Agreement No. <u>Resolution No. 081157</u>

AGREEMENT BETWEEN THE COUNTY OF SAN MATEO AND
APPLICATIONS SOFTWARE TECHNOLOGY LLC

This Agreement is entered into this 20th day of May, 2025, by and between the County of San Mateo, a political subdivision of the state of California, hereinafter called "County," and Applications Software Technology LLC ("AST"), hereinafter called "Contractor."

*   *   *

Whereas, pursuant to Section 31000 of the California Government Code, County may contract with independent contractors for the furnishing of such services to or for County or any Department thereof; and

Whereas, it is necessary and desirable that Contractor be retained for the purposes of the design, development, implementation, and maintenance of the Assessment Appeals Board System Project ("Project") for the Assessment Appeals Board of the County of San Mateo.

Now, therefore, it is agreed by the parties to this Agreement as follows:

1.   Exhibits and Attachments

The following exhibits and attachments are attached to this Agreement and incorporated into this Agreement by this reference:

> Exhibit A—Statement of Work ("SOW") (including Exhibits A-1 through A-4)
> Exhibit B—Payments and Rates,
> Exhibit B-1 - Rates for Additional Services
> Attachment IP – Intellectual Property

2.   Services to be Performed by Contractor

In consideration of the payments set forth in this Agreement and in Exhibit B, Contractor shall perform services for County in accordance with the terms, conditions, and specifications set forth in this Agreement and in Exhibit A.

3.   Payments

In consideration of the services provided by Contractor in accordance with all terms, conditions, and specifications set forth in this Agreement and in Exhibit A, County shall make payment to Contractor based on the rates and in the manner specified in Exhibit B. In accordance with the acceptance process in the SOW, County reserves the right to withhold payment if County determines that the quantity or quality of the work performed is unacceptable. In no event shall County's total fiscal obligation under this Agreement exceed ONE MILLION, SEVEN HUNDRED EIGHTY-FOUR THOUSAND, FOUR HUNDRED FORTY-NINE DOLLARS AND ZERO CENTS ($1,784,449). In the event that the County makes any advance payments, Contractor agrees to refund any amounts in excess of the amount owed by the County at the time of contract

termination or expiration. Contractor is not entitled to payment for work not performed as required by this Agreement.

4. <u>**Term**</u>

Subject to compliance with all terms and conditions, the term of this Agreement shall be from May 20, 2025, through June 30, 2030.

5. <u>**Confidentiality**</u>

5.1 <u>Confidential Information</u>
A Party shall not disclose any Confidential Information of the other party except with the other party's prior written permission. A Party may only use the other Party's Confidential Information to perform its obligations or exercise its rights under this Agreement. Contractor acknowledges that it may receive individual taxpayer information that is protected from disclosure under the Revenue & Taxation Code in providing Services under this Agreement. Contractor agrees to keep all taxpayer information confidential.

5.2 <u>Protection</u>
Each party agrees to protect the Confidential Information of the other party in the same manner that it protects its own Confidential Information of like kind except as specified in this Section, but in no event using less than a reasonable standard of care.

5.3 <u>Remedies</u>
If a Party discloses or uses (or threatens to disclose or use) any Confidential Information of the other party in breach of confidentiality protections hereunder, the other party shall have the right, in addition to any other remedies available, to injunctive relief to enjoin such acts, it being acknowledged by the Parties that any other available remedies are inadequate.

5.4 <u>Exclusions</u>
Confidential Information shall not include any information that: (i) is or becomes generally known to the public without breach of any obligation owed to the other party; (ii) was known to a party prior to its disclosure by the other party without breach of any obligation owed to the other party; or (iii) was independently developed by a party without breach of any obligation owed to the other party.

5.5 <u>Loss of Confidential Information</u>
Each Party will: (i) immediately notify the other Party of any possession, use, knowledge, disclosure or loss of such other Party's Confidential Information in contravention of the Agreement, (ii) promptly furnish to the other Party all known details and assist such other Party in investigating and/or preventing the reoccurrence of such possession, use, knowledge, disclosure or loss, (iii) cooperate with the other Party in any investigation or litigation deemed necessary by such other Party to protect its rights, and (iv) promptly use all commercially reasonable efforts to prevent further possession, use, knowledge,

disclosure, or loss of Confidential Information in contravention of the Agreement. Contractor will bear any costs it incurs in complying with this Section.

5.6 <u>Personally Identifiable Information</u>

Neither party shall transfer, disclose or otherwise make available to the other any information which by itself or in combination with other information can identify an individual ("PII") without the receiving party's prior written consent. If a party wishes to transfer, disclose or otherwise make available PII to the receiving party, disclosing party shall provide at least ten (10) business days' prior written notice of such proposed transfer or disclosure. Except as expressly agreed by the parties in a Statement of Work or other writing signed by the authorized representatives of both parties, neither party has an obligation to collect, store, process, compile, merge or otherwise receive any PII under this Agreement. Each party shall promptly notify the other party in writing in the event any PII is disclosed without written notice and consent.

6.   **Termination**

This Agreement may be terminated by Contractor or by the County Executive Officer or his/her designee at any time without a requirement of good cause upon ninety (90) days' advance written notice to the other party. Contractor shall be entitled to receive payment for work/services provided through the effective date of termination of the Agreement. Such payment shall be that prorated portion of the full payment determined by comparing the work/services actually completed to the work/services required by the Agreement.

County may terminate this Agreement or a portion of the services referenced in the Attachments and Exhibits based upon the unavailability of Federal, State, or County funds by providing written notice to Contractor as soon as is reasonably possible after County learns of said unavailability of outside funding.

Either party may terminate this Agreement for cause. In order to terminate for cause, the terminating party must first give the other party ("Defaulting Party") notice of the alleged breach. The Defaulting Party shall have five business days after receipt of such notice to respond and a total of ten business days after receipt of such notice to cure the alleged breach, or such longer time as may be agreed to by both parties. If the Defaulting Party fails to cure the breach within this period, the terminating Party may immediately terminate this Agreement without further action. The option available in this paragraph is separate from the ability to terminate without cause with appropriate notice described above. In the event that County provides notice of an alleged breach pursuant to this section, County may, in extreme circumstances, immediately suspend performance of services and payment under this Agreement pending the resolution of the process described in this paragraph. County has sole discretion to determine what constitutes an extreme circumstance for purposes of this paragraph, and County shall use reasonable judgment in making that determination.

6.1 <u>Exit Rights</u>

In the event of the Termination of the Agreement by either Party, the County shall have the following Exit Rights for 120 days after the effective date of termination of the

Agreement at the prevailing in effect rate card set forth in Exhibit B-1 ("Termination Assistance Services"), provided Contractor has been paid for all Services provided through the effective date of termination. :

a. Periodic Documentation Delivery - Each calendar month/quarter or as otherwise requested by County during the 120 day Termination Assistance Services period, all documentation, in-process Deliverables (including source code) and work product shall be submitted to the County at the additional costs determined by the prevailing in effect rate card set forth in Exhibit B-1 .

b. Termination Assistance Services - Contractor will, upon County's request during the Termination Assistance Period, provide Termination Assistance Services at the prevailing in effect rate card set forth in Exhibit B-1 . Such termination assistance services (a) may be rendered using resources already working on County's AAB System, provided that the quality and level of Contractor's performance of the Services will not be degraded during any such Termination Assistance Period; then (b) by using additional resources, in each case of (a) or (b) at the additional costs determined by the prevailing in effect rate card set forth in Exhibit B-1 (Rate Card for Additional Services).

c. At the conclusion of the 120 day Termination Assistance Services Period the rights and licenses granted to Contractor by County under the Agreement will immediately terminate and Contractor will:
    i. deliver to County, at no cost to County, a current copy of the relevant County Owned Materials (data, files).
    ii. deliver all Deliverables (if not already delivered), and any work in progress Deliverables that have been paid for by the County; and
    iii. destroy or erase all other copies of the relevant County Owned Materials (data, files) in Contractor's possession, provided, in the event Contractor is unable to remove such data as a result of its standard backup and archival processes Contractor may retain such information solely for such purposes.
    iv. Upon County's request, Contractor will certify to County that all such copies have been destroyed or erased.
d. Upon County's request, with respect to those agreements for maintenance (if any), disaster recovery services or other necessary third party services used by Contractor to provide the terminated Services, Contractor will transfer or assign such agreements to County or County's designee, to the extent permissible under, and in accordance with, the applicable agreements, on terms and conditions acceptable to all applicable parties; provided, however, that in no event will this subsection be construed as requiring Contractor to transfer or assign any Contractor corporate master agreement;

7.   Contract Materials

At the end of this Agreement, or in the event of termination, all finished or unfinished documents, data, studies, maps, photographs, reports, and other written materials (collectively referred to as "Contract Materials") prepared by Contractor under this Agreement shall become the property of County and shall be promptly delivered to County. Upon termination, Contractor may make and retain a copy of such Contract Materials if permitted by law.

8.   Relationship of Parties

Contractor agrees and understands that the work/services performed under this Agreement are performed as an independent contractor and not as an employee of County and that neither Contractor nor its employees acquire any of the rights, privileges, powers, or advantages of County employees.

9.   Hold Harmless

a. General Hold Harmless

Contractor shall indemnify and save harmless County and its officers, agents, employees, and servants from all claims, suits, or actions of every name, kind, and description, in all cases that are brought by a third party against County, resulting from this Agreement or the performance of any work or services required of Contractor under this Agreement, brought for, or on account of, any of the following:

(A) injuries to or death of any person, including Contractor or its employees/officers/agents;

(B) damage to any property of any kind whatsoever and to whomsoever belonging;

(C) any sanctions, penalties, or claims of damages resulting from Contractor's failure to comply, if applicable, with the requirements set forth in the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and all Federal regulations promulgated thereunder, as amended; or

(D) third party losses, damages and expenses including court costs.

Contractor shall have no obligation or responsibility for any claim to the extent based upon or resulting from the acts or omissions of County and its officers, agents, employees, and servants.

The duty of Contractor to indemnify and save harmless as set forth by this Section shall include the duty to defend as set forth in Section 2778 of the California Civil Code.

b. Intellectual Property Claim Indemnification

Contractor shall indemnify and hold harmless at its expense County from and against Claims alleging that Contractor's Services or the Deliverables infringe a validly existing Intellectual Property Right of such third party ("IP Claim"). Contractor shall have no obligation or responsibility for any IP Claim to the extent based upon or resulting from (a) the use, operation, or combination of the Services or Deliverables with programs, data, equipment or documentation not supplied or approved in writing by Contractor if such infringement would have been avoided but for such use, operation or combination; (b) modification of the Services or Deliverables, unless such modification has been performed by Contractor or at its written direction; (c) the non-compliance with Contractor's written designs, specifications or user documentation supplied to County; or (d) information, direction, specifications or materials provided by County or by a third party not under Contractor's control. If the Services or Deliverables become, or are likely to become, in Contractor's opinion, the subject of an IP Claim, and without limiting Contractor's indemnification obligation above, Contractor shall procure for County (i) the right to continue using the same, or (ii) replace or modify the same to make it non-infringing provided that the replacement or modification performs the same functions and matches or exceeds the performance and functionality of the original. This section states the entire liability of Contractor and the exclusive remedy of County in respect of infringement by the Services or Deliverables.

County shall give Contractor prompt written notice of any Claim or IP Claim and reasonable cooperation and assistance in defending the Claim or IP Claim. Contractor shall have sole authority to defend or settle such Claim or IP Claim, provided that Contractor shall not settle any Claim or IP Claim in a manner that would admit liability of or create obligations for County without County's prior written consent. County shall not settle any Claim or IP Claim without Contractor's prior written consent.

The duty of Contractor to indemnify and save harmless as set forth by this Section shall include the duty to defend as set forth in Section 2778 of the California Civil Code.

Limitation of Liability

Limitations. Neither Party shall be liable for any indirect, incidental, special, punitive or consequential damages, including without limitation loss of profits (other than any obligation to pay the fees due to Contractor), savings, revenue, business or data, however arising, whether in contract, tort (including negligence) or any other legal or equitable theory, even if it has been advised of the possibility of such damages; and (ii) the Parties' liability shall not exceed, in the event of County's liability to Contractor, the fees and expenses due and owing to Contractor, and in the event of Contractor's liability to County, the fees and expenses actually paid by County to Contractor, in each case pursuant to the SOW out of which the liability arose.

Scope. The limitations set forth above shall apply regardless of whether a claim or liability is in contract, tort (including negligence) or any other legal or equitable theory, and notwithstanding the failure of any limited remedy of its essential purpose.

Third Party Software. County's sole and exclusive remedy with respect to any alleged breach of a license or subscription agreement for, any warranty under a license or subscription agreement for, or the suitability, characteristics, functionality or performance of, or infringement of County's Intellectual Property Rights by, Third Party Software shall be in accordance with the terms of the license or subscription agreement or related agreements between County and the Third Party Software vendor and AST shall have no liability therefor.

10.   Assignability and Subcontracting

Contractor shall not assign this Agreement or any portion of it to a third party or subcontract with a third party to provide services required by Contractor under this Agreement without the prior written consent of County, except that Contractor may assign the Agreement and such rights and obligations to a third party that has acquired all or substantially all of the business or assets of Contractor related to the performance of this Agreement through a sale, merger, consolidation, reorganization or similar transaction. In the case of such assignment, Contractor shall promptly provide notice to County and the Agreement will be updated to reflect the name of the entity that has acquired all or substantially all of the business or assets of Contractor. Any other assignment or subcontract without County's prior written consent shall give County the right to automatically and immediately terminate this Agreement without penalty or advance notice.

County may, in its sole and reasonable discretion upon forty five (45) day's prior written notice, withdraw its approval of a subcontractor for any reason. Upon the effective date of service termination Contractor will remove such subcontractor from the Project. In the event that a subcontractor's performance is deficient, Contractor shall take steps to remedy the situation, which may include replacement of the subcontractor.

11.   Insurance

a. General Requirements

Contractor shall not commence work or be required to commence work under this Agreement unless and until all insurance required under this Section has been obtained and such insurance has been approved by County's Risk Management, and Contractor shall use diligence to obtain such insurance and to obtain such approval. Contractor shall furnish County with certificates of insurance evidencing the required coverage, and there shall be a specific contractual liability endorsement extending Contractor's coverage to include the contractual liability assumed by Contractor pursuant to this Agreement. These certificates shall specify or be endorsed to provide that thirty (30) days' notice must be given, in writing, to County of any pending change in the limits of liability or of any cancellation or modification of the policy.

b. Workers' Compensation and Employer's Liability Insurance

Contractor shall have in effect during the entire term of this Agreement workers' compensation and employer's liability insurance providing full statutory coverage. In signing this Agreement, Contractor certifies, as required by Section 1861 of the California Labor Code, that (a) it is

aware of the provisions of Section 3700 of the California Labor Code, which require every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of the Labor Code, and (b) it will comply with such provisions before commencing the performance of work under this Agreement.

c. Liability Insurance

Contractor shall take out and maintain during the term of this Agreement such bodily injury liability and property damage liability insurance as shall protect Contractor and all of its employees/officers/agents while performing work covered by this Agreement from any and all claims for damages for bodily injury, including accidental death, as well as any and all claims for property damage which may arise from Contractor's operations under this Agreement, whether such operations be by Contractor, any subcontractor, anyone directly or indirectly employed by either of them, or an agent of either of them. Such insurance shall be combined single limit bodily injury and property damage for each occurrence (except Professional Errors & Omissions (E&O Insurance which shall be 'in the aggregate') and shall not be less than the amounts specified below:

> (a) Comprehensive General Liability………….$1,000,000
>
> (b) Motor Vehicle Liability Insurance………….$1,000,000
>
> (c) Professional Errors & Omissions Insurance (E&O)
> ……….……………. $5,000,000 in the aggregate

County and its officers, agents, employees, and servants shall be named as additional insured on any such policies of insurance, which shall also contain a provision that (a) the insurance afforded thereby to County and its officers, agents, employees, and servants shall be primary insurance to the full limits of liability of the policy and (b) if the County or its officers, agents, employees, and servants have other insurance against the loss covered by such a policy, such other insurance shall be excess insurance only.

In the event of the breach of any provision of this Section, or in the event any notice is received which indicates any required insurance coverage will be diminished or canceled, County, at its option, may, notwithstanding any other provision of this Agreement to the contrary, immediately declare a material breach of this Agreement and suspend all further work and payment pursuant to this Agreement.

12.   Compliance With Laws

All services to be performed by Contractor pursuant to this Agreement shall be performed in accordance with all applicable Federal, State, County, and municipal laws, ordinances, regulations, and executive orders, including but not limited to the Health Insurance Portability

and Accountability Act of 1996 (HIPAA) (if applicable) and the Federal Regulations promulgated thereunder, as amended (if applicable), the Business Associate requirements set forth in Attachment H (if attached), the Americans with Disabilities Act of 1990, as amended, and Section 504 of the Rehabilitation Act of 1973, which prohibits discrimination on the basis of disability in programs and activities receiving any Federal or County financial assistance, as well as any required economic or other sanctions imposed by the United States government or under state law in effect during the term of the Agreement. Such services shall also be performed in accordance with all applicable ordinances and regulations, including but not limited to appropriate licensure, certification regulations, provisions pertaining to confidentiality of records, and applicable quality assurance regulations. In the event of a conflict between the terms of this Agreement and any applicable State, Federal, County, or municipal law, regulation, or executive order, the requirements of the applicable law, regulation, or executive order will take precedence over the requirements set forth in this Agreement.

Contractor will timely and accurately complete, sign, and submit all necessary documentation of compliance.

13.   Non-Discrimination and Other Requirements

a. General Non-discrimination

No person shall be denied any services provided pursuant to this Agreement (except as limited by the scope of services) on the grounds of race, color, national origin, ancestry, age, disability (physical or mental), sex, sexual orientation, gender identity, marital or domestic partner status, religion, political beliefs or affiliation, familial or parental status (including pregnancy), medical condition (cancer-related), military service, or genetic information.

b. Equal Employment Opportunity

Contractor shall ensure equal employment opportunity based on objective standards of recruitment, classification, selection, promotion, compensation, performance evaluation, and management relations for all employees under this Agreement. Contractor's equal employment policies shall be made available to County upon request.

c. Section 504 of the Rehabilitation Act of 1973

Contractor shall comply with Section 504 of the Rehabilitation Act of 1973, as amended, which provides that no otherwise qualified individual with a disability shall, solely by reason of a disability, be excluded from the participation in, be denied the benefits of, or be subjected to discrimination in the performance of any services this Agreement. This Section applies only to contractors who are providing services to members of the public under this Agreement.

d. Compliance with County's Equal Benefits Ordinance

Contractor shall comply with all laws relating to the provision of benefits to its employees and their spouses or domestic partners, including, but not limited to, such laws prohibiting discrimination in the provision of such benefits on the basis that the spouse or domestic partner of the Contractor's employee is of the same or opposite sex as the employee.

e. Discrimination Against Individuals with Disabilities

The nondiscrimination requirements of 41 C.F.R. 60-741.5(a) are incorporated into this Agreement as if fully set forth here, and Contractor and any subcontractor shall abide by the requirements of 41 C.F.R. 60–741.5(a). This regulation prohibits discrimination against qualified individuals on the basis of disability and requires affirmative action by covered prime contractors and subcontractors to employ and advance in employment qualified individuals with disabilities.

f. History of Discrimination

Contractor certifies that no finding of discrimination has been issued in the past 365 days against Contractor by the Equal Employment Opportunity Commission, the California Department of Fair Employment and Housing, or any other investigative entity. If any finding(s) of discrimination have been issued against Contractor within the past 365 days by the Equal Employment Opportunity Commission, the California Department of Fair Employment and Housing, or other investigative entity, Contractor shall provide County with a written explanation of the outcome(s) or remedy for the discrimination prior to execution of this Agreement. Failure to comply with this Section shall constitute a material breach of this Agreement and subjects the Agreement to immediate termination at the sole option of the County.

g. Reporting; Violation of Non-discrimination Provisions

Contractor shall also report to the County the filing by any person in any court any complaint of discrimination or the filing by any person of any and all charges with the Equal Employment Opportunity Commission, the Fair Employment and Housing Commission, or any other entity charged with the investigation of allegations of discrimination within seventy-five (75) days of such filing, provided that within such seventy-five (75) days such entity has not notified contractor that such charges are dismissed or otherwise unfounded. Such notification to County shall include a general description of the allegations and the nature of specific claims being asserted. Contractor shall provide County with a statement regarding how it responded to the allegations within sixty (60) days of its response and shall update County regarding the nature of the final resolution of such allegations.

Violation of the non-discrimination provisions of this Agreement shall be considered a breach of this Agreement and subject the Contractor to penalties, to be determined by the County Executive Officer, including but not limited to the following:

   i.   termination of this Agreement;
   ii.   disqualification of the Contractor from being considered for or being awarded a County contract for a period of up to 3 years;
   iii.   liquidated damages of $2,500 per violation; and/or

iv.   imposition of other appropriate contractual and civil remedies and sanctions, as determined by the County Executive Officer.

To effectuate the provisions of this Section, the County Executive Officer shall have the authority to offset all or any portion of the amount described in this Section against amounts due to Contractor under this Agreement or any other agreement between Contractor and County.

h. Compliance with Living Wage Ordinance

As required by Chapter 2.88 of the San Mateo County Ordinance Code, Contractor certifies all contractor(s) and subcontractor(s) obligated under this contract shall fully comply with the provisions of the County of San Mateo Living Wage Ordinance, including, but not limited to, paying all Covered Employees the current Living Wage and providing notice to all Covered Employees and Subcontractors as required under the Ordinance.

14.   Compliance with County Employee Jury Service Ordinance

Contractor shall comply with Chapter 2.85 of the County's Ordinance Code, which states that Contractor shall have and adhere to a written policy providing that its employees, to the extent they are full-time employees and live in San Mateo County, shall receive from the Contractor, on an annual basis, no fewer than five days of regular pay for jury service in San Mateo County, with jury pay being provided only for each day of actual jury service. The policy may provide that such employees deposit any fees received for such jury service with Contractor or that the Contractor may deduct from an employee's regular pay the fees received for jury service in San Mateo County. By signing this Agreement, Contractor certifies that it has and adheres to a policy consistent with Chapter 2.85. For purposes of this Section, if Contractor has no employees in San Mateo County, it is sufficient for Contractor to provide the following written statement to County: "For purposes of San Mateo County's jury service ordinance, Contractor certifies that it has no full-time employees who live in San Mateo County. To the extent that it hires any such employees during the term of its Agreement with San Mateo County, Contractor shall adopt a policy that complies with Chapter 2.85 of the County's Ordinance Code." The requirements of Chapter 2.85 do not apply unless this Agreement's total value listed in the Section titled "Payments", exceeds two-hundred thousand dollars ($200,000); Contractor acknowledges that Chapter 2.85's requirements will apply if this Agreement is amended such that its total value exceeds that threshold amount.

15.   Retention of Records; Right to Monitor and Audit

(a) Contractor shall maintain all required records relating to services provided under this Agreement for three (3) years after County makes final payment and all other pending matters are closed, and Contractor shall be subject to the examination and/or audit by County, a Federal grantor agency, and the State of California.

(b) Contractor shall comply with all program and fiscal reporting requirements set forth by applicable Federal, State, and local agencies and as required by County.

(c) Contractor agrees that upon fourteen (14) days' prior written f notice to provide to County, to any Federal or State department having monitoring or review authority, to County's authorized representative, and/or to any of their respective audit agencies access to and the right to examine all records and documents directly related to this Agreement ("Records") necessary to determine compliance with relevant Federal, State, and local statutes, rules, and regulations as directly related to this Agreement , to determine compliance with this Agreement, and to evaluate the quality, appropriateness, and timeliness of services performed under the applicable SOW.

16.   Merger Clause; Amendments

This Agreement, including the Exhibits and Attachments attached to this Agreement and incorporated by reference, constitutes the sole Agreement of the parties to this Agreement and correctly states the rights, duties, and obligations of each party as of this document's date. In the event that any term, condition, provision, requirement, or specification set forth in the body of this Agreement conflicts with or is inconsistent with any term, condition, provision, requirement, or specification in any Exhibit and/or Attachment to this Agreement, the provisions of the body of the Agreement shall prevail. Any prior agreement, promises, negotiations, or representations between the parties not expressly stated in this document are not binding. All subsequent modifications or amendments shall be in writing and signed by the parties. No terms, provisions or conditions of any purchase order, acknowledgement or other business form, or of any electronic data interchange, internal or third party portal, or any other electronic means, that either Party may use in connection with the transactions contemplated by this Agreement shall have any effect on or shall otherwise modify the rights, duties or obligations of either Party under this Agreement, regardless of any failure of a receiving Party to object to such terms, provisions or conditions.

17.   Controlling Law; Venue

The validity of this Agreement and of its terms, the rights and duties of the parties under this Agreement, the interpretation of this Agreement, the performance of this Agreement, and any other dispute of any nature arising out of this Agreement shall be governed by the laws of the State of California without regard to its choice of law or conflict of law rules. Any dispute arising out of this Agreement shall be venued either in the San Mateo County Superior Court or in the United States District Court for the Northern District of California.

18. **General**

18.1 Entire Agreement

The Agreement, including any, Exhibits, and attachments referred to therein and attached thereto, each of which is incorporated herein for all purposes, constitutes the entire agreement between the Parties with respect to the subject matter hereof. There are no agreements, representations, warranties, promises, covenants, commitments or undertakings other than those expressly set forth in the Agreement. The Agreement supersedes all prior agreements, representations, warranties, promises, covenants, commitments or undertaking, whether written or oral, with respect to the subject matter contained in the Agreement. No terms, provisions or conditions of any purchase order, acknowledgement or other business form, or of any electronic data interchange, internal or third party portal, or any other electronic means, that either Party may use in connection with the transactions contemplated by this Agreement shall have any effect on or shall otherwise modify the rights, duties or obligations of either Party under this Agreement, regardless of any failure of a receiving Party to object to such terms, provisions or conditions. No amendment, modification, change, waiver, or discharge hereof will be valid unless in writing and signed by an authorized representative of both Parties.

18.2 Counterparts

The Agreement may be executed in several counterparts, all of which taken together will constitute one single agreement between the County and Contractor hereto.

18.3 Headings

The headings used herein are for reference and convenience only and will not be considered in the interpretation of the Agreement.

18.4 Severability

In the event that any provision of the Agreement conflicts with the Law under which the Agreement is to be construed or if any such provision is held invalid or unenforceable by a court with jurisdiction over the Parties, such provision will be deemed to be restated to reflect as nearly as possible the original intentions of the Parties in accordance with applicable Laws. The remaining provisions of the Agreement and the application of the challenged provision to persons or circumstances other than those as to which it is invalid or unenforceable will not be affected thereby, and each such provision will be valid and enforceable to the full extent permitted by applicable Laws.

18.5   Consents and Approval

a. Except where expressly provided as being in the sole discretion of a Party, where agreement, approval, acceptance, consent, confirmation, notice or similar action by either Party is required under the Agreement, such action will not be unreasonably delayed or withheld. An approval or consent given by a Party under the Agreement will not relieve the other Party from responsibility for complying with the requirements of the Agreement, nor will it be construed as a waiver of any rights under the Agreement, except as and to the extent otherwise expressly provided in such approval or consent.

b. Except where expressly provided otherwise, any agreement, approval, acceptance, consent, confirmation, notice, report or similar action by either Party must be in writing to be effective. With respect to day-to-day operational and delivery related agreements, approvals, acceptances, consents, confirmations, notices, reports or similar action, the Parties acknowledge and agree that an e-mail delivered by one Party and received and acknowledged by the other Party will satisfy such requirements, except where expressly provided otherwise.

c. The Parties further acknowledge and agree that specific references throughout the Agreement to "in writing", "not to be unreasonably withheld or delayed" or other similar phrases are for emphasis and will not impact the general applicability of the foregoing.

