

Appendix J
SOW #1
To
OFM RFP #15-1400

Statement of Work Number 1
to

Contract Number [XXX-XXX-XXX] (Contract)
for
Washington All Payer Health Care Claims Database

This Statement of Work (SOW) is made and entered by and between the Office of Financial Management (“OFM”), and *[Legal Name of successful Bidder]* (“Lead Organization”), for the implementation of the Washington All Payer Health Care Claims Database (WA-APCD). This SOW incorporates by reference the terms and conditions of Contract Number *[XXX-XXX-XXX]* in effect between the OFM and the Lead Organization. In case of any conflict between this SOW and the Contract, the Contract shall prevail.

OFM and Lead Organization agree as set forth below:

Chapter 246 Laws of 2015¹ (WA-APCD Law) requires the Lead Organization to be responsible for internal governance, management, funding and operations of the state of WA-APCD. This law also requires that the Lead Organization enter into a contract with a Data Vendor to perform data collection, processing, aggregation, extracts, and analytics. The Subcontracted Data Vendor shall be the only entity allowed to perform the functions assigned to it by law. The Lead Organization shall perform only those functions directed or allowed by law or OFM rule. As set forth in the Contract, any and all Subcontractors working under this SOW must be approved by OFM in writing prior to starting work.

1. Project or Task Objectives

The deliverables set forth in this Statement of Work are intended to meet the basic requirements of Chapter 246 Laws of 2015 and specific deliverables under OFM’s U.S. Department of Health and Human Services, Centers for Medicare & Medicaid Services (CMS) Rate Review Cycle III grant.

Both the Lead Organization and Data Vendor shall adhere to and proactively assist OFM in meeting each of the requirements attached to the CMS Rate Review Cycle III funding in the Funding Opportunity Announcement (Appendix D, *The Health Insurance Rate Review Grant Program Cycle III FOA* to the RFP) and the Notice of Award (Appendix E, *The Health Insurance Rate Review Grant Program Cycle III Terms and Conditions* to the RFP).

The objectives of this SOW are to:

1. Implement the WA-APCD to securely collect, stage, cleanse, de-duplicate, identity match, longitudinalize, assign unique identifiers to, transform, and store health care claims and related data from the required submitters.

¹ <http://lawfilesexxt.leg.wa.gov/biennium/2015-16/Pdf/Bills/Session%20Laws/Senate/5084-S.SL.pdf>

2. Enable the manipulation of and retrieval of claims data out of the WA-APCD
3. Establish the required governance and advisory committees
4. Establish the necessary processes and procedures required to collect and store the data
5. Establish the processes required to request and share data
6. Securely collect and store Phase I historical claims data
7. Protect the privacy of individuals and organizations in the WA-APCD
8. Create the WA-APCD website
9. Post health care quality and cost information on the WA-APCD website
10. Apply for Medicare Qualified Entity certification from CMS

2. Scope of Work and Deliverables

To accomplish the objectives of this SOW, the Lead Organization shall provide services and staff, and otherwise do all things necessary for or incidental to the performance of work, as set forth below:

Project Management

The Lead Organization shall provide project management for the duration of this SOW that includes, but is not limited to:

1. Maintaining an Integrated Work Plan and Schedule of all activities under SOW #1 and concurrently SOW #2 required to complete the work and deliver the results described in each SOW. The Integrated Work Plan must include:
 - all deliverables in SOW #1 and in SOW #2;
 - all major implementation deliverables of the Data Vendor from SOW #1 and SOW #2;
 - collaboration events with OFM to identify and agree upon the content of data product deliverables;
 - a minimum of ten (10) working days for OFM to review each draft deliverable and an additional minimum of five (5) working days to review and accept each final deliverable prior to payment for such deliverable;
 - all final deliverables must be accepted by OFM in writing prior to invoicing for payment
 - milestones at a detailed enough level so that activity progress may be tracked.
2. Conducting risk and issue management.
3. Resolving all issues identified by OFM on draft deliverables and integrating any agreed upon solutions into the final deliverables or working with OFM to identify alternative ways to meet OFM's concerns that are agreeable to OFM.
4. Keeping current the Integrated Work Plan and Schedule of all deliverables and milestones under SOWs #1 and #2
5. Tracking progress against SOW #1 and SOW #2 work plans for each deliverable
6. Providing status reports to OFM's Contract Manager every two (2) weeks for the duration of SOW #1 and #2 that include the progress toward and status of each deliverable, accomplishments for the period, planned activities for the upcoming period, risk management findings and revised Integrated Work Plan and Schedule (if applicable)

