRCC Elections Steering Committee,CG Conve
894		1.4.9.4.17.6.2	Execute Testing scenarios		7 days	Tue 8/29/23	Wed 9/6/23	
895		1.4.9.4.17.6.2.1	Execute scenarios and record test results		7 days	Tue 8/29/23	Wed 9/6/23	CG QA Lead,CG QA Tester

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ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names	
896		1.4.9.4.17.6.2.2	Provide feedback on problem notices	895	0 days	Wed 9/6/23	Wed 9/6/23	CG QA Lead,CG QA Tester	
897		1.4.9.4.17.6.2.3	Re-test corrected problem notices	896	0 days	Wed 9/6/23	Wed 9/6/23	CG QA Lead,CG QA Tester	
898		1.4.9.4.17.7	System Documentation Updates from Testing		15 days	Tue 8/29/23	Mon 9/18/23	CG QA Lead,CG QA Tester	
899		1.4.9.4.17.8	UAT Demo		0 days	Mon 8/28/23	Mon 8/28/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
900		1.4.9.4.17.9	Ready for UAT		0 days	Mon 8/28/23	Mon 8/28/23	CG Project Manager,RRCC Project Manager	
901		1.4.9.4.18	Sprint 18 (3 weeks) - Candidates, Ballots, Reports, Workers - HARDENING SPRINT	881	15 days	Mon 9/18/23	Mon 10/9/23		
902		1.4.9.4.18.1	Conduct code review		15 days	Tue 9/19/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
903		1.4.9.4.18.2	Update code		15 days	Tue 9/19/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
904		1.4.9.4.18.3	Validate code		15 days	Tue 9/19/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
905		1.4.9.4.18.4	Host Sprint Demo/Release Tech Docs		0 days	Mon 9/18/23	Mon 9/18/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
906		1.4.9.4.18.5	Request signoff for sprint deliverables		0 days	Mon 9/18/23	Mon 9/18/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D	
907		1.4.9.4.18.6	Ready for UAT		0 days	Mon 9/18/23	Mon 9/18/23	CG Project Manager,RRCC Project Manager	
908		1.4.9.4.18.7	Deliverable# I9.5: Dashboards		0 days	Mon 9/18/23	Mon 9/18/23		
909		1.4.9.4.19	Phase 1 Sprint Cycles Complete	901	0 days	Mon 10/9/23	Mon 10/9/23		
910		1.4.9.4.20	Deliverables (%)		0 days	Sat 11/4/23	Sat 11/4/23		
911	8.1.2.1	1.4.9.4.20.1	Deliverable# I8.1.2.1: Test Scripts Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead,CG QA Tester,CG Project Manager	
912	8.1.2.2	1.4.9.4.20.2	Deliverable# I8.1.2.2: Test Scenarios Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead,CG QA Tester,CG Project Manager	
913	8.2.1.1	1.4.9.4.20.3	Deliverable# I8.2.1.1: Unit Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
914	8.2.1.2	1.4.9.4.20.4	Deliverable# I8.2.1.2: System Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
915	8.2.1.3	1.4.9.4.20.5	Deliverable# I8.2.1.3: Integration Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
916	8.2.1.4	1.4.9.4.20.6	Deliverable# I8.2.1.4: End-to-End Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
917	8.2.1.5	1.4.9.4.20.7	Deliverable# I8.2.1.5: Negative Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
918	8.2.1.6	1.4.9.4.20.8	Deliverable# I8.2.1.6: Usability Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
919	8.2.1.7	1.4.9.4.20.9	Deliverable# I8.2.1.7: Performance (Load/Stress) Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
920	8.2.1.8	1.4.9.4.20.10	Deliverable# I8.2.1.8: Regression Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
921	8.2.1.9	1.4.9.4.20.11	Deliverable# I8.2.1.9: Recovery Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead,CG QA Tester	
922	8.2.1.10	1.4.9.4.20.12	Deliverable# I8.2.1.10: Security Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
923	8.2.1.11	1.4.9.4.20.13	Deliverable# I8.2.1.11: Smoke Testing Results Report Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG QA Lead	
924	6.3.2	1.4.9.4.20.14	Deliverable# I6.3.2: Interface Validation Report (System Operations Document) Delivered	901,1002	0 days	Sat 11/4/23	Sat 11/4/23	CG Project Manager	
925	9.3	1.4.9.4.20.15	Deliverable# I9.3: Reports	901,1002	0 days	Sat 11/4/23	Sat 11/4/23		
926	9.4	1.4.9.4.20.16	Deliverable# I9.4: Self-Service Reporting Capability	901,1002	0 days	Sat 11/4/23	Sat 11/4/23		
927	9.5	1.4.9.4.20.17	Deliverable# I9.5: Dashboards	901,1002	0 days	Sat 11/4/23	Sat 11/4/23		
928		1.4.9.5	Create/Update User Documentation		270 days	Tue 10/18/22	Mon 10/30/23		
929		1.4.9.5.1	Write User Documentation	586	200 days	Mon 7/24/23		CG Subject Matter Expert,CG Doc Writer 1	
930		1.4.9.5.2	Review User documentation	929	40 days	Tue 7/25/23	Mon 9/18/23	RRCC Elections Steering Committee,External C	
931		1.4.9.5.3	Revise User Documentation	930	25 days	Tue 9/19/23	Mon 10/23/23	CG Subject Matter Expert,CG Doc Writer 1	
932		1.4.9.5.4	Review Final User Documentation	931	5 days	Tue 10/24/23	Mon 10/30/23	RRCC Elections Steering Committee,External C	
933		1.4.9.5.5	Deliverable (%)	932	0 days	Mon 10/30/23	Mon 10/30/23		
934	10.2.4	1.4.9.5.5.1	Deliverable# I10.2.4: User Guide and Help Documentation		0 days	Mon 10/30/23	Mon 10/30/23	CG Project Manager	
935		1.4.9.6	Organizational Change Management Execution Activities during Phase 1		320 days	Mon 8/15/22	Fri 11/3/23		
936		1.4.9.6.1	Provide bi-weekly Organizational Change Management Status Reports during Phase 1		320 days	Mon 8/15/22	Fri 11/3/23		
937		1.4.9.6.1.1	Provide Bi-Weekly Report 1	375	10 days	Mon 8/15/22	Fri 8/26/22	CG Subject Matter Expert,CG Doc Writer 1	
938		1.4.9.6.1.2	Provide Bi-Weekly Report 2	937	10 days	Mon 8/29/22	Fri 9/9/22	CG Subject Matter Expert,CG Doc Writer 1	
939		1.4.9.6.1.3	Provide Bi-Weekly Report 3	938	10 days	Mon 9/12/22	Fri 9/23/22	CG Subject Matter Expert,CG Doc Writer 1	
940		1.4.9.6.1.4	Provide Bi-Weekly Report 4	939	10 days	Mon 9/26/22	Fri 10/7/22	CG Subject Matter Expert,CG Doc Writer 1	
941		1.4.9.6.1.5	Provide Bi-Weekly Report 5	940	10 days	Mon 10/10/22	Fri 10/21/22	CG Subject Matter Expert,CG Doc Writer 1	
942		1.4.9.6.1.6	Provide Bi-Weekly Report 6	941	10 days	Mon 10/24/22	Fri 11/4/22	CG Subject Matter Expert,CG Doc Writer 1	
943		1.4.9.6.1.7	Provide Bi-Weekly Report 7	942	10 days	Mon 11/7/22	Fri 11/18/22	CG Subject Matter Expert,CG Doc Writer 1	
944		1.4.9.6.1.8	Provide Bi-Weekly Report 8	943	10 days	Mon 11/21/22	Fri 12/2/22	CG Subject Matter Expert,CG Doc Writer 1	
945		1.4.9.6.1.9	Provide Bi-Weekly Report 9	944	10 days	Mon 12/5/22	Fri 12/16/22	CG Subject Matter Expert,CG Doc Writer 1	
946		1.4.9.6.1.10	Provide Bi-Weekly Report 10	945	10 days	Mon 12/19/22	Fri 12/30/22	CG Subject Matter Expert,CG Doc Writer 1	
947		1.4.9.6.1.11	Provide Bi-Weekly Report 11	946	10 days	Mon 1/2/23	Fri 1/13/23	CG Subject Matter Expert,CG Doc Writer 1	
948		1.4.9.6.1.12	Provide Bi-Weekly Report 12	947	10 days	Mon 1/16/23	Fri 1/27/23	CG Subject Matter Expert,CG Doc Writer 1	
949		1.4.9.6.1.13	Provide Bi-Weekly Report 13	948	10 days	Mon 1/30/23	Fri 2/10/23	CG Subject Matter Expert,CG Doc Writer 1	
950		1.4.9.6.1.14	Provide Bi-Weekly Report 14	949	10 days	Mon 2/13/23	Fri 2/24/23	CG Subject Matter Expert,CG Doc Writer 1	
951		1.4.9.6.1.15	Provide Bi-Weekly Report 15	950	10 days	Mon 2/27/23	Fri 3/10/23	CG Subject Matter Expert,CG Doc Writer 1	
952		1.4.9.6.1.16	Provide Bi-Weekly Report 16	951	10 days	Mon 3/13/23	Fri 3/24/23	CG Subject Matter Expert,CG Doc Writer 1	
953		1.4.9.6.1.17	Provide Bi-Weekly Report 17	952	10 days	Mon 3/27/23	Fri 4/7/23	CG Subject Matter Expert,CG Doc Writer 1	
954		1.4.9.6.1.18	Provide Bi-Weekly Report 18	953	10 days	Mon 4/10/23	Fri 4/21/23	CG Subject Matter Expert,CG Doc Writer 1	
955		1.4.9.6.1.19	Provide Bi-Weekly Report 19	954	10 days	Mon 4/24/23	Fri 5/5/23	CG Subject Matter Expert,CG Doc Writer 1	
956		1.4.9.6.1.20	Provide Bi-Weekly Report 20	955	10 days	Mon 5/8/23	Fri 5/19/23	CG Subject Matter Expert,CG Doc Writer 1	
957		1.4.9.6.1.21	Provide Bi-Weekly Report 21	956	10 days	Mon 5/22/23	Fri 6/2/23	CG Subject Matter Expert,CG Doc Writer 1	
958		1.4.9.6.1.22	Provide Bi-Weekly Report 22	957	10 days	Mon 6/5/23	Fri 6/16/23	CG Subject Matter Expert,CG Doc Writer 1	
959		1.4.9.6.1.23	Provide Bi-Weekly Report 23	958	10 days	Mon 6/19/23	Fri 6/30/23	CG Subject Matter Expert,CG Doc Writer 1	

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
960		1.4.9.6.1.24	Provide Bi-Weekly Report 24	959	10 days	Mon 7/3/23	Fri 7/14/23	CG Subject Matter Expert,CG Doc Writer 1
961		1.4.9.6.1.25	Provide Bi-Weekly Report 25	960	10 days	Mon 7/17/23	Fri 7/28/23	CG Subject Matter Expert,CG Doc Writer 1
962		1.4.9.6.1.26	Provide Bi-Weekly Report 26	961	10 days	Mon 7/31/23	Fri 8/11/23	CG Subject Matter Expert,CG Doc Writer 1
963		1.4.9.6.1.27	Provide Bi-Weekly Report 27	962	10 days	Mon 8/14/23	Fri 8/25/23	CG Subject Matter Expert,CG Doc Writer 1
964		1.4.9.6.1.28	Provide Bi-Weekly Report 28	963	10 days	Mon 8/28/23	Fri 9/8/23	CG Subject Matter Expert,CG Doc Writer 1
965		1.4.9.6.1.29	Provide Bi-Weekly Report 29	964	10 days	Mon 9/11/23	Fri 9/22/23	CG Subject Matter Expert,CG Doc Writer 1
966		1.4.9.6.1.30	Provide Bi-Weekly Report 30	965	10 days	Mon 9/25/23	Fri 10/6/23	CG Subject Matter Expert,CG Doc Writer 1
967		1.4.9.6.1.31	Provide Bi-Weekly Report 31	966	10 days	Mon 10/9/23	Fri 10/20/23	CG Subject Matter Expert,CG Doc Writer 1
968		1.4.9.6.1.32	Provide Bi-Weekly Report 32	967	10 days	Mon 10/23/23	Fri 11/3/23	CG Subject Matter Expert,CG Doc Writer 1
969		1.4.9.6.2	Conduct weekly meetings during Phase 1 Sprint Cycles		320 days	Mon 8/15/22	Fri 11/3/23	
970		1.4.9.6.2.1	Host Weekly Organizational Change Management Meeting 1	375	10 days	Mon 8/15/22	Fri 8/26/22	CG Subject Matter Expert,External QA Consult
971		1.4.9.6.2.2	Host Weekly Organizational Change Management Meeting 2	970	10 days	Mon 8/29/22	Fri 9/9/22	CG Subject Matter Expert,External QA Consult
972		1.4.9.6.2.3	Host Weekly Organizational Change Management Meeting 3	971	10 days	Mon 9/12/22	Fri 9/23/22	CG Subject Matter Expert,External QA Consult
973		1.4.9.6.2.4	Host Weekly Organizational Change Management Meeting 4	972	10 days	Mon 9/26/22	Fri 10/7/22	CG Subject Matter Expert,External QA Consult
974		1.4.9.6.2.5	Host Weekly Organizational Change Management Meeting 5	973	10 days	Mon 10/10/22	Fri 10/21/22	CG Subject Matter Expert,External QA Consult
975		1.4.9.6.2.6	Host Weekly Organizational Change Management Meeting 6	974	10 days	Mon 10/24/22	Fri 11/4/22	CG Subject Matter Expert,External QA Consult
976		1.4.9.6.2.7	Host Weekly Organizational Change Management Meeting 7	975	10 days	Mon 11/7/22	Fri 11/18/22	CG Subject Matter Expert,External QA Consult
977		1.4.9.6.2.8	Host Weekly Organizational Change Management Meeting 8	976	10 days	Mon 11/21/22	Fri 12/2/22	CG Subject Matter Expert,External QA Consult
978		1.4.9.6.2.9	Host Weekly Organizational Change Management Meeting 9	977	10 days	Mon 12/5/22	Fri 12/16/22	CG Subject Matter Expert,External QA Consult
979		1.4.9.6.2.10	Host Weekly Organizational Change Management Meeting 10	978	10 days	Mon 12/19/22	Fri 12/30/22	CG Subject Matter Expert,External QA Consult
980		1.4.9.6.2.11	Host Weekly Organizational Change Management Meeting 11	979	10 days	Mon 1/2/23	Fri 1/13/23	CG Subject Matter Expert,External QA Consult
981		1.4.9.6.2.12	Host Weekly Organizational Change Management Meeting 12	980	10 days	Mon 1/16/23	Fri 1/27/23	CG Subject Matter Expert,External QA Consult
982		1.4.9.6.2.13	Host Weekly Organizational Change Management Meeting 13	981	10 days	Mon 1/30/23	Fri 2/10/23	CG Subject Matter Expert,External QA Consult
983		1.4.9.6.2.14	Host Weekly Organizational Change Management Meeting 14	982	10 days	Mon 2/13/23	Fri 2/24/23	CG Subject Matter Expert,External QA Consult
984		1.4.9.6.2.15	Host Weekly Organizational Change Management Meeting 15	983	10 days	Mon 2/27/23	Fri 3/10/23	CG Subject Matter Expert,External QA Consult
985		1.4.9.6.2.16	Host Weekly Organizational Change Management Meeting 16	984	10 days	Mon 3/13/23	Fri 3/24/23	CG Subject Matter Expert,External QA Consult
986		1.4.9.6.2.17	Host Weekly Organizational Change Management Meeting 17	985	10 days	Mon 3/27/23	Fri 4/7/23	CG Subject Matter Expert,External QA Consult
987		1.4.9.6.2.18	Host Weekly Organizational Change Management Meeting 18	986	10 days	Mon 4/10/23	Fri 4/21/23	CG Conversion Lead,CG Subject Matter Expert
988		1.4.9.6.2.19	Host Weekly Organizational Change Management Meeting 19	987	10 days	Mon 4/24/23	Fri 5/5/23	CG Subject Matter Expert,External QA Consult
989		1.4.9.6.2.20	Host Weekly Organizational Change Management Meeting 20	988	10 days	Mon 5/8/23	Fri 5/19/23	CG Subject Matter Expert,External QA Consult
990		1.4.9.6.2.21	Host Weekly Organizational Change Management Meeting 21	989	10 days	Mon 5/22/23	Fri 6/2/23	CG Subject Matter Expert,External QA Consult
991		1.4.9.6.2.22	Host Weekly Organizational Change Management Meeting 22	990	10 days	Mon 6/5/23	Fri 6/16/23	CG Subject Matter Expert,External QA Consult
992		1.4.9.6.2.23	Host Weekly Organizational Change Management Meeting 23	991	10 days	Mon 6/19/23	Fri 6/30/23	CG Subject Matter Expert,External QA Consult
993		1.4.9.6.2.24	Host Weekly Organizational Change Management Meeting 24	992	10 days	Mon 7/3/23	Fri 7/14/23	CG Subject Matter Expert,External QA Consult
994		1.4.9.6.2.25	Host Weekly Organizational Change Management Meeting 25	993	10 days	Mon 7/17/23	Fri 7/28/23	CG Subject Matter Expert,External QA Consult
995		1.4.9.6.2.26	Host Weekly Organizational Change Management Meeting 26	994	10 days	Mon 7/31/23	Fri 8/11/23	CG Subject Matter Expert,External QA Consult
996		1.4.9.6.2.27	Host Weekly Organizational Change Management Meeting 27	995	10 days	Mon 8/14/23	Fri 8/25/23	CG Subject Matter Expert,External QA Consult
997		1.4.9.6.2.28	Host Weekly Organizational Change Management Meeting 28	996	10 days	Mon 8/28/23	Fri 9/8/23	CG Subject Matter Expert,External QA Consult
998		1.4.9.6.2.29	Host Weekly Organizational Change Management Meeting 29	997	10 days	Mon 9/11/23	Fri 9/22/23	CG Subject Matter Expert,External QA Consult
999		1.4.9.6.2.30	Host Weekly Organizational Change Management Meeting 30	998	10 days	Mon 9/25/23	Fri 10/6/23	CG Subject Matter Expert,External QA Consult
1000		1.4.9.6.2.31	Host Weekly Organizational Change Management Meeting 31	999	10 days	Mon 10/9/23	Fri 10/20/23	CG Subject Matter Expert,External QA Consult
1001		1.4.9.6.2.32	Host Weekly Organizational Change Management Meeting 32	1000	10 days	Mon 10/23/23	Fri 11/3/23	CG Subject Matter Expert,External QA Consult
1002		1.4.9.7	Acceptance and Performance Testing		229 days	Mon 12/19/22	Sat 11/4/23	
1003		1.4.9.7.1	Sprint 1-4 UAT (3 weeks) - Voters, Elections, Petitions, Locations	431,646	15 days	Mon 12/19/22	Mon 1/9/23	CG Doc Writer 1,RRCC Elections Steering Com
1004		1.4.9.7.1.1	Review UAT Plans		0 days	Mon 12/19/22	Mon 12/19/22	CG Doc Writer 1,RRCC Elections Steering Com
1005		1.4.9.7.1.2	User Acceptance Test Execution		15 days	Tue 12/20/22	Mon 1/9/23	CG Doc Writer 1,RRCC Elections Steering Com
1006		1.4.9.7.1.3	Delivery Signoff/Failure Report Created		0 days	Mon 12/19/22	Mon 12/19/22	CG Doc Writer 1,RRCC Elections Steering Com
1007		1.4.9.7.2	Sprint 5 UAT (3 weeks) - Voters, Elections, Petitions, Locations	1003	15 days	Mon 1/9/23	Mon 1/30/23	CG Doc Writer 1,RRCC Elections Steering Com
1008		1.4.9.7.2.1	Review UAT Plans		0 days	Mon 1/9/23	Mon 1/9/23	CG Doc Writer 1,RRCC Elections Steering Com
1009		1.4.9.7.2.2	User Acceptance Test Execution		15 days	Tue 1/10/23	Mon 1/30/23	CG Doc Writer 1,RRCC Elections Steering Com
1010		1.4.9.7.2.3	Delivery Signoff/Failure Report Created		0 days	Mon 1/9/23	Mon 1/9/23	CG Doc Writer 1,RRCC Elections Steering Com
1011		1.4.9.7.3	Sprint 6 UAT (3 weeks) - Voters, Elections, Petitions, Locations	1007	15 days	Mon 1/30/23	Mon 2/20/23	CG Doc Writer 1,RRCC Elections Steering Com
1012		1.4.9.7.3.1	Review UAT Plans		0 days	Mon 1/30/23	Mon 1/30/23	CG Doc Writer 1,RRCC Elections Steering Com
1013		1.4.9.7.3.2	User Acceptance Test Execution		15 days	Tue 1/31/23	Mon 2/20/23	CG Doc Writer 1,RRCC Elections Steering Com
1014		1.4.9.7.3.3	Delivery Signoff/Failure Report Created		0 days	Mon 1/30/23	Mon 1/30/23	CG Doc Writer 1,RRCC Elections Steering Com
1015		1.4.9.7.4	Sprint 7 UAT (3 weeks) - Voters, Elections, Petitions, Locations	1011	15 days	Mon 2/20/23	Mon 3/13/23	CG Doc Writer 1,RRCC Elections Steering Com
1016		1.4.9.7.4.1	Review UAT Plans		0 days	Mon 2/20/23	Mon 2/20/23	CG Doc Writer 1,RRCC Elections Steering Com
1017		1.4.9.7.4.2	User Acceptance Test Execution		15 days	Tue 2/21/23	Mon 3/13/23	CG Doc Writer 1,RRCC Elections Steering Com
1018		1.4.9.7.4.3	Delivery Signoff/Failure Report Created		0 days	Mon 2/20/23	Mon 2/20/23	CG Doc Writer 1,RRCC Elections Steering Com
1019		1.4.9.7.5	Sprint 8 UAT (3 weeks) - Voters, Elections, Petitions, Locations	1015	15 days	Mon 3/13/23	Mon 4/3/23	CG Doc Writer 1,RRCC Elections Steering Com
1020		1.4.9.7.5.1	Review UAT Plans		0 days	Mon 3/13/23	Mon 3/13/23	CG Doc Writer 1,RRCC Elections Steering Com
1021		1.4.9.7.5.2	User Acceptance Test Execution		15 days	Mon 3/14/23	Mon 4/3/23	CG Doc Writer 1,RRCC Elections Steering Com
1022		1.4.9.7.5.3	Delivery Signoff/Failure Report Created		0 days	Mon 3/13/23	Mon 3/13/23	CG Doc Writer 1,RRCC Elections Steering Com
1023		1.4.9.7.6	Sprint 9 UAT (3 weeks) - Voters, Elections, Petitions, Locations - HARDENING SPRINT FIX	1019	15 days	Mon 4/3/23	Mon 4/24/23	CG Doc Writer 1,RRCC Elections Steering Com