18.6   Waiver of Default; Cumulative Remedies
A delay or omission by either Party to exercise any right or power under this Agreement will not be construed to be a waiver. A waiver by a Party of any provision or any breach will not be construed to be a waiver of any succeeding breach or of any other provision. All waivers must be in writing and signed by the Party waiving its rights. All remedies provided for in the Agreement will be cumulative and in addition to, and not in lieu of any other remedies available to either Party in the Agreement, at Law, in equity or otherwise.

18.7   Publicity
Contractor will not disclose the existence of this Agreement or refer to it or County in any way in press releases or promotional media, without the prior written consent of County, provided Contractor may reference the existence of this Agreement in connection with proposals to other customers. Notwithstanding the foregoing, Contractor will not be prohibited from disclosing the existence of this Agreement as required by Law to Regulatory Entities in accordance with Section 5 (Confidentiality). Notwithstanding any confidentiality obligations, Contractor acknowledges and agrees that County may freely discuss all aspects of Contractor's performance and County's satisfaction with such performance with prospective Contractor customers referred to County by Contractor.

18.8 <u>Background Checks</u>

To the extent permitted under applicable Laws, and at the request of the County, Contractor will perform or have performed a Background Check on any personnel identified in a Statement of Work. The cost of such Background Checks performed will be payable by the Contractor.

19. <u>Notices</u>

Any notice, request, demand, or other communication required or permitted under this Agreement shall be deemed to be properly given when both: (1) transmitted via facsimile to the telephone number listed below or transmitted via email to the email address listed below; and (2) sent to the physical address listed below by either being deposited in the United States mail, postage prepaid, or deposited for overnight delivery, charges prepaid, with an established overnight courier that provides a tracking number showing confirmation of receipt.

In the case of County, to:

Name/Title: Roberto Manchia, Chief Financial Officer
Address: 500 County Center, 5th Floor, Redwood City, CA 94063
Telephone: (650) 363-4597
Email: rmanchia@smcgov.org

In the case of Contractor, to:

Name/Title: Applications Software Technology LLC ,Corporate Counsel
Address: 4343 Commerce Court, Suite 701, Lisle, IL 60532
Telephone: (630) 778-1180
Email: ASTLegal@astcorporation.com

20. <u>Electronic Signature</u>

Both County and Contractor wish to permit this Agreement and future documents relating to this Agreement to be digitally signed in accordance with California law and County's Electronic Signature Administrative Memo. Any party to this Agreement may revoke such agreement to permit electronic signatures at any time in relation to all future documents by providing notice pursuant to this Agreement.

21. <u>Payment of Permits/Licenses</u>

Contractor bears responsibility to obtain any license, permit, or approval required from any agency for work/services to be performed under this Agreement at Contractor's own expense prior to commencement of said work/services. Failure to do so will result in forfeit of any right to compensation under this Agreement.

22. <u>Reimbursable Travel Expenses</u>

To the extent that this Agreement authorizes reimbursements to Contractor for travel, lodging, and other related expenses as defined in this section, the Contractor must comply with all the terms of this section in order to be reimbursed for travel.

a. Estimated travel expenses must be submitted to authorized County personnel for advanced written authorization before such expenses are incurred. Significant differences between estimated and actual travel expenses may be grounds for denial of full reimbursement of actual travel expenses.

b. Itemized receipts (copies accepted) for all reimbursable travel expenses are required to be provided as supporting documentation with all invoices submitted to the County.

c. Unless otherwise specified in this section, the County will reimburse Contractor for reimbursable travel expenses for days when services were provided to the County. Contractor must substantiate in writing to the County the actual services rendered and the specific dates. The County will reimburse for travel at 75% of the maximum reimbursement amount for the actual costs of meals and incidental expenses on the day preceding and/or the day following days when services were provided to the County, provided that such reimbursement is reasonable, in light of travel time and other relevant factors, and is approved in writing by authorized County personnel.

d. Unless otherwise specified within the contract, reimbursable travel expenses shall not include Local Travel. "Local Travel" means travel entirely within a fifty-mile radius of the Contractor's office and travel entirely within a fifty-mile radius of San Mateo County. Any mileage reimbursements for a Contractor's use of a personal car for reimbursable travel shall be reimbursed based on the Federal mileage reimbursement rate.

e. The maximum reimbursement amount for the actual lodging, meal and incidental expenses is limited to the then-current Continental United States ("CONUS") rate for the location of the work being done (i.e., Redwood City for work done in Redwood City) as set forth in the Code of Federal Regulations and as listed by the website of the U.S. General Services Administration (available online at http://www.gsa.gov/portal/content/104877 or by searching www.gsa.gov for the term 'CONUS'). County policy limits the reimbursement of lodging in designated high cost of living metropolitan areas to a maximum of double the then-current CONUS rate; for work being done outside of a designated high cost of living metropolitan area, the maximum reimbursement amount for lodging is the then-current CONUS rate.

f. The maximum reimbursement amount for the actual cost of airfare shall be limited to fares for Economy Class or below. Air travel fares will not be reimbursed for first class, business class, "economy-plus," or other such classes. Reimbursable car rental rates are restricted to the mid-level size range or below (i.e. standard size, intermediate, compact, or subcompact); costs for specialty, luxury, premium, SUV, or similar category vehicles are not reimbursable. Reimbursable ride-shares are restricted to standard or basic size

vehicles (i.e., non-premium vehicles unless it results in a cost-saving to the County). Exceptions may be allowed under certain circumstances, such as unavailability of the foregoing options, with written approval from authorized County personnel. Other related travel expenses such as taxi fares, ride-shares, parking costs, train or subway costs, etc. shall be reimbursable on an actual-cost basis. Reimbursement of tips for taxi fare, or ride-share are limited to no more than 15% of the fare amount.
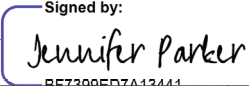
g.   Travel-related expenses are limited to: airfare, lodging, car rental, taxi/ride-share plus tips, tolls, incidentals (e.g. porters, baggage carriers or hotel staff), breakfast, lunch, dinner, mileage reimbursement based on Federal reimbursement rate. The County will not reimburse for alcohol.

h.   Reimbursement of tips are limited to no more than 15 percent. Non-reimbursement items (i.e., alcohol) shall be excluded when calculating the amount of the tip that is reimbursable.

23. Force Majeure. Notwithstanding anything herein to the contrary, the Parties hereto shall not be deemed in default with respect to the performance of, or compliance with, the terms, covenants, agreements, conditions, or provisions of this Agreement (except payment obligations), if the delay or failure to perform or comply shall be due to any strike, lockout, civil commotion, invasion, rebellion, hostilities, sabotage, acts of God, epidemic, pandemic or other cause beyond the control of the affected Party (" Force Majeure"). Dates by which performance obligations are scheduled to be met may be extended for a period of time equal to the time lost due to any delay so caused by Force Majeure.

*   *   *

In witness of and in agreement with this Agreement's terms, the parties, by their duly authorized representatives, affix their respective signatures:

For Contractor: **APPLICATIONS SOFTWARE TECHNOLOGY LLC ("AST")**

Signed by:

Jennifer Parker

BF7399ED7A13441...

5/12/2025

Jennifer Parker

_____ _____ _____
Contractor Signature   Date   Contractor Name (please print)

COUNTY OF SAN MATEO

By: *David J Canepa*   Resolution No. 081157

President, Board of Supervisors, San Mateo County

Date: May 20, 2025

ATTEST:

By:

Clerk of Said Board

Exhibit A

In consideration of the payments set forth in Exhibit B, Contractor shall provide the following services as described in the following documents:

Document	Title
Exhibit A	Statement of Work (SOW #1)
Exhibit A-1	Business Requirements (Functional and General Requirements)
Exhibit A-2	Non-Functional Requirements
Exhibit A-3	Acceptance Criteria
Exhibit A-4	AST responses to the AAB system RFP

Exhibit B

In consideration of the services provided by Contractor described in Exhibit A and subject to the terms of the Agreement, County shall pay Contractor based on the following fee schedule and terms:

Design, Development and Implementation

Phase	Project Milestone Deliverable	Percentage Due	Amount
P-01	Project Kickoff	15%	$145,105.80
P-02	Solution Design Accepted	10%	$96,737.20
P-03	100% of Sprints Completed	25%	$241,843.00
P-04	UAT Completed	15%	$145,105.80
P-05	Go-Live Deployment Completed	25%	$241,843.00
P-06	Post-production Supported Completed	10%	$96,737.20
Total		100%	$967,372.00

The County shall be invoiced when each phase is completed and formally accepted by the County as defined in Section 12 of Exhibit A along with any supporting deliverables as listed in Exhibit A.

Managed Services

Year	Support Hours Per Month	Managed Service Monthly Fee	Managed Services Annual Fee
1	135 Hours	$12,825	$153,900.00
2	135 Hours	$13,210	$158,517.00
3	135 Hours	$13,606	$163,273.00
4	135 Hours	$14,014	$168,171.00
5	135 Hours	$14,435	$173,216.00
Total			$817,077.00

Annual billing for Managed Services shall begin upon the successful completion of the Post-Production Support. County shall be invoiced for a twelve (12) month period commencing upon the successful completion and acceptance of the Post-Production Support of the configured product. Thereafter, County will be billed annually in advance.

Overage Charges

AST will report monthly usage as a part of the service review meetings. For billing purposes, AST will perform a semi-annual reconciliation of monthly capacity (adjusted for hours rolled over) to actual hours utilized and shall bill the County for any hours used over the contracted amount ("Overage Hours").

- Overages will be billed at the blended rate of $95/hour.

Other Rates

Other Salesforce related services not covered under the scope of this SOW (Exhibit A) as detailed in Appendix A such as Project Work and/or Major Enhancements (modifications to delivered/implemented functionality requiring more than 40 service hours to complete), will be estimated and billed separate from the Managed Services hours, using the rates provided below.

Resources	Hourly rate
Onshore Consultants	$200.00
Offshore Consultants	$65.00

The rates for Project Work are subject to an annual increase of the greater of 3% or CPI. In no event should the rates being charged to the County by the Contractor exceed their standard GSA rates.

Payment Schedule and Billing:

County shall not incur upfront fees prior to the delivery of services outlined in Exhibit A.

Contractor shall submit invoices to the County that detail the work completed, staff and rate as noted above that completed the work, and any other details as requested by the County. Invoice documentation must reference this Agreement No. and be accompanied by a line-item accounting for monthly expenses and evidence of work performed, including, but not limited to, timesheets, copies of bills, and/or packing slips. The Contractor shall include a written certification that the costs were actually incurred for the Project and that the supporting documentation is true, correct, and complete. County shall pay all invoices from Contractor within thirty (30) business days of receipt of invoice.

The County may withhold all or part of the Contractor's total payment if County's Chief Financial Officer, or designee, determines that the Contractor has not satisfactorily performed services.

In no event shall the County's financial obligation exceed $1,784,449 for the term of this Agreement.

AST

Contractual Document

Statement of Work (SOW)

County of San Mateo Architecture, Design and Maintenance of an Electronic System for San Mateo County Assessment Appeals Board, including a Public Portal for Electronic Document Submission

Submitted: 5/1/2025

Submitted by:

Keith Lovegrove, Regional Sales Director

949-705-9861 | klovegrovel@astcorporation.com

4343 Commerce Court Suite 701, Lisle, IL 60532

Table of Contents

1 Introduction

This Statement of Work ("SOW") is entered into pursuant to and is a part of Agreement No. _____ ("Agreement") between the County of San Mateo, a political subdivision of the State of California ("County"), and Applications Software Technology LLC ("Contractor") (collectively, "Parties"), dated _____). This SOW is intended to document the scope, deliverables, schedule, resources, cost, and assumptions for the Assessment Appeals Board Electronic System Project ("Project").

This SOW is subject to the terms of the Agreement, which are hereby incorporated by reference into this SOW. Terms used, but not defined herein, shall have the meaning(s) set forth in the Agreement.

The SOW will be the governing Project document outlining Project scope, as mutually agreed to by both Parties.

2 Definitions

The table below defines the most used abbreviations in this Statement of Work.

Acronym	Acronym Description	Acronym	Acronym Description
AST	Applications Software Technology LLC	SOW	Statement of Work
SMC	San Mateo County	SME	Subject Matter Expert
PCR	Project Change Request	PMO	Project Management Office
QA	Quality Assurance	SaaS	Software as a Service
SIT	System Integration Testing	CRM	Customer (Citizen) Relationship Management
UAT	User Acceptance Training	VPN	Virtual Private Network

3 Project Overview

AST will architect, design, and implement an Electronic System for San Mateo County's Assessment Appeals Board ("AAB") and build a Public Portal that enables electronic document submission. On this public portal, members of the public can find information, submit applications for assessment appeals and appeal-related documents, and initiate various processes, such as withdrawing appeals, amending appeals, requesting postponements, authorizing agents, etc. Internally, AAB staff can enter and store appeals data and allow for meeting agenda development and processing.

4 Scope of Work

AST will implement the following scope based on AST's understanding of the County's RFP and goals.

It is the County's intention that the Business use cases, workflows and the functional, general and technical requirements identified in Exhibit A-1 (Business Requirements) and Exhibit A-2 (Technical Requirements) encompass all the AAB system requirements.

AST will perform the Scope of Services as detailed in Section 3 and comply with the requirements and specifications set forth in this SOW, unless otherwise expressly indicated in this SOW to not be in scope for AST's responsibilities.

The AAB systems' business and technical requirements are provided in Exhibit A-1 (Business Requirements) and Exhibit A-2 (Technical Requirements).

A. Discovery and Design

1. Review in detail the workflow documentation provided as part of the RFP and any other documentation with the appropriate stakeholders. Review the existing SMC Salesforce org used for APAS and understand the Tax Assessment app and data structure.

2. Configure a new Salesforce org with Service Cloud licenses and Experience Cloud. Create sandboxes for development, QA testing, and UAT testing from the production environment. The UAT environment will require a full copy sandbox.

3. Schedule and conduct discovery sessions with stakeholders and SMEs including AAB Clerk, City Attorneys, IT Staff that support the APAS system, assessors and AAB Board Member.

4. Evaluate existing public-facing pages, portal requirements, the current appeals application form and determine the best approach to provide the public with access to appropriate data.

5. Develop and refine user stories in coordination with SMC including acceptance criteria for each.

6. Schedule and conduct discovery related to data migration, assess data quality, and develop mapping between source data in existing legacy system (EZ Access System) and target destination in the SMC Salesforce Org.

7. Develop a solution architecture/design document to meet all system functional & general, technical and maintenance and operations requirements and obtain approval from the SMC. AST follows Salesforce best practices and will design the system with extensibility and flexibility in mind.

B. Salesforce Development

1. Create a Salesforce application and online portal following Salesforce best practices to support the following business process. This includes digitizing the PDF forms that SMC has currently (Assessment Appeal Application, AAB hearing Calendar-Related Request, Withdrawal, Agent/Attorney Revocation or Substitution Form, Agent Authorization form)

   a. Appeal Submission Process
   b. Application Review Process
   c. Appeal Acceptance Process, email notification to Assessors and applicant/agent
   d. Appeal Pre-Hearing/Hearing Scheduling and email and mail Noticing Process
   e. Appeal Stipulation Process, AST will configure a default envelope template in DocuSign for the Appeal Stipulation Process.
   f. Appeal Withdrawal Process AST will configure a default envelope template in DocuSign for the Appeal Withdrawal Process.

g. Change of a Prehearing/Hearing Date Process – including mass rescheduling of date/time
h. Hearing Date Agenda Generation Process
i. Appeal Amendment Process
j. Appeal Pre-Hearing Process
k. Appeal Hearing Process
l. Appeal Reinstatement Process
m. Designation, Substitution or Revocation of Agent/Attorney
n. Agent or Applicant information change Enable portal user to update their profile or have an internal user update the user profile, Mailing Address Change, email change, phone number, agency change.
o. Waiver Process – incorporate DocuSign

2. AST will develop the AAB system to be ADA compliant (AB434), leveraging Salesforce's ADA best practices.
3. AST will develop the AAB system with the capability to quickly search and locate past and relevant appeals

1. Create a Tax Assessment Appeals framework within the Salesforce Org to support the a.) Appeal submission and review process and b.) appeal acceptance process, including

   a. Create an Online appeals submission application form using Salesforce screen flows and Salesforce LWC

   b. Create custom objects to support the application submission form and acceptance process.

   c. Configure custom fields required for data capture of the appeals application and data in the APAS system

   d. Configure page layouts within the Salesforce Org to access the data for the custom objects

   e. Configure validation rules

   f. Enable the tracking of hearing notes, including making notes confidential, i.e. can only be viewed by appropriate users or the public facing workflows, the process can be initiated online or manually, e.g. submitted by mail or in person. For manual workflows, the agent will directly enter data into the Salesforce back-end records.

2. Include in the Salesforce Appeals app configurations to support a.) Scheduling and Noticing b.) Appeal Pre-hearing process, c.) Change of a Prehearing/Hearing Date process d.) Hearing Date Agenda Generation process and e.) Appeal Hearing Process, including

   a. Create forms using Salesforce screen flows and Salesforce LWC to support the above process flows

   b. Create custom objects to support the above submission forms

   c. Configure custom fields required for data capture of information pertaining to scheduling and noticing of hearings

   d. Configure page layouts for the custom objects

   e. Configure validation Rules

   f. Enable generation of different notification documents or letters

   g. Develop capability to change the hearing date of multiple appeals by selecting the appeals from a list and generating the pre-defined notifications to the relevant parties

For the public facing workflows, the process can be initiated online or manually, e.g. submitted by mail or in person. For manual workflows, the agent will directly enter data into the Salesforce back-end records.

3. Include in the Salesforce Appeals app configurations to support the a.) Appeal Amendment process, b.) Stipulation process c.) Appeal Withdrawal process, d.) Mailing address change requests; e.) Appeal Reinstatement requests; f.) Designation, Substitution, or Revocation of Agent/Attorney; g.) Generation of Statements of Changes and h.) Waiver Process (Statute and Hearing notice):

   a. Create forms using Salesforce screen flows and Salesforce LWC to support the above process flows

   b. Create custom objects to support workflows

   c. Configure custom fields required based on workflows

   d. Configure page layouts for the custom objects

   e. Develop screen flows for each of the above workflows

   f. Configure validation Rules

   g. Enable generation of different notification documents or letters

For the public facing workflows, the process can be initiated online or manually, e.g. submitted by mail or in person. For manual workflows, the agent will directly enter data into the Salesforce back-end records.

4. Configure notifications and email templates for the process to ensure applicants are aware of changes of status their appeal, including hearing dates, rescheduling of hearing dates and final decision. The AAB Clerk will receive notifications, including when:

   a. Payment deadlines/resubmission or other deadlines are missed

   b. Digitally signed requests are received

   c. Applications resubmitted

5. Configure notifications that can be generated by the AAB Clerk for:

   a. When hearing dates are changed and can be sent to various groups including the assessor, county attorneys and applicants

   b. Approved amendments, including selecting which groups should receive the notifications.

6. Develop a public-facing, integrated portal that:

   a. Allows property owners or their agents to initiate public-facing processes
   b. Allows property owners or their agents to view applications, status, and hearing dates
   c. Allows property owners to generate a PDF for the above application forms
   d. Allows property owners to upload relevant documents, up to **250MB** per file to be stored in the file repository
   e. Provides applicants with the ability to make online payments through Grant Street Group Payment express
   f. Can be accessed from the County's website

C. Integrations

1. AST will install and configure DocuSign to support pdf document generation and e-signature capabilities.

2. AST will build point-to-point integration with SMC's file storage system to create links to the relevant appeals related documents stored in the file storage system.

3. AST will enable one-way, real-time integration with the Assessors Salesforce Org to obtain property value-on-roll information using Salesforce Connect or the appropriate tool approved by the County.
   a. During the appeal creation process, the Assessors value on roll for the APN and roll year being appealed, will be pulled from the Assessors system into the appeals system, for that appeal.

4. AST will integrate with the payment processor, Grant Street Group Payment Express or the payment gateway approved by the County

5. AST will configure Single Sign On authentication with Okta using SAML 2.0 for Salesforce as provided by Okta. https://saml-doc.okta.com/SAML_Docs/How-to-Configure-SAML-2.0-in-Salesforce.html#SAML

D. Data Migration

1. Discovery Sessions with stakeholders
   a. Understand the existing data landscape and data dependencies. Collaborate with County staff to identify and document data sources, formats, and relationships among them.

2. Data Mapping and Transformation Sessions
   a. AST will provide templates for the appeals in the Reflection Workspace.
   b. Discuss and prepare data dictionary maps to define the transformations and mappings between source and target systems.
   c. Discuss and define if any specific conversions need to be performed during the transformation.
   d. Assist internal staff on SQL and transform approach for repeatable extractions.
   e. Defining all data that needs to be migrated (structured - rows and columns)
   f. Enumerate attachments (including images) associated with individual transactions, their storage mechanisms and extraction methods
   g. Determining how this data maps from source systems to Salesforce and creating a mapping document
   h. Define and document steps to migrate data and attachments to Salesforce
   i. Identify manual steps and automation opportunities
   j. Performing test migrations of a subset of records for each data table into the sandbox
      o Review errors, fix, repeat
   k. Performing full migration of all records for each data table into sandbox
      o Review errors, fix, repeat
   l. Finalize production data migration plan
      o Cut over date
      o Communication plan
   m. Perform production migration
      o Freeze current system
      o Poll all data tables to get a count of records per table migrating
      o Migrate data and attachments (use templates and transforms from sandbox to minimize errors)
      o Make use of developed bots, as appropriate

> o Match each data table count with destination table in Salesforce
> o Complete once rows in original tables match destination tables
>
> Note: This is an iterative process throughout the discovery and configuration phases to get ready for production migration. County and AST teams will work together on correct timelines for the migration of data during the project.
> NOTE: AST will create templates for the appeals in the reflection workspace.

3. Data Validation sessions
   a. Validate historic appeals from Reflection Workspace.
   b. Work with the County staff to ensure data loaded is validated and fit for business use.
   c. Define criteria and rules for establishing the validation success, ensuring quality of data migrated meets County requirements.

4. Mock Dry Run Sessions
   a. Execute a mock migration with SMC staff, addressing any issues and refining the migration plan.

5. UAT Sessions
   a. Prepare for UAT by outlining test scenarios, test data, and acceptance criteria.
   b. Collaborate with end-users to identify test cases, data sets, and expected outcomes for UAT.
   c. Regular communication, collaboration, and feedback sessions with County staff throughout these work sessions are essential for addressing any concerns, refining the migration process, and ensuring a successful and well-validated data migration

6. Production data migration plan
   a. Finalize the steps and establish a cutover plan.
   b. Discuss with the County and finalize a cutover date.
   c. Ensure dates are communicated and approved by stakeholders.

7. Production Migration
   a. Perform data migration using steps identified in UAT and ensure counts of data objects in Salesforce match those of current system.

E. Testing

1. AST will perform a rigorous testing process and readiness assessment before moving the new AAB system into the production go-live environment.

2. At the outset, AST will develop a test strategy. This document outlines the testing approach and execution plan for the testing phase. It gives all stakeholders an in-depth understanding of the testing, including:
   a. Scope
   b. Timeline
   c. Resources
   d. Responsibilities
   e. Tools

3. All user stories that result from our discovery phase will be paired with one or several test scenarios to determine if they are done correctly. AST utilizes our JIRA instance to tie testing and development together into a single view.

4. During sprints, all testing scenarios for the completed user stories are run by AST team and then by the AAB team. At the end of each sprint a full regression test is completed for all previous sprints. This ensures that each feature is tested multiple times by the AST team and County team with full visibility to both groups. The final areas of full regression testing are done prior to production migration and then after to ensure all functionality is approved and working.

5. AST will develop test scripts that contain detailed execution steps with corresponding test data information, expected results and overall actual outcome etc. AST will perform multiple executions of the same test script with modification to the test data to complete both positive and negative results.

6. The County's business users shall use these test script documents prepared by AST and add additional test scenarios as necessary to execute the validation flows during Systems Integration Testing (SIT) and User Acceptance Testing (UAT).

7. To ensure that the System has been thoroughly tested, AST shall provide *Test Scenarios, Test Cases and Test Scripts* to include all types of testing to ensure comprehensive test coverage of each requirement as specified in this SOW with County data necessary to ensure the validity of all types of testing.

8. AST's Test strategy and plan will include test automation to ensure activities and outcomes can be effectively measured and tracked throughout the project. Test automation will also improve the stabilization of functionality and generate desired outcomes more effectively and efficiently. AST will use PractiTest as a test automation tool and will finalize this tool choice after discussions with the County.

9. AST must maintain the Requirements Traceability Matrix (RTM) during all testing efforts. The County must have complete visibility of AST's test execution and results.

10. County will use early adopters (Pilot users) to test the new AAB system as part of the UAT or will work with AST during the discovery phase.

11. AST and their partner, NuHarbor Security, will conduct comprehensive security assessments and penetration tests to ensure the integrity and security of the new AAB system at no cost to the County.

F. Reports and Dashboards

1. During the discovery phase, AST will work with the SMC staffers to identify reports and dashboards to be created or modified. AST has estimated effort for up to 10 reports and 2 dashboards.

2. Internal users can easily customize reporting and dashboarding functionalities within the Salesforce platform. AST highly recommends that internal users undergo Salesforce Trailhead training sessions to become proficient in leveraging the reporting capabilities, enabling them to create and update additional reports and dashboards effectively. Access the training sessions here: **https://trailhead.salesforce.com/content/learn/modules/lex_implementation_reports_dashboards**.

G. Training

1. AST will organize and conduct formal 'train-the-trainer' training sessions. It will be SMC's responsibility to glean information from these sessions and tailor it to each role.

G. Training
2. AST will collaborate with the County on a high-level Training Strategy document that describes the general direction the County will take with training. AST will deliver a training plan document that provides the specific actions that will be taken to deliver the training strategy.
3. AST will be responsible for creating training materials based on County configurations in either Microsoft Word or PowerPoint or small videos as appropriate. Starting with the second sprint, AST will involve all relevant County personnel in a review of what has been developed.
4. AST expects SMC to achieve self-sufficiency in training their users and highly recommends staff to utilize https://trailhead.salesforce.com/ to grasp the basics of the platform. If additional assistance is required, it will need to be covered under managed services
5. AST will solely provide training on the functionality delivered for the solution. Salesforce basics must be acquired through https://trailhead.salesforce.com/

5 Project Schedule

The project schedule is outlined in **Section 17.1 Project Schedule**.

5.1. Project Documentation

AST shall use best practices in the development and maintenance of all Project documentation. At the end of each phase, all documentation must be completely accurate and up-to-date. At the completion of the project, AST shall conduct a review with the County and identify any documentation that must be updated as a result of changes during the go-live/hyper care period.

5.2. Project Document Repository

AST must maintain all documentation, along with all other Project Deliverables within the County SharePoint document management system. All generated documents must be editable by County staff using standard tools. Identified repository Box, Share drive, or email.

6 Project Team Structure

6.1. AST Team Structure

AST team structure is shown below:
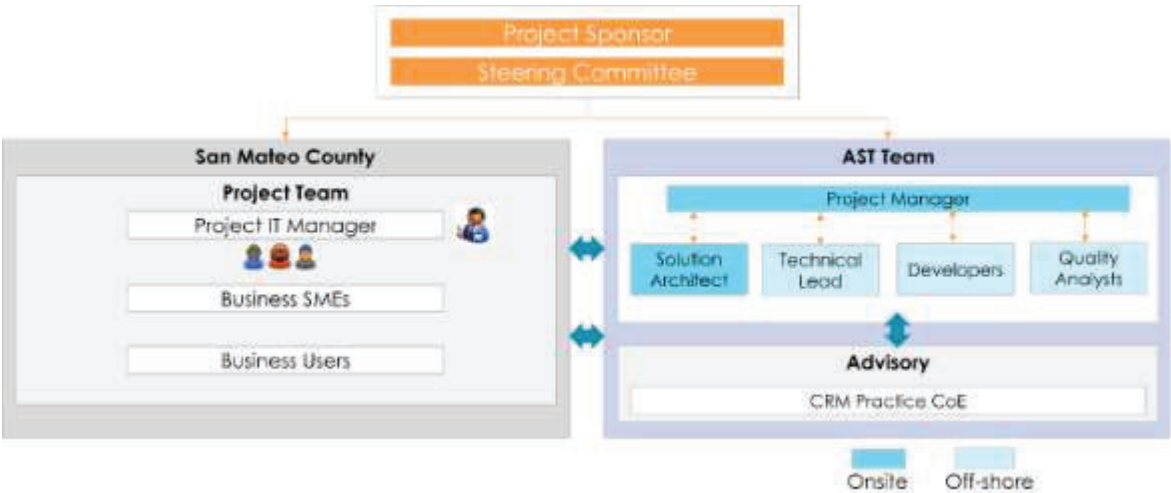
6.2.　　Project Staffing

With respect to AST personnel assigned to the Project, including their specific roles, onshore and offshore location, and allocation, the parties hereby incorporate by reference AST's November 11, 2024, responses to the County's follow-up questions during the RFP process, a redacted copy of which is attached hereto as Exhibit A-4.

