Contract Management Plan
For Consultant and Non-Prime Contracts

Centralized Revenue Opportunity System Project

California State
Board of Equalization

October 2014
Version 1.0
Date Submitted for Review: 07/24/2014

<table>
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<th>Reviewer Name</th>
<th>Signature</th>
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<tr>
<td>Project Director</td>
<td>Eric Steen</td>
<td></td>
<td>10-17-14</td>
</tr>
<tr>
<td>Technical Project Manager</td>
<td>Chris Kahue</td>
<td></td>
<td>10-2-14</td>
</tr>
<tr>
<td>Business Project Manager</td>
<td>Mike Skikos</td>
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<td>9-26-14</td>
</tr>
<tr>
<td>Project Manager</td>
<td>Kim Brain</td>
<td></td>
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Document Review Cycle

This document will be reviewed annually and as needed throughout the CROS Project’s lifecycle. The objective of the review is to verify the relevance of this Contract Management Plan (CMP) to the business needs of the CROS Project and update accordingly.
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<td>Verify Invoices paid</td>
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<td>6.7</td>
<td>Finalize Contract file and Document Storage</td>
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1. Overview

1.1 Purpose

The purpose of this Contract Management Plan (CMP) is to define the processes, procedures, activities, roles, and tools for the management of non-prime contracts. The contract management will consist of procuring, tracking, and managing contracts to ensure all contractual obligations are fulfilled, including that delivered products and services are acceptable.

1.2 Scope

The scope of the CMP is the procurement and management of contracts related to non-prime products and services. The CMP does not cover contracts for supplies (for example, contracts to procure office supplies).

The following contract management processes are defined in this plan:

- **Contract Initiation** – Activities to plan the procurement; develop the Statement of Work (SOW) and evaluation criteria; solicit and evaluate proposals; and execute the purchase order.
- **Contract Management** – Activities required preparing and orienting a new Contractor; defining and managing contract deliverables; processing timesheets, invoice and payments and managing Contractor performance.
- **Contract Amendment** – Criteria and activities required to amend a contract.
- **Contract Closure** – Activities to finalize the contract ensuring the necessary documents are received and filed with the appropriate external stakeholders.

1.3 Referenced Documents

The following documents are referred to in the CMP:

<table>
<thead>
<tr>
<th>Document/Version</th>
<th>SharePoint Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>CROS Contract Performance Assessment Plan, V1.0</td>
<td>CROS PMO/Project Management/All Documents</td>
</tr>
<tr>
<td>SOW</td>
<td>CROS Project Management/Consultant Contracts/(select specific contract)</td>
</tr>
<tr>
<td>19130(b) Justification</td>
<td>CROS Project Management/Consultant Contracts/(select specific contract)</td>
</tr>
<tr>
<td>Certificate of Compliance</td>
<td>CROS Project Management/Consultant Contracts/(select specific contract)</td>
</tr>
<tr>
<td>Contract/Service Request Form (BOE-860)</td>
<td>CROS Project Management/Consultant Contracts/(select specific contract)</td>
</tr>
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</table>
### Document/Version

<table>
<thead>
<tr>
<th>Document/Version</th>
<th>SharePoint Location</th>
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<tbody>
<tr>
<td>BOE Confidentiality Statement (BOE-4)</td>
<td>CROS Procurement</td>
</tr>
<tr>
<td>RFO Package</td>
<td>CROS Project Management/Consultant Contracts/(select specific contract)</td>
</tr>
<tr>
<td>Document Management Plan</td>
<td>CROS PMO/Project Management/Project Management Plan</td>
</tr>
<tr>
<td>Employee In/Out</td>
<td>CROS Project Management/PMO/CROS Employee In CROS Project Management/PMO/CROS Employee Out</td>
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### 1.4 Definitions of Acronyms and Terms

<table>
<thead>
<tr>
<th>Term/Acronym</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Deliverable Expectation Document (DED)</td>
<td>Specifies BOE's expectations for contract execution, including the description, applicable standards, contract references, acceptance criteria, schedule and other information. The DED is reviewed and approved by BOE to define expectations.</td>
</tr>
<tr>
<td>Statement of Work (SOW)</td>
<td>Defines the work activities, deliverables, and timeline a contractor must execute in performance of specified work for BOE.</td>
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### 1.5 Roles and Responsibilities

<table>
<thead>
<tr>
<th>Roles</th>
<th>Responsibilities</th>
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</thead>
<tbody>
<tr>
<td>BOE Contracts Section</td>
<td>• Acquire IT goods and (non-prime) consultant services</td>
</tr>
<tr>
<td>BOE Legal Department</td>
<td>• Review SOW and other contract documents on behalf of BOE</td>
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</table>
| Business or Technical Project Manager | • Assigned responsibility for a specific contract  
• Prepare SOW for specific contract  
• Evaluate proposals  
• Approves DED to ensure deliverables meet project objectives  
• Accepts contract deliverables |
| Contract Administrator | • Assigned responsibility for contract administrative oversight to ensure compliance with general terms and conditions  
• Identify contract risks/issues such as conflict of interest  
• Reviews DEDs and deliverables for contract compliance  
• Reviews and approves payment of consultant invoices |
<table>
<thead>
<tr>
<th>Roles</th>
<th>Responsibilities</th>
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</thead>
</table>
| Contract Analyst           | • Receives, stores, and logs deliverable artifacts  
• Notifies appropriate parties when deliverable artifacts are received  
• Prepares and delivers deliverable disposition letters  
• Tracks review schedule  
• Monitors and Reports deliverables status  
• Receives and processes consultant timesheets and invoices |
| Deliverable Lead           | Assigned deliverables based on knowledge and skills.  
For deliverables to which they are assigned:  
• Identifies deliverables-related risks and issues  
• Confirms team member assignments to the Deliverable Review Team and engages new members as needed  
• Manages and schedules activities for the Deliverable Review Team as needed  
• Conducts Kick-Off meeting with Deliverable Review Team as needed  
• Creates review form, consolidates reviewer findings  
• Assembles and finalizes Recommended Deliverable Disposition |
| Deliverable Reviewer       | Assigned based upon their skills and knowledge  
For deliverables to which they are assigned:  
• Reviews DED and deliverable sections(s) to which they are assigned  
• Attends meetings and walkthroughs related to assigned deliverable  
• Recommend deliverable acceptance or rejection  
• Assists with the identification of deficiencies with unaccepted deliverables |
| IV&V Analyst               | • Reviews DEDs and deliverables  
• Provides Deliverable Lead and Management with review findings  
• Provides Deliverable Disposition Recommendations  
• Attends meetings and walkthroughs related to deliverables |
| Project Manager            | • Review DEDs to ensure that deliverables meet project objectives  
• Manage and update schedule  
• Monitor schedule activities  
• Inform Project Director of issues  
• Periodically review, track, and update the CMP |
| Team Lead                  | • Assigned responsibility for specific contracts  
• Reviews and approves Deliverable Expectation Document  
• Accepts contract deliverables for assigned contract |
| Vendor Point of Contact (POC) | • Point of contact with Contract Administrative, Business, Technical Project Managers, or Team Leads regarding contract deliverables  
• Participate in the resolution of defects/risks/issues related to contract |
2. **Contract Initiation**

