

## 1 Overview

This Statement of Work ("SOW"), with any appendices included by reference, is part of any agreement which incorporates this document by reference.

### 1.1 Services Summary

The purpose of the SilverSky HIPAA Gap assessment service is to identify potential gaps that may exist in Customer's ongoing compliance efforts. The assessment procedures are based on the HIPAA Security Rules as updated by the HITECH Act and the Omnibus Rule. This project will focus on Customer's policies, procedures, practices, information technology (IT) environment and existing compliance efforts. SILVERSKY will document identified weaknesses and provide recommendations to help Customer enhance its security and compliance program.

#### Project Deliverables:

Reports: Executive Summary and HIPAA Gap/Readiness Detailed Findings Report

### 1.2 Project Summary

SILVERSKY will provide the following primary tasks, subject to modification or extension based the engagement.

1. Preparation and Scoping
2. Information Gathering/Discovery
3. Gap Analysis
4. Analysis and Reporting

## 2 Scope

### 2.1 SilverSky Obligations:

**Preparation and Scoping** - Meet with key personnel to discuss Customer's operational and technical environment. During this initial conversation, SilverSky will determine the scope of Customer's IT environment that falls under HIPAA regulations, including considerations for outsourced arrangements, network segmentation and third party processing providers. This preparation and scoping phase is used to:

- Set expectations regarding the project scope, objectives, activities and associated timetables over the course of the engagement
- Establish roles and responsibilities for both Customer and SilverSky teams
- Establish project management standards, including milestone meetings, status reports and ongoing communications with key personnel
- Facilitate collection of Customer's specific information that is required to complete the gap assessment

**Information Gathering** - Review existing Customer documents related to HIPAA Compliance and interview Customer personnel. SILVERSKY may require further interviews and documentation throughout the review process. Samples of requested documentation will include:

- Prior IT or Operation risk assessments
- Business associate agreement examples
- List of business associate agreements
- Network diagrams
- Security and compliance training programs
- Information security policies and procedures
- Workforce training program documentation
- IT organizational charts
- Security software and hardware lists
- Interview schedules with key personnel

SilverSky will utilize the information gathered to better focus and streamline the client interviews. SilverSky will schedule a combination of group and individual interviews with personnel from various functional areas. The interview process will focus on the areas outlined in the final HIPAA Security and Privacy Rules.

## SilverSky Proprietary

**HIPAA Gap Analysis** - Evaluate the in-scope processes, systems and applications against the requirements of the HIPAA Security and Privacy Rules. SilverSky will examine these against the security and control structure or related information systems and business processes that are involved in Customer's collection, use and disclosure of PHI/ePHI to determine their compliance. During this phase SilverSky will:

- Assess how PHI/ePHI is collected, used and disclosed throughout key business, technology infrastructure, relevant systems and business processes
- Interview key system and business stakeholders to identify current policies and practices related to PHI/ePHI
- Identify and assess information security risks within key functional areas associated with PHI/ePHI
- Learn Customer's current risk management techniques for addressing security and privacy risks
- Identify deficiencies and gaps in Customer's security and privacy practices through targeted tests and control analysis
- Develop detailed recommendations to remediate deficiencies

SilverSky will assess against the HIPAA Security Guidelines and NIST 800-66: Resource Guide for Implementing the Health Insurance Portability and Accountability Act (HIPAA) Security Rule which includes:

### Administrative Safeguards

- Security Management Process
- Assigned Security Responsibility
- Workforce Security
- Information Access Management
- Security Awareness and Training
- Security Incident Procedures
- Contingency Planning
- Evaluation
- Business Associate Contracts

### Physical Safeguards

- Facility Access Controls
- Workstation Use
- Workstation Security
- Device and Media Controls

### Technical Safeguards

- Access Controls
- Audit Controls
- Integrity
- Person or Entity Authentication
- Transmission Security

### Policy and Procedure Documentation Requirements

- Policy and Procedures
- Documentation

**Analysis and Reporting** - Analyze the data generated from the review. SilverSky will categorize the gap analysis by severity depending on the potential impact each gap may have with respect to compliance with the HIPAA security standards and make recommendations to help Customer formulate a strategic plan to address any non-compliant areas.