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
1024		1.4.9.7.6.1	Review UAT Plans		0 days	Mon 4/3/23	Mon 4/3/23	CG Doc Writer 1,RRCC Elections Steering Com
1025		1.4.9.7.6.2	User Acceptance Test Execution		15 days	Tue 4/4/23	Mon 4/24/23	CG Doc Writer 1,RRCC Elections Steering Com
1026		1.4.9.7.6.3	Delivery Signoff/Failure Report Created		0 days	Mon 4/3/23	Mon 4/3/23	CG Doc Writer 1,RRCC Elections Steering Com
1027		1.4.9.7.7	Sprint 10 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1023	15 days	Mon 4/24/23	Mon 5/15/23	CG Doc Writer 1,RRCC Elections Steering Com
1028		1.4.9.7.7.1	Review UAT Plans		0 days	Mon 4/24/23	Mon 4/24/23	CG Doc Writer 1,RRCC Elections Steering Com
1029		1.4.9.7.7.2	User Acceptance Test Execution		15 days	Tue 4/25/23	Mon 5/15/23	CG Doc Writer 1,RRCC Elections Steering Com
1030		1.4.9.7.7.3	Delivery Signoff/Failure Report Created		0 days	Mon 4/24/23	Mon 4/24/23	CG Doc Writer 1,RRCC Elections Steering Com
1031		1.4.9.7.8	Sprint 11 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1027	15 days	Mon 5/15/23	Mon 6/5/23	CG Doc Writer 1,RRCC Elections Steering Com
1032		1.4.9.7.8.1	Review UAT Plans		0 days	Mon 5/15/23	Mon 5/15/23	CG Doc Writer 1,RRCC Elections Steering Com
1033		1.4.9.7.8.2	User Acceptance Test Execution		15 days	Tue 5/16/23	Mon 6/5/23	CG Doc Writer 1,RRCC Elections Steering Com
1034		1.4.9.7.8.3	Delivery Signoff/Failure Report Created		0 days	Mon 5/15/23	Mon 5/15/23	CG Doc Writer 1,RRCC Elections Steering Com
1035		1.4.9.7.9	Sprint 12 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1031	15 days	Mon 6/5/23	Mon 6/26/23	CG Doc Writer 1,RRCC Elections Steering Com
1036		1.4.9.7.9.1	Review UAT Plans		0 days	Mon 6/5/23	Mon 6/5/23	CG Doc Writer 1,RRCC Elections Steering Com
1037		1.4.9.7.9.2	User Acceptance Test Execution		15 days	Tue 6/6/23	Mon 6/26/23	CG Doc Writer 1,RRCC Elections Steering Com
1038		1.4.9.7.9.3	Delivery Signoff/Failure Report Created		0 days	Mon 6/5/23	Mon 6/5/23	CG Doc Writer 1,RRCC Elections Steering Com
1039		1.4.9.7.10	Sprint 13 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1035	15 days	Mon 6/26/23	Mon 7/17/23	CG Doc Writer 1,RRCC Elections Steering Com
1040		1.4.9.7.10.1	Review UAT Plans		0 days	Mon 6/26/23	Mon 6/26/23	CG Doc Writer 1,RRCC Elections Steering Com
1041		1.4.9.7.10.2	User Acceptance Test Execution		15 days	Tue 6/27/23	Mon 7/17/23	CG Doc Writer 1,RRCC Elections Steering Com
1042		1.4.9.7.10.3	Delivery Signoff/Failure Report Created		0 days	Mon 6/26/23	Mon 6/26/23	CG Doc Writer 1,RRCC Elections Steering Com
1043		1.4.9.7.11	Sprint 14 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1039	15 days	Mon 7/17/23	Mon 8/7/23	CG Doc Writer 1,RRCC Elections Steering Com
1044		1.4.9.7.11.1	Review UAT Plans		0 days	Mon 7/17/23	Mon 7/17/23	CG Doc Writer 1,RRCC Elections Steering Com
1045		1.4.9.7.11.2	User Acceptance Test Execution		15 days	Tue 7/18/23	Mon 8/7/23	CG Doc Writer 1,RRCC Elections Steering Com
1046		1.4.9.7.11.3	Delivery Signoff/Failure Report Created		0 days	Mon 7/17/23	Mon 7/17/23	CG Doc Writer 1,RRCC Elections Steering Com
1047		1.4.9.7.12	Sprint 15 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1043	15 days	Mon 8/7/23	Mon 8/28/23	CG Doc Writer 1,RRCC Elections Steering Com
1048		1.4.9.7.12.1	Review UAT Plans		0 days	Mon 8/7/23	Mon 8/7/23	CG Doc Writer 1,RRCC Elections Steering Com
1049		1.4.9.7.12.2	User Acceptance Test Execution		15 days	Tue 8/8/23	Mon 8/28/23	CG Doc Writer 1,RRCC Elections Steering Com
1050		1.4.9.7.12.3	Delivery Signoff/Failure Report Created		0 days	Mon 8/7/23	Mon 8/7/23	CG Doc Writer 1,RRCC Elections Steering Com
1051		1.4.9.7.13	Sprint 16 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1047	15 days	Mon 8/28/23	Mon 9/18/23	CG Doc Writer 1,RRCC Elections Steering Com
1052		1.4.9.7.13.1	Review UAT Plans		0 days	Mon 8/28/23	Mon 8/28/23	CG Doc Writer 1,RRCC Elections Steering Com
1053		1.4.9.7.13.2	User Acceptance Test Execution		15 days	Tue 8/29/23	Mon 9/18/23	CG Doc Writer 1,RRCC Elections Steering Com
1054		1.4.9.7.13.3	Delivery Signoff/Failure Report Created		0 days	Mon 8/28/23	Mon 8/28/23	CG Doc Writer 1,RRCC Elections Steering Com
1055		1.4.9.7.14	Sprint 17 UAT (3 weeks) - Candidates, Ballots, Reports, Workers	1051	15 days	Mon 9/18/23	Mon 10/9/23	CG Doc Writer 1,RRCC Elections Steering Com
1056		1.4.9.7.14.1	Review UAT Plans		0 days	Mon 9/18/23	Mon 9/18/23	CG Doc Writer 1,RRCC Elections Steering Com
1057		1.4.9.7.14.2	User Acceptance Test Execution		15 days	Tue 9/19/23	Mon 10/9/23	CG Doc Writer 1,RRCC Elections Steering Com
1058		1.4.9.7.14.3	Delivery Signoff/Failure Report Created		0 days	Mon 9/18/23	Mon 9/18/23	CG Doc Writer 1,RRCC Elections Steering Com
1059		1.4.9.7.15	Deliverables (%)		0 days	Fri 11/3/23	Sat 11/4/23	
1060	6.2	1.4.9.7.15.1	Deliverable# 16.2: VoteCal Certification for LA County Delivered	1055F5+19 days	0 days	Fri 11/3/23	Fri 11/3/23	CG Project Manager
1061	8.2.2	1.4.9.7.15.2	Deliverable# 18.2.2: User Acceptance Testing Results Report Delivered	1060	0 days	Sat 11/4/23	Sat 11/4/23	CG Project Manager
1062	11.1.2	1.4.9.7.15.3	Deliverable# 111.1.2: Production Readiness Report Delivered	1061	0 days	Sat 11/4/23	Sat 11/4/23	CG Project Manager
1063	11.3.1	1.4.9.7.15.4	Deliverable# 111.3.1: Deployment Report Delivered	1062	0 days	Sat 11/4/23	Sat 11/4/23	CG Project Manager
1064		1.4.9.8	System Deployment		20 days	Fri 10/20/23	Fri 11/17/23	
1065		1.4.9.8.1	Data Freeze		1 day	Fri 10/20/23	Mon 10/23/23	
1066		1.4.9.8.1.1	LA County RRCC Stops Data Processing	1073FS-10 days	0 days	Fri 10/20/23	Fri 10/20/23	CG Conversion Lead
1067		1.4.9.8.1.2	SQL DB Backup Files Received for Data Freeze	1066	1 day	Fri 10/20/23	Mon 10/23/23	CG Conversion Lead
1068		1.4.9.8.2	Load Final Frozen Files		1 day	Mon 10/23/23	Tue 10/24/23	
1069		1.4.9.8.2.1	Process final frozen files	1065	1 day	Mon 10/23/23	Tue 10/24/23	CG Conversion Lead
1070		1.4.9.8.2.2	Final Load complete	1069	0 days	Tue 10/24/23	Tue 10/24/23	CG Conversion Lead
1071		1.4.9.8.3	Final Data Conversion Signoff		0 days	Tue 10/24/23	Tue 10/24/23	
1072		1.4.9.8.3.1	LA County RRCC Reviews Final Pass Data Conversion	1068	0 days	Tue 10/24/23	Tue 10/24/23	LA Registrar of Voters,RRCC Elections Steering
1073		1.4.9.8.4	Go-Live		0 days	Fri 11/3/23	Fri 11/3/23	
1074		1.4.9.8.4.1	Back up Master files	1059F5-2 days	0 days	Fri 11/3/23	Fri 11/3/23	CG Conversion Lead
1075		1.4.9.8.5	Post Go-Live Support		10 days	Fri 11/3/23	Fri 11/17/23	
1076		1.4.9.8.5.1	Assist LA County RRCC in new processing onsite	1073	7 days	Fri 11/3/23	Tue 11/14/23	CG Subject Matter Expert,CG Training Coordin
1077		1.4.9.8.5.2	BlueCrest Hardware Monitoring	1074	10 days	Fri 11/3/23	Fri 11/17/23	
1078		1.4.10	Training		285 days	Tue 9/27/22	Mon 10/30/23	
1079		1.4.10.1	Training		285 days	Tue 9/27/22	Mon 10/30/23	
1080		1.4.10.1.1	Customize Training Materials		120 days	Tue 9/27/22	Mon 3/13/23	
1081		1.4.10.1.1.1	Customize Training Materials	493	120 days	Tue 9/27/22	Mon 3/13/23	
1082	10.1.1	1.4.10.1.1.2	Deliverable# 110.1.1: Training and Knowledge Transfer Strategy Delivered	1081	0 days	Mon 3/13/23	Mon 3/13/23	
1083		1.4.10.1.1.3	Deliverables (%)	1081	0 days	Mon 3/13/23	Mon 3/13/23	
1084	10.2.1	1.4.10.1.1.3.1	Deliverable# 110.2.1: Training and Knowledge Transfer Materials Delivered		0 days	Mon 3/13/23	Mon 3/13/23	
1085	10.2.5	1.4.10.1.1.3.2	Deliverable# 110.2.5: Level 1 Help Desk Scripts Delivered		0 days	Mon 3/13/23	Mon 3/13/23	
1086		1.4.10.1.2	Training and Knowledge Transfer		15 days	Tue 10/10/23	Mon 10/30/23	
1087		1.4.10.1.2.1	Training Weeks		15 days	Tue 10/10/23	Mon 10/30/23	

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
1088		1.4.10.1.2.1.1	Training Week 1	1055,1081	5 days	Tue 10/10/23	Mon 10/16/23	CG Training Coordinator,CG Subject Matter Ex
1089		1.4.10.1.2.1.2	Training Week 2	1088	5 days	Tue 10/17/23	Mon 10/23/23	CG Subject Matter Expert,CG Training Coordin
1090		1.4.10.1.2.1.3	Training Week 3	1089	5 days	Tue 10/24/23	Mon 10/30/23	CG Subject Matter Expert,CG Training Coordin
1091		1.4.10.1.2.1.4	Deliverables (%)	1090	0 days	Mon 10/30/23	Mon 10/30/23	
1092	10.2.2	1.4.10.1.2.1.4.1	Deliverable# I10.2.2: Report of Training Metrics Delivered		0 days	Mon 10/30/23	Mon 10/30/23	CG Project Manager
1093	10.2.3	1.4.10.1.2.1.4.2	Deliverable# I10.2.3: Knowledge Transfer Report Delivered		0 days	Mon 10/30/23	Mon 10/30/23	CG Project Manager
1094		1.4.10.1.2.2	Advanced Training Complete	1092,1093,1087	0 days	Mon 10/30/23	Mon 10/30/23	CG Subject Matter Expert
1095		1.5	Phase 2 - Non-Minimal Viable Product (MVP)		364 days	Fri 1/6/23	Wed 5/29/24	
1096		1.5.1	Develop Software Enhancement		357 days	Fri 1/6/23	Mon 5/20/24	
1097		1.5.1.1	Interface Development		357 days	Fri 1/6/23	Mon 5/20/24	
1098		1.5.1.1.1	Roadmap Session - Phase 2		64 days	Tue 10/24/23	Fri 1/19/24	
1099		1.5.1.1.1.1	Road Mapping Session 6	494FS+60 days	2 days	Tue 10/24/23	Wed 10/25/23	
1100		1.5.1.1.1.1.1	Discuss Project Roadmap Objectives		2 days	Tue 10/24/23	Wed 10/25/23	CG Project Manager,RRCC Project Manager
1101		1.5.1.1.1.1.2	Discuss Project Milestones Objectives		2 days	Tue 10/24/23	Wed 10/25/23	CG Project Manager,RRCC Project Manager
1102		1.5.1.1.1.1.3	Discuss Project Deliverables		2 days	Tue 10/24/23	Wed 10/25/23	CG Project Manager,RRCC Project Manager
1103		1.5.1.1.1.1.4	Discuss Project Resource Management		2 days	Tue 10/24/23	Wed 10/25/23	CG Project Manager,RRCC Project Manager
1104		1.5.1.1.1.1.5	Discuss Project Timeline		2 days	Tue 10/24/23	Wed 10/25/23	CG Project Manager,RRCC Project Manager
1105		1.5.1.1.1.1.6	Discuss Project Risks		2 days	Tue 10/24/23	Wed 10/25/23	CG Project Manager,RRCC Project Manager
1106		1.5.1.1.1.1.7	Complete Roadmap Session 1 - Phase 1		1 day	Tue 10/24/23	Tue 10/24/23	CG Project Manager,RRCC Project Manager
1107		1.5.1.1.1.2	Road Mapping Session 7	1099FS+60 days	2 days	Thu 1/18/24	Fri 1/19/24	
1108		1.5.1.1.1.2.1	Discuss Project Roadmap Objectives		2 days	Thu 1/18/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
1109		1.5.1.1.1.2.2	Discuss Project Milestones Objectives		2 days	Thu 1/18/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
1110		1.5.1.1.1.2.3	Discuss Project Deliverables		2 days	Thu 1/18/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
1111		1.5.1.1.1.2.4	Discuss Project Resource Management		2 days	Thu 1/18/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
1112		1.5.1.1.1.2.5	Discuss Project Timeline		2 days	Thu 1/18/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
1113		1.5.1.1.1.2.6	Discuss Project Risks		2 days	Thu 1/18/24	Fri 1/19/24	CG Project Manager,RRCC Project Manager
1114		1.5.1.1.1.2.7	Complete Roadmap Session 1 - Phase 1		1 day	Thu 1/18/24	Thu 1/18/24	CG Project Manager,RRCC Project Manager
1115		1.5.1.1.2	Use Case Specification Development		107 days	Fri 1/6/23	Mon 6/5/23	
1116		1.5.1.1.2.1	A.2 Elections (RESO) (30 Use Cases)	535	45 days	Fri 1/6/23	Thu 3/9/23	
1117		1.5.1.1.2.1.1	Create Use Case Specification Documents – 2 days per Use Case	535	30 days	Fri 1/6/23	Thu 2/16/23	CG Subject Matter Expert[200%]
1118		1.5.1.1.2.1.2	Review User Case Specification Document – 2 hours per Use Case	1117	3.75 days	Fri 2/17/23	Wed 2/22/23	CG Subject Matter Expert[200%]
1119		1.5.1.1.2.1.3	Validate Sprint Requirements – 2 hours per Use Case	1118	3.75 days	Wed 2/22/23	Tue 2/28/23	CG Subject Matter Expert[200%]
1120		1.5.1.1.2.1.4	Create Backlog of Requirements – 2 hours per Use Case	1119	3.75 days	Tue 2/28/23	Mon 3/6/23	CG Subject Matter Expert[200%]
1121		1.5.1.1.2.1.5	Designate MVP or Non-MVP – 2 hours per Use Case	1120	3.75 days	Mon 3/6/23	Thu 3/9/23	CG Subject Matter Expert[200%]
1122		1.5.1.1.2.2	External API Integrations		32 days	Fri 3/10/23	Mon 4/24/23	
1123		1.5.1.1.2.2.1	Create Non-MVP Use Case (9 Use Case)	1116	20 days	Fri 3/10/23	Thu 4/6/23	CG Subject Matter Expert
1124		1.5.1.1.2.2.2	Review User Case Specification Document – 2 hours per Use Case	1123	3 days	Fri 4/7/23	Tue 4/11/23	CG Subject Matter Expert
1125		1.5.1.1.2.2.3	Validate Sprint Requirements – 2 hours per Use Case	1124	3 days	Wed 4/12/23	Fri 4/14/23	CG Subject Matter Expert
1126		1.5.1.1.2.2.4	Create Backlog of Requirements – 2 hours per Use Case	1125	3 days	Mon 4/17/23	Wed 4/19/23	CG Subject Matter Expert
1127		1.5.1.1.2.2.5	Designate MVP or Non-MVP – 2 hours per Use Case	1126	3 days	Thu 4/20/23	Mon 4/24/23	CG Subject Matter Expert
1128		1.5.1.1.2.3	Deliverable (%)		0 days	Mon 6/5/23	Mon 6/5/23	
1129	3.1	1.5.1.1.2.3.1	Deliverable# I3.1: Final Use Cases Delivered	1122FS+30 days	0 days	Mon 6/5/23	Mon 6/5/23	CG Project Manager,RRCC Project Manager
1130	3.3.1	1.5.1.1.2.3.2	Deliverable# I3.3.1: Epics Delivered	1129	0 days	Mon 6/5/23	Mon 6/5/23	CG Project Manager,RRCC Project Manager
1131	3.3.2	1.5.1.1.2.3.3	Deliverable# I3.3.2: User Stories Delivered	1130	0 days	Mon 6/5/23	Mon 6/5/23	CG Project Manager,RRCC Project Manager
1132	5.2.1	1.5.1.1.2.3.4	Deliverable# I5.2.1: Sprint Backlog Delivered	1131	0 days	Mon 6/5/23	Mon 6/5/23	CG Project Manager,RRCC Project Manager
1133	9.2	1.5.1.1.2.3.5	Deliverable# I9.2: Reports Specifications	1132	0 days	Mon 6/5/23	Mon 6/5/23	CG Project Manager,RRCC Project Manager
1134	6.3.1	1.5.1.1.2.3.6	Deliverable# I6.3.1: Interface Specifications Delivered	1133	0 days	Mon 6/5/23	Mon 6/5/23	CG Project Manager
1135		1.5.1.1.3	Sprint Dev & Testing Cycle (Team n)		160 days	Mon 10/9/23	Mon 5/20/24	
1136		1.5.1.1.3.1	Sprint 1 (3 weeks) - JEDI, RESO	909	15 days	Mon 10/9/23	Mon 10/30/23	
1137		1.5.1.1.3.1.1	Load Sprint from Backlog Requirements		0 days	Mon 10/9/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1138		1.5.1.1.3.1.2	Technical Analysis		0 days	Mon 10/9/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1139		1.5.1.1.3.1.3	Mockup Creation		0 days	Mon 10/9/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1140		1.5.1.1.3.1.4	Mockup Review		0 days	Mon 10/9/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1141		1.5.1.1.3.1.5	Development		15 days	Tue 10/10/23	Mon 10/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1142		1.5.1.1.3.1.6	Testing		8 days	Tue 10/10/23	Thu 10/19/23	
1143		1.5.1.1.3.1.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 10/10/23	Thu 10/19/23	
1144		1.5.1.1.3.1.6.1.1	Write testing scenarios / Scripts		8 days	Tue 10/10/23	Thu 10/19/23	CG QA Lead,CG QA Tester
1145		1.5.1.1.3.1.6.1.2	Review Test Scenarios / Scripts	1144	0 days	Thu 10/19/23	Thu 10/19/23	RRCC Elections Steering Committee,CG Conve
1146		1.5.1.1.3.1.6.1.3	Revise Test Scenarios / Scripts	1145	0 days	Thu 10/19/23	Thu 10/19/23	CG QA Lead,CG QA Tester
1147		1.5.1.1.3.1.6.1.4	Review Final Test Scenarios / Scripts	1146	0 days	Thu 10/19/23	Thu 10/19/23	RRCC Elections Steering Committee,CG Conve
1148		1.5.1.1.3.1.6.1.5	Approve Test Scenarios / Scripts	1147	0 days	Thu 10/19/23	Thu 10/19/23	RRCC Elections Steering Committee,CG Conve
1149		1.5.1.1.3.1.6.2	Execute Testing scenarios		7 days	Tue 10/10/23	Wed 10/18/23	
1150		1.5.1.1.3.1.6.2.1	Execute scenarios and record test results		7 days	Tue 10/10/23	Wed 10/18/23	CG QA Lead,CG QA Tester
1151		1.5.1.1.3.1.6.2.2	Provide feedback on problem notices	1150	0 days	Wed 10/18/23	Wed 10/18/23	CG QA Lead,CG QA Tester

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
1152		1.5.1.1.3.1.6.2.3	Re-test corrected problem notices	1151	0 days	Wed 10/18/23	Wed 10/18/23	CG QA Lead,CG QA Tester
1153		1.5.1.1.3.1.7	System Documentation Updates from Testing		15 days	Tue 10/10/23	Mon 10/30/23	CG QA Lead,CG QA Tester
1154		1.5.1.1.3.1.8	UAT Demo		0 days	Mon 10/9/23	Mon 10/9/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1155		1.5.1.1.3.1.9	Ready for UAT		0 days	Mon 10/9/23	Mon 10/9/23	CG Project Manager,RRCC Project Manager
1156		1.5.1.1.3.2	Sprint 2 (3 weeks) - JEDI, RESO	1136	15 days	Mon 10/30/23	Mon 11/20/23	
1157		1.5.1.1.3.2.1	Load Sprint from Backlog Requirements		0 days	Mon 10/30/23	Mon 10/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1158		1.5.1.1.3.2.2	Technical Analysis		0 days	Mon 10/30/23	Mon 10/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1159		1.5.1.1.3.2.3	Mockup Creation		0 days	Mon 10/30/23	Mon 10/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1160		1.5.1.1.3.2.4	Mockup Review		0 days	Mon 10/30/23	Mon 10/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1161		1.5.1.1.3.2.5	Development		15 days	Tue 10/31/23	Mon 11/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1162		1.5.1.1.3.2.6	Testing		8 days	Tue 10/31/23	Thu 11/9/23	
1163		1.5.1.1.3.2.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 10/31/23	Thu 11/9/23	
1164		1.5.1.1.3.2.6.1.1	Write testing scenarios / Scripts		8 days	Tue 10/31/23	Thu 11/9/23	CG QA Lead,CG QA Tester
1165		1.5.1.1.3.2.6.1.2	Review Test Scenarios / Scripts	1164	0 days	Thu 11/9/23	Thu 11/9/23	RRCC Elections Steering Committee,CG Conve
1166		1.5.1.1.3.2.6.1.3	Revise Test Scenarios / Scripts	1165	0 days	Thu 11/9/23	Thu 11/9/23	CG QA Lead,CG QA Tester
1167		1.5.1.1.3.2.6.1.4	Review Final Test Scenarios / Scripts	1166	0 days	Thu 11/9/23	Thu 11/9/23	RRCC Elections Steering Committee,CG Conve
1168		1.5.1.1.3.2.6.1.5	Approve Test Scenarios / Scripts	1167	0 days	Thu 11/9/23	Thu 11/9/23	RRCC Elections Steering Committee,CG Conve
1169		1.5.1.1.3.2.6.2	Execute Testing scenarios		7 days	Tue 10/31/23	Wed 11/8/23	
1170		1.5.1.1.3.2.6.2.1	Execute scenarios and record test results		7 days	Tue 10/31/23	Wed 11/8/23	CG QA Lead,CG QA Tester
1171		1.5.1.1.3.2.6.2.2	Provide feedback on problem notices	1170	0 days	Wed 11/8/23	Wed 11/8/23	CG QA Lead,CG QA Tester
1172		1.5.1.1.3.2.6.2.3	Re-test corrected problem notices	1171	0 days	Wed 11/8/23	Wed 11/8/23	CG QA Lead,CG QA Tester
1173		1.5.1.1.3.2.7	System Documentation Updates from Testing		15 days	Tue 10/31/23	Mon 11/20/23	CG QA Lead,CG QA Tester
1174		1.5.1.1.3.2.8	UAT Demo		0 days	Mon 10/30/23	Mon 10/30/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1175		1.5.1.1.3.2.9	Ready for UAT		0 days	Mon 10/30/23	Mon 10/30/23	CG Project Manager,RRCC Project Manager
1176		1.5.1.1.3.3	Sprint 3 (3 weeks) - JEDI, RESO	1156	15 days	Mon 11/20/23	Mon 12/11/23	
1177		1.5.1.1.3.3.1	Load Sprint from Backlog Requirements		0 days	Mon 11/20/23	Mon 11/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1178		1.5.1.1.3.3.2	Technical Analysis		0 days	Mon 11/20/23	Mon 11/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1179		1.5.1.1.3.3.3	Mockup Creation		0 days	Mon 11/20/23	Mon 11/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1180		1.5.1.1.3.3.4	Mockup Review		0 days	Mon 11/20/23	Mon 11/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1181		1.5.1.1.3.3.5	Development		15 days	Tue 11/21/23	Mon 12/11/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1182		1.5.1.1.3.3.6	Testing		8 days	Tue 11/21/23	Thu 11/30/23	
1183		1.5.1.1.3.3.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 11/21/23	Thu 11/30/23	
1184		1.5.1.1.3.3.6.1.1	Write testing scenarios / Scripts		8 days	Tue 11/21/23	Thu 11/30/23	CG QA Lead,CG QA Tester
1185		1.5.1.1.3.3.6.1.2	Review Test Scenarios / Scripts	1184	0 days	Thu 11/30/23	Thu 11/30/23	RRCC Elections Steering Committee,CG Conve
1186		1.5.1.1.3.3.6.1.3	Revise Test Scenarios / Scripts	1185	0 days	Thu 11/30/23	Thu 11/30/23	CG QA Lead,CG QA Tester
1187		1.5.1.1.3.3.6.1.4	Review Final Test Scenarios / Scripts	1186	0 days	Thu 11/30/23	Thu 11/30/23	RRCC Elections Steering Committee,CG Conve
1188		1.5.1.1.3.3.6.1.5	Approve Test Scenarios / Scripts	1187	0 days	Thu 11/30/23	Thu 11/30/23	RRCC Elections Steering Committee,CG Conve
1189		1.5.1.1.3.3.6.2	Execute Testing scenarios		7 days	Tue 11/21/23	Wed 11/29/23	
1190		1.5.1.1.3.3.6.2.1	Execute scenarios and record test results		7 days	Tue 11/21/23	Wed 11/29/23	CG QA Lead,CG QA Tester
1191		1.5.1.1.3.3.6.2.2	Provide feedback on problem notices	1190	0 days	Wed 11/29/23	Wed 11/29/23	CG QA Lead,CG QA Tester
1192		1.5.1.1.3.3.6.2.3	Re-test corrected problem notices	1191	0 days	Wed 11/29/23	Wed 11/29/23	CG QA Lead,CG QA Tester
1193		1.5.1.1.3.3.7	System Documentation Updates from Testing		15 days	Tue 11/21/23	Mon 12/11/23	CG QA Lead,CG QA Tester
1194		1.5.1.1.3.3.8	UAT Demo		0 days	Mon 11/20/23	Mon 11/20/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1195		1.5.1.1.3.3.9	Ready for UAT		0 days	Mon 11/20/23	Mon 11/20/23	CG Project Manager,RRCC Project Manager
1196		1.5.1.1.3.4	Sprint 4 (3 weeks) - JEDI, RESO - HARDENING SPRINT	1176	15 days	Mon 12/11/23	Mon 1/1/24	
1197		1.5.1.1.3.4.1	Conduct code review		15 days	Tue 12/12/23	Mon 1/1/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1198		1.5.1.1.3.4.2	Update code		0 days	Mon 12/11/23	Mon 12/11/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1199		1.5.1.1.3.4.3	Validate code		15 days	Tue 12/12/23	Mon 1/1/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1200		1.5.1.1.3.4.4	Host Sprint Demo/Release Tech Docs		0 days	Mon 12/11/23	Mon 12/11/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1201		1.5.1.1.3.4.5	Request signoff for sprint deliverables		0 days	Mon 12/11/23	Mon 12/11/23	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1202		1.5.1.1.3.4.6	Complete Hardening Sprint		0 days	Mon 12/11/23	Mon 12/11/23	CG Project Manager,RRCC Project Manager
1203		1.5.1.1.3.4.7	Ready for UAT		0 days	Mon 12/11/23	Mon 12/11/23	CG Project Manager,RRCC Project Manager
1204		1.5.1.1.3.5	Sprint 5 (3 weeks) - External Integrations, RESO	1196	15 days	Mon 1/1/24	Mon 1/22/24	
1205		1.5.1.1.3.5.1	Load Sprint from Backlog Requirements		0 days	Mon 1/1/24	Mon 1/1/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1206		1.5.1.1.3.5.2	Technical Analysis		0 days	Mon 1/1/24	Mon 1/1/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1207		1.5.1.1.3.5.3	Mockup Creation		0 days	Mon 1/1/24	Mon 1/1/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1208		1.5.1.1.3.5.4	Mockup Review		0 days	Mon 1/1/24	Mon 1/1/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1209		1.5.1.1.3.5.5	Development		15 days	Tue 1/2/24	Mon 1/22/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1210		1.5.1.1.3.5.6	Testing		8 days	Tue 1/2/24	Thu 1/11/24	
1211		1.5.1.1.3.5.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 1/2/24	Thu 1/11/24	
1212		1.5.1.1.3.5.6.1.1	Write testing scenarios / Scripts		8 days	Tue 1/2/24	Thu 1/11/24	CG QA Lead,CG QA Tester
1213		1.5.1.1.3.5.6.1.2	Review Test Scenarios / Scripts	1212	0 days	Thu 1/11/24	Thu 1/11/24	RRCC Elections Steering Committee,CG Conve
1214		1.5.1.1.3.5.6.1.3	Revise Test Scenarios / Scripts	1213	0 days	Thu 1/11/24	Thu 1/11/24	CG QA Lead,CG QA Tester
1215		1.5.1.1.3.5.6.1.4	Review Final Test Scenarios / Scripts	1214	0 days	Thu 1/11/24	Thu 1/11/24	RRCC Elections Steering Committee,CG Conve

ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names
1216		1.5.1.1.3.5.6.1.5	Approve Test Scenarios / Scripts	1215	0 days	Thu 1/11/24	Thu 1/11/24	RRCC Elections Steering Committee,CG Conve
1217		1.5.1.1.3.5.6.2	Execute Testing scenarios		7 days	Tue 1/2/24	Wed 1/10/24	
1218		1.5.1.1.3.5.6.2.1	Execute scenarios and record test results		7 days	Tue 1/2/24	Wed 1/10/24	CG QA Lead,CG QA Tester
1219		1.5.1.1.3.5.6.2.2	Provide feedback on problem notices	1218	0 days	Wed 1/10/24	Wed 1/10/24	CG QA Lead,CG QA Tester
1220		1.5.1.1.3.5.6.2.3	Re-test corrected problem notices	1219	0 days	Wed 1/10/24	Wed 1/10/24	CG QA Lead,CG QA Tester
1221		1.5.1.1.3.5.7	System Documentation Updates from Testing		15 days	Tue 1/2/24	Mon 1/22/24	CG QA Lead,CG QA Tester
1222		1.5.1.1.3.5.8	UAT Demo		0 days	Mon 1/1/24	Mon 1/1/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1223		1.5.1.1.3.5.9	Ready for UAT		0 days	Mon 1/1/24	Mon 1/1/24	CG Project Manager,RRCC Project Manager
1224		1.5.1.1.3.6	Sprint 6 (3 weeks) - External Integrations, RESO	1204	15 days	Mon 1/22/24	Mon 2/12/24	
1225		1.5.1.1.3.6.1	Load Sprint from Backlog Requirements		0 days	Mon 1/22/24	Mon 1/22/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1226		1.5.1.1.3.6.2	Technical Analysis		0 days	Mon 1/22/24	Mon 1/22/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1227		1.5.1.1.3.6.3	Mockup Creation		0 days	Mon 1/22/24	Mon 1/22/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1228		1.5.1.1.3.6.4	Mockup Review		0 days	Mon 1/22/24	Mon 1/22/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1229		1.5.1.1.3.6.5	Development		15 days	Tue 1/23/24	Mon 2/12/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1230		1.5.1.1.3.6.6	Testing		8 days	Tue 1/23/24	Thu 2/1/24	
1231		1.5.1.1.3.6.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 1/23/24	Thu 2/1/24	
1232		1.5.1.1.3.6.6.1.1	Write testing scenarios / Scripts		8 days	Tue 1/23/24	Thu 2/1/24	CG QA Lead,CG QA Tester
1233		1.5.1.1.3.6.6.1.2	Review Test Scenarios / Scripts	1232	0 days	Thu 2/1/24	Thu 2/1/24	RRCC Elections Steering Committee,CG Conve
1234		1.5.1.1.3.6.6.1.3	Revise Test Scenarios / Scripts	1233	0 days	Thu 2/1/24	Thu 2/1/24	CG QA Lead,CG QA Tester
1235		1.5.1.1.3.6.6.1.4	Review Final Test Scenarios / Scripts	1234	0 days	Thu 2/1/24	Thu 2/1/24	RRCC Elections Steering Committee,CG Conve
1236		1.5.1.1.3.6.6.1.5	Approve Test Scenarios / Scripts	1235	0 days	Thu 2/1/24	Thu 2/1/24	RRCC Elections Steering Committee,CG Conve
1237		1.5.1.1.3.6.6.2	Execute Testing scenarios		7 days	Tue 1/23/24	Wed 1/31/24	
1238		1.5.1.1.3.6.6.2.1	Execute scenarios and record test results		7 days	Tue 1/23/24	Wed 1/31/24	CG QA Lead,CG QA Tester
1239		1.5.1.1.3.6.6.2.2	Provide feedback on problem notices	1238	0 days	Wed 1/31/24	Wed 1/31/24	CG QA Lead,CG QA Tester
1240		1.5.1.1.3.6.6.2.3	Re-test corrected problem notices	1239	0 days	Wed 1/31/24	Wed 1/31/24	CG QA Lead,CG QA Tester
1241		1.5.1.1.3.6.7	System Documentation Updates from Testing		15 days	Tue 1/23/24	Mon 2/12/24	CG QA Lead,CG QA Tester
1242		1.5.1.1.3.6.8	UAT Demo		0 days	Mon 1/22/24	Mon 1/22/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1243		1.5.1.1.3.6.9	Ready for UAT		0 days	Mon 1/22/24	Mon 1/22/24	CG Project Manager,RRCC Project Manager
1244		1.5.1.1.3.7	Sprint 7 (3 weeks) - External Integrations, RESO	1224	15 days	Mon 2/12/24	Mon 3/4/24	
1245		1.5.1.1.3.7.1	Load Sprint from Backlog Requirements		0 days	Mon 2/12/24	Mon 2/12/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1246		1.5.1.1.3.7.2	Technical Analysis		0 days	Mon 2/12/24	Mon 2/12/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1247		1.5.1.1.3.7.3	Mockup Creation		0 days	Mon 2/12/24	Mon 2/12/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1248		1.5.1.1.3.7.4	Mockup Review		0 days	Mon 2/12/24	Mon 2/12/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1249		1.5.1.1.3.7.5	Development		15 days	Tue 2/13/24	Mon 3/4/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1250		1.5.1.1.3.7.6	Testing		8 days	Tue 2/13/24	Thu 2/22/24	
1251		1.5.1.1.3.7.6.1	Develop Testing Scenarios / Scripts		8 days	Tue 2/13/24	Thu 2/22/24	
1252		1.5.1.1.3.7.6.1.1	Write testing scenarios / Scripts		8 days	Tue 2/13/24	Thu 2/22/24	CG QA Lead,CG QA Tester
1253		1.5.1.1.3.7.6.1.2	Review Test Scenarios / Scripts	1252	0 days	Thu 2/22/24	Thu 2/22/24	RRCC Elections Steering Committee,CG Conve
1254		1.5.1.1.3.7.6.1.3	Revise Test Scenarios / Scripts	1253	0 days	Thu 2/22/24	Thu 2/22/24	CG QA Lead,CG QA Tester
1255		1.5.1.1.3.7.6.1.4	Review Final Test Scenarios / Scripts	1254	0 days	Thu 2/22/24	Thu 2/22/24	RRCC Elections Steering Committee,CG Conve
1256		1.5.1.1.3.7.6.1.5	Approve Test Scenarios / Scripts	1255	0 days	Thu 2/22/24	Thu 2/22/24	RRCC Elections Steering Committee,CG Conve
1257		1.5.1.1.3.7.6.2	Execute Testing scenarios		7 days	Tue 2/13/24	Wed 2/21/24	
1258		1.5.1.1.3.7.6.2.1	Execute scenarios and record test results		7 days	Tue 2/13/24	Wed 2/21/24	CG QA Lead,CG QA Tester
1259		1.5.1.1.3.7.6.2.2	Provide feedback on problem notices	1258	0 days	Wed 2/21/24	Wed 2/21/24	CG QA Lead,CG QA Tester
1260		1.5.1.1.3.7.6.2.3	Re-test corrected problem notices	1259	0 days	Wed 2/21/24	Wed 2/21/24	CG QA Lead,CG QA Tester
1261		1.5.1.1.3.7.7	System Documentation Updates from Testing		15 days	Tue 2/13/24	Mon 3/4/24	CG QA Lead,CG QA Tester
1262		1.5.1.1.3.7.8	UAT Demo		0 days	Mon 2/12/24	Mon 2/12/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1263		1.5.1.1.3.7.9	Ready for UAT		0 days	Mon 2/12/24	Mon 2/12/24	CG Project Manager,RRCC Project Manager
1264		1.5.1.1.3.8	Sprint 8(3 weeks) - External Integrations, RESO - HARDENING SPRINT	1244	15 days	Tue 3/5/24	Mon 3/25/24	
1265		1.5.1.1.3.8.1	Conduct code review		15 days	Tue 3/5/24	Mon 3/25/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1266		1.5.1.1.3.8.2	Update code	1265	0 days	Mon 3/25/24	Mon 3/25/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1267		1.5.1.1.3.8.3	Validate code		15 days	Tue 3/5/24	Mon 3/25/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1268		1.5.1.1.3.8.4	Host Sprint Demo/Release Tech Docs	1267	0 days	Mon 3/25/24	Mon 3/25/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1269		1.5.1.1.3.8.5	Request signoff for sprint deliverables	1268	0 days	Mon 3/25/24	Mon 3/25/24	CG Dev Lead,CG DBA,CG Dev 1,CG Dev 2,CG D
1270		1.5.1.1.3.8.6	Complete Hardening Sprint	1269	0 days	Mon 3/25/24	Mon 3/25/24	CG Project Manager,RRCC Project Manager
1271		1.5.1.1.3.8.7	Ready for UAT	1270	0 days	Mon 3/25/24	Mon 3/25/24	CG Project Manager,RRCC Project Manager
1272		1.5.1.1.3.9	Phase 2 Sprint Cycles Complete	1264	0 days	Mon 3/25/24	Mon 3/25/24	CG Project Manager
1273		1.5.1.1.3.10	Deliverables (%)		0 days	Mon 5/20/24	Mon 5/20/24	
1274	8.1.2.1	1.5.1.1.3.10.1	Deliverable# I8.1.2.1: Test Scripts Delivered	1272F5+40 days	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead,CG QA Tester,CG Project Manager
1275	8.1.2.2	1.5.1.1.3.10.2	Deliverable# I8.1.2.2: Test Scenarios Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead,CG QA Tester,CG Project Manager
1276	8.2.1.1	1.5.1.1.3.10.3	Deliverable# I8.2.1.1: Unit Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead
1277	8.2.1.2	1.5.1.1.3.10.4	Deliverable# I8.2.1.2: System Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead
1278	8.2.1.3	1.5.1.1.3.10.5	Deliverable# I8.2.1.3: Integration Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead
1279	8.2.1.4	1.5.1.1.3.10.6	Deliverable# I8.2.1.4: End-to-End Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead

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ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names	
1280	8.2.1.5	1.5.1.1.3.10.7	Deliverable# I8.2.1.5: Negative Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead	
1281	8.2.1.6	1.5.1.1.3.10.8	Deliverable# I8.2.1.6: Usability Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead	
1282	8.2.1.7	1.5.1.1.3.10.9	Deliverable# I8.2.1.7: Performance (Load/Stress) Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead	
1283	8.2.1.8	1.5.1.1.3.10.10	Deliverable# I8.2.1.8: Regression Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead	
1284	8.2.1.9	1.5.1.1.3.10.11	Deliverable# I8.2.1.9: Recovery Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead,CG QA Tester	
1285	8.2.1.10	1.5.1.1.3.10.12	Deliverable# I8.2.1.10: Security Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead	
1286	8.2.1.11	1.5.1.1.3.10.13	Deliverable# I8.2.1.11: Smoke Testing Results Report Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG QA Lead	
1287	6.3.2	1.5.1.1.3.10.14	Deliverable# I6.3.2: Interface Validation Report (System Operations Document) Delivered	1274	0 days	Mon 5/20/24	Mon 5/20/24	CG Project Manager	
1288	9.3	1.5.1.1.3.10.15	Deliverable# I9.3: Reports	1274	0 days	Mon 5/20/24	Mon 5/20/24		
1289	9.4	1.5.1.1.3.10.16	Deliverable# I9.4: Self-Service Reporting Capability	1274	0 days	Mon 5/20/24	Mon 5/20/24		
1290	9.5	1.5.1.1.3.10.17	Deliverable# I9.5: Dashboards	1274	0 days	Mon 5/20/24	Mon 5/20/24		
1291		1.5.2	Organizational Change Management Execution Activities during Phase 2		140 days	Mon 11/6/23	Fri 5/17/24		
1292		1.5.2.1	Provide Bi-weekly Organizational Change Management Status Reports during Phase 2		140 days	Mon 11/6/23	Fri 5/17/24		
1293		1.5.2.1.1	Provide Bi-Weekly Report 1 - Phase 2	909,936	10 days	Mon 11/6/23	Fri 11/17/23	CG Subject Matter Expert	
1294		1.5.2.1.2	Provide Bi-Weekly Report 2 - Phase 2	1293	10 days	Mon 11/20/23	Fri 12/1/23	CG Subject Matter Expert	
1295		1.5.2.1.3	Provide Bi-Weekly Report 3 - Phase 2	1294	10 days	Mon 12/4/23	Fri 12/15/23	CG Subject Matter Expert	
1296		1.5.2.1.4	Provide Bi-Weekly Report 4 - Phase 2	1295	10 days	Mon 12/18/23	Fri 12/29/23	CG Subject Matter Expert	
1297		1.5.2.1.5	Provide Bi-Weekly Report 5 - Phase 2	1296	10 days	Mon 1/1/24	Fri 1/12/24	CG Subject Matter Expert	
1298		1.5.2.1.6	Provide Bi-Weekly Report 6 - Phase 2	1297	10 days	Mon 1/15/24	Fri 1/26/24	CG Subject Matter Expert	
1299		1.5.2.1.7	Provide Bi-Weekly Report 7 - Phase 2	1298	10 days	Mon 1/29/24	Fri 2/9/24	CG Subject Matter Expert	
1300		1.5.2.1.8	Provide Bi-Weekly Report 8 - Phase 2	1299	10 days	Mon 2/12/24	Fri 2/23/24	CG Subject Matter Expert	
1301		1.5.2.1.9	Provide Bi-Weekly Report 9 - Phase 2	1300	10 days	Mon 2/26/24	Fri 3/8/24	CG Subject Matter Expert	
1302		1.5.2.1.10	Provide Bi-Weekly Report 10 - Phase 2	1301	10 days	Mon 3/11/24	Fri 3/22/24	CG Subject Matter Expert	
1303		1.5.2.1.11	Provide Bi-Weekly Report 11 - Phase 2	1302	10 days	Mon 3/25/24	Fri 4/5/24	CG Subject Matter Expert	
1304		1.5.2.1.12	Provide Bi-Weekly Report 12 - Phase 2	1303	10 days	Mon 4/8/24	Fri 4/19/24	CG Subject Matter Expert	
1305		1.5.2.1.13	Provide Bi-Weekly Report 13 - Phase 2	1304	10 days	Mon 4/22/24	Fri 5/3/24	CG Subject Matter Expert	
1306		1.5.2.1.14	Provide Bi-Weekly Report 14 - Phase 2	1305	10 days	Mon 5/6/24	Fri 5/17/24	CG Subject Matter Expert	
1307		1.5.2.2	Conduct weekly meetings during Phase 2 Sprint Cycles		140 days	Mon 11/6/23	Fri 5/17/24		
1308		1.5.2.2.1	Host Weekly Organizational Change Management Meeting 1 - Phase 2	909,936	10 days	Mon 11/6/23	Fri 11/17/23	CG Subject Matter Expert	
1309		1.5.2.2.2	Host Weekly Organizational Change Management Meeting 2 - Phase 2	1308	10 days	Mon 11/20/23	Fri 12/1/23	CG Subject Matter Expert	
1310		1.5.2.2.3	Host Weekly Organizational Change Management Meeting 3 - Phase 2	1309	10 days	Mon 12/4/23	Fri 12/15/23	CG Subject Matter Expert	
1311		1.5.2.2.4	Host Weekly Organizational Change Management Meeting 4 - Phase 2	1310	10 days	Mon 12/18/23	Fri 12/29/23	CG Subject Matter Expert	
1312		1.5.2.2.5	Host Weekly Organizational Change Management Meeting 5 - Phase 2	1311	10 days	Mon 1/1/24	Fri 1/12/24	CG Subject Matter Expert	
1313		1.5.2.2.6	Host Weekly Organizational Change Management Meeting 6 - Phase 2	1312	10 days	Mon 1/15/24	Fri 1/26/24	CG Subject Matter Expert	
1314		1.5.2.2.7	Host Weekly Organizational Change Management Meeting 7 - Phase 2	1313	10 days	Mon 1/29/24	Fri 2/9/24	CG Subject Matter Expert	
1315		1.5.2.2.8	Host Weekly Organizational Change Management Meeting 8 - Phase 2	1314	10 days	Mon 2/12/24	Fri 2/23/24	CG Subject Matter Expert	
1316		1.5.2.2.9	Host Weekly Organizational Change Management Meeting 9 - Phase 2	1315	10 days	Mon 2/26/24	Fri 3/8/24	CG Subject Matter Expert	
1317		1.5.2.2.10	Host Weekly Organizational Change Management Meeting 10 - Phase 2	1316	10 days	Mon 3/11/24	Fri 3/22/24	CG Subject Matter Expert	
1318		1.5.2.2.11	Host Weekly Organizational Change Management Meeting 11 - Phase 2	1317	10 days	Mon 3/25/24	Fri 4/5/24	CG Subject Matter Expert	
1319		1.5.2.2.12	Host Weekly Organizational Change Management Meeting 12 - Phase 2	1318	10 days	Mon 4/8/24	Fri 4/19/24	CG Subject Matter Expert	
1320		1.5.2.2.13	Host Weekly Organizational Change Management Meeting 13 - Phase 2	1319	10 days	Mon 4/22/24	Fri 5/3/24	CG Subject Matter Expert	
1321		1.5.2.2.14	Host Weekly Organizational Change Management Meeting 14 - Phase 2	1320	10 days	Mon 5/6/24	Fri 5/17/24	CG Subject Matter Expert	
1322		1.5.3	Acceptance and Performance Testing		145 days	Mon 10/30/23	Mon 5/20/24		
1323		1.5.3.1	Sprint 1 UAT (3 weeks) - JEDI, RESO	1136	15 days	Mon 10/30/23	Mon 11/20/23	CG Doc Writer 1,RRCC Elections Steering Com	
1324		1.5.3.1.1	Review UAT Plans		0 days	Mon 10/30/23	Mon 10/30/23	CG Doc Writer 1,RRCC Elections Steering Com	
1325		1.5.3.1.2	User Acceptance Test Execution		15 days	Tue 10/31/23	Mon 11/20/23	CG Doc Writer 1,RRCC Elections Steering Com	
1326		1.5.3.1.3	Delivery Signoff/Failure Report Created		0 days	Mon 10/30/23	Mon 10/30/23	CG Doc Writer 1,RRCC Elections Steering Com	
1327		1.5.3.2	Sprint 2 UAT (3 weeks) - JEDI, RESO	1323	15 days	Mon 11/20/23	Mon 12/11/23	CG Doc Writer 1,RRCC Elections Steering Com	
1328		1.5.3.2.1	Review UAT Plans		0 days	Mon 11/20/23	Mon 11/20/23	CG Doc Writer 1,RRCC Elections Steering Com	
1329		1.5.3.2.2	User Acceptance Test Execution		15 days	Tue 11/21/23	Mon 12/11/23	CG Doc Writer 1,RRCC Elections Steering Com	
1330		1.5.3.2.3	Delivery Signoff/Failure Report Created		0 days	Mon 11/20/23	Mon 11/20/23	CG Doc Writer 1,RRCC Elections Steering Com	
1331		1.5.3.3	Sprint 3 UAT (3 weeks) - JEDI, RESO	1327	15 days	Mon 12/11/23	Mon 1/1/24	CG Doc Writer 1,RRCC Elections Steering Com	
1332		1.5.3.3.1	Review UAT Plans		0 days	Mon 12/11/23	Mon 12/11/23	CG Doc Writer 1,RRCC Elections Steering Com	
1333		1.5.3.3.2	User Acceptance Test Execution		15 days	Tue 12/12/23	Mon 1/1/24	CG Doc Writer 1,RRCC Elections Steering Com	
1334		1.5.3.3.3	Delivery Signoff/Failure Report Created		0 days	Mon 12/11/23	Mon 12/11/23	CG Doc Writer 1,RRCC Elections Steering Com	
1335		1.5.3.4	Sprint 4 UAT (3 weeks) - JEDI, RESO - HARDENING SPRINT	1331	15 days	Mon 1/1/24	Mon 1/22/24	CG Doc Writer 1,RRCC Elections Steering Com	
1336		1.5.3.4.1	Review UAT Plans		0 days	Mon 1/1/24	Mon 1/1/24	CG Doc Writer 1,RRCC Elections Steering Com	
1337		1.5.3.4.2	User Acceptance Test Execution		15 days	Tue 1/2/24	Mon 1/22/24	CG Doc Writer 1,RRCC Elections Steering Com	
1338		1.5.3.4.3	Delivery Signoff/Failure Report Created		0 days	Mon 1/1/24	Mon 1/1/24	CG Doc Writer 1,RRCC Elections Steering Com	
1339		1.5.3.5	Sprint 5 UAT (3 weeks) - External Integrations, RESO	1335	15 days	Mon 1/22/24	Mon 2/12/24	CG Doc Writer 1,RRCC Elections Steering Com	
1340		1.5.3.5.1	Review UAT Plans		0 days	Mon 1/22/24	Mon 1/22/24	CG Doc Writer 1,RRCC Elections Steering Com	
1341		1.5.3.5.2	User Acceptance Test Execution		15 days	Tue 1/23/24	Mon 2/12/24	CG Doc Writer 1,RRCC Elections Steering Com	
1342		1.5.3.5.3	Delivery Signoff/Failure Report Created		0 days	Mon 1/22/24	Mon 1/22/24	CG Doc Writer 1,RRCC Elections Steering Com	
1343		1.5.3.6	Sprint 6 UAT (3 weeks) - External Integrations, RESO	1339	15 days	Mon 2/12/24	Mon 3/4/24	CG Doc Writer 1,RRCC Elections Steering Com	