This section describes the activities that occur prior to the formal start date of a Contract. The following diagram and table shows the process steps, participants, inputs, and outputs. (See fig. 1)
### Figure 1 - Contract Initiation Process

<table>
<thead>
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<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
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<tr>
<td>1 – Develop RFO Materials and Evaluation Criteria</td>
<td>Business or Technical Project Manager&lt;br&gt;Contract Administrator</td>
<td>• Project Resource Plan&lt;br&gt;• Resource requirements&lt;br&gt;• Approved Purchase Request which defines needs and justification</td>
<td>• Contract/Service Request Form (BOE_860)&lt;br&gt;• Justification SOW&lt;br&gt;• Certificate of Compliance&lt;br&gt;• Vendor Distribution List&lt;br&gt;• Evaluation Matrix</td>
</tr>
<tr>
<td>2 – Legal Approval of RFO</td>
<td>BOE Legal&lt;br&gt;Business or Technical Project Manager&lt;br&gt;Contract Analyst</td>
<td>• SOW draft&lt;br&gt;• Justification draft</td>
<td>• Approval Email from Legal approving SOW and 19130(b)</td>
</tr>
<tr>
<td>Process Step</td>
<td>Participants</td>
<td>Inputs</td>
<td>Outputs</td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>---------------------------------------------------</td>
<td>----------------------------------------------------------</td>
<td>----------------------------------------------------------</td>
</tr>
</tbody>
</table>
| 3 – Send RFO to BOE Contracts Section| • BOE Contracts Section  
• Contract Analyst                                        | • RFO Materials  
Hardcopy  
• Softcopy of RFP Materials  
• Approval email from BOE Legal | • CROS RFO Draft  
• Approval email from BOE Legal |
| 4 - Review RFO (Contracts Section)   | • BOE Contracts Section  
• Contract Analyst                                        | • CROS RFO Draft  
• Approval email from BOE Legal  
CROS RFO Draft | • Proposed Final RFO pdf |
| 5- Review Final RFO                  | • Contract Analyst                                    | • Proposed Final RFO pdf                                 | • Final Approval by email                                |
| 6 – Release RFO to Vendor Community  | • BOE Contracts Section  
• Contract Analyst                                        | • Final Program  
Approved RFO                                               | • RFO released via Email to Vendor Distribution list     |
| 7 – Prepare Proposals                | • Offeror’s                                         | • RFO                                                    | • RFO Response                                           |
| 8 – Receive Proposals                | • BOE Contracts Section  
• Contract Analyst                                        | • Offeror’s Responses                                    | • Response                                               |
| 9 – Evaluate RFO Responses           | • Business or Technical Project Manager  
• Contract Administrator  
• Team Lead  
• Deliverable Lead                           | • Offeror’s Responses                                    | • Complete Evaluation Matrix                              |
| 10 – Select Finalist                 | • Business or Technical Project Manager             | • Completed Evaluation Matrix                             | • Selection of Consultant                                 |
| 11 – Approve Selection               | • Business or Technical Project Manager             | •                                                      | •                                                      |
| 12 – Awards Contract                 | • BOE Contracts Section  
• Contract Analyst                                        | • Email notification of selection  
• Completed Evaluation Matrix                              | • STD 65  
• BOE-4 REV. 2 (Confidentiality)  
• SOW                                                   |
| 13 – Notify Respondents              | • BOE Contracts Section  
• Contract Analyst                                        | • CROS Selection                                         | • Notification email                                      |
2.1 Input from Purchase Request System for RFO or Amendment

The Contract Analyst receives input regarding the need for a contract from the Purchase Request System. If a request for a contract is approved, the Business or Technical Project Manager is assigned responsibility for the contract. Detailed information about the Purchase Request System can be accessed at:

http://insideboe/cros/team/PMO/Work%20In%20Progress/Purchase%20Approval%20and%20Request%20Procedures.docx

2.2 Initiation of the Contract

2.2.1 Develop RFO Materials

The Contract Administrator works with Business or Technical Project Manager to determine which Leveraged Procurement Acquisition (LPA) method is appropriate. Then the Contract Analyst works with the Business or Technical Project Manager to develop the following materials:

- SOW,
- Justification,
- Certificate of Compliance, and
- Contract/Service Request Form (BOE_860).

Based on the type of acquisition needed, a vendor distribution list is created from the Department of General Services (DGS) Procurement Division (PD) databases. The development of the SOW includes the following:

- Detailed statement of the purpose, objective or goals to be undertaken by the contractor
- Job classification or approximate skill level of the personnel to be made available by the contractor
- Identification of all significant material to be developed by the contractor and services to be delivered to the State
- Identification of all significant materials/products to be delivered by the State to the contractor
- Estimated time schedule for the provision of these services by the contractor
- Completion criteria for the work to be performed
- Identification of maintenance that will be provided
- Identification of support that will be provided
- Name or identification of the contractor personnel to be assigned
- Contractor’s work hours required to accomplish the purpose, objective or goals
- Contractor’s billing rates per work hour (as provided in the contract documentation)
- Cost per deliverable
- Invoice procedures
- Contractor’s total cost, including any applicable taxes
- Product specifications
- Description of when and where product is to be delivered
• Palletization requirements  
• Delivery personnel requirements

(see SCM Vol. 3 2.B5.1  http://www.dgs.ca.gov/pd/Resources/publications/SCM3.aspx)

The SOW for an LPA will include the qualifications for the consultant as well as the corresponding criteria from which the consultants will be evaluated during the Evaluation stage.

The evaluation matrix is developed by the Contract Analyst from the RFO evaluation criteria. The matrix top row includes the name of the firm and the proposed consultant(s) for all responses that meet the administrative requirements. The matrix first column replicates the criteria listed in the RFO.

Each criterion is scored from 1 to 5 with 5 being the highest score. The lowest cost offer is scored at 100% while higher cost offers are shown as a percentage of the lowest score (lowest price/higher price). The criteria categories are weighted in the following way: Qualifications 45% of total score; References 45% of total score; Cost 10% of total score. The scores of multiple evaluators are averaged.

2.2.2 Legal Approval of RFO
The Contract Analyst submits the SOW and Justification to the BOE’s Legal Department for review. When approved, Legal will send an email approval of the documents to Contract Analyst for the file and to the BOE Contracts Section.

2.2.3 Send RFO to BOE Contracts Section
The Contract Analyst sends completed RFO package (including the approved SOW and the Justification) in both hard and electronic copy to BOE Contracts Section.