7　Customizations & Modifications

Salesforce applications come with built-in functionality. It is the County's intent to leverage standard functionality and configuration options provided within Salesforce applications. Configuration refers to the process of tailoring the Salesforce platform's settings, fields, workflows, and other features to meet specific business requirements without the need for custom code.

Customizations, on the other hand, involve modifying or extending Salesforce's functionality beyond its out-of-the-box capabilities. This may include creating new functionality, modifying existing features, or integrating with external systems. AST follows industry best practices in implementing requirements using Salesforce out-of-box features and configuration as far as possible, reducing the use of customization to avoid technical debt. Once design has been approved, if there is a change to the requirement/design or a new requirement, this may necessitate customization and may have to go through the Change Control process if it impacts timeline or budget. These shall be considered separately and will only be implemented after mutual agreement between SMC and AST.

In the proposed system AST estimates the ratio of customization to configurations to be 70% configuration / 30% customization. Anything above 30% of customization should be managed through a change control process. It is County's intention to leverage Salesforce out-of-the-box capabilities.

8　Scope Assumptions

8.1.　　Scope Assumptions

1. File uploads within the Salesforce application will be limited to 2GB per file. This does not pertain to the Community Portal which has a smaller limit as mentioned in item #3.

0. File uploads within the Salesforce application will be limited to PDF and IMG files only.

1.   File uploads to the Community Portal will be limited to a file size of up to 250MB per file.

2.   File uploads to the Community Portal will be limited to PDF and IMG files only.

3.   All file uploads will be stored in the file repository. This choice of file repository to be used will be determined during the discovery phase

4.   Integration with the file repository assumes a point-to-point integration or API integration as appropriate. If we need to use any other integration mechanism to connect, this will have to go through a change control process

5.   AST assumes that PaymentExpress has open APIs available that can be used to connect to the Payment Gateway. Any alternate form of integration to PaymentExpress will have to go through a Change Request

6.   Any additional licenses needed to procure APIs or licenses for PaymentExpress are the responsibility of the County.

7.   The number of emails sent from the system is limited to 5,000 per day.

8.   SMC will provide a subject matter expert for the APAS to help us understand the architecture and the object model.

9.   AST will employ Salesforce best practices and use configuration, when possible, rather than code.

10. The County is responsible for purchasing the Salesforce Service Cloud licenses for this project.

11. AST will be granted the necessary permissions and roles within the Salesforce environment to perform its tasks effectively. Access must be available on Day 1 of the project. In other words, the County must procure the license and set up AST users with the appropriate level of permission.

12. AST will follow OOTB Salesforce best practice for providing user control access which will part of configuration. Portal users will have access to all forms.

13. AST has not estimated the effort to configure Knowledge Management and therefore it is considered out of scope. Knowledge Management is a module within Salesforce which allows internal and external users to search FAQ articles stored within the Salesforce repository for Assessment Appeals.

14. There is no T&E planned for this project and if the need arises a change order must be mutually executed to add the funding for it.

15. AST will have access to up to 11 Salesforce licenses, six of which have the Salesforce Admin profile, to conduct its implementation. Additionally, we will need a Developer Sandbox, a Partial Copy (QA) Sandbox, and a Full Copy Sandbox (SIT/UAT).

16. For AST's ongoing support and managed services, AST will require three licenses.

17. Appeals based on a Tax Bill are not supported. We are only supporting appeals based on the Assessment Notice.

18. Email to case is not supported.

19. For applications submitted by mail or in person, the agent will create the necessary objects in Salesforce directly. For mail/in-person submissions, there will be no integration into the assessors' system to obtain property information and no integration with DocuSign for signatures.

20. Configuring a Mobile App is not in scope. Configuring an Android or IOS native Mobile App is not in scope. AST will ensure that the customer portal is responsive and renders well on mobile devices through the browser.

21. AST will build the Generation of Statements of Changes as a Salesforce report that can be downloaded as a PDF. The content of the report is subject to the availability of the fields and objects within the report

22. For the requirement of pulling copies of applications for a specific agenda and combine all copies of the application into one PDF file., AST will use the most feasible out-of-box solution available. This requirement may be addressed differently, within the capabilities of the Salesforce platform.

23. If the County selected integration tools are changed, they must have built-in Salesforce connectors to stay within our estimated effort.

24. The only open-source tools that will be used by AST are for purposes of development and testing. No open-source tools will be used as part of the solution.

25. Contractor shall lists all Open Source, Contractor-owned Materials/tools, and AppExchange software/tools that Contractor intends to use on this Project. County and Contractor will review the list of open source software/tools, as well as the intended Contractor-owned Materials/tools and AppExchange software during the Discovery Phase of the Project to confirm it will meet the needs of the County. Contractor will not work with, embed, incorporate or otherwise utilize open source Software, Contractor-owned Materials/tools, or any Apps from the Salesforce AppExchange in performing the Services without County's express prior written approval, which may be withheld at County's discretion. To the extent such restrictions or (re-) disclosure obligations derive from the open-source license terms, Contractor shall inform the County of such restrictions and obligations in writing. In the event the County decides not to leverage Contractor's proposed open-source software, Contractor will recommend alternative software which may include additional costs. County is responsible for assuming any additional costs associated with alternatives to the open-source software recommended by Contractor.

8.2.   Data Migration Assumptions

1. AST will migrate up to:

    a.   50,418 appeals in the Reflection Workspace.

2. AST will work along with SMC staff for data extraction and cleanse for all data that needs to be migrated (structured – rows and columns). All data extracted by SMC will have a unique identifier and if related to another record (such as a contact related to an account) the relation's unique identifier will be in the table as well.

3. AST will import the data provided by SMC and will return a resulting CSV that contains any errors with the data. SMC staff will be responsible for correcting any errors in the data.

4. If data is being compiled from paper sources, it will be SMC's responsibility to manually enter the data into the templates provided by AST.

5. Data migration takes a significant amount of time, AST expects that SMC staff will start early in the project getting data ready for import.

6. Backup and rollback procedures will be established in case of any data migration issues or unexpected data loss.

8.3.   Integration Assumptions

1. AST will meet all requirements identified in Exhibit A-2 (Technical Requirements) not related to SMC's agreement with Salesforce and the Salesforce product.

2. For any API calls from Salesforce to an external system agreed to during the requirements process, the SMC will provide at a minimum the following at the kickoff:

    a.   Endpoint

    b.   Credentials

    c.   JSON example payload(s)

> d. JSON response(s)

3. Any performance degradation caused by external systems will not be the responsibility of AST.

4. Any integration issues caused by external systems will be resolved by SMC's staff in a timely manner.

5. AST will apply the standards for Salesforce APIs for any integrations stemming from this statement of work.

6. Data synchronization schedules and frequencies will be defined and agreed upon for all integrated systems.

7. Any additional costs associated with third-party API usage, such as licensing fees or transaction costs, will be covered by SMC.

8. Any required API changes, updates, or maintenance from third-party providers will be communicated promptly by SMC to AST to ensure uninterrupted service.

9. All integrations can be satisfied without the need for third-party middleware.

10. There will be no integrations with any finance system to send payment transaction data.

11. Refunds of payment are not in scope.

12. Functionality for E-signatures and document creation will be limited to the capabilities of DocuSign.

13. Any additional functionality needed that is not available out-of-the-box with Docs Made Easy, the file storage system, Grant Street Group or Okta, will have to go through the Change Control process.

14. The files uploaded to the file repository will be uploaded to a single location, and not to a folder structure.

8.4.   Security

1. Testing will be conducted during normal business hours.

2. All work will be performed remotely unless otherwise specified.

3. Engagement is limited to the predefined scope.

4. Proper backups of systems under test will be maintained by AST.

5. Additional costs for travel and lodging will apply if on-site testing is required.

8.5.   Contingency

8.5.1   Unforeseen Delays

1. In the event of unforeseen delays that are beyond the control of both parties but not attributable to force majeure events (as defined in the Agreement), the affected party shall promptly notify the other party, outlining the nature of the delay and its anticipated duration.

2. Both parties will collaborate to identify measures to minimize the impact of the delay and expedite the project's progress.

3. If unforeseen delays affect project timelines, the project schedule and milestones may be extended as necessary to accommodate the delay, subject to mutual agreement.

4. In cases of prolonged or significant delays, both parties will engage in good faith negotiations to assess the impact on project scope, budget, and timelines. Adjustments or amendments to the project plan may be considered based on the circumstances.

9   Roles and Responsibilities

9.1.   Staff Roles and Time Commitments: SMC

Listed below are the expected SMC roles, the approximate time commitments over the course of the project, and required skill sets for each group. At the discretion of the SMC and in consultation with AST, to support potential resource gaps, some of these roles may be filled by third-party consultants.

Table 1 Expected Roles and Responsibilities: SMC

Role	Est. # of Staff	Role/Skills	% Time Commitment
Project Sponsor	1	Guide and direct the project team. Decision making ability and leadership.	5%
Project Manager	1	Ability to manage large projects. understanding of SMC business processes and approval hierarchy	50%
Departmental Subject Matter Experts (SMEs)	4-5	Deep understanding of SMC policies and procedures for the functional areas.	35%
Technical Analyst/ Webmaster	1-2	Programming experience with the SMC website for integrating Salesforce webform with the SMC website	25%
To-Be Systems Administrators	1	Attends Salesforce Trailhead administration training - certifications available at the SMC's expense Assumes responsibility for system administration post-go-live	25%
Network Admin	1	Knowledge of the current systems, networking infrastructure and capacity	5%

Additionally, the SMC may assign backup SMEs and department representatives as required and decide by the SMC Project Sponsor in consultation with AST.

9.2.   Roles & Responsibilities: AST and SMC

The table below identifies the lead responsibility for the important tasks on the project.

Table *2 Project Roles & Responsibilities*

Role/Resource	Responsibility	AST	SMC
Project Manager	Project Planning	Co-Lead	Co-Lead
	Project Management	Co-Lead	Co-Lead

	Status Reporting and Project Team Communication	Lead	Assist
	Issues Resolution Management	Co-Lead	Co-Lead
	Consulting Resource Allocation	Lead	N/A
	SMC Resource Allocation	N/A	Lead
	Scope Control	Co-Lead	Co-Lead
	Project Communication to Stakeholders	Assist	Lead
	Deliverable Acceptance	N/A	Lead
Technical & Functional Team	Instance Planning and Deployment	Lead	Assist
	Requirements Validation	Lead	Assist
	Solution Design	Lead	Assist
	System Configuration	Lead	Assist
	Issue Resolution	Lead	Assist
	Create System Test Plans	Lead	Assist
	Create UAT Test Scripts	Assist	Lead
	Unit and QA Testing	Lead	N/A
	Sprint Validation Testing	N/A	Lead
	System Testing	Lead	Assist
	User Acceptance Testing	Assist	Lead
	Create Training Material (Train-the-Trainer)	Lead	Assist
	Deliver Train-The-Trainer Sessions	Lead	Assist
	Set Up New Users	Lead	Assist
	Coordinate with Salesforce for any Service Requests	Lead	Assist

9.2.1 Roles and Responsibilities for Data Migration

Task	AST	SMC
Pre-Kickoff Data Quality Assessment and Clean-up	Assist	Lead
Conversion Analysis of Existing Legacy Data	Lead	Assist

Data Migration Plan	Lead	Assist
Identification of Complex Objects and Objects that Require Special Handling	Lead	Assist
Identification of Invalid Objects in Legacy Data Sources	Lead	Assist
Crosswalk Development from Legacy Systems to New System	Lead	Assist
Configure Data Pipeline between Legacy Systems and Target Tables	Lead	Assist
Developing and Testing of Conversions	Lead	Assist
Extraction and Migration of Data from Legacy Systems to Target Training Tables	Lead	Assist
Confirmation and Validation of Converted Data in Training Tables	Assist	Lead
Review and Correct Errors	Lead	Assist
Approval/Signoff of Converted Data in Training Database	Assist	Lead
Load Converted Data into Live Database	Lead	Assist
Confirmation of Converted Data into Live Database	Assist	Lead
Final Validation, Approval/Signoff of Converted Data in Live Database	Assist	Lead

9.2.2 Responsibility Levels: Description & Definition

Description	Definition
Lead	The party that is responsible for performing the task and performing the majority of the work.
Co-Lead	The parties shall share responsibilities for performing the tasks and work, and for escalating any disputed items to the proper executive in accordance with the dispute resolution procedure set forth in the Agreement.
Assist	The parties assist in actively creating part of the Deliverable or performing the activity

9.3. Client Obligations and Responsibilities

1. SMC is responsible for procuring and maintaining Salesforce and third-party (if applicable) licenses required for the solution. All licenses and administrative access to the environments must be available to AST at project kickoff.

2. SMC will grant AST administrator permission and roles within the Salesforce environments at kickoff.

3. The designated SMC users will be available during the project for the interview, system demonstrations, system testing, decision-making, and other tasks related to this project. These designated users would be decision-makers.

4. SMC will make documentation including forms, approval process documentation, and data related to the existing applications available to the AST project team before the Discovery phase.

5. SMC will provide the content and format for email templates used in notifications before the start of the Build phase.

6. SMC will provide logos and any related branding data before the start of the Build phase.

7. SMC will provide UAT test scripts/scenario before the start of the SIT phase.

8. SMC will provide a list of users and user roles before the start of the UAT phase.

9. SMC will provide the appropriate staff, availability, and decision timelines to adhere to the project plan.

10. SMC and AST will adhere to the due dates agreed upon in the project RAID log.

11. SMC will maintain effective communication channels and designate a primary point of contact for the project to facilitate coordination and decision-making.

12. SMC will be responsible for making facilities available and the required infrastructure ready for tasks like training, conference room pilots, system testing and other events if required.

13. SMC will provide a signed milestone acceptance certificate form within 5 days of submission.

14. SMC will be responsible for end user training.

15. SMC will be expected to test the application at the end of each sprint before the close of the next sprint, and log issues in Jira. AST recommends concluding testing within five business days or a mutually agreed upon amount of time (if it does not delay the development timeline defined in section 1.26) after the demo is given. Issues will be classified as bugs or enhancements, depending on whether it was detailed in the approved user story or not. SMC acknowledges that issues classified as enhancements and requested by SMC which cause delays in the Development Timeline (as defined in section 1.26), will require a Change Order to be executed.

16. SMC will provide signoff on each user story within Jira. SMC resources will be provided with access to the AST Jira project.

17. SMC will make documentation, computer programs, and data related to the existing applications available to the AST project team per the due dates set in the RAID log.

18. SMC will provide appropriate staff, availability, and decision timelines to adhere to the project plan.

19. Any changes to the project scope, timeline, or deliverables will be subject to a formal change request process, including approval and documentation.

20. SMC will maintain effective communication channels and designate a primary point of contact for the project to facilitate coordination and decision-making.

21. Project milestones, tasks, and deadlines will be met according to the project plan and RAID log.

22. SMC will ensure compliance with industry regulations, data privacy laws, and other legal requirements, obtaining regulatory approvals or certifications as needed.

23. SMC will actively engage stakeholders, including end-users and project sponsors, throughout the project, ensuring their availability for feedback, approvals, and decision-making.

24. SMC will ensure that the necessary data for migration, integration, and testing purposes is accessible, accurate, and of sufficient quality to be imported into Salesforce.

25. Middleware, if needed, shall be the responsibility of the SMC. This includes procuring necessary licenses and providing any needed resources to create integrations using middleware.

26. SMC agrees to AST's global delivery model. Data residency is always maintained in the US, but projects will be staffed with global staff, including staff from outside of the US, who will need access to Salesforce, MuleSoft and other relevant environments used in the engagement.

27. All file uploads will be stored in the file repository. This choice of file repository to be used will be determined during the discovery phase, no later than the 2nd week of discovery

28. All County chosen integration tools and systems to integrate to, will be required to have Open APIs, Development support and development documentation.

29. If SMC is unable to adhere to the aforementioned assumptions, this may invoke the Change Control Process.

9.4.   AST Artifact Deliverables

AST will provide the following artifact deliverables for acceptance.

- Project Plan
- Updated Requirements Traceability Matrix (RTM)
- Solution Design Document
- User Stories
- Weekly Status Reports
- Monthly Steering Committee Reports
- Data Migration Plan
- Test Strategy & Testing Plan
- Deployment Plan
- Training Plan
- Training Manuals, Guides, Videos and Materials

10 Project Governance

10.1.   Project Organization

AST shall work with SMC to establish a project governance structure consisting of consultants, users, and IT staff. The project shall be led by AST in close coordination with the SMC management team to create a totally synergistic approach to project management and promote the most effective communication throughout the project.

10.2.   Communication Plan

AST will establish a clear set of project controls and a communication plan upon project start-up. This includes:

- Escalation Process
  - Define a clear hierarchy for issue escalation, including who to contact first, second, and so on.
  - Specify the timeframes within which issues must be escalated and resolved.
  - Describe the criteria for determining which issues warrant escalation (e.g., severity, impact on project goals).
  - Outline the communication channels and methods to be used during the escalation process.
  - All outstanding issues and risks will be listed in the weekly status reports and will be discussed at the weekly status meetings.
  - If any issue marked as "critical" is not resolved in weekly status meeting, then the issue will be escalated to AST management and County Management to ensure quick resolution.
- Stakeholder Communication
  - Identify all relevant project stakeholders, including their roles and interests.
  - Define the frequency and content of communication with each stakeholder group.
  - Specify the preferred communication channels for different stakeholders (e.g., email, meetings, reports).
  - Clarify how feedback and input from stakeholders will be collected and incorporated into project decisions.
- Crisis Communication
  - Designate a crisis response team or individuals responsible for initiating and managing crisis communication.
  - Define what constitutes a critical project issue or crisis, providing clear criteria for identification.
  - Outline a predefined crisis communication plan, including who will be notified, how often updates will be provided, and through which channels.
  - Specify the steps for documenting and learning from crises to prevent future occurrences.
- Weekly project status report
  - Review project plan status – planned vs. actual
  - Review the status of items on project issue list
  - Review tasks/milestones due for the next week
- Monthly Steering Committee Meeting
  - Review project plan status – planned vs. actual
  - Review tasks/milestones due for the next month
  - Approve/prioritize change requests
- Project Communication will include:
  - Status reports
  - RAID log
  - Jira task collaboration

10.3. Escalations Management

AAB Project team will focus on the early identification and resolution of risks and potential issues. Risks and issues will be tracked continuously. All open issues and risks will be assigned an owner and a date by which a resolution is required.

All outstanding issues and risks will be listed in the weekly status reports and will be discussed at the weekly status meetings at the AAB Program Management Team.

If any issue marked as "critical" is not resolved in weekly status meeting, then the issue will be escalated to AST management and County Management to ensure quick resolution.

10.3.1 Issue Resolution

The foremost objective of the issue resolution process is to have the issues resolved as effectively and efficiently as possible. As appropriate, this may or may not require application of the escalation process. The issue tracking and resolution process includes:

1. AST shall maintain an action item/issue tracker (RAID Log) to track all open issues/action items.
2. All open issues and risks will be assigned an owner and a date by which a resolution is required.
3. An issue shall be considered to be open so long as there is a pending action for either AST or the County.
4. The AAB Program Management team will review the open issues on a weekly basis.
5. If the AST offshore team has questions, then the AST Project/Program Manager will follow up with County Program Manager.
6. Status of open issues will be provided in the weekly status report from AST and the County project team to the County Program Manager and will be discussed in weekly progress meetings.
7. Critical issues will be reported to the Team Leads and the AAB Program Management team as they are identified, without consideration to the standard status reporting procedures.

10.3.2 Escalation

If an open issue cannot be resolved within the above issue resolution process, then the issue shall be escalated.

1. To resolve escalated issues, designated AST and County representatives will meet to discuss the concerns and interests.
2. If the issue remains unresolved within 2 business days of the due date, it may be escalated to County and AST Management.
3. AST or the County may escalate an open issue directly to their respective Management team.

10.4. Use of the RAID Log (Risk, Action, Issue, Decision)

To mitigate the impact on the project budget and timelines, and to facilitate proactive risk management, AST will work with SMC to manage the RAID Log. The RAID Log is used to document and assign the tasks related to project Risks, Actions, Issues and Decisions. The RAID log is maintained in Jira and will be included in the weekly status reports. The following defines each type of RAID log entry.

- **Identifying and mitigating Risks**: Risks are potential issues that can be identified in the project and may impact the project timeline, scope and overall success of the project. Once identified Risks should be associated with a mitigation plan. Risks that are not mitigated will become Issues.
- **Assigning and completing Actions**: Actions are task or to dos assigned to project stakeholders. Actions are not to be confused with configuration tasks which are assigned to

implementation resources within the Jira system. These Actions will be assigned to a resource and contain an agreed upon due date.

- **Identifying and mitigating Issues**: Issues are items that require immediate attention and depending on the severity will put the project in red status. Issues may be the result of missed Actions or unmitigated Risks, but they also may appear in the project due to other unforeseen circumstances. Issues should have a mitigation plan associated with them for immediate resolution.
- **Documenting Decisions:** All Decisions within the project are to be documented in the RAID log. Decision entries in the RAID Log should be stamped with the appropriate date decided and assigned to the authorized stakeholder who made the decision. The SMC and AST project management team will be mutually responsible for managing the RAID Log. Missed due dates, non-compliance with the agreed upon mitigation plans, may trigger the Change Control process if the failure to document causes delays to the Project timeline.

AST's approach to managing identified risks includes:

- **Risk Avoidance**: Altering project plans to sidestep risks entirely.
- **Risk Mitigation**: Reducing the probability or impact of risks by implementing control measures and backup plans.
- **Risk Transfer**: Outsourcing risk to third parties through insurance or contractual agreements.
- **Risk Acceptance**: Acknowledging and accepting the cost of specific risks when mitigation is not feasible.

In any project, unexpected changes may arise that require immediate attention. Our contingency plans include:

- **Identifying Trigger Events**: Establishing clear triggers that will initiate contingency actions.
- **Developing Action Plans**: Outlining steps, timelines, and resources for responding to various risk scenarios.
- **Allocating Resources**: Budget and personnel considerations specifically for managing potential high-impact risks.

Effective communication and documentation are essential to our risk management process:

- **Documentation**: All risk management activities will be thoroughly documented, maintaining records of risk assessments, response plans, and monitoring reports.
- **Communication**: Regular updates will be provided to all stakeholders, ensuring transparency and ongoing engagement with the risk management process.

Continuous monitoring and periodic review of the risk management process ensure that it remains effective and responsive to new information:

- **Regular Monitoring**: Ongoing tracking of existing and emerging risks using established, key risk indicators.
- **Periodic Review**: Scheduled reviews of the risk management plan to adapt to project changes, update strategies, and incorporate lessons learned.

10.5. Change Control

10.5.1 Process Overview

To minimize the risk of compromising project budget, timeline, milestones, and to facilitate change control, AST will work with the SMC to establish rigorous change control procedures. Our change control process involves:

- Identifying changes to the project scope, design or timeline
- Analyzing the impact of the changes

- Presenting the level of effort and revisions needed to the timeline
- Adding approved changes to the work plan

The SMC and AST project manager will review the scope of the project as stated in this SOW. The SMC project manager can approve change orders that do not increase the cost or delay the completion of the project.

The SMC's steering committee must approve any change that would affect the scope, timeline, resources, or cost. These changes include:

- Changes post sign off of design
- New Customizations post design sign off
- Amendments
- New Scope
- Unidentified requirements

To inform its decision, the steering committee will review a project change request (PCR).

The PCR describes the change and its:

- Scope
- Rationale
- Alternatives
- Time estimates
- Cost estimates
- Level of effort
- Required activities
- Outline of responsibilities

Resolution (acceptance or rejection) of the PCR will be documented on the PCR. If approved, both SMC's and AST's project managers will sign the PCR. Upon receiving an approved change order, a contract amendment will be prepared for approval. We will incorporate approved PCRs into the project work plan and assign them to the appropriate resources.

Figure 1 Scope Control Procedure
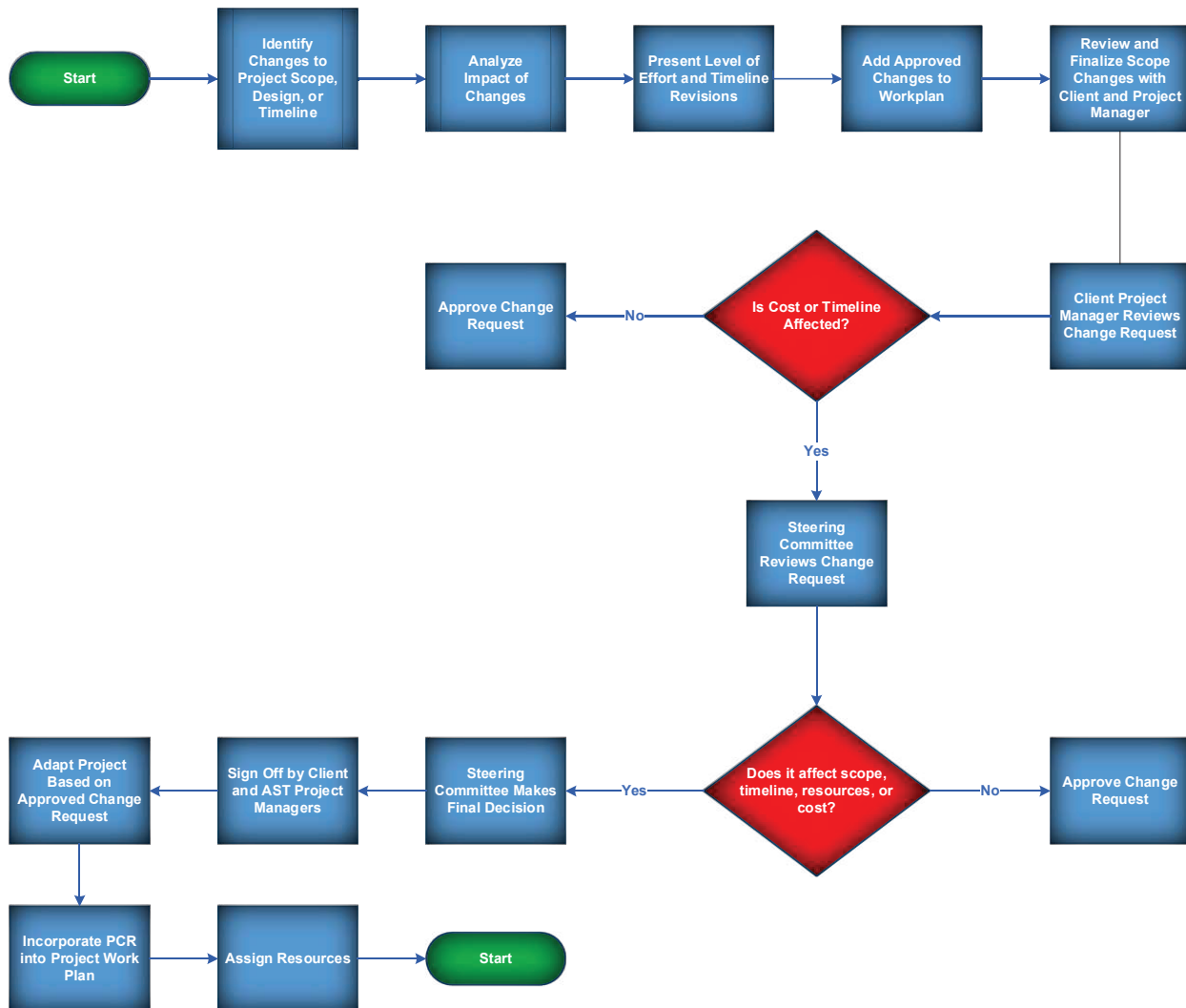
AST's project change management process utilizes Jira as the primary tool for tracking and documenting change requests. Jira is a widely recognized and industry-standard project management and issue tracking software that enables efficient collaboration, tracking, and documentation of changes throughout the project lifecycle.