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ID	TaskID	Outline Number	Task Name	Predecessors	Duration	Start	Finish	Resource Names	
1344		1.5.3.6.1	Review UAT Plans		0 days	Mon 2/12/24	Mon 2/12/24	CG Doc Writer 1,RRCC Elections Steering Committee	
1345		1.5.3.6.2	User Acceptance Test Execution		15 days	Tue 2/13/24	Mon 3/4/24	CG Doc Writer 1,RRCC Elections Steering Committee	
1346		1.5.3.6.3	Delivery Signoff/Failure Report Created		0 days	Mon 2/12/24	Mon 2/12/24	CG Doc Writer 1,RRCC Elections Steering Committee	
1347		1.5.3.7	Sprint 7 UAT (3 weeks) - External Integrations, RESO	1343	15 days	Mon 3/4/24	Mon 3/25/24	CG Doc Writer 1,RRCC Elections Steering Committee	
1348		1.5.3.7.1	Review UAT Plans		0 days	Mon 3/4/24	Mon 3/4/24	CG Doc Writer 1,RRCC Elections Steering Committee	
1349		1.5.3.7.2	User Acceptance Test Execution		15 days	Tue 3/5/24	Mon 3/25/24	CG Doc Writer 1,RRCC Elections Steering Committee	
1350		1.5.3.7.3	Delivery Signoff/Failure Report Created		0 days	Mon 3/4/24	Mon 3/4/24	CG Doc Writer 1,RRCC Elections Steering Committee	
1351		1.5.3.8	Deliverables (%)		0 days	Mon 5/20/24	Mon 5/20/24		
1352	8.2.2	1.5.3.8.1	Deliverable# I8.2.2: User Acceptance Testing Results Report Delivered	1347F5+40 days	0 days	Mon 5/20/24	Mon 5/20/24	CG Project Manager	
1353	11.1.2	1.5.3.8.2	Deliverable# I11.1.2: Production Readiness Report Delivered	1352	0 days	Mon 5/20/24	Mon 5/20/24	CG Project Manager	
1354	11.3.1	1.5.3.8.3	Deliverable# I11.3.1: Deployment Report Delivered	1353	0 days	Mon 5/20/24	Mon 5/20/24	CG Project Manager	
1355	11.3.2	1.5.3.8.4	Deliverable# I11.3.2: Final Acceptance Report Delivered	1354	0 days	Mon 5/20/24	Mon 5/20/24	CG Project Manager	
1356		1.5.4	Create/Update User Documentation	1136	123 days	Tue 10/31/23	Thu 4/18/24		
1357		1.5.4.1	Write User Documentation	1136	106 days	Tue 10/31/23	Tue 3/26/24	CG Subject Matter Expert,CG Doc Writer 1	
1358		1.5.4.2	Review User documentation	1357	10 days	Wed 3/27/24	Tue 4/9/24	RRCC Elections Steering Committee,External C	
1359		1.5.4.3	Revise User Documentation	1358	5 days	Wed 4/10/24	Tue 4/16/24	CG Subject Matter Expert,CG Doc Writer 1	
1360		1.5.4.4	Review Final User Documentation	1359	2 days	Wed 4/17/24	Thu 4/18/24	RRCC Elections Steering Committee,External C	
1361		1.5.4.5	Deliverable (%)	1360	0 days	Thu 4/18/24	Thu 4/18/24		
1362	10.2.4	1.5.4.5.1	Deliverable# I10.2.4: User Guide and Help Documentation		0 days	Thu 4/18/24	Thu 4/18/24	CG Project Manager	
1363		1.5.5	Training		135 days	Tue 10/10/23	Mon 4/15/24		
1364		1.5.5.1	Training		135 days	Tue 10/10/23	Mon 4/15/24		
1365		1.5.5.1.1	Customize Training Materials		120 days	Tue 10/10/23	Mon 3/25/24		
1366		1.5.5.1.1.1	Customize Training Materials	909	120 days	Tue 10/10/23	Mon 3/25/24		
1367		1.5.5.1.1.2	Deliverables (%)	1366	0 days	Mon 3/25/24	Mon 3/25/24		
1368	10.2.1	1.5.5.1.1.2.1	Deliverable# I10.2.1: Training and Knowledge Transfer Materials Delivered		0 days	Mon 3/25/24	Mon 3/25/24		
1369	10.2.5	1.5.5.1.1.2.2	Deliverable# I10.2.5: Level 1 Help Desk Scripts Delivered	1368	0 days	Mon 3/25/24	Mon 3/25/24		
1370		1.5.5.1.2	Training and Knowledge Transfer		15 days	Tue 3/26/24	Mon 4/15/24		
1371		1.5.5.1.2.1	Training Weeks		15 days	Tue 3/26/24	Mon 4/15/24		
1372		1.5.5.1.2.1.1	Training Week 1	1366,1055	5 days	Tue 3/26/24	Mon 4/1/24	CG Training Coordinator,CG Subject Matter Ex	
1373		1.5.5.1.2.1.2	Training Week 2	1372	5 days	Tue 4/2/24	Mon 4/8/24	CG Subject Matter Expert,CG Training Coordin	
1374		1.5.5.1.2.1.3	Training Week 3	1373	5 days	Tue 4/9/24	Mon 4/15/24	CG Subject Matter Expert,CG Training Coordin	
1375		1.5.5.1.2.1.4	Deliverables (%)		0 days	Mon 4/15/24	Mon 4/15/24		
1376	10.2.2	1.5.5.1.2.1.4.1	Deliverable# I10.2.2: Report of Training Metrics Delivered	1374	0 days	Mon 4/15/24	Mon 4/15/24	CG Project Manager	
1377	10.2.3	1.5.5.1.2.1.4.2	Deliverable# I10.2.3: Knowledge Transfer Report Delivered	1376	0 days	Mon 4/15/24	Mon 4/15/24	CG Project Manager	
1378		1.5.5.1.2.2	Advanced Training Complete	1371,1376,1377	0 days	Mon 4/15/24	Mon 4/15/24	CG Subject Matter Expert	
1379		1.5.6	System Deployment		7 days	Mon 5/20/24	Wed 5/29/24	CG Product Owner,CG Project Manager,RRCC	
1380		1.5.6.1	Go-Live	1097,1322	0 days	Mon 5/20/24	Mon 5/20/24		
1381		1.5.6.2	Post Go-Live Support		7 days	Tue 5/21/24	Wed 5/29/24		
1382		1.5.6.2.1	Assist LA County RRCC in new processing onsite	1380	7 days	Tue 5/21/24	Wed 5/29/24	CG Subject Matter Expert,CG Training Coordin	
1383		1.6	March 5, 2024 Presidential Primary Election		0 days	Tue 3/5/24	Tue 3/5/24	LA Registrar of Voters	
1384		1.7	BlueCrest Hardware Monitoring	1383	10 days	Tue 3/5/24	Mon 3/18/24		
1385		1.8	Project Transition and Close Out		23 days	Tue 5/21/24	Thu 6/20/24		
1386		1.8.1	Conduct Closeout Meetings		23 days	Tue 5/21/24	Thu 6/20/24		
1387		1.8.1.1	Project Closeout Checklist	1351	5 days	Tue 5/21/24	Mon 5/27/24	CG Project Manager	
1388		1.8.1.2	Develop Closeout Report	1387	10 days	Tue 5/28/24	Mon 6/10/24	CG Project Manager	
1389		1.8.1.3	Archive Project Documents and Artifacts	1388	5 days	Tue 6/11/24	Mon 6/17/24	CG Project Manager	
1390		1.8.1.4	Prepare Meeting	1388	5 days	Tue 6/11/24	Mon 6/17/24	CG Project Manager	
1391		1.8.1.5	Transfer of Materials	1389	3 days	Tue 6/18/24	Thu 6/20/24	RRCC Project Manager	
1392		1.9	Warranty - May 10, 2024 to May 9, 2025		261 days	Fri 5/10/24	Fri 5/9/25	CG Project Manager,CG Subject Matter Expert	
1393		1.10	Create Maintenance & Support Project Plan	1392	15 days	Mon 5/12/25	Fri 5/30/25		
1394		1.11	Maintenance & Support - May 10, 2025 to May 9, 2028		783 days	Sat 5/10/25	Tue 5/9/28	CG Project Manager,CG Subject Matter Expert	
1395		1.12	Optional Years		1441 days	Wed 5/10/28	Wed 11/9/33		
1396		1.12.1	Extension 1 (2 years)	1394	522 days	Wed 5/10/28	Thu 5/9/30	CG Project Manager,CG Subject Matter Expert	
1397		1.12.2	Extension 2 (2 years)	1396	522 days	Sat 5/10/31	Mon 5/9/33	CG Project Manager,CG Subject Matter Expert	
1398		1.12.3	Extension 3 (1 month)	1397	23 days	Tue 5/10/33	Thu 6/9/33	CG Project Manager,CG Subject Matter Expert	
1399		1.12.4	Extension 4 (1 month)	1398	22 days	Fri 6/10/33	Sat 7/9/33	CG Project Manager,CG Subject Matter Expert	
1400		1.12.5	Extension 5 (1 month)	1399	23 days	Sun 7/10/33	Tue 8/9/33	CG Project Manager,CG Subject Matter Expert	
1401		1.12.6	Extension 6 (1 month)	1400	23 days	Wed 8/10/33	Fri 9/9/33	CG Project Manager,CG Subject Matter Expert	
1402		1.12.7	Extension 7 (1 month)	1401	22 days	Sat 9/10/33	Sun 10/9/33	CG Project Manager,CG Subject Matter Expert	
1403		1.12.8	Extension 8 (1 month)	1402	23 days	Mon 10/10/33	Wed 11/9/33	CG Project Manager,CG Subject Matter Expert	
1404		2	END OF SCHEDULE	1403	0 days	Wed 11/9/33	Wed 11/9/33	CG Project Manager,CG Subject Matter Expert	



EXHIBIT D

CONTRACTOR'S EEO CERTIFICATION

CONTRACTOR'S EEO CERTIFICATION

Contractor Name

Address

Internal Revenue Service Employer Identification Number**GENERAL CERTIFICATION**

In accordance with Section 4.32.010 of the Code of the County of Los Angeles, the contractor, supplier, or vendor certifies and agrees that all persons employed by such firm, its affiliates, subsidiaries, or holding companies are and will be treated equally by the firm without regard to or because of race, religion, ancestry, national origin, or sex and in compliance with all anti-discrimination laws of the United States of America and the State of California.

CONTRACTOR'S SPECIFIC CERTIFICATIONS

- | | | | |
|----|---|------------------------------|-----------------------------|
| 1. | The Contractor has a written policy statement prohibiting discrimination in all phases of employment. | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 2. | The Contractor periodically conducts a self analysis or utilization analysis of its work force. | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 3. | The Contractor has a system for determining if its employment practices are discriminatory against protected groups. | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| 4. | Where problem areas are identified in employment practices, the Contractor has a system for taking reasonable corrective action, to include establishment of goals or timetables. | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Authorized Official's Printed Name and Title

Authorized Official's Signature

Date



EXHIBIT E

COUNTY'S ADMINISTRATION

COUNTY'S ADMINISTRATION

CONTRACT: ELECTION MANAGEMENT SYSTEM IMPLEMENTATION AND SERVICES

CONTRACT NO: 22-002

COUNTY PROJECT DIRECTOR:

Name:

Address:

Telephone:

E-Mail Address:

COUNTY PROGRAM MANAGER:

Name:

Address:

Telephone:

E-Mail Address:

COUNTY PROJECT MANAGER:

Name:

Address:

Telephone:

E-Mail Address:

COUNTY CONTRACTS AND GRANTS MANAGER:

Name:

Address:

Telephone:

E-Mail Address:

COUNTY CONTRACTS AND GRANTS ANALYST:

Name:
Address:

Telephone:
E-Mail Address:

COUNTY CONTRACTS AND GRANTS MONITOR:

Name:
Address:

Telephone:
E-Mail Address:

INVOICE QUESTIONS:

For questions, send an e-mail to accountspayable@rrcc.lacounty.gov and copy the County Project Director, County Project Manager and County Contract Project Monitor.

Include the name of your company, contract name and contact number.



EXHIBIT F

CONTRACTOR'S ADMINISTRATION

CONTRACTOR'S ADMINISTRATION

CONTRACT: ELECTION MANAGEMENT SYSTEM IMPLEMENTATION AND SERVICES

CONTRACT NO: 22-002

CONTRACTOR'S PROJECT DIRECTOR:

Name:
Address:

Telephone:
E-Mail Address:

CONTRACTOR'S PROJECT MANAGER:

Name:
Address:

Telephone:
E-Mail Address:

CONTRACTOR'S AUTHORIZED OFFICIAL:

Name:
Address:

Telephone:
E-Mail Address:

NOTICES TO CONTRACTOR SHALL BE SENT TO THE FOLLOWING ADDRESS:

Name:
Address:

Telephone:
E-Mail Address:



F.1

CONTRACTOR'S KEY PERSONNEL

TO

EXHIBIT F

CONTRACTOR'S ADMINISTRATION

CONTRACTOR'S KEY PERSONNEL

The following table sets forth the Contractor's Key Personnel as of the Effective Date of the Contract through the M&S Closeout.

Key Personnel Name	Project Role	Title in Organization	% of Dedicated Time for Work Effort - Implementation	% of Dedicated Time for Work Effort – Warranty and M&S



F.2

CONTRACTOR'S SUBCONTRACTORS

TO

EXHIBIT F

CONTRACTOR'S ADMINISTRATION

CONTRACTOR'S SUBCONTRACTORS

The following table sets forth the Contractor's Subcontractors as of the Effective Date of the Contract through the M&S Closeout.

Subcontractor Organization	Organization Representative	Title in Organization	Project Role



EXHIBIT G

FORM(S) REQUIRED AT THE TIME OF CONTRACT EXECUTION

CONTRACTOR ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

CONTRACTOR NAME _____ Contract No. _____

GENERAL INFORMATION:

The Contractor referenced above has entered into a contract with the County of Los Angeles to provide certain services to the County. The County requires the Corporation to sign this Contractor Acknowledgement and Confidentiality Agreement.

CONTRACTOR ACKNOWLEDGEMENT:

Contractor understands and agrees that the Contractor employees, consultants, Outsourced Vendors and independent contractors (Contractor's Staff) that will provide services in the above referenced agreement are Contractor's sole responsibility. Contractor understands and agrees that Contractor's Staff must rely exclusively upon Contractor for payment of salary and any and all other benefits payable by virtue of Contractor's Staff's performance of work under the above-referenced contract.

Contractor understands and agrees that Contractor's Staff are not employees of the County of Los Angeles for any purpose whatsoever and that Contractor's Staff do not have and will not acquire any rights or benefits of any kind from the County of Los Angeles by virtue of my performance of work under the above-referenced contract. Contractor understands and agrees that Contractor's Staff will not acquire any rights or benefits from the County of Los Angeles pursuant to any agreement between any person or entity and the County of Los Angeles.

CONFIDENTIALITY AGREEMENT:

Contractor and Contractor's Staff may be involved with work pertaining to services provided by the County of Los Angeles and, if so, Contractor and Contractor's Staff may have access to confidential data and information pertaining to persons and/or entities receiving services from the County. In addition, Contractor and Contractor's Staff may also have access to proprietary information supplied by other vendors doing business with the County of Los Angeles. The County has a legal obligation to protect all such confidential data and information in its possession, especially data and information concerning health, criminal, and welfare recipient records. Contractor and Contractor's Staff understand that if they are involved in County work, the County must ensure that Contractor and Contractor's Staff, will protect the confidentiality of such data and information. Consequently, Contractor must sign this Confidentiality Agreement as a condition of work to be provided by Contractor's Staff for the County.

Contractor and Contractor's Staff hereby agrees that they will not divulge to any unauthorized person any data or information obtained while performing work pursuant to the above-referenced contract between Contractor and the County of Los Angeles. Contractor and Contractor's Staff agree to forward all requests for the release of any data or information received to County's Project Manager.

Contractor and Contractor's Staff agree to keep confidential all health, criminal, and welfare recipient records and all data and information pertaining to persons and/or entities receiving services from the County, design concepts, algorithms, programs, formats, documentation, Contractor proprietary information and all other original materials produced, created, or provided to Contractor and Contractor's Staff under the above-referenced contract. Contractor and Contractor's Staff agree to protect these confidential materials against disclosure to other than Contractor or County employees who have a need to know the information. Contractor and Contractor's Staff agree that if proprietary information supplied by other County vendors is provided to me during this employment, Contractor and Contractor's Staff shall keep such information confidential.

Contractor and Contractor's Staff agree to report any and all violations of this agreement by Contractor and Contractor's Staff and/or by any other person of whom Contractor and Contractor's Staff become aware.

Contractor and Contractor's Staff acknowledge that violation of this agreement may subject Contractor and Contractor's Staff to civil and/or criminal action and that the County of Los Angeles may seek all possible legal redress.

SIGNATURE: _____

DATE: ____/____/____

PRINTED NAME: _____

POSITION: _____

CONTRACTOR EMPLOYEE ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

(Note: This certification is to be executed and returned to County with Contractor's executed Contract. Work cannot begin on the Contract until County receives this executed document.)

Contractor Name _____ Contract No. _____

Employee Name _____

GENERAL INFORMATION:

Your employer referenced above has entered into a contract with the County of Los Angeles to provide certain services to the County. The County requires your signature on this Contractor Employee Acknowledgement and Confidentiality Agreement.

EMPLOYEE ACKNOWLEDGEMENT:

I understand and agree that the Contractor referenced above is my sole employer for purposes of the above-referenced contract. I understand and agree that I must rely exclusively upon my employer for payment of salary and any and all other benefits payable to me or on my behalf by virtue of my performance of work under the above-referenced contract.

I understand and agree that I am not an employee of the County of Los Angeles for any purpose whatsoever and that I do not have and will not acquire any rights or benefits of any kind from the County of Los Angeles by virtue of my performance of work under the above-referenced contract. I understand and agree that I do not have and will not acquire any rights or benefits from the County of Los Angeles pursuant to any agreement between any person or entity and the County of Los Angeles.

I understand and agree that I may be required to undergo a background and security investigation(s). I understand and agree that my continued performance of work under the above-referenced contract is contingent upon my passing, to the satisfaction of the County, any and all such investigations. I understand and agree that my failure to pass, to the satisfaction of the County, any such investigation shall result in my immediate release from performance under this and/or any future contract.

CONFIDENTIALITY AGREEMENT:

I may be involved with work pertaining to services provided by the County of Los Angeles and, if so, I may have access to confidential data and information pertaining to persons and/or entities receiving services from the County. In addition, I may also have access to proprietary information supplied by other vendors doing business with the County of Los Angeles. The County has a legal obligation to protect all such confidential data and information in its possession, especially data and information concerning health, criminal, and welfare recipient records. I understand that if I am involved in County work, the County must ensure that I, too, will protect the confidentiality of such data and information. Consequently, I understand that I must sign this agreement as a condition of my work to be provided by my employer for the County. I have read this agreement and have taken due time to consider it prior to signing.

I hereby agree that I will not divulge to any unauthorized person any data or information obtained while performing work pursuant to the above-referenced contract between my employer and the County of Los Angeles. I agree to forward all requests for the release of any data or information received by me to my immediate supervisor.

I agree to keep confidential all health, criminal, and welfare recipient records and all data and information pertaining to persons and/or entities receiving services from the County, design concepts, algorithms, programs, formats, documentation, Contractor proprietary information and all other original materials produced, created, or provided to or by me under the above-referenced contract. I agree to protect these confidential materials against disclosure to other than my employer or County employees who have a need to know the information. I agree that if proprietary information supplied by other County vendors is provided to me during this employment, I shall keep such information confidential.

I agree to report to my immediate supervisor any and all violations of this agreement by myself and/or by any other person of whom I become aware. I agree to return all confidential materials to my immediate supervisor upon completion of this contract or termination of my employment with my employer, whichever occurs first.

SIGNATURE: _____

DATE: ____/____/____

PRINTED NAME: _____

POSITION: _____



EXHIBIT H

JURY SERVICE ORDINANCE

Title 2 ADMINISTRATION
Chapter 2.203.010 through 2.203.090
CONTRACTOR EMPLOYEE JURY SERVICE

2.203.010 Findings.

The board of supervisors makes the following findings. The county of Los Angeles allows its permanent, full-time employees unlimited jury service at their regular pay. Unfortunately, many businesses do not offer or are reducing or even eliminating compensation to employees who serve on juries. This creates a potential financial hardship for employees who do not receive their pay when called to jury service, and those employees often seek to be excused from having to serve. Although changes in the court rules make it more difficult to excuse a potential juror on grounds of financial hardship, potential jurors continue to be excused on this basis, especially from longer trials. This reduces the number of potential jurors and increases the burden on those employers, such as the county of Los Angeles, who pay their permanent, full-time employees while on juror duty. For these reasons, the county of Los Angeles has determined that it is appropriate to require that the businesses with which the county contracts possess reasonable jury service policies. (Ord. 2002-0015 § 1 (part), 2002)

2.203.020 Definitions.

The following definitions shall be applicable to this chapter:

- A. "Contractor" means a person, partnership, corporation or other entity which has a contract with the county or a subcontract with a county contractor and has received or will receive an aggregate sum of \$50,000 or more in any 12-month period under one or more such contracts or subcontracts.
- B. "Employee" means any California resident who is a full-time employee of a contractor under the laws of California.
- C. "Contract" means any agreement to provide goods to, or perform services for or on behalf of, the county but does not include:
 - 1. A contract where the board finds that special circumstances exist that justify a waiver of the requirements of this chapter; or
 - 2. A contract where federal or state law or a condition of a federal or state program mandates the use of a particular contractor; or
 - 3. A purchase made through a state or federal contract; or
 - 4. A monopoly purchase that is exclusive and proprietary to a specific manufacturer, distributor, or reseller, and must match and inter-member with existing supplies, equipment or systems maintained by the county pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section P-3700 or a successor provision; or
 - 5. A revolving fund (petty cash) purchase pursuant to the Los Angeles County Fiscal Manual, Section 4.4.0 or a successor provision; or
 - 6. A purchase card purchase pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section P-2810 or a successor provision; or
 - 7. A non-agreement purchase with a value of less than \$5,000 pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section A-0300 or a successor provision; or
 - 8. A bona fide emergency purchase pursuant to the Los Angeles County Purchasing Policy and Procedures Manual, Section PP-1100 or a successor provision.

Title 2 ADMINISTRATION
Chapter 2.203.010 through 2.203.090
CONTRACTOR EMPLOYEE JURY SERVICE

- D. "Full time" means 40 hours or more worked per week, or a lesser number of hours if:
1. The lesser number is a recognized industry standard as determined by the chief administrative officer, or
 2. The contractor has a long-standing practice that defines the lesser number of hours as full time.
- E. "County" means the county of Los Angeles or any public entities for which the board of supervisors is the governing body. (Ord. 2002-0040 § 1, 2002: Ord. 2002-0015 § 1 (part), 2002)

2.203.030 Applicability.

This chapter shall apply to contractors who enter into contracts that commence after July 11, 2002. This chapter shall also apply to contractors with existing contracts which are extended into option years that commence after July 11, 2002. Contracts that commence after May 28, 2002, but before July 11, 2002, shall be subject to the provisions of this chapter only if the solicitations for such contracts stated that the chapter would be applicable. (Ord. 2002-0040 § 2, 2002: Ord. 2002-0015 § 1 (part), 2002)

2.203.040 Contractor Jury Service Policy.

A contractor shall have and adhere to a written policy that provides that its employees shall receive from the contractor, on an annual basis, no less than five days of regular pay for actual jury service. The policy may provide that employees deposit any fees received for such jury service with the contractor or that the contractor deduct from the employees' regular pay the fees received for jury service. (Ord. 2002-0015 § 1 (part), 2002)

2.203.050 Other Provisions.

- A. Administration. The chief administrative officer shall be responsible for the administration of this chapter. The chief administrative officer may, with the advice of county counsel, issue interpretations of the provisions of this chapter and shall issue written instructions on the implementation and ongoing administration of this chapter. Such instructions may provide for the delegation of functions to other county departments.
- B. Compliance Certification. At the time of seeking a contract, a contractor shall certify to the county that it has and adheres to a policy consistent with this chapter or will have and adhere to such a policy prior to award of the contract. (Ord. 2002-0015 § 1 (part), 2002)

2.203.060 Enforcement and Remedies.

For a contractor's violation of any provision of this chapter, the county department head responsible for administering the contract may do one or more of the following:

1. Recommend to the board of supervisors the termination of the contract; and/or,
2. Pursuant to chapter 2.202, seek the debarment of the contractor. (Ord. 2002-0015 § 1 (part), 2002)

Title 2 ADMINISTRATION
Chapter 2.203.010 through 2.203.090
CONTRACTOR EMPLOYEE JURY SERVICE

2.203.070. Exceptions.

- A. Other Laws. This chapter shall not be interpreted or applied to any contractor or to any employee in a manner inconsistent with the laws of the United States or California.
- B. Collective Bargaining Agreements. This chapter shall be superseded by a collective bargaining agreement that expressly so provides.
- C. Small Business. This chapter shall not be applied to any contractor that meets all of the following:
 - 1. Has ten or fewer employees during the contract period; and,
 - 2. Has annual gross revenues in the preceding twelve months which, if added to the annual amount of the contract awarded, are less than \$500,000; and,
 - 3. Is not an affiliate or subsidiary of a business dominant in its field of operation.

“Dominant in its field of operation” means having more than ten employees and annual gross revenues in the preceding twelve months which, if added to the annual amount of the contract awarded, exceed \$500,000.

