



## CALSAVERS RETIREMENT SAVINGS BOARD

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Sacramento, CA 95814  
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[www.treasurer.ca.gov/calsavers](http://www.treasurer.ca.gov/calsavers)  
[www.calavers.com](http://www.calavers.com)

### Request for Proposals No. CRSB02-26 Program Fund External Auditing Services Notice to Prospective Proposers

**June 25, 2026**

You are invited to review and respond to this Request for Proposals (RFP) No. CRSB02-26 for Program Fund External Auditing Services for the CalSavers Retirement Savings Program ("CalSavers" or "Program"). The RFP specifically seeks proposals from an independent certified public accountant interested in providing Program Fund External Auditing Services.

Proposals for Program Fund External Auditing Services must comply with the instructions included in the RFP. The RFP includes the Standard Agreement the selected firm will be expected to execute. The Agreement that will be entered into will include by reference the General Terms and Conditions and Contractor Certification Clauses which may be viewed and downloaded online at <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language>.

The General Terms and Conditions and all Exhibits that are a part of the Sample Standard Agreement are not negotiable. By submitting a proposal, your firm agrees to the terms and conditions stated in this RFP. Proposals that do not accept all items included in the Standard Agreement will be deemed non-responsive and excluded from evaluation.

All responses to this RFP must be submitted in hard copy and electronic copy (by unprotected thumb drive or disc) and received by the Board no later than **4:00 P.M. Pacific Time on July 22, 2026**. Email or faxed submissions will not be accepted. All proposals must be mailed or delivered to:

CalSavers Retirement Savings Board  
Attention: Edward Park, Admin. Operations Manager  
915 Capitol Mall, Suite 140  
Sacramento, California 95814

In the opinion of the Board, this RFP is complete and without need of explanation. However, if you have questions or should you need any clarifying information, contact staff by email at [calsavers@treasurer.ca.gov](mailto:calsavers@treasurer.ca.gov). All questions must be submitted by email by **4:00 P.M. Pacific Time on July 1, 2026**.

Please note that no information given will be binding upon the State unless such information is issued in writing as an official addendum to this RFP.

**PLEASE CAREFULLY READ THE RFP AND FOLLOW THE INSTRUCTIONS.**

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## **1. PURPOSE AND DESCRIPTION OF SERVICES**

### **1.1 Scope Overview**

The CalSavers Retirement Savings Board (Board) is the administrator of CalSavers Retirement Savings Program (“CalSavers” or “Program”) as defined in Government Code section 100000(b), and the State agency responsible for the effective and efficient administration of the California Secure Choice Retirement Savings Trust (Trust). The Trust is composed of two funds: the Administrative Fund and the Program Fund.

The intent of this RFP is to select an independent certified public accounting firm to provide annual audited financial reports, for the fiscal years ending June 30, 2026, June 30, 2027, and June 30, 2028, prepared in accordance with generally accepted accounting principles, of the financial and operational status of the Program Fund within the Trust. The firm selected will be required to fulfill the auditing requirements set forth in Section 1.3 below.

### **1.2 Background and Program Overview**

The CalSavers Program is a voluntary retirement savings program that enables employee participation through payroll contributions into a Roth or traditional IRA, with a Roth IRA as the default.

The Program is managed by the CalSavers Retirement Savings Board – a transparent, nine-member Board chaired by the State Treasurer. The Program was created by Senate Bill number 1234, which was enacted in September 2016 and took effect January 1, 2017. Following the launch of a small pilot in November 2018, the Program opened fully statewide on July 1, 2019.

The Program requires that all private sector employers with five or more employees that do not offer a payroll deduction retirement savings vehicle provide their employees access to the Program. Under the State mandate, employers are exempt from the Employee Retirement Income Security Act, enabling their employees access to an automatic payroll deduction IRA with limited administrative duties, no financial cost, and no fiduciary responsibility on the part of the employer.

Employees benefit from the Program’s simple, portable, and low-cost retirement savings options. Contributions are made directly from the employee’s payroll into an IRA, with the option to change their contributions, or opt out, at any time. The CalSavers account will follow employees wherever they go, through career and other life changes, allowing them to contribute to the same account through different participating employers. Administrative expenditures for the Program are statutorily capped at 1% of the total Program Fund on and after six years from the date the Program is implemented, creating a low-cost mechanism for California workers to save for a secure retirement.

The financial statements are prepared in accordance with the generally accepted accounting principles applicable to fiduciary fund types, as prescribed by the Governmental Accounting Standards Board (GASB).

Staff of the California State Treasurer’s Office perform all fund accounting functions. Ascensus College Savings Recordkeeping Services LLC performs all participant recordkeeping and program administrator services. Investments are managed by State Street Global Advisors and Newton Investment Management.

**1.3 Scope of Work**

The following Scope of Work details the Program’s expectations for the External Auditor. The entire range of services include the following:

- a. Contractor agrees to provide to the Program audit and examination services for the Program Fund of the CalSavers Retirement Savings Board as described herein:
  - (i) An audit of the CalSavers Program fund including an evaluation of systems of internal control, in accordance with generally accepted auditing standards as set forth in Statements on Auditing Standards, and published by the American Institution of Certified Public Accountants. The audit and examination will be conducted so that the Contractor may render an opinion on the financial statements taken as a whole complying with Rule 58.1 of the State Board of Accountancy in conformity with generally accepted accounting principles, as promulgated by the GASB, and applicable provisions of State law.
  - (ii) Coordinate with CalSavers staff to incorporate Management Discussion and Analysis Language including Investment Commentary into audit report.
  - (iii) Contractor will treat all information in a confidential manner with all recommendations to be stated only in the audit reports provided to the Program for appropriate release by the Program as required by law.
- b. Contractor agrees to present to the Board an audit report for the Program Fund of the CalSavers Retirement Savings Board as described herein:
  - (i) Report shall include a statement of the scope of the audit and examination for the program fund; the period covered by the audit and examination; and a list of the financial statements included in the report.
  - (ii) Report shall include a statement of material audit findings and recommendations regarding the financial statements, internal control and accounting systems, and legality of actions for the program fund.
  - (iii) Report shall include any other material matter and information.
  - (iv) Draft and final versions of the audit reports will be due to Program staff pursuant to the schedule outlined in the table below:

<b>Estimated Due Dates Audit Report</b>	<b>Fiscal Year Ending June 30, 2026</b>	<b>Fiscal Year Ending June 30, 2027</b>
Draft Version	October 23, 2026	October 23, 2027
Final Version	November 20, 2026	November 20, 2027

Note: Due dates for the draft and final version of the report for fiscal year ending June 30, 2028, will be provided if the one-year option is renewed.

- (v) The Contractor shall review the proposed reports with Program staff prior to finalization and presentation to the Board as necessary.
  - (vi) Three (3) original printed copies of each report shall be prepared and provided to Program staff. An electronic version in PDF shall also be provided to Program staff.
  - (vii) The Contractor shall present the report to the Board.
- c. Contractor shall ensure that the quality and availability of the personnel assigned to this agreement will be maintained over the term of the agreement. Any changes in assigned personnel are at the discretion of the firm, provided that any replacements have substantially the same as or better qualifications and experience than the original personnel.
  - d. Contractor agrees to comply with any and all applicable accessibility requirements set forth in the Americans with Disabilities Act, Section 508 of the Rehabilitation Act of 1973, as amended, California Government Code Section 1135 and any current and future implementing regulations, policies, procedures and standards promulgated thereunder, including, without limitation, the federal accessibility standards set forth in 36 C.F.R. Section 1194.1, all as may be amended from time to time.
  - e. The services shall be performed at 915 Capitol Mall, Sacramento, CA 95814 or at the offices of the Contractor. The services shall be provided during normal working hours, Monday through Friday, except Holidays.

#### **1.4 Term of Agreement**

The term of the Agreement pursuant to this RFP, if any, will be from August 17, 2026 (or upon approval by the Department of General Services, whichever is later) through August 16, 2028, with an option to extend one additional year. The Agreement shall not become effective until approved by the Department of General Services (DGS), no work shall begin until the effective date. The amount of this agreement will be no greater than \$150,000 for the first two years, and the total amount of the agreement shall be no greater than \$225,000 over the entire Agreement term, including all optional extensions. Rates shall remain the same throughout the entire term of the Agreement.

## **2. MINIMUM QUALIFICATIONS**

The firm shall address the minimum qualifications stated below by completing Attachment 4 of the RFP. Failure to meet the minimum qualifications will cause your proposal to be considered unresponsive and the proposal will be disqualified.

Firms are required to meet the Qualifications and Experience listed in Section 3.3 of this RFP, and they must provide the applicable Attachments outlined in Section 5. Firms must also establish the following minimum qualifications. If the proposal includes subcontractors, all subcontractors must also establish compliance with the following minimum qualifications:

- a. Firm must be a professional certified public accounting firm, not in public employment, in business for at least three (3) years consecutively.
- b. Firm must be qualified to do business in the State of California.
- c. Firm must have an office and professional CPA staff in the State of California.

### **3. PROPOSAL REQUIREMENTS AND INFORMATION**

#### **3.1 Schedule (Key Action Dates)**

All Proposers are hereby advised of the following schedule and are expected to adhere to the required dates and times—all times are Pacific Time (PT).

<b>Date</b>	<b>Action</b>
June 25, 2026	RFP Available to Prospective Proposers
July 1, 2026 at 4:00 P.M.	Deadline for Written Question Submission
July 6, 2026	Answers to Written Questions Distributed
July 22, 2026 at 4:00 P.M.	Deadline for Proposal Submission
July 23 - 28, 2026	Evaluation of Proposals
July 29, 2026	Notice of Intent to Award
August 17, 2026	Anticipated Commencement of Agreement

The Board reserves the right to change the above dates and times, and, if so, an addendum to the RFP will be issued and made available online at <https://caleprocure.ca.gov/>. Potential Proposers that submit contact information in accordance with Section 3.4(l) of this RFP also will be notified via email. The Board also reserves the right to reject all bids and not to award an Agreement at all.

#### **3.2 Questions and Answers**

In the opinion of the Board, this RFP is complete and needs no further explanation. However, if you have questions, or should you need any clarifying information, you may submit written questions no later than 4:00 P.M. PT on July 1, 2026, by email to [calsavers@treasurer.ca.gov](mailto:calsavers@treasurer.ca.gov).