## 2.2 Deliverables

SilverSky will provide an Executive Report and a Detailed Findings Report following its review.

The Executive Report is a high level summary of the review designed for Customer's upper management and board of directors and includes:

- 1 page executive summary
- Concise list of the key findings
- Summary of findings for each area reviewed during the review
- High level recommendations for addressing deficiencies

## SilverSky Proprietary

The Detailed Findings Report describes the review results in detail. It's designed for mid-level management, administrators and other operations personnel and includes:

- Itemized listing and description of the areas reviewed
- Identified deficiencies
- Overall risks associated with deficiencies
- Detailed recommendations for addressing deficiencies

### 2.3 Out of Scope

Any activity not explicitly included in this SOW is considered out of scope. In the event that Customer requests additional services, such services will be the subject of a change request.

## 3 Customer Obligations and Assumptions

Services, fees and work schedule are based upon the assumptions, representations and information supplied by Customer. Customer's fulfillment of these responsibilities is critical to the success of the engagement.

### 3.1 Customer Obligations

- **Project Liaison** - Designate an authorized representative to authorize completion of key project phases, assign resources and serve as project liaison.
- **Access** - Ensure SilverSky consultants have access to key personnel and data requested
- **Resources** - Furnish SilverSky with Customer personnel, facilities, resources and information and perform tasks promptly
- **Cooperation** - Ensure all of Customer's employees and contractors cooperate fully with SilverSky and in a timely manner. SilverSky will advise Customer if an increased level of Customer participation is required in order for SilverSky to perform the Services under this SOW.
- **Documentation** - Timely deliver all documentation requested by SILVERSKY including Customer's security policies, network diagrams, server listings and procedures

### 3.2 SilverSky Assumptions

- Customer will provide SilverSky with reasonably requested information SilverSky can rely on to be current, accurate and complete.
- Customer will provide access to Customer's personnel who have detailed knowledge of Customer's security architecture, network architecture, computer environment and related infrastructure.
- Customer will provide access to Customer's personnel who have an understanding of Customer's security policies, regulations and requirements.
- Customer will evaluate SilverSky deliverables and immediately notify SilverSky of any perceived problems or issues with SilverSky obligations.
- SilverSky will immediately notify Customer of any perceived problems or issues regarding Customer obligations.
- Customer is responsible for any additional costs if SilverSky is unable to perform the Services due to Customer's delay or other failure to fulfill its obligations under this Statement of Work.

## 4 Project Parameters

### 4.1 Project Scope

The scope of the project is based on the above description with the additional details listed as follows:

## SilverSky Proprietary

Project Component	Parameter(s)
Project Start Date	Typically within 30 days of Effective Date
Project Duration	Tier 1: Approximately 1-2 weeks Tier 2: Approximately 2-3 weeks Tier 3: Approximately 3-4 weeks
<u>Description</u>	<u>Consulting Days not to Exceed</u>
HIPAA Compliance GAP/Readiness Review - Tier 1	7
HIPAA Compliance GAP/Readiness Review - Tier 2	12
HIPAA Compliance GAP/Readiness Review - Tier 3	20

Pricing is based upon your Tier of service and you are not allowed to downgrade if the engagement last less than your maximum days set forth in the table above.

### 4.2 Location and Travel Reimbursement

The Services defined in this SOW may require onsite participation by SilverSky staff at Customer location(s).

For Customer-approved onsite participation, Customer will be invoiced for all actual SilverSky staff travel and living expenses associated with all onsite visits. An administration fee of ten percent (10%) of all travel and living expenses will be billed to Customer if Customer requires an itemized statement of such expenses.

Location	Scope of Work

### 4.3 Acceptance

Delivery of all stated project deliverables will constitute acceptance of services provided under this SOW.