2.2.4 Review RFO (BOE Contracts Section)
A Contracts Analyst will prepare the Final Draft for Release.

2.2.5 Review Final RFO
The Final RFO to be released is sent to CROS for Final Program Review. The Contract Administrator reviews final RFO package for errors and completeness and provides approval by email to the BOE Contracts Section for distribution to the vendor community for response.

2.2.6 Release RFO to Vendor Community
The BOE Contracts Section releases the RFO to the Vendor community. There is no electronic repository for this information. If interested, the materials can be viewed at the BOE’s Acquisitions Branch.

2.2.7 Prepare Proposals
The Offeror’s prepare responses to released RFO.

2.2.8 Receive Proposals
The BOE Contracts Section receives responses to RFO.
2.2.9 Evaluate RFO Response

2.2.9.1 Review Responses
The Contract Analyst receives the responses to the RFO from BOE Contracts Section electronically. The Contract Analyst reviews for the presence or absence of required information in conformance with the submission requirements of the RFO. Those responses that responded to all areas of the Request for Offer will be deemed responsive. Incomplete offers are not considered for evaluation. The Contract Analyst will populate evaluation matrix with the respondent’s information.

2.2.9.2 Evaluate Responses
The Contract Analyst makes copies of each RFO response and distributes a paper evaluation matrix and RFO responses for each evaluator. The evaluators complete the matrix and return their evaluation materials to the Contract Analyst for final calculations. BOE may schedule interviews (in person and/or by telephone) with the highest rated Offeror’s based on submitted offers. The specific individual(s) identified in the response must participate in the interview. The selection team expects these individuals to describe their understanding of the job and their approach to performing the work. They will be asked a predetermined set of questions to assess their qualifying experience and knowledge as described in their resumes. The final document is archived on SharePoint.

2.2.10 Select Finalist
The Offeror with the best score on the evaluation matrix is selected for contract execution by the Business or Technical Project Manager.

2.2.11 Approve Selection
The Business or Technical Project Manager approves the selection and notifies the BOE Contracts Unit of the selection and the Contract Analyst electronically provides the final evaluation matrix. CROS maintains its own RFO file. (Refer to the Document Management Plan for further details regarding the storage of RFO documents)

2.2.12 Award Contract
The BOE Contracts Section awards and executes the contract for the vendor. Once the contract is executed, the Business or Technical Project Manager assigns either the Contract Administrator or Team Lead to arrange for the Consultant to begin work. The BOE Contracts Section will ensure that the Consultant signs the BOE-4, Confidentiality Statement. The signed Confidentiality Statement will be attached to the Consultant’s agreement. The CROS Business or Technical Manager/Team Lead initiates the CROS Employee-In Process.

(See http://insideboe/cros/team/PMO/Lists/EmployeeIn/Open%20Requests.aspx)

2.2.13 Notify Respondents
BOE Contracts section notifies all respondents of the outcome of the RFO solicitation.
3. Contract Execution and Management

3.1 Consultant Onboarding

This section describes the activities that occur once the contract is executed through contract closure. The following diagram and table shows the process steps, participants, inputs, and outputs. (See fig. 2)

![Figure 2 - Consultant Onboarding Process](image)

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1 – Initiate Employee-In</strong></td>
<td>• Team Lead</td>
<td>• Completed contract from BOE Contracts Section</td>
<td>• Facility access, telephone</td>
</tr>
<tr>
<td></td>
<td>• Contract Analyst</td>
<td></td>
<td>• Hardware and software for consultant</td>
</tr>
<tr>
<td></td>
<td>• IT Ops Team</td>
<td></td>
<td>• CROS Confidentiality Training</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• SharePoint Training</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>2 – Orient Consultant</strong></td>
<td>• Contract Administrator</td>
<td>• SharePoint Workflow notification</td>
<td>• Orientation Meeting</td>
</tr>
<tr>
<td></td>
<td>• Team Lead</td>
<td></td>
<td>• Confidentiality Forms (BOE and CROS)</td>
</tr>
<tr>
<td></td>
<td>• Consultant</td>
<td></td>
<td>• Acknowledgement Form for BOE Policies and Procedures</td>
</tr>
<tr>
<td></td>
<td>• Contract Analyst</td>
<td></td>
<td>• Timeframe for completion of initial DED</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>3 –Verify Process Compliance</strong></td>
<td>• Contract Analyst</td>
<td>• Employee In</td>
<td>• Employee-In SharePoint is completed</td>
</tr>
<tr>
<td></td>
<td>• Team Lead</td>
<td>• Contract file</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• IT Ops</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

October 2014
### Process Step | Participants | Inputs | Outputs
--- | --- | --- | ---
4 – Store Documents | • Contract Analyst | • Employee In  
• Contract file | • Consultant contract file is in SharePoint  

#### 3.1.1 Initiate Consultant/Employee-In Process
Team Lead initiates the CROS Employee-In process on SharePoint including completing a BOE System Access request which designates the systems the employee will access and security levels. Instructions for completion of the process are embedded in the form. The CROS Team Leads will ensure that the CROS Employee-In process is completed in a timely manner.

(See [http://insideboe/cros/team/PMO/Lists/EmployeeIn/Open%20Requests.aspx](http://insideboe/cros/team/PMO/Lists/EmployeeIn/Open%20Requests.aspx))

#### 3.1.1.1 Facilities/Telephone/Access Set Up/HR Checklist
The Contract Administrator ensures that the incoming consultant has designated workspace, telephone, and badge access to the building as well as keys for their cubicle storage space. The new consultant will sign for their keys. The Contract Analyst will also complete the applicable Appointment Checklist to ensure that all HR requirements have been met.

#### 3.1.1.2 Hardware and Software
The CROS IT Ops Team orders, configures, and installs hardware and software for the consultant.

#### 3.1.1.3 Confidentiality and SharePoint Training
The Contract Analyst ensures that the consultant receives CROS Confidentiality training and a SharePoint orientation by the project SharePoint librarian.

#### 3.1.2 Consultant Orientation
The Team Lead to whom the consultant will report conducts an orientation to the project and its current status, project processes, and administrative and facility information. Workplace expectations are discussed with the Consultant, such as work hours, on-site vs. off-site work, attendance at status meetings, and task oversight.

#### 3.1.2.1 Consultant BOE Policy Compliance
The Team Lead informs the Consultant of the requirement to comply with all applicable BOE and California Department of Technology, and federal policies, including but not limited to Confidentiality, Workplace Violence Prevention, Emergency Preparedness, and IRS Tax Information Security Guidelines (IRS Publication 1075). Upon the Consultant’s arrival on site, the Consultant will receive and sign an acknowledgement of being given information regarding these policies.

The Contract Analyst makes sure that the Consultant received all required training and has all signed forms.