Answers to all written questions received by 4:00 P.M. PT on July 1, 2026, will be available online at <https://caleprocure.ca.gov/> on July 6, 2026.

#### **3.3 Content and Format of Proposals**

- a. Proposals should provide straightforward and concise descriptions of the Proposer's ability to satisfy the requirements of this RFP. The proposal must be complete and

accurate. Omissions, inaccuracies, or misstatements may be cause for rejection of a proposal.

b. In preparing proposals, Firms must:

(i) Include a cover letter stating:

- (A) The name, address, email, and phone number of the principal contact responsible for the oversight of the engagement. Indicate the availability of this person for meetings with Board and Board staff.
- (B) The name, address, email, and phone number of the project representative who will be available to the Board and its staff on a day-to-day basis during the term of the Agreement.
- (C) The name, address, email, and phone number of a key contact at each partner, if a consortium, and subcontractor, and what the person would be responsible for under the Agreement.

b. Provide information related to the Firm's Qualifications and Experience and Fees as described below. The allocation of points is defined in Section 3.5 of this RFP entitled "Evaluation Process."

(A) Qualifications and Experience of the Firm (Maximum of thirty-five [35] points)

Provide information related to the Firm's Qualifications and Experience and Fees as described below. The allocation of points is defined in Section 3.5 of this RFP entitled "Evaluation Process." Qualifications and Experience of the Firm (Maximum of thirty-five [35] points)

Provide a brief description of the firm's qualifications and experiences that demonstrate its capability as auditor with regard to State governmental agencies and ability to successfully complete the services outlined in the Scope of Work outlined in Section 1.3 of the RFP. The firm should have conducted, within the last five (5) years, at least two (2) audits of State governmental agencies. The firm must have experience in State accounting and related processes. Such experience may include a financial audit of a State department or services as an accounting consultant to a State agency. Completion of Attachment 3 (Proposer References) is an accompanying piece in documenting the firm's experience.

(B) Qualifications and Experience of Personnel (Maximum of thirty-five [35] points)

Identify the personnel who would be directly involved in providing the auditing services under this agreement. Provide a resume as well as a brief description of the background and experience of each individual, including the number of years and type of experience at the current firm as well as prior service. The party in charge of the Program's account should have at

least five (5) years of experience in public accounting and audits of State agencies, or services as an accounting consultant to a State agency.

(C) Cost Proposal (Maximum of thirty [30] points)

Use Attachment 5 (Cost Proposal Worksheet) to complete your Cost Proposal.

The amount of this agreement will be no greater than \$150,000 for the first two years, and the total amount of the agreement shall be no greater than \$225,000 over the entire contract term, including all optional extensions. The rates shall remain the same throughout the entire term of the Agreement.

The Cost Proposal shall follow the template outlined in Attachment 5 (Cost Proposal Worksheet). The Cost Proposal must identify and include an hourly rate for each level of staff who will be assigned to work on the services outlined in this RFP; subcontractor(s) cost (itemized); indirect costs (overhead and fringe benefits); travel; equipment and supplies (itemized); and other direct costs. Review this section and the calculations in your Cost Proposal carefully. Mathematical errors may be corrected by the Program.

Proposals submitted with a Cost Proposal that fails to meet any of the specified requirements outlined above, or in a form other than as provided for in Attachment 5, will be considered non-responsive and rejected.

**3.4 Submission of Proposals**

- a. All proposals must be submitted in hard copy and electronic copy (by **unsecured** thumb drive or disc) under sealed cover and received by the Board by **4:00 P.M. on July 22, 2026**, unless the Board provides notice that the date has been changed. Proposals received after this date and time will not be considered. Proposals received by fax or email will be rejected.
- b. One (1) unbound original including Required Attachments as described in Section 5 of this RFP, three (3) copies of the proposal, and an electronic version of the proposal (by **unsecured** thumb drive or disc), shall be mailed or delivered to the Board at the following address for U.S. Postal Service or hand deliveries (UPS, Express Mail, Federal Express, etc.):

CalSavers Retirement Savings Board  
915 Capitol Mall, Suite 140  
Sacramento, California 95814  
Attention: Edward Park, Admin. Operations Manager

- c. The original proposal must be marked "ORIGINAL COPY". All documents contained in the original proposal package must have original signatures and must be signed

by a person who is authorized to bind the proposing firm. All additional proposal sets may contain photocopies of the original package.

- d. The proposal envelopes must be plainly marked with the RFP number and title, your firm name and address, and must be marked with "DO NOT OPEN", as shown in the following example:

Request for Proposals No. CRSB02-26  
Program Fund External Auditing Services  
Firm Name  
Firm Address  
Contact Person and Phone Number  
"DO NOT OPEN "

Proposals may not be made under a fictitious name or business title. The actual legal name of Proposer must be provided.

Proposals not submitted under sealed cover and marked as indicated may be rejected.

- e. Proposals that omit the Minimum Qualifications Certification that is included in Attachment 4 of Section 5 will not be considered. Proposals shall include each of the required attachments on the Required Attachment Checklist. Proposals that do not comply with the requirements of the RFP shall be deemed non-responsive. This includes not meeting the minimum qualifications outlined in Section 2 of this RFP and failure to submit all of the Required Attachments outlined in Section 5 of this RFP. A proposal deemed non-responsive will be rejected.
- f. The Board reserves the right to reject all bids and not to award an Agreement.
- g. A proposal may be rejected if it is conditional or incomplete, or if it contains any alterations of form or other irregularities of any kind. The Board may reject any or all proposals and may waive any immaterial deviation in a proposal. The Board's waiver of immaterial defects shall in no way modify the RFP document or excuse the Proposer from full compliance with all requirements if awarded the Agreement.
- h. The Firm is solely responsible for the costs of developing proposals and costs incurred in anticipation of award of the Agreement. Such costs shall not be charged to the Board.
- i. An individual who is authorized to bind the Proposer contractually shall sign Required Attachment 2 in Section 5, the Proposal/Proposer Certification Sheet. The signature must indicate the title or position that the individual holds in the firm. An unsigned proposal may be rejected.
- j. A Firm may modify a proposal after its submission by withdrawing its original proposal and resubmitting a new proposal prior to the proposal submission deadline as set forth in the Schedule (Key Action Dates) in Section 3.1 of this RFP. The submission of a new proposal must comply with the requirements in this Section.

Proposal modifications offered in any other manner, oral or written, will not be considered.

- k. A Firm may withdraw its proposal by submitting a written withdrawal request to the Board, signed by the Proposer or an agent authorized in accordance with Subsection m) immediately above. A Proposer may thereafter submit a new proposal prior to the proposal submission deadline. Proposals may not be withdrawn without cause subsequent to the proposal submission deadline.
- l. The Board may modify this RFP prior to the date fixed for submission of proposals by the issuance of an addendum to all interested Proposers providing contact information, including an email address and phone number. The contact information must be submitted to [calsavers@treasurer.ca.gov](mailto:calsavers@treasurer.ca.gov) by 4:00 P.M. on July 6, 2026, when the Board will provide answers to any questions submitted in accordance with Section 3.2 of this RFP. The Board will also provide updates by email to all Proposers who have expressed interest and provided contact information.
- m. Upon announcement and release of this RFP and until selection of the winning Firm (and Notice of Intent to Award the Agreement), Firms (or potential Proposers) are not permitted to communicate with the Board, its staff or its Program and Investment Consultants with respect to the RFP except in connection with process and procedures related to the RFP. Any communication must be submitted by email to [calsavers@treasurer.ca.gov](mailto:calsavers@treasurer.ca.gov).
- n. Proposers are cautioned to not rely on the Board or Staff to discover and report to the Firm any defects and errors in the submitted documents. Before submitting their proposals, Firms should carefully review them, correct all errors, and confirm compliance with all of the RFP requirements.
- o. Proposals that contain false or misleading statements or provide references that do not support an attribute or condition claimed by the Firm, may be rejected. If, in the opinion of the Program, such information was intended to mislead the Board in its evaluation of the proposal, and the attribute, condition, or capability is a requirement of this RFP, it will be the basis for rejection of the proposal.
- p. More than one proposal from any firm, organization, partnership, corporation or association under the same or different names, will not be considered. Reasonable grounds for believing that any Firm has submitted more than one proposal for the work contemplated herein will cause the rejection of all proposals submitted by that Firm. If there is reason for believing that collusion exists among the Firms, none of the participants in such collusion will be considered in this or future procurements.
- q. No oral understanding or agreement shall be binding on either party.

### **3.5 Evaluation Process**

All proposals will be reviewed by an Evaluation Committee. The initial review of the proposals will confirm that all information has been submitted in conformity with the requirements of this RFP. The absence of required information will cause a proposal to be deemed non-responsive and may result in the proposal's disqualification. Responsive proposals will then be scored according to criteria herein. Proposals that do not accept the Terms and Conditions contained in the Standard Agreement may be considered non-responsive and rejected by the Board.

Responsive proposals will then be scored according to criteria herein. The scored categories and the corresponding weighting of each scored category is as follows:

<b>Scored Category</b>	<b>Weighting</b>
Qualifications and Experience of the Firm	35 points
Qualifications and Experience of Personnel	35 points
Cost Proposal	30 points
<b>Total Possible Points</b>	<b>100 points</b>

The evaluation committee will allot points for each scored category of the RFP, up to 100 points. The responsive and responsible Proposer earning the highest total score will be announced as the winner.

The following point scale will be used to score the responses to each scored category except with regard to fees.

<b>Points Awarded</b>	<b>Interpretation</b>	<b>General Basis for Point Assignment</b>
100%	Exceptional	Category is addressed with the highest degree of confidence in the Proposer's response. The response exceeds the Board's needs, requirements or expectations with superior background/experience/expertise
80%	Excellent	Response fully meets the Board's needs, requirements or expectations with a high degree of confidence in the Proposer's response. Proposer offers one or more enhancing feature, method, or approach exceeding basic expectations.
60%	Good	Response fully addresses category being scored. Good degree of confidence in the Proposer's response. Minimal weaknesses are acceptable.
40%	Adequate	Response (i.e. content and/or explanation offered) is adequate to meet the Board's needs, requirements or expectations. Any omission(s), flaw(s), or defect(s), are inconsequential and acceptable.