“Affiliate or subsidiary of a business dominant in its field of operation” means a business which is at least 20 percent owned by a business dominant in its field of operation, or by partners, officers, directors, majority stockholders, or their equivalent, of a business dominant in that field of operation. (Ord. 2002-0015 § 1 (part), 2002)

2.203.090. Severability.

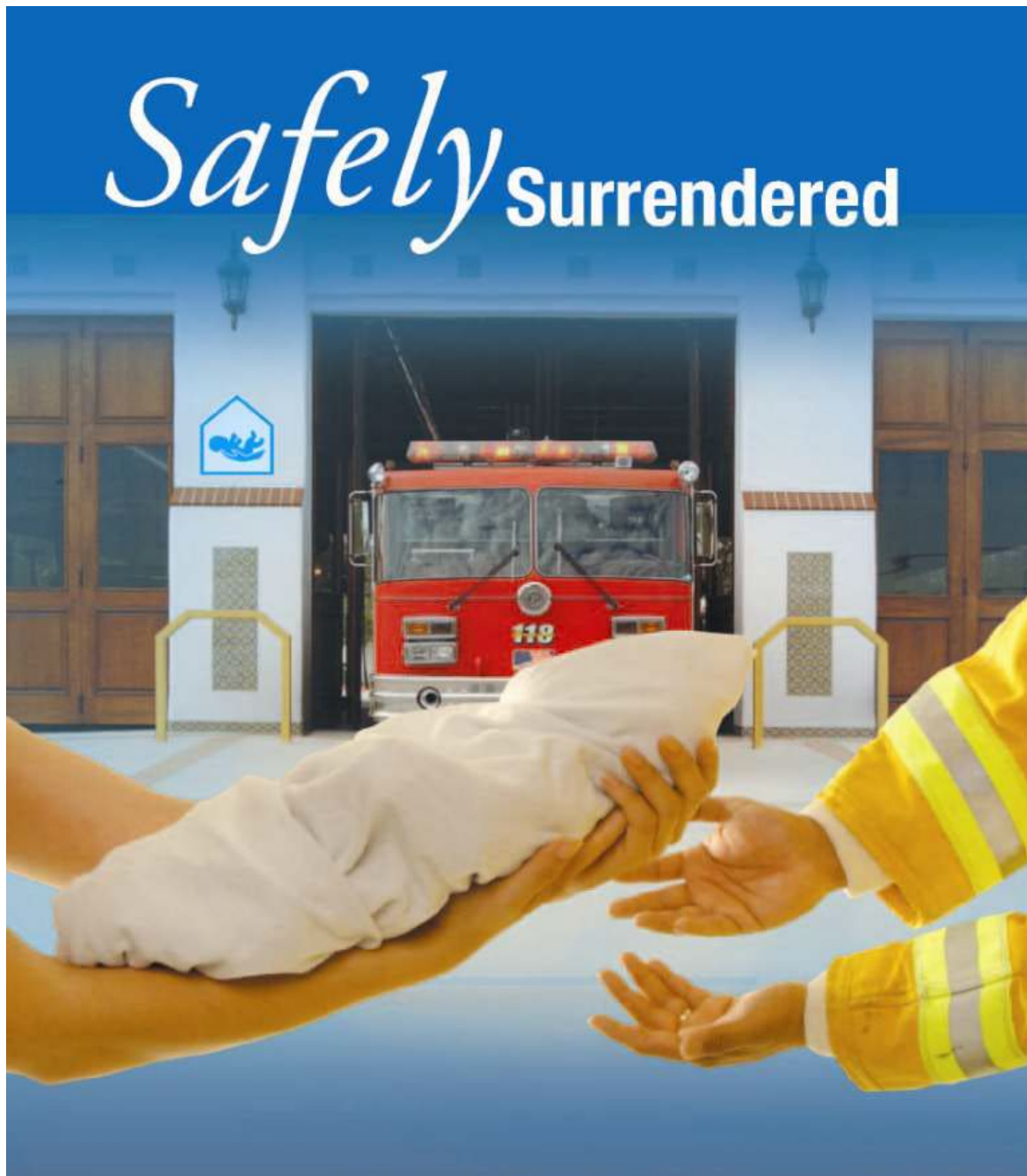
If any provision of this chapter is found invalid by a court of competent jurisdiction, the remaining provisions shall remain in full force and effect. (Ord. 2002-0015 § 1 (part), 2002)



EXHIBIT I

SAFELY SURRENDERED BABY LAW

Safely Surrendered



No shame. No blame. No names.

In Los Angeles County: 1-877-BABY SAFE • 1-877-222-9723

www.babysafela.org



In Los Angeles County: 1-877-BABY SAFE • 1-877-222-9723

www.babysafela.org

Safely Surrendered Baby Law

What is the Safely Surrendered Baby Law?

California's Safely Surrendered Baby Law allows parents or other persons, with lawful custody, which means anyone to whom the parent has given permission to confidentially surrender a baby. As long as the baby is three days (72 hours) of age or younger and has not been abused or neglected, the baby may be surrendered without fear of arrest or prosecution.

Every baby deserves a chance for a healthy life. If someone you know is considering abandoning a baby, let her know there are other options. For three days (72 hours) after birth, a baby can be surrendered to staff at any hospital or fire station in Los Angeles County.

How does it work?

A distressed parent who is unable or unwilling to care for a baby can legally, confidentially, and safely surrender a baby within three days (72 hours) of birth. The baby must be handed to an employee at a hospital or fire station in Los Angeles County. As long as the baby shows no sign of abuse or neglect, no name or other information is required. In case the parent changes his or her mind at a later date and wants the baby back, staff will use bracelets to help connect them to each other. One bracelet will be placed on the baby, and a matching bracelet will be given to the parent or other surrendering adult.

What if a parent wants the baby back?

Parents who change their minds can begin the process of reclaiming their baby within 14 days. These parents should call the Los Angeles County Department of Children and Family Services at 1-800-540-4000.

Can only a parent bring in the baby?

No. While in most cases a parent will bring in the baby, the Law allows other people to bring in the baby if they have lawful custody.

Does the parent or surrendering adult have to call before bringing in the baby?

No. A parent or surrendering adult can bring in a baby anytime, 24 hours a day, 7 days a week, as long as the parent or surrendering adult surrenders the baby to someone who works at the hospital or fire station.

Does the parent or surrendering adult have to tell anything to the people taking the baby?

No. However, hospital or fire station personnel will ask the surrendering party to fill out a questionnaire designed to gather important medical history information, which is very useful in caring for the baby. The questionnaire includes a stamped return envelope and can be sent in at a later time.

What happens to the baby?

The baby will be examined and given medical treatment. Upon release from the hospital, social workers immediately place the baby in a safe and loving home and begin the adoption process.

What happens to the parent or surrendering adult?

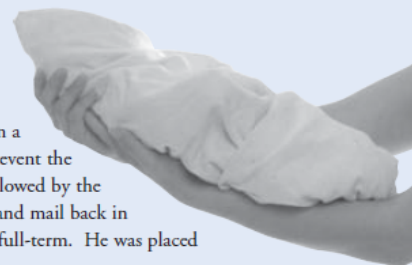
Once the parent or surrendering adult surrenders the baby to hospital or fire station personnel, they may leave at any time.

Why is California doing this?

The purpose of the Safely Surrendered Baby Law is to protect babies from being abandoned, hurt or killed by their parents. You may have heard tragic stories of babies left in dumpsters or public bathrooms. Their parents may have been under severe emotional distress. The mothers may have hidden their pregnancies, fearful of what would happen if their families found out. Because they were afraid and had no one or nowhere to turn for help, they abandoned their babies. Abandoning a baby is illegal and places the baby in extreme danger. Too often, it results in the baby's death. The Safely Surrendered Baby Law prevents this tragedy from ever happening again in California.

A baby's story

Early in the morning on April 9, 2005, a healthy baby boy was safely surrendered to nurses at Harbor-UCLA Medical Center. The woman who brought the baby to the hospital identified herself as the baby's aunt and stated the baby's mother had asked her to bring the baby to the hospital on her behalf. The aunt was given a bracelet with a number matching the anklet placed on the baby; this would provide some identification in the event the mother changed her mind about surrendering the baby and wished to reclaim the baby in the 14-day period allowed by the Law. The aunt was also provided with a medical questionnaire and said she would have the mother complete and mail back in the stamped return envelope provided. The baby was examined by medical staff and pronounced healthy and full-term. He was placed with a loving family that had been approved to adopt him by the Department of Children and Family Services.



Ley de Entrega de Bebés *Sin Peligro*



Los recién nacidos pueden ser entregados en forma segura al personal de cualquier hospital o cuartel de bomberos del Condado de Los Ángeles

Sin pena. Sin culpa. Sin nombres.

En el Condado de Los Ángeles: 1-877-BABY SAFE • 1-877-222-9723

www.babysafela.org



En el Condado de Los Ángeles: 1-877-BABY SAFE • 1-877-222-9723

www.babysafela.org

Ley de Entrega de Bebés Sin Peligro

¿Qué es la Ley de Entrega de Bebés sin Peligro?

La Ley de Entrega de Bebés sin Peligro de California permite la entrega confidencial de un recién nacido por parte de sus padres u otras personas con custodia legal, es decir cualquier persona a quien los padres le hayan dado permiso. Siempre que el bebé tenga tres días (72 horas) de vida o menos, y no haya sufrido abuso ni negligencia, pueden entregar al recién nacido sin temor de ser arrestados o procesados.

Cada recién nacido se merece la oportunidad de tener una vida saludable. Si alguien que usted conoce está pensando en abandonar a un recién nacido, infórmele que tiene otras opciones. Hasta tres días (72 horas) después del nacimiento, se puede entregar un recién nacido al personal de cualquier hospital o cuartel de bomberos del condado de Los Angeles.

¿Cómo funciona?

El padre/madre con dificultades que no pueda o no quiera cuidar de su recién nacido puede entregarlo en forma legal, confidencial y segura dentro de los tres días (72 horas) del nacimiento. El bebé debe ser entregado a un empleado de cualquier hospital o cuartel de bomberos del Condado de Los Ángeles. Siempre que el bebé no presente signos de abuso o negligencia, no será necesario suministrar nombres ni información alguna. Si el padre/madre cambia de opinión posteriormente y desea recuperar a su bebé, los trabajadores utilizarán brazaletes para poder vincularlos. El bebé llevará un brazaletes y el padre/madre o el adulto que lo entregue recibirá un brazaletes igual.

¿Qué pasa si el padre/madre desea recuperar a su bebé?

Los padres que cambien de opinión pueden comenzar el proceso de reclamar a su recién nacido dentro de los 14 días. Estos padres deberán llamar al Departamento de Servicios para Niños y Familias (Department of Children and Family Services) del Condado de Los Ángeles al 1-800-540-4000.

¿Sólo los padres podrán llevar al recién nacido?

No. Si bien en la mayoría de los casos son los padres los que llevan al bebé, la ley permite que otras personas lo hagan si tienen custodia legal.

¿Los padres o el adulto que entrega al bebé deben llamar antes de llevar al bebé?

No. El padre/madre o adulto puede llevar al bebé en cualquier momento, las 24 horas del día, los 7 días de la semana, siempre y cuando entreguen a su bebé a un empleado del hospital o cuartel de bomberos.

¿Es necesario que el padre/madre o adulto diga algo a las personas que reciben al bebé?

No. Sin embargo, el personal del hospital o cuartel de bomberos le pedirá a la persona que entregue al bebé que llene un cuestionario con la finalidad de recabar antecedentes médicos importantes, que resultan de gran utilidad para cuidar bien del bebé. El cuestionario incluye un sobre con el sello postal pagado para enviarlo en otro momento.

¿Qué pasará con el bebé?

El bebé será examinado y le brindarán atención médica. Cuando le den el alta del hospital, los trabajadores sociales inmediatamente ubicarán al bebé en un hogar seguro donde estará bien atendido, y se comenzará el proceso de adopción.

¿Qué pasará con el padre/madre o adulto que entregue al bebé?

Una vez que los padres o adulto hayan entregado al bebé al personal del hospital o cuartel de bomberos, pueden irse en cualquier momento.

¿Por qué se está haciendo esto en California?

La finalidad de la Ley de Entrega de Bebés sin Peligro es proteger a los bebés para que no sean abandonados, lastimados o muertos por sus padres. Usted probablemente haya escuchado historias trágicas sobre bebés abandonados en basureros o en baños públicos. Los padres de esos bebés probablemente hayan estado pasando por dificultades emocionales graves. Las madres pueden haber ocultado su embarazo, por temor a lo que pasaría si sus familias se enteraran. Abandonaron a sus bebés porque tenían miedo y no tenían nadie a quien pedir ayuda. El abandono de un recién nacido es ilegal y pone al bebé en una situación de peligro extremo. Muy a menudo el abandono provoca la muerte del bebé. La Ley de Entrega de Bebés sin Peligro impide que vuelva a suceder esta tragedia en California.

Historia de un bebé

A la mañana temprano del día 9 de abril de 2005, se entregó un recién nacido saludable a las enfermeras del Harbor-UCLA Medical Center. La mujer que llevó el recién nacido al hospital se dio a conocer como la tía del bebé, y dijo que la madre le había pedido que llevara al bebé al hospital en su nombre. Le entregaron a la tía un brazaletes con un número que coincidía con la pulsera del bebé; esto serviría como identificación en caso de que la madre cambiara de opinión con respecto a la entrega del bebé y decidiera recuperarlo dentro del período de 14 días que permite esta ley. También le dieron a la tía un cuestionario médico, y ella dijo que la madre lo llenaría y lo enviaría de vuelta dentro del sobre con franqueo pagado que le habían dado. El personal médico examinó al bebé y se determinó que estaba saludable y a término. El bebé fue ubicado con una buena familia que ya había sido aprobada para adoptarlo por el Departamento de Servicios para Niños y Familias.





EXHIBIT J

INFORMATION SECURITY AND PRIVACY REQUIREMENTS

INFORMATION SECURITY AND PRIVACY REQUIREMENTS

The County of Los Angeles ("County") is committed to safeguarding the Integrity of the County systems, Data, Information and protecting the privacy rights of the individuals that it serves. This Information Security and Privacy Requirements Exhibit ("Exhibit") sets forth the County and the Contractor's commitment and agreement to fulfill each of their obligations under applicable state or federal laws, rules, or regulations, as well as applicable industry standards concerning privacy, Data protections, Information Security, Confidentiality, Availability, and Integrity of such Information. The Information Security and privacy requirements and procedures in this Exhibit are to be established by the Contractor before the Effective Date of the Contract and maintained throughout the term of the Contract.

These requirements and procedures are a minimum standard and are in addition to the requirements of the underlying base agreement between the County and Contractor (the "Contract") and any other agreements between the parties. However, it is the Contractor's sole obligation to: (i) implement appropriate and reasonable measures to secure and protect its systems and all County Information against internal and external Threats and Risks; and (ii) continuously review and revise those measures to address ongoing Threats and Risks. Failure to comply with the minimum requirements and procedures set forth in this Exhibit will constitute a material, non-curable breach of Contract by the Contractor, entitling the County, in addition to the cumulative of all other remedies available to it at law, in equity, or under the Contract, to immediately terminate the Contract. To the extent there are conflicts between this Exhibit and the Contract, this Exhibit shall prevail unless stated otherwise.

1. DEFINITIONS

Unless otherwise defined in the Contract, the definitions herein contained are specific to the uses within this exhibit.

- a. **Availability:** the condition of Information being accessible and usable upon demand by an authorized entity (Workforce Member or process).
- b. **Confidentiality:** the condition that Information is not disclosed to system entities (users, processes, devices) unless they have been authorized to access the Information.
- c. **County Information:** all Data and Information belonging to the County, including
 1. All "nonpublic information," as defined by the Gramm-Leach-Bliley Act (15 USC § 6801 et seq.);
 2. Personal information as defined by California Civil Code §§ 1798.29, 1798.80, and 1798.140 (California Consumer Privacy Act of 2018, effective January 1, 2020) as amended and supplemented by the California Privacy Rights Act of 2020 (effective December 16, 2020; operative January 1, 2023);
 3. Protected health information or individually identifiable health information as defined by the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Health Information Technology for Economic and Clinical Health (HiTECH) Act or as defined by the Code of Federal Regulations (45 CFR § 160.103);
 4. Personal data as defined by the EU General Data Protection Regulation (Regulation (EU) 2016/679); and/or

5. Affidavits of voter registration, voter registration information, and voter registration records as set forth in California Government Code section 6254.4 and California Code of Regulations section 19001.
- d. **Data:** a subset of Information comprised of qualitative or quantitative values.
 - e. **Incident:** a suspected, attempted, successful, or imminent Threat of unauthorized electronic and/or physical access, use, disclosure, breach, modification, or destruction of information; interference with Information Technology operations; or significant violation of County policy.
 - f. **Information:** any communication or representation of knowledge or understanding such as facts, Data, or opinions in any medium or form, including electronic, textual, numerical, graphic, cartographic, narrative, or audiovisual.
 - g. **Information Security Policy:** high level statements of intention and direction of an organization used to create an organization's Information Security Program as formally expressed by its top management.
 - h. **Information Security Program:** formalized and implemented Information Security Policies, standards and procedures that are documented describing the program management safeguards and common controls in place or those planned for meeting the County's information security requirements.
 - i. **Information Technology:** any equipment or interconnected system or subsystem of equipment that is used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of Data or Information.
 - j. **Integrity:** the condition whereby Data or Information has not been improperly modified or destroyed and authenticity of the Data or Information can be ensured.
 - k. **Mobile Device Management (MDM):** software that allows Information Technology administrators to control, secure, and enforce policies on smartphones, tablets, and other endpoints.
 - l. **Privacy Policy:** high level statements of intention and direction of an organization used to create an organization's Privacy Program as formally expressed by its top management.
 - m. **Privacy Program:** A formal document that provides an overview of an organization's privacy program, including a description of the structure of the privacy program, the resources dedicated to the privacy program, the role of the organization's privacy official and other staff, the strategic goals and objectives of the Privacy Program, and the program management controls and common controls in place or planned for meeting applicable privacy requirements and managing privacy risks.
 - n. **Risk:** a measure of the extent to which the County is threatened by a potential circumstance or event, Risk is typically a function of: (i) the adverse impacts that would arise if the circumstance or event occurs; and (ii) the likelihood of occurrence.
 - o. **Threat:** any circumstance or event with the potential to adversely impact County operations (including mission, functions, image, or reputation), organizational assets, individuals, or other organizations through an Information System via unauthorized access, destruction, disclosure, modification of Information, and/or denial of service.
 - p. **Vulnerability:** a weakness in a system, application, network or process that is subject to exploitation or misuse.

- q. **Workforce Member:** employees, volunteers, and other persons whose conduct, in the performance of work for Los Angeles County, is under the direct control of Los Angeles County, whether or not they are paid by Los Angeles County. This includes, but may not be limited to, full and part time elected or appointed officials, employees, affiliates, associates, students, volunteers, and staff from third party entities who provide service to the County.

2. INFORMATION SECURITY AND PRIVACY PROGRAMS

- a. **Information Security Program.** The Contractor shall maintain a company-wide Information Security Program designed to evaluate Risks to the Confidentiality, Availability, and Integrity of the County Information covered under this Contract.

Contractor's Information Security Program shall include the creation and maintenance of Information Security Policies, standards, and procedures. Information Security Policies, standards, and procedures will be communicated to all Contractor employees in a relevant, accessible, and understandable form and will be regularly reviewed and evaluated to ensure operational effectiveness, compliance with all applicable laws and regulations, and addresses new and emerging Threats and Risks.

The Contractor shall exercise the same degree of care in safeguarding and protecting County Information that the Contractor exercises with respect to its own Information and Data, but in no event less than a reasonable degree of care. The Contractor will implement, maintain, and use appropriate administrative, technical, and physical security measures to preserve the Confidentiality, Integrity, and Availability of County Information.

The Contractor's Information Security Program shall:

- Protect the Confidentiality, Integrity, and Availability of County Information in the Contractor's possession or control;
 - Protect against any anticipated Threats or hazards to the Confidentiality, Integrity, and Availability of County Information;
 - Protect against unauthorized or unlawful access, use, disclosure, alteration, or destruction of County Information;
 - Protect against accidental loss or destruction of, or damage to, County Information; and
 - Safeguard County Information in compliance with any applicable laws and regulations which apply to the Contractor.
- b. **Privacy Program.** The Contractor shall establish and maintain a company-wide Privacy Program designed to incorporate Privacy Policies and practices in its business operations to provide safeguards for Information, including County Information. The Contractor's Privacy Program shall include the development of, and ongoing reviews and updates to Privacy Policies, guidelines, procedures and appropriate workforce privacy training within its organization. These Privacy Policies, guidelines, procedures, and appropriate training will be provided to all Contractor employees, agents, and volunteers. The Contractor's Privacy Policies, guidelines, and procedures shall be continuously reviewed and updated for effectiveness and compliance with applicable laws and regulations, and to appropriately respond to new and emerging Threats and Risks. The Contractor's Privacy Program shall perform ongoing monitoring and audits of operations to identify and mitigate privacy Threats.

The Contractor shall exercise the same degree of care in safeguarding the privacy of County Information that the Contractor exercises with respect to its own Information, but in no event

less than a reasonable degree of care. The Contractor will implement, maintain, and use appropriate privacy practices and protocols to preserve the Confidentiality of County Information.

The Contractor's Privacy Program shall include:

- A Privacy Program framework that identifies and ensures that the Contractor complies with all applicable laws and regulations;
- External Privacy Policies, and internal privacy policies, procedures and controls to support the privacy program;
- Protections against unauthorized or unlawful access, use, disclosure, alteration, or destruction of County Information;
- A training program that covers Privacy Policies, protocols and awareness;
- A response plan to address privacy Incidents and privacy breaches; and
- Ongoing privacy assessments and audits.

3. PROPERTY RIGHTS TO COUNTY INFORMATION

All County Information is deemed property of the County, and the County shall retain exclusive rights and ownership thereto. County Information shall not be used by the Contractor for any purpose other than as required under this Contract, nor shall such or any part of such be disclosed, sold, assigned, leased, or otherwise disposed of, to third parties by the Contractor, or commercially exploited or otherwise used by, or on behalf of, the Contractor, its officers, directors, employees, or agents. The Contractor may assert no lien on or right to withhold from the County, any County Information it receives from, receives addressed to, or stores on behalf of, the County. Notwithstanding the foregoing, the Contractor may aggregate, compile, and use County Information in order to improve, develop or enhance the System Software and/or other services offered, or to be offered, by the Contractor, provided that (i) no County Information in such aggregated or compiled pool is identifiable as originating from, or can be traced back to the County, and (ii) such Data or Information cannot be associated or matched with the identity of an individual alone, or linkable to a specific individual. The Contractor specifically consents to the County's access to such County Information held, stored, or maintained on any and all devices Contactor owns, leases or possesses.

4. CONTRACTOR'S USE OF COUNTY INFORMATION

The Contractor may use County Information only as necessary to carry out its obligations under this Contract. The Contractor shall collect, maintain, or use County Information only for the purposes specified in the Contract and, in all cases, in compliance with all applicable local, state, and federal laws and regulations governing the collection, maintenance, transmission, dissemination, storage, use, and destruction of County Information, including, but not limited to, (i) any state and federal law governing the protection of personal Information, (ii) any state and federal security breach notification laws, and (iii) the rules, regulations and directives of the Federal Trade Commission, as amended from time to time.

5. SHARING COUNTY INFORMATION AND DATA

The Contractor shall not share, release, disclose, disseminate, make available, transfer, or otherwise communicate orally, in writing, or by electronic or other means, County Information to a third party for monetary or other valuable consideration.

6. CONFIDENTIALITY

- a. **Confidentiality of County Information.** The Contractor agrees that all County Information is Confidential and proprietary to the County regardless of whether such Information was disclosed intentionally or unintentionally, or marked as "confidential".
- b. **Disclosure of County Information.** The Contractor may disclose County Information only as necessary to carry out its obligations under this Contract, or as required by law, and is prohibited from using County Information for any other purpose without the prior express written approval of the County's contract administrator in consultation with the County's Chief Information Security Officer and/or Chief Privacy Officer. If required by a court of competent jurisdiction or an administrative body to disclose County Information, the Contractor shall notify the County's contract administrator immediately and prior to any such disclosure, to provide the County an opportunity to oppose or otherwise respond to such disclosure, unless prohibited by law from doing so.
- c. **Disclosure Restrictions of Non-Public Information.** While performing work under the Contract, the Contractor may encounter County Non-public Information ("NPI") in the course of performing this Contract, including, but not limited to, licensed technology, drawings, schematics, manuals, sealed court records, and other materials described and/or identified as "Internal Use", "Confidential" or "Restricted" as defined in [Board of Supervisors Policy 6.104 – Information Classification Policy](#) as NPI. The Contractor shall not disclose or publish any County NPI and material received or used in performance of this Contract. This obligation is perpetual.
- d. **Individual Requests.** The Contractor shall acknowledge any request or instructions from the County regarding the exercise of any individual's privacy rights provided under applicable federal or state laws. The Contractor shall have in place appropriate policies and procedures to promptly respond to such requests and comply with any request or instructions from the County within seven (7) calendar days. If an individual makes a request directly to the Contractor involving County Information, the Contractor shall notify the County within five (5) calendar days and the County will coordinate an appropriate response, which may include instructing the Contractor to assist in fulfilling the request. Similarly, if the Contractor receives a privacy or security complaint from an individual regarding County Information, the Contractor shall notify the County as described in Section 14 SECURITY AND PRIVACY INCIDENTS, and the County will coordinate an appropriate response.
- e. **Retention of County Information.** The Contractor shall not retain any County Information for any period longer than necessary for the Contractor to fulfill its obligations under the Contract and applicable law, whichever is longest.

7. CONTRACTOR EMPLOYEES

The Contractor shall perform background and security investigation procedures in the manner prescribed in this section unless the Contract prescribes procedures for conducting background and security investigations and those procedures are no less stringent than the procedures described in this section.

To the extent permitted by applicable law, the Contractor shall screen and conduct background investigations on all Contractor employees and Subcontractors as appropriate to their role, with access to County Information for potential security Risks. Such background investigations must be obtained through fingerprints submitted to the California Department of Justice to include State, local, and federal-level review and conducted in accordance with the law, may include

criminal and financial history to the extent permitted under the law, and will be repeated on a regular basis. The fees associated with the background investigation shall be at the expense of the Contractor, regardless of whether the member of the Contractor's staff passes or fails the background investigation. The Contractor, in compliance with its legal obligations, shall conduct an individualized assessment of their employees, agents, and volunteers regarding the nature and gravity of a criminal offense or conduct; the time that has passed since a criminal offense or conduct and completion of the sentence; and the nature of the access to County Information to ensure that no individual accesses County Information whose past criminal conduct poses a risk or threat to County Information. In addition to the requirements of this paragraph, Contractor shall cause its employees, and employees of Subcontractors as appropriate, to complete the Live Scan form attached hereto as Attachment 1.

The Contractor shall require all employees, agents, and volunteers to abide by the requirements in this Exhibit, as set forth in the Contract, and sign an appropriate written Confidentiality/non-disclosure agreement with the Contractor.

The Contractor shall supply each of its employees with appropriate, annual training regarding Information Security procedures, Risks, and Threats. The Contractor agrees that training will cover, but may not be limited to the following topics:

- a) **Secure Authentication:** The importance of utilizing secure authentication, including proper management of authentication credentials (login name and password) and multi-factor authentication.
- b) **Social Engineering Attacks:** Identifying different forms of social engineering including, but not limited to, phishing, phone scams, and impersonation calls.
- c) **Handling of County Information:** The proper identification, storage, transfer, archiving, and destruction of County Information.
- d) **Causes of Unintentional Information Exposure:** Provide awareness of causes of unintentional exposure of Information such as lost mobile devices, emailing Information to inappropriate recipients, etc.
- e) **Identifying and Reporting Incidents:** Awareness of the most common indicators of an Incident and how such indicators should be reported within the organization.
- f) **Privacy:** The Contractor's Privacy Policies and procedures as described in Section 2b. Privacy Program.

