



Security Governance Program Remediation Activities

STATEMENT OF WORK

4/14/2016

Prepared for

Williamson County

Presented By

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1. EXECUTIVE SUMMARY

Williamson County ("Customer") has engaged SHI Security Solutions to review and design an overall Security Governance and Risk Management Program as identified during the 2015 Annual HIPAA Security Risk Assessment.

The specific goals and objectives for this project are as follows::

- Review current state 2015 Annual HIPAA Security Risk Assessment Findings and Recommendations
- Create and present strategic roadmap based on Williamson County priorities
- Document Framework for overall Security and Risk Management Program
- Create recommended implementation plan and schedule for recommended remediations

Resolution tasks will be executed while both onsite to the Williamson County primary office and remotely (where appropriate). Implementation of individual remediations will be addressed through separate Statement of Works (SOWs) as requested by Williamson County Stakeholders.

2. PROJECT DELIVERY METHODOLOGY

SHI uses the Scope, Assess, Recommend and Remediate model as a standard for all Governance Program remediation projects. This model is an industry accepted best practice that allows for the optimal system configurations and usage of appropriate tools/functionality.



The phases of the model are described in detail as follows:

1. **Scope** → In this phase, the customer requirements are understood and a scope for the Governance Program remediation projects is developed. A review of the scope is conducted with and approved by the Williamson County Team prior to start of the actual assessment.
2. **Assess** → The current status of 2014 Annual HIPAA Assessment Findings and Recommendations is reviewed. The results of the review is documented as a deliverable for the project.
3. **Recommend** → The results from the review (sorted by criticality) are presented to the Williamson County Team as so recommendations can be prioritized.
4. **Remediate** → This is the primary deliverable for the project. SHI will work with the Williamson County to create a framework for the Security and Risk Management program, along with a strategic roadmap and framework for overall Security and Risk Management Program.

If the customer requires assistance with implementation of the recommendations provided from this engagement, SHI will be happy to quote and provide additional services for the remediation phase at the request of the customer. Such services require execution of a separate Statement of Work and are not included within the scope of the Governance Program remediation project.

3. PROJECT MANAGEMENT

A resource will be provided by SHI to work with the Customer to see the entire project through to completion. This resource will be the first call for support of any kind at any time during the project. SHI Project Management covers items such as, but not limited to:

- Project Management conducts a kick off meeting to ensure all project deliverables are outlined and sets proper project expectations.
- Project Management ensures project timelines, dependencies, budgets and closure are met within the project lifecycle.
- Project Management holds regular status meetings with SHI's Consulting team to identify proactively any issues that may arise in order to mitigate risk.
- Project Management holds regular status meetings with the client to review project status, open action items, and upcoming tasks.
- Project Management issues regular status reports to the management of all companies involved in the project.
- Project Management facilitates any necessary change orders and administrative tasks as necessary.

Development of this particular project plan requires interactions with Williamson County staff in the following areas:

- Synchronization of timelines and dependencies between SHI and the Williamson County Information Technology Team

4. SUMMARY OF CUSTOMER ENVIRONMENT

The Williamson County enterprise environment is comprised of end users and IT assets residing in both a primary office location located in and around 1821 Southeast Inner Loop Georgetown, TX 78626.

5. SCOPE OF SERVICES OVERVIEW

SHI, through its employees or other agents, shall provide to Williamson County the services described as follows:

PHASE 1: SCOPE

- Review key goals, success criteria, roles and responsibilities.
- Provide a pre-project checklist
- Identify and document what aspects of the Williamson County environment are in scope to the Governance Program remediation project
- Provide a project plan and timeline for proposed start and finish of the Governance Program remediation project, including key milestones

PHASE 2: ASSESS

- Review current state of 2015 Annual HIPAA Security Risk Assessment Findings and Recommendations
- Create Strategic Roadmap based on Williamson County priorities

PHASE 3: RECOMMEND

- Present strategic roadmap based on Williamson County priorities
- Document framework for overall Security and Risk Management Program
- Create recommended implementation plan and schedule for recommended remediations

PHASE 4: REMEDIATE

- Implementation of individual remediations will be addressed through separate Statement of Works (SOWs) as requested by Williamson County Stakeholders.

6. PROJECT IMPLEMENTATION TASKS

The tasks listed here represent the major tasks that will be performed as part of this project and can be driven from the Work Breakdown Schedule (WBS). Each individual sub-heading has many tasks; these are only the high level tasks or outline of the work to be performed. Actual tasks will be documented in the project plan, tracked, and noted in status documents.