#### 3.1.3 Verify Process Compliance
The Contract Analyst verifies that all items within the Employee-In process have been completed within 2 weeks.
3.1.4 Store Documents
All documents are stored in PDF format on the CROS SharePoint site in the Contracts section of PMO. (Refer to the Document Management Plan for further details regarding the storage of documents)

3.2 Deliverable Management

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – Discussion of Work Deliverables</td>
<td>Deliverable Lead, Team Lead, Business or Technical Project Manager, Consultant</td>
<td>STD 65 Contract, SOW</td>
<td>DED timetable to completion, Understanding of work to be completed</td>
</tr>
<tr>
<td>2 – Develop Draft DED</td>
<td>Team Lead, Consultant/Contractor, Business or Technical Project Manager</td>
<td>SOW, Discussion, Timetable</td>
<td>Draft DED</td>
</tr>
<tr>
<td>3 – Review DED</td>
<td>Team Lead</td>
<td>Draft DED</td>
<td>Approved Draft DED</td>
</tr>
</tbody>
</table>

Figure 3- Deliverable Management
<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 – Approve DED</td>
<td>• Business or Technical Project Manager</td>
<td>• Team Lead Approved Draft DED</td>
<td>• Approved DED</td>
</tr>
<tr>
<td></td>
<td>• Contract Administrator</td>
<td></td>
<td>• Unapproved DED return to Consultant</td>
</tr>
<tr>
<td>5 – Record DED</td>
<td>• Business or Technical Project Manager</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Contract Analyst</td>
<td>• Approved DED</td>
<td>• Hard copy in file</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Electronic copy in SharePoint</td>
</tr>
<tr>
<td>6 – Submit</td>
<td>• Consultant</td>
<td>• DED</td>
<td>• DED</td>
</tr>
<tr>
<td>Deliverable</td>
<td></td>
<td>• Deliverable</td>
<td>• Deliverable</td>
</tr>
<tr>
<td>7 – Review</td>
<td>• Deliverable Lead</td>
<td>• Deliverable</td>
<td>• Deliverable Lead approved deliverable</td>
</tr>
<tr>
<td>Deliverable</td>
<td></td>
<td>• Deliverable documentation</td>
<td></td>
</tr>
<tr>
<td>8 – Approve</td>
<td>• Business or Technical Manager</td>
<td>• Deliverable Lead approved deliverable</td>
<td>• Approved or Rejected Deliverable</td>
</tr>
<tr>
<td>Deliverable</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9 – Notify</td>
<td>• Business or Technical Manager</td>
<td>• Rejected Deliverable</td>
<td>• Notification to Consultant and Deliverable Reviewer</td>
</tr>
<tr>
<td>Deliverable Rejection</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 – Submit</td>
<td>• Consultant</td>
<td>• Notification of Rejection</td>
<td>• Remediation Plan</td>
</tr>
<tr>
<td>Remediation Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11 – Approve</td>
<td>• Business or Technical Project Manager</td>
<td>• Remediation Plan</td>
<td>• Approved or Rejected Plan</td>
</tr>
<tr>
<td>Remediation Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12 – Dispute</td>
<td>• Business or Technical Project Manager</td>
<td>• Rejected Remediation Plan</td>
<td>• Initiate Dispute Resolution</td>
</tr>
<tr>
<td>Resolution</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3.2.1 Discussion of Deliverable Expectation Document
The Team Lead and the Consultant review the SOW attached to their contract and discuss the work deliverables.

3.2.2 Develop Draft DED
As a result of that meeting, Consultant shall provide a DED that defines the format, level of detail, approach, applicable standards, and acceptance criteria. CROS will provide a template.

3.2.3 Review DED Team Lead
The assigned Team Lead reviews the DED and gives approval. If approval is not given, the DED is returned to the Consultant for further refinement.
3.2.4 Approve DED Business or Technical Manager
After the Team Lead gives approval to the DED, the Business or Technical Manager reviews and approves the DED. If the DED is not approved, it is sent back to the Consultant for further refinement.

3.2.5 Record DED artifacts
The Contract Analyst will store the hard copy of the signed DED in the contract folder. An electronic copy will be distributed to the Consultant, Team Lead, the Deliverable Lead, and the Business or Technical Manager. In addition, a copy will be stored on SharePoint.

3.2.6 Submit Deliverable
Upon completion of a deliverable, the Consultant shall submit the deliverable, with the relevant section of the DED, to the Deliverable Lead. The specific submittal requirements (for example, number of copies, submission method, and media) for each deliverable are noted in the SOW. All written deliverables must be in a format approved by BOE or be in accordance with the approved DED that corresponds to that deliverable. The Deliverable Lead records receipt and other deliverable attributes in the project Deliverable List for tracking of deliverable acceptance.

3.2.7 Review Deliverable
The Deliverable Lead will review the submission and recommends acceptance or rejection of the deliverable. The deliverables, where applicable, are subject to acceptance criteria as defined in the DED. The Deliverable Lead will ensure that each deliverable meets the required objective and functional requirements identified within the DED.

3.2.8 Approve Deliverable
The Business or Technical Manager reviews the deliverable disposition. If the deliverable is approved then approval is recorded.

3.2.8.1 Record Deliverable Acceptance
The Deliverable Lead works with the Contract Analyst to store the newly signed DED and updates SharePoint.

3.2.9 Notify of Deliverable Rejection
If a deliverable is not accepted, the BOE shall notify the Consultant and provide a Letter of Deliverable Rejection within five (5) business days of receipt of the deliverable explaining the reasons for rejection.

3.2.10 Submit a Remediation Plan
Within three (3) business days of receipt of the Letter of Deliverable Rejection, the Consultant will develop and present a remediation plan to the BOE. This plan includes the specific steps to resolve, due dates, the hours needed for each step and the total hours for full remediation. The CROS Project Director (or designee) and Contactor will agree on the number of hours for remediation that are billable and can be added to hours already spent on the task if any.

3.2.11 Approve Remediation Plan
The Business or Technical Manager approves or rejects the Remediation Plan.
3.2.11.1 Record Remediation Plan
The Contract Analyst records the accepted Remediation Plan with the original contract file and in SharePoint.

3.2.12 Dispute Resolution
If the Remediation Plan is rejected, the Business or Technical Manager may initiate the Dispute Resolution process. (See Section 3.5)

3.3 Invoice Processing

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – Submit Invoice or Timesheet</td>
<td>Consultant</td>
<td>Invoice, Timesheet</td>
<td>Timesheet, Invoice</td>
</tr>
</tbody>
</table>