Deliverables

1. Establish and Convene Advisory Committees

At the direction and with the approval and participation of OFM, the Lead Organization shall work with the Data Vendor to establish and convene two Advisory Committees as required by the WA-APCD Law and integrate them into the governance process of the WA-APCD. These Advisory Committees are the:

1. **Data Policy Advisory Committee** to provide advice on data policy development.
2. **Data Release Advisory Committee** to establish a data release process consistent with the requirements of the WA-APCD Law and to provide advice regarding formal data release requests.

The advisory committees must include in-state representation from key provider, hospital, public health, health maintenance organization, large and small private purchasers, consumer organizations, and the two largest carriers supplying claims data to the database.

The Lead Organization advisory committees for this database must include representation of the third-party administrator of the Uniform Medical Plan.

A payer, health maintenance organization, or third-party administrator must be a data supplier to the WA-APCD to be represented on the Lead Organization advisory committees.

2. Establish the Data Submission Process

The Lead Organization shall establish with the Data Vendor, data suppliers and the Data Policy Advisory Committee, a secure Data Submission Process to submit claims and data files to the WA-APCD.

The WA-APCD shall collect claims and data files that data suppliers must submit to the database, including: files for covered medical services, pharmacy claims, and dental claims, member eligibility and enrollment data; and provider data with necessary identifiers as defined in rule by OFM.

The OFM is currently in the WA-APCD rule-making process (see Rule Making for the WA-APCD here: <http://www.ofm.wa.gov/healthcare/pricetransparency/>) and is required to draft definitions for WA-APCD claim and data files that data suppliers must submit to the database. Given this, when establishing the Data Submission Process, the Lead Organization must perform one of the following:

- a. using the Data Submission Guide, if established by the OFM in rule, inform the Data Submission Process, or
- b. if the Data Submission Guide is established by the OFM in rule, but is not complete, complete the Data Submission Guide as part of the Data Submission Process, or
- c. if the Data Submission Guide is not established by the OFM in rule, establish the Data Submission Guide using the definitions of claim and data files established by the OFM in rule

3. Implement the WA-APCD System

The Lead Organization and the Data Vendor will, as appropriate and as required in the WA-APCD law, implement the WA-APCD system technical architecture and the mechanisms to perform the functions listed below. Including, but not limited to:

- a. Collect, Transfer and, Stage Data. The Lead Organization shall, at a minimum:
 - i. Work with the Data Vendor to design data collection mechanisms with consideration for the time and cost incurred by data suppliers and others in submission and collection and the benefits that measurement would achieve, ensuring the data submitted meet quality standards and are reviewed for quality assurance
 - ii. Use the secure Data Submission Process and Data Submission Guide to collect and transfer data
- b. Cleanse and Perform Quality Assurance of Data. The Lead Organization will work with the Data Vendor to, at a minimum:
 - i. Review data submitters' files according to standards established by OFM
 - ii. Assess each record's alignment with established format, frequency, and consistency criteria
 - iii. Maintain responsibility for quality assurance, including, but not limited to:
 - 1) Accuracy and validity of data suppliers' data
 - 2) Accuracy of dates of service spans
 - 3) Consistency of record layout and counts
 - 4) Identification of duplicate records
 - 5) De-duplicate the data as necessary
 - vi. Demonstrate internal controls and affiliations with separate organizations as appropriate to ensure safe data collection, security of the data with state of the art encryption methods, actuarial support, and data review for accuracy and quality assurance
- c. Identity Match, Longitudinalize and Unique Identifier. Lead Organization shall:
 - i. Perform identity matching on claims data with existing individuals in the WA-APCD
 - ii. Longitudinalize the data by matching individuals' claims over the time span of all data and across all payers
 - iii. Assign unique identifiers as defined in RCW 43.371.010 as modified by Chapter 246, Laws of 2015, to individuals represented in the database.
- d. Load and Store Data. Lead Organization shall:
 - i. Store data on secure servers that are compliant with the federal Health Insurance Portability and Accountability Act (HIPAA) and regulations, with access to the data

strictly controlled and limited to staff with appropriate training, clearance, and background checks