20%	Minimally adequate	Minimally addresses the category being scored, but one or more major considerations of the category are not addressed or are addressed in such a limited way that it results in a low degree of confidence in the Proposer's response.
0%	Inadequate	Fails to address any portion of the category being scored. The omission(s), flaw(s), or defect(s) are significant and unacceptable.

The following formula shall be used for the award of points in this section:

Lowest Cost Proposal, based on the Total Annual Cost from Attachment 5, is awarded the maximum cost points.

Other proposals are awarded cost points based on the following calculation:

- $(\text{Lowest Proposer's Cost}) / (\text{Other Proposer's Cost}) = (\text{Factor})$
- $\text{Cost points for Other Proposer} = (\text{Factor}) \times (\text{Maximum Points})$

EXAMPLE:

- A maximum of 30 points is available for cost
- Lowest Proposer's Cost Proposal = \$56,250, Other Proposer's Cost Proposal = \$75,000
- $(\text{Lowest Cost Proposal} / \text{Other Cost Proposal}) = \$56,250 / \$75,000 = 3/4$
- $\text{Points awarded to Other Proposer} = 3/4 \times 30 \text{ maximum points} = 22.5 \text{ points}$

Tiebreaker - In the event two (2) or more responsive and responsible proposers earn the highest score, the contract will be awarded to the responsive and responsible firm earning the higher score for cost. If the scores for cost are the same, the contract will be awarded to the responsive and responsible firm earning the higher score in Qualifications and Experience.

The Board is not required to award an Agreement.

### **3.6 Award and Protest**

- a. Notice of the proposed award shall be posted in a public place at the Office of the Board, 915 Capitol Mall, Suite 140, Sacramento, CA 95814 and online at [www.treasurer.ca.gov/scib](http://www.treasurer.ca.gov/scib) for five (5) working days prior to awarding the Agreement.
- b. If any firm, prior to the award of the Agreement, files a protest with the Board and the DGS Office of Legal Services, 707 Third Street, 7th Floor, Suite 7-330, West Sacramento, CA 95605, on the grounds provided under Public Contract Code Section 10345(b), the Agreement shall not be awarded until either the protest has been withdrawn or DGS has decided the matter. It is suggested that any protest be submitted by contacting the Protest Coordinator at [OLSProtests@dgs.ca.gov](mailto:OLSProtests@dgs.ca.gov).

- c. Within five (5) days after filing the initial protest, the protesting firm shall file with the Board and the DGS Office of Legal Services a detailed written statement specifying the grounds for the protest. It is suggested that this detailed written statement be submitted by certified or registered mail.

### **3.7 Disposition of Proposals**

- a. Upon proposal opening, all documents submitted in response to this RFP will become the property of the Board and the State and will be regarded as public records under the California Public Records Act (Government Code Section 6250 et seq.), subject to review by the public.
- b. The Board has the right to use any or all ideas or concepts presented in any proposal. Selection or rejection of the proposal does not affect this right.
- c. Proposal packages may be returned only at the Proposer's expense, unless such expense is waived by the Board.

### **3.8 Agreement Execution and Performance**

- a. Performance shall start not later than 30 days, or on the express date set by the Program and the Contractor, after all approvals have been obtained and the Agreement is fully executed. If the Contractor fails to commence work at the agreed upon time, the Board, upon five (5) days written notice to the Contractor, reserves the right to terminate the Agreement. In addition, the Contractor shall be liable to the State for the difference between Contractor's proposal price and the actual cost of performing work by another contractor.
- b. All performance under the Agreement shall be completed on or before the termination date of the Agreement.

## **4. PREFERENCE AND INCENTIVE PROGRAMS**

### **4.1 Small Business or Microbusiness Preference (if applicable)**

(If there are any inconsistencies herein with the applicable statutes, regulations, and State Contracting Manual, the statutes, regulations, and State Contracting Manual shall supersede.)

A five percent (5%) preference will be applied to certified small businesses submitting proposals for this RFP. To obtain the preference, Proposer must either be certified as a small business and submit a copy of their certification approval letter from DGS/Office of Small Business and DVBE Services (OSDS) or submit a complete application for certification to DGS/OSDS by 5:00 P.M. PT on the proposal due date. However, the proposed winning Proposer must be a certified small business at the time of contract award. The 5% preference is used only for computation purposes to determine the winning Proposer and does not alter the amounts of the resulting contract.

Once each proposal has been scored, if the highest scored proposal is from a non-certified small business, then 5% of the highest scoring proposal is added to the total "earned" points for each proposal submitted by a certified small business. These final numbers, with the 5% included, are then used to determine the highest scoring proposal. See Attachment 13 for additional information.

Questions regarding the small business certification or preference approval should be directed to the OSDS at (916) 375-4940 or can be found online at <https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>.

#### **4.2 Non-Small Business or Microbusiness Preference (if applicable)**

(If there are any inconsistencies herein with the applicable statutes, regulations, and State Contracting Manual, the statutes, regulations, and State Contracting Manual shall supersede.)

A five percent (5%) preference is available to a non-small business claiming twenty-five percent (25%) California certified small business subcontractor participation. If claiming the non-small business subcontractor preference, the proposal must include a list of the small business(es) with which the Proposer commits to subcontract in an amount of at least 25% of the net proposal price with one or more California certified small businesses. Each listed certified small business must perform a "commercially useful function" in the performance of the contract as defined in Government Code Section 14837(d)(4).

The required list of California certified small business subcontractors must be attached to the proposal and must include the following: 1) subcontractor name, 2) address, 3) phone number, 4) a description of the work to be performed and/or products supplied, 5) and the dollar amount or percentage of the net proposal price (as specified in the solicitation) per subcontractor.

Proposers claiming the 5% preference must commit to subcontract for at least 25% of the net proposal price with one or more California certified small businesses. Completed certification applications and required support documents must be submitted to the OSDS no later than 5:00 P.M. PT on the proposal due date. Questions regarding certification should be directed to the OSDS at (916) 375-4940 or can be found online at <https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>.

The preference to a non-small business firm that commits to California certified small business subcontractor participation of 25% of its net proposal price shall be 5% of the highest scoring proposal. A non-small business, which qualifies for this preference, may not take an award away from a certified small business. See Attachment 14 for additional information.

#### **4.3 Disabled Veteran Business Enterprise (DVBE) Incentive Program (optional)**

Mandatory California Disabled Veteran Business Enterprise (DVBE) Program Participation has been waived for this proposal.

This solicitation provides an incentive for DVBE participation. The Department of General Services (DGS) established a DVBE incentive pursuant to Senate Bill 115, Chaptered October 3, 2005 and the military and Veterans Code section 999.5(a). The regulations apply to all competitive solicitations for public works, services, goods, and information technology goods and services posted or released after October 9, 2007. The DVBE incentive is required in solicitations that include DVBE program requirements and may be offered in other competitive solicitations. Department of General Services' policy implements this program by rewarding prime proposers for increased DVBE participation: the more DVBE participation, the greater the incentive. This incentive program helps State agencies to meet their annual DVBE participation goals.

Attachment 15 links to more information regarding the DVBE Incentive Program. Proposers seeking the DVBE incentive must submit a completed DVBE Declarations form (DGS PD 843) that demonstrates DVBE participation and qualification for a DVBE incentive, with proposal submittal. All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the form(s). The DVBE Incentive participation is optional and at the discretion of the proposing firm.

Any contract awarded to a company committing to subcontract with a certified DVBE will follow requirements as provided in MVC 999.7 including compliance with the Std. 817 reporting process, and permanent withholds and deductions for non-compliance.

#### **4.4 Target Area Contract Preference Act (TACPA) preference (if applicable)**

The Target Area Contract Preference Act (TACPA) economic stimulus preference program was established to stimulate business investment in distressed areas of the state and create job opportunities for Californians for improving the economic vitality of their communities. TACPA is regulated by Government Code Sections 4530-4535.3 and California Code of Regulations 1896.30-1896.40. Any firm whose proposal is over \$100,000 may apply for Target Area Contract Preference Act (TACPA) preference. Both the TACPA workplace and workforce preferences will be evaluated for this solicitation. See Attachment 16 for additional information.

Proposers wishing to take advantage of the TACPA preference will need to review the following website and submit the appropriate response with the proposal:

<https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference>

**5. REQUIRED ATTACHMENTS**

Refer to the following pages for additional Required Attachments.

### **Attachment 1 - Required Attachment Checklist**

Complete this checklist to confirm the inclusion of attachments listed below. Place a check mark or "X" next to each item that you are submitting to the Board. For your proposal to be responsive, all required attachments must be included separate from the rest of the written proposal. Three (3) additional copies of these attachments must be submitted to the Board.

#### **RETURN THIS CHECKLIST WITH YOUR PROPOSAL PACKAGE**

<b><u>Attachment</u></b>	<b><u>Attachment Name/Description</u></b>
<input type="checkbox"/> Attachment 1	Required Attachment Checklist
<input type="checkbox"/> Attachment 2	Proposal/Proposer Certification Sheet
<input type="checkbox"/> Attachment 3	Proposer References
<input type="checkbox"/> Attachment 4	Minimum Qualifications Certification
<input type="checkbox"/> Attachment 5	Cost Proposal
<input type="checkbox"/> Attachment 6	Resumes of Key Personnel
<input type="checkbox"/> Attachment 7	Payee Data Record (STD. 204)
<input type="checkbox"/> Attachment 8	Contractor Certification Clauses (CCC 04/2017)
<input type="checkbox"/> Attachment 9	Darfur Contracting Act Certification
<input type="checkbox"/> Attachment 10	California Civil Rights Laws Certification
<input type="checkbox"/> Attachment 11	Generative Artificial Intelligence (GenAI) Notification
<input type="checkbox"/> Attachment 12	Bidder Declaration (GSPD-05-105)
<input type="checkbox"/> Attachment 13	Small Business or Microbusiness Preference (if applicable) *
<input type="checkbox"/> Attachment 14	Non-Small Business or Microbusiness Preference (if applicable) *
<input type="checkbox"/> Attachment 15	Disabled Veteran Business Enterprise (DVBE) Program Participation Instructions (if applicable) *
<input type="checkbox"/> Attachment 16	Target Area Contract Preference Act (TACPA) (if applicable)

\* Additional information about these preference programs can be found online at <https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/Office-of-Small-Business-and-Disabled-Veteran-Business-Enterprise/Certification-Program>

**Attachment 2 - Proposal/Proposer Certification Sheet**

This Proposal/Proposer Certification Sheet must be signed and returned along with all the "required attachments" as an entire package with original signatures. The proposal must be transmitted in a sealed envelope in accordance with RFP instructions.