Figure 4 – Invoice and Timesheet Process
<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 - Review and Validate Timesheet</td>
<td>• Team Lead</td>
<td>• Timesheet</td>
<td>• Approved Timesheet</td>
</tr>
<tr>
<td>3 – Process Timesheet</td>
<td>• Contract Analyst</td>
<td>• Timesheet</td>
<td>• Reconciled timesheet</td>
</tr>
<tr>
<td></td>
<td>• Consultant</td>
<td></td>
<td>• Approved timesheet</td>
</tr>
<tr>
<td></td>
<td>• Team Lead</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4 – Approve Timesheet</td>
<td>• Contract Analyst</td>
<td>• Reconciled Timesheets</td>
<td>• Signed Timesheets</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 – Process Invoice</td>
<td>• Contract Analyst</td>
<td>• Approved timesheets</td>
<td>• Invoice reconciled to timesheet and deliverables</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Approved deliverable(s)</td>
<td>• Invoice documented</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Invoice</td>
<td></td>
</tr>
<tr>
<td>6 – Approve Invoice</td>
<td>• Contract Administrator</td>
<td>• Reconciled Invoice</td>
<td>• Invoice Approved for disbursement</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Contract</td>
<td></td>
</tr>
<tr>
<td>7 – Submit to BOE Accounting</td>
<td>• Contract Analyst</td>
<td>• Approved invoice</td>
<td>• Time stamped original invoice</td>
</tr>
<tr>
<td></td>
<td>• BOE Accounting</td>
<td></td>
<td>• Time stamped copy of invoice</td>
</tr>
<tr>
<td>8 – Store Invoice/Timesheet Document</td>
<td>• Contract Analyst</td>
<td>• Electronic copies of timesheets and invoices</td>
<td>• Documents in SharePoint</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Documents in hard contract folder</td>
</tr>
<tr>
<td>9 – Issue Payment</td>
<td>• Contract Analyst</td>
<td>• Original Approved, signed invoice</td>
<td>• Documented payment in BOE BAS</td>
</tr>
<tr>
<td></td>
<td>• BOE Accounting</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Consultant</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10 – Follow Up</td>
<td>• Contract Analyst</td>
<td>• Workflow reminder</td>
<td>• Purchase tracking log up to date</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Burn reports updated</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Contract update to IPOC (as requested)</td>
</tr>
</tbody>
</table>

The deliverables (and any additional deliverables identified through subsequent DEDs) provide the basis that along with a valid invoice can trigger compensation. Invoices shall be submitted electronically to the Contract Administrator (and/or designee) no more often than once monthly, in arrears. Timesheets are also submitted bi-weekly to the Contract Administrator (and/or designee) for approval.

The invoice must reference Contract Number 20XX-xxxx, identify each approved deliverable by Deliverable Item Number and the associated cost charged for each deliverable, and includes copies of the approved associated Letter of Deliverable Acceptance.

Payment is based on the deliverable(s) that the Consultant delivered in accordance with the DED which have been accepted by the CROS Project Director (or designee). It is the BOE’s sole determination as to
whether a deliverable has been successfully completed and accepted. Payment may be subject to a 10% withhold amount per Public Contract Code Section 12112, to be released at the BOE’s acceptance of the final deliverable and at the termination of the contract.

3.3.1 Submit Timesheet/Invoice
Consultant submits timesheets/invoices to the Contract Administrator (and/or designee) for approval.

3.3.2 Review and Validate Timesheet
Team Lead receives timesheet for review and validation.

3.3.3 Timesheet
The timesheet is sent to the Contract Analyst for processing in which it will be checked for mathematical accuracy and completeness.

3.3.4 Approve Timesheet
The Business or Technical Manager or Project Director reviews and signs the timesheets. The Contract Analyst scans the original signed timesheets and stores it on the Administrative G: Drive and SharePoint. A copy of the scan is emailed to the Consultant. A hardcopy is stored in the Contract folder.

3.3.5 Invoice Processing
The Contract Analyst logs the date received, reconciles the invoice to signed timesheets and approved deliverables, verifies the contract balance, updates Purchase Tracking Log, Consultant contract tracking files and submits to the Contract Administrator.

3.3.6 Invoice Administrative Approval
The Contract Administrator reviews and approves invoice for submittal to BOE Accounting Branch. The Contract Analyst updates the Actual and Expected Expenditure rate for each contract based on the invoice and reports the updates to the Team Leads and the Business or Technical Project Manager. The Contract Analyst prepares a report for the IPOC updating information regarding contract status. Prior to submittal to Accounting, the Contract Administrator ensures all administrative requirements are met.

3.3.7 Submittal to BOE Accounting Branch
The Contract Analyst makes a copy of the approved, signed invoice. Both copies are taken to BOE Accounting Branch and date stamped with the time and date. The original invoice is submitted to BOE Accounting Branch and the copy is returned to CROS.

3.3.8 Document Storage
The date stamped copy of the invoice is scanned and stored on CROS SharePoint. The hardcopy is filed in the Consultant file.

3.3.9 Verify Payment
The Contract Analyst verifies that the Vendor has received payment within 45 days.

3.3.10 Invoice Follow Up
The Contract Analyst follows up on payments, records payment date in Purchase Tracking Log and on Consultant Contract tracking files.
3.4 Consultant Performance Management

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – Report Status</td>
<td>• Consultant</td>
<td>• Face to face meeting</td>
<td>• Team Lead notes in file</td>
</tr>
<tr>
<td></td>
<td>• Team Lead</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 – Submit Monthly Status</td>
<td>• Team Lead</td>
<td>• DED</td>
<td>• Written Status Report</td>
</tr>
<tr>
<td>Reports</td>
<td>• Business or Technical Project Manager</td>
<td>• Work plan</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Consultant</td>
<td>• Weekly status reports</td>
<td></td>
</tr>
<tr>
<td>3- Review Monthly Status</td>
<td>• Business or Technical Project Manager</td>
<td>• Written status report</td>
<td>• Monthly Status Approval</td>
</tr>
<tr>
<td>Report</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 5 – Consultant Performance Management
### Process Step	Participants	Inputs	Outputs
---
4 – Assess Performance Quarterly Scorecard

- PMO
- Approved monthly status report
- DED
- DED logs for accepted deliverables or deficiency reports
- Blank Scorecard
- Team Lead Interviews

- Completed Scorecard

5 – Deficiency?

- PMO
- Poor Scorecard

- Deficiency Notice recommendation

6 – Agree with Deficiency?

- Business or Technical Project Manager
- Deficiency Notice recommendation

- Approved Deficiency Notice

7 – Deficiency Notice Sent

- Contract Administrator
- Approved Deficiency Notice

- Approved deficiency notification

8 – Create CAP

- Consultant
- Approved Deficiency Notice

- Proposed CAP

9 – Review CAP

- Business or Technical Project Manager
- Proposed CAP

- CAP review meeting

10 – Approve/Disapprove CAP

- Business or Technical Project Manager
- Consultant
- Outcome of CAP review meeting

- Approved: CAP
- Disapproved: Dispute Resolution
- CAP Document stored

11 – Monitor Progress of CAP

- Team Lead
- Contract Analyst
- Approved CAP document

- Status reports of progress

12 – Initiate Dispute Resolution

- Business or Technical Project Manager
- Disapproval of CAP

- Notice of Dispute

### 3.4.1 Report Status
Generally, a deliverable status is reported in project meetings. The informal status report shall include, but not be limited to, the following information: summary of the work completed during the reporting period, status of the overall engagement, and all phases/projects, including discussion of problems encountered, solutions, and proposed solutions, tasks within the DED completed during the reporting period for all phases/projects, and what the Consultant is planning to accomplish over the next week.