Phase	Major Tasks
Project Start	Initial Project plan development
	Internal Planning sessions
	Kick-off meeting
Scope	Review key goals, success criteria, roles and responsibilities.
	Provide a pre-project checklist
	Identify and document what aspects of the Williamson County environment are in scope to the Governance Program remediation project
	Provide a project plan and timeline for proposed start and finish of the Governance Program remediation project, including key milestones
Assess	Review current state of 2015 Annual HIPAA Assessment Findings and Recommendations
Recommend	Create and Review Strategic Roadmap Findings and Recommendations with Williamson County Stakeholders
	Document framework for overall Security and Risk Management Program
	Create implementation plan and schedule for recommended remediations
Remediate	Implementation of individual remediations will be addressed through separate Statement of Works (SOWs) as requested by Williamson County Stakeholders.
Project Close	Documentation
	Finalize documentation
	Close meeting
	Archive
	Create final project documentation

7. DOCUMENT DELIVERABLES

The following documentation will be delivered in this project. Management of this documentation will be as follows:

1. The SHI team will create the document
2. The SHI project manager will institute revision control on the document
3. Document will be sent to the Customer for review. Unless agreed upon previously, feedback from the Customer will be required within five business days. If feedback is not received within that timeframe, the document will be considered "accepted" by the Customer
4. Williamson County reviews and either approves it, or returns to the SHI PM with changes indicated
5. SHI team makes any necessary changes
6. SHI PM delivers final version of document to Williamson County. This version, if required, will be used in subsequent steps in the project

1. PROJECT PLANNING

Project plan in Microsoft Project format containing the following information:

- a. Tasks with predecessor relationships
- b. Planned start date
- c. Estimated duration
- d. Estimated amount of work
- e. Task ownership (resources)
- f. Gantt Chart

2. REMEDIATION DOCUMENTS

The Risk Management and Security Program Project will include remediation documentation in Microsoft Visio and Word for the following areas:

- a. Strategic Roadmap Findings and Recommendations
- b. Framework for overall Security and Risk Management Program
- c. Create recommended implementation plan and schedule for recommended remediations

Note: This project and Scope of Work consists only of the services and deliverables listed above. Should other services or deliverables be requested or deemed necessary, a mutually agreed change order must be executed prior to the initiation of work effort being performed (see Change Control section for further detail).

8. SUCCESS CRITERIA

The Risk Management and Security Program improvements project will be considered successfully executed after:

1. All remediation documentation has been submitted to Williamson County Stakeholders

The project milestones and success criteria for each milestone are as follows:

1. **Scope Complete**
 - a. Final project plan is provided to the Customer
2. **Assess Complete**
 - a. SHI finalizes Strategic Roadmap based on Williamson County priorities
3. **Recommend Complete**
 - a. Customer reviews Strategic Roadmap and identifies approval of direction in writing to SHI PM
4. **Remediate Complete**
 - a. Customer reviews all executed remediations, approving them in writing to SHI PM
5. **Project Close**
 - a. Customer agrees there are no outstanding action items or tasks
 - b. Customer agrees all documentation has been received
 - c. Customer Project Sponsor signs the Project Close form indicating all project objectives were accomplished

9. PROJECT DURATION

The estimated project duration is *three (3) weeks*. SHI will work with Williamson County to provide the required resources to meet a schedule that would be agreeable to all parties. In addition, the schedule assumes reasonable access to Williamson County resources and does not allow for holidays, vacations, and unforeseen delays in deliveries.

** Please be advised that the above timeframe is to provide a general timeline for delivery and is not a true reflection of the total man hours/effort involved for this engagement.*

10. RESOURCES AND SKILLS

SHI will provide individual resources outlined below to be participants for this project effort. These resources will participate in all required steps and will be fully or partially responsible for tasks and deliverables where appropriate:

Resource	Role	Involvement
Sponsor/Project Manager	Provide a single point of contact for project-related issues	Part Time
IT Resource(s)	Sr. Security Solution Architect Security Consultant	Full Time

11. ASSUMPTIONS

The program and associated price quoted within this Statement of Work are based on the following assumptions. Should any element(s) of these assumptions be lacking during execution of services, additional time and associated fees and expenses may be required to complete this Statement of Work.