- a. Place all required attachments behind this certification sheet.
- b. The signature affixed hereon and dated certifies compliance with all the requirements of this proposal document. The signature below authorizes the verification of this certification.
- c. The signature below certifies to the best of your knowledge that the information provided on this document is true and complete.

**An Unsigned Proposal/Proposer Certification Sheet May be Cause for Rejection**

1. Company Name	2. Telephone Number	2a. Fax Number
3. Address		
Indicate your organization type:		
4. <input type="checkbox"/> Sole Proprietorship	5. <input type="checkbox"/> Partnership	6. <input type="checkbox"/> Corporation
Indicate the applicable employee and/or corporation number:		
7. Federal Employee ID No. (FEIN)	8. California Corporation No.	
9. Indicate applicable license and/or certification information:		
10. Proposer's Name (Print)	11. Title	
12. Signature	13. Date	
14. Are you certified with the Department of General Services, Office of Small Business and Disabled Veteran Business Enterprise Services (OSDS) as:		
a. California Small Business? <input type="checkbox"/> Yes <input type="checkbox"/> No	b. Disabled Veteran Business Enterprise? <input type="checkbox"/> Yes <input type="checkbox"/> No	
If yes, enter certification number:	If yes, enter service code:	
<b>NOTE:</b> A copy of your Certification is required to be included if either of the above items is checked "Yes".		
Date application was submitted to OSDS, if an application is pending:		

Instructions for Proposal/Proposer Certification Sheet can be found on the next page

## Attachment 2 - Proposal/Proposer Certification Sheet

Complete the numbered items on the Proposal/Proposer Certification Sheet by following the instructions below.

Item Numbers	Instructions
1, 2, 2a, 3	Must be completed. These items are self-explanatory.
4	Check if your firm is a sole proprietorship. A sole proprietorship is a form of business in which one person owns all the assets of the business in contrast to a partnership and corporation. The sole proprietor is solely liable for all the debts of the business.
5	Check if your firm is a partnership. A partnership is a voluntary agreement between two or more competent persons to place their money, effects, labor, and skill, or some or all of them in lawful commerce or business, with the understanding that there shall be a proportional sharing of the profits and losses between them. An association of two or more persons to carry on, as co-owners, a business for profit.
6	Check if your firm is a corporation. A corporation is an artificial person or legal entity created by or under the authority of the laws of a state or nation, composed, in some rare instances, of a single person and his successors, being the incumbents of a particular office, but ordinarily consisting of an association of numerous individuals.
7	Enter your federal employee tax identification number.
8	Enter your corporation number assigned by the California Secretary of State's Office. This information is used for checking if a corporation is in good standing and qualified to conduct business in California.
9	Complete, if applicable, by indicating the type of license and/or certification that your firm possesses and that is required for the type of services being procured.
10, 11, 12, 13	Must be completed. These items are self-explanatory.
14	If certified as a California Small Business, place a check in the "yes" box, and enter your certification number on the line. If certified as a Disabled Veterans Business Enterprise, place a check in the "Yes" box and enter your service code on the line. If you are not certified to one or both, place a check in the "No" box. If your certification is pending, enter the date your application was submitted to OSDS.

### **Attachment 3 - Proposer References**

Submission of this attachment is mandatory. Failure to complete and return this attachment with your proposal will cause your proposal to be rejected and deemed nonresponsive.

Firm must submit at least five (5) references (if a firm will use subcontractors, it should submit three (3) references for each subcontractor) for services performed within the last five (5) years, which are similar to the scope of work to be performed in this contract. If the firm (or any of its subcontractors) manages or otherwise is engaged by one or more state-run retirement programs, then it must provide references for each engagement. Other references should include governmental agencies, preferably State of California agencies or agencies located in California, which are charged with overseeing the investment of funds held in trust for others.

<b>REFERENCE 1</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

<b>REFERENCE 2</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

<b>REFERENCE 3</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

<b>REFERENCE 4</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

<b>REFERENCE 5</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

**SUBCONTRACTOR REFERENCES (if applicable)**

<b>REFERENCE 1</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

<b>REFERENCE 2</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

<b>REFERENCE 3</b>			
Name of Firm:			
Street Address:	City:	State:	Zip Code:
Contact Person:		Phone:	
Dates of Service:		Value or Cost of Service:	
Brief Description of Service Provided:			

**Attachment 4 - Minimum Qualifications Certification**

The Proposer certifies that it fulfills all the minimum qualifications outlined in Section 2 of this Request for Proposals No. CRSB02-26. By signing this attachment, the Proposer also agrees that if selected as the Consultant for the Program, it will notify the Board immediately upon its failure to continue to meet the minimum qualifications.

On behalf of \_\_\_\_\_, I certify that said firm, including any  
(Firm Name)

and all partners (if a consortium) and subcontractors, complies with the Minimum Qualifications set forth in Section 2 of the RFP.

\_\_\_\_\_  
(Authorized Signature of Firm)

\_\_\_\_\_  
(Firm Name)

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Date)

\_\_\_\_\_

**(Title)**

**Attachment 5 - Cost Proposal**

All specifications outlined in Section 3.3 of the RFP shall be met or the proposal will be considered non-responsive and rejected.

**DIRECT LABOR**

POSITION TITLE	JOB DESCRIPTION	HOURS	RATE	TOTAL
			\$	\$
			\$	\$
			\$	\$

**TOTAL DIRECT LABOR** \$ \_\_\_\_\_

**INDIRECT COSTS (OVERHEAD AND FRINGE BENEFITS)**

ITEM	RATE	TOTAL
Overhead Rate	_____ %	\$ _____
Fringe Benefits	_____ %	\$ _____

**TOTAL INDIRECT COSTS** \$ \_\_\_\_\_

**DIRECT COSTS (EXCEPT LABOR)** **AMOUNT**

Travel Costs*	\$ _____
Equipment and Supplies (Itemized)	\$ _____
Other Direct Costs (Itemized)	\$ _____

**TOTAL DIRECT COSTS (EXCEPT LABOR)** \$ \_\_\_\_\_

<b>TOTAL ANNUAL COST</b>	<b>\$ _____</b>
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Be aware that the Program's budgeted amount for the contract is \$150,000 for the first two years, and no more than \$225,000.00, including all optional extensions. Rates shall remain the same.

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\* Travel cost will be paid based on the rates of the California Department of Human Resource (CalHR) for the comparable classes and no travel outside the State of California shall be reimbursed unless prior written authorization is obtained from the Program.

**Attachment 6 - Resumes of Key Personnel**

Include copies of resumes for key personnel who will be directly involved in providing the services outlined in the Scope of Work.

### **Attachment 7 - Payee Data Record**

Attach a completed Payee Data Record (form STD 204) here. A fillable form and instructions can be found at the following link:

<https://www.documents.dgs.ca.gov/dgs/fmc/pdf/std204.pdf>

**Attachment 8 – Contractor Certification Clauses (CCC 04/2017)**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective Contractor to the clause(s) listed below. This certification is made under the laws of the State of California.

<i>Contractor/Proposer Firm Name (Printed)</i>		<i>Federal ID Number</i>
<i>By (Authorized Signature)</i>		
<i>Printed Name and Title of Person Signing</i>		
<i>Date Executed</i>	<i>Executed in the County of</i>	

**CONTRACTOR CERTIFICATION CLAUSES**

1. **STATEMENT OF COMPLIANCE**: Contractor has, unless exempted, complied with the nondiscrimination program requirements. (Gov. Code §12990 (a-f) and CCR, Title 2, Section 11102) (Not applicable to public entities.)
  
2. **DRUG-FREE WORKPLACE REQUIREMENTS**: Contractor will comply with the requirements of the Drug-Free Workplace Act of 1990 and will provide a drug-free workplace by taking the following actions:
  - a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations.
  
  - b. Establish a Drug-Free Awareness Program to inform employees about:
    - i. the dangers of drug abuse in the workplace;
  
    - ii. the person's or organization's policy of maintaining a drug-free workplace;
  
    - iii. any available counseling, rehabilitation and employee assistance programs; and,
  
    - iv. penalties that may be imposed upon employees for drug abuse violations.
  
  - c. Every employee who works on the proposed Agreement will:
    - i. receive a copy of the company's drug-free workplace policy statement; and,
  
    - ii. agree to abide by the terms of the company's statement as a condition of employment on the Agreement.

Failure to comply with these requirements may result in suspension of payments under the Agreement or termination of the Agreement or both and Contractor may be ineligible for award of any future State agreements if the department determines that any of the following has occurred: the Contractor has made false certification, or violated the certification by failing to carry out the requirements as noted above. (Gov. Code §8350 et seq.)

3. NATIONAL LABOR RELATIONS BOARD CERTIFICATION: Contractor certifies that no more than one (1) final unappealable finding of contempt of court by a Federal court has been issued against Contractor within the immediately preceding two-year period because of Contractor's failure to comply with an order of a Federal court, which orders Contractor to comply with an order of the National Labor Relations Board. (Pub. Contract Code §10296) (Not applicable to public entities.)
4. CONTRACTS FOR LEGAL SERVICES \$50,000 OR MORE- PRO BONO REQUIREMENT: Contractor hereby certifies that Contractor will comply with the requirements of Section 6072 of the Business and Professions Code, effective January 1, 2003.

Contractor agrees to make a good faith effort to provide a minimum number of hours of pro bono legal services during each year of the contract equal to the lessor of 30 multiplied by the number of full time attorneys in the firm's offices in the State, with the number of hours prorated on an actual day basis for any contract period of less than a full year or 10% of its contract with the State.

Failure to make a good faith effort may be cause for non-renewal of a state contract for legal services, and may be taken into account when determining the award of future contracts with the State for legal services.