10.5.2 Use of Jira for Change Request Management

1. **Submission of Change Requests:**

   ▫ Change requests shall be submitted through the Jira platform by authorized project stakeholders.

   ▫ Each change request shall include detailed information such as the nature of the change, justification, impact assessment, and any relevant documentation.

2. **Review and Approval Workflow:**

   ▫ Upon submission, change requests will undergo a structured review and approval process within Jira.

- Project stakeholders, including but not limited to the project manager, technical leads, and relevant subject matter experts, will be notified and required to review and provide input on change requests.
- Approval or rejection of change requests will be documented within Jira, with clear rationale provided for each decision.

3. **Tracking and Documentation:**

- Jira will serve as the central repository for all change requests, allowing for easy tracking and reference throughout the project.
- Each approved change request will be documented comprehensively within Jira, including any associated updates to project plans, schedules, budgets, and deliverables.

While Jira or an approved tool will be used for change request management in this project. , This ensures transparency, efficiency, and alignment between our company and the client throughout the change management process.

10.5.3 Urgent or Critical Change Requests

In any project, there may arise situations where urgent or critical changes are required that cannot wait for the regular change control cycles. These changes often demand immediate attention to address unforeseen issues, mitigate risks, or capitalize on emerging opportunities. To ensure effective management of such changes, we have developed a comprehensive process outlined below.

1. **Identification of Urgent or Critical Changes:**

- Project team members, stakeholders, or any involved parties should immediately report any urgent or critical changes to the designated change manager or project manager.
- Criteria for urgent or critical changes should be clearly defined in the project documentation, outlining specific scenarios or circumstances that warrant immediate attention.

2. **Initial Assessment:**

- Upon receiving notification of an urgent or critical change, the change manager or project manager will conduct an initial assessment to determine the nature, impact, and urgency of the change.
- The assessment will involve evaluating the potential risks, benefits, resource requirements, and implications for project timelines, budgets, and deliverables.

3. **Emergency Change Review:**

- An emergency change review meeting will be convened promptly with key project stakeholders, including project sponsors, technical leads, subject matter experts, and relevant team members.
- The purpose of the emergency change review is to collectively assess the urgency, impact, and feasibility of the proposed change and make informed decisions regarding its implementation.

4. **Decision Making:**

- Based on the assessment and discussions during the emergency change review, a decision will be made regarding the approval or rejection of the urgent or critical change.
- If the change is approved, the necessary actions and resources will be allocated immediately to implement the change in accordance with project requirements and constraints.

5. **Documentation and Communication:**

- All decisions, actions, and outcomes related to the urgent or critical change will be documented promptly and comprehensively.
- Documentation will include details such as the rationale for the change, impact assessment, implementation plan, resource allocations, and any associated risks or dependencies.
- Communication channels will be utilized to inform all relevant stakeholders, including project team members, sponsors, clients, and other impacted parties, about the approved change and its implications.

6. **Implementation and Monitoring:**

- The approved urgent or critical change will be implemented expediently, with close monitoring of progress, performance, and any emerging issues.
- Project management tools and techniques will be employed to track the implementation process, ensure compliance with requirements, and mitigate any adverse effects on project objectives.
- Regular updates and status reports will be provided to stakeholders throughout the implementation phase to maintain transparency and alignment.

7. **Post-Implementation Review:**

- Following the implementation of the urgent or critical change, a post-implementation review will be conducted to evaluate its effectiveness, impact, and adherence to project objectives.
- Lessons learned from the change implementation process will be documented and incorporated into future project planning and management activities to enhance resilience and responsiveness.

10.5.4   Exceptions to Standard Change Control Procedures

Minor Enhancements

To efficiently manage minor enhancements without overloading the change control process, the following exceptions apply:

- **Definition of Minor Enhancements**: Enhancements such as renaming a field/label, changing the position of a field on a page, adding a field or a picklist value are considered minor.
- **Approval**: These enhancements do not require formal change orders unless they collectively exceed 8 hours of development effort per sprint.
- **Development and Testing Time Allocation**: Each minor enhancement is allocated development time, with an equal amount of time allotted for quality assurance (QA).

Impact on Other Functionalities

In instances where a minor enhancement inadvertently impacts other project functionalities, the following steps will be taken:

- **Initial Review and Pause**: Any enhancement found to impact additional functionalities beyond the original scope will be paused immediately.
- **Assessment and Decision**: A rapid assessment will be conducted to understand the broader impact. This includes evaluating the interconnected functionalities and estimating the additional effort required to accommodate the changes without disrupting the overall project integrity.
- **Change Control Re-Evaluation**: If the impact is significant, the enhancement will be rolled back, re-estimated, and processed through the standard change control procedures as outlined in **Section 10**.

- **Documentation**: All actions taken, including the initial findings, assessment, and final decisions, will be documented thoroughly in a Project Change Request (PCR) and tracked via Jira or an agreed upon tool.

Handling Overestimations

If concerns arise that the impact of enhancements has been underestimated, potentially triggering additional unintended work, the following protocol will be observed:

- **Advocate Review**: Project stakeholders, including technical leads and project managers, will review the concerns raised to determine if a reassessment of the enhancement's impact is warranted.
- **Re-evaluation Process**: Enhancements that are suspected of having a broader than anticipated impact will undergo a detailed re-evaluation to accurately gauge their effects on the project.
- **Adjustment and Approval**: Adjustments will be made based on the re-evaluation, and a revised approach will be subject to approval through the change control process.

11 Project Approach

11.1.   AST Salesforce Implementation Methodology

AST's Salesforce implementation methodology is based on a modified Agile Methodology which leverages Salesforce's implementation best practices. The following phases are conducted as part of the implementation and adhere to the timelines defined in this SOW.

- **Plan:** AST will establish, in coordination with the SMC, the necessary governance, tools, resources, and risk mitigation strategy to create and maintain a Project Management structure including coordination and collaboration with the SMC project management team. AST will work with SMC project members to validate and understand project scope, planning, and project organization. This work is performed prior to the official kickoff meeting and helps ensure the teams are aligned and ready to engage immediately after the formal project kickoff meeting is held.
- **Discover:** At the commencement of the discovery phase, AST will lead a formal project kickoff meeting to align all stakeholders with the scope, timeline and project governance plan. Immediately following the kickoff, AST will lead a series of discovery workshops, previously defined and scheduled during the planning phase, which are designed to deep dive into existing and future SMC functional and technical requirements, business processes, data analysis and align on the solution expectations. The SMC's core team of technical and functional subject matter experts are expected to be available for each session and prepared with operational knowledge and supporting artifacts to provide AST with the necessary data to create a comprehensive solution design.
- **Design:** Upon completion of the discovery phase the project will transition to the design phase. During the design phase, AST will leverage the information obtained during the discovery phase to create user stories, wireframes, solution architecture, a data migration plan, an environment plan, a test plan, test scripts, an integration plan and solution design document for approval. During this phase AST will also stand up the environments used for development and testing and ensure the foundational setup has been performed to be ready for the delivery phase. The design phase will require validation meetings with the SMC's core team and formal acceptance of the design at the phase's conclusion.
- **Deliver:** Upon the SMC's formal acceptance of the solution design the project will transition to the Deliver phase. This phase is comprised of four key areas: build, solution validation, System Integration Testing (SIT) and User Acceptance Testing (UAT). During build, AST will

define a series of 3-week sprints. The intention of breaking the build process into sprints is to allow iterative feedback during the build cycles. ach sprint will consist of a defined set of user stories and the configuration tasks and Quality Assurance (QA) test scripts to be executed by AST resources, to support those user stories during the 3-week sprint cycle. Each sprint will conclude with a demonstration of what was configured during the sprint to support the defined set of user stories. As part of the iterative process, at the conclusion of a sprint, the SMC team will need to validate the configuration to support those user stories. The feedback is critical to ensure that minor iterative changes can be made in the subsequent sprint. Since the subsequent sprint consists of two weeks of development and one week of QA and bug fixes it is critical that we receive the feedback prior to the development period of the sprint concluding. This testing helps ensure the SMC does not wait until UAT to validate the approved design and solution are being configured as approved. In addition, software will be tested by AST prior to sprint UAT/Demo using any SMC-supplied test cases as well as AST-generated test cases. During each sprint, AST will conduct unit testing (by the developer) followed by QA testing using AST-generated test scripts prior to sprint demos and post-sprint testing by SMC and associated users. Although minor changes are anticipated as part of the solution validation, any changes to the approved design, additional scope, or major enhancements to what was already built will be identified and go through the change control process. Upon completion of all sprints, the project will move into SIT. SIT is the final step before UAT and is designed to complete a full end-to-end testing of the solution, including integrations with other applications. Led by AST, SIT will still require involvement from the SMC core team, especially those SMEs and integration administrators. It is not anticipated that any design changes will be made during SIT unless the SMC deems them critical to the solution. If critical, the SMC and AST will move to the change control process. Upon completion of SIT, the project will be transitioned into UAT. As UAT is a critical stage of the project and is essential for SMC to sign off before deployment, AST has described the process and expectations in **Section 14.3** of the SOW. AST will meet the acceptance criteria defined in Exhibit A-3 - Acceptance Criteria before exiting the UAT. Upon completion of UAT, the SMC will provide AST with a "Go / No Go" decision. With a Go Decision, the project will transition to the deployment stage.

- **Deploy:** Once a "Go" decision has been made by the SMC, AST will begin the deployment process following the deployment plan. AST will deliver the "train the trainer" sessions, create the final deployment package, migrate any remaining production data, and deploy the solution into production. Once successfully deployed and smoke testing is performed, the solution will be considered Live and users can begin fully utilizing the solution. After the system is live, AST will support the solution for the period defined in the SOW. Final knowledge transfer and documentation will also be delivered as part of this phase.

Project Phase	Deliverables
Planning	Business Requirements Document (BRD) Functional & Non-Functional Requirements Project Plan Project Management and Governance Model
Discovery & Detailed Design	Solution Design Document System Architecture Design User Stories Process Flow Diagrams UX/UI Wireframes Sandbox setups and environment management plan

Configuration and Development	Developed Case Management System
	Object Data Model Data Mapping & Migration Scripts Development Documentation
	Sprint Demonstrations
Testing & Validation	Test Plans
	Test Cases for Functional and Non-Functional Requirements UAT Support
	UAT Execution Report and Dashboard Defect Logs & Fixes
Deployment & Go-Live	Deployment Checklist Training Materials
	User and Admin User Training Sessions Production Release Notes
	Hypercare
Post-Go-Live & Optimization	Project Closure Report

11.2. Environment Management

AST shall be responsible for maintenance and operations of all AAB System functionality developed in pre-production environments such as development, testing, training and staging. The number of environments will be further reviewed and finalized during the Discovery Phase and will be updated as required through the Change Control Procedures. AST shall provide an Environment Management Plan to detail the activities involved in the set-up, management and maintenance of the various production and pre-production environments required for the AAB system. The Environment Management Plan shall identify the methods and tools used to automate, monitor, and manage the various environments to ensure the agreed upon availability. The plan shall, at a minimum, include:

- Identification of all environments required for the project
- Schedule for setting up each identified environment
- Strategy for monitoring and managing all the environments
- Plan for resolving environment defects
- Strategy for upgrade and maintenance of all the environments

11.3. User Acceptance Testing (UAT) Approach

AST employs an industry-standard best practice approach to User Acceptance Testing.

1. UAT will have a defined start and end date as part of the UAT plan. Adherence to the timeframe is critical. The SMC is expected to ensure the availability of its test users during the defined timeframe to ensure the plan can be executed on time.

2. User Acceptance Testing will be conducted in the UAT environment. This Salesforce sandbox will need to be the full copy of the production environment provided by the Salesforce license agreement. This environment will be used to load test data.

3. AST will load a sub-set of real data into the UAT environment prior to the UAT start. AST should load the data in its final state to UAT at least 1 week prior to the start of SIT (System Integration

Testing) - which is the phase immediately preceding the UAT phase. These dates will be outlined in the data migration plan.

4. All UAT test scripts will be provided by SMC in its final state prior to the start of SIT (System Integration Testing) - which is the phase immediately preceding the UAT phase. Although AST will share its SIT tests scripts with the SMC it is expected that the SMC will create their own test scripts using real department use cases and data.

5. SMC will engage pilot customers as part of the UAT to test the customer portal.

6. AST will conduct a UAT kick-off session prior to UAT, outlining the purpose of the UAT, it's entry and exit criteria.

7. AST and SMC project managers will work together to determine the UAT entry and exit criteria prior to the start of SIT.

8. AST shall meet all terms identified in Exhibit A-3 – Acceptance Criteria to exit the UAT Phase.

9. Any delays in following the UAT schedule due to lack of availability of testers or requests received by testers to change the design will result in a Change Order.

10. It is SMC's responsibility to ensure that all the UAT testers are involved from the start of the project and be knowledge of the solution that was designed and built.

11. All bugs logged during UAT will be prioritized jointly by AST and SMC. AST commits to resolving or finding acceptable solutions for all P1, P2 and P3 bugs prior to production deployment. P4 bugs will be resolved, or acceptable solutions found, during Hypercare. All enhancements will be logged in Jira but considered for a future phase.

12. Definitions of bugs:

    a. Priority1

        i. Typically called "**Fatal**" defects.

        ii. Result in total loss of functionality of the AAB system, inability to access the system. The defect prevents the System from meeting the majority of the County requirements.

        iii. Defect may cause massive performance degradation, data corruption, data loss, and/or security violation. For example:

        iv. Users are unable to connect to or use the system to support essential functions

        v. Unable to process submitted appeal applications, withdrawals, hearing calendar date requests, stipulations, amendments;

        vi. No correspondence is produced;

        vii. Unable to create an account online for property owners

    b. Priority 2

        i. Typically called "Major" defects

        ii. Result in significant loss of functionality. A part of the system, module/component feature does not work, or the whole feature does not work in some situations. The defect prevents a major function of the System from meeting the AAB Clerk's requirements and there is no effective work around to meet these requirements.

        iii. An incident where the system/application is operating with severe restrictions and no acceptable workaround exists (for example, performance is unacceptably slow) or consistent intermittent outages and/or failure of the production system, interfering with normal operations. For example:

  iv. Unable to populate existing information related to an appeal;

  v. Not allowing the AAB Clerk to search, view and sort appeals using a range of search parameters;

  vi. Required correspondence not generated

  vii. Navigation/links do not work per requirements

c. Priority 3

  i. Typically called "Minor" defects

  ii. Level of functionality of product, or module/component of the system is degraded, but not preventing normal operation. Some functionality cannot be utilized.

  iii. An incident where an acceptable workaround exists. Most of the functions are still usable with some circumvention to establish normal service.

  iv. Non-critical functionality is not working per requirements. For example:

    1. Correspondence/Report format is wrong

    2. Incorrect error messages

d. Priority 4

  i. Typically called "Cosmetic" defects

  ii. A production system/application problem isolated to a few users and/or non-critical tasks.

  iii. User interface errors like placement of icons and buttons, field layout, spelling mistakes, unclear error messages, incoherencies but no functionality is impacted

11.4. Training Approach

AST shall provide the SMC training using the "Train-the-Trainer" model. AST shall be responsible for creating training materials based on SMC configurations and will train SMC-designated trainers so that they can conduct end user training. The SMC also may enhance the training material by adding non-system-related policies, user procedures and other comments but this will be solely the responsibility of SMC staffers. AST staff will produce either Microsoft Word or PowerPoint documents or short videos or a combination of some of these materials.

AST's training is focused on the application(s) built for the SMC and not as comprehensive Salesforce platform training. It is expected that the SMC will leverage the free training available from Salesforce at https://trailhead.salesforce.com/ for platform training.

AST recommends that any SMC staff who will be administering the platform achieve the Salesforce Admin Certification. Salesforce has a pre-built training module that they estimate will take a total of 70 hours to progress through which will give the admin the tools to understand how to administer the platform. For the Public Sector Foundation there is an additional 5 hours of training in the Explore the Public Sector Toolkit and Modernize the Constituent Experience with Public Sector Solutions modules.

The following table sets forth the responsibilities for the provision of training to users of the new system.

Table 3 Training Roles and Responsibilities

Training Task	Responsibility		Comments
	SMC	AST	

Conduct Training Needs Analysis	Lead	Assist	
Provide Training Site	Lead	NA	
Setup Training Computers	Lead	NA	
Create Initial Training Material	NA	Lead	
Add SMC procedural notes, and policies to training material	Lead	NA	
QA Training Material	Lead	Lead	Both responsible
Prepare Training Sites (daily)	Lead		
Deliver Train-The-Trainer Training	NA	Lead	
Develop Training Schedule	Lead	Assist	
Deliver End User Training	Lead	NA	

12 Deliverable Acceptance Process

Definition of "Deliverable": A deliverable refers to any tangible outcome or result produced as part of the project, which may include but is not limited to software components, documentation, reports, or any other agreed-upon work product.

12.1. Process Overview

The following process outlines the acceptance procedure and criteria for the review, testing, and inspection of all Deliverables by both parties.

12.2. System Deliverables Acceptance

Upon the completion of a system event an AST project manager will submit a deliverable approval request certificate to the SMC project manager. Upon receipt of AST's submission, the SMC's project manager will verify the completion of the system event and provide acceptance within five (5) business days or mutually agreed by both AST and SMC.

12.3. Non-System Deliverables Acceptance

1. All completed non-system deliverables will be reviewed by AST's project manager and uploaded to the designated project repository/network folder.

2. The AST project manager will notify the SMC project manager and submit a Deliverable Acceptance Certificate or denote acceptance in the RAID log.

3. Upon AST's submission of a completed Deliverable, the SMC shall review the Deliverable and either approve it or notify AST of discrepancies and errors found within five (5) consecutive business days, unless otherwise agreed to in writing by the Project Managers of both parties.

12.4.   Revision Process

1. If revisions are required, the SMC project manager will collect and consolidate all required changes into one document and provide it to the AST project manager within the stipulated time period.

2. AST will then revise the Deliverable or provide an explanations for accepting it "as is."

3. Upon receipt of the revised Deliverable or explanations, the SMC project manager will verify the changes and accept the Deliverable within five (5) consecutive business days or a mutually agreed upon amount of time, as long as it does not delay the project timeline. To ensure that AST can provide the services within the stated timeline, AST allows two requested revisions. Any additional requested revision(s) may impact the project timeline and/or budget; therefore, all requested revisions beyond the second revision must be evaluated for impact by AST. AST will communicate the impact and the parties can mutually agree to the additional revision with full knowledge of the potential impact.

4. **Limitation on Revision Rounds:** Subject to the above clause, any revisions beyond the second round will be considered out of scope and may require additional negotiation regarding scope changes and associated costs.

12.5.   Consequences of Delayed Deliverable Acceptance

Delayed acceptance of deliverables may lead to impacts on project timelines, milestones, and payments. These impacts may include:

- Delays in subsequent project phases or milestones
- Potential budget overruns due to extended project durations
- Disruptions to resource allocation and scheduling
- Penalties as outlined in the project agreement

Specific Evaluation Criteria for Deliverables: The following criteria will be used to evaluate and accept or reject deliverables:

1. Adherence to specifications and requirements outlined in the project scope and documentation.

2. Completeness and accuracy of the deliverable, including all agreed-upon features, functionalities, and content.

3. Compliance with industry standards, best practices, and relevant regulations.

4. Performance and reliability of the deliverable under specified conditions and use cases.

5. Usability and user experience, ensuring accessibility, intuitiveness, and efficiency.

6. Documentation quality, including clarity, comprehensiveness, and relevance.

7. Alignment with project objectives, goals, and stakeholder expectations.

Acceptance: To ensure that AST can meet the stated project timeline, Acceptance approval or feedback must be received by AST within five (5) days from Deliverable submission, or a mutually agreeable date that does not delay the overall project timeline. The parties acknowledge that AST shall not be liable for any delay in the project, timeline nor budget change resulting from the date the Acceptance approval or feedback is received from the County.

Pre-Production Use: The SMC shall not use any Deliverable in a production environment or in the ordinary course of conducting their business before its Acceptance. Any such use is contrary to AST's best practice and professional advice therefore, the County acknowledges that AST shall not be liable for any errors or deficiencies related to and/or resulting from use contrary to AST's professional direction.

Final Acceptance: After the Acceptance of the final Deliverable of the Salesforce system, it is considered "Finally Accepted."

13 Postproduction Support

13.1.   Production Support (Hypercare)

Following the Go-Live event, AST shall provide twenty (20) consecutive business days of production support. This support will be provided by staff members from the implementation team and will only be performed on issues identified in the delivered solution. No enhancements to the system will be made at this stage. The services provided shall include:

- Coordinating with SMC's Help Desk to provide Level 2 and Level 3 Support for scoped data exchanges, interfaces, and database operations.
- Documenting and escalating issues to the project management team, using Jira, as necessary for resolution and deployment.
- Monitoring the system and promptly resolving issues to ensure optimal performance and functionality.
- Coordinating the reporting of product issues to Salesforce support and following up for patches/solutions, implementing them as needed.
- Transitioning open issues to the support services team at the end of the support period to ensure continuity of support.

14 Financials

14.1.   Project Schedule

Below is a high-level project timeline broken down by phases. The costs associated with this Statement of Work (SOW) are based on strict adherence to the timeline. Any delays caused by the client which affect the timeline will immediately trigger the change control process, resulting in a change order with the appropriate costs associated with the project delays.

Project dates are not established until signatures are obtained. The actual project start date is dependent on signatures and will commence 30 days post-signature or on the estimated timeline below, whichever is later.

Project Phase	Duration (weeks)
Discover	4weeks
Design	3 weeks
Deliver: Build, Solution Validation ("Development Timeline")	17 weeks
Deliver: SIT	4 weeks
Deliver: UAT	6 weeks
Deploy: Migrate to Production	2 Weeks

Deploy: Postproduction Support ("Hypercare")	4 weeks

14.2.   Financials: Project Deliverables

The following table includes all project deliverables by stage of the implementation. Based on the project status, the list of Milestone Deliverables can be modified/deleted/combined by the SMC and AST project managers with mutual written consent.

Del #	Project Milestone (System) Deliverables	% Due	Amount
P-01	Project Kickoff	15%	$ 145,105.80
P-02	Solution Design Accepted	10%	$ 96,737.20
P-03	100% of Sprints Completed	25%	$241,843.00
P-04	UAT Completed	15%	$ 145,105.80
P-05	Go-Live Deployment Completed	25%	$ 241,843.00
P-06	Postproduction Support Completed	10%	$ 96,737.20
Total			$967,372.00

The following represents the fees associated with the 12-month support services as outlined in Appendix A. Managed Services

Table 4 Fee Schedule - Managed Services

Year	Support Hours Per month	Managed Services Monthly Fee	Managed Services Annual Fee
1	135 Hours	$12,825	$153,900
2	135 Hours	$13,210	$158,517
3	135 Hours	$13,606	$163,273
4	135 Hours	$14,014	$168,171
5	135 Hours	$14,435	$173,216

A description of AST's Managed Services offering is detailed in Appendix A.

14.3.   Rates

San Mateo County acknowledges that other Salesforce-related services not covered under the scope of this SOW as detailed in Appendix A such as Project Work and/or Major Enhancements (modifications to delivered/implemented functionality requiring more than 40 service hours to complete), will be estimated and billed separate from the Managed Services hours, using the rates provided below.

Resources	Annual

Onshore Consultants	$200.00
Offshore Consultants	$65.00

The rates for Project Work are subject to an annual increase of the greater of 3% or CPI.
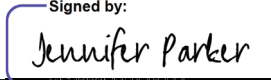
15 Approvals

Except to the extent otherwise expressly set forth in this SOW, this SOW is governed by the terms and conditions of the Agreement. This SOW may be modified only by a writing signed by both parties.

IN WITNESS WHEREOF, the parties have each caused this SOW to be signed and delivered by their duly authorized officers, all as of the date first set forth above.

Applications Software Technology LLC

Signed	*Signed by:* Jennifer Parker —BF7399ED7A13441...
Printed Name	Jennifer Parker
Title	Chief Sales Officer, Public Sector
Date	5/12/2025

San Mateo County

Signed	
Printed Name	
Title	
Date	

16 Appendices

1   Appendix A: Managed Services Support

Managed 'Support' Services for Salesforce includes:

- Routine Support
- Routine Maintenance
- Enhancement Services

2 Applications in Scope

SMC has deployed Salesforce solutions including the applications listed below; referred to herein as their 'Salesforce environment'.

The scope of work is to provide managed/support services for the Salesforce environment, which includes the following implemented Salesforce applications/components ("Applications in Scope") and underlying technology/infrastructure:

Table 5 – Application Environment

Salesforce Application/Module
Electronic System for San Mateo County Assessment Appeals Board, including a Public Portal for Electronic Document Submission

2.1.   Scope of Work

AST will provide remote, managed services for SMC's Salesforce environment as described in Table 2 **'Applications in Scope'** with a combination of onshore and offshore resources.

The table below provides the detailed scope of services that will be provided under the category of 'Managed Services' as a part of this engagement.

Table 6 – Scope of Services – Managed Services

Service Type	Associated Tasks

Routine Support	■ Support Services:
	  ▫ Application support: end user, business process, and/or functional support
	  ▫ Technical support: for any customized components, including reports and integrations
	  ▫ Incident and/or problem management: for software or configuration defects
	  ▫ Configuration management: for modifications required to correct defects/problems with delivered/ implemented functionality

	▫ Change management: to coordinate the migration of system changes from a non-production (DEV/TEST) environment to the production environment	
	▫ Salesforce Support: working directly with Salesforce Support on service requests	
Routine Maintenance	▪ Release management for three annual updates:	
	▫ Coordination of update tasks, including pre/post-update activities	
	▫ Issue/defect resolution (coordination with Salesforce Support and/or Testing team)	
	▫ Assessment & impact analysis	
	▫ Provide estimates for new functionality enhancements/process changes available with updates	
	▪ Instance management:	
	▫ Coordination/scheduling of production to non-production (P2T) clones/refreshes	
	▫ Execution of pre/post-clone tasks	
Enhancement Services	Enhancement services will be provided for the following areas and/or to address the following tasks:	
	▪ Minor enhancements - modifications to delivered/implemented functionality requiring no more than 40 service hours to complete. These include changes to the existing configurations, reports, and/or interfaces. The AST team will review enhancement requests, provide estimates and start the work only after a formal approval.	