The Contractor shall have an established set of procedures to ensure the Contractor's employees promptly report actual and/or suspected breaches of security.

8. SUBCONTRACTORS AND THIRD PARTIES

The County acknowledges that in the course of performing its services, the Contractor may desire or require the use of goods, services, and/or assistance of Subcontractors or other third parties or suppliers. The terms of this Exhibit shall also apply to all Subcontractors and third parties. The Contractor or third party shall be subject to the following terms and conditions: (i) each Subcontractor and third party must agree in writing to comply with and be bound by the applicable terms and conditions of this Exhibit, both for itself and to enable the Contractor to be and remain in compliance with its obligations hereunder, including those provisions relating to Confidentiality, Integrity, Availability, disclosures, security, and such other terms and conditions as may be reasonably necessary to effectuate the Contract including this Exhibit; and (ii) the Contractor shall

be and remain fully liable for the acts and omissions of each Subcontractor and third party, and fully responsible for the due and proper performance of all Contractor obligations under this Contract.

The Contractor shall obtain advanced approval from the County's Chief Information Security Officer and/or Chief Privacy Officer prior to subcontracting services subject to this Exhibit.

9. STORAGE AND TRANSMISSION OF COUNTY INFORMATION

All County Information shall be rendered unusable, unreadable, or indecipherable to unauthorized individuals. Without limiting the generality of the foregoing, the Contractor will encrypt all workstations, portable devices (such as mobile, wearables, tablets,) and removable media (such as portable or removable hard disks, floppy disks, USB memory drives, CDs, DVDs, magnetic tape, and all other removable storage media) that store County Information in accordance with Federal Information Processing Standard (FIPS) 140-2 or otherwise approved by the County's Chief Information Security Officer.

The Contractor will encrypt County Information transmitted on networks outside of the Contractor's control with Transport Layer Security (TLS) or Internet Protocol Security (IPSec), at a minimum cipher strength of 128 bit or an equivalent secure transmission protocol or method approved by County's Chief Information Security Officer.

In addition, the Contractor shall not store County Information in the cloud or in any other online storage provider without written authorization from the County's Chief Information Security Officer. All mobile devices storing County Information shall be managed by a Mobile Device Management system. Such system must provide provisions to enforce a password/passcode on enrolled mobile devices. All workstations/Personal Computers (including laptops, 2-in-1s, and tablets) will maintain the latest operating system security patches, and the latest virus definitions. Virus scans must be performed at least monthly. Request for less frequent scanning must be approved in writing by the County's Chief Information Security Officer.

10. RETURN OR DESTRUCTION OF COUNTY INFORMATION

The Contractor shall return or destroy County Information in the manner prescribed in this section unless the Contract prescribes procedures for returning or destroying County Information and those procedures are no less stringent than the procedures described in this section.

- a. **Return or Destruction.** Upon County's written request, or upon expiration or termination of this Contract for any reason, Contractor shall (i) promptly return or destroy, at the County's option, all originals and copies of all documents and materials it has received containing County Information; or (ii) if return or destruction is not permissible under applicable law, continue to protect such Information in accordance with the terms of this Contract; and (iii) deliver or destroy, at the County's option, all originals and copies of all summaries, records, descriptions, modifications, negatives, drawings, adoptions and other documents or materials, whether in writing or in machine-readable form, prepared by the Contractor, prepared under its direction, or at its request, from the documents and materials referred to in Subsection (i) of this Section. For all documents or materials referred to in Subsections (i) and (ii) of this Section that the County requests be returned to the County, the Contractor shall provide a written attestation on company letterhead certifying that all documents and materials have been delivered to the County. For documents or materials referred to in Subsections (i) and (ii) of this Section that the County requests be destroyed, the Contractor shall provide an attestation on company letterhead and certified documentation from a media destruction firm

consistent with subdivision b of this Section. Upon termination or expiration of the Contract or at any time upon the County's request, the Contractor shall return all hardware, if any, provided by the County to the Contractor. The hardware should be physically sealed and returned via a bonded courier, or as otherwise directed by the County.

- b. **Method of Destruction.** The Contractor shall destroy all originals and copies by (i) cross-cut shredding paper, film, or other hard copy media so that the Information cannot be read or otherwise reconstructed; and (ii) purging, or destroying electronic media containing County Information consistent with NIST Special Publication 800-88, "Guidelines for Media Sanitization" such that the County Information cannot be retrieved. The Contractor will provide an attestation on company letterhead and certified documentation from a media destruction firm, detailing the destruction method used and the County Information involved, the date of destruction, and the company or individual who performed the destruction. Such statement will be sent to the designated County contract manager within ten (10) days of termination or expiration of the Contract or at any time upon the County's request. On termination or expiration of this Contract, the County will return or destroy all Contractor's Information marked as confidential (excluding items licensed to the County hereunder, or that provided to the County by the Contractor hereunder), at the County's option.

11. PHYSICAL AND ENVIRONMENTAL SECURITY

All Contractor facilities that process County Information will be located in secure areas and protected by perimeter security such as barrier access controls (e.g., the use of guards and entry badges) that provide a physically secure environment from unauthorized access, damage, and interference.

All Contractor facilities that process County Information will be maintained with physical and environmental controls (temperature and humidity) that meet or exceed hardware manufacturer's specifications.

12. OPERATIONAL MANAGEMENT, BUSINESS CONTINUITY, AND DISASTER RECOVERY

The Contractor shall: (i) monitor and manage all of its Information processing facilities, including, without limitation, implementing operational procedures, change management, and Incident response procedures consistent with Section 14 SECURITY AND PRIVACY INCIDENTS; and (ii) deploy adequate anti-malware software and adequate back-up systems to ensure essential business Information can be promptly recovered in the event of a disaster or media failure; and (iii) ensure its operating procedures are adequately documented and designed to protect Information and computer media from theft and unauthorized access.

The Contractor must have business continuity and disaster recovery plans. These plans must include a geographically separate back-up data center and a formal framework by which an unplanned event will be managed to minimize the loss of County Information and services. The formal framework includes a defined back-up policy and associated procedures, including documented policies and procedures designed to: (i) perform back-up of data to a remote back-up data center in a scheduled and timely manner; (ii) provide effective controls to safeguard backed-up data; (iii) securely transfer County Information to and from back-up location; (iv) fully restore applications and operating systems; and (v) demonstrate periodic testing of restoration from back-up location. If the Contractor makes backups to removable media (as described in Section 9 STORAGE AND TRANSMISSION OF COUNTY INFORMATION), all such backups

shall be encrypted in compliance with the encryption requirements noted above in Section 9 STORAGE AND TRANSMISSION OF COUNTY INFORMATION.

13. ACCESS CONTROL

Subject to and without limiting the requirements under Section 9 STORAGE AND TRANSMISSION OF COUNTY INFORMATION, County Information (i) may only be made available and accessible to those parties explicitly authorized under the Contract or otherwise expressly approved by the County Project Director or Project Manager in writing; and (ii) if transferred using removable media (as described in Section 9 STORAGE AND TRANSMISSION OF COUNTY INFORMATION) must be sent via a bonded courier and protected using encryption technology designated by the Contractor and approved by the County's Chief Information Security Officer in writing. The foregoing requirements shall apply to back-up media stored by the Contractor at off-site facilities.

The Contractor shall implement formal procedures to control access to County systems, services, and/or Information, including, but not limited to, user account management procedures and the following controls:

- a. Network access to both internal and external networked services shall be controlled, including, but not limited to, the use of industry standard and properly configured firewalls;
- b. Operating systems will be used to enforce access controls to computer resources including, but not limited to, multi-factor authentication, use of virtual private networks (VPN), authorization, and event logging;
- c. The Contractor will conduct regular, no less often than semi-annually, user access reviews to ensure that unnecessary and/or unused access to County Information is removed in a timely manner;
- d. Applications will include access control to limit user access to County Information and application system functions;
- e. All systems will be monitored to detect deviation from access control policies and identify suspicious activity. The Contractor shall record, review and act upon all events in accordance with Incident response policies set forth in Section 14 SECURITY AND PRIVACY INCIDENTS; and
- f. In the event any hardware, storage media, or removable media (as described in Section 9 STORAGE AND TRANSMISSION OF COUNTY INFORMATION) must be disposed of or sent off-site for servicing, the Contractor shall ensure all County Information, has been eradicated from such hardware and/or media using industry best practices as discussed in Section 9 STORAGE AND TRANSMISSION OF COUNTY INFORMATION.

14. SECURITY AND PRIVACY INCIDENTS

In the event of a Security or Privacy Incident, the Contractor shall:

- a. Promptly notify the County's Chief Information Security Officer, the Departmental Information Security Officer, and the County's Chief Privacy Officer of any Incidents involving County Information, within twenty-four (24) hours of detection of the Incident. All notifications shall be submitted via encrypted email and telephone.

County Chief Information Security Officer and Chief Privacy Officer email
CISO-CPO_Notify@lacounty.gov

Chief Information Security Officer:

Jeffrey Aguilar
 Acting Chief Information Security Officer
 320 W Temple, 7th Floor
 Los Angeles, CA 90012
 (213) 253-5659

Chief Privacy Officer:

Lillian Russell
 Chief Privacy Officer
 320 W Temple, 7th Floor
 Los Angeles, CA 90012
 (213) 351-5363

Departmental Information Security Officer:

Daniel Temisanren, MSc Comp Sci, CISM
 Departmental Information Security & Privacy Officer
 Registrar-Recorder/County Clerk
 12400 Imperial Hwy
 Norwalk, CA 90650
 Office (562) 462-2445
 Cell (562) 233-3490
dtemisanren@rrcc.lacounty.gov

- b. Include the following Information in all notices:
 - i. The date and time of discovery of the Incident,
 - ii. The approximate date and time of the Incident,
 - iii. A description of the type of County Information involved in the reported Incident, and
 - iv. A summary of the relevant facts, including a description of measures being taken to respond to and remediate the Incident, and any planned corrective actions as they are identified.
 - v. The name and contact information for the organizations official representative(s), with relevant business and technical information relating to the incident.
- c. Cooperate with the County to investigate the Incident and seek to identify the specific County Information involved in the Incident upon the County's written request, without charge, unless the Incident was caused by the acts or omissions of the County. As Information about the Incident is collected or otherwise becomes available to the Contractor, and unless prohibited by law, the Contractor shall provide Information regarding the nature and consequences of the Incident that are reasonably requested by the County to allow the County to notify affected individuals, government agencies, and/or credit bureaus.
- d. Immediately initiate the appropriate portions of their Business Continuity and/or Disaster Recovery plans in the event of an Incident causing an interference with Information Technology operations.
- e. Assist and cooperate with forensic investigators, the County, law firms, and and/or law enforcement agencies at the direction of the County to help determine the nature, extent, and

source of any Incident, and reasonably assist and cooperate with the County on any additional disclosures that the County is required to make as a result of the Incident.

- f. Allow the County or its third-party designee at the County's election to perform audits and tests of the Contractor's environment that may include, but are not limited to, interviews of relevant employees, review of documentation, or technical inspection of systems, as they relate to the receipt, maintenance, use, retention, and authorized destruction of County Information.

Notwithstanding any other provisions in this Contract and Exhibit, The Contractor shall be (i) liable for all damages and fines, (ii) responsible for all corrective action, and (iii) responsible for all notifications arising from an Incident involving County Information caused by the Contractor's weaknesses, negligence, errors, or lack of Information Security or privacy controls or provisions.

15. NON-EXCLUSIVE EQUITABLE REMEDY

The Contractor acknowledges and agrees that due to the unique nature of County Information there can be no adequate remedy at law for any breach of its obligations hereunder, that any such breach may result in irreparable harm to the County, and therefore, that upon any such breach, the County will be entitled to appropriate equitable remedies, and may seek injunctive relief from a court of competent jurisdiction without the necessity of proving actual loss, in addition to whatever remedies are available within law or equity. Any breach of Section 6 CONFIDENTIALITY shall constitute a material breach of this Contract and be grounds for immediate termination of this Contract in the exclusive discretion of the County.

16. AUDIT AND INSPECTION

- a. **Self-Audits.** The Contractor shall periodically conduct audits, assessments, testing of the system of controls, and testing of Information Security and privacy procedures, including penetration testing, intrusion detection, and firewall configuration reviews. These periodic audits will be conducted by staff certified to perform the specific audit in question at Contractor's sole cost and expense through either (i) an internal independent audit function, (ii) a nationally recognized, external, independent auditor, or (iii) another independent auditor approved by the County.

The Contractor shall have a process for correcting control deficiencies that have been identified in the periodic audit, including follow up documentation providing evidence of such corrections. The Contractor shall provide the audit results and any corrective action documentation to the County promptly upon its completion at the County's request. With respect to any other report, certification, or audit or test results prepared or received by the Contractor that contains any County Information, the Contractor shall promptly provide the County with copies of the same upon the County's reasonable request, including identification of any failure or exception in the Contractor's Information systems, products, and services, and the corresponding steps taken by the Contractor to mitigate such failure or exception. Any reports and related materials provided to the County pursuant to this Section shall be provided at no additional charge to the County.

- b. **County Requested Audits.** At its own expense, the County, or an independent third-party auditor commissioned by the County, shall have the right to audit the Contractor's infrastructure, security and privacy practices, Data center, services and/or systems storing or processing County Information via an onsite inspection at least once a year. Upon the County's request the Contractor shall complete a questionnaire regarding Contractor's Information Security and/or program. The County shall pay for the County requested audit unless the auditor finds that the Contractor has materially breached this Exhibit, in which case

the Contractor shall bear all costs of the audit; and if the audit reveals material non-compliance with this Exhibit, the County may exercise its termination rights underneath the Contract.

Such audit shall be conducted during the Contractor's normal business hours with reasonable advance notice, in a manner that does not materially disrupt or otherwise unreasonably and adversely affect the Contractor's normal business operations. The County's request for the audit will specify the scope and areas (e.g., Administrative, Physical, and Technical) that are subject to the audit and may include, but are not limited to physical controls inspection, process reviews, policy reviews, evidence of external and internal Vulnerability scans, penetration test results, evidence of code reviews, and evidence of system configuration and audit log reviews. It is understood that the results may be filtered to remove the specific Information of other Contractor customers such as IP address, server names, etc. The Contractor shall cooperate with the County in the development of the scope and methodology for the audit, and the timing and implementation of the audit. This right of access shall extend to any regulators with oversight of the County. The Contractor agrees to comply with all reasonable recommendations that result from such inspections, tests, and audits within reasonable timeframes.

When not prohibited by regulation, the Contractor will provide to the County a summary of: (i) the results of any security audits, security reviews, or other relevant audits, conducted by the Contractor or a third party; and (ii) corrective actions or modifications, if any, the Contractor will implement in response to such audits.

17. CYBER LIABILITY INSURANCE

The Contractor shall secure and maintain cyber liability insurance coverage in the manner prescribed in this section unless the Contract prescribes cyber liability insurance coverage provisions and those provisions are no less stringent than those described in this section.

The Contractor shall secure and maintain cyber liability insurance coverage with limits of at least \$10,000,000 per occurrence and in the aggregate during the term of the Contract, including coverage for: network security liability; privacy liability; privacy regulatory proceeding defense, response, expenses and fines; technology professional liability (errors and omissions); privacy breach expense reimbursement (liability arising from the loss or disclosure of County Information no matter how it occurs); system breach; denial or loss of service; introduction, implantation, or spread of malicious software code; unauthorized access to or use of computer systems; and Data/Information loss and business interruption; any other liability or risk that arises out of the Contract. The Contractor shall add the County as an additional insured to its cyber liability insurance policy and provide to the County certificates of insurance evidencing the foregoing upon the County's request. The procuring of the insurance described herein, or delivery of the certificates of insurance described herein, shall not be construed as a limitation upon the Contractor's liability or as full performance of its indemnification obligations hereunder. No exclusion/restriction for unencrypted portable devices/media may be on the policy.

1 18. PRIVACY AND SECURITY INDEMNIFICATION

In addition to the indemnification provisions in the Contract, the Contractor agrees to indemnify, defend, and hold harmless the County, its Special Districts, elected and appointed officers, agents, employees, and volunteers from and against any and all claims, demands liabilities, damages, judgments, awards, losses, costs, expenses or fees including reasonable attorneys' fees, accounting and other expert, consulting or professional fees, and amounts paid in any settlement arising from, connected with, or relating to:

- The Contractor's violation of any federal and state laws in connection with its accessing, collecting, processing, storing, disclosing, or otherwise using County Information;
- The Contractor's failure to perform or comply with any terms and conditions of this Contract or related agreements with the County; and/or,
- Any Information loss, breach of Confidentiality, or Incident involving any County Information that occurs on the Contractor's systems or networks (including all costs and expenses incurred by the County to remedy the effects of such loss, breach of Confidentiality, or Incident, which may include (i) providing appropriate notice to individuals and governmental authorities, (ii) responding to individuals' and governmental authorities' inquiries, (iii) providing credit monitoring to individuals, and (iv) conducting litigation and settlements with individuals and governmental authorities).

Notwithstanding the preceding sentences, the County shall have the right to participate in any such defense at its sole cost and expense, except that in the event contractor fails to provide County with a full and adequate defense, as determined by County in its sole judgment, County shall be entitled to retain its own counsel, including, without limitation, County Counsel, and to reimbursement from contractor for all such costs and expenses incurred by County in doing so. Contractor shall not have the right to enter into any settlement, agree to any injunction or other equitable relief, or make any admission, in each case, on behalf of County without County's prior written approval.

ADDENDUM A: SOFTWARE AS A SERVICE (SaaS)

- a. **License:** Subject to the terms and conditions set forth in this Contract, including payment of the license fees by to the Contractor, the Contractor hereby grants to County a non-exclusive, non-transferable worldwide County license to use the SaaS, as well as any documentation and training materials, during the term of this Contract to enable the County to use the full benefits of the SaaS and achieve the purposes stated herein.
- b. **Business Continuity:** In the event that the Contractor's infrastructure containing or processing County Information becomes lost, altered, damaged, interrupted, destroyed, or otherwise limited in functionality in a way that affects the County's use of the SaaS, The Contractor shall immediately and within twenty-four (24) hours implement the Contractor's Business Continuity Plan, consistent with Section 12 OPERATIONAL MANAGEMENT, BUSINESS CONTINUITY, AND DISASTER RECOVERY, such that the Contractor can continue to provide full functionality of the SaaS as described in the Contract.

The Contractor will indemnify the County for any claims, losses, or damages arising out of the County's inability to use the SaaS consistent with the Contract and Section 18 PRIVACY AND SECURITY INDEMNIFICATION.

The Contractor shall include in its Business Continuity Plan service offering, a means for segmenting and distributing IT infrastructure, disaster recovery and mirrored critical system, among any other measures reasonably necessary to ensure business continuity and provision of the SaaS.

In the event that the SaaS is interrupted, the County Information may be accessed and retrieved within two (2) hours at any point in time. To the extent the Contractor hosts County Information related to the SaaS, the Contractor shall create daily backups of all County Information related to the County's use of the SaaS in a segmented or off-site "hardened" environment in a manner that ensures backups are secure consistent with cybersecurity requirements described in this Contract and available when needed.

- c. **Enhancements:** Upgrades, replacements and new versions: The Contractor agrees to provide to County, at no cost, prior to, and during installation and implementation of the SaaS any software/firmware enhancements, upgrades, and replacements which the Contractor initiates or generates that are within the scope of the SaaS and that are made available at no charge to the Contractor's other customers.

During the term of this Contract, the Contractor shall promptly notify the County of any available updates, enhancements or newer versions of the SaaS and within thirty (30) Days update or provide the new version to the County. The Contractor shall provide any accompanying documentation in the form of new or revised documentation necessary to enable the County to understand and use the enhanced, updated, or replaced SaaS.

During the Contract term, the Contractor shall not delete or disable a feature or functionality of the SaaS unless the Contractor provides sixty (60) Days advance notice and the County provides written consent to delete or disable the feature or functionality. Should there be a replacement feature or functionality, the County shall have the sole discretion whether to accept such replacement. The replacement shall be at no additional cost to the County. If the Contractor fails to abide by the obligations in this section, the County reserves the right to terminate the Contract for material breach and receive a pro-rated refund.

- d. **Location of County Information:** The Contractor warrants and represents that it shall store and process County Information only in the continental United States and that at no time will County Data traverse the borders of the continental United States in an unencrypted manner.

- e. **Audit and Compliance:** The Contractor agrees to conduct an annual System and Organization Controls (SOC 2 type II) audit or equivalent (i.e. The International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC) 27001:2013 certification audit or Health Information Trust Alliance (HITRUST) Common Security Framework certification audit) of its internal controls for security, availability, integrity, confidentiality, and privacy. The Contractor shall have a process for correcting control deficiencies that have been identified in the audit, including follow up documentation providing evidence of such corrections. The results of the audit and the Contractor's plan for addressing or resolving the audit findings shall be shared with County's Chief Information Security Officer within ten (10) business days of the Contractor's receipt of the audit results. The Contractor agrees to provide County with the current Azure SOC TSP compliance report or equivalent upon request.
- f. **Services Provided by a Subcontractor:** Prior to the use of any Subcontractor for the SaaS under this Contract, the Contractor shall notify County of the proposed subcontractor(s) and the purposes for which they may be engaged at least thirty (30) Days prior to engaging the Subcontractor and obtain written consent of the County's Contract Administrator.
- g. **Information Import Requirements at Termination:** Within one (1) Day of notification of termination of this Contract, the Contractor shall provide County with a complete, portable, and secure copy of all County Information, including all schema and transformation definitions and/or delimited text files with documented, detailed schema definitions along with attachments in a format to be determined by County upon termination.
- h. **Termination Assistance Services:** During the ninety (90) Day period prior to, and/or following the expiration or termination of this Contract, in whole or in part, the Contractor agrees to provide reasonable termination assistance services at no additional cost to County, which may include:
 - i. Developing a plan for the orderly transition of the terminated or expired SaaS from the Contractor to a successor;
 - ii. Providing reasonable training to County staff or a successor in the performance of the SaaS being performed by the Contractor;
 - iii. Using its best efforts to assist and make available to the County any third-party services then being used by the Contractor in connection with the SaaS; and
 - iv. Such other activities upon which the Parties may reasonably agree.

ADDENDUM B: CONTRACTOR HARDWARE CONNECTING TO COUNTY SYSTEMS

Notwithstanding any other provisions in this Contract, the Contractor shall ensure the following provisions and security controls are established for any and all Systems or Hardware provided under this contract.

- a. **Inventory:** The Contractor must actively manage, including through inventory, tracking, loss prevention, replacement, updating, and correcting, all hardware devices covered under this Contract. The Contractor must be able to provide such management records to the County at inception of the contract and upon request.
- b. **Access Control:** The Contractor agrees to manage access to all Systems or Hardware covered under this contract. This includes industry-standard management of administrative privileges including, but not limited to, maintaining an inventory of administrative privileges, changing default passwords, use of unique passwords for each individual accessing Systems or Hardware under this Contract, and minimizing the number of individuals with administrative privileges to those strictly necessary. Prior to effective date of this Contract, the Contractor must document their access control plan for Systems or Hardware covered under this Contract and provide such plan to the Department Information Security Officer (DISO) who will consult with the County's Chief Information Security Officer (CISO) for review and approval. The Contractor must modify and/or implement such plan as directed by the DISO and CISO.
- c. **Operating System and Equipment Hygiene:** The Contractor agrees to ensure that Systems or Hardware will be kept up to date, using only the most recent and supported operating systems, applications, and programs, including any patching or other solutions for vulnerabilities, within ninety (90) Days of the release of such updates, upgrades, or patches. The Contractor agrees to ensure that the operating system is configured to eliminate any unnecessary applications, services and programs. If for some reason the Contractor cannot do so within ninety (90) Days, the Contractor must provide a Risk assessment to the County's Chief Information Security Officer (CISO).
- d. **Vulnerability Management:** The Contractor agrees to continuously acquire, assess, and take action to identify and remediate vulnerabilities within the Systems and Hardware covered under this Contract. If such vulnerabilities cannot be addressed, The Contractor must provide a Risk assessment to the Department Information Security Officer (DISO) who will consult with the County's Chief Information Security Officer (CISO). The County's CISO must approve the Risk acceptance and the Contractor accepts liability for Risks that result to the County for exploitation of any un-remediated vulnerabilities.
- e. **Media Encryption:** Throughout the duration of this Contract, the Contractor will encrypt all workstations, portable devices (e.g., mobile, wearables, tablets,) and removable media (e.g., portable or removable hard disks, floppy disks, USB memory drives, CDs, DVDs, magnetic tape, and all other removable storage media) associated with Systems and Hardware provided under this Contract in accordance with Federal Information Processing Standard (FIPS) 140-2 or otherwise required or approved by the County's Chief Information Security Officer (CISO).
- f. **Malware Protection:** The Contractor will provide and maintain industry-standard endpoint antivirus and antimalware protection on all Systems and Hardware as approved or required by the Department Information Security Officer (DISO) who will consult with the County's Chief Information Security Officer (CISO) to ensure provided hardware is free, and remains free of malware. The Contractor agrees to provide the County documentation proving malware protection status upon request.

ADDENDUM C: APPLICATION SOURCE CODE REPOSITORY

The Contractor shall manage the source code in the manner prescribed in this Addendum unless the Contract prescribes procedures for managing the source code and those procedures are no less stringent than the procedures described in this addendum.