1. SHI is not responsible for lost data. SHI recommends that Williamson County perform a full working backup of their data prior to the commencement of services.
2. Please note that the time designated for knowledge transfer is throughout the project. Williamson County is responsible for providing a resource dedicated to this project and the extent of the knowledge transfer is dependent upon the availability of this resource.
3. Minimum lead time for scheduling is fifteen (15) business days from our receipt of the signed SOW or fifteen (15) business days from the confirmed start date between SHI and Williamson County; whichever date is later. Should you require more aggressive scheduling, please contact SHI to determine availability.
4. SHI will not develop applications as a part of this Statement of Work.
5. Williamson County will provide the necessary hardware to complete the project.
6. All documentation will be delivered within twenty-one (21) business days after the completion of the onsite portion of this SOW.
7. SHI is not responsible for delays caused by failures; including but not exclusive to systems, personnel or environmental causes or in receiving data from Williamson County.
8. Any restrictions or requirements regarding the SHI consultants' use of personal equipment must be stated in advance of the commencement of the project.
9. Williamson County will make the necessary administrative usernames and passwords available to the SHI consultants.
10. Williamson County will provide detailed and accurate information regarding their current network environment. This information will include the technical configuration of the domain environment.
11. Williamson County will provide the necessary workspace and network access to provide the above services.
12. Williamson County will provide access to building(s) and room(s) as necessary to complete the services described above.
13. All hardware and/or software and licensing required to perform the above services will be provided by and is the responsibility of Williamson County. All wiring, hardware, and software required to perform the above services are in working order.

14. Williamson County will provide a technical point of contact during the time of this project.
15. No overtime services will be provided without a change order authorizing such charges. "Overtime" is defined as any work performed outside the hours of 8:00 AM to 5:00 PM local time.
16. All parties agree that personnel shall not be asked to perform, nor volunteer to perform, engineering and/or consulting tasks that lie outside the skill sets and experience of personnel. Personnel have the right to decline on a service request if the request falls outside the scope of their experience and expertise.
17. Full implementation any remediation explicitly falls out of scope of the project. SHI will provide, however, a separate statement of such work as requested by Williamson County.
18. Both Williamson County and SHI agree that previously executed HIPAA Security Risk Assessment does not reflect a conflict of interest which would impact the successful execution of the proposed Governance Program Remediations

12. LOCATIONS

The location/s of services to be provided and billing contact:

CONTACT INFORMATION

Company Name:
Williamson County

Street Address:
1821 Southeast Inner Loop

City, State, Zip Code:
Georgetown, TX 78626

Contact Name and Title:
Alison Gleeson

Contact Phone Number and E-mail address:
agleason@wilco.org
512-943-1680

WORK LOCATION

Street Address:
1821 Southeast Inner Loop

City, State, Zip Code:
Georgetown, TX 78626

13. CUSTOMER RESPONSIBILITIES

Both Williamson County and SHI are responsible for the successful execution of this Project. Williamson County agrees to the following assigned responsibilities:

- Prior to the start of this SOW, Williamson County will indicate to SHI in writing a person to be the point of contact. All Project communications will be addressed to such point of contact (the "Customer Contact").
- The Customer Contact will have the authority to act for Williamson County in all aspects of the Project; however any changes that affect the scope of this SOW, schedule or price will require that an amendment to the SOW be executed between the parties.
- The Customer Contact shall have the authority to resolve conflicting requirements.
- The Customer Contact will ensure that any communication between Williamson County and SHI is made through the SHI Project Manager.
- The Customer Contact will obtain and provide project requirements, information, data, decisions and approvals within one working day of the request, unless both parties agree to a different response time.
- The Customer Contact will ensure that SHI Project personnel have reasonable and safe access to the Project site and adequate office space, if required.
- The Customer Contact will help resolve Project issues and ensure that issues are brought to the attention of the appropriate persons within the Customer organization, if required.
- The Customer Contact will provide technical points-of-contact, who have a working knowledge of the enterprise components to be considered during this Project ("Technical Contacts"). SHI may request that meetings be scheduled with Technical Contacts.
- Williamson County will inform SHI of all access issues and security measures, and provide access to all necessary hardware and facilities as required.
- Williamson County will provide, at no expense to SHI: computer hardware, software, and access to the Customer network as required to complete the work described in this Statement of Work.
- Williamson County is responsible for providing all telecommunications equipment, and related infrastructure as required for the successful completion of this Project.
- Williamson County agrees that all related information regarding this project will be communicated to SHI as expeditiously as possible.

Williamson County will provide individual resources outlined below to be participants for this project effort. These resources will participate in all required steps and will be fully or partially responsible for tasks and deliverables where appropriate:

Resource	Role	Involvement
Sponsor/Project Manager	Provide a single point of contact for project-related issues	Part-time
IT Resource(s)	Network system administrator Server administrator Security administrator	Part-time
Subject Matter Experts	Business unit SME(s)	Part-time

14. CHANGE CONTROL PROCESS

The "Change Control Process" is that process which shall govern changes to the scope of the Project during the life of the Project. The Change Control Process will apply to new components and to enhancements of existing components. The Change Control Process will commence at the start of the Project and will continue throughout the Project's duration. Additional procedures and responsibilities may be outlined by the Project Manager identified on the signature page to the Agreement and will be included in the baseline Project plan if mutually accepted by the Customer and SHI Project Managers.