### 3.4.1.1 Team Lead Notation in File
Team Lead notates the status of the verbal reports including, but not limited to, risks of deliverable progress.

### 3.4.2 Submit Monthly Status Reports
Generally, status is reported in writing in monthly status reports. Status descriptions include a discussion of planned and actual accomplishments; deliverables planned and submitted; hours
expended during the period and to-date, the current estimate to complete, and any other required metrics. If the Consultant has issues, risks, or concerns, they are also included in the status report. The Contract Administrator will track the completion of the monthly status reports.

3.4.3  Review Monthly Status Report
The Business or Technical Project Manager monitors the performance of the Consultants through the monthly status reports.

3.4.4  Assess Quarterly Performance Scorecard
The PMO completes a quarterly scorecard for each consultant. The performance review will include, but not limited to, discussions of deliverable quality, monthly status reports, timesheets and invoices.

3.4.5  Assess Deficiency
The Quarterly Performance Scorecard is one method to recommend deficiency to the Business or Technical Project Manager.

3.4.5.1  File Score card
If the Consultant is not found deficient, the scorecard will be stored according to the document storage plan.

3.4.6  Report Deficiency
If at any time during the contract the Business or Technical Project Manager deems the Consultant’s products or services as unacceptable, or receives a deficient Quarterly Performance Scorecard from the PMO, a Deficiency Notice may be triggered.

3.4.6.1  File Score Card
If the Consultant is not found deficient, the scorecard will be stored according to the document storage plan.

3.4.7  Contract Receives Deficiency Notice
The Contract Administrator will send the Consultant a formal letter of contract non-compliance or deficiency. They will also request a formal CAP from the Consultant with a specified deadline for submission and implementation. The Consultant receives the deficiency notice by both electronic and regular mail.

3.4.8  Create Corrective Action Plan
The Consultant must develop a plan that addresses the Business or Technical Project Manager’s concerns and include specific tracking measures that will ensure progress is being made. The plan is submitted to the Contract Administrator.

3.4.9  Review Corrective Action Plan
The Business or Technical Project Manager will review the CAP to determine if it should be approved.

3.4.10 Approve Corrective Action Plan
If the CAP is acceptable, the Consultant will implement the corrective actions.
3.4.10.1 Document Storage
(Refer to the Document Management Plan for further details regarding the storage of documents)

3.4.11 Monitoring Correction Action Plan
The Team Lead and the Consultant will track progress through resolution of the identified issue(s). Payments are withheld until the deliverable or service is considered acceptable.

3.4.12 Contract Dispute
If the CAP is unacceptable or if the implementation of the CAP does not address the deficiencies, the Business or Technical Project Manager may begin the contract dispute process.

3.5 Dispute Resolution

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
</table>
| 1 – Notice of Dispute filed | Consultant/Contractor  
  Business or Technical Project Manager | Monthly Status Reports  
  Performance Score Card  
  DED | Written Notice of Dispute |
<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
</table>
| 2 – Meet with     | • BOE Chief, Administrative Support Division  
| parties           | • Consultant/Contractor  
|                   | • CROS Business or Technical Project Manager | • Monthly Status Reports  
|                   |                                 | • Performance Score Card  
|                   |                                 | • DED  
|                   |                                 | • Notice of Dispute                       | • Minutes of Meeting |
| 3- Decision       | • BOE Chief, Administrative Support Division | • Minutes of Meeting  
|                   |                                 | • Monthly Status Reports  
|                   |                                 | • Performance Score Card  
|                   |                                 | • DED                                       | • Written decision |

### 3.5.1 Notice of Dispute Filed
In the event of a dispute, either the Consultant or Business/Technical Project Manager shall file a “Notice of Dispute” with the BOE’s Chief, Administrative Support Division, in Sacramento within ten (10) days of discovery of the dispute.

### 3.5.2 Meeting with affected parties
Within ten (10) days of receipt of the Notice, the Chief, Administrative Support Division, or designee, shall meet with the Consultant and the CROS Project Director (or designee) for purposes of resolving the dispute.

### 3.5.3 Final Decision
The decision of the Chief, Administrative Support Division, shall be final.
4. Reporting

Reports regarding the status of consultant contracts are produced regularly.

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 – Analyze Contracts</td>
<td>• Consultant/Contractor</td>
<td>• Approved invoices</td>
<td>• Consultant Burn Report</td>
</tr>
<tr>
<td></td>
<td>• Contract Analyst</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 – Review Project Consultant Burn</td>
<td>• CROS Business or Technical Project Manager</td>
<td>• Consultant Burn Report</td>
<td>• Document Acceptance</td>
</tr>
<tr>
<td>Report</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3– Review Consultant Burn Report</td>
<td>• Team Lead</td>
<td>• Individual Consultant Burn Report</td>
<td>• Informational only</td>
</tr>
</tbody>
</table>

**Figure 7 - Reporting**
4.1 **Analyze Contract**

The Contract Analyst takes the approved monthly invoices and maintains the Consultant Burn Report for the Business or Technical Manager and the Team Leads. The report contains the contract number, the term of the contract, contracted rate of pay, and BOE encumbrances.

4.2 **Review Project Consultant Burn Report**

The Business or Technical Project Manager reviews the Consultant Burn Report for all non-prime consultants. This review may also take place during PM Sync meetings.

4.3 **Review Individual Consultant Burn Reports**

The Assigned Team Lead reviews the Individual Consultant Burn Report.

4.4 **Accept Document**

The Business or Technical Project Manager will accept the document.

4.5 **Store Document**

The Contract Analyst stores the document in SharePoint.
5. Contract Amendment

5.1 Reasons for Contract Amendment

A contract amendment is used to make modifications to the agreement between the state and the Consultant. All contract amendments must be in writing and approved by all appropriate parties (including Federal, as applicable). The following are examples of events that would require a contract change:

- Changes to the contract period of performance (either reduction or extension)
- Changes to the dollar amount of the contract
- Change to the scope of work, such as new activities or tasks
- In some cases, changes to the Consultant personnel (either additions or replacements)

If there is a significant change to the contract scope, tasks to be performed, staffing, contract duration, or cost of the contract, a modification is not appropriate. In these cases, an entirely new contract should be executed and the existing contract closed. If the total dollar amount of the contract changes, a change in encumbrance is also required and must be coordinated with the Accounting Branch.
5.2 Enacting a Contract Change

Figure 8 – Contract Amendment Process
### Process Step 1 – Review Request and Identify Options

**Participants**
- Business or Technical Project Manager
- Contract Analyst

**Inputs**
- Current contract
- CMAS or MSA
- Monthly Status Reports

**Outputs**
- Recommendation for PM Sync

### Process Step 2 – Approve Option

**Participants**
- Business or Technical Project Manager

**Inputs**
- Recommended action

**Outputs**
- Approval
- Denial

### Process Step 3 – Develop Amendment Materials

**Participants**
- Business or Technology Project Manager
- Team Lead
- Contract Analyst
- Approval

**Inputs**
- Current contract
- CMAS or MSA
- Monthly Status Reports
- Contract/Service Request Form (BOE_860)
- Justification
- Additional contract language, if applicable

