

# CALNET Program

## Contractor Compliance Escalation Process



California  
DEPARTMENT OF TECHNOLOGY



- Purpose
- CALNET Compliance Committee
- Compliance Issue Escalation Steps
- Notifications
- Contractor Resources

# Purpose

- Implement process when compliance issues are not resolved at the CALNET Program subject matter expert level (SME)
- Provide a consistent process to enforce contract requirements compliance
- Set expectations with Contractors
- Track identified escalated issues and implement corrective actions

# CALNET Compliance Committee

**All CALNET Program sections are represented**

- Engineering
- Program Management
- Operations



**A CALNET Compliance Committee (CCC) Representative**

- A representative is assigned as a lead to each escalated issue.
- The representative will identify participants and communications flow between Contractor and CALNET Program.

**The Compliance Committee vets each issue and provides the course of action for the Contractor.**

# 1<sup>st</sup> Notification

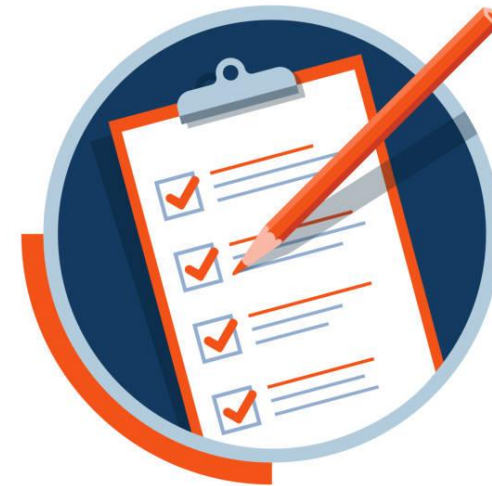
## Initial Notice of CALNET Contract Non-Compliance

- Identify all contract sections of non-compliance
- Summary of non-compliance issue(s)
- Identify if remedies are applicable
- Require Contractor to provide a written response
- Require meeting with SME, Contractor, and CCC Representative
- Initial Compliance Date

# CALNET and Contractor Meeting

**CCC Rep, CALNET SME and Contractor meet to discuss Contractor's plan to come into compliance**

- Proposed Compliance Date
- Challenges
- Regular status – check points
- 2<sup>nd</sup> Notification



# 2<sup>nd</sup> Notification

## Notice of CALNET Contract Non-Compliance Compliance Due Date

- Identify all contract sections of non-compliance
- Summary of non-compliance issue(s)
- Summary of the Contractor's plan to resolve
- Solidifies the Compliance Due Date
- When monetary remedies are applicable, set invoicing start date which will commence if the Contactor fails to meet the initial compliance date

# Following the 2<sup>nd</sup> Notification

The Contractor will be issued a 3<sup>rd</sup> Notification for either:

- Resolution of the non-compliance issue

*or*

- Failure to resolve the non-compliance issue



# 3rd Notification of Resolution

## Notice of Non-Compliance Resolution

- This Notice shall be sent to the Contractor after they have come into compliance stating:
  - Compliance Resolution Date, and;
  - CALNET's Acceptance Date
- The notification will serve as CALNET's acknowledgement and close the compliance issue with the Contractor



# 3rd Notification-Failure to Resolve

**This Notice will serve as a formal notification to the Contractor that they have failed to cure their compliance issues by the Due Date**

➤ Identify and begin invoicing for SLAs or performance deficiency charges

*Or*

➤ Notify Contractor of CDT compliance actions allowed by the contract which may include Termination for Default (Breach of Contract)

# Contractor Resources

CALNET webpage – contracts

- <https://cdt.ca.gov/services/calnet-services/>