AST will provide Service Level 2 and 3 (as defined in the table below) support services for SMC's Salesforce environment:

Table 7 – Support Level Definitions

IT Support Level	Function	Support Methodology	Organization Responsible
Tier 0 / L0	Self-help and user-retrieved information	Users retrieve support information from web and mobile pages or apps, including FAQs, detailed product and technical information, blog posts, manuals, and search functions. Users also use apps to access service catalogs where they can request and receive services without involving the IT staff. Email, web forms, and social platforms such as Microsoft Teams®, are used to send questions and requests to upper support tiers or company personnel. Customer forums allow users to crowdsource solutions, usually without input from company personnel.	Salesforce Self-Help pages can be enabled for Level 0 support
Tier 1/ L1	Basic help desk resolution and	Support for basic customer issues, such as solving connectivity, usage (such as business	SMC

IT Support Level	Function	Support Methodology	Organization Responsible
	service desk delivery	process questions) problems and/or fulfilling low-level service desk requests that require IT involvement, such as access requests. If no solution is available, Tier 1 personnel escalate incidents to a higher tier.	
Tier 2/ L2	In-depth functional and/or application support	Experienced and knowledgeable support analysts, business analysts and/or Subject Matter Experts (SMEs) assess issues and provide solutions for problems that cannot be handled by Tier 1. If no solution is available, Tier 2 support escalates the incident to Tier 3.	AST Managed Services
Tier 3/ L3	Expert product and service support	Access to functional and technical resources with the highest level of product expertise for problem resolution and/or new feature creation. For problem resolution, Tier 3 analysts will attempt to replicate problems and determine root causes; using product designs, code, and/or specifications. Once a cause is identified, the analyst decides whether to create a new fix, depending on the cause of the problem. New fixes are documented for use/reference by Tier 1 and Tier 2 personnel. Tier 3 analysts will also be leveraged for the design and implementation of new features (enhancements).	AST Managed Services
Tier 4/ L4	Outside support for problems not supported by the organization	Contracted support for items provided by but not directly serviced by the organization, including printer support, vendor software support, machine maintenance, depot support, and other outsourced services. Problems and/or requests are logged with Tier 4 support and monitored by the either the Tier 2 or Tier 3 analysts for responses, solutions and/or implementation instructions.	Salesforce Support

2.2. Service Execution

2.2.1 Methodology

AST's proprietary methodology, Enterprise Application Support Method (EASM), will be leveraged to provide the overall structure and governance for support services and provides the templates to be used for all support-related documentation. The templates will be utilized for support functions as necessary and when needed, the templates will be modified to fit SMC's requirements.

2.2.2 Support Phases

Service execution is typically conducted with the following phases. Note: the services listed are optional and can be waived if not required:

- Service Transition
  - Helpdesk / Service Desk / Service Strategy and Policy (Support Process)
  - Change Management strategy and policy (includes Instance Management and Release Management)
  - Knowledge Management Strategy and Policy (Knowledge Repository)
  - Knowledge transition sessions with the Implementation Team
  - SMC Support Team Orientation and Training
  - Advisory services for the preparation of and/or preparation of the Service Management System (Help Desk software) for tracking of Incidents, Problems, Enhancements, and Service Requests
  - Pre-Production rollout of support services with tracking of Salesforce-related requests in the Service Management System; shadowing the implementation team
  - Rollout of Service Governance & Controls (includes support team meetings and reporting)
- **Stabilization** – includes everything covered in the previous phase plus
  - User Support for Day-To-Day Functions
  - Break-fix / Defect/Bug-Fix Support
  - Technical fixes / Custom Component Support
  - Incident and Service Management
  - Problem Management / Root Cause Analysis
  - Minor Enhancements
  - Period Closure Support
  - Internal and External Audit Support
  - Instance Management
  - Salesforce Service Request & Patch support
  - Release Management / Quarterly Patching & Upgrade Support
- **Steady-State** and **Optimization** - includes everything covered in the previous phase plus
  - System Optimization - streamlining of business processes, minor enhancements for continuous improvements, and increasing automation capabilities
  - Service Optimization - streamlining of service operations, preventive maintenance, and proactive enhancements to reduce ticket volume, increasing automation capabilities

2.2.3 Support Process

A detailed process document with information related to the support and service desk processes will be drafted in coordination with SMC during the Service Transition Phase (as defined in section 2.2.2 above and will be made available to SMC as a separate 'Service Strategy' document.

2.2.4 Service Desk Process

AST's Service Desk System shall be used as agreed to by SMC. AST's service desk system runs on JIRA Service Desk®, and is referred to as 'JIRA'. JIRA, which is hosted by AST, shall be used for the tracking of all Salesforce service requests. There are no additional fees for this option.

All Salesforce service requests will be logged and tracked as tickets in the designated Service Desk System and assigned/routed to AST's managed services team accordingly.

AST will create user accounts to access the ticketing system and dashboard as well as provide live and recorded onboarding sessions for users that include best practices for issue logging, prioritization, tracking and reporting.

2.2.5 Change Management

The following types of changes to the Salesforce applications will be covered in the 'Change Management Strategy' document (this document will be provided in the Service Transition Phase).

This document will provide a structured approach for testing, migration, and approvals, for the below types of changes:

- Custom components (also referred to as CEMLIs)
- Configuration changes
- Data updates and/or data-fixes
- Patches/upgrades/updates

Support resources will perform all troubleshooting and testing in a designated non-production environment before the migration of a change to the Production environment. Production migration shall be completed only after validation and approval from SMC, as per the formalized change management process.

2.2.6 Support Coverage

The following information is related to hours of coverage for support services and the process for scheduling support outside of the standard hours of operation.

3 Hours of Operation

- Standard hours of operation for support services will be consistent with SMC's standard business hours:
  - Standard Business Hours: 8 am – 5 pm PST/PDT, Monday - Friday (except standard US holidays).
- Standard support requests (for 'non–critical' incidents) received after standard business hours or on weekends will be reviewed the following business day during standard business hours and the appropriate response will be taken based on the prioritization of the request.
- Off-hours' support will be provided outside of standard business hours as per the 'off-hours procedure' for the following:
  - Approved/planned work: pre-approved and pre-planned support related tasks designated and/or required to be performed outside of the standard hours of operation
  - Critical incidents: support of incidents identified as Critical (as defined in section 4.1.1) and requiring support outside of the standard hours of operation

4 Scheduling Off-Hour Support

In the event of SMC approved and planned work to occur outside of the standard hours of operation, the AST Service Delivery Manager (SDM) will coordinate and schedule planned activities with SMC's PM and ensure that the appropriate AST resources have been scheduled to address such activity. The AST SDM will also ensure the designated SMC personnel and stakeholders are informed ahead of time about the planned activities. SMC's PM will be responsible for ensuring that stakeholder communications are sent as needed.

For incidents that are prioritized as 'P1- Critical' (as defined below), AST will work on a 24x7 basis until they are resolved, a workaround is provided and/or the priority changes (as approved by SMC).

4.1. Service Level Performance

The following information is related to the Service Level Agreement (SLA). Further details on tracking, measurements and the reporting of service level performance will be provided in the 'Service Strategy' document.

4.1.1 Definitions

The following definitions apply to the tracking and measurement of service level performance.

- **Incident** – An unplanned interruption to a service or reduction in the quality or existing functionality of service**.**
- Prioritization
  - **P1 (Critical)** – An incident that renders critical functions unavailable with no acceptable workarounds, necessitating an immediate response for support or an incident that renders a production system inoperable (users are unable to connect to or use the system to support essential functions).
  - **P2 (High)** – An incident where the system/application is operating with severe restriction and no acceptable workaround exists (for example, performance is unacceptably slow) or consistent intermittent outages and/or failure of the production system, interfering with normal operations. May also be defined as a system/application that is operating but with severe restriction or affects a time sensitive function.
  - **P3 (Medium)** – An incident where an acceptable workaround exists. Most of the functions are still usable with some circumvention to establish normal service.
  - **P4 (Low)** – A production system/application problem isolated to a few users and/or non-critical tasks.
- **Reporting Period** – Duration of time frame ex: Monthly or Quarterly for which the SLA metrics are evaluated and reported.
- **First Response Time (FRT)** - Time elapsed between notification of an Incident/Problem from the Customer and a written response from AST acknowledging receipt of the notification and ticket assignment.
- **Measure Window** – The number of hours per day and the number of days per week that the events affecting the SLA metrics will be considered for calculation.
- **Performance Target** – Compliance of service level targets will be calculated based on the number of incidents relevant to that metric within a reporting using the below formula:

$$\text{Performance Target \%} = \frac{\text{Total no: of incidents assigned to AST} - \text{Total no: of incidents of noncompliance}}{\text{Total no: of incidents assigned to AST}} \times 100$$

4.1.2 Service Level Requirements

AST Managed Services Team will be responsible for incident, problem, release, deployment, and knowledge management. The Managed Services Team will also be responsible for appropriate root cause analysis (RCA) required for the incident, problem management tickets. AST Managed Services team must ensure appropriate documentation is created during the build (development) phase as part of the transition from implementation to managed services. The team continues to maintain the documentation as enhancements/fixes are implemented. The Managed Services team handles the enhancement requests. SMC is responsible for prioritizing enhancements and communicating any priorities/re-priorities that occur. Enhancements will be logged in the service ticketing system used for the managed services engagement. The Managed Services team must have Quality Assurance (QA) team members and they must ensure to run regression unit test when patches/enhancements are applied to

production system. SMC is responsible for final approval of any patches/enhancements prior to the changes being moved to the production system.

4.1.3 Service Level Targets – Incident Management

AST shall strive to meet the planned Service Level Targets (SLT) provided in the table below.

Compliance and/or failure to comply with Service Level Targets will be governed as per the information provided in this SOW and will be reported in the Service review meetings.

The table below provides the Incident Response SLRs.

Table 8 – Service Level Targets

Priority Level	First Response Performance Target (minutes/hours/daily availability)	Resolution Performance Target (hours/business hours)
Priority Level Critical	30 minute, 24x7, weekends and holidays Performance Target = 90%	Resolution Time = The County will be updated on the status of the resolution every 30 minutes or an agreed to time. A resolution may consist of a fix, workaround or other solution in Salesforce's reasonable determination.
Priority Level High	1 hours, **8x5, target response times include local business hours only and exclude weekends and holidays** Performance Target = 90%	Resolution Time = A resolution may consist of a fix, workaround or other solution in Salesforce's reasonable determination.
Priority Level Medium	8 hours, target response times include local business hours only and exclude weekends and holidays Performance Target = 90%	Resolution Time = A resolution may consist of a fix, workaround or other solution in Salesforce's reasonable determination.
Priority Level Low	24 hours, target response times include local business hours only and exclude weekends and holidays Performance Target = 90%	Resolution Time = A resolution may consist of a fix, workaround or other solution in Salesforce's reasonable determination.

Incident Prioritization	Reporting Period	Measure Window (Hours x Days)	AST First Response Time (FRT)	Performance Target
P1 – Critical	Monthly	24 x 7	Within 30 mins	90%
P2 – High	Monthly	8 x 5	Within 1 hour	90%
P3 – Medium	Monthly	8 x 5	Within 8 hours	90%
P4 – Low	Monthly	8 x 5	Within 24 hours	90%

Service Level Target Management is subject to the following terms and conditions:

- An Information Technology Infrastructure Library ("ITIL")-compliant Service Desk system will be used for the tracking of all incidents, prioritization and corresponding SLT metrics.

- The service desk system must be configured to allow the following SLA measurement: The SLA clock will be activated upon ticket assignment to AST and will be paused when outside of the measurement window or when tickets are assigned to parties other than AST (such as SMC or Salesforce).

- SLT/Ticket Prioritization – priority and/or severity will be determined jointly by AST and SMC project management. If an incident is re-prioritized midstream, a new ticket will be opened to track the SLA as per the new prioritization.

The measurement of SLT performance shall be applicable only to incidents occurring in the production environment.

4.2. Communication & Status Reporting

All meetings will be conducted by web conference using Microsoft Teams® unless otherwise agreed by SMC and AST. The following meetings will be scheduled (intervals and meeting schedules will be defined in the Service Transition Phase):

Table 9 – Status Reporting Schedule

Meeting	Proposed Interval	SMC Attendees
Status Meeting	Weekly	Support Team (PM(s), SMEs, IT Leads)
Service Review Meeting	Monthly	PM(s)
Management Update	Annually	Steering Committee, PM(s)

4.2.1 Status Meetings

AST's SDM will facilitate status meetings with the designated SMC support team members to review ticket details. The primary purpose of these meetings is to review the current workload by Status (Open, Closed, Waiting on Customer, etc.), Prioritize issues, and bring to the notice of the AST/ SMC team any issues/challenges that affect the execution of support services.

Managed Service status reports will be prepared by AST's SDM and sent via email to SMC's designated support team members and stakeholders on a weekly basis. The status reports will be in PDF format as per AST's Enterprise Application Support Methodology (EASM).

4.2.2 Service Review Meetings

Service review meetings will be conducted by the AST SDM to review and report the overall support status (headlines), workload, outages/escalations, service level performance, and support & enhancement hours utilized with SMC's support manager and designated stakeholders. The meeting also provides time for a general discussion, allowing SMC to provide feedback about the process.

The service review report will be presented as a Microsoft PowerPoint presentation via web conference and the report will be sent via email in PDF format to SMC's designated attendees.

Service review meetings will serve as a checkpoint to determine if any adjustments to service structure, components, and/or resources are needed.

4.2.3 Management Updates

AST's SDM will present an update to SMC's executive sponsors/stakeholders on a quarterly basis. The primary objective of this meeting is to provide an overview and analysis of support statistics/trends, to review service level performance, major accomplishments, support process improvements, and upcoming initiatives. The meeting also provides time for a general discussion, allowing SMC to provide feedback about the process.

The Management Update will be presented as a Microsoft PowerPoint presentation either in person or via web conference and the report will be sent via email in PDF format to SMC's designated attendees.

4.3.   Roles & Responsibilities

San Mateo County acknowledges that for the successful execution of the engagement, the cooperation, support, and interaction with SMC's personnel is imperative. AST's managed services team intends to work closely with SMC's staff to form a cohesive team. San Mateo County shall ensure that its client, SMC, acknowledges and agrees to the SOW herein its entirety including but not limited, to the terms, conditions, duties, responsibilities and obligations herein.

4.3.1 AST Responsibilities

The following table outlines the roles and responsibilities of the AST managed services team.

Table 10 – AST Roles & Responsibilities – Managed Services

AST Role	AST Responsibilities
Service Delivery Manager (SDM)	Responsible for providing overall management of operations for services provided by AST. Services can include the following: ▪ Service request queue management ▪ Manage change control and change control process ▪ AST Managed services status updates and SLA reporting ▪ AST service scope management ▪ AST resource management ▪ Coordinate with SMC's PMO in the execution of the services in scope ▪ Primary point of contact for escalations ▪ Co-Liaison with Salesforce for product issues/escalations
Functional Support Analysts	Responsible for providing functional support of enhancement services and/or support services as directed. Services can include the following: ▪ Provide functional support for incident and problem management ▪ Interaction with SMC business users, internal IT support teams, and/or system vendors on incident resolution ▪ Provide application functionality expertise to users in Salesforce ▪ Provide support for Workflow-related issues ▪ Provide training to users as part of incident resolution ▪ Update documentation related to configuration, incident, and problem management ▪ Provide estimates for new enhancements and change requests ▪ Create design documents for new enhancements and change requests ▪ Conduct and document unit testing of changes to the system introduced through the support process ▪ Lead change control and production migration for changes to the system ▪ Log Salesforce Service Requests and support the issue resolution process
Technical Support Analysts	Responsible for providing technical support of enhancement services and/or support services as directed. Services can include the following: ▪ Provide technical support for incident and problem management ▪ Integration support for interfaces feeding in and out of Salesforce ▪ Provide support for Workflow-related issues

AST Role	AST Responsibilities
	▪ System administration - custom role maintenance and creation ▪ Create/update technical design documents for incidents, enhancement, and change ▪ Conduct and document unit testing of changes to the system introduced through the support process ▪ Lead change control and production migration for changes to the system ▪ Modify existing and/or create new reports as needed using Salesforce reporting tools ▪ Log Salesforce Service Requests and support the issue resolution process

4.3.2 Upgrades, Patches, and new Releases

When patches, upgrades or new releases are applied to the AAB system, AST must ensure that the customizations to AAB system shall work across upgrades. When Salesforce releases a new version of the application and the platform, these upgrades must be seamless and must maintain backwards compatibility with the API used for integration. Services to embed all upgrades and patches to the AAB System will be provided at no additional cost to the County. Each release shall be delivered automatically in a transparent manner and shall not break AAB system configurations. AST must test and release the scheduled maintenance releases into Production within 90 days from when they are released for testing. For urgent matters, the agreed upon standard bug fix SLA's will apply.

4.3.3 SMC Responsibilities

The following table outlines the roles and responsibilities of SMC support team.

Table 11 – SMC Roles & Responsibilities – Managed Services

SMC Role	SMC Responsibilities
Project Sponsor Group	▪ Provide executive leadership to the engagement ▪ Participate in quarterly service reviews ▪ Review, approve/reject change requests, enhancement requests presented by the support team ▪ Review and approve major changes ▪ Communicate any updates from SMC business community that impact the support services in scope
Support Manager/ Coordinator	▪ Primary point of contact for the AST team ▪ Review and prioritize incidents, change requests, enhancement requests taking suggestions from Subject Matter Experts (SME) ▪ Review/approve change requests, enhancement requests presented by the support team before submitting them to the Steering Committee ▪ Plan maintenance and release windows along with AST SDM ▪ Communicate planned outages to SMC user community ▪ Ensure SMC COE/SME/Users provide feedback, test resolutions, and address tasks that are necessary to complete service operations ▪ Participate and co-lead weekly/monthly/quarterly status meetings ▪ Work with the AST Service Delivery Manager (SDM) to improve support processes ▪ Ensure SMC security and compliance procedures are met
L1 System Administrator	▪ Responsible for user and access management (new account creation, assignment of roles, and/or support with password reset issues)

SMC Role	SMC Responsibilities
L1 Help Desk Support	▪ Ticket triaging ▪ Routing of Level 2/3 support tickets to the AST Managed Services team ▪ Provide the first level of 'technical' support
L2 Support / Subject Matter Experts (SME)	▪ Participate in status meetings ▪ Provide business process expertise to incident and problem management ▪ Primary point of contact to SMC end-users for resolving business process issues (provide the first level of 'functional' support) ▪ Primary point of contact to the AST Managed Services team for business process related questions, clarifications, and/or testing ▪ Review, provide feedback, approve/reject fixes/changes, design for incidents, enhancements, and/or change requests ▪ Conduct and document user acceptance testing of changes to the system ▪ Participate in the change control process, providing approval for production migration of changes to the system ▪ Assist SMC's project manager to review and prioritize incidents, enhancements, and/or change requests
Infrastructure/ Network Admins	▪ Assist AST with incidents related to interfaces with third-party systems as appropriate ▪ Assist with printer-related requests ▪ Assist with any network-related issues

5 Appendix B Change Control Process

For services not included in this SOW, AST shall follow the formal Change Control Process and not charge SMC for any out-of-scope services without an executed Change Order, Enhancement Request, or SOW.

Services of any type not covered under the scope of work of this Managed Services agreement, such as the implementation of new/optional functionality introduced via upgrades or new technical development (classified as a Major Enhancement or Project work), Training or updates to Training Materials; can be estimated upon request and will be addressed via the formal Change Control Process.

The Change Control Process will be initiated for the following situations:

- Enhancement Services for Minor Enhancements, as identified in the Scope of Work for Managed Services: Requests for Minor Enhancements will be tracked as tickets in the designated Service Desk system and will be prioritized, approved, completed and invoiced as outlined in this SOW document.

- Major Enhancements/Project Work: e.g., changes to the existing applications footprint to offer additional functionality that will require more than 40 labor hours to complete, new technical development, Training or updates to Training Materials. All such services will be subject to a formal Change Control Process and will require either a fully executed 'Change Order Request Form' for Major Enhancements or a separate SOW document for Project Work, depending on the scale/scope.

- Change to the existing SOW: Changes to scope, timeline, approach or resources outlined in this SOW will be subject to a formal Change Control Process and determined to be a change to the scope of work, a fully executed 'Change Order Request Form' will be required.

5.1.1 Rollover Hours

The capacity model provides the ability to roll over unused hours from one month to the next and AST permits that rollover, subject to the following restrictions:

- Unused hours can be 'rolled over' to the next month. This number should not exceed the specified rollover limit for the monthly capacity.
- At the end of the contract period, any remaining hours unused by SMC will be forfeited.

5.1.2 Overage Charges

AST will report monthly usage as a part of the service review meetings. For billing purposes, AST will perform a semi-annual reconciliation of monthly capacity (adjusted for hours rolled over) to actual hours utilized and shall bill SMC for any hours used over the contracted amount ("Overage Hours").

- Overages will be billed at the blended rate of $95/hour.

5.1.3 Capacity Changes

Monthly capacity and usage will be reviewed during the service review meetings. SMC will have the option to evaluate a change to the monthly capacity during or at the end of the first 6 months of service. After the first 6 months of service, if SMC would like to make a changes to the monthly capacity, SMC shall ensure that AST is notified, in writing within (30) days' prior via change order.

5.1.4 Termination of Services

Notwithstanding anything to the contrary, the parties agree that SMC shall not terminate the Managed Services under this SOW at any time, for any reason prior to the completion of the first 6 months of Service. After the completion of the first 6 months of service, SMC shall be permitted to terminate provided that, SMC ensures that AST has ninety days (90) days' prior written notice.

If SMC, in good faith, terminates, SMC may require AST to perform a transition to SMC and its contractors to ensure a transition of support services from AST to another provider ("Transition Out"). Transition Out activities will be conducted utilizing the hours provided by the monthly capacity. Should additional hours be required, these shall be billed to San Mateo County as Overage Charges.

6 Appendix C: Cost Assumptions

SMC acknowledges that for the successful execution of this engagement, the cooperation, support, and interaction with the County's personnel is imperative. SMC acknowledges and agrees to the SOW here in its entirety including but not limited, to the terms, conditions, duties, responsibilities and obligations herein.

The following assumptions have been made in estimating the cost of this SOW:

1. SMC shall designate a Support Manager (also referred as Project Manager or PM) who is empowered to make decisions and approve direction. This resource will be available for at least one hour per day to review progress, provide feedback and direction. SMC must communicate regularly with AST and provide AST with timely feedback.
2. Sufficient and appropriate SMC resources set forth in this SOW must be available during the project (for both onshore and remote work).
3. Work will commence only after formal approval of the SOW and/or after the issuance of a 'Notice to Proceed'.
4. Services provided shall be performed remotely, by a combination of AST's onshore and offshore resources.
5. Travel to SMC's office, if required, shall be authorized in writing by SMC in advance of incurring such costs or expenses. Terms and conditions for travel expense invoicing and reimbursement are covered in the Invoice section of this SOW.
6. Any additional work associated with future releases requiring changes to application architecture, interfaces to/from external systems, and/or data conversions will be estimated and processed as a change order unless the additional work estimate falls within the 40-hour definition for minor enhancements.
7. SMC shall be responsible for providing the following, as outlined in the Roles & Responsibilities section:
    a. Level 1 (L1) support/helpdesk support.
    b. Level 1 (L1) System Administration support.
    c. Level 2 (L2) SME/Business Analyst support.
    d. Infrastructure/Network and/or PC-related support.
8. SMC will be responsible for the support of any internal and external systems that integrate with the Salesforce environments.
9. SMC shall be responsible for the testing and approvals of changes made to the system.
10. SMC management, including SMC PM and key users, will be available for interview, decision-making, and other tasks related to this Managed Services engagement and will be able to make timely decisions on the issues raised by the support team.
11. It will be the responsibility of SMC to manage and maintain the relationships with their suppliers and/or third-party vendors and in some cases, this may require them to coordinate and/or participate in support-related meetings or tasks.
12. System access will be provided to the existing Salesforce environments (non-production and production) and related tools for the AST analysts assigned to the Managed Services engagement.
13. SMC will make documentation, system access, and data related to the support of the Salesforce environment available to the AST support team in a timely manner.
14. SMC shall have valid subscriptions/licenses to the Salesforce applications/modules being supported.
15. Any failure by either party to enforce the other party's strict performance of any provision of this SOW will not constitute a waiver of its right to subsequently enforce such provision or any other provision of this SOW.

16. AST is not responsible for delays caused by failures, including but not limited to: systems, personnel or environmental causes, or in receiving data from SMC.

17. All parties agree that personnel shall not be asked to perform, nor volunteer to perform, engineering and/or consulting tasks that lie outside the skill sets and experience of personnel. Personnel have the right to decline on a service request if the request falls outside the scope of their experience and expertise.