- ii. Ensure that no claims data is purged from the system except as otherwise required by law or directed by OFM.

e. Ensure Security and Privacy of Data and the System

At the direction of OFM, the Lead Organization shall work with the Data Vendor to ensure all patient-specific information is encrypted with an up-to-date industry standard algorithm.

The Data Vendor shall follow the security policies laid out in the state of Washington's WA-Tech Office of the Chief Information Officer's Policy 141 – Securing Information Technology Assets which can be accessed at: <https://ocio.wa.gov/policies/141-securing-information-technology-assets>

The Lead Organization shall:

- i. Demonstrate internal controls and affiliations with separate organizations as appropriate to ensure safe data collection, security of the data with state of the art encryption methods, actuarial support, and data review for accuracy and quality assurance
 - ii. Maintain state of the art security standards for transferring data to approved data requestors
 - iii. At the direction of OFM, work with the Data Vendor to ensure protection of collected data and store and use any data in a manner that protects patient privacy and complies with Chapter 246, Laws of 2015, Section 2
 - iv. Except as otherwise required by law, with the Data Vendor maintain the confidentiality of claims and other data it collects for the database that include proprietary financial information, direct patient identifiers, indirect patient identifiers, or any combination thereof.
 - v. Except as provided in RCW 43.371.050 (4), claims or other data that contain direct patient identifiers or proprietary financial information must remain exclusively in the custody of the Data Vendor and may not be accessed by the Lead Organization
- f. Back up and Recover Data. The Lead Organization shall ensure that the Data Vendor creates, keeps current, and makes available for review by the OFM, a Disaster Recovery Plan for the WA-APCD. Disaster recovery site must be within the continental United States of America.
- g. Master Provider Roster. The Lead Organization shall:

- i. Create and Maintain a Master Provider Roster that links individual providers to their practice locations, including clinics, hospitals and other organizations if applicable. The purpose is to link providers and their locations to claims. This information will not be used to contact providers for commercial services.
- ii. Ensure that the Master Provider Roster is kept as accurate as possible and updated with health care provider information every six months at a minimum.

The state does not keep a Master Provider Roster. However, the Office of the Insurance Commissioner receives monthly network access report filings in comma delimited format (FormA) from payers. These files are publicly available and may be downloaded from this website:

<http://www.insurance.wa.gov/consumertoolkit/Search.aspx> Search by insurer name and select “View Network Access Reports” under “Network Access Reports”.

- h. Conduct Business Intelligence on WA-APCD Data. The Lead Organization shall ensure that all methodologies and algorithms of grouper software used to group individual claims into episodes of care and other groupings shall be made public
 - i. Retrieve Data. The Data Vendor, with direction from the Lead Organization and on behalf of Requestors who have approved Data Requests, must be able to search for and retrieve data as required.
4. Collect and Load Phase I Historical Claims Data from Submitters

Historical claims data for the WA-APCD will be collected in two phases, with Phase 1 data collected in the work under this SOW #1 and Phase 2 data collected in the work under SOW #2.

The Data Vendor shall collect and load into the WA-APCD, historical claims data from data submitters. The data collected shall cover calendar years 2011 up to the most recent reporting period, or as otherwise required by OFM rule. Such data shall be ready for use upon delivery of the WA-APCD.