5. EXPATRIATE CORPORATIONS: Contractor hereby declares that it is not an expatriate corporation or subsidiary of an expatriate corporation within the meaning of Public Contract Code Section 10286 and 10286.1, and is eligible to contract with the State of California.
6. SWEATFREE CODE OF CONDUCT:
  - a. All Contractors contracting for the procurement or laundering of apparel, garments or corresponding accessories, or the procurement of equipment, materials, or supplies, other than procurement related to a public works contract, declare under penalty of perjury that no apparel, garments or corresponding accessories, equipment, materials, or supplies furnished to the state pursuant to the contract have been laundered or produced in whole or in part by sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor, or with the benefit of sweatshop labor, forced labor, convict labor, indentured labor under penal sanction, abusive forms of child labor or exploitation of children in sweatshop labor. The contractor further declares under penalty of perjury that they adhere to the Sweatfree Code of Conduct as set forth on the California Department of Industrial Relations website located at [www.dir.ca.gov](http://www.dir.ca.gov), and Public Contract Code Section 6108.

- b. The contractor agrees to cooperate fully in providing reasonable access to the contractor's records, documents, agents or employees, or premises if reasonably required by authorized officials of the contracting agency, the Department of Industrial Relations, or the Department of Justice to determine the contractor's compliance with the requirements under paragraph (a).
7. DOMESTIC PARTNERS: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.3.
8. GENDER IDENTITY: For contracts of \$100,000 or more, Contractor certifies that Contractor is in compliance with Public Contract Code section 10295.35.

### **DOING BUSINESS WITH THE STATE OF CALIFORNIA**

The following laws apply to persons or entities doing business with the State of California.

1. CONFLICT OF INTEREST: Contractor needs to be aware of the following provisions regarding current or former state employees. If Contractor has any questions on the status of any person rendering services or involved with the Agreement, the awarding agency must be contacted immediately for clarification.

Current State Employees (Pub. Contract Code §10410):

- a. For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
- b. For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the 12-month period prior to his or her leaving state service.

If Contractor violates any provisions of above paragraphs, such action by Contractor shall render this Agreement void. (Pub. Contract Code §10420)

Members of boards and commissions are exempt from this section if they do not receive payment other than payment of each meeting of the board or commission, payment for preparatory time and payment for per diem. (Pub. Contract Code §10430 (e))

2. LABOR CODE/WORKERS' COMPENSATION: Contractor needs to be aware of the provisions which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the provisions, and Contractor affirms to comply with such provisions before commencing the performance of the work of this Agreement. (Labor Code Section 3700)

3. AMERICANS WITH DISABILITIES ACT: Contractor assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. 12101 et seq.)
4. CONTRACTOR NAME CHANGE: An amendment is required to change the Contractor's name as listed on this Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.
5. CORPORATE QUALIFICATIONS TO DO BUSINESS IN CALIFORNIA:
  - a. When agreements are to be performed in the state by corporations, the contracting agencies will be verifying that the contractor is currently qualified to do business in California in order to ensure that all obligations due to the state are fulfilled.
  - b. "Doing business" is defined in R&TC Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit. Although there are some statutory exceptions to taxation, rarely will a corporate contractor performing within the state not be subject to the franchise tax.
  - c. Both domestic and foreign corporations (those incorporated outside of California) must be in good standing in order to be qualified to do business in California. Agencies will determine whether a corporation is in good standing by calling the Office of the Secretary of State.
6. RESOLUTION: A county, city, district, or other local public body must provide the State with a copy of a resolution, order, motion, or ordinance of the local governing body which by law has authority to enter into an agreement, authorizing execution of the agreement.
7. AIR OR WATER POLLUTION VIOLATION: Under the State laws, the Contractor shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.
8. PAYEE DATA RECORD FORM STD. 204: This form must be completed by all contractors that are not another state agency or other governmental entity.

**Attachment 9 - Darfur Contracting Act Certification**

Pursuant to Public Contract Code section 10478, if a Proposer or proposer currently or within the previous three years has had business activities or other operations outside of the United States, it must certify that it is not a “scrutinized” company as defined in Public Contract Code section 10476.

**Therefore, to be eligible to submit a bid or proposal, please complete only one of the following three paragraphs:**

1. \_\_\_\_\_ We do not currently have, or we have not had within the previous three  
Initials years, business activities or other operations outside of the United States

**OR**

2. \_\_\_\_\_ We are a scrutinized company as defined in Public Contract Code section  
Initials 10476, but we have received written permission from the Department of General Services (DGS) to submit a bid or proposal pursuant to Public Contract Code section 10477(b). A copy of the written permission from DGS is included with our bid or proposal.

**OR**

3. \_\_\_\_\_ We currently have, or we have had within the previous three years,  
Initials business activities or other operations outside of the United States, but we certify below that we are not a scrutinized company

**CERTIFICATION**

I, the official named below, CERTIFY UNDER PENALTY OF PERJURY that I am duly authorized to legally bind the prospective proposer/Proposer to the clause listed above. This certification is made under the laws of the State of California.

<i>Company/Vendor Name (Printed)</i>		<i>Federal ID Number</i>
<i>Printed Name and Title of Person Initialing</i>		
<i>By (Authorized Signature)</i>		
<i>Date Executed</i>	<i>Executed in the County and State of</i>	

**Attachment 10 - California Civil Rights Laws Certification**

Attach a completed California Civil Rights Laws Attachment (form DGS OLS 04) here. A fillable form and instructions can be found at the following link:

<https://www.dgs.ca.gov/-/media/Divisions/OLS/Forms/CALIFORNIA-CIVIL-RIGHTS-LAWS-Attachment.pdf>

## **Attachment 11 – Generative Artificial Intelligence (GenAI) Notification**

The State of California seeks to realize the potential benefits of GenAI, through the development and deployment of GenAI tools, while balancing the risks of these new technologies.

Government Code 11549.64 defines Generative Artificial Intelligence (GenAI) as an artificial intelligence system that can generate derived synthetic content, including text, images, video, and audio that emulates the structure and characteristics of the system's training data.

Proposer must notify the State in writing if it:

1. Intends to provide GenAI as a deliverable to the State; or
2. Intends to utilize GenAI, including GenAI from third parties, to complete all or a portion of any deliverable that materially impacts:
  - (i) functionality of a State system,
  - (ii) risk to the State, or
  - (iii) contract performance.

For avoidance of doubt, the term "materially impacts" shall have the meaning set forth in State Administrative Manual (SAM) §4986.2 – Definitions for GenAI.

Failure to report GenAI to the State may result in disqualification. The State reserves the right to seek any and all relief to which it may be entitled to as a result of such non-disclosure.

Upon notification by a Proposer of GenAI as required, the State reserves the right to incorporate GenAI Special Provisions into the final contract or reject proposals that present an unacceptable level of risk to the State.

## **Attachment 12 - Bidder Declaration**

Attach a completed Bidder Declaration (form GSPD-05-105) here. A fillable form and instructions can be found at the following link:

<https://www.documents.dgs.ca.gov/dgs/fmc/gspd/gspd05-105.pdf>

### **Attachment 13 – Small Business or Microbusiness Preference (if Applicable)**

Attach proof in claiming Small Business or Microbusiness Preference, if applicable.

A five percent (5%) preference will be applied to certified small businesses submitting proposals for this RFP. To obtain the preference, Proposer must either be certified as a small business and submit a copy of their certification approval letter from DGS/Office of Small Business and DVBE Services (OSDS) or submit a complete application for certification to DGS/OSDS by 5:00 P.M. PT on the proposal due date. However, the proposed winning Proposer must be a certified small business at the time of contract award. The 5% preference is used only for computation purposes to determine the winning Proposer and does not alter the amounts of the resulting contract.

Once each proposal has been scored, if the highest scored proposal is from a non-certified small business, then 5% of the highest scoring proposal is added to the total "earned" points for each proposal submitted by a certified small business. These final numbers, with the 5% included, are then used to determine the highest scoring proposal.

Questions regarding the small business certification or preference approval should be directed to the OSDS at (916) 375-4940 or can be found online at <https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/OSDS/OSDS>.

## **Attachment 14 - Non-Small Business or Microbusiness Preference**

Attach proof in claiming Non-Small Business Preference, if applicable.

A five percent (5%) preference is available to a non-small business claiming twenty-five percent (25%) California certified small business subcontractor participation. If claiming the non-small business subcontractor preference, the proposal must include a list of the small business(es) with which the Proposer commits to subcontract in an amount of at least 25% of the net proposal price with one or more California certified small businesses. Each listed certified small business must perform a “commercially useful function” in the performance of the contract as defined in Government Code Section 14837(d)(4).

The required list of California certified small business subcontractors must be attached to the proposal and must include the following: 1) subcontractor name, 2) address, 3) phone number, 4) a description of the work to be performed and/or products supplied, 5) and the dollar amount or percentage of the net proposal price (as specified in the solicitation) per subcontractor.

Proposers claiming the 5% preference must commit to subcontract for at least 25% of the net proposal price with one or more California certified small businesses. Completed certification applications and required support documents must be submitted to the OSDS no later than 5:00 P.M. PT on the proposal due date. Questions regarding certification should be directed to the OSDS at (916) 375-4940 or can be found online at <https://www.dgs.ca.gov/PD/About/Page-Content/PD-Branch-Intro-Accordion-List/OSDS/OSDS>.

The preference to a non-small business firm that commits to California certified small business subcontractor participation of 25% of its net proposal price shall be 5% of the highest scoring proposal. A non-small business, which qualifies for this preference, may not take an award away from a certified small business.

**Attachment 15 - Disabled Veteran Business Enterprise (DVBE) Program Participation Instructions**

**DVBE PARTICIPATION REQUIREMENT.** The Disabled Veteran Business Enterprise (DVBE) Participation Goal Program for State contracts is established in Public Contract Code (PCC) section 10115 et seq., Military and Veterans Code (MVC) section 999 et seq., and California Code of Regulations (CCR), title 2, section 1896.60 et seq. **This solicitation DOES NOT include a minimum DVBE participation requirement. DVBE participation is NOT required in the bid or proposal. However, a DVBE incentive will be applied as provided below.**

**DVBE INCENTIVE.** The State will apply a DVBE incentive for responsive bids or proposals from responsible proposers that propose DVBE participation. The DVBE incentive will vary in relation to the percentage of confirmed DVBE participation. The following percentages shall apply.

<b>Confirmed DVBE Participation of</b>	<b>DVBE Incentive</b>
5% and above	5%
4% to 4.99% inclusive	4%
3% to 3.99% inclusive	3%
2% to 2.99% inclusive	2%
1% to 1.99% inclusive	1%

As applicable:

(1) Awards based on low price – The DVBE incentive is applied by reducing the net price by the amount of DVBE incentive as computed from the lowest responsive net price submitted by a responsible proposer. The DVBE incentive is for evaluation purposes only. Application of the DVBE incentive shall not displace an award to a small business with a non-small business.

