SCOPE OF WORK

IT Risk Assessment and Business Impact Analysis

County of Sonoma

Evolver, LLC

2 September 2020

SECTION 1: INTRODUCTION

DOCUMENT PURPOSE

This document establishes the terms of service provision, tasks, delivery schedule, and pricing associated with the County of Sonoma IT Risk Assessment and Business Impact Analysis (BIA) project. The Scope of Work, hereafter SoW, is the official description of the work to be performed across the life of the contract by the prime contractor, Evolver, LLC. This agreement, dated 2 September 2020, is entered into upon by the County of Sonoma and Evolver, LLC to govern the quality of service delivery and related deliverables expected during the life of the contract, subject to County of Sonoma board review and approval.

PROJECT BACKGROUND AND SUMMARY

The County of Sonoma seeks a qualified contractor organization to perform a two-phase project to conduct a structured risk assessment and BIA to identify gaps and make recommendations for increased IT resiliency. Sonoma County California is home to over 500,000 residents. The County is governed by a five-member Board of Supervisors which sets policy and appoints the County Administrator to direct day-to-day government operations. Based in the City of Santa Rosa, California, the County employs a workforce of approximately 4,031 employees in more than 26 departments and agencies, in facilities located throughout the City and County.

The Information Systems Department (ISD) is the primary information services provider to County departments. ISD infrastructure supports over 500 physical and virtual servers serving essential services including 911 call-taking and computer aided dispatch, public safety communications systems, Voice over IP telephone service, centralized networking functions, enterprise applications including email and financial systems, and over 200 line of business applications. Information technology services are also provided by technical staff in several departments.

The County of Sonoma was deeply affected by wildfires in 2017 and 2019, and by major flooding in early 2019. These events have served to heighten awareness of potential loss that could result from a disruption of information technology services and gave impetus to establish the IT Resiliency Program. The services sought in this Request for Proposals are in alignment with the framework established by the Office of Recovery and Resiliency, Strategic Priority CP4: Community Preparedness and Infrastructure, with the goal to "make County government more adaptable to provide continued services in disasters through comprehensive planning, a more empowered workforce, and improved facilities and technology."

CONTRACT TYPE

The following SoW outlines the basis for a Time and Material (T&M) contract with an estimated not-to-exceed value of $350,000.00 for both core and optional services.

PAYMENT SCHEDULE & TERMS

During Phase 1, fifteen (15%) of the compensation for aggregate billed hours (the "Holdback Amount") shall be withheld by the County of Sonoma until Evolver supplies the Study Report. During Phase 2, fifteen (15%) of the compensation for aggregate billed hours shall be withheld by the County of Sonoma until Evolver supplies the Organizational Recommendations and associated documentation. The

Holdback Amount shall be claimed by invoice following acceptance of deliverables for each Phase. Such acceptance shall be evidenced in writing and shall not be unreasonably delayed or denied.

SECTION 2: CORE PROJECT PHASES, TERMS & PRICING

PHASED APPROACH SUMMARY (CORE-ISD)

The core work will proceed across two core phases to perform a baseline IT risk and cyber-security assessment and BIA for the ISD using the Factor Analysis of Information Risk (FAIR) methodology, followed by optional FAIR analyses to be conducted for the following organizations:

- Sonoma County Water Authority
- Human Services Organization
- IT Sheriff's Office Organization

PHASE 1 (CORE-ISD) SUMMARY

During Phase 1 the following items will be addressed for the ISD:

- Task 1: Assess current and future risks to County IT infrastructure and facilities and the potential impact to County services stemming from IT service outages
- Task 2: Evaluate technical designs developed by County staff to improve IT service resiliency, including network redesign and utilization of a cloud-based office productivity and collaboration suite, as well as to offer additional recommendations
- Task 3: Assess Sonoma County's IT resiliency and cyber-security capabilities in comparison to similar organizations, including staffing and the use of limited resources

PHASE 1 (CORE-ISD) ESTIMATED PRICING

Phase/Task (ISD)	Labor Hours	Labor Rate	Total Cost
Phase 1, Task 1: current and future risks to County IT infrastructure and facilities	150	$250.00	$37,500.00
Phase 1, Task 2: Technical design review, re-design and utilization of cloud-services	100	$250.00	$25,000.00
Phase 1, Task 3: assess County IT resiliency and cybersecurity capabilities/benchmark	125	$250.00	$31,250.00
Total			$93,750.00

PHASE 2 (CORE-ISD) SUMMARY

During Phase 2, the following items will be addressed for the ISD:

- Task 1: Provide organizational recommendations for a sustained program in Business Continuity to ensure effective emergency response, continuity of government, and minimal disruption to public services

PHASE 2 (CORE-ISD) ESTIMATED PRICING

Phase/Task (ISD)	Labor Hours	Labor Rate	Total Cost
Phase 2, Task 1: provide organizational recommendations for sustained business continuity	100	$200.00	$20,000.00
Total			$20,000.00