The data to be collected shall include the following Phase 1 submitters:

- a. Public Claims Data
 - o Medicaid Data will be shared consistent with federal and state law
<http://www.hca.wa.gov/medicaid/healthyoptions/pages/planlinks.aspx>
 - o Public Employees Benefits (health care)
<http://www.hca.wa.gov/pebb/Pages/counties.aspx>
 - o Public Employees Benefits (dental)
<http://www.hca.wa.gov/pebb/Pages/dental.aspx>

- b. Commercial Claims (health care, pharmacy and dental) (Attachment 1, 2011 Insurance Commissioner's Annual Report Appendix E: Top 40 Companies by Line of Business to this SOW)

The WA-APCD shall be fully implemented, loaded with historical data, tested and working as required by meeting all of the test scenarios and acceptance criteria developed in conjunction with OFM.

5. Establish Data Processes and Criteria

- a. Establish Data Access Governing Process (Chapter 246, Laws of 2015, Section 5 (4))

- i. The Lead Organization shall, in conjunction with OFM and the Data Vendor, create and implement a process to govern levels of access to and use of data from the database consistent with the following:

- 1) Claims or other data that include proprietary financial information, direct patient identifiers, indirect patient identifiers, unique identifiers, or any combination thereof may be released only to the extent such information is necessary to achieve the goals set forth in RCW 43.371.020(1) to researchers with approval of an institutional review board upon receipt of a signed data use and confidentiality agreement with the Lead Organization.
- 2) A researcher or research organization that obtains claims data pursuant to this subsection must agree in writing not to disclose such data or parts of the data set to any other party, including affiliated entities, and must consent to the penalties associated with the inappropriate disclosures or uses of direct patient identifiers, indirect patient identifiers, or proprietary financial information adopted under RCW 43.371.070(1)
- 3) Claims or other data that do not contain direct patient identifiers, but that may contain proprietary financial information, indirect patient identifiers, unique identifiers, or any combination thereof may be released to federal, state, and local government agencies upon receipt of signed data use agreement with OFM and the Lead Organization. Federal, state, and local government agencies that obtain claims data pursuant to this subsection are prohibited from using such data in the purchase or procurement of health benefits for their employees

- 4) Claims or other data that do not contain direct patient identifiers, but that may contain proprietary financial information, indirect patient identifiers, unique identifiers, or any combination thereof may be released to any entity when functioning as the Lead Organization under the terms of chapter (Chapter 246, Laws of 2015)
- 5) Claims or other data that do not contain proprietary financial information, direct patient identifiers, or any combination thereof, but that may contain indirect patient identifiers, unique identifiers, or a combination thereof may be released to agencies, researchers, and other entities as approved by the Lead Organization upon receipt of a signed data use agreement with the Lead Organization
- 6) Claims or other data that do not contain direct patient identifiers, indirect patient identifiers, proprietary financial information or any combination thereof may be released upon request
- 7) Where the Lead Organization acts in its capacity as a private entity, it may only access data pursuant to RCW 43.371.050 (4) (c) or (d).

b. Establish the Data Request Process

The Lead Organization shall establish the Data Request Process with advice from the Data Release Advisory Committee that details how a Data Request is submitted, reviewed, approved or rejected, and retained.

The Data Request Process must include the following at a minimum:

- i. A Data Request Template
- ii. Each Data Request for claims data must include, at a minimum, the following information:
 - 1) The identity of any entities that will analyze the data in connection with the request;
 - 2) The stated purpose of the request and an explanation of how the request supports the goals of this chapter set forth in RCW 43.371.020 (1);
 - 3) A description of the proposed methodology;

- 4) The specific variables requested and an explanation of how the data is necessary to achieve the stated purpose described pursuant to Chapter 246, Laws of 2015, Section 5 (1) (b) (number ii, above)
- 5) How the requester will ensure all requested data is handled in accordance with the privacy and confidentiality protection required under the WA-APCD Law and any other applicable law
- 6) The method by which the data will be stored, destroyed or returned to the Lead Organization at the conclusion of the Data Use Agreement
- 7) The protections that will be utilized to keep the data from being used for any purposes not authorized by the requester's approved application
- 8) Consent to the penalties associated with the inappropriate disclosures or uses of direct patient identifiers, indirect patient identifiers, or proprietary financial information adopted under RCW 43.371.070 (1)
- 9) The Lead Organization may decline a request that does not include information set forth in the WA-APCD Law that does not meet criteria established by the Lead Organization's Data Release Advisory Committee or for reasons established by rule.

- iii. Create a Data Use Dictionary
Create a Data Use Dictionary that provides definitions and specifications of each data element available for request.

c. Establish Data Use Agreement for Data Recipients

- i. Establish a Data Use Agreement Template between the Lead Organization and Data Requestors
 - (1) This template shall be a standard template for use with WA-APCD health care claims data requestors. Such template will incorporate all data security and use requirements set forth in the law, associated rule and the OFM RFP.
 - (2) The Data Use Agreement template shall be established with advice from the Data Policy Advisory Committee and the Data Release Advisory Committees.
 - (3) The Data Use Agreement Template between the Lead Organization and Data Requestors shall be established with advice from the Data Release Advisory Committee and in compliance with OFM rules.
 - (4) The Data Use Agreement template shall be published to the WA-APCD Website for anyone to access.
- ii. The Data Use Agreement Template shall require

- (1) Any entity that receives claims or other data must also maintain confidentiality and may only release such claims data or any part of the claims data if:
 - (a) the claims data does not contain proprietary financial information, direct patient identifiers, indirect patient identifiers, or any combination thereof
 - (b) the release is described and approved as part of the request process
- (2) Reports utilizing data obtained under Chapter 246, Laws of 2015, Section (5) may not contain proprietary financial information, direct patient identifiers, indirect patient identifiers, or any combination thereof. Notwithstanding the foregoing requirement, the use of geographic areas with a sufficient population size or aggregate gender, age, medical condition, or other characteristics in the generation of reports may be produced, so long as they cannot lead to the identification of an individual.
- (3) Reports issued by the Lead Organization at the request of providers, facilities, employers, health plans, and other entities as approved by the Lead Organization may utilize proprietary financial information to calculate aggregate cost data for display in such reports. The aggregate cost calculation and display used shall be the calculation established and approved by rule.
- (4) Recipients of claims or other data received under the Data Request Process must agree in a Data Use Agreement or a Confidentiality Agreement to, at a minimum:
 - (a) Take steps to protect data containing direct patient identifiers, indirect patient identifiers, proprietary financial information, or any combination thereof as described in the agreement.
 - (b) Not re-disclose the claims data except pursuant to Chapter 246, Laws of 2015, Section 5 (3)
 - (c) Not attempt to determine the identity of any person whose information is included in the data set or use the claims or other data in any manner that identifies any individual or their family or attempt to locate information associated with a specific individual
 - (d) Destroy or return claims data at the conclusion of the data use agreement
 - (e) Certify such destruction or return of claims data to the Lead Organization
 - (f) Consent to the penalties associated with the inappropriate disclosures or uses of direct patient identifiers, indirect patient identifiers, or proprietary financial information adopted under RCW 43.371.070 (1)
- (5) Except as otherwise required by law, the Lead Organization and Data Vendor must maintain the confidentiality of claims or other data it collects for the database that include proprietary financial information, direct patient identifiers, indirect patient identifiers, or any combination thereof.

d. Establish the Data Release Process

Except as otherwise required by law, claims or other data from the database shall only be available for retrieval in processed form to public and private requesters pursuant to chapter 246, Laws of 2015, Section 5(1).

The Data Release Process specifies how data requested through the Data Request Process is to be supplied. The Lead Organization shall:

- i. Work with the Data Vendor to ensure that direct patient identifiers, indirect patient identifiers, and proprietary financial information are released only in compliance with the terms of the WA-APCD Law.
- ii. At the direction of OFM, work with the Data Vendor to ensure all patient-specific information when required to be de-identified is de-identified with an up-to-date industry standard algorithm.
- iii. At the direction of OFM, work with the Data Vendor to ensure all patient-specific information when required to be encrypted is encrypted with an up-to-date industry standard algorithm.
- iv. At the direction of OFM, work with the Data Vendor to develop protocols and policies, including pre-release peer review by data suppliers, to ensure the quality of data releases and reports.
- iv. At the direction of OFM, work with the Data Vendor to, consistent with the WA-APCD Law, make information from the database available as a resource for public and private entities, including carriers, employers, providers, hospitals, and purchasers of health care.
- v. Make data available within a reasonable time after the request.