Under the Change Control Process, a written "Change Request" (attached as Appendix A) will be the vehicle for communicating any desired changes to the project. It will describe the proposed change; the reason for the change and the effect the change may have on the Project. The Project Manager of the requesting party will submit a written Change Request to the Project Manager for the other parties.

SHI and Williamson County will review the change request. All parties must sign the approval portion of the Change Request to authorize the implementation of any change that affects the Project's scope, schedule or price. Furthermore, any such changes that affect the scope of this SOW, schedule or price will require that an amendment to the SOW be executed between the parties.

15. SOW REVIEW PROCESS

Upon receipt of a signed SOW and Purchase Order, planning for the project will commence. A key step in the planning process is the Kickoff Meeting with SHI and Williamson County's Team.

In the kickoff meeting, the contents of the SOW will be reviewed. This is an opportunity for Williamson County's team who will be involved with the project to understand the Project's goals, tasks, deliverables, and timelines.

Upon completion of the project kick-off meeting, minutes of the Kick-off meeting will be created based on the meeting discussion and distributed to Williamson County. Any changes to the project scope will be documented in these minutes. If Change Orders are necessary due to scope changes, that process would be initiated after the Kick-off meeting.

16. PRICE AND PAYMENT SCHEDULE

SHI proposes to deliver the services described here for a fixed price for the fees set forth below:

Program Component	Fee
Security Governance Program Remediation Activities	\$28,480

This price quote is valid for 60 days from 4/14/2016.

Any additional work that is required outside the scope of this SOW requires written approval by Williamson County and SHI as described in the Change Control Process detailed in this document and will be billed at a rate mutually agreed upon by SHI and Williamson County.

1. PAYMENT SCHEDULE

The following table describes the project milestones. When these are completed and approved by Williamson County, SHI will invoice the specified amount.

Project Milestones	%	Fee
Project Close	100	\$28,480
Total:	100	\$28,480

2. TRAVEL EXPENSES

All associated travel expenses for this project have been included within the above fixed price services.

3. BILLING TERMS

SHI will request the approval of Williamson County when a milestone (see Payment Schedule above) has been completed. Upon receipt of Williamson County's approval, SHI will invoice Williamson County for the milestone. All invoices are due and payable within 30 calendar days of the invoice date.

Fees DO NOT include applicable taxes that must be collected. Please allow for taxes that may apply to the work outlined in your Purchase Order

4. STATE OF TEXAS CO-OP PURCHASING PROGRAM

SHI participates within the Texas Procurement and Support Services Cooperative Purchasing Program (State of Texas CO-OP) through contract DIR-SDD-2188.

17. TERMS & CONDITIONS

This statement of work (SOW) is subject to and governed by the terms of the SHI services agreement between Williamson County and SHI, or, if Williamson County and SHI have not executed a service agreement, the terms of the Master Service Agreement shown in SHI MSA - Terms and Conditions incorporated herein by reference (in either case, the "Terms and Conditions".) This agreement shall be considered an "SOW" for purposes of the Terms and Conditions.

18. SOW ACCEPTANCE

The project Terms and Conditions are as outlined in this document. Once fully executed, this document will become the Statement of Work for the project defined in this document. The Customer's signature below authorizes SHI to begin the services described above and indicates the Customer's agreement to process and pay the invoices associated with these services.

Williamson County		SHI International Corp.	
Name		Name	Randy Guin <i>Randy Guin</i>
Title		Title	Field Solutions Mgr
Signature		Signature	<i>Randy Guin</i>
Date		Date	4-27-16

19. CONFIDENTIAL

The information in this document shall not be duplicated, used, or disclosed in whole or in part outside Williamson County's organization. If a contract is awarded to SHI as a result of or in connection with the submission of this document, Williamson County shall have the right to duplicate, use, or disclose the information within its organization to the extent provided by the contract between Williamson County and SHI. This restriction does not limit Williamson County right to use information contained in this document if it is obtained from another source without restriction.

20. APPENDIX A – CHANGE REQUEST FORM

CHANGE REQUEST FORM

Project Name:	Security Governance Program Remediation Activities
Customer Name:	Williamson County
Change Request Number:	
Date:	
Submitted by:	
Change Evaluator:	

CHANGE REQUEST DESCRIPTION	
IMPACT OF CHANGE	
PRICE	
SIGNATURES	

Status: Accepted/Rejected		Reason:	
Williamson County Approval:		Date:	
SHI Project Manager Approval:		Date:	