- a. **County Application Source Code.** To facilitate the centralized management, reporting, collaboration, and continuity of access to the most current production version of application source code, all code, artifacts, and deliverables produced under this Contract, (hereinafter referred to as “County Source Code”) shall be version controlled, stored, and delivered on a single industry-standard private Git repository, provided, managed, and supported by the County. Upon commencement of the contract period, the Contractor will be granted access to the County’s private Git repository.
- b. **Git Repository.** The Contractor will use the County Git repository during the entire lifecycle of the project from inception to final delivery. The Contractor will create and document design documents, Data flow diagrams, security diagrams, configuration settings, software or hardware requirements and specifications, attribution to third-party code, libraries and all dependencies, and any other documentation related to all County Source Code and corresponding version-controlled documentation within the Git repository. This documentation must include an Installation Guide and a User Guide for the final delivered source code such that County may download, install, and make full functional use of the delivered code as specified and intended.



J.1

BACKGROUND CHECK FORM

TO

EXHIBIT J

INFORMATION SECURITY AND PRIVACY REQUIREMENTS

BACKGROUND CHECK FORM

STATE OF CALIFORNIA
BCIA 8016
(orig. 04/2001, rev. 01/2011)

DEPARTMENT OF JUSTICE

REQUEST FOR LIVE SCAN SERVICE

Print Form

Reset Form

Applicant Submission

A1500
ORI (Code assigned by DOJ)

Contractor
Authorized Applicant Type

Type of License/Certification/Permit OR Working Title (Maximum 30 characters - if assigned by DOJ, use exact title assigned)

Contributing Agency Information:

COUNTY OF LOS ANGELES-REGISTRAR-RECORDER
Agency Authorized to Receive Criminal Record Information

09167
Mail Code (five-digit code assigned by DOJ)

12100 E. IMPERIAL HWY
Street Address or P.O. Box

Contact Name (mandatory for all school submissions)

NORWALK CA 90650
City State ZIP Code

(562) 462-2285
Contact Telephone Number

Applicant Information:

Last Name

First Name Middle Initial Suffix

Other Name (AKA or Alias) Last

First Suffix

Date of Birth Sex ☐ Male ☐ Female

Driver's License Number

Height Weight Eye Color Hair Color

Billing Number (Agency Billing Number)

MISC. Number (Other identification number)

Place of Birth (State or Country) Social Security Number

Home Address Street Address or P.O. Box

City State ZIP Code

Your Number: OCA Number (Agency Ident/Mind Number)

Level of Service: ☐ DOJ ☐ FBI

If re-submission, list original ATI number:
(Must provide proof of rejection)

Original ATI Number

Employer (Additional response for agencies specified by statute):

Employer Name

Mail Code (five digit code assigned by DOJ)

Street Address or P.O. Box

City State ZIP Code

Telephone Number (optional)

Live Scan Transaction Completed By:

Name of Operator

Date

Transmitting Agency LSID ATI Number Amount Collected/Billed

ORIGINAL - Live Scan Operator

SECOND COPY - Applicant

THIRD COPY (if needed) - Requesting Agency



EXHIBIT K

DEFINITIONS

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1.0 Glossary

The words and phrases listed below shall have the meanings given in this Appendix K (Definitions) whenever used in the Request for Proposals (RFP), including the body of the RFP, Exhibits and Appendices thereto. Capitalized terms not otherwise defined in this Appendix K (Definitions) shall have the meanings ascribed to them in the document in which they appear. In the event there is a conflict between how a term is defined in this Appendix K (Definitions) and any other portion of the RFP, the order of precedence for understanding the meaning of that term shall be as follows: (a) how that term is defined in this Appendix K (Definitions), (b) how that term is defined in the body of the RFP, and (c) how that term is defined in the other Exhibits or Appendices. Unless otherwise specified herein, all references in this Appendix K (Definitions) to Sections shall refer to the respective Sections of the body of the RFP (rather than the Exhibits or Appendices thereto).

Administrative Proposal: The documentation submitted by Proposer to the County as described in Section 4.6 of this Main RFP.

Affiliates: Any other Person that directly or indirectly, through one or more intermediaries, controls, is controlled by, or is under common control with, such first Person.

Applicable Law(s): All current applicable federal, state, and local laws, codes, ordinances, rules, regulations, judgments, decrees, directives, guidelines, policy requirements, orders, or other governmental restrictions (including those resulting from the initiative or referendum process) of the County or any federal or state, including agencies, each as may be amended and, in each case, including successor provisions. Without limiting the generality of the foregoing, Applicable Laws include the California Elections Code, all related laws, regulations, and Attorney General guidelines.

Board of Supervisors (Board): The Board of Supervisors of the County of Los Angeles.

Commencement Date: The date mutually agreed upon between Contractor and County following Board approval of the Contract on which the work on the EMS will begin.

Commercial Off-The-Shelf (COTS): Software, equipment, components, or other devices (i) sold in substantial quantities, (ii) readily available to the County without Contractor or third-party participation, (iii) provided without modification in the same form in which it is sold in the commercial marketplace, and (iv) for which there are at least two (2) readily available alternative solutions or items with the same or substantially similar design, use, or function as the proposed COTS. For the avoidance of doubt, COTS do not include so-called open source software or sole-source software.

Contract: The agreement executed between County and Prime Contractor. Included are all supplemental agreements amending or extending the service to be performed. The Contract sets forth the terms and conditions for the issuance and performance of all tasks, deliverables, services, and other work related to this RFP.

Contract Term (Term): The Term of the Contract as defined by Section 4.1.1 and Section 4.1.2 in the Contract.

Contractor: Person who has entered into a Board-approved agreement with the County to perform or execute the work covered by a Contract.

Contractor IP: All Intellectual Property developed or owned by Contractor either (a) prior to the Commencement Date, or (b) independently of the Services provided under the Contract and without any reference to EMS IP or County Data.

Contractor Proposal: The Proposal including all attachments, exhibits, references, or hyperlinked materials or information, submitted by Contractor in response to the RFP for the Election Management System (EMS) Implementation, Hosting and Maintenance and Support Services.

Cost Proposal: The documentation submitted by Proposer to the County as described in Section 4.8 of this RFP.

County: The County of Los Angeles, in the State of California.

County Data: Any County information, data, records, and information to which Contractor has access or possession or that have otherwise been provided to Contractor, whether or not intended under or for the purposes of the Contract, and includes any information that identifies, relates to, describes, is capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular consumer or household including name, address, e-mail address, passwords, account numbers, social security numbers, credit card information, personal financial or healthcare information, personal preferences, demographic data, geographic location, marketing data, credit data, or any other identification data.

For the avoidance of doubt, County Data shall include (a) all “nonpublic information,” as defined by the Gramm-Leach-Bliley Act (15 USC § 6801 et seq.), (b) personal information as defined by California Civil Code §§ 1798.29, 1798.8082, and 1798.140 (California Consumer Privacy Act of 2018, effective January 1, 2020) as amended and supplemented by the California Privacy Rights Act of 2020 (effective December 16, 2020; operative January 1, 2023), (c) protected health information or individually identifiable health information as defined by the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the Health Information Technology for Economic and Clinical Health (HiTECH) Act or as defined by the Code of Federal Regulations (45 CFR § 160.103), (d) personal data as defined by the EU General Data Protection Regulation (Regulation (EU) 2016/679), and/or (e) affidavits of voter registration, voter registration information, and voter registration records as set forth in California Government Code section 6254.4 and California Code of Regulations (CCR) section 19001.

For the further avoidance of doubt, County Data is not limited to proprietary or confidential information, and need not constitute trade secret information.

County IP: All Intellectual Property owned, or sufficiently licensed to, the County, excluding any Intellectual Property licensed under and for purposes of the Contract.

Deficiency or Defect: Something that is missing in a component.

Deliverable: Each deliverable to be provided under the Contract.

Department: The Los Angeles County Department of Registrar-Recorder/County Clerk.

Deployment: The series of activities to make the Election Management System available for use.

Department Head: Either the head of a department responsible for administering a particular contract for the county or the designee of same.

Developed IP: All Intellectual Property created, authored, invented, or reduced to practice under and for the purposes of the Work, the Contract, Services Documents, or any Deliverable the Project, whether or not such Intellectual Property is incorporated into the EMS IP.

Data Information Management System (DIMS): The current software system that manages voter data, vote by mail data and functions, petitions data and functions, audio scripts, translations, and reporting. DIMS is integrated with the CA SOS VoteCal and shares a variety of data with the State, including voter data and election results.

Deductions: 1) Standard local, state, and federal tax deductions associated with payroll transactions. 2) Reductions in contractual payments to the Prime Contractor due to non-compliance with performance standards.

Deliverable Acceptance Document (“DAD”): This document is required as part of the deliverable acceptance and payment processes and based on the template provided in Appendix D (Deliverable Acceptance Document) to Exhibit A (Statement of Work) in order to obtain approval and acceptance of a deliverable. Every deliverable for which Contractor requests payment requires a signed DAD to support that payment request and must be submitted to support the accompanying invoice.

Deliverable Expectation Document (“DED”): This document is required as part of the deliverable expectation and acceptance processes and based on the template provided in Appendix C (Deliverable Expectation Document) to Exhibit A (Statement of Work) in order to obtain pre-approval on the expected contents of a deliverable prior to the Contractor starting work on said deliverable. Deliverables requiring a pre-approved DED are indicated in Appendix B (Deliverables Definition Table) to Exhibit A (Statement of Work).

Due Date: The date that anything is due as specified in the Contract, including its Exhibit B (Pricing Schedule) and Exhibit C (Contractor’s Proposed Schedule), or as otherwise agreed to by the parties in writing pursuant to Paragraph 8.1 (Amendments, Change Orders, and Change Notices) of the Contract.

Election Contest and Ballot Management System (ECBMS): The current software system that manages contest, candidate, and other ballot layout information for an election.

Election Management System (EMS): A collection of software systems that manages voting operations for the County.

Electronic Pollbook (ePollbook): A device that contains and updates the digital roster that Vote Center staff use to check in a voter at a Vote Center. Electronic Pollbooks replaced traditional paper rosters as the method for determining voter eligibility, identifying the appropriate ballot for the voter, crediting voter participation, and capturing voter signatures. Vote Center staff can access the voter record database via laptop or tablet and the database can be hosted locally or accessed over a network.

EMS IP: All Contractor IP, Third Party IP, County IP, and Developed IP required by, incorporated into, or combined with the EMS, Services, or Deliverables under this Contract.

EMS: (See also System) individually and collectively, Intellectual Property, Software, hardware and firmware procured by the County under this Contract that meets the functional, technical and other specifications and any performance or results required by the Contract, provided in the Contractor Proposal, and as outlined in any Statement of Work including the Implementation Statement of Work (Technical Proposal, J.2), Hosting Statement of Work (Technical Proposal,

K.2), and the Maintenance and Support Statement of Work (Technical Proposal, L.2). For the avoidance of doubt, the System does not include County Data that is collected, processed, stored, or distributed by the System.

EMS Source Code: Consists of the computer program or programs for all components of the EMS. It also includes complete build and configuration instructions, related documents for compiling the source code into object code, and documentation for which COTS products and versions are compatible with the EMS in use in a county in the state. Any EMS vendor that does not use build and configuration instructions and related documents for compiling the source code into object code because it uses COTS compilers or standard industry procedures for compiling the source code, documentation is not required. A document describing this shall be provided with the escrowed source code. (See 2 CCR 20621(c).)

Error: The result of a process (within or between systems or as part of a workflow) that is not as expected, such as from a mistake in software code, processes not running in the correct sequence, or an incorrectly defined user workflow.

Established Precinct: Boundaries defined according to established boundaries (streets) within a County. When an election occurs, established precincts can be grouped into one (1) consolidated precinct and these voters may receive election material with the same ballot group.

Final Acceptance: The successful result of the County testing and evaluation efforts as defined by Exhibit A.1 (Implementation Statement of Work).

Fiscal Year (FY): The twelve (12) month period beginning July 1st and ending the following June 30th.

Hardware: Physical equipment, such as automated signature recognition machines, servers, scanners, and printers.

Help America Vote Act (HAVA): A law passed in 2002 that establishes mandatory minimum standards for states to follow in several key areas of election administration.

Holdbacks: A portion held back from the payment amount associated with a specific completed deliverable pending and contingent upon the completion and acceptance of all deliverables.

In-Scope Components: All the components to be provided by the Contractor as described in the Statements of Work.

Intellectual Property (IP): All current and future legal and/or equitable rights and interests, anywhere in the world, in know-how, patents (including applications), copyrights (including moral rights), trademarks (registered and unregistered), service marks, trade secrets (as defined by the Defend Trade Secrets Act § 2(b)(1) (18 USC § 1839(3)), and pursuant to US state and federal laws), designs (registered and unregistered), utility models, circuit layouts, mask works, business and domain names, inventions, solutions embodied in technology, and other intellectual activity, and applications of or for any of the foregoing, subsisting in or relating to the Proposal or IP Materials. Without limiting the foregoing, Intellectual Property includes Software and County Data. For the avoidance of doubt, Intellectual Property is distinguished from the physical, electronic, and/or mechanical embodiments of such Intellectual Property (see IP Materials).

Interfaces: The boundary between two systems or components through which Information is shared. Interfaces can be bidirectional or unidirectional.

IP Escrow: An escrow of Software Source Code or other Intellectual Property.

IP Escrow Agent: An escrow company or other neutral depository engaged in the business of receiving and maintaining escrows of Software Source Code, including all changes or modifications and new or amended versions, or other Intellectual Property. (See 2 CCR 20622.)

IP Materials: All physical, electronic and/or mechanical embodiments of, and documents disclosing, Intellectual Property. Without limiting the generality of the foregoing, IP Materials include embodiments, documents and/or any Proposal incorporating concepts, inventions (whether or not protected under patent laws), works of authorship, information, new or useful art, combinations, discoveries, formulae, algorithms, specifications, manufacturing techniques, technical developments, systems, computer architecture, artwork, Software, source code, executable code, decompilation instructions, programming, applets, scripts, designs, schema, procedures, processes, and methods of doing business, and any other media, materials, plans, reports, project plans, work plans, documentation, training materials, and other tangible objects produced under the Contract or required by, incorporated into or combined with the Services or the EMS.

Joint Enterprise Development Infrastructure (JEDI): An enterprise application infrastructure with responsibility for most departmental customer-facing and external interfaces. It is comprised of a suite of interoperable services that handle core functionality like Security, Messaging, Data Access, Audit Logging, Image Storage/Retrieval, Reporting, Address Validation, Point-Of-Sale Integration, and presentation layers. It is used for a variety of functions, including financial accounting and others.

Key Personnel: All persons employed in the roles included in Section G.3 Proposer's Key Personnel in the Technical Proposal.

Maintenance and Support (M&S): The stage after the Warranty period in which the Contractor will fix Deficiencies for the County on the basis of a fixed fee for a period of time.

National Change of Address (NCOA): A secure dataset of approximately 160 million permanent change-of-address (COA) records consisting of names and addresses of individuals, families, and businesses who have filed a change-of-address with US Postal Service. It allows the County to process mailing lists and update lists with new addresses prior to mailing.

Parent Company: A Person that has at least a majority ownership interest in (or power to elect a majority of the board of directors or other governing body of) another Person or is otherwise able to control the operations and management of such Person.

Party: Individually, the Contractor or the County, or cumulatively both the Contractor and County as the "Parties."

Person: An individual, corporation, partnership, limited liability company, association, trust, or other entity or organization, including any governmental entity.

Personally Identifiable Information (PII): Any data that could potentially identify a specific Person.

PollChief: The current software system used to recruit and manage Election Workers and voting locations (including Vote Centers, Drop Boxes and Check-in Centers).

Prime Contractor: The Contractor responsible for delivery of all of the In-Scope Components, who the County has entered into a contract with after being selected through this RFP, whose work shall include the management of Subcontractors (if identified in such Prime Contractor's submitted Proposal) involved in providing such In-Scope Components.

Project Control Document (PCD): The project management document described in Task 1.1.2 of the Implementation Statement of Work that encompasses all activities related to the design, development, configuration, testing, and implementation of the EMS. Activities included in the PCD reflect the Project through Maintenance and Support.

Project Information Library: A single online repository used to store, organize, track, control, and disseminate all information and items produced during the EMS Project.

Project Management Institute® (PMI): A nonprofit membership organization for individuals in the project management profession.

Project Management Professional® (PMP): A certification offered by the PMI.

Proposal: The document submitted by Proposers that outlines their solutions to meet the needs of the County as outlined in the RFP and the cost to do so.

Proposer: The potential Prime Contractor who is submitting a Proposal in response to this RFP.

Proposer Team: The team of vendors who are submitting a Proposal under the leadership of a Proposer.

Registrar-Recorder/County Clerk (Department): The entity of the Los Angeles County government that is tendering this RFP and is responsible for providing essential records management and County elections registrar functions. For more information visit <https://www.lavote.gov/>

Release: A release is the distribution of the final packaged version of all components of a system with a defined list of the version of each component and the assumption that these versions of those components have been adequately tested to work together to perform the functions of the system.

Service(s): All efforts, labor, work, provision of goods, rights, title, certification, or other services including contracting or negotiating for any rights, licenses, title certification, or other services, for the purposes of the Contract or for the benefit of the County by any Person including Contractor or any Subcontractor. For the avoidance of doubt, Services include all reporting, creation, modification, or delivery of Deliverables under the Contract, including Deliverables that constitute IP Materials, all Services identified in the Implementation Statement of Work (Section J.2 in the Technical Proposal), Hosting Statement of Work (Section K.2 in the Technical Proposal), and the Maintenance and Support Statement of Work (Section L.2 in the Technical Proposal), or the creation, authorship, or invention of any Intellectual Property rights. As used in the Contract, the term "work" is synonymous with Services.

Software: individually each, and collectively all, of the computer programs developed or provided by the Contractor under this Contract (including EMS IP, Contractor IP and/or Third-Party IP), including as to each such program, the processes, and routines used in the processing of data, the object code, interfaces to be provided hereunder by the Contractor, Updates, Upgrades, and any and all programs otherwise provided by the Contractor under this Agreement.

Source Code: The version of a computer program in which the programmer's original programming statements are expressed in a source language (e.g., C++, C#, Visual Basic, Java, etc.) which must be compiled or assembled and linked into equivalent machine-executable object code, thereby resulting in an executable software program. (See 2 CCR 20621.)

Statement of Work (SOW): Describes the services and deliverables being requested of the Prime Contractor, including directions, provisions, requirements, and special provisions pertaining to the method, frequency, manner, and place of performing the Contract Services.

Subcontractor: A Contractor that is a member of a Proposer Team who will provide some or all of the product(s) and/or service(s) for the EMS Implementation and Services under the applicable Prime Contractor's leadership and accountability if a Contract results from this RFP.

Subject Matter Expert (SME): An expert in a given subject matter such as election operations or IT.

Subsidiary: With respect to any Person, any other Person which owns, directly or indirectly, stock or other equity interests having ordinary voting power to elect more than fifty percent (50%) of the board of directors or other governing body of such first Person.

System (See also EMS): Individually and collectively, Intellectual Property, Software, hardware, and firmware procured by the County under this Contract that meets the functional, technical, and other specifications and any performance or results required by the Contract, provided in the Contractor Proposal, and as outlined in any Statement of Work including the Implementation Statement of Work (Section J.2 in the Technical Proposal), Hosting Statement of Work (Section K.2 in the Technical Proposal), and the Maintenance and Support Statement of Work (Section L.2 in the Technical Proposal). For the avoidance of doubt, the System does not include County Data that is collected, processed, stored, or distributed by the System.

Technical Proposal: The documentation submitted by Proposer to the County as described in Section 4.7 of this RFP.

Third Party IP: Intellectual Property owned by any Person unrelated to the Contractor. For the avoidance of doubt, any Subcontractor Intellectual Property (whether as Software or otherwise) that is required by, incorporated into or combined with the EMS, Services, or Deliverables under this Contract constitutes Third Party IP.

Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA): Act passed in 1986 ensuring military/uniformed service members and United States citizens living outside the territorial limits of the United States or the District of Columbia for reasons of employment, study programs, or military service (including the spouse or dependents of one serving in the military) are eligible to register to vote and request a Vote by Mail (absentee) ballot. This act is administered by the Federal Voting Assistance Program. For more information visit: <http://www.fvap.gov/>

Unit Testing: The method of software testing used to determine whether individual units of a project, such as a piece of source code or functionality, are tested to determine if they are ready for use.

Update(s): Modifications or improvements to Software created in the normal course of the Software owner's business operations to (i) fix delay, malfunction, or so-called "bugs" in Software,

(ii) to make the underlying Software compatible with any commercially available Software, Hardware or firmware, or (iii) any modification related to statutory or regulatory requirements, including without limitation any modifications or improvements to Software pursuant to the Maintenance and Support SOW (Contract, Exhibit A.3). For the avoidance of doubt, Updates do not constitute an Amendment whether or not the modifications or improvements of the Update are identified as a specification or otherwise identified in the Contract, and whether or not requested by the County.

Upgrade(s): Improvements, expansions or enhancements to Software created in the normal course of the Software owner's business operations to improve commercial value of the Software, Software market penetration, or expand product offerings. For the avoidance of doubt, Upgrades do not include Software created under and for the purpose of this Contract or any Amendment.

User Acceptance Testing (UAT): The final phase of testing in which users test software using scenarios reflecting expected, regular user workflows.

User Interface: The technology, particularly the design of the technology, through which the user interacts with an application, process, content, service, or other users.

Vendor: A vendor is the Contractor, including any person, group, organization, company, or entity, whether or not incorporated, who sells, leases, or grants use of, with or without compensation an EMS for use by jurisdictions that conduct elections subject to the Secretary of State's Code of Regulations. (See 2 CCR 20626).

VoteCal: The State of California's Federally mandated statewide voter registration database managed by the California Secretary of State.

Vote by Mail (VBM): The voting option in which voters are mailed a ballot that they mark and then return by mail or at an authorized location.

Vote Center: A voting location that enables any registered voter in the jurisdiction to vote the specific ballot style of that voter at the site. With the use of connected Electronic Pollbooks, the voter need not vote provisionally and can choose to vote at the Vote Center convenient that day regardless of location within the jurisdiction.

Voter's Choice Act (VCA): Voter's Choice Act (2016 CA Senate Bill 450), as codified by California Elections Code § 3017, 4005, 4006, 4007, 4008, and 15320, modernizes elections in California by allowing counties to conduct elections under a vote center model which provides greater flexibility and convenience for voters. The VCA allows voters to choose how, when, and where to cast their ballots. Under the VCA, voters can return their vote-by-mail ballot by mail, by dropping the vote-by-mail ballot in a secure county ballot drop box, or by visiting any vote center in the county where they are registered to vote. The VCA expands voting options by (i) mailing every voter a vote-by-mail ballot, (ii) expanding in-person early voting, and (iii) offering increased vote-by-mail ballot drop-off locations. For more information, visit: <https://www.sos.ca.gov/elections/voters-choice-act>

Voting Solutions for All People (VSAP): The project, previously known as the Voting Systems Assessment Project, was developed by the Department in 2009 to address an aging voting system and an increasingly large and complex electorate. The project took a collaborative

approach to voting system design that puts voters at the center and maximizes stakeholder participation. The project name was changed to Voting Solutions for All People in Fall 2017 to highlight the transition from an assessment to a branded solution implementation.

Warranty: Excluding use for purposes of Contract representations, warranties and covenants, the period after implementation, and following all review, testing, and County acceptance pursuant to the Contract, in which the Contractor will guarantee at no extra cost to County that each In-Scope Component is free from all Deficiencies, including by fixing any Deficiencies that arise.

Withholds/Withheld: See Holdbacks.