e. Establish the Verification Process for Comparison Reports

The Lead Organization must establish a data verification process that allows for data suppliers, hospitals and providers to verify the accuracy of comparison reports released by the Lead Organization. The Lead Organization may not:

- i. Release a report that compares and identifies providers, hospitals, or data suppliers unless it allows the data supplier, the hospital, or the provider to verify the accuracy of the information submitted to the Data Vendor, comment on the reasonableness of conclusions reached, and submit to the Lead Organization and data vendor any corrections of errors with supporting evidence and comments within thirty (30) calendar days of receipt of the report
- ii. Release a report that compares and identifies providers, hospitals, or data suppliers unless it corrects data found to be in error within a reasonable amount of time and the report otherwise complies with Chapter 246, Laws of 2015

6. Establish and maintain WA-APCD Website

The intent for this website is to be the ongoing WA-APCD internet location for individuals or organizations seeking information about:

- the WA-APCD and its available data
- the process and content of WA-APCD data submissions
- the process and criteria for obtaining WA-APCD available data
- health care cost, quality and utilization

The Lead Organization shall establish and maintain the WA-APCD Website. The website shall at a minimum:

i. Be designed:

1. using the branding created under SOW #2
2. in compliance with Section 508 <http://www.section508.gov/>]
<https://ocio.wa.gov/policies/1000-g1-state-guidelines-%e2%80%93-accessibility-information-technology-individuals-disabilities>
3. in collaboration with OFM
4. with OFM's final approval for such design.

ii. Provide information:

- (1) regarding the Lead Organization and Data Vendor including but not limited to: identification of governing body, leadership, advisory committee members, staff, contact information with titles, mission, vision, etc.
- (2) regarding the WA-APCD and its data including but not limited to: a high level description of the system, the WA-APCD Law, mission, and purpose
- (3) regarding WA-APCD Data Products and Services, such as
 - a. a current fee schedule for WA-APCD Data Products and Services
 - b. a list and description of WA-APCD Data Products and Services
- (4) for Data Submitters, including the Data Submission Guide
- (5) for Data Requestors, such as
 - a. the Data Request Process and Template
 - b. the Data User Dictionary
 - c. a list of all data requests with the completed data request forms, response(s) by the Lead Organization and whether or not the request was approved or denied, and when the request was filled

7. Publish Health Care Price Schedule and Quality Data Set on the WA-APCD Website

To meet CMS Cycle III Grant requirements, health care price and quality information shall be published on the WA-APCD website for public use free-of-charge. OFM shall provide the initial

data set to be posted. The Lead Organization shall create a webpage for the display of the data – intended for the individual public user, with sort and search capability by data element.

Note: In SOW #2, the Health Care Price Schedule and Quality Data Set described above will be updated by an expanded data set created by the Lead Organization using WA-APCD claims data.

8. CMS Medicare Qualified Entity Application, Impacts and Recommendation

The Lead Organization must submit an application to become a certified CMS Medicare Qualified Entity. CMS' website with information on this process is here:

<http://www.cms.gov/Research-Statistics-Data-and-Systems/Monitoring-Programs/QEMedicareData/index.html?redirect=/QEMedicareData>.

The Lead Organization shall provide to OFM a document that describes the impacts of becoming a Qualified Entity on the WA-APCD and use of data in the system. The Lead Organization must identify other options for obtaining Medicare data for the WA-APCD, such as working through OFM to obtain the data. In addition, the Lead Organization must provide a recommendation to OFM for an optimal way to obtain the Medicare data.

OFM may, at its sole option, issue another statement of work to the Lead Organization to obtain the Medicare data based on these findings

9. Updated Sustainability Plan

The Lead Organization shall provide to OFM by August 31, 2016, an updated Sustainability Plan.