### Process Step 4 - Review and Approve Amendment Package

**Participants**
- BOE Legal
- Contract Analyst

**Inputs**
- Accepted Draft Amended materials

**Outputs**
- Legal Approval Email

### Process Step 5 – Process Amendment

**Participants**
- Contract Analyst
- BOE Contract Section

**Inputs**
- Legal Approval Email
- Approved Amendment materials

**Outputs**
- STD 65

### Process Step 6 – Store Amendment Documents

**Participants**
- Contract Analyst

**Inputs**
- Approved STD 65

**Outputs**
- STD 65 filed in SharePoint
- STD 65 filed in contract folder

---

### 5.2.1 Research Step

Before amending a contract, the Business or Technical Project Manager and the Contract Administrator reviews the current contract to determine if any deliverables, due dates, personnel or evaluation criteria need to be updated. The Business or Technical Project Manager also considers if the proposed amendment may impact current services, in-progress deliverables or other contract provisions and consults with Legal staff regarding the proposed changes.

If there is a need for change in staff, refer to section 4.3 for the procedures to complete a staffing change.

### 5.2.2 Receive approval for Contract Amendment

At the PM Sync meeting, the management team approves a contract amendment in one of four criteria listed in Section 4.1 and directs the Business or Technology Project Manager to work with the Contract Analyst to implement the change. The request should include the reason for the amendment; the procurement solution selected and changes to deliverable timeframes, personnel, etc. A Purchase Order Request action item is used for tracking the progress of the amendment and its reviews.
5.2.3 Develop Amendment Materials
The Business or Technical Project Manager works with the Contract Analyst to develop the following materials: 19130(b) Justification and Contract/Service Request Form (BOE_860). The terms and conditions of the SOW contain basic procedures for initiating a contract amendment (as appropriate to the contract).

5.2.3.1 Consultation with Consultant
After initial approvals have been received, the Business or Technical Project Manager reviews the draft amendment with the Consultant to ensure the changes are clear. If the Consultant proposes changes, the amendment must again be reviewed by the Business or Technical Project Manager and BOE Legal Department.

5.2.4 Review and Approve Amendment Package
The final draft of the contract amendment package and 19130(b) justification receive final legal approval from BOE Legal Department. They will provide an electronic approval for use by BOE Contracts Section.

5.2.5 Process Amendment
The Contract Service Request Form (BOE_860) and supporting legally approved materials are sent to the BOE Contract Section for processing. Upon approval, BOE Contract Section will generate an amended Purchasing Authority Purchase Order STD 65 including adjusted allocations.

5.2.6 Store Amendment Document(s)
Once the amendment has been approved and copies received, SharePoint is updated to reflect the changes, the amendment is scanned and placed in SharePoint and the amendment is filed in the project library. The approved changes are communicated to all appropriate and affected parties. (Refer to the Document Management Plan for further details regarding the storage of documents)
5.3 Replacing Consultant Staff

The Consultant will make its best efforts to maintain staff continuity throughout the life of the Project. Either the Business or Technical Project Manager or the Consultant may propose a change to Consultant staffing.

Figure 9 – Replacing Consultant Staff

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
</table>
| 1 – Initiate Staff Change | • Team Lead  
• Consultant           | • Need for change                              | • Written request for staff change              |
| 2 – Review Staff Change        | • Business or Technical Project Manager  
• Team Lead       | • Proposed replacement staff  
• Justification for staff change  
• References | • Completed evaluation matrix  
• Approval/denial of staff change  
• Issues/concerns |
<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
</table>
| 3 – Off Board Consultant | • Contract Analyst  
• Team Lead | • Notice of Change in Staff | • Off Board checklist complete |
| 4 – Approve New staff | • Business or Technical Project Manager  
• Team Lead | • Résumés  
• Evaluation Matrix  
• References | • Signed BOE Request Form  
• Résumés of accepted staff |
| 5 – Negotiate Staff | • Business or Technology Project Manager  
• Team Lead  
• Consultant | • Résumés  
• Evaluation Matrix  
• References | • Final accepted staff or agreed to change in pay rates |
| 6 – Prepare BOE 860 | • BOE Contracts Section  
• Contract Administrator | • Written authorization from CROS for staff change | • Contract/Service Request Form (BOE_860)  
• Justification  
• Résumés  
• Evaluation Matrix |
| 7 – Approve BOE 860 | • BOE Contracts Section  
• Contract Administrator | • Contract/Service Request Form (BOE_860)  
• Justification  
• Résumés  
• Evaluation Matrix | • STD 65 Amendment  
• Allocation Summary |
| 8 – Onboard Consultant | • Team Lead  
• Contract Administrator | • Name of New Consultant | • Badge  
• Computer Equipment  
• Confidentiality  
• Acknowledgement of BOE policies |
| 9 – Store Contract Document(s) | • Contract Analyst | • Signed Acknowledgement  
• Completed Employee In process | • Documents posted in SharePoint  
• Documents posted in hard copy Contractor file |

5.3.1 Initiate Staff Change
To initiate a staff change, the Consultant makes a written request and submits it to the Contract Administrator with a copy of new staff résumés.

5.3.2 Review Staff Change
The Team Lead and Business or Technical Project Manager review the request, rationale and any new résumés and determine if the proposed changes are warranted and if new staff meets the minimum qualifications for the proposed position. Both the California Multiple Award Schedule and Master
Service Agreement specify minimum requirements for staff classifications. Proposed new or replacement staff must meet or exceed the qualifications of the person that he or she will be replacing in addition to the minimum staff classification and position requirements. In some cases, this may mean that multiple resources are required to replace the original person (due to differences in skill sets).

5.3.3 Off Board Consultant
The Contract Analyst completes the Employee-Out procedures as outlined in Section 5.

5.3.4 Approve Staff Change
If the changes are approved, the Business or Technical Project Manager signs the BOE Request form to begin the contract amendment.

5.3.5 Negotiate Staff Change
If the Business or Technical Project Manager does not feel that the new staff has equivalent experience, the state may reject the proposed person or negotiate a lower billing rate to reflect the difference. Key staff may be interviewed.

5.3.6 Prepare Contract Amendment Paperwork
The Contracts Analyst completes the Contract/Services Request Form (BOE-860) to document changes for the BOE Contracts Section and includes résumés and the evaluation matrix.

5.3.7 Approve Contract Amendment Paperwork
The BOE Contracts Section must provide final written approval before the proposed staff can begin work for the project. They will generate a purchase order and updated Allocation sheet for the contract.