(2) Awards based on high score – The DVBE incentive is a percentage of the total possible available points, not including points for socioeconomic incentives or preferences. The DVBE incentive points are included in the sum of non-cost points. The DVBE incentive points cannot be used to achieve any applicable minimum point requirements.

Firms who have been certified by California as a DVBE (or who are bidding rental equipment and have obtained the participation of subcontractors certified by California as a DVBE) must also submit a completed form **DGS PD 843 (Disabled Veteran Business Enterprise Declaration)**. All disabled veteran owners and disabled veteran managers of the DVBE(s) must sign the form(s). Should the form not be included with the solicitation, contact the State contracting official or obtain a copy at the following website: [https://www.documents.dgs.ca.gov/dgs/fmc/gp/pd/pd\\_843.pdf](https://www.documents.dgs.ca.gov/dgs/fmc/gp/pd/pd_843.pdf). The completed form should be included with the proposal response.

At the State's option prior to award, firms may be required to submit additional written clarifying information. Failure to submit the requested written information as specified may be grounds for proposal rejection.

## RESOURCES AND INFORMATION\*

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**U.S. Small Business Administration:**

Central Contractor Registration on-line database  
<https://uscontractorregistration.com/>

**FOR:**

Service-Disabled Veteran-Owned  
Businesses in California

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**Local Organizations:**

DVBE local contacts  
<https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Apply-for-or-Re-apply-as-Small-Business-Disabled-Veteran-Business-Enterprise>

**FOR:**

List of Potential DVBE Subcontractors

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**Department of General Services, Procurement Division (DGS-PD) eProcurement:**

Website: <https://caleprocure.ca.gov/>  
Phone: (916) 375-2000  
Email: [eprocure@dgs.ca.gov](mailto:eprocure@dgs.ca.gov)

**FOR:**

SB/DVBE Search  
CSCR Advertisements  
Training Modules

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**DGS-PD Office of Small Business and DVBE Services (OSDS):**

707 Third Street, Room 1-400, West Sacramento, CA 95605  
OSDS Receptionist: (916) 375-4940  
PD Receptionist: (800) 559-5529  
Fax: (916) 375-4950

Email: [osdchelp@dgs.ca.gov](mailto:osdchelp@dgs.ca.gov)

Website: <https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Certify-or-Re-apply-as-Small-Business-Disabled-Veteran-Business-Enterprise>

**FOR:**

Directory of OSDS Certified DVBEs  
Certification Applications  
Certification Information  
Certification Status, Concerns  
General DVBE Program Information  
DVBE Business Utilization Plan  
SB/DVBE Advocates  
Lists of Trade and Focus Publications

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**Commercially Useful Function Definition**

Military and Veterans Code section 999(b)  
California Code of Regulations, title 2, section 1896.62(l)

## **Attachment 16 - Target Area Contract Preference Act (TACPA) preference (if applicable)**

The Target Area Contract Preference Act (TACPA) economic stimulus preference program was established to stimulate business investment in distressed areas of the state and create job opportunities for Californians for improving the economic vitality of their communities. TACPA is regulated by Government Code Sections 4530-4535.3 and California Code of Regulations 1896.30-1896.40.

Any vendor whose proposal exceeds \$100,000 may apply for Target Area Contract Preference Act (TACPA) preference. Vendors are not required to apply for this preference. Both the TACPA workplace and workforce preferences will be evaluated for this solicitation.

Workplace preference - TACPA provides a 5 percent (5%) preference for a California business that is located in a qualified zone.

Workforce preference - TACPA provides a 1 to 4 percent (1-4%) preference for a California business that employs persons with a high risk of unemployment (Government Code Section 4532)

1% for 5-9% of workforce

2% for 10-14% of workforce

3% for 15-19% of workforce

4% for 20% or more of workforce

Vendors wishing to take advantage of the TACPA preference will need to review the following website and submit the appropriate documents with the proposal response:

<https://www.dgs.ca.gov/PD/Services/Page-Content/Procurement-Division-Services-List-Folder/Request-a-Target-Area-Contract-Preference>

TACPA Preference Request ([STD 830](#))

Proposer's Summary of Contract Activities and Labor Hours ([TACPA Form 526](#))

The CalSavers Retirement Savings Board will send the applicable TACPA request documents to the Department of General Services, Procurement Division, Dispute Resolution Unit. TACPA preference requests are typically reviewed and processed by DGS within five (5) business days. If an award of this agreement is made based on the TACPA preference, DGS will monitor compliance directly with the Contractor throughout the life of the contract.

**SCO ID:**

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

**STANDARD AGREEMENT**

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER

SAMPLE

PURCHASING AUTHORITY NUMBER (If Applicable)

1. This Agreement is entered into between the Contracting Agency and the Contractor named below:

CONTRACTING AGENCY NAME

CalSavers Retirement Savings Board

CONTRACTOR NAME

To Be Determined

2. The term of this Agreement is:

START DATE

August 17, 2026 (or upon approval by the Department of General Services, whichever is later)

THROUGH END DATE

August 16, 2028

3. The maximum amount of this Agreement is:

\$150,000.00 (one hundred fifty thousand dollars and zero cents)

4. The parties agree to comply with the terms and conditions of the following exhibits, which are by this reference made a part of the Agreement.

Exhibits	Title	Pages
Exhibit A	Scope of Work	3
Exhibit A, Attachment 1	Key Personnel	1
Exhibit B	Budget Detail and Payment Provisions	1
Exhibit B, Attachment 1	Cost Proposal	1
Exhibit C *	General Terms and Conditions (GTC 02/2025)	1
Exhibit D	Special Terms and Conditions	8
	RFP and Contractor's Response are hereby incorporated by reference and made part of this agreement.	

*Items shown with an asterisk (\*), are hereby incorporated by reference and made part of this agreement as if attached hereto.*

*These documents can be viewed at <https://www.dgs.ca.gov/OLS/Resources>*

**IN WITNESS WHEREOF, THIS AGREEMENT HAS BEEN EXECUTED BY THE PARTIES HERETO.**

**CONTRACTOR**

CONTRACTOR NAME (if other than an individual, state whether a corporation, partnership, etc.)

To Be Determined

CONTRACTOR BUSINESS ADDRESS

CITY

STATE

ZIP

PRINTED NAME OF PERSON SIGNING

TITLE

CONTRACTOR AUTHORIZED SIGNATURE

DATE SIGNED

**SCO ID:**

STATE OF CALIFORNIA - DEPARTMENT OF GENERAL SERVICES

**STANDARD AGREEMENT**

STD 213 (Rev. 04/2020)

AGREEMENT NUMBER

SAMPLE

PURCHASING AUTHORITY NUMBER (If Applicable)

**STATE OF CALIFORNIA**

CONTRACTING AGENCY NAME

CalSavers Retirement Savings Board

CONTRACTING AGENCY ADDRESS

915 Capitol Mall, Suite 140

CITY

Sacramento

STATE

CA

ZIP

95814

PRINTED NAME OF PERSON SIGNING

David Teykaerts

TITLE

Executive Director

CONTRACTING AGENCY AUTHORIZED SIGNATURE

DATE SIGNED

CALIFORNIA DEPARTMENT OF GENERAL SERVICES APPROVAL

EXEMPTION (If Applicable)

**EXHIBIT A**  
**(Standard Agreement)**

**SCOPE OF WORK**

Contractor agrees to provide the CalSavers Retirement Savings Board (the “Board” or “State”) Program Trust Fund (Trust) External Auditing Services as described in Section 1.3 of Request for Proposals (RFP) No. CRSB02-26 and as restated herein.

The following Scope of Work details the Program’s expectations for the External Auditor. The entire range of services include the following:

- a. Contractor agrees to provide to the Program audit and examination services for the Program Fund of the CalSavers Retirement Savings Board as described herein:
  - (i) An audit of the CalSavers Program fund including an evaluation of systems of internal control, in accordance with generally accepted auditing standards as set forth in Statements on Auditing Standards, and published by the American Institution of Certified Public Accountants. The audit and examination will be conducted so that the Contractor may render an opinion on the financial statements taken as a whole complying with Rule 58.1 of the State Board of Accountancy in conformity with generally accepted accounting principles, as promulgated by the Governmental Accounting Standards Board (GASB), and applicable provisions of State law.
  - (ii) Coordinate with CalSavers staff to incorporate Management Discussion and Analysis Language including Investment Commentary into audit report.
  - (iii) Contractor will treat all information in a confidential manner with all recommendations to be stated only in the audit reports provided to the Program for appropriate release by the Program as required by law.
- b. Contractor agrees to present to the Board an audit report for the Program Fund of the CalSavers Retirement Savings Board as described herein:
  - (i) Report shall include a statement of the scope of the audit and examination for the program fund; the period covered by the audit and examination; and a list of the financial statements included in the report.
  - (ii) Report shall include a statement of material audit findings and recommendations regarding the financial statements, internal control and accounting systems, and legality of actions for the program fund.
  - (iii) Report shall include any other material matter and information.
  - (iv) Draft and final versions of the audit reports will be due to Program staff pursuant to the schedule outlined in the table below:

**EXHIBIT A**  
**(Standard Agreement)**

<b>Estimated Due Dates Audit Report</b>	<b>Fiscal Year Ending June 30, 2026</b>	<b>Fiscal Year Ending June 30, 2027</b>
Draft Version	October 23, 2026	October 23, 2027
Final Version	November 20, 2026	November 20, 2027

Note: Due dates for the draft and final version of the report for fiscal year ending June 30, 2028 will be provided if the one-year option is renewed.

- (v) The Contractor shall review the proposed reports with Program staff prior to finalization and presentation to the Board as necessary.
- (vi) Three (3) original printed copies of each report shall be prepared and provided to Program staff. An electronic version in PDF shall also be provided to Program staff.
- (vii) The Contractor shall present the report to the Board.
- c. Contractor shall ensure that the quality and availability of the personnel assigned to this agreement will be maintained over the term of the agreement. Any changes in assigned personnel are at the discretion of the firm, provided that any replacements have substantially the same as or better qualifications and experience than the original personnel.
- d. Contractor agrees to comply with any and all applicable accessibility requirements set forth in the Americans with Disabilities Act, Section 508 of the Rehabilitation Act of 1973, as amended, California Government Code Section 1135 and any current and future implementing regulations, policies, procedures and standards promulgated thereunder, including, without limitation, the federal accessibility standards set forth in 36 C.F.R. Section 1194.1, all as may be amended from time to time.
- e. The services shall be performed at 915 Capitol Mall, Sacramento, CA 95814 or at the offices of the Contractor. The services shall be provided during normal working hours, Monday through Friday, except Holidays.