At the direction of OFM, the Lead Organization shall work with the Data Vendor to update the Sustainability Plan originally submitted with the proposal to OFM. The update will, at a minimum, take into account the following:

- a. WA-APCD Rules
- b. Approved Fee Schedule
- c. Ability to sell WA-APCD Data Products and Services
- d. Actual costs of the WA-APCD and the Lead Organization
- e. Projected costs for a five-year period (covering state fiscal years of July 1, 2016 – June 30, 2021)

The updated Sustainability Plan will be used by OFM to provide information about the sustainability of the WA-APCD to the Washington State Legislature.

The updated Sustainability Plan must be published to the WA-APCD website within 30 calendar days from submittal to OFM.

10. Report on Security and Privacy of the WA-APCD and Claims Data to the Office of the Chief Information Officer

On or before commencement of data release, the Lead Organization and Data Vendor must submit detailed descriptions of its data security practices to Office of the Chief Information Officer (OCIO) to ensure robust security methods are in place. The OCIO must report its

findings to OFM and the appropriate committees of the Legislature. Such detailed descriptions of Data Vendor data security practices shall include, but are not limited to:

- (a) Compliance with all applicable federal, state, and foreign privacy and data protection laws, as well as all other applicable regulations and directives in its collection, access, use, storage, disposal and disclosure of health care claims data.
 - (b) Implementation of administrative, physical and technical safeguards to protect Personal Information that are no less rigorous than accepted industry practices including the International Organization for Standardization's standards ISO-IEC 27002:2013 – Code of Practice for International Security Management, the Control Objectives for Information and related Technology (COBIT) standards and the State of Washington Office of the Chief Information Officer (OCIO) IT Security Policy and Standards.
 - (c) The manner in which Personal Information is collected, accessed, used, stored, processed, disposed of and disclosed, comply with applicable data protection and privacy laws, as well as the terms and conditions of this Agreement.
 - (d) Documentation of compliance with all applicable security polices and standards as required, including:
 - i. Documentation of organizational security program outlining its security policies and practices, which conform to those outlined and required in this agreement.
 - ii. Results of annual compliance audits including findings and mitigations, and expected compliance date
 - iii. Incident response plan including notification procedures to the Lead Organization and the State Office of Financial Management
 - iv. Documented communication plan regarding breach notification including notification to the State of Washington Chief Information Officer (CIO) and State Chief Information Security Officer (CISO).
 - v. Latest Statement on Standards for Attestation Agreements (SSAE) No. 16 Service Organization Control 2 (SOC 2) Type II audit report.
 - (e) Adherence to OCIO standards—Implementation of administrative, physical and technical safeguards to protect Personal Information that are no less rigorous than the current OCIO Security Standards (OCIO 141.10) relating to Securing Information Technology Assets Standards.
11. Establish the WA-APCD Data Product Fees. The Lead Organization shall establish the WA-APCD Data Product Fees using the process established in rule by OFM and with the approval of OFM, as required by the WA-APCD Law (Chapter 246, Laws of 2015, Section 2 (5) (g)).
- a. At the direction of OFM, the Lead Organization shall charge fees for reports and data files as needed to fund the database
 - b. All fees must be approved by OFM
 - c. All fees should be comparable, accounting for relevant differences across data requests and uses
 - d. The Lead Organization may not charge providers or data suppliers fees other than fees directly related to requested reports

- e. Fees must be created and may only be changed using the process established in rule by OFM

3. Timeline and Period of Performance

Subject to filing or approval requirements, the period of performance for this project will start on January 1, 2016 and the work tasks must be completed on or before September 30, 2016. OFM has the right to extend or terminate this SOW at its sole discretion.

No work shall be performed by the Lead Organization until this SOW is executed by the Lead Organization and OFM and a fully executed copy is received by the Lead Organization.

4. Compensation and Payment

Funding for this SOW comes from the Cycle III grant and expires on September 30, 2016. It is imperative that all deliverables be completed prior to this date, so that funding is available to pay for each deliverable. Relying on the potential of a no-cost extension is not possible.
No expenses or travel will be paid.