Exhibit A - 1

AAB Functional and General Requirements

Item #	Requirements Description	Additional Details
1	Appeal Customer Portal	
1.1	General	
1.1.1	The Appeal Customer Portal will allow the property owners or their agents to: - Submit appeal applications online - View their submitted appeals applications and track their application status	Agents are authorized based on an authorization form signed by the property owner. All appeal related communication will be with the Agent (if defined) or with the property owner only. When Agent files an appeal for an applicant, both agent and applicant will have access to the appeal portal to view/edit. When applicant decides to revoke/substitute an agent/attorney, there will be a function on the portal that allows the applicant/agent to do so by submitting a PDF with applicant's signature (Refer to section 1.7 Online Agent Update Request). Once this change is completed, the system should prompt an email to AAB so we can review the transaction and approve.
1.1.2	Upon acceptance of an appeal application, the system will allow the property owner to view their appeal(s) and track their status	Agents will be creating their own accounts and the system will validate that they are the named agents on the appeals they are requesting access to.
1.1.3	The Appeal Customer Portal will allow the property owners or their agents to:select an existing appeal to submit appeal related requests including but not limited to: - Withdrawal Request - Hearing Calendar Request - Amendment Request - Reinstatement Request - Change of Mailing Address Request - Agent revocation/replacement/authorization form -Statute of Limitation Waiver -Hearing Notice Waiver	The portal will validate that all requests submitted online are by the property owner or the authorized agent (if any)
1.1.4	The portal will provide the portal user with a list of submitted requests and allow the portal user to update and resubmit only those requests which have been returned by the AAB Clerk	
1.1.5	The customer portal will generate a PDF representing the appeal application form and any of the above mentioned request forms based on the user input and based on the predefined templates	The customer portal will allow the user to view the request PDF form and confirm before submitting it. The portal user is able to cancel/quit at any point during the sumbission process.
1.1.6	The customer portal will provide the the property owner/agent with the ability to digitally sign the generated populated request form via Docusign.	
1.1.7	All communication (email/letters/docusign/etc) generated by the portal will be sent to the propery owner email or the authorized agent email only.	
1.1.8	The customer portal will enable the portal user to view documents related to their appeal (submitted forms, notices, letters, etc.)	
1.1.9	The customer portal will enable the portal user to upload evidence related to an appeal	Evidence documents have confidentiality rules and may be submitted within a specific time frame.
1.1.10	The portal will provide Applicants with the option to make online payments	Online payment should accept either online check (providing routing and account number) or credit card (which the county usually adds a processing fee), and it's non-refundable.
1.2	Appeal Application Submission	

Exhibit A - 1

1.2.1	The portal user will be able to fill and submit appeal applications online. The online application process will include, but not limited to, the following features/functions:	AAB will accept both online and paper submissions. Applications submitted online will be digitally signed. Paper submission requires a wet signature.
1.2.2	The portal will allow the portal user to select the type of appeal	
1.2.3	The portal will provide portal users with a guided interface to fill, update and submit an appeal application according to the type of appeal selected.	Tools such as help text will be provided in different sections of the appeal, links to relevant information/forms, appropriate messages, etc. System will show only fields relevant to the appeal type selected, etc.
1.2.4	The portal will validate the portal user data entry according to pre-defined business rules (as provided by AAB) and display appropriate messages	The portal will not allow the portal user to submit incomplete applications as per predefined business rules
1.2.5	The portal will access the Assessment Roll/Tax Bill information to validate Tax bill number, APN, Account Number, Owner Name, Situs, Value, etc. and provide the portal user with appropriate messages.	Interface with SMC Assessor will be required.
1.2.6	The portal will allow portal user to specify if written findings (Findings of facts) are requested	When filling out the application, there is a checkbox about Finding of Facts. This is not a mandatory field. Findings of facts may be requested at any point preceding the commencement of the hearing. The portal will allow submission of such requests to the Clerk.
1.2.7	The customer portal will allow the user to indicate if the appeal is for a parcel within an Economic Unit. The system will allow the user to link the appeal being submitted with other appeals for parcels within the same economic unit.	Some parcels are part of an economic unit (EU). If the economic unit owner wishes to appeal the assessment, individual appeals have to be completed for each parcel in the EU. Linking the EU appeals to each other will enable the grouping together during a hearing date, etc.
1.2.8	The portal will allow the portal user to save their appeal form to update or submit at a later time, and will allow the poral user to resume an appeal application started in an earlier session or cancel their application (prior to submission).	The system will display appropriate messages related to the deadline to complete/submit the application.
1.2.9	The portal will prompt the portal user to upload a completed/signed Agent Authorization form (if an agent is selected during the appeal application)	The system will generate the Agent Authorization form and enable the Applicant to digitally sign it. Once received, the system will save the digitaly signed form
1.2.10	The portal will allow the portal user to upload relevant attachments (attachment rules to be applied)	
1.2.11	The portal will allow the portal user to submit their completed appeal application and will validate the timliness of the submission and provide the portal user with appropriate message.	
1.2.12	The portal will have the ability to generate the appeal application PDF based on the entered information per the current appeal application form template.	
1.2.13	The portal will provide an online payment option to be completed together with the submission	AAB will accept cash/check payments for appeal applications submitted online. Currently the appeal application and written findings are charged services - all other appeal related requests are not associated with any charges.
1.2.14	If payment is made online, the system will add the payment details to the appeal application.	An appeal application is not 'turned' into an appeal until payment is completed. If payment is made online at the time of application, it should be cleared to processing the application. If the Applicant selects the option to mail a check, the appel application status should be updated as such to hold the processing of application until payment is received by the AAB Clerk and manually entered into the system.
1.2.15	The portal will provide the portal user with the means of digitally signing the system generated/populated appeal application	

Exhibit A - 1

1.2.16	The system will receive the digitally signed application form and consider the submission successful.	The system will save the digitally signed form to the AAB document repository together with the submitted attachments/agent authorization form documents
1.2.17	Upon successful submission of the appeal application, the system will send a confirmation email to the portal user cc AAB Clerk, with the system generated application number and payment instructions (if online payment is not made).	
1.2.18	Upon receiving email feedback from the AAB Clerk, the portal user will be able to open a previously submitted application (which has been returned by AAB Clerk) in order to update and resubmit it.	
1.3	**Online Appeal Withdrawal**	
1.3.1	The customer portal allows the portal user to select to withdraw one or more appeals	The customer portal will apply business rules and provide appropriate messages to user if appeal(s) cannot be withdrawn
1.3.2	If the appeal(s) can be withdrawn, the portal will prompt the user to confirm the operation	The user will be allowed to cancel or confirm their withdrawal
1.3.3	Upon confirmation, the portal will prompt the user to enter the withdrawal request form details	The system will pre-populate the form with available information
1.3.4	The system will allow the user to submit their withdrawal request or to cancel/quit	
1.3.5	Upon submitting their withdrawal request, the system will enable the portal user to digitally sign the withdrawal application form via DocuSign	
1.3.6	The system will save the digitally signed withdrawal form and update the appeal status and hearing date accordingly	The system will save the digitally signed form to the AAB document repository together with the appeal related documents
1.3.7	The system will send withdrawal confirmation email to the applicant, assessor (preconfigured email) and AAB Clerk	
1.4	**Online Hearing Calendar Request**	
1.4.1	The customer portal allows the portal user to select to submit a hearing calendar request for a specific appeal	A hearing Calendar request is used to request to change an upcoming prehearing/hearing date of an appeal. Assessor can also submit these requests
1.4.2	The customer portal will prompt the user for the hearing calendar request type and will allow the user to complete and submit the request online. The system will prepopulate available fields in the form.	Request types are: By Right, For Good Cause (list should be configurable)
1.4.3	The customer portal will apply business rules according to the request type and display appropriate messages to user if there are errors and allow the user to update their request or cancel.	Example: Applicants are allowed only one By Right requests are allowed only once for the appeal
1.4.4	If the submission is correct, the customer portal will apply business rules and display appropriate messages if the request is not valid (denied).	
1.4.5	If the the request is vaiIid, the system will enable the portal user to digitally sign the completed request (as per request template) via Docusign	

Exhibit A - 1

1.4.6	The system will receive the digitally signed request form if the request is by right, the system will notify the AAB Clerk	The system will save the digitally signed form to the AAB document repository together with the appeal related documents
1.4.7	If the request is for good cause, the system will generate and send an email to all parties asking feedback from counterparty	Or may be emailed by the AAB Clerk
1.4.8	Upon receiving an email reply from the counter party the system will notify the AAB Clerk	
1.5	**Online Amendment Request**	
1.5.1	The customer portal allows the portal user to select to submit an amendment request for a specific appeal	An application may be amended until 5:00 p.m. on the last day upon which the application might have been timely filed. After the filing period, an invalid or incomplete application may be corrected at the request of the clerk or amendments may be made at the discretion of the Board. Hhowever, the applicant can change section 1, 2, 7 and section 8 on the application with no deadline. It's important to note that if there is a change under section 2, AAB needs to be notified so AAB can review the authorization form to make sure it's property filled out. Once approved by AAB, the assessor will be notified.
1.5.2	The customer portal will allow the user to complete and submit the request online. The system will prepopulate available fields in the form.	
1.5.3	The customer portal will apply business rules and display appropriate messages to user if there are errors and allow the user to update their request or cancel/quit	
1.5.4	If the submission is correct, the customer portal will prompt the user to confirm the submission	
1.5.5	If the user confirms, the system will enable the portal user to digitally sign the completed request (as per request template) via Docusign	
1.5.6	The system will receive the digitally signed request form, save it to the AAB Appeal Repository and will notify the AAB Clerk	
1.6	**Online Change of Mailing Address Request**	
1.6.1	The customer portal allows the portal user to select to submit a change of mailing address request for a specific appeal	
1.6.2	The customer portal will allow the user to complete and submit the request online. The system will prepopulate available fields in the form.	
1.6.3	The customer portal will apply business rules and display appropriate messages to user if there are errors and allow the user to update their request or cancel/quit	USPS validation of mailing address is needed
1.6.4	If the submission is correct, the customer portal will prompt the user to confirm the submission	
1.6.5	If the user confirms, the system will enable the portal user to digitally sign the completed request (as per request template) via Docusign	
1.6.6	The system will receive the digitally signed request form, save it to the AAB Appeal Repository	

Exhibit A - 1

1.6.7	The system will update the mailing address and send an email confirmation to both parties and to the AAB Clerk	
1.7	**Online Agency Update Request**	
1.7.1	The customer portal allows the portal user to select to submit an Agent update request for a specific appeal	Applicant as well as agent/attorney both can submit Agent change. Multiple agents from the same agency only needs one authorization form. For example, Ryan LLC might have 10 Agents and they sometimes change the agents within the company handling the appeals. Authorization form is ONLY required if they are changing to another "agency". For example, from Ryan LLC to Altus Group U.S., Inc.
1.7.2	The customer portal will allow the user to select the type of request and accordingly complete and submit the request online. The system will prepopulate available fields in the form.	Request types are: Authorization, Revocation and Substitution of Agent
1.7.3	The customer portal will apply business rules and display appropriate messages to user if there are errors and allow the user to update their request or cancel/quit	AAB allows that more than one agent/attorney are authorized but the property owner must specify the primary agent/attorney with whom all communication regarding the given appeal is done
1.7.4	If the submission is correct, the customer portal will prompt the user to confirm the submission	
1.7.5	If the user confirms, the system will enable the portal user to digitally sign the completed request (as per request template) via DocuSign	
1.7.6	The system will receive the digitally signed request form, save it to the AAB Appeal Repository	
1.7.7	The system will add/update the agent information and send an email confirmation to both parties (Assessor & property owner/agent) and to the AAB Clerk	If there is no active agent on the appeal, all communication will be made with the property owner directly
1.7.8	The system will keep track of the appeal active/inactive agents together with dates	This functionality wil be available to AAB Clerk only. Applicant will view active agent only
1.8	**Online Reinstatement Request**	
1.8.1	The customer portal allows the portal user to select to submit a reinstatement request for a previously denied appeal	A reinstatment request is submitted for appeals which were denied for failure to appear during a prehearing/hearing.
1.8.2	The customer portal will allow the user to complete and submit the request online. The system will prepopulate available fields in the form.	the system will not allow the user to request reinstatment of an appeal if the reinstatment window has been closed
1.8.3	The customer portal will apply business rules and display appropriate messages to user if there are errors and allow the user to update their request or cancel/quit	
1.8.4	If the submission is correct, the customer portal will prompt the user to confirm the submission	
1.8.5	If the the user confirms, the system will enable the portal user to digitally sign the completed reinstatement request (as per request template) via Docusign	
1.8.6	The system will receive the digitally signed request form, save it to the AAB Appeal Repository, flag/update the appeal and will notify the AAB Clerk	

Exhibit A - 1

1.9	Online Waiver Submission	
1.9.1	The portal will allow the user to select an appeal and complete, digitally sign and submit a Notice Waiver form	Applicants should receive prehearing/hearing date notices 45 days prior to the date. A notice waiver means the applicant waives the notice period rule and agrees to have prehearings/hearings scheduled sooner. A notice waiver may be required to process and approve a Hearing Calendar request
1.9.2	The portal will allow the user to select an appeal and complete, digitally sign and submit a Statue of Limitation (SOL) Waiver form	As per the statute of limitation, an appeal should be decided/closed within 2 years of the application submission date. An SOL waiver means that the applicant waives this right and is willing for the appeal duration to be extended beyond 2 years. An SOL waiver may be required to process and approve a For Good Cause Hearing Calendar request. SOL waivers may also be requested by the board during a hearing.
1.9.3	Upon successful submission of a waiver form, the system will save the signed form to the AAB Repository and flag the appeal with the waiver on file	

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AAB Functional and General Requirements

Item #	Requirements Description	Additional Details
2	**Appeal Internal User Portal**	
2.1	**General**	
2.1.1	The Appeal Internal User Portal will allow the Assessor, the County Attorney and the Board to search and view Appeal information, status, hearing dates and documents according to pre-defined rules and access rights	County Attorney is responsible to provide the written findings upon closure of an appeal, if the appeal applicant has requested them.
2.1.2	The Appeal Internal User Portal will allow the Assessor, the County Attorney and the Board to search and view hearing calendar, published hearing date agendas, etc.	The AAB Clerk will finalize and publish the hearing date Agenda a few days prior to the hearing date
2.1.3	The Internal user portal will enable the Assessor to upload evidence related to an appeal	Evidence documents have confidentiality rules and may be submitted within a specific time frame.
2.1.4	The system will save documents/forms submitted/uploaded via the internal user portal in the AAB Document repository	
2.2	**Appeal Stipulation Process**	
2.2.1	The Internal User Portal will allow the Assessor to view a list of open appeals	
2.2.2	The Internal User Portal will allow the Assessor to submit signed stipulation agreements and packets for a selected appeal	Digitally signed or PDF with original signature
2.2.3	The System will notify the AAB Clerk of the submitted Stipulation	
2.2.4	The internal user portal will allow the Board to review the stipulation documents as needed	
2.3	**Hearing Calendar Request Process**	

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2.3.1	The Internal User Portal will allow the Assessor to submit a hearing calendar request for a selected appeal	
2.3.2	Refer to process 1.4 under Customer Portal Tab	Question: Does the Assessor also have to digitally sign the form? Yes, Now Assessor uses the change request form and signs it

Exhibit A - 1

AAB Functional and General Requirements

Item #	Requirements Description	Additional Details
3	**AAB Clerk System**	
3.1	**General**	
3.1.1	The AAB database will store all the data elements on the appeal application, and other forms utilized in relation to appeal as well as the processing and appeal closing data.	
3.1.2	The AAB Clerk System will allow the AAB Clerk to search, view and sort appeals using a range of search parameters or a combination of these parameters. These parameters include but are not limited to: Parcel number, Owner name, agent name, appeal type, appeal date, appeal year, appeal number, appeal status, hearing date, value range, etc.	All search results should be exportable to excel/PDF or other formats
3.1.3	The AAB Clerk System will provide the AAB Clerk with the ability to process submitted appeal applications, withdrawals, hearing calendar date requests, stipulations, amendments, change of mailing address, reinstatements, agent requests, etc.	Requests will be submitted either online or manually. Manual requests will be entered by the AAB Clerk in the system.
3.1.4	The AAB Clerk System will provide the AAB Clerk the ability to send and receive email communication to the appeal submitters or their agents.	The system will be able to show the history of all email communication related to the appeal
3.1.5	The AAB Clerk system will have the ability to generate letters and notices as per predefined templates ()	Both mass generation and single document generation are required
3.1.6	The AAB Clerk system will prompt/allow the AAB Clerk to upload scanned forms and to access all appeal related documents in the AAB document repository	Manually received appeal application forms or other request forms will be uploaded via the system to the AAB Repository
3.1.7	The AAB Clerk System will allow the AAB Clerk to add notes, hearing date notes, and confidential notes related to the appeal	
3.1.8	The system will keep track of all appeal pre-hearing and hearing dates together with hearing date notes	If a hearing or prehearing date has been rescheduled the system should be able to track these 'rescheduled' dates – hearing date status will indicate.
3.1.9	The system will keep history of appeal status and the status dates	Mapping to existing status codes. Additional status codes may be needed.
3.1.10	The system will keep track of all submitted requests associated with the appeal and their status	Example Request Status: Received/Rejected/Returned/Pending Payment/Accepted/Approved/Denied/etc.
3.1.11	The system will be able to relate/group appeals according to the APN, Owner, Agent, Economic unit, etc.	This feature is needed when organizing a hearing date Agenda to group appeals
3.1.12	The AAB Clerk will be able to view/list appeals related to an economic unit.	The appeal submitter will have the ability to indicate that an appeal is for a parcel within an economic unit and will be able to link the related appeals

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3.1.13	The AAB Clerk will be able to add/remove appeals from an economic unit group of appeals.	
3.1.14	The system will offer the AAB Clerk an interface to enter received paper applications or requests. The system will apply validations as per predefined business rules.and provide appropriate messages	
3.1.15	The system will maintain the annual hearing calendar which includes the type of hearing date (virtural/in-prerson)	The hearing calendar is defined by the AAB Clerk and published before the start of each year. Some hearing dates are scheduled as virtual hearing and the others are in-person hearing. Deadline to submit case documents may be different for each. The AAB Clerk may add new special hearing dates to the calendar. Types of hearing: prehearing, hearing, special hearing.
3.1.16	The system will provide the AAB Clerk the ability to schedule prehearings/hearings and generate/print/email associated notices	All types of Notices need to be mailed out to applicant's mailing address on file. The Portal will generate the printed notice and be able to email the applicant the notice to the applicant/Agents email. Waivers could be emailed only. Most of applicants/Agents will provide their email addresses on the application form.
3.2	**Online Appeal Application Review and Acceptance**	
3.2.1	The system will provide AAB Clerk with appropriate notifications when appeal applications have been successfully submitted/resubmitted online	
3.2.2	The system will provide the AAB Clerk with the ability to view the list of appeals applications submitted online sorted/filtered (by date range, by status, etc)	
3.2.3	The system will provide the AAB Clerk with the ability to review the details of an appeal application submitted online together with the digitally signed form and associated attachments	
3.2.4	The system will provide AAB Clerk with the ability to return an appeal application and add return notes/instructions as needed	Sometimes, appeal applications will go through multiple review/return/resubmit cycles until accepted by the AAB Clerk
3.2.5	The system will generate/email return notices as needed together with deadline to resubmit.	
3.2.6	If the applicant selected payment by cash/check, the system will allow the user to enter the appeal payment details to be associated with the Appeal application.	Appeal applications which are submitted and yet to be paid for will have a status of pending payment.

There is no specific timeline set forth by the EOB or Property Tax Rule 305 to close an invalid application. AAB gives the applicant an "adequate" amount of time to make corrections. Generally, each application is given 30 days to make corrections or submit payment. It could take applicants/agents several attempts to correct the application; in such an event, a longer time will be granted for the applicant to make further corrections. |
| 3.2.7 | The system will receive emails from applicants with updated application and notify AAB Clerk | Currently, AAB does not require the revised application to be signed. This is to give the applicant the advantage of the earlier submission date. The revised application is saved/added to the original application |

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3.2.8	The system will provide the AAB Clerk with notifications about missed resubmission or payment deadlines and will allow the AAB Clerk to either extend the deadline or close the appeal and generate/email a closure notice.	
3.2.9	The system will allow the AAB Clerk to accept the appeal application (given that payment is made), auto-generate an appeal number, generate the appeal cover page and save all the appeal documents to the AAB Document Repository	Currently appeal numbering numbering is YYYY-9999
3.2.10	Upon acceptance of the appeal application, the system will generate and send email confirmation to the applicant and the Assessor with the appeal number together with the signed application form	
3.3	**Manual Appeal Application Submission, Review and Acceptance:**	
3.3.1	The system will provide the AAB Clerk (user) with an interface to manually enter/update submitted appeals applications (prior to their acceptance). The system will include, but not limited, to the following features/functions:	
3.3.2	The interface will be aligned with the paper form for ease of data entry of the data on the paper form as well as the postmark/received date	
3.3.3	The system will allow the user to enter received payment details	
3.3.4	The system will allow the user to generate a return notice if payment is not received or if there are issues in the check.	
3.3.5	The system will access the tax Bill/Assessment Roll data to validate Tax bill number, APN, Account Number, Owner Name, Situs, Value, etc.	
3.3.6	The system will perform data validation according to pre-defined business rules and will provide appropriate messages to alert the user to errors in the application data (if any)	
3.3.7	The system will prompt the user to upload the submitted application form and save it to the AAB Repository	Received revisions of the application form should also be uploaded and saved in the AAB repository with the original signed form
3.3.8	The system will allow the user to enter agent information (if any) and upload signed Agent Authorization form	
3.3.9	The system will allow the user to reject, return or accept the appeal application	AAB will work with the applicant as much as possible to help them complete their appeal application form correctly. AAB Clerk will reject those applications that are totally incorrect or missing the majority of information
3.3.10	The system will allow the user to generate and review a rejection or return notice (as per template)	
3.3.11	The AAB Clerk will use the system to email the return/rejection notices to the applicant's email	

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3.3.12	The system will allow the user to save the appeal application and the system will assign an auto generated application number	
3.3.13	The system will receive emails from applicants with updated application and notify AAB Clerk	
3.3.14	The system will allow the AAB Clerk to accept the appeal application, generate the appeal number, the appeal cover page and save all the appeal documents to the Appeals Document Repository	
3.3.15	The system will provide the AAB Clerk with notifications about missed deadlines and will allow the AAB Clerk to either extend the deadline or close the appeal and generate/email a closure notice.	
3.3.16	Upon acceptance of the appeal application, the system will generate and send email confirmation to the applicant and the Assessor with the appeal number together with the signed application form	
3.4	**Appeal Scheduling and Noticing**	
3.4.1	The system will have the ability to define, update and save the annual hearing date calendar	If a hearing date is removed, the system will automatically alert user to update appeal prehearing/hearing dates previously scheduled on the removed date.
3.4.2	The AAB Clerk will have the ability to view the list of appeals that are pending scheduling based on business rules	
3.4.3	The system will apply business rules to identify appeals that should be grouped during prehearing/hearing	For example, appeals on the same APN, APNs in the same economic unit, appeals by the same owner/Agent, etc.
3.4.4	The AAB Clerk will have the ability to sort, filter and group appeals for scheduling purposes	
3.4.5	The AAB Clerk will be able to add a hearing/prehearing date to the Appeal	The system will allow the user to identify the type of hearing and apply business rules to validate. Also, there can occassionally be a "special hearing" that gets added to the hearing schedule
3.4.6	The system will apply pre-defined business rules to verify the hearing/prehearing date entered by the AAB Clerk	Notice period is met unless there is a Hearing Notice waiver on file.
3.4.7	Tha system will enable the AAB Clerk to generate prehearing/hearing notices and use the system to email them to the Applicant/Authorized Agent (if any)	Either individually or in mass
3.4.8	The system will enable the AAB Clerk to print hearing date notices to be mailed to the Applicant/Authorized Agent (if any)	
3.4.9	The system enables the AAB Clerk to run a deadline report to list the appeals that do not have a Statute of Limitations (SOL) waiver, to proactively track/schedule them or request SOL waivers for them.	The Statute of Limitation to close an appeal is 2 years from the application date unless the applicant/agent signs an SOL waiver

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3.5	Hearing Date Agenda Generation	
3.5.1	The AAB clerk will use the system to generate/regenerate the hearing date agenda as needed	The hearing date Agenda will include prehearings first followed by regular hearings
3.5.2	The system will include links to the Appeal document in the AAB Repository on the hearing date Agenda so that the Board may review the appeal applications and documents during a prehearing/hearing	
3.5.3	The system will enable the AAB Clerk to group appeal and sort the appeals on the hearing date Agenda based on given parameters	Typically a preliminary hearing date agenda is issued a week before the hearing, then reviewed and updated based on submissions of sitpulations, requests, etc. just before the hearing date. The hearing date agenda is finalized two days prior to the hearing date
3.5.4	The system will have the ability to email the hearing date Agenda to the Assessor and the Board according to pre-defined business rules	
3.5.5	For each hearing date, the system will maintain a list of post hearing items	Post hearing items are those items which are reviewed by the Board in the presence of the AAB Clerk only. Decisions are usually made in post hearings, stipulations are reviewed and decided in post hearings, etc. These post hearing items are added in the different processes (e.g. stipulations, reinstatment requests, etc.) or may be added in the system by the AAB Clerk.
3.5.6	The post hearing items list will include links to the relevant documents in the AAB Document Repository that will be reviewed during the post hearing	
3.6	Processing Manual Appeal Withdrawal	
3.6.1	The AAB Clerk System will provide the ability to the AAB Clerk to select an appeal to enter a withdrawal request for	
3.6.2	The AAB Clerk system will provide the clerk with an interface to enter the details of the request	
3.6.3	The AAB Clerk system will provide the clerk with the ability to upload the received signed request document	
3.6.4	The system will save the request in the AAB Document repository	
3.6.5	The system will apply business rules to determine if the appeal can be withdrawn. If appeal cannot be withdrawn, the system willl generate/send email to the applicant	

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3.6.6	The system will apply validation rules on the request and display appropriate messages if the request is incorrect and allow the user to generate/send a return email with required updates to the request	
3.6.7	If the withdrawal request is all correct, the system will update the appeal status and the hearing date accordingly and send an email with the confirmation withdrawal to the applicant/Agent and the Assessor	
3.7	**Processing an Online Hearing Calendar Request**	
3.7.1	The system will enable the AAB Clerk to identify the appeals that have a submitted digitally signed 'by right' hearing calendar request and yet to be rescheduled	AAB Clerk will also receive a system notification when the digitally signed request has been received
3.7.2	The system will bring up the next available date taking into consideration noticing rules The system will enable the AAB Clerk to select the system suggested date or select a new prehearing/hearing date. .	Upon changing the prehearing/hearing date, the AAB Clerk will proceed with the noticing for the new date (1.4)
3.7.3	The system will enable the AAB Clerk to identify the appeals that have a pending 'For good cause' hearing calendar request.	
3.7.4	The AAB Clerk will use the system to email the request and the counterparty feedback to the Chair of the Board or alternately may be automatically emailed by the system according to pre-defined business rules.	If the request is made by the applicant/owner/agent, the counterparty is the Assessor, and vice versa.
3.7.5	The system will enable the AAB Clerk to update the status of the request based on the Board decision and the time period approved by the Board	
3.7.6	The system will enable the AAB Clerk to generate and send a denial email if the request is denied	In most communications relating to the appeal (calendar change request, denial, approval, etc.), the counterparty (and county attorney) should be included or cc'd.
3.7.7	If the request is approved, the system will alert the user if an SOL waiver is needed.	
3.7.8	The AAB Clerk will use the system to generate and email the SOL waiver via docusign to be signed by the applicant/Agent	
3.7.9	The system will notify the AAB Clerk when the applicant has completed the digital signature	
3.7.10	The system will enable the AAB Clerk to update the hearing date according to the board approved period	
3.7.11	The AAB Clerk will use the system to generate/Send email notifications to Applicant/Assessor/Clerk of the change in hearing date. Notification also to county attorney for appeals with written findings	The AAB Clerk will proceed with the noticing for the new hearing date (1.4)

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3.8	**Processing Manual Hearing Calendar Request**	
3.8.1	The system will provide the AAB Clerk with an interface to enter a new Hearing Calendar request for an appeal	
3.8.2	The system will apply the business rules to validate the request and provide appropriate messages	
3.8.3	The system will allow the AAB Clerk to upload the received signed request to be saved in the AAB Appeals Repository	
3.8.4	The AAB Clerk will use the system to email the applicant appropriate feedback regaring errors in their request	
3.8.5	Processing of the request will be similar to that submitted online (refer to Customer Portal Online Hearing Calendar Request).	
3.9	**Processing an Online Amendment Request**	
3.9.1	The system will enable the AAB Clerk to identify the appeals that have a submitted digitally signed amendment request	
3.9.2	The system will allow the AAB Clerk to review the submitted amendment request documents	
3.9.3	If the amendment is a technical one or it has been previously agreed by the Board during a hearing, the AAB Clerk will approve the amendment request and update the appeal record accordingly	
3.9.4	If the amendment requires Board review, the AAB Clerk will use the system to add the appeal amendment request to the next hearing date post hearings.	Refer to section 3.5
3.9.5	The system will enable the AAB Clerk to enter the Board's decision in the system and update the appeal if approved	
3.9.6	If the request is rejected, the AAB Clerk will use the system to generate and send a rejection email to the Applicant/Agent	
3.9.7	The AAB Clerk will use the system to email the approved amendment to both parties (Applicant/Agent and Assessor). County Attorney representing the AAB and Assessor may need to be included in certain notifications/commuication.	
3.10	**Processing Manual Amendment Request**	
3.10.1	The system will provide the AAB Clerk with an interface to enter a new amendment request for an appeal	

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3.10.2	The system will apply the business rules to validate the request and provide appropriate messages	
3.10.3	The AAB Clerk will use the system to email the applicant appropriate feedback regaring errors in their request	
3.10.4	The system will allow the AAB Clerk to upload the received signed request to be saved in the AAB Appeals Repository	
3.10.5	Processing of the request will be similar to Online Amendment Request	
3.11	**Processing a Manual Change of Mailing Address Request**	
3.11.1	The system will provide the AAB Clerk with an interface to add a new Change of Mailing Address request for an appeal	
3.11.2	The system will apply the business rules to validate the request and provide appropriate messages	USPS mailing address validation
3.11.3	The system will allow the AAB Clerk to upload the received signed request to be saved in the AAB Appeals Repository	
3.11.4	The AAB Clerk will use the system to email the applicant appropriate feedback regarding errors in their request	
3.11.5	If the request is correct, the AAB Clerk will update the appeal mailing address in the system	
3.11.6	The AAB Clerk will use the system to email a confirmation of the change of mailing address to both parties (Applicant/Agent and Assessor)	
3.12	**Processing an Online Reinstatment Request**	
3.12.1	The system will enable the AAB Clerk to identify the appeals that have a submitted digitally signed reinstatment request	
3.12.2	The system will allow the AAB Clerk to review the signed submitted reinstatment form	
3.12.3	The AAB Clerk will use the system to add the appeal reinstatment request to the next hearing date post hearings.	See section 3.5
3.12.4	The system will enable the AAB Clerk to enter the Board's decision in the system and update the appeal status if approved	