**Term of Agreement**

The term of the Agreement will be from August 17, 2026 (or upon approval by the Department of General Services, whichever is later) through August 16, 2028, with an option to extend one additional year. The Agreement shall not become effective until approved by the Department of General Services (DGS), no work shall begin until the effective date. The amount of this agreement will be no greater than \$150,000 for the first two years, and the total amount of the agreement shall be no greater than \$225,000 over the entire Agreement term, including all optional extensions. Rates shall remain the same throughout the entire term of the Agreement.

**EXHIBIT A**  
**(Standard Agreement)**

**Project Representatives**

The project representatives during the term of this agreement will be:

<b>State Agency:</b> CalSavers Retirement Savings Board	<b>Contractor:</b>
<b>Name:</b> Edward Park	<b>Name:</b>
<b>Phone:</b> (916) 653-0724	<b>Phone:</b>
<b>Email:</b> <a href="mailto:Edward.Park@treasurer.ca.gov">Edward.Park@treasurer.ca.gov</a>	<b>Email:</b>

Direct all inquiries to:

<b>State Agency:</b> CalSavers Retirement Savings Board	<b>Contractor:</b>
<b>Name:</b> Connie Van Vorhis	<b>Name:</b>
<b>Address:</b> 915 Capitol Mall, Suite 140 Sacramento, CA 95814	<b>Address:</b>
<b>Phone:</b> (916) 651-3072	<b>Phone:</b>
<b>Email:</b> <a href="mailto:Connie.Vanvorhis@treasurer.ca.gov">Connie.Vanvorhis@treasurer.ca.gov</a>	<b>Email:</b>

**EXHIBIT A, ATTACHMENT 1**  
**(Standard Agreement)**

**RESUMES OF KEY PERSONNEL**

**EXHIBIT B**  
**(Standard Agreement)**

**BUDGET DETAIL AND PAYMENT PROVISIONS**

**1) Invoicing and Payment**

For services satisfactorily rendered, and upon receipt and approval of the invoices, the State agrees to compensate the Contractor for actual expenditures incurred in accordance with the rate specified in Attachment 1 to Exhibit B and made part of this agreement.

Invoices shall include **Agreement Number CRSB02-26** and shall be submitted not more frequently than monthly in arrears to:

CalSavers Retirement Savings Board  
Attention: Accounting  
P.O. Box 942809  
Sacramento, CA 94209-0001

Invoices shall be submitted by Contractor in sufficient scope and detail to define the actual work performed and specific milestones completed, including a description of the activities of Contractor and subcontractors and the hours allocated to those activities. The hourly rate for services rendered shall not exceed those as set forth herein or as attached hereto.

**2) Budget Contingency Clause**

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

**3) Prompt Payment Clause**

Payment will be made in accordance with, and within the time specified in, Government Code Chapter 4.5, commencing with Section 927.

**EXHIBIT B, ATTACHMENT 1**  
**(Standard Agreement)**

**COST PROPOSAL**

**DIRECT LABOR**

POSITION TITLE	JOB DESCRIPTION	HOURS	RATE	TOTAL
			\$	\$
			\$	\$
			\$	\$

**TOTAL DIRECT LABOR** \$ \_\_\_\_\_

**INDIRECT COSTS (OVERHEAD AND FRINGE BENEFITS)**

ITEM	RATE	TOTAL
Overhead Rate	_____ %	\$ _____
Fringe Benefits	_____ %	\$ _____

**TOTAL INDIRECT COSTS** \$ \_\_\_\_\_

**DIRECT COSTS (EXCEPT LABOR)** **AMOUNT**

Travel Costs *	\$ _____
Equipment and Supplies (Itemized)	\$ _____
Other Direct Costs (Itemized)	\$ _____

**TOTAL DIRECT COSTS (EXCEPT LABOR)** \$ \_\_\_\_\_

<b>TOTAL COSTS</b>	<b>\$ _____</b>
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\* Travel cost will paid based on the rates of the California Department of Human Resource (CalHR) for the comparable classes and no travel outside the State of California shall be reimbursed unless prior written authorization is obtained from the Program.

**EXHIBIT C**  
**(Standard Agreement)**

**GENERAL TERMS AND CONDITIONS**

Exhibit C to this Agreement, the General Terms and Conditions (GTC 02/2025), is hereby incorporated by reference and made part of this agreement as if attached hereto. The General Terms and Conditions can be viewed at <https://www.dgs.ca.gov/OLS/Resources/Page-Content/Office-of-Legal-Services-Resources-List-Folder/Standard-Contract-Language>

**EXHIBIT D**  
**(Standard Agreement)**

**SPECIAL TERMS AND CONDITIONS**

**1) Excise Tax**

The State of California is exempt from federal excise taxes, and no payment will be made for any taxes levied on employees' wages. The State will pay for any applicable State of California or local sales or use taxes on the services rendered or equipment or parts supplied pursuant to this Agreement. California may pay any applicable sales and use tax imposed by another state.

**2) Settlement of Disputes**

In the event of a dispute, Contractor shall file a "Notice of Dispute" with a Deputy Treasurer of the State Treasurer's Office within ten (10) days of discovery of the problem. Within ten (10) days, the Deputy Treasurer shall meet with the representatives of Contractor and the State identified in Exhibit A for purposes of resolving the dispute. The decision of the Deputy Treasurer shall be final.

**3) Evaluation of Contractor**

Pursuant to Public Contract Code sections 10367 and 10369 within sixty (60) days after the completion of this Agreement, the State shall complete a written evaluation of Contractor's performance under this Agreement. If this Agreement is a contract for consultant services and if Contractor did not satisfactorily perform the work, a copy of the evaluation will be sent to the Department of General Services (DGS), Office of Legal Services, and to the Contractor within fifteen (15) working days of the completion of the evaluation in accordance with Public Contract Code section 10371.

**4) No Agency Liability**

The Contractor warrants by execution of this Agreement that no person or selling agency has been employed or retained to solicit or secure this Agreement upon agreement or understanding for a commission, percentage, brokerage, or contingent fee, excepting bona fide employees or bona fide established commercial or selling agencies maintained by the Contractor for the purpose of securing business. For breach or violation of this warranty, the State shall, in addition to other remedies provided by law, have the right to annul this Agreement without liability, paying only for the value of the work actually performed, or otherwise recover the full amount of such commission, percentage, brokerage, or contingent fee.

**5) Potential Subcontractors**

Nothing contained in this Agreement or otherwise, shall create any contractual relationship between the State and any subcontractors, and no subcontract shall relieve the Contractor of his responsibilities and obligations hereunder. The Contractor agrees to be as fully responsible to the State for the acts and omissions of its subcontractors and of persons

**EXHIBIT D**  
**(Standard Agreement)**

either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Contractor. The Contractor's obligation to pay its subcontractors is an independent obligation from the obligation of the State to make payments to the Contractor. As a result, the State shall have no obligation to pay or to enforce the payment of any moneys to any subcontractor.

**6) Force Majeure**

Neither party to this Agreement shall be liable for damages resulting from delayed or defective performance when such delays arise out of causes beyond the control and without the fault or negligence of the offending party. Such causes may include, but are not restricted to, acts of God or of the public enemy, acts of the State in its sovereign capacity, fires, floods, power failure, disabling strikes, epidemics, quarantine restrictions, and freight embargoes.

**7) Waivers**

No delay on the part of any party in exercising any right, power or privilege hereunder shall operate as a waiver thereof, nor shall any waiver on the part of any party of any right, power or privilege hereunder, nor any single or partial exercise of any right, power or privilege hereunder, preclude any other or further exercise thereof or the exercise of any other right, power or privilege hereunder.

**8) Incorporation of Amendments to Applicable Laws**

Any references to sections of federal or state statutes or regulations shall be deemed to include a reference to any amendments thereof and any successor provisions thereto.

**9) Confidentiality**

All financial, statistical, personal, technical and other data and information relating to the operations of the State which are designated confidential by the State and become available to Contractor shall be protected by Contractor from unauthorized use and disclosure.

**10) Titles/Section Headings**

Titles and headings are for convenience of reference only, and shall have no effect on the construction or legal effect of this Agreement.

**11) Choice of Law**

Notwithstanding Paragraph 14 of Exhibit C (General Terms and Conditions), this Agreement shall be administered, construed, and enforced according to the laws of the State of California (without regard to any conflict of laws provisions) to the extent such laws have not been preempted by applicable federal law. Any suit brought hereunder, including any action to compel arbitration or to enforce any award or judgment rendered thereby, shall be brought in state court sitting in Sacramento, California, the parties hereby waiving any claim

**EXHIBIT D**  
**(Standard Agreement)**

or defense that such forum is not convenient or proper. Each party agrees that any such court shall have in personam jurisdiction over it and consents to service of process in any manner authorized by California law.

**12) Notices**

The parties agree that to avoid unreasonable delay in the progress of the services performed hereunder, Contractor and the State have designated in Exhibit A specific staff representatives for the purpose of communication between the parties. Any notice or other written communication required or which may be given hereunder shall be deemed given when delivered personally, or by mail three (3) days after the date of mailing, unless by express mail then upon the date of confirmed receipt, to the representatives named in Exhibit A.

Either party hereto may, from time to time by notice in writing served upon the other as aforesaid, designate a different mailing address or a different or additional person to which all such notices or demands thereafter are to be addressed.

**13) Permits and Licenses**

Contractor shall carry out its duties and responsibilities herein in accordance with, be limited in the exercise of its rights by, and observe and comply with, all federal, state, city and county laws, rules or regulations affecting services under this Agreement. Contractor shall procure and keep in full force and effect during the term of this Agreement all permits and licenses necessary to accomplish the work contemplated in this Agreement.

**14) Books and Records**

Contractor shall keep accurate books and records connected with the performance of this Agreement for a period of at least three (3) years. Contractor shall ensure that books and records of subcontractors, suppliers, and other providers shall also be accurately maintained. Such books and records shall be kept in a secure location and shall be available for inspection and copying by the State and its representatives at any time.

**15) Key Personnel**

- a. A resume for each member of Contractor's staff who will exercise a significant administrative policy, or consulting role under this Agreement is attached to this Agreement as Attachment 1 to Exhibit A. These members of Contractor's staff shall be hereafter referred to (both individually and collectively) as "Key Personnel."
- b. Contractor shall not substitute, replace or reassign Key Personnel without the prior approval of the State.
- c. This Agreement may be terminated immediately, in the sole discretion of the State and upon written notice from the State to Contractor, because of any change in or departure of any the Key Personnel.

**EXHIBIT D**  
**(Standard Agreement)**

**16) Changes in Control, Organization or Key Personnel**

Contractor shall promptly, and in any case within five (5) days, notify the State in writing: (i) if any of Contractor's representations and warranties, as set forth in this Agreement, cease to be true at any time during the term of this Agreement; (ii) any change in Contractor's staff who exercises a significant administrative, policy, or consulting role under this Agreement, including without limitation any Key Personnel; (iii) of any change in the majority ownership, control, or business structure of Contractor; or (iv) of any other material change in Contractor's business, partnership or corporate organization. All written notices from Contractor under this provision shall contain sufficient information to permit the State to evaluate the changes within Contractor's staff or organization under the same criteria as was used by the State in its award of this Agreement to Contractor.

**17) Insurance Requirements**

Contractor warrants that it carries adequate liability, worker's compensation and other necessary insurance and shall maintain such insurance at levels acceptable to the State in full force and effect during the term of this Agreement. Contractor agrees to furnish satisfactory evidence of this insurance coverage to the State upon request.

**18) Subcontractors**

- a. Contractor shall perform the work contemplated by this Agreement with resources available within its own organization except for subcontracted work identified in this Agreement or other attachment incorporated hereto. No other portion of the work pertinent to this Agreement shall be subcontracted without written authorization by the State. The subcontractor must be mutually agreed upon in advance by both parties.
- b. Contractor shall require that any subcontractor agree to be bound by all provisions of this Agreement, as applicable.

**19) Notice of Proceedings**

Contractor shall promptly notify the State in writing of any investigation, examination or other proceeding involving Contractor, including any Key Personnel, commenced by any regulatory agency, which proceeding is not conducted in the ordinary course of Contractor's business.

**20) Cumulative Remedies**

The rights and remedies provided herein are cumulative and are not exclusive of any rights or remedies that any party may otherwise have at law or in equity.

**21) Binding Effect**

This Agreement, any instrument or agreement executed pursuant to this Agreement, and the rights, covenants, conditions and obligations of Contractor and the State contained

**EXHIBIT D**  
**(Standard Agreement)**

therein, shall be binding upon the parties and their successors, assigns and legal representatives.

**22) Publicity**

No publicity release or announcement concerning this Agreement or the transactions contemplated herein shall be issued by Contractor without advance written approval by the State.

**23) Services or Procurement Resulting from Agreement**

Neither Contractor, nor any of its subsidiaries, officers or directors, may submit a bid or be awarded a contract for the provision of services, procurement of goods or supplies, or any other related action which is required, suggested, or otherwise deemed to be an outgrowth of the advice or recommendations that Contractor provides under this Agreement.

**24) Agreement Does Not Violate Law**

Contractor represents and warrants that neither the execution of this Agreement nor the acts contemplated hereby nor compliance by Contractor with any provisions hereof will:

- a. Violate any provision of the charter documents of Contractor;
- b. Violate any statute or law or ordinance or any judgment, decree, order, regulation or rule of any court or governmental authority applicable to Contractor; or
- c. Violate, or be in conflict with, or constitute a default under, or permit the termination of, or require the consent of any person under, any agreement to which Contractor may be bound, the violation of which in the aggregate would have a material adverse effect on the properties, business, prospects, earnings, assets, liabilities or condition (financial or otherwise) of Contractor.

**25) Power and Authority**

Contractor represents and warrants that it has the power and authority to enter into this Agreement and to carry out its obligations hereunder. The execution of this Agreement has been duly authorized by Contractor and no other proceeding on the part of Contractor is necessary to authorize this Agreement. Contractor has completed, obtained and performed all registrations, filings, approvals, authorizations, consents or examinations required by any government or governmental authority for its acts contemplated by this Agreement.

**26) Signature Authorization**

The person signing this Agreement warrants that he/she is an agent of Contractor and is duly authorized to enter into this Agreement on behalf of Contractor.

**EXHIBIT D**  
**(Standard Agreement)**

**27) Entire Agreement; Order of Precedence**

- a. This Agreement, including documents that have been incorporated in this Agreement by reference, contains all representations and the entire understanding between the parties hereto with respect to the subject matter hereof. Any prior correspondence, memoranda or agreements are replaced in total by this Agreement.
- b. In the event there are any inconsistencies or ambiguities among the terms of this Agreement and incorporated documents, the following order of precedence shall be used: (i) applicable laws; (ii) the terms and conditions of this Agreement, including exhibits and attachments; (iii) the Request for Proposal (RFP) if any; (iv) Contractor's response to the RFP if any; and (v) any other provisions, terms, or materials incorporated herein.

**28) Termination at Option of the State**

In addition to the provisions of Paragraph 7 of Exhibit C (General Terms and Conditions), this Agreement may be terminated in whole or in part at any time upon 30 Calendar days' written notice by the State, for any reason. Upon receipt of a termination notice, Contractor shall promptly discontinue all services affected unless the notice specifies otherwise. In the event the State terminates all or a portion of this Agreement for any reason, it is understood that the State will provide payment to Contractor for satisfactory services rendered prior to the termination, but not in excess of the maximum amount of this Agreement.

**29) Termination for Insolvency**

Contractor shall notify the State immediately in writing in the event that Contractor files any federal bankruptcy action or state receivership action, any federal bankruptcy or state receivership action is commenced against Contractor, Contractor is adjudged bankrupt, or a receiver is appointed and qualifies. In the event of any of the foregoing events, or if the State determines, based on reliable information, that there is a substantial probability that Contractor will be financially unable to continue performance under this Agreement, the State may terminate this Agreement and all further rights and obligations immediately.

**30) Completion**

In the event of termination for default, the State reserves the right to take over and complete the work by contract or other means. In such case, Contractor will be liable to the State for any additional cost incurred by the State to complete the work whether reimbursed or not.

**31) Effect of Termination**

All duties and obligations of the State and Contractor shall cease upon termination of this Agreement, except that:

**EXHIBIT D**  
**(Standard Agreement)**

- a. Each party shall remain liable for any rights, obligations, or liabilities arising from activities carried on by it under this Agreement prior to the effective date of termination; and
- b. Contractor shall provide for the return of all records of the State to the State or its designee and shall cooperate fully to effect an orderly transfer of services.

**32) Termination for Expatriation**

Contractor shall notify the State immediately in writing in the event that Contractor or its parent files any notice with the Securities and Exchange Commission that Contractor intends to reincorporate offshore. In the event of such notice, the State may terminate this Agreement and all further rights and obligations immediately by giving five (5) days' notice in writing in the manner specified herein.

**33) Compliance With Political Reform Act**

Contractor acknowledges that the State is subject to the provisions of the Political Reform Act (Government Code section 81000 et seq. and all regulations adopted thereunder, including, but not limited to, California Code of Regulations, title 2, section 18700 et. seq.) and Contractor shall comply promptly with any requirement thereunder. If required by law, Contractor shall require its personnel, including without limitation, its Key Personnel all later substitutions therefore, to file Statements of Economic Interests in compliance with the Conflict of Interest Code for the Office of the State Treasurer and the various boards, authorities, commissions, and committees chaired by the State Treasurer (California Code of Regulations, title 2, section 1897). All such reports shall be filed simultaneously with the State.

**34) Darfur Contracting Act**

Effective January 1, 2009, all Invitations for Bids (IFB) or Requests for Proposals (RFP) for goods or services must address the requirements of the Darfur Contracting Act of 2008 (Act). (Public Contract Code section 10475 et seq.) The Act was passed by the California Legislature and signed into law by the Governor to preclude State agencies generally from contracting with "scrutinized" companies that do business in the African nation of Sudan of which the Darfur region is a part, for the reasons described in Public Contract Code section 10475.

A scrutinized company is a company doing business in Sudan as defined in Public Contract Code section 10476. Scrutinized companies are ineligible to, and cannot, bid on or submit a proposal for a contract with a State agency for goods or services. (Public Contract Code section 10477(a).)

Therefore, Public Contract Code section 10478(a) requires a company that currently has (or within the previous three years has had) business activities or other operations outside of the United States to certify that it is not a "scrutinized" company when it submits a bid or

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proposal to a State agency. A scrutinized company may still, however, submit a bid or proposal for a contract with a State agency for goods or services if the company first obtains permission from DGS according to the criteria set forth in Public Contract Code section 10477(b).

**35) Labor Neutrality Policy**

The Board recognizes the value of labor organizing and encourages the entities with which it contracts to demonstrate that they also value this principle by encouraging management neutrality in labor organizing activities.

To remain "neutral" means not to take any action or make any statement that will directly or indirectly state or imply any support for or opposition to the selection by the Contractor's employees of a collective bargaining agent, or preference or opposition to any particular union as a bargaining agent. Nothing in this section obligates or prohibits the Contractor from entering into private neutrality, labor peace or other lawful agreements with a labor organization seeking to represent or who currently represents the Contractor's employees.

**36) Executive Order N-6-22 Russia Sanctions**

The Contractor shall comply with Executive Order N-6-22 (the EO) regarding Economic Sanctions against Russia and Russian entities and individuals. "Economic Sanctions" refers to sanctions imposed by the U.S. government in response to Russia's actions in Ukraine, as well as any sanctions imposed under state law. The EO directs state agencies to terminate contracts with, and to refrain from entering any new contracts with, individuals or entities that are determined to be a target of Economic Sanctions. Accordingly, should the State determine the Contractor is a target of Economic Sanctions or is conducting prohibited transactions with sanctioned individuals or entities, that shall be grounds for termination of this agreement. The State shall provide the Contractor advance written notice of such termination, allowing the Contractor at least 30 calendar days to provide a written response. Termination shall be at the sole discretion of the State.