2.0 Acronyms

Acronym	Meaning
A-C	Auditor-Controller
API	Application Programmer Interface
CA SOS	California Secretary of State
CIC	Check-in Center
CRC	Cyclic Redundancy Checks
CVR	Conditional Voter Registration
DBA	Database Administrator
DCBA	Department of Consumer and Business Affairs
DAD	Deliverable Acceptance Document
DED	Deliverable Expectations Document
DIMS	Data Information Management System
DVBE	Disabled Veterans Business Enterprise
EFT	Electronic Fund Transfer
EMS	Election Management System
ETL	Extract-Transform-Load
FICA	Federal Insurance Contribution Act
FTP	File Transfer Protocol
FY	Fiscal Year
GIS	Geographic Information System
HAVA	Help America Vote Act
HIT	Health Insurance Tax
HIPAA	Health Insurance Portability and Accountability Act
HTTP	Hypertext Transfer Protocol
iDP	Identity Provider
ITB	Information Technology Bureau
ITIL	Information Technology Infrastructure Library
JEDI	Joint Enterprise Development Infrastructure
JSON	JavaScript Object Notation
KPI	Key Performance Indicator
LDAP	Lightweight Directory Protocol
LLC	Limited Liability Company
LSBE	Local Small Business Enterprise
M&S	Maintenance and Support
NCOA	National Change of Address
NDA	Non-Disclosure Agreement
NVRA	National Voter Registration Act
OAuth	Open Authorization
OCM	Organizational Change Management
ORCHID	Online Reviewable Campaign History and Information Database
PCD	Project Control Document

Acronym	Meaning
PDF	Portable Document Format
PHI	Protected Health Information
PII	Personally Identifiable Information
PMI	Project Management Institute
PMP	Project Management Professional
PVBM	Permanent Vote by Mail
RBAC	Role-Based Access Control
RFP	Request for Proposal
RPO	Recovery Point Objective
RR/CC	Registrar-Recorder/County Clerk
RTO	Recovery Time Objective
SAML	Security Assertion Markup Language
SE	Social Enterprise
SLA	Service Level Agreement
SLR	Service Level Requirement
SME	Subject Matter Expert
SMS	Short Message Service
SMTP	Simple Mail Transfer Protocol
SNMP	Simple Network Management Protocol
SOW	Statement of Work
SSL	Secure Socket Layer
TCP	Transmission Control Protocol
TDM	Test Data Management
TLS	Transport Layer Security
UAT	User Acceptance Testing
UI	User Interface
UOCAVA	Uniformed and Overseas Citizens Absentee Voting Act
USB	Universal Serial Bus
USPS	United States Postal Service
VBL	VSAP Ballot Layout
VBM	Vote by Mail
VCA	Voter's Choice Act
VIG	Voter Information Guide
VNC	Voter Notification Cards
VPH	Voter Participation History
VPN	Virtual Private Network
VSAP	Voting Solutions for All People
WBS	Work Breakdown Structure
WCAG	Web Content Accessibility Guidelines
XML	Extensible Markup Language



EXHIBIT L

INTENTIONALLY OMITTED



EXHIBIT M

EMS HOLDBACK TIMEFRAMES

Exhibit M: EMS Holdback Timeframes

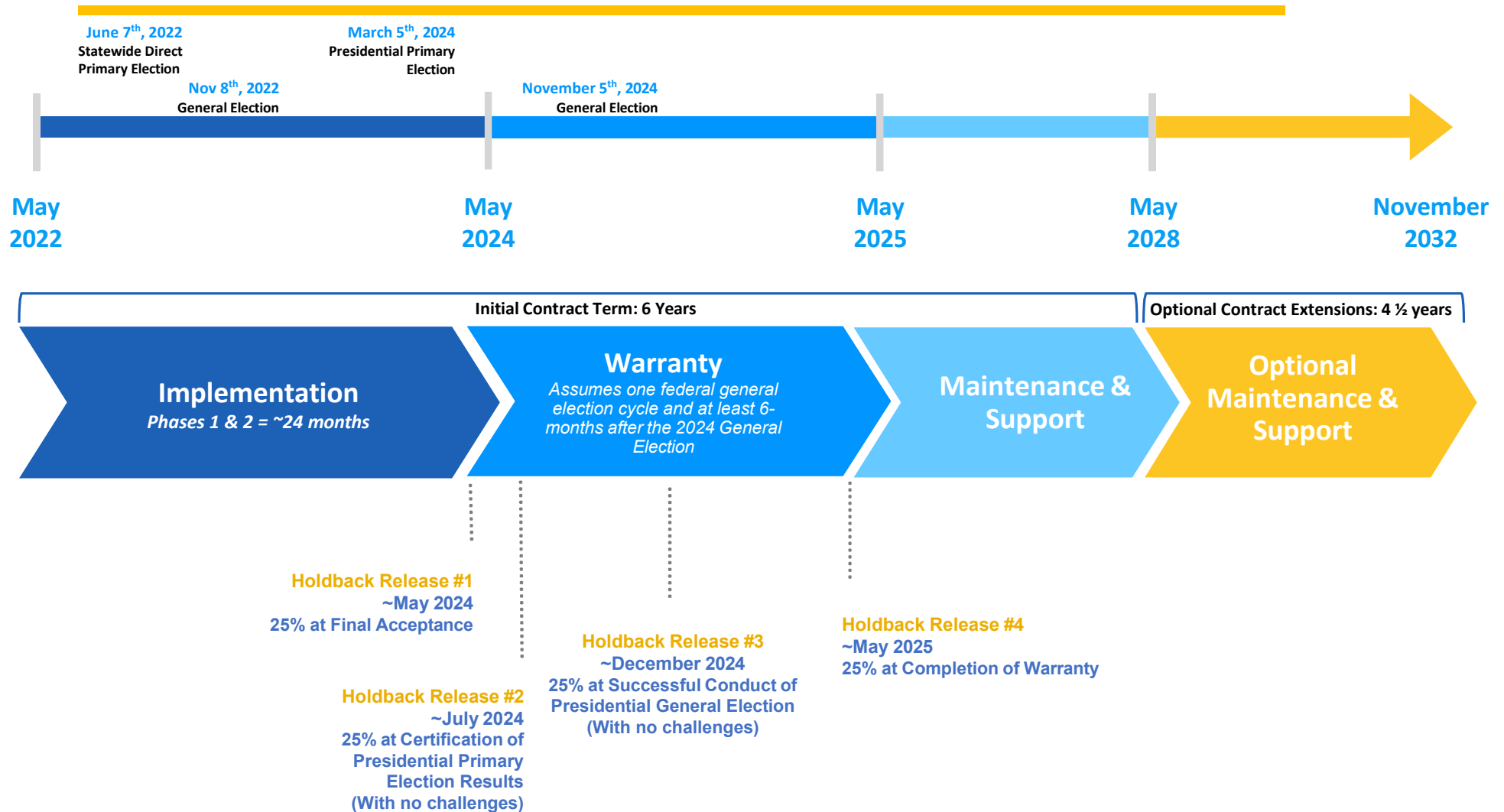




EXHIBIT N

INTENTIONALLY OMITTED



EXHIBIT O

COVID-19 CERTIFICATION OF COMPLIANCE

COVID-19 Vaccination Certification of Compliance

**Urgency Ordinance, County Code Title 2 – Administration, Division 4 – Miscellaneous – Chapter 2.212
(COVID-19 Vaccinations of County Contractor Personnel)**

I, _____, on behalf of _____, (the “Contractor”), certify that on County Contract #22-002 for Election Management System Implementation and Services.

_____ All Contractor Personnel* on this Contract are fully vaccinated as required by the Ordinance.

_____ Most Contractor Personnel* on this Contract are fully vaccinated as required by the Ordinance. The Contractor or its employer of record, has granted a valid medical or religious exemption to the below identified Contractor Personnel. Contractor will certify weekly that the following unvaccinated Contractor Personnel have tested negative within seventy-two (72) hours of starting their work week under the County Contract, unless the contracting County department requires otherwise. The Contractor Personnel who have been granted a valid medical or religious exemption are [LIST ALL CONTRACTOR PERSONNEL]:

*Contractor Personnel includes subcontractors.

I have authority to bind the Contractor, and have reviewed the requirements above and further certify that I will comply with said requirements.

Signature

Date

Title

Company/Contractor Name



EXHIBIT P

PERFORMANCE BOND

[Form of] Performance Bond

Bond No. _____

KNOW ALL BY THESE PRESENTS:

That we, The Canton Group, as principal (hereinafter referred to as "Principal"), and _____, as surety (hereinafter referred to as "Surety"), are held and firmly bound to the County of Los Angeles, as obligee (hereinafter referred to as "COUNTY"), in the amount of Fifteen Million and Seven-Hundred Thousand Dollars (\$15,700,000) for the payment whereof Principal and Surety bind themselves, their heirs, executors, administrators, successors and assigns, jointly and severally.

WHEREAS, Principal has by written agreement entered into a contract the ____ day of _____, 2022, with COUNTY for implementation and support of the Election Management System (EMS) and related services, hereinafter referred to as the "Agreement" and incorporated into this Performance Bond as if set forth fully herein;

THE CONDITION OF THIS PERFORMANCE BOND is that if Principal:

Performs the Agreement between Principal and COUNTY for the goods and services at the times and in the manner prescribed in the Agreement, and

1. Promptly makes payments to all claimants supplying Principal with goods, labor, materials, or supplies, used directly or indirectly by Principal in the prosecution of and providing the goods and services specified in the Agreement, and
2. Pays COUNTY all losses, damages, expenses, liquidated damages, costs in accordance with the Agreement, that COUNTY sustains because of default by Principal under the Agreement, and
3. Provides all goods and services, under the Agreement in the time and manner specified in the Agreement and such goods and services are accepted by COUNTY as provided for in the Agreement,

THEN THIS PERFORMANCE BOND IS RELEASED; OTHERWISE IT REMAINS IN FULL FORCE AND EFFECT.

The Performance Bond shall remain in full force and effect until (i) completion of the Warranty Period (as identified in the Statement of Work, and described in the Agreement), or (ii) the written release of the obligation to maintain the Performance Bond by COUNTY in an amendment to the Agreement as provided thereby.

COUNTY shall provide written notice to Surety of a default by Principal and of County's intent to seek fulfillment of Surety's payment obligations under this Performance Bond.

Upon receipt of such notice, Surety shall promptly (and in any event in no more than fifteen (15) days thereafter) release the funds available under the Performance Bond to COUNTY in their entirety, which funds shall be used by County as needed to remedy fully the default, including but not limited to:

1. Completing the Agreement in accordance with its terms and conditions; or
2. Obtaining a proposal(s) for performing the Agreement in accordance with its terms and conditions, and, at COUNTY's option, arrange for a contract between such proposer(s) and COUNTY; and
3. Paying COUNTY all losses, damages, liquidated damages, expenses, costs and attorney's fees including appellate proceedings, that COUNTY sustains as a result of default by Principal under the Agreement; and
4. In the event COUNTY fails to accept the Element Management System as described and provided for in the Agreement, repaying or refunding COUNTY the monies in the amount provided for in the Agreement.

No right of action shall accrue on this bond to or for the use of any person or corporation other than COUNTY named herein or the executors, administrators or successors thereof. This Performance Bond shall be enforceable against Surety, its successors and assigns.

No delay on the part of COUNTY in exercising any right, power or privilege under this Performance Bond or failure to exercise the same shall operate as a waiver of or otherwise affect any such right, power or privilege, nor shall any single or partial exercise thereof preclude any other or further exercise thereof or the exercise of any other right, power or privilege.

Surety hereby waives all and any of the following:

- (a) notice of any change or amendment, to the Agreement, or to related subcontracts, purchase orders and other obligations (excluding any modifications that decrease the amount of time for Principal's performance, or decrease the amount of money being paid by COUNTY);
- (b) to the extent not required under this Performance Bond, all presentments, demands for performance, notices of non-performance (for avoidance of doubt, including warranty or support claims or requests, or informally noticed failures to approve work in accordance with the Agreement), protests, partial payment or non-payment of all or any part of the obligations guaranteed by this Performance Bond;
- (c) any right to require COUNTY to proceed against Principal or any other person, to proceed against, apply or exhaust any security held from any person for all or any part

of the obligations guaranteed by this Performance Bond, or to pursue any other remedy in COUNTY's power whatsoever;

- (d) any defense arising by reason of the invalidity, illegality or lack of enforceability of the obligation to perform or pay all or any part of the obligations contained in the Agreement or guaranteed by this Performance Bond, or by reason of any lack of authority, or by reason of any act or omission of Principal or others which directly or indirectly results in the discharge or release of all or any part of the obligations guaranteed by this Performance Bond, whether by operation of law or otherwise;
- (e) any defense based upon or arising out of any bankruptcy, insolvency, reorganization, moratorium, arrangement, readjustment of debt, liquidation or dissolution proceeding commenced by or against Principal or any other person, including any discharge of, or bar against collecting or otherwise enforcing performance of, all or any part of the obligations guaranteed by this Performance Bond (including any interest), in or as a result of any such proceeding.

Signed and sealed this _____ day of _____, 2022.

WITNESS: By _____ Name _____ Title _____ Date _____	The Canton Group: By _____ Name _____ Title _____ Date _____
WITNESS: By _____ Name _____ Title _____ Date _____	Surety: By _____ Name _____ Title _____ Date _____

Address for purposes of notice to Surety:

 Attention: _____
 Facsimile: _____



EXHIBIT Q

INTENTIONALLY OMITTED



EXHIBIT R

INTENTIONALLY OMITTED



EXHIBIT S

INTENTIONALLY OMITTED



EXHIBIT T

CONTRACTOR'S PROPOSAL

INCORPORATED BY REFERENCE



DRAFT

Attachment

CIO ANALYSIS

Peter Loo
ACTING CHIEF INFORMATION
OFFICER

BOARD AGENDA DATE:

5/17/2022

This document provides an analysis and recommendations by the Office of the Chief Information Officer pertaining only to “requests concerning the approval of actions related to the management, design, development, acquisition, expansion, or purchase of **automated systems and/or related services**,” per [Board Policy 6.020, “Chief Information Office Board Letter Approval”](#). This document shall not be construed as endorsement, or a recommendation for approval, of any other items.

SUBJECT:

**APPROVAL OF CONTRACT #22-02 WITH THE CANTON GROUP FOR ELECTION
MANAGEMENT SYSTEM (EMS) IMPLEMENTATION AND SERVICES**

CONTRACT TYPE:

☒ New Contract ☐ Sole Source ☐ Amendment to Contract #: Enter contract #.

SUMMARY:

Description: This request from the Registrar-Recorder/County Clerk (RR/CC) requests delegated authority to the RR/CC to: 1) Execute a Contract with The Canton Group effective for up to six years, with two additional two-year optional terms and six month-to-month extensions not to exceed \$39,475,839; 2) Negotiate and execute amendments to make changes to the Contract as operationally necessary provided that County Counsel approval is obtained; 3) Execute Change Orders for additional goods and services with allocated Pool Dollars not to exceed \$3,588,712 provided that prior approval from the CEO and County Counsel is obtained; 4) Increase the original contract sum (\$35,887,127) by no more than ten percent (10%) for unforeseen contingencies provided that prior approval from County Counsel and CEO is obtained; and 5) Terminate the Contract in whole or in part as necessary provided County Counsel approval is obtained.

The EMS is a critical component of the County’s election ecosystem. The County has been using the Data Information Management System (DIMS) for elections management since 1999. Over the years, DIMS grew in size, complexity and functionality, and kept pace with the County’s election needs. However, because of necessary integration with the State’s VoteCal system and regulatory changes, the highly customized DIMS no longer meets the needs of the County.

APPROVAL OF CONTRACT #22-02 WITH THE CANTON GROUP FOR ELECTION MANAGEMENT SYSTEM (EMS) IMPLEMENTATION AND SERVICES

Contract Amount: \$39,475,839

FINANCIAL ANALYSIS:

Contract costs:

One-time costs \$ 15,740,410

Ongoing costs:

Ongoing costs (10.5 years)..... \$ 20,146,714

Pool Dollars (10.5 years) \$ 3,588,715

Total Contract Costs: \$ 39,475,839

Notes:

THE TOTAL CONTRACT COST INCLUDES SOFTWARE LICENSING, DEVELOPMENT, CONFIGURATION, IMPLEMENTATION, HOSTING, MAINTENANCE AND SUPPORT. THE RR/CC CURRENTLY HAS \$775,000 IN ONGOING FUNDS IN THEIR FY 2021-22 ADOPTED BUDGET FOR THE EXISTING EMS WHICH WILL REMAIN IN PLACE UNTIL THE NEW EMS IS OPERATIONAL AND THEN THIS FUNDING WILL BE ASSIGNED TO THE NEW EMS ONGOING COSTS. RR/CC HAS \$1,003,000 EXISTING IN ONE-TIME FUNDS WITHIN FY 2021 ADOPTED BUDGET TO SUPPORT DELIVERABLES ANTICIPATED TO BE COMPLETED PRIOR TO JUNE 30, 2022. RR/CC WILL SUBMIT AN AMENDED EMS REQUEST FOR FY 22-23 DURING FINAL CHANGES. FUNDING TO FINANCE FUTURE YEARS WILL BE REQUESTED THROUGH THE ANNUAL BUDGET PROCESS AND WILL TAKE INTO ACCOUNT THE EXISTING ONGOING FUNDING ONCE THE EXISTING SYSTEM IS NO LONGER NEEDED. RR/CC RECEIVED A STATE GRANT IN THE AMOUNT OF \$4,857,000 TO FUND THE DEVELOPMENT OF THE NEW EMS. THE GRANT REQUIRES A 3:1 MATCH. THE DEPARTMENT IS APPLYING FOR A LEGACY MODERNIZATION GRANT THROUGH THE IT INVESTMENT BOARD (ITIB) FOR THE REQUIRED MATCH AMOUNT OF \$1,620,000. RR/CC WILL BE PRESENTING TO THE ITIB ON APRIL 28, 2022.

APPROVAL OF CONTRACT #22-02 WITH THE CANTON GROUP FOR ELECTION MANAGEMENT SYSTEM (EMS) IMPLEMENTATION AND SERVICES

RISKS:

1. As with any major technology implementation, there are risks in the areas of quality, cost, and schedule. In this case, the new EMS will be implemented as Software as a Service (SaaS) in the Microsoft Azure cloud and configured to meet RR/CC's requirements. RR/CC has mitigated the quality risks by developing three detailed Statements of Work in the Contract (Implementation SOW, Hosting SOW and Maintenance and Support SOW) with a combined 101 individual Deliverables. The Implementation SOW focuses heavily on project management/control, organizational change management, requirements validation, system design, development/configuration, system integration, data migration, testing, VoteCal certification, reporting, training/knowledge transfer and implementation. The Hosting SOW focuses primarily on connectivity architecture, configuration of hosting environments, security reports, disaster recovery planning, service level requirements, outage severity levels with required response times, Recovery Time Objectives and Recovery Point Objectives. The Maintenance and Support SOW focuses primarily on notification processes for security incidents, notification processes for operational issues, software release and upgrade planning, ongoing testing results, updated training and knowledge transfer, self-service reporting capabilities and dashboards. Additionally, in order to mitigate quality risks, RR/CC has developed detailed functional and technical requirements. Also, County Counsel and outside counsel were involved in the development of the contract. The cost risks have been mitigated by developing a cost schedule and not-to-exceed contract that includes software license costs, development, implementation, hosting and maintenance/support. Payments are tied to specific Deliverables. Also, 25% holdback payment releases will be scheduled as follows: Final System Acceptance (May 2024), Presidential Primary Election Results (July 2024), Presidential General Election (December 2024) and completion of Warranty (May 2025). The schedule risk will be mitigated by following a detailed project plan and overall project control document.
2. Because the system will be deployed in a SaaS model and hosted outside of the County, it is critical that RR/CC provide strong vendor management practices and work closely with County Counsel to manage the Contract.
3. The Acting Chief Information Security Officer has reviewed the Information Security and Privacy Exhibit in the contract and determined that the latest approved County language is included.

PREPARED BY:

(NAME) DEPUTY CHIEF INFORMATION OFFICER

DATE

APPROVED:

PETER LOO, ACTING COUNTY CHIEF INFORMATION OFFICER

DATE

BOARD LETTER/MEMO CLUSTER FACT SHEET

☒ Board Letter

☐ Board Memo

☐ Other

CLUSTER AGENDA REVIEW DATE	4/27/2022	
BOARD MEETING DATE	5/17/2022	
SUPERVISORIAL DISTRICT AFFECTED	<input checked="" type="checkbox"/> All <input type="checkbox"/> 1 st <input type="checkbox"/> 2 nd <input type="checkbox"/> 3 rd <input type="checkbox"/> 4 th <input type="checkbox"/> 5 th	
DEPARTMENT(S)	Treasurer Tax Collector	
SUBJECT	Issuance and Sale of Los Angeles County 2022-23 Tax and Revenue Anticipation Notes (TRANS)	
PROGRAM	N/A	
AUTHORIZES DELEGATED AUTHORITY TO DEPT	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
SOLE SOURCE CONTRACT	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
	If Yes, please explain why:	
DEADLINES/ TIME CONSTRAINTS	May 17, 2022	
COST & FUNDING	Total cost: TBD	Funding source: County General Fund
	TERMS (if applicable): Negotiated sale of the 2022-23 TRANS.	
	Explanation: The borrowing cost of the 2022-23 TRANS will depend on market conditions on the date of sale. Based on current market conditions, the estimated borrowing cost of the 2022-23 TRANS is approximately [1.50%].	
PURPOSE OF REQUEST	The Treasurer and Tax Collector is requesting authorization to issue TRANS to meet the Fiscal Year 2022-23 cash flow needs of the County General Fund. This short-term borrowing program enables the County to manage the funding of its expenditures and to reduce the need for internal borrowing. We are requesting a maximum authorization for the 2022-23 TRANS in a maximum principal amount not to exceed [\$1,000,000,000].	
BACKGROUND (include internal/external issues that may exist including any related motions)	Each year since 1977, the County has issued tax-exempt TRANS in connection with its cash management program for the upcoming fiscal year. This short-term borrowing program is necessary given that the County receives certain revenues, such as property taxes, on an uneven basis throughout the fiscal year. For Fiscal Year 2021-22, the County issued \$1,000,000,000 of TRANS, which will mature on June 30, 2022.	
EQUITY INDEX OR LENS WAS UTILIZED	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please explain how:	
SUPPORTS ONE OF THE NINE BOARD PRIORITIES	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes, please state which one(s) and explain how:	
DEPARTMENTAL CONTACTS	<ul style="list-style-type: none"> Keith Knox, Treasurer and Tax Collector, (213) 974-2101, kknox@ttc.lacounty.gov Elizabeth Buenrostro Ginsberg, Chief Deputy Treasurer and Tax Collector, (213) 974-0703, eginsberg@ttc.lacounty.gov Daniel Wiles, Assistant Treasurer and Tax Collector, (213) 974-7175, dwiles@ttc.lacounty.gov 	



KEITH KNOX

TREASURER AND TAX COLLECTOR

COUNTY OF LOS ANGELES TREASURER AND TAX COLLECTOR

Kenneth Hahn Hall of Administration
500 West Temple Street, Room 437, Los Angeles, California 90012
Telephone: (213) 974-2101 Fax: (213) 626-1812
ttc.lacounty.gov and propertytax.lacounty.gov

Board of Supervisors

HILDA L. SOLIS
First District

HOLLY J. MITCHELL
Second District

SHEILA KUEHL
Third District

JANICE HAHN
Fourth District

KATHRYN BARGER
Fifth District

May 17, 2022

The Honorable Board of Supervisors
County of Los Angeles
383 Kenneth Hahn Hall of Administration
500 West Temple Street
Los Angeles, CA 90012

Dear Supervisors:

ISSUANCE AND SALE OF 2022-23 TAX AND REVENUE ANTICIPATION NOTES (ALL DISTRICTS) (3 VOTES)

SUBJECT

The Treasurer and Tax Collector is requesting authorization to issue Tax and Revenue Anticipation Notes (TRANS) to meet the Fiscal Year (FY) 2022-23 cash flow needs of the County General Fund. This short-term borrowing program enables the County to manage the funding of its expenditures and to reduce the need for internal borrowing. We are requesting a maximum authorization for the 2022-23 TRANS in a principal amount not to exceed \$[1,000,000,000].

IT IS RECOMMENDED THAT YOUR BOARD:

Adopt the Resolution authorizing the issuance and sale of the 2022-23 Tax and Revenue Anticipation Notes in an aggregate principal amount not to exceed \$[1,000,000,000].

PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION

Adoption of the attached Resolution will authorize the issuance of the 2022-23 TRANS and the execution and delivery of all related financing documents. Each year since 1977, the County has issued tax-exempt TRANS in connection with its cash management program for the upcoming fiscal year. This borrowing program is necessary given that the County receives certain revenues, such as property taxes, on an uneven basis throughout the fiscal year. The proceeds generated from the issuance

of TRANS are maintained in a separate fund by the Auditor-Controller and utilized on a periodic basis to meet the cash flow needs of the County General Fund. Issuance of the 2022-23 TRANS will reduce the County's need for internal borrowing during the upcoming fiscal year and provide sufficient cash resources to meet the County's cash flow requirements in FY 2022-23.

Implementation of Strategic Plan Goals

The recommended action supports County Strategic Plan Strategy III.3 – Pursue Operational Effectiveness, Fiscal Responsibility, and Accountability.

FISCAL IMPACT/FINANCING

The borrowing cost of the 2022-23 TRANS will depend on market conditions on the date of the sale. The Resolution provides that the true interest cost of the TRANS shall not exceed four percent (4%). However, based on current market conditions, the actual cost of borrowing is expected to be significantly lower and may result in a true interest cost of approximately one and a half percent (1.5%).

FACTS AND PROVISIONS/LEGAL REQUIREMENTS

The County traditionally issues the TRANS as a single series of fixed-rate notes with a one-year final maturity. However, in order to provide the County with maximum flexibility to respond to changing market conditions, the attached resolution provides the County the flexibility to issue the 2022-23 TRANS in multiple series with different maturity dates that will not exceed 15 months. The 2022-23 TRANS will be structured to achieve the lowest cost of borrowing available to the County in the municipal note market on the day of pricing, which is currently scheduled for early June 2022. Proceeds from the sale of the 2022-23 TRANS are expected to be available to the County on July 1, 2022.

Consistent with the County's historical practice, the Treasurer and Tax Collector is recommending a negotiated sale of the 2022-23 TRANS. Based on the results of a competitive solicitation process, BofA Securities, Inc. was selected as the lead senior managing underwriter, with Wells Fargo appointed to serve as the co-senior manager. Up to four co-managers will be added to the underwriting syndicate for the 2022-23 TRANS prior to the pricing date. County Counsel has selected Orrick Herrington & Sutcliffe and Hawkins Delafield & Wood to serve as note counsel and disclosure counsel, respectively, for this transaction.

IMPACT ON CURRENT SERVICES (OR PROJECTS)

The 2022-23 TRANS are issued as part of a cash management program, which has no direct impact on current services.

CONCLUSION

Upon approval of this Resolution, it is requested that the Executive Officer-Clerk of the Board of Supervisors return two originally executed copies of the adopted Resolution to the Treasurer and Tax Collector (Office of Public Finance).

Respectfully submitted,

KEITH KNOX
Treasurer and Tax Collector

KK:EBG:DW:TG:JP:PP:ad
doc/2022-23 TRANS_051722

Attachments

c: Chief Executive Officer
Executive Officer, Board of Supervisors
Auditor-Controller
Acting County Counsel
Orrick Herrington & Sutcliffe
Hawkins Delafield & Wood
BofA Securities
Wells Fargo