5.3.8 Onboard Replacement Consultant
See section 3.1

5.3.9 Store Contract Document(s)
The original approval letter is scanned into SharePoint and the paper copy is stored in the contract file. The Contract Analyst provides a copy to the Consultant for their records. (Refer to the Document Management Plan for further details regarding the storage of documents)
6. Contract Closure

<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
</table>
| 1 – Contract term ends, funds expended, Consultant Completes work or terminated | • Contract Administrator  
• Contract Analyst  
• Consultant  
• Team Lead  
• Business or Technical Project Manager | • Consultant Contract STD 65  
• Notice of Termination  
• DED  
• Deliverables  
• Invoices | • Notice of Completion |
| 2 – Initiate Contract Closure | • Contract Analyst  
• Contract Administrator | • Final report  
• Acceptance of Notice of Completion | • Contract/Service Request Form (BOE-860) |
<table>
<thead>
<tr>
<th>Process Step</th>
<th>Participants</th>
<th>Inputs</th>
<th>Outputs</th>
</tr>
</thead>
<tbody>
<tr>
<td>3- Consultant Final Report</td>
<td>• Consultant</td>
<td>• Monthly Status Reports</td>
<td>• Final report</td>
</tr>
<tr>
<td></td>
<td>• Team Lead</td>
<td>• Quarterly Performance Scorecards</td>
<td>• Acceptance of Notice of Completion</td>
</tr>
<tr>
<td></td>
<td>• Monthly Status Reports</td>
<td>• DED</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Quarterly Performance Scorecards</td>
<td>• Deliverables</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Monthly Status Reports</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• DED</td>
<td></td>
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<tr>
<td></td>
<td>• Deliverables</td>
<td></td>
<td></td>
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<tr>
<td>4 - Consultant Evaluation</td>
<td>• Business or Technical Project Manager</td>
<td>• Monthly Status Reports</td>
<td>• Completed STD 04</td>
</tr>
<tr>
<td></td>
<td>• Contract Administrator</td>
<td>• Quarterly Performance Scorecards</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• BOE Contracts Section</td>
<td>• DED</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Monthly Status Reports</td>
<td>• Deliverables</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Quarterly Performance Scorecards</td>
<td></td>
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<tr>
<td></td>
<td>• DED</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>• Deliverables</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5 –Submit Closing Documents to BOE</td>
<td>• Contract Analyst</td>
<td>• Completed STD 04</td>
<td>• Contract/Service Request Form (BOE_860)</td>
</tr>
<tr>
<td>Contracts Section</td>
<td>• BOE Contracts Section</td>
<td>• Blank BOE-860</td>
<td>• Final Deliverables Acceptance</td>
</tr>
<tr>
<td></td>
<td>• Monthly Status Reports</td>
<td>• Contractor CROS Hardcopy file</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Quarterly Performance Scorecards</td>
<td>• CROS SharePoint files</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• DED</td>
<td>• Complete files in SharePoint and in hard copy in Contract files</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Deliverables</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6 – Verify Invoices paid</td>
<td>• Contract Analyst</td>
<td>• Contract #</td>
<td>• Copy of final payment</td>
</tr>
<tr>
<td></td>
<td>• BOE Accounting Branch</td>
<td>• Copy of final payment</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• BOE Contracts Section</td>
<td>• Copy of final payment</td>
<td></td>
</tr>
<tr>
<td>7 – Finalize Contract file and</td>
<td>• Contract Analyst</td>
<td>• Contractor CROS Hardcopy file</td>
<td>• Complete files in SharePoint and in hard copy in Contract files</td>
</tr>
<tr>
<td>Document Storage</td>
<td>• CROS SharePoint files</td>
<td>• CROS SharePoint files</td>
<td></td>
</tr>
</tbody>
</table>

### 6.1 Contract Closures

A contract is closed when one or more of the following occur:

- **Contract dollars have been expended.** A contract is closed when funds have been expended. No work may be completed beyond the funding limit.
- **Contract’s term has expired.** A contract is closed when the term expires. No work may be completed beyond the term.
- **The Business or Technical Project Manager (or other official of the Department) terminates the contract.**
- **The Consultant completes the work.** A contract is closed when all work described in the SOW is completed and when the deliverables identified in the SOW are completed within time frame and budget, and accepted by the CROS Project Director (or designee).
6.1.1.1  **CROS Team Lead Notification of Scope of Work Completion**  
Contractor notifies in writing the Team Lead that they have completed the Scope of Work.

6.1.1.2  **CROS Project Management of Scope of Work Completion**  
Contractor notifies in writing the Business or Technical Manager that they have completed the Scope of Work.

### 6.2  Initiate Contract Closure

The Contract Analyst will initiate the completion of the CROS Employee-Out procedure for each of the Consultant's staff. If necessary, the Contract Analyst will complete a Contract/Service Request Form (BOE-860) to close out the contract, unencumber remaining funds and update allocations.

### 6.3  Consultant Final Report

Approximately 30-60 days prior to the end of the contract, the Contract Administrator should review the status of contract activities and deliverables, and ensure the Consultant is on target to complete all obligations by the contract end date. The Contract Administrator works with the Consultant to schedule knowledge transfer and training sessions to assist with transition of the duties to state or follow-on staff.

The Consultant will prepare a final report that serves as the last status report. It summarizes all work and deliverables planned and accomplished (including any ad-hoc deliverables or tasks), actual hours and costs, and any incomplete or pending work. The Final Report should be submitted the week before the end of the contract. This is to allow the Contract Administrator time to review the report and discuss any deficiencies or open items with the Consultant prior to the close of the contract. All deliverables in SharePoint should be verified to ensure they were either approved or cancelled by the state. Any overdue or pending deliverables or open items must be resolved prior to the end of the contract. No Consultant may continue to work past the contract end date.

### 6.4  Consultant Evaluation

In accordance with Public Contract Code Section 10369, a written evaluation of Consultant’s performance will be completed within sixty (60) days after the completion of the contract by the Business or Technical Project Manager. If Consultant did not satisfactorily perform the work, a copy of the evaluation will be sent to the DGS, Office of Legal Services, and to the Consultant within fifteen (15) days of the completion of the evaluation.

### 6.5  Submit Closing Documents to BOE Contracts Section

The Contract Analyst will submit Contract/Service Request Form (BOE-860) (if necessary) and a completed DGS Contract/Contractor Evaluation STD 04 to the BOE Contracts Section for their records.
6.6 Verify Invoices paid

The Contract Analyst will verify that all invoices submitted to BOE’s Accounting Branch have been processed and paid, and documented in BOE’s Consultant files.

6.7 Finalize Contract file and Document Storage

Approximately 30-60 days prior to the end of the contract, an audit of the Contract file will be performed to ensure all contract documentation is complete and up-to-date. This enables the Contract Administrator to resolve any discrepancies before the Consultant leaves. (Refer to the Document Management Plan for further details regarding the storage of documents).

An electronic copy of all closing documents will be stored in SharePoint; hardcopy documents will be stored in the Project hardcopy files.