COUNTY ROLES & RESPONSIBILITIES: CORE ISD

For the successful provision of core services across Phase 1 and 2, ISD will be responsible for meeting the following information requirements to support the core work:

- ISD will identify a designated Point of Contact (PoC) or designated project manager to support the contract support team, to include name(s), e-mail addresses, and telephonic contact information
- ISD will provide list of critical personnel and Subject Matter Experts (SMEs) to support the conduct of the FAIR analysis, to include names, e-mail addresses, and telephonic contact information
- ISD will supply a complete accounting of current and future planning documentation, including network and infrastructure diagrams, continuity planning documents, and other operational documents as required

VENDOR ROLES & RESPONSIBILITIES: CORE ISD

For the successful delivery of core services across Phase 1 and 2, Evolver will be responsible for meeting the following information requirements to support the core work:

- The contract support team (Evolver) will be responsible for providing Monthly Status Reports (MSR) summarizing major work performance supporting the project
- The contract support team, in concert with the project manager, will be responsible for providing monthly invoices/billing documentation to the County of Sonoma

CORE DELIVERABLES (PHASE 1, CORE-ISD)

The following core deliverables will be provided to ISD at the conclusion of Phase 1 activities:

- County of Sonoma Threat Assessment Report
- County of Sonoma Loss Impact Analysis
- County of Sonoma Baseline Risk Report
- County of Sonoma Technical Design Trade-Off Analysis
- County of Sonoma Comparative Analysis

At the direction of the County, additional assessment activities, summarized in Section 3: Optional Project Phases, Terms & Pricing, will be integrated into the above identified deliverables.

CORE DELIVERABLES (PHASE 2, CORE-ISD)

The following core deliverables will be provided to ISD at the conclusion of Phase 2 activities:

- County of Sonoma BCP Organizational Recommendations

At the direction of the County, additional assessment activities, summarized in Section 3: Optional Project Phases, Terms & Pricing, will be integrated into the above identified deliverable.

SECTION 3: MASTER SCHEDULE – CORE & OPTIONAL SERVICES

PHASE 1 SCHEDULE: CORE & OPTIONAL SERVICES

Week	Function	Activities
1-2	Phase 1 Kick-Off	• Introductions • Analysis Orientation • SOW Review • Scope Clarification • Threat Assessment
3-6	Data Gathering, Part 1	• Asset Resiliency • Loss Impact
7-9	Data Gathering, Part 2	• Additional Data Gathering • Data Collection Executive Review & Submittal
9-10	Baseline Risk Report	• Report Drafting • Baseline Risk Assessment
11	Assessment Review	• Staff Review • Receive Comments
12-13	Technical Design Review	• Review of Options
14-17	Technical Design Trade-Off Review	• Review of Options against Risk Assessment
18-19	Final Phase 1 Deliverables	• Phase 1 Deliverables • Review & Comment
20-22	Phase 2 Kick-Off	• Introductions • Comparative Organizations • SOW Review • Scope Clarification • Analysis Orientation
23-24	Data Gathering, Part 1	• Workshop, Organization 1 • Comparative Analysis
25-26	Data Gathering, Part 2	• Workshop, Organization 2 • Comparative Analysis
27-28	Analysis Status Check	• Data Analysis • Comparative Data Structure
29-30	Draft Study Report	• Draft Study Report

PHASE 2 SCHEDULE: CORE & OPTIONAL SERVICES

Week	Function	Activities
1-6	Provide Organizational Recommendations	• Introductions • SOW Review • Data and Document Collection • Draft Report • Receive Comments

SECTION 4: OPTIONAL PROJECT PHASES, TERMS & PRICING

PHASED APPROACH SUMMARY (OPTIONAL)

In addition to the core work with ISD, Evolver will perform optional services at the direction of the County of Sonoma. The optional work will be structured across two phases to perform a baseline IT risk and cyber-security assessment and BIA for the Sonoma County Water Authority (SCWA), Human Services, and IT Sheriff's Office using the Factor Analysis of Information Risk (FAIR) methodology.