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3.12.5	If the request is rejected, the AAB Clerk will use the system to generate and send a rejection email to the applicant/Agent	
3.12.6	The AAB Clerk will use the system to email the approved reinstatment to both parties (Applicant/Agent and Assessor)	
3.12.7	The system will prompt the AAB Clerk to add a prehearing/hearing date and proceed with noticing	
3.13	**Processing Manual Reinstatment Request**	
3.13.1	The system will provide the AAB Clerk with an interface to add/enter a reinstatment request for a previously denied appeal	
3.13.2	The system will apply the business rules to validate the request and provide appropriate messages	
3.13.3	The AAB Clerk will use the system to email the applicant appropriate feedback regaring errors in their request	
3.13.4	The system will allow the AAB Clerk to upload the received signed request to be saved in the AAB Appeals Repository	
3.13.5	Processing of the request will be similar to Online Amendment Request	
3.14	**Processing of Stipulation**	
3.14.1	The system will enable the AAB Clerk to view a list of appeals for which stipulations are submitted online (via the Internal user Portal) by the Assessor and pending processing	
3.14.1	The system will allow the AAB Clerk to review the submitted documents and either reject the stipulation or accept for processing	
3.14.2	The AAB Clerk will use the system to generate and send an email with rejection/acceptance for processing to the Assessor	Rejection reason is included in AAB Clerk email (if rejected). The Assessor will correct the issues and use the internal user portal to resubmit the Stipulation
3.14.3	If the stipulation is accepted for processing, the system will prompt the user to change the appeal scheduled hearing date	Stipulations are reviewed by the Board during the post hearing of the next hearing date. If the appeal was already scheduled/on a hearing date agenda, it needs to be removed

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3.14.4	If the stipulation is accepted for processing, the system will update the appeal status, save the stipulation documents in the AAB Appeal Repository	
3.14.5	If stipulations are submitted by email or in paper, the system will allow the AAB Clerk to upload accepted stipulation documents to be saved in the AAB Appeal Repository and update the appeal status.	In case the Assessor does not use the Internal User Portal to submit the stipulation
3.14.6	The system will add the appeal stipulations accepted for processing to the post hearing items of the next hearing agenda	See section 3.5
3.14.7	The system will allow the AAB Clerk to update the appeal status based on the Board decision	
3.14.8	If the stipulation is rejected by the Board, the system will update the appeal status, and generate and send a rejection email to the Assessor and the Applicant/Agent.	
3.14.9	If the stipulation is rejected the system will allow the AAB Clerk to update the hearing date and use the system to generate and send the hearing date notice	
3.14.10	If the stipulation is approved, the AAB Clerk will use the system to email the signed stipulation agreement to the Chair of the Board for signature	(Docusign may be used to sign the stipulation agreement)
3.14.11	The system will receive the signed stipulation agreement from the board and save it to the AAB Appeal Repository and notify the AAB Clerk	
3.14.12	The system will allow the AAB Clerk to update the stipulated values in the appeal record and use the system to generate the statement of change	See statement of Change Generation section 3.16
3.15	**Prehearing/Hearing Process**	
3.15.1	The AAB Clerk and Board will use the system to pull up the hearing date Agenda for the scheduled prehearings/hearings. AAB Clerk will call appeals in the order of the Agenda	
3.15.2	The AAB Clerk and Board will be able to view all appeal documents for each appeal being called	The system will enable the board will to view the appeal documents related to each appeal on the hearing date Agenda
3.15.3	The system will enable the AAB Clerk to add prehearing/hearing notes for the appeal hearing date record	
3.15.4	The system will enable the AAB Clerk to update the status of the appeal, if the appeal is denied for failure to appear, and automatically generate the failure to appear notice as per template.	The system will save denial notice to the AAB repository send it in an email to the applicant/agent

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3.15.5	The system will enable the AAB Clerk to update the status, if the applicant/agent wish to withdraw the appeal.	
3.15.6	In case of withdrawal the system will generate a withdrawal form/letter to be saved in the AAB Appeal Repository	This may be a letter memorializing the withdrawal that is sent to all parties, or it may be a withdrawal form that is generated to be sent/emailed to the applicant/agent for signature (Docusign)
3.15.7	For appeals in hearings, the system will enable the AAB Clerk to flag the appeal to be taken under submission in which case the system will add the appeal to the list of post hearing items	(meaning that the Board will discuss it during the post hearing and make their decision)
3.15.8	The system will enable the AAB Clerk to update the appeal and the appeal status based on the Board's decision	Value upheld or changed (increased or decreased). Value increased or decreased appeals will be included in the Statement of Change.
3.15.9	If the board decides to that the value be upheld, the system will generate and email a letter to both parties	System will save the letter to the AAB repository
3.16	**Statement of Change (SOC) Generation**	
3.16.1	The system will enable the AAB Clerk to generate the statement of change for appeals decided on a specific hearing date	System will apply business rules and generate/save the SOC. The system will be able to export the SOC in excel/ PDF or other format
3.16.2	The system will enable the clerk to email the SOC to the controller	
3.16.3	The system will receive and save the Controller acknowledgment email and notify the AAB Clerk	
3.16.4	Upon controller acknowledgement, the AAB Clerk will use the system to email/communicate the result/decision notice with applicants and email assessors simultaneously.	
3.16.5	The AAB Clerk will use the system to mass generate letters to Applicants/Agents of all appeals included in the SOC	In addition to hardcopies mailed to the Applicants/Agents, the system may email these letters.

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3.17	Processing Manually Submitted Waivers	
3.17.1	The AAB Clerk will select the appeal for which the waiver is submitted, enter the waiver type, date, etc. and upload the waiver form to be saved in the AAB Repository.	Applicants/Agents may submit waivers via the online portal or by mail/email/in person

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Item #	Requirements Description	Additional Details
4	**General Requirements**	
4.1	**Customer Portal User Access/Authentication**	
4.1.1	Portal will allow property owners to create account online	
4.1.2	User entered emails will be verified prior to activating their accounts	
4.1.3	Portal will allow authenticated access to portal users.	
4.1.4	Portal users will be able to set/change their passwords.	
4.1.5	Poral will have Forget Password functionality.	
4.1.6	Portal will allow users to update their account settings.	
4.2	**AAB Portal & Internal User Portal User Access/Authentication**	
4.2.1	Portals will use AD or OKTA group authentication	
4.2.2	Portals will have different level of user access including but not limited to: AAB Clerk, Assessor, AAB Board, County Attorney, etc.	
4.3	**Letters and Notices**	
4.3.1	System will save request forms, letters and notices templates to be automatically generated as needed	
4.3.2	System will allow AAB Clerk to update form, letter and notice templates	
4.3.3	System will be able to generate & email letters and notices (as per the template) for individual appeals and for a group of appeals (mass generation)	

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4.4	Communication/Correspondence	
4.4.1	System will be able to generate and send emails to Applicants or their Agents and other parties (e.g. Assessor, board members, etc.)	
4.4.2	System will allow AAB Clerk to review and update emails prior to sending to submitters	
4.4.3	System will be able to save generated notices, letters, etc. to the appeal repository and associate them with the appeal	All outgoing notices and letters will be saved in the AAB Repository
4.4.4	System will notify the AAB Clerk of received email responses and/or Docusign forms from Applicant/Agent	
4.4.5	System will maintain the history of all appeal related communication/correspondence	
4.4.6	The system will enable the authorized user to track the communication/correspondence history of an appeal	
4.5	Appeal History Tracking	
4.5.1	The system will enable the authorized user to track the history of the appeal: application, related requests and their status, hearing dates, hearing date notes, Appeal status, etc.	
4.6	Appeal Documents	
4.6.1	All appeal documents (application form, submitted requests, attachements, etc.) and outgoing letters/notices will be saved in the AAB Appeal Repository	Currently AAB is still considering different options to set up their document repository. AAB is open to have the document repository within the future system given that documents can be accessed within and outside the county based on user privileges.
4.6.2	System/Portal interface will provide link/access to view appeal documents according to the user permissions	If the future system will not include a document repository, it must be able to access (display, save, link) to documents in the repository from within the system
4.6.3	System will automatically save digitally signed documents, attachments uploaded via the online portal, etc. to the AAB Repository	
4.6.4	System will prompt the AAB Clerk to upload manually received forms/requests and other documents and save them in the AAB Repository	

Exhibit A - 1

4.7	**Appeal Documents Tracking/Management**	
4.7.1	All documents related to an appeal including but not limited to: - Application form (Digitally signed or scanned/uploaded) - Stipulation form (Digitally signed or scanned/uploaded) - All related submitted forms (digitally signed or scanned/uploaded) - Outgoing notices/letters/etc -Evidence submitted by both parties will be saved to the AAB Document Repository and will be accessable/viewable from the AAB Clerk Portal, customer portal and internal user portal interfaces	Permissions and user privileges to be applied to document access
4.8	**Business Rules**	
4.8.1	The system will apply pre-defined business rules to validate user entry, provide appropriate messages, determine next workflow step, etc.	
4.8.2	The system will allow the authorized user to configure/change predefined business rules	
4.8.3	The system will allow the authorized user to configure payment amounts for different services	Currently, application submission and written findings are the only paid servcies.
4.8.4	The system will apply rules to govern the uploading of attachments (eg. File type, size, etc)	
4.8.5	The system autogenerate request numbers and appeal numbers as per pre-defined format	Currently AAB does not use application/request numbering. Appeal numbers are manually generated and tracked only for accepted/paid appeal applications. Appeal Number format is YYYY-9999
4.9	**Statistical Reporting**	
4.9.1	The system will provide statistical reports as needed by AAB	

Exhibit A-2

AAB System Non-Functional Requirements

Item #	Requirements Description	Additional Details	AST Comments
1	**Hosting, Availability & Performance**		
1.1	The system will be hosted in a FedRamp certified cloud		Salesforce OOTB
1.2	The System will support both high availability and disaster recovery		Salesforce OOTB
1.3	The system shall provide the capability to schedule routine jobs or one-time jobs that are resource intensive (e.g., mass updates).		Salesforce OOTB
1.4	The system shall provide the capability to tune the system for increasing system performance for transaction screens, processes and/or reports (e.g., index a table, allocate more memory, etc.).		Salesforce OOTB
1.5	The System shall meet the required page/screen response time of 3 seconds or less	The page response time for internal/external users should not exceed 3 seconds. The solution must ensure that performance is not degraded when executing on-line analysis, reporting, or other functions during normal system operations.	Salesforce OOTB
1.6			

1

Exhibit A-2

AAB System Non-Functional Requirements

Item #	Requirements Description	Additional Details	AST Comments	URLs / Comments
2	**Security & Confidentiality**			
2.1	The System shall comply with all applicable County security policies and adhere to all legal, statutory, and regulatory requirements, as determined by the County		Salesforce OOTB	
2.2	The system will provide role-based access according to defined roles and privileges	For example, Assessor staff will have read only access specific information related to the appeal. AAB internal notes will not be accessed/viewed by Assessor staff.	Salesforce OOTB and AST will configure and provide role-based access	
2.3	The System shall support a secured form of user authentication		Salesforce OOTB feature and AST will configure and provide user authentication	https://developer.salesforce.com/docs/atlas.en-us.securityImplGuide.meta/securityImplGuide/security_sharing_setup.htm
2.4	The system will provide AAB Clerk and Internal users single sign on capability	Through AD or OKTA integration. SSO should provide a seamless and transparent authentication experience for users without the need for repeated logins.	AST has the configuration of Single Sign On functionality included in scope using Salesforce OOTB SSO Configuration.	https://developer.salesforce.com/docs/atlas.en-us.securityImplGuide.meta/securityImplGuide/security_sharing_setup.htm
2.5	The System shall provide more-advanced session management abilities including, but not limited to allowing duplicate logins/sessions, remote logout and location-specific session timeouts		Salesforce OOTB and AST will configure and provide user authentication	

2

Exhibit A-2

2.6	The System shall provide the ability to identify certain information as confidential and only make that accessible by appropriately authorized users	For example, notes of AAB Clerk cannot be viewed by Assessor staff	AST has included the configuration of user based roles, profiles and groups in scope using Salesforce OOTB configuration to limit access and or visibility to records per AAB's requirements.	
2.7	The System shall provide AAB Clerk and Internal users the capability for remote access in compliance with existing County / State / Federal connectivity/security policies		Salesforce OOTB	

Exhibit A-2

2.8	The system will encrypt PII and confidential information transmitted to or from the system on the internet or other known open networks, including such information that is emailed out of the system to applicants or agents.	The appeal application does not contain SS numbers or dates of birth, however, other information that is determined by AAB to require encryption will be treated as PII information.	**1.Salesforce Shield Platform Encryption (Additional License)** •Encrypts sensitive data at rest within Salesforce •Can encrypt standard and custom fields, files, and attachments •Preserves functionality while maintaining security **2. Secure Transport Protocols** •Salesforce uses TLS (Transport Layer Security) for all communications over the public internet or private networks •All data transmitted between users and Salesforce is encrypted by default •HTTPS is enforced for all connections **3. API Security** •API communications use the same TLS encryption as browser sessions •OAuth 2.0 is available for secure API authentication	https://resources.docs.salesforce.com/latest/latest/en-us/sfdc/pdf/salesforce_platform_encryption_implementation_guide.pdf
2.9	Online payments will be secured, use encryption. AAB will not store customer credit card informatmion		AST will build integration in conjunction with the payment processing vendor to accept payments without storing credit card information. Refer to point 2.8 for security reference.	

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Exhibit A-2

2.10	The system will provide a secured upload capability for customers to upload documents containing confidential information such as trade secrets, etc.		Salesforce OOTB	
2.11	The customer portal will apply password rules, security questions, two factor authentication and account lock out features		Salesforce OOTB and AST will configure and provide user authentication	https://developer.salesforce.com/docs/atlas.en-us.securityImplGuide.meta/securityImplGuide/security_sharing_setup.htm
2.12	The system will implement session timeouts to automatically log users out after a period of inactivity.	The system should be set to alert the user prior to session timeout and prompt them if they would like to save their entry prior to closing the session. If the user selects to save their entry, they will be able to resume their process where left. Once they time out, the system should have a feature that sends out reminders for them to come back and finish the application online.	AST will configure using Salesforce OOTB functionality	Setup → Session Settings → Timeout Value
2.13	If an applicant session has timeout out or if their application is not submitted, the system will send out email alerts to remind them to complete their application.	Number of reminders, time window, etc. should as per business rules.	AST has included email notifications as part of its scope.	
2.14	The system will apply proper validation and restrictions on file uploads to prevent malicious files from being uploaded		AST has included the configuration of rules as part of its scope.	
2.15	The system will apply measures to secure file downloads.		AST will configure the system to ensure secure file downloads.	

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Exhibit A-2

2.16	The system will maintain a log of security events and potential threats	At a minimum the events will include, but not be limited to: a. Start/stop b. User login/logout c. Session timeout d. Account lockout i. Node-authentication failure j. Signature created/validated k. Security administration events l. Backup and restore	Salesforce OOTB	
2.17	The System shall maintain an audit trail of all additions, changes and deletions made to data in the System via UI or backend database. This must include, but is not limited to: a. The user ID of the person who made the change b. The date and time of the change c. The physical, software/hardware and network location (IP address) of the person while making the change d. The information that was viewed, accessed, or changed e. The outcome of the event f. The data before and after it was changed, and which screens were accessed and used	The ability to capture the audit trail should be configurable so that the administrator can enable/disable this functionality as deemed necessary.	Salesforce OOTB	https://help.salesforce.com/s/articleView?id=xcloud.tracking_field_history.htm&type=5

Exhibit A-2

2.18	The System shall provide administrators with the capability to read all audit information from the audit records in multiple ways including but not limited to the following: 1) The System shall provide the audit records in a manner suitable for the user to interpret the information. The System shall provide the capability to generate reports based on ranges of System date and time that audit records were collected, User name, change type, etc...) 2) The System shall be able to export logs into text format		Salesforce OOTB	
2.19	The System shall protect the stored audit records from unauthorized deletion/purge		Salesforce OOTB with Salesforce Shield	
2.20	The system shall prevent the stored audit records from being changed.		Salesforce OOTB	To prevent stored audit records in Salesforce from being changed, we will leverage features like Field History Tracking and Setup Audit Trail, ensuring that any modifications to these records are logged and can be reviewed, but not altered
2.21	The system will enable the definition of retention periods for security logs and audit trails	System will automatically purge records past the retention period	Salesforce OOTB	
2.22	The System shall ensure data integrity. The system shall have the ability to maintain data in a predictable and consistently safe state	System will maintain referential integrity, maintain the integrity of data during concurrent access, etc.	Salesforce OOTB	

Exhibit A-2

2.23	The System shall not allow users to edit the same record at the same time. (Allow other users to view that record)		Salesforce OOTB	
2.24	The System shall provide the ability to recover from data loss due to end user error and application error		Salesforce OOTB	

Exhibit A-2

AAB System Non-Functional Requirements

Item #	Requirements Description	Additional Details	AST Comments
3	Usability		
3.1	The customer portal will be compatible with all commonly used web browsers	Chrome, Edge, Bing, Firefox, Safari, etc.	**List of Salesforce-supported web browsers:** Google Chrome- Recommended for best performance and must be the latest stable version. Mozilla Firefox - Supported with the latest stable version. Apple Safari (Mac only) - Supported on the latest stable version of macOS. Microsoft Edge - Chromium-based Edge is
3.2	The customer portal will support responsive design to be used on mobile devices and tablets.		Salesforce customer portals built using Salesforce Experience Cloud are designed to adapt to different screen sizes and resolutions, ensuring a consistent and functional user experience whether accessed on a desktop,
3.3	The Internal User and AAB Clerk portals will be standard web browser-based Thin-Client Technology that supports centralized software distribution and	Chrome, Edge, Bing, Firefox, Safari, etc.	Refer point 3.1
3.4	The System shall provide an easy to use and intuitive Graphical User Interface (GUI) that enables the user to quickly navigate to the next logical step in the workflow		Salesforce OOTB
3.5	The System shall provide seamless integration to other/secondary systems to minimize the necessity of leaving the core system to accomplish work tasks	AAB Document Repository, Assessor System	AST has included integration with the Assessor System, Box (document Respoistory), Payment Processor, and Docusign
3.6	The System shall include, at minimum, the following features and capabilities: a. Drill down and look up functionality to minimize time required for access to more detailed information b. Multi-tasking and multiple window capability c. Search capabilities to allow retrieval by Appeal Number, Applicant Name and/or Agent name, Agent Agency name, Company name, Account Number, Parcel Number, property address, Tax bill number, or		Salesforce OOTB
3.7	The System shall provide on screen confirmation/acceptance to the user to confirm a change or deletion that is permanent and cannot be "undone"		Salesforce OOTB

Exhibit A-2

3.8	The System shall provide all user instructions & help tips in a visible location, when appropriate, including hover over / tooltip help or context messages (the System shall provide the option to turn off this option in the user preferences profile).	The help tips should have the capability to include links to various resources, such as samples of the supplemental assessment notice, ESC notices, the tax collector's website, or the AAB website for downloading the agent authorization form.	Salesforce OOTB
3.9	The System shall express its error messages in plain language, precisely indicate the problem, and constructively suggest a solution		Salesforce OOTB for system related errors. AST with also include comprehensive error messages for any custom integration errors
3.10	The System shall facilitate data entry including providing existing values and codes via drop-down or pop-up lists boxes and system-based auto-fill as confirmed by a		Salesforce OOTB
3.11	The System shall provide the ability to make fields visible/invisible depending on parameters, user rights,		Salesforce OOTB
3.12	The System shall provide validation checks of user entered fields and identify invalid entries to the user as immediately as possible	USPS Address verification, phone/email format verification, APN & Account number	Salesforce OOTB
3.13	The System shall will be able to conditionally define optional and mandatory fields based on pre-defined		AST will configure rules using Salesforce OOTB functionality
3.14	The System shall allow incomplete data sets to be saved as "work-in-progress" for completion of the workflow at a later time	For example, an applicant will be able to save the application for completion and submission at a	Salesforce OOTB
3.15	The System shall highlight and flag mandatory and/or incomplete data fields	The user will not be allowed to proceed until the mandatory/incomplete fields are	AST will configure the system using Salesforce OOTB functionality to flag mandatory and / or incomplete data fields.
3.16	The System shall clearly indicate any calculated/derived data and prompt users to confirm and accept or override (where applicable)	For example, the total value under 4B of the application form (Applicant's Opinion of Value) should be automatically calculated to ensure it always	AST will configure rules using Salesforce OOTB functionality.
3.17	The System shall enable the AAB Clerk to view/process incoming applications, in progress appeals, etc.		AST has included the ability to view and process incoming applications, progress appeals as part of its scope.
3.18	The System shall have the capability to send messages/ notification to the intended authorized users as per predefined rules	The notification/email sent out should be assocuated with the appeal to enable the user the retrieve the history of all sent out	AST will configure notification rules using Salesforce OOTB functionality

Exhibit A-2

3.19	The System shall support uploading and attaching multiple file types to an Application and apply file size and type rules to uploaded attachments.	File types include but not limited to: PDF, word, excel, jpeg, other picture file formats, etc.	AST will configure upload of multiple files types using Salesforce OOTB functionality
3.20	The System shall provide capability for AAB users to generate operational reports needed to conduct AAB affairs and create lists of appeals in certain statuses and/or appeals that have been created or modified in certain date ranges		Creating and generating reports is Salesforce OOTB functionality. However AST has also included inscope the creation of reports using the Salesforce OOTB functionality as part of its solution.

Exhibit A-2

AAB System Non-Functional Requirements

Item #	Requirements Description	Additional Details	AST Comments	URLs
4	**Integration and Data Interfaces**			
4.1	The system will be able to access the Salesforce based Assessor System to validate Assessor Parcel numbers, Account Numbers, and other data entered by the users		Integration with the Assessor System is inscope and will capture the required data from the system.	
4.2	The system will be able to populate data & values that are pulled the Assessor system bases on data entered in the AAB system or Customer portal	Including but not limited to: Situs Address TRA Property Use Code (PUC) District/Neighborhood Roll Values (for appeal year) Owner Name (for reference purposes) Company or Organization name DBA	Integration with the Assessor System is inscope and will capture the required data from the system.	
4.3	The system will provide APIs which will enable the Assessor system or other external authorized systems to pull information about new approved appeals, authorized agents, hearing dates, etc.	The Assessor system is built on the salesforce cloud.	Integration with the Assessor System is inscope and will capture the required data from the system.	
4.4	The system will provide appeal data exports and/or APIs as needed by external systems such as the Assessor Roll Tracker	Exports may be configured as periodic jobs, one time using date range, other parameters.	AST will create the required APIs or data exports to satisfy the requirement.	

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Exhibit A-2

4.5	The system will support exporting data in various formats including csv, xlsx, txt, PDF etc.		Salesforce OOTB	When to Use Data Loader | Data Loader Guide | Salesforce Developers
4.6	The system will enable the export of Appeal data as required for file purchases.	Assessment Appeals Format	AST will leverage Salesforce OOTB for exporting data.	
4.7	The system will have capability to enable user to generate the appeal sections of the BOE Workload report	BOE Workload Report - Appeals	AST will leverage Salesforce OOTB for report creation.	
4.8	The system will embed links to appeal documents stored in the AAB document repository		AST has included storing and linking documents with its integration to Box as part of its scope.	
4.9	The system will embed links to external systems to access specific data elements based on the open appeal record.	For example embed link to open parcel or account record in the Assessor system, link to tax website to view a given parcel or account tax bill, etc.	AST has included storing and linking documents with its integration to Box as part of its scope.	
4.10	The System's interfaces with external systems, will secure and protect (encrypt) the data and the associated infrastructure from a confidentiality, integrity and availability perspective		Salesforce OOTB	1. Secure Transport Protocols •Salesforce uses TLS (Transport Layer Security) for all communications over the public internet or private networks •All data transmitted between users and Salesforce is encrypted by default •HTTPS is enforced for all connections 2. API Security •API communications use the same TLS encryption as browser sessions •OAuth 2.0 is available for secure API authentication

Exhibit A-2

4.11	The System shall have the ability to use standards-based communication protocols, such as TCP/IP, HTTP, HTTP/S, SOAP, REST and SMTP.		Salesforce OOTB	
4.12	The System shall have the ability to track a message from its origin to its destination, inquire on the status of that message and address exceptions (for example, resend the message if a target times out).		AST will leverage Salesforce OOTB for message tracking..	
4.13	The system should have instructions on what steps, if any, are necessary in order to seamlessly transition the systems readiness from one fiscal year to the next		AST will create instructions to satisfy this requirement.	

Exhibit A-2

AAB System Non-Functional Requirements			
Item #	**Requirements Description**	**Additional Details**	**AST Comments**
5	**Data Migration**		
5.1	Data from the Legacy AAB system will be extracted, converted and migrated to the new AAB system	Legacy data is currently in AS400 DB2. The appeal master table has approximately 48K records. The same table also has 3 notes 500 char fields that will need to be converted and migrated. There are a few code validation & description tables.	AST has included this in scope
5.2	Data cleansing may be required in order to get legacy data to conform with functionality in the new system as will become evident through the project lifecycle		AST has included this in scope
5.3	Upon testing and acceptance of data in the staging DB, the data will be converted and migrated to the new AAB system DB	Post migration Data testing is required to verify the completeness and accuracy of the migrated data.	AST has included this in scope
5.4	Data Migration execution and subsequent verification needs to be optimized to the point wherein the AAB user community can tolerate the amount of downtime / availability during which neither the old system or new system would be available for transactions		AST has included this in scope

Exhibit A-2

AAB System Non-Functional Requirements

Item #	Requirements Description	Additional Details	AST comments
6	**Maintenance & Support Services**		
6.1	The Proposer shall provide maintenance and support services These services include: Bug fixes and issue resolution Regular updates and patches Performance monitoring and optimization Security monitoring and reporting User support and training Backups and Restores Application interface monitoring	A separate Maintenance and Support contract will be put in place with the vendor post implementation and go-live /warranty	AST has included this in scope

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Exhibit A-3

AAB Project Acceptance Criteria

The below Acceptance Criteria will apply to the Deliverables being Acceptance Tested. Defect levels with Priority are defined as:

Defect Type	Defect Description
Priority 1	Typically called "**Fatal**" defects. Result in total loss of functionality of the AAB system, inability to access the system. The defect prevents the System from meeting the majority of the County requirements. Defect may cause massive performance degradation, data corruption, data loss, and/or security violation. For example: - Users are unable to connect to or use the system to support essential functions - Unable to process submitted appeal applications, withdrawals, hearing calendar date requests, stipulations, amendments; - No correspondence is produced; - Unable to create an account online for property owners
Priority 2	Typically called "**Major**" defects Result in significant loss of functionality. A part of the system, module/component feature does not work, or the whole feature does not work in some situations. The defect prevents a major function of the System from meeting the AAB Clerk's requirements and there is no effective work around to meet these requirements. An incident where the system/application is operating with severe restrictions and no acceptable workaround exists (for example, performance is unacceptably slow) or consistent intermittent outages and/or failure of the production system, interfering with normal operations.. For example: - Unable to populate existing information related to an appeal; - Not allowing the AAB Clerk to search, view and sort appeals using a range of search parameters; - Required correspondence not generated - Navigation / links do not work per requirements
Priority 3	Typically called "**Minor**" defects Level of functionality of product, or module/component of the system is

	degraded, but not preventing normal operation. Some functionality cannot be utilized. An incident where an acceptable workaround exists. Most of the functions are still usable with some circumvention to establish normal service. Non-critical functionality is not working per requirements. For example: • Correspondence/Report format is wrong • Incorrect error messages
Priority 4	Typically called "Cosmetic" defects A production system/application problem isolated to a few users and/or non-critical tasks. User interface errors like placement of icons and buttons, field layout, spelling mistakes, unclear error messages, incoherencies but no functionality is impacted

In the event of a conflict regarding the appropriate Severity Level designation, each party shall promptly escalate such conflict to its management team for resolution through consultation between the parties' management, during which time the parties shall continue to handle the defects in accordance with the Priority Level designation defined above. In the rare case a conflict requires a management discussion, both parties shall be available within one business day of the escalation.

Acceptance Criteria for Acceptance Testing:

2. Exit criteria for Acceptance Testing for each Phases are subject the following conditions:
   - No Severity 1, Severity 2 or Severity 3 defects and County will prioritize Severity 4 defects for closure;
   - Contractor develops a plan mutually agreed with County to close all remaining Severity 4 defects within 60 days of production deployment; and
   - The AAB System including all modules included in the Phase that is planned for deployment to the production environment is ready for day-to-day operational use by the County ("Go Live").

Milestone & Deliverable Acceptance
During the Discovery Phase, County and Contractor will mutually define and agree in writing on the acceptance criteria and the duration of the County's review and acceptance of each deliverable and milestone based on the complexity and scale.

Conditional Approval

County may, but shall not be required to, conditionally approve in writing a Deliverable that contains deficiencies. Contractor will be responsible for correcting deficiencies that remain outstanding, as per mutually agreed upon plan, before final acceptance of such Deliverable.
Project Deliverable Acceptance Form

All project deliverables identified in Exhibit A that requires formal acceptance must be fully documented, reviewed, and approved by the County. The Acceptance of deliverables will be communicated formally via a deliverables acceptance form to be drafted by the County before the Project kick off meeting. The deliverable acceptance form shall contain the document name, version number, date, reviewers list and approvers list along with date. All approved deliverables will be stored in project documentation repository.

Exhibit B-1 Rate for Additional Services

Rate Card

Contractor Name: AST LLC

S.No	Staff Position	hourly rate Offshore Staff	Hourly Rate (USD)	Senior/ Junior
1	Solutions Architect	$ 120.00	$ 295.00	Senior
2	Data Architect	$ 100.00	$ 240.00	Senior
3	Data Architect	$ 75.00	$ 175.00	
4	DBA	$ 100.00	$ 194.00	Senior
5	DBA	$ 75.00	$ 185.00	
6	Reporting Analyst	$ 100.00	$ 189.00	Senior
7	Reporting Analyst	$ 75.00	$ 170.00	
8	Network Engineer	NA	$ 160.00	
9	Project Manager	$ 100.00	$ 270.00	Senior
10	Project Coordinator	NA	$ 155.00	
11	Business Analyst	NA	$ 240.00	Senior
12	Business Analyst	NA	$ 194.00	
13	Security Analyst	$ 90.00	$ 194.00	Senior
14	Technical Lead	$ 90.00	$ 194.00	Senior
15	Technical Trainer	NA	$ 179.00	
16	Technical Writer	NA	$ 158.00	
17	Tester	$ 75.00	$ 173.00	
18	Functional Consultant	$ 90.00	$ 175.00	
19				
20				

AST

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November 11, 2024

Heather Ledesma
Principal Management Analyst
County of San Mateo, CA
County Executive's Office
500 County Center, 5th Floor
Redwood City, CA 94063

Re: Request for Proposals for Architecture, Design, and Maintenance of an Electronic System for the San Mateo County Assessment Appeals Board, including a Public Portal for Electronic Document Submission

Dear Ms. Ledesma,

AST is grateful for the recent opportunity to present to your team at the County of San Mateo. We appreciate the chance to provide greater clarification on our responses and to answer your questions.

We believe that AST is uniquely qualified to modernize your processes and implement a solution utilizing industry best-practices for your tax assessment appeals. The solution, powered by the award-winning Salesforce platform, will save your citizens time and energy while also providing them with increased visibility. The implementation will serve both long-term and short-term goals, reducing expenditures and individual application processing times.

Thank you for including AST in this exciting potential opportunity. If you have any additional questions, don't hesitate to contact me at klovegrove@astcorporation.com or (949) 705-9861.

Sincerely,

Keith Lovegrove
Regional Sales Director
Applications Software Technology LLC

Initial

JP

Lisle, IL   Dallas, TX   Ontario, Canada   Pune, India

1. Follow-Up Questions

1. Can you describe AST's current partnership status with Salesforce, including any certifications or specific partnership levels (e.g., ISV, reseller, implementation partner)

AST has been recognized by Salesforce as one its **Top 30 Global Strategic partners**. In addition, we have attained **"Ridge"** level as a Salesforce implementation partner through the successful completion of projects and by offering a full range of services on the Salesforce platform. We are on track to achieve **"Crest"** level by the end of the year. As a Salesforce Partner, we innovate with leading social, mobile, and cloud technologies to deliver value to our customers. The Salesforce Customer Success Platform enables AST to innovate faster on a platform that connects everything across your business - apps, devices, and customer data - securely and at scale.

2. How many Salesforce projects has AST executed in the past 3 years? Of those, how many were completed on time and within budget? Additionally, how many of these projects involved the use of Salesforce Service Cloud?"

In the past three years, AST has executed 79 Salesforce projects. Sixty-three (63) of these projects involved Salesforce Service or Salesforce Public Sector Solutions (PSS) which includes Salesforce Service Cloud and Experience Cloud.

With one exception (see below) all Salesforce projects have been completed in mutually agreed upon timeframes and within agreed upon budget parameters. There have been instances where clients have requested timeline extensions due to their internal resource constraints, data migration complications or third-party licensing issues, but these have been accommodated and the projects completed to their satisfaction.

In the interests of full transparency, we have one project for the Hawaii Department of Commerce and Consumer Affairs that is on hold. AST was asked to remediate a failed project for DCCA involving multiple partners. AST has made good faith efforts to meet and exceed their obligations during this remediation project despite the DCCA project team at times not embracing their responsibilities or providing the collaboration, access and effort required to ensure a successful project outcome. AST has expressed a willingness to complete the project at significant additional cost to AST despite the many factors that have contributed to significant delays.

3. How many certified Salesforce professionals (FTEs) does AST employ, and what are their specific certifications? Where are these professionals located (e.g., US, India, elsewhere)?

We currently employ 77 Salesforce professionals located in the US, Canada, and India. The table below provides a breakdown of the Salesforce certifications and number of employees with such certification. Please see the resumes in Appendix A for the specific certifications proposed resources hold.

Salesforce Certification List	Count
Public Sector Solutions Accredited Professional	4

Salesforce Certified Administrator	52
Salesforce Certified Advanced Administrator	4
Salesforce Certified OmniStudio Consultant	19
Salesforce Certified OmniStudio Developer	29
Salesforce Certified Platform App Builder	27
Salesforce Certified Platform Developer I	42
Salesforce Certified Platform Developer II	9
Salesforce Certified Experience Cloud Consultant	9
Salesforce Certified Identity and Access Management Architect	3
Salesforce Certified Integration Architect	3
Salesforce Certified Sales Cloud Consultant	12
Salesforce Certified Service Cloud Consultant	10
Salesforce Certified Sharing and Visibility Architect	11
Salesforce Certified Integration Architect	3
Salesforce Certified Application Architect**	3
Salesforce Certified System Architect*	3
Salesforce Certified Data Architect	4
Salesforce Certified Business Analyst	4
Salesforce Certified Development Lifecycle and Deployment Architect	2
Salesforce Certified Sharing and Visibility Designer	1

4. Your proposal assumes that 77% of the resources will be based offshore. Please identify the key team members (by name or role), their specific roles, and the percentage of their allocation for each resource proposed for the County's AAB project.

While a large portion of the project resources on this project will be based offshore, we will meet with the County staff during their normal hours of operation. The following table addresses the roles and allocation for each AST resource planned for the project.

Role	Qty	Location	Allocation	Comments
Program Manager	1	Onshore	Partial	The Program Manager will be the resource with full responsibility for successfully delivering the project. The Program Manager will be the primary point of contact for the county. The Program manager will be actively engaged throughout the entire project.
Scrum Master	1	Offshore	Partial	The Scrum Master will be responsible for the tracking and reporting of all project related tasks. The Scrum Master will provide comprehensive reporting on the status of the project leveraging Jira as the primary tool for task management and maintaining the RAID log.

Solution Architect	1	Onshore	Partial	The Solution Architect in collaboration with the Business Analysts will be responsible for creating the solution architecture, documenting the solution in the Solution Design Document and providing oversite to the delivery team to ensure the development of the solution aligns with the county approved solution design. Although 50% allocated for the project there may be times when the Solution Architect is more engaged especially during the discovery and design period.
Senior Business Analyst	1	Onshore	Partial	The Senior Business Analyst will be actively engaged fulltime during the discovery and design and be partially allocated for the remainder to provide oversite to the Business Analyst. The Senior Business Analyst will work closely with the Solution Architect to create the solution design.
Business Analyst	1	Offshore	Fulltime	The Business Analyst ensures that the functional requirements of the solution are met and coordinates with the county's core team to demonstrate the solution.
Salesforce Technical Lead	1	Offshore	Partial	The Technical Lead is an experienced developer who provides guidance and manages the developers to ensure the build of the solution meets the requirements within the approved solution design.
Salesforce Developers	4	Offshore	Fulltime	Four Salesforce developers are dedicated fulltime to the project to build out the solution per the approved solution design.
Salesforce Data Migration Specialist	1	Offshore	Fulltime	The Data Migration Specialist will manage the data migration activities as it relates to Salesforce and work closely with the technical data migration team.
Quality Assurance Lead	1	Offshore	Partial	Like the Senior Business Analyst, the QA Lead is actively engaged in the discovery and design phase to help in creating the testing plan. Following the discovery and design phase the QA Lead provides oversight to the QA team to ensure the build of the solution meets the solution design and is thoroughly tested.
Quality Assurance Analysts	2	Offshore	Fulltime	QA resources execute testing throughout the entire project.

5. During the Configuration/Build stage of the project, which resources will be working onsite at the County location to interface with County staff? What is the expected frequency of their onsite presence?

AST has successfully delivered projects remotely using US-based and offshore resources similar to the staffing that we have proposed to the County. As we discussed during our presentation, no

matter the location of our resources, we plan to engage with the County during their normal working hours.

To provide the most cost-effective solution for the County, we have not included any onsite presence for this project. If the County would prefer to have onsite resources during any of the phases of the project, including the Configuration/Build stage, AST can meet that requirement, but that may incur additional travel costs.

To clarify what was discussed in the presentation to the County, AST uses PractiTest as centralized platform to organize, run and visualize all of our test efforts and is integrated with our instance of Jira.

PractiTest will allow us to reuse tests, avoid duplication and quickly how the User Acceptance Testing portion of the project is progressing. Jira enables us to easily track defects to ensure that we are addressing the County's concerns. We will provide access to Jira for the County staff so we can get continuous feedback.

Our goal in using all of these tools is to minimize the burden on County staff of this project and testing. To that end, we are happy to collaborate with the County on how best to achieve this goal while making the project successful.

7. If the County provides data in Excel or CSV format, or PDF files along with SME support to clarify the business rules, what is your estimated cost for data migration?

The handling of Data Migration that was included in our original response is as described below, meets the requirements described above, with some clarity required on the PDF files.

Description of Data Migration

- County of San Mateo would be responsible for performing extracts of the legacy data into a CSV format targeted for Salesforce, with advisory support from AST. AST is responsible for loading the extracted data into Salesforce and working with the County to validate the data
- All data extracted by County of San Mateo will have a unique identifier and if related to another record (such as a contact related to an account) the relation's unique identifier will be in the table as well.
- AST will import the data provided and a resulting CSV will be returned that contains any errors with the data. County of San Mateo staffers will be responsible for correcting any errors in the data.
- If data is being compiled from paper sources, it will be County of San Mateo responsibility to manually enter the data into the templates provided by AST.
- Data migration takes a significant amount of time and it is expected that County of San Mateo staff will start during the design phase to plan and get data ready for import.
- Document migration is not in the project scope.

- Backup and rollback procedures will be established in case of any data migration issues or unexpected data loss.

Often the success of projects depends on the effective migration of existing data from legacy systems. By leveraging AST's proven data conversion methodology, experience in converting large scale data, as well as pre-built templates and our data conversion accelerators, the risk associated with a large conversion of historical data is minimized. Since this is a substantial effort and would be a large part of the cost, we would be open to discussing options for migration including assumption of some work on the part of the County. Please note that this data migration proposal only includes data.

Budgetary number for Data Migration: $84k

Second Data Migration option

For this data migration option, AST will assume full responsibility for all extract, transform, and load (ETL) of County data.

Below is a description of anticipated work sessions for Data Migration along with their objectives and key activities:

- Discovery Sessions
  To understand the existing data landscape and data dependencies. Collaborate with County staff to identify and document data sources, formats, and relationship among them.
- **Data Mapping & Transformation Sessions**
  Discuss and prepare data dictionary maps to define the transformations and mappings between source and target systems. Also discuss and define if any specific conversions need to be performed during the transformation.
- **Data Validation Sessions**
  Work with the County staff to ensure data loaded is validated and fit for business use. Define criteria and rules for establishing the validation success. Also ensuring quality of data migrated meets County requirements.
- **Mock Dry Run Sessions**
  Execute a mock migration with County staff, addressing any issues and refining the migration plan.
- **UAT Sessions**
  Prepare for UAT by outlining test scenarios, test data, and acceptance criteria. Collaborate with end-users to identify test cases, data sets, and expected outcomes for UAT. Regular communication, collaboration, and feedback sessions with County staff throughout these work sessions are essential for addressing any concerns, refining the migration process, and ensuring a successful and well-validated data migration.

This data migration approach, which AST has developed from our years of experience in the public sector is robust and phased. AST will work with the County through the following stages:

- Defining all data that needs to be migrated (structured - rows and columns)
- Determining how this data maps from source systems to Salesforce and creating a mapping document
- Assisting the internal staff on SQL and transform approach for repeatable extractions
- Define and document steps to migrate data and attachments to Salesforce

- Identify manual steps and automation opportunities
- Create automation bot to perform heavy lifting attachments and data, as appropriate
- Performing test migrations of a subset of records for each data table into the sandbox
- Review errors, fix, repeat
- Performing full migration of all records for each data table into sandbox
- Review errors, fix, repeat
- Finalize production data migration plan
- Cut over date
- Communication plan
- Perform production migration
- Freeze current system
- Poll all data tables to get a count of records per table migrating
- Migrate data and attachments (use templates and transforms from sandbox to minimize errors)
- Match each data table count with destination table in Salesforce
- Complete once rows in original tables match destination tables

Budgetary Project Cost: $ 184,000*

If you opt to go this route most of the cost of data migration cost in the original proposal will be offset. This would amount to an increase of $120,000 over the quoted project amount.

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8. What is the duration of the Hypercare phase? What specific activities and support are included in Hypercare?

As stated in our proposed schedule (Section 5 of our response), we propose 20 consecutive business days of hypercare. This support period begins once the modules deployed in each respective phase transition to production and have "gone live." AST resources who were actively involved in the deployment phase will provide this post-production support.

During this support period, AST resources will continue to work collaboratively with their County counterparts to ensure that the system is operating the way that it was designed to work. Leveraging their experience and insight from the recently completed implementations, our team will be able to quickly address any issues, answer any questions, or provide additional training while County personnel are using the new system. These support periods offer the County a window of time to stabilize the system, better use the new system, and facilitate greater acceptance of the solution throughout the organization.

At the end of each phase, all project deliverables associated with that phase, including all set-up documents, training materials, technical specifications and standards, and procedures will be updated to include all last-minute changes. Once these documents are finalized, the originals are left with the County. Original copies of all sign-off documents are also provided to the County for your records.

AST's proposal also includes an additional period of ongoing production support provided by our dedicated Managed Services team. Responsibility for support will transition to the Managed

Services team in month two after production go-live with a brief period of overlap at the end of month one to facilitate transition activities.

9. Please provide AST's estimated costs for providing Maintenance and Operational Support (M&O) for the AAB Application over the following periods:

a. Year 1 M&O Cost (12 months)

b. Year 2 M&O Cost (12 months)

c. Year 3 M&O Cost (12 months)

d. Year 4 M&O Cost (12 months)

e. Year 5 M&O Cost (12 months)

Include a breakdown of costs by service type (Application support, New Enhancement Requests, Salesforce Release Cycle support, Etc.).

Year		M&O Cost
1	M&O Cost (12 months)	$153,900
2	M&O Cost (12 months)	$158,517
3	M&O Cost (12 months)	$163,273
4	M&O Cost (12 months)	$168,171
5	M&O Cost (12 months)	$173,216

The Managed Services team includes the skillsets to perform all three service types. Costs are not typically broken down by service type. Our Managed Services support will be provided utilizing a "capacity" model. With a capacity model, the hours can be used for any combination of support services (as outlined in the Scope of Work for Managed Services section), as prioritized by the County. AST shall provide managed services for a fixed monthly fee for fixed capacity/number of hours (onshore and offshore) each month.

The capacity model provides the ability for the County to roll over unused hours for Salesforce support from one month to the next and AST permits that rollover, subject to the following restrictions:

- Unused hours can be 'rolled over' to the next month. This number should not exceed the specified rollover limit for the monthly capacity.
- The maximum number of rollover hours for the capacity is 15 hours/month allowing total rollover hours to accumulate to no more than 135 hours (one month of capacity) in a 12-month contract period.

Regarding service types, our experience has shown that the majority of requests will relate to new requests for minor enhancements.

AST Role	AST Responsibilities
Service Delivery Manager (SDM) Onshore 10%	Responsible for providing overall management of operations for services provided by AST. Services can include the following: • Service request queue management • Manage change control and change control process • AST Managed services status updates and SLA reporting • AST service scope management • AST resource management • Coordinate with State's PMO in the execution of the services in scope • Primary point of contact for escalations • Co-Liaison with Salesforce for product issues/escalations
Functional Support Analysts Onshore 10 % Offshore 40 %	Responsible for providing functional support of enhancement services and/or support services as directed. Services can include the following: • Provide functional support for incident and problem management • Interaction with State business users, internal IT support teams, and/or system vendors on incident resolution • Provide application functionality expertise to users in Salesforce • Provide support for Workflow-related issues • Provide training to users as part of incident resolution • Update documentation related to configuration, incident, and problem management • Provide estimates for new enhancements and change requests • Create design documents for new enhancements and change requests • Conduct and document unit testing of changes to the system introduced through the support process • Lead change control and production migration for changes to the system • Log Salesforce Service Requests and support the issue resolution process
Technical Support Analysts Onshore 15% Offshore 85%	Responsible for providing technical support of enhancement services and/or support services as directed. Services can include the following: • Provide technical support for incident and problem management • Integration support for interfaces feeding in and out of Salesforce • Provide support for Workflow-related issues • System administration - custom role maintenance and creation • Create/update technical design documents for incidents, enhancement, and change • Conduct and document unit testing of changes to the system introduced through the support process • Lead change control and production migration for changes to the system • Modify existing and/or create new reports as needed using Salesforce reporting tools • Log Salesforce Service Requests and support the issue resolution process

AST will endeavor to assign the individuals identified in RFP responses, oral presentations, and this clarification upon project award. However, due to possible delays in contracting and the start or

completion of other client projects, consultants are reserved only after customers sign a negotiated Statement of Work and Service Agreement.

The names and resumes presented below reflect the caliber and experience of resources that AST will assign to this project if awarded. Any alternate resources will have equal or greater qualifications than those listed here and the County will be afforded the opportunity to review resumes and interview assigned consultants prior to onboarding, if desired.

Resource	Project Role	Profile	Years' Experience	Location
Jeanice Young	Project Manager	Mrs. Young is a cross-functional project/program manager with over 20 years of unique cross-industry and technology experience defining and implementing innovative projects and programs. She leads and manages project teams and collaborates with software development to deliver multi-application solutions within the SDLC and Agile framework. She has a proven track record in project delivery and brings deep expertise in Agile transformation, iterative, and waterfall development methodologies.	20+	US
Kranthi Boduggam	Solution Architect	Mr. Boduggam has over 14 years of experience delivering complex IT solutions. He has played a key role on more than 7 digital transformation projects. He has a proven track record of delivering complex business solutions with a strong emphasis on quality while effectively managing teams for timely project delivery. His expertise includes proficiency in Apex Classes, Lightning Components, data migrations using various tools, and integration of business processes across systems. He is experienced in Agile methodologies and has strong communication skills.	14+	US
Marlon Gutierrez	Business Analyst	Mr. Gutierrez has 13+ years of experience delivering Salesforce solutions. He has played a key role on 40+ digital transformation projects. He excels in implementing and enhancing CRM, CPQ, Billing, and Marketing automation systems across the public sector.	13+	US
Lalit Sharma	Lead Technical Developer	Mr. Sharma has 12+ years of experience as a technical analyst, solution architect, and CRM subject matter expert. This includes extensive functional knowledge and experience in the design, development, and management of CRM and MDM solutions. He has strong solution design experience ranging from requirement analysis, scoping, and solution and system architecture of CRM-based solutions. Mr. Sharma also has	18+	India

Resource	Project Role	Profile	Years' Experience	Location
		experience with Data Quality Products – Oracle EDQ, Informatica IDQ, and Enterprise Data Integration development with Oracle PL/SQL, SQL Loader, and Informatica Power Center on Windows and Unix OS platforms.		

12. The County's standard contract template has been included with the RFP, and the awarded contractor will be expected to sign an agreement using this template. Please confirm that your firm has reviewed the contract terms, and if there are any exceptions, provide a detailed list of those exceptions.

AST acknowledges that it has reviewed the contract terms and conditions. We would appreciate the opportunity to discuss the items identified in the table below further if we are selected for award and enter into contract negotiations.

RFP Section	Subsection	Term	Comments/Revised Language
Agreement	3	Payment	AST includes an Acceptance procedure in its final SOW, it's based on objective standards for clarity therefore, AST request that the second sentence in section 3 end with "… in accordance with the Acceptance procedural set forth in the statement of work.
	5	Termination	By law, AST expects to be paid for all work performed in accordance with the statement of work and therefore requests that the phrase "Subject to availability of funding" be removed from the first paragraph of section 5.
			In the last paragraph of section 5, AST requests that the Contractor be allowed 10 business days or longer at the County's discretion, to implement a material fix instead of a patch.
	6	Contract Material	For clarity, AST requests that 'delivery of Work product is also contingent upon payment' be added to section 6.
	8	Hold Harmless	AST requests that section 13 be replaced in its entirety with the following:
			"The Contractor ("Indemnifying Party") shall indemnify and hold harmless and defend at its own expense, the City and City's officers, directors and employees (collectively, the "Indemnitees") from and against any claims, actions, demands and lawsuits by third parties for losses, damages and expenses including court costs and reasonable attorney's fees, incurred in connection therewith (collectively, "Third Party Claims") arising out of bodily injury to or death of any person or damage to any real or tangible personal property to the extent resulting from and/or caused by the negligence or intentional misconduct of the Indemnifying Party in connection with the performance of the Indemnifying Party's obligations under this Agreement or an SOW. The Indemnifying Party shall have no obligation or

RFP Section	Subsection	Term	Comments/Revised Language
			responsibility for any Claim to the extent based upon or resulting from the acts or omissions of an Indemnitee.
			Contractor shall indemnify, defend and hold harmless the Indemnitees from and against Claims alleging that Contractor's Services or the Deliverables infringe a validly existing Intellectual Property Right of such third party ("IP Claim"). Contractor shall have no obligation or responsibility for any IP Claim to the extent based upon or resulting from (a) the use, operation, or combination of the Services or Deliverables with programs, data, equipment or documentation not supplied or approved in writing by Contractor if such infringement would have been avoided but for such use, operation or combination; (b) modification of the Services or Deliverables, unless such modification has been performed by Contractor or at its direction; (c) the non-compliance with Contractor's written designs, specifications or user documentation supplied to an Indemnitee; or (d) information, direction, specifications or materials provided by an Indemnitee or by a third party not under Contractor's control. If the Services or Deliverables become, or are likely to become, in Contractor's opinion, the subject of an IP Claim, and without limiting Contractor's indemnification obligation above, Contractor shall procure for City (i) the right to continue using the same, or (ii) replace or modify the same to make it non-infringing provided that the replacement or modification performs the same functions and matches or exceeds the performance and functionality of the original. This section states the entire liability of Contractor and the exclusive remedy of the City Indemnitees in respect of infringement by the Services or Deliverables. City shall defend, at its own expense, and indemnify and hold Contractor and Contractor's affiliates harmless from and against any claims, actions, liabilities, losses, costs (including reasonable attorney's fees), suits, damages, costs, or demands, arising out of or relating to any claim by a third party to the extent based on any intentional misconduct or negligent act or omission of Customer.
			The Indemnitees shall give the Indemnifying Party prompt written notice of any Claim or IP Claim, as the case may be, and reasonable cooperation and assistance, at the Indemnifying Party's expense, in defending the Claim or IP Claim. The Indemnifying Party shall have sole authority to defend or settle such Claim or IP Claim, provided that the Indemnifying Party shall not settle any Claim or IP Claim in a manner that would admit liability of or create obligations for the Indemnitees without the Indemnitees' prior written consent. The Indemnitees shall not settle any Claim or IP Claim without the Indemnifying Party's prior written consent.
	10	Insurance	Professional Liability is not written 'per occurrence', AST requests that the requirement is revised to ' in the aggregate".
	14	Retention of Records	To safeguard AST's client's records; AST requests that any request to audit, review, monitor or related be requested with 14 day prior written notice to Contractor and that the scope of

RFP Section	Subsection	Term	Comments/Revised Language
			review is restricted to records, documents, and the like, which are directly related to the agreement.
		Additional	To protect both parties, AST requests that any resulting agreement contain the following language:
			Neither Party shall be liable for any indirect, incidental, special, punitive or consequential damages, including without limitation loss of profits (otherwise than in respect of any obligation to pay the fees due to Contractor), savings, revenue, business or data, however arising, whether in contract, tort (including negligence) or any other legal or equitable theory, even if it has been advised of the possibility of such damages; and (ii) the Parties' liability shall not exceed, in the event of District's liability to Contractor, the fees and expenses due and owing to Contractor, and in the event of Contractor's liability to District, the fees and expenses actually paid by District to Contractor, in each case pursuant to the SOW out of which the liability arose.
			The limitations shall apply regardless of whether a claim or liability is in contract, tort (including negligence) or any other legal or equitable theory, and notwithstanding the failure of any limited remedy of its essential purpose.

13. Please provide details of any current or past licensure, HIPAA, or non-discrimination claims against AST, including any that have occurred in the past five years, particularly those that resulted in legal claims or judgments.

We have never had any licensure, HIPAA, or non-discrimination claims.

Attachment IP
Intellectual Property Rights

1. The County of San Mateo ("County"), shall and does own all titles, rights and interests in all Work Products created by Contractor and its subcontractors (collectively "Vendors") for the County under this Agreement. Contractor may not sell, transfer, or permit the use of any Work Products without the express written consent of the County.

2. "Work Products" are defined as all materials, tangible or not, created in whatever medium pursuant to this Agreement, including without limitation publications, promotional or educational materials, reports, manuals, specifications, drawings and sketches, computer programs, software and databases, schematics, marks, logos, graphic designs, notes, matters and combinations thereof, and all forms of intellectual property.

3. Contractor shall not dispute or contest, directly or indirectly, the County's exclusive right and title to the Work Products nor the validity of the intellectual property embodied therein. Contractor hereby assigns, and if later required by the County, shall assign to the County all titles, rights and interests in all Work Products. Contractor shall cooperate and cause subcontractors to cooperate in perfecting County's titles, rights or interests in any Work Product, including prompt execution of documents as presented by the County.

4. To the extent any of the Work Products may be protected by U.S. Copyright laws, Parties agree that the County commissions Vendors to create the copyrightable Work Products, which are intended to be work-made-for-hire for the sole benefit of the County and the copyright of which is vested in the County.

5. In the event that the title, rights, and/or interests in any Work Products are deemed not to be "work-made-for-hire" or not owned by the County, Contractor hereby assigns and shall require all persons performing work pursuant to this Agreement, including its subcontractors, to assign to the County all titles, rights, interests, and/or copyrights in such Work Product. Should such assignment and/or transfer become necessary or if at any time the County requests cooperation of Contractor to perfect the County's titles, rights or interests in any Work Product, Contractor agrees to promptly execute and to obtain execution of any documents (including assignments) required to perfect the titles, rights, and interests of the County in the Work Products with no additional charges to the County beyond that identified in this Agreement or subsequent change orders. The County, however, shall pay all filing fees required for the assignment, transfer, recording, and/or application.

6. Contractor agrees that before commencement of any subcontract work it will incorporate this **ATTACHMENT IP** to contractually bind or otherwise oblige its subcontractors and personnel performing work under this Agreement such that the County's titles, rights, and interests in Work Products are preserved and protected as intended herein.

Issued by County of San Mateo Contract Compliance Committee July 1, 2013