PHASE 1 (OPTIONAL) SUMMARY

During Phase 1 the following items will be addressed for SCWA, Human Services, and IT Sheriff's Office:

- Task 1: Conduct FAIR standard data gathering, interviews, and analysis to support the development of an integrated assessment of County infrastructure, current and future threats, IT resiliency, and cyber-security capabilities

SONOMA COUNTY WATER AUTHORITY PHASE 1 (OPTIONAL) ESTIMATED PRICING

Phase/Task (SCWA)	Labor Hours	Labor Rate	Total Cost
Optional Phase 1, Task 1: Conduct FAIR standard data gathering, interviews, and analysis to support the development of an integrated assessment of County infrastructure, current and future threats, IT resiliency, and cyber-security capabilities	48	$250.00	$12,000.00
Total			$12,000.00

HUMAN SERVICES PHASE 1 (OPTIONAL) ESTIMATED PRICING

Phase/Task (HS)	Labor Hours	Labor Rate	Total Cost
Optional Phase 1, Task 1: Conduct FAIR standard data gathering, interviews, and analysis to support the development of an integrated assessment of County infrastructure, current and future threats, IT resiliency, and cyber-security capabilities	112	$250.00	$28,000.00
Total			$28,000.00

IT SHERIFF'S OFFICE PHASE 1 (OPTIONAL) ESTIMATED PRICING

Phase/Task (ITSO)	Labor Hours	Labor Rate	Total Cost
Optional Phase 1, Task 1: Conduct FAIR standard data gathering, interviews, and analysis to support the development of an integrated assessment of County infrastructure, current and future threats, IT resiliency, and cyber-security capabilities	160	$250.00	$40,000.00
Total			$40,000.00

PHASE 2 (OPTIONAL) SUMMARY

During Phase 2 the following items will be addressed for SCWA, Human Services, and IT Sheriff's Office:

- Task 1: Provide organizational recommendations for a sustained program in Business Continuity to ensure effective emergency response, continuity of government, and minimal disruption to public services

SONOMA COUNTY WATER AUTHORITY PHASE 2 (OPTIONAL) ESTIMATED PRICING

Phase/Task (SCWA)	Labor Hours	Labor Rate	Total Cost
Phase 2, Task 1: provide organizational recommendations for sustained business continuity	100	$200.00	$20,000.00
Total			$20,000.00

HUMAN SERVICES PHASE 2 (OPTIONAL) ESTIMATED PRICING

Phase/Task (HS)	Labor Hours	Labor Rate	Total Cost
Phase 2, Task 1: provide organizational recommendations for sustained business continuity	100	$200.00	$20,000.00
Total			$20,000.00

IT SHERIFF'S OFFICE PHASE 2 (OPTIONAL) ESTIMATED ESTIMATED PRICING

Phase/Task (ITSO)	Labor Hours	Labor Rate	Total Cost
Phase 2, Task 1: provide organizational recommendations for sustained business continuity	100	$200.00	$20,000.00
Total			$20,000.00

COUNTY ROLES & RESPONSIBILITIES: OPTIONAL SERVICES

For the successful provision of optional services across Phase 1 and 2, each organization will be responsible for meeting the following information requirements to support the optional work:

- Each organization will identify a designated Point of Contact (PoC) or designated project manager to support the contract support team, to include name(s), e-mail addresses, and telephonic contact information
- Each organization will provide list of critical personnel and Subject Matter Experts (SMEs) to support the conduct of the FAIR analysis, to include names, e-mail addresses, and telephonic contact information
- Each organization will supply a complete accounting of current and future planning documentation, including network and infrastructure diagrams, continuity planning documents, and other operational documents as required

VENDOR ROLES & RESPONSIBILITIES: OPTIONAL SERVICES

For the successful delivery of optional services across Phase 1 and 2, Evolver will be responsible for meeting the following information requirements to support the core work:

- The contract support team (Evolver) will be responsible for providing Monthly Status Reports (MSR) summarizing major work performance supporting the project
- The contract support team, in concert with the project manager, will be responsible for providing monthly invoices/billing documentation to the County of Sonoma

SECTION 5: PHASE 3 - ADDITIONAL SERVICES

BUSINESS CONTINUITY PROGRAM TABLETOP EXERCISE (PHASE 3)

At the direction of the County of Sonoma, Evolver will additionally provide services to ensure the design, development, conduct, and evaluation of a Business Continuity Program (BCP) Tabletop Exercise (TTX).

During the full-spectrum execution of a BCP TTX, the contract support team will be responsible for the following tasks in Phase 3:

- The review of all key County documentation to identify core issues for exercise evaluation
- The development of scenario vignettes which are consistent with and build upon FAIR analysis activities conducted across Phases 1 and 2
- Stakeholder coordination to involve appropriate County organizations, personnel, and senior executives in the design, development, and conduct of the exercise
- The facilitation of the exercise consistent with guidance outlined in the DHS Homeland Security Exercise Evaluation Program (HSEEP)
- The development and delivery of an industry standard Quick Look Report (QLR) and After Action Report (AAR) within five business and sixty (60) days respectively

BCP TTX (OPTIONAL) ESTIMATED PRICING

Phase/Task (BCP TTX)	Labor Hours	Labor Rate	Total Cost
Phase 3, All Tasks: Design, develop, conduct, and evaluate a BCP TTX	250	$200.00	$50,000.00
Total			$50,000.00

Anne Aarke

Senior Vice President

_____

Date:

County of Sonoma Official: _____

Title: _____

_____

Date: