

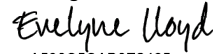
 WASHINGTON STATE DEPARTMENT OF LICENSING	DATA LICENSING AGREEMENT BETWEEN DEPARTMENT OF LICENSING AND WASHINGTON STATE PATROL	DOL Contract No. K7798 WSP Contract No. K18262									
Contract											
Contract start date November 1, 2022	Contract end date October 31, 2025	Contract amount Non-financial									
Purpose This data sharing Agreement establishes the terms, conditions, restrictions, requirements, and authorization for Recipient to receive Data services from DOL. This Agreement replaces and cancels DOL contract number K5652.											
Data Type <table border="0" style="width: 100%;"> <tr> <td>☒ Driving Record</td> <td>☒ Aggregate driver data</td> <td>☒ Protected Personal Information (CAT 3, 4)</td> </tr> <tr> <td>☒ Vehicle</td> <td>☐ Manufactured home</td> <td>☐ Non-Protected Personal Information (CAT 1, 2)</td> </tr> <tr> <td>☒ Vessel</td> <td>☒ Other: Firearm data</td> <td></td> </tr> </table>			☒ Driving Record	☒ Aggregate driver data	☒ Protected Personal Information (CAT 3, 4)	☒ Vehicle	☐ Manufactured home	☐ Non-Protected Personal Information (CAT 1, 2)	☒ Vessel	☒ Other: Firearm data	
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☒ Vehicle	☐ Manufactured home	☐ Non-Protected Personal Information (CAT 1, 2)									
☒ Vessel	☒ Other: Firearm data										
Recipient											
Recipient Name Washington State Patrol		Recipient UBI									
Address 106 11 th Avenue SW, Olympia WA 98501											
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Compliance Manager Wes Vradenburg	(Area code) Telephone (360) 534-2103	Email wesley.vradenburg@wsp.wa.gov									
Technical Contact (IT) Heather Anderson	(Area code) Telephone (360) 596-4901	Email heather.anderson@wsp.wa.gov									
Department of Licensing (DOL)											
Department administration Data Management Office		Division Office of Equity, Performance and Accountability									
Address PO Box 2076 Olympia, WA 98507-2076											
Contract Manager James Messer	(Area code) Telephone (360) 902-3920	Email datacontracts@dol.wa.gov									
Compliance Manager Eric Shields	(Area code) Telephone (360) 902-3920	Email datacontracts@dol.wa.gov									
Attachments (when applicable)											
This Agreement consists of the following attachment(s) and Exhibits(s) incorporated herein or by reference: Attachment A, <i>Data Licensing Statement(s)</i> Attachment D, <i>Audit Requirements</i> Attachment B, <i>Privacy and Security Requirements</i> Exhibit A, <i>Non-Compliance Form</i> Attachment C, <i>Subrecipients Requirements</i>											
The terms and conditions of this Agreement are an integration of the final, entire, and exclusive understanding between the Parties, superseding all previous agreements, writings, and communications, oral or otherwise, regarding the subject matter of this Agreement. This Agreement is effective upon execution by both Parties. The Parties signing below represent that they have read and understand this Agreement and have the authority to execute on behalf of their entity.											
Recipient Signature  Digitally signed by Simon Tee Date: 2022.10.26 07:27:19 -07'00'	DOL Signature  Date: 10/28/2022										
PRINT Signatory's Name, Title Simon Tee, Chief Contracts Officer	Name, Title Evelynne Lloyd Assistant Director, Administrative Services Division										
E-Mail: simon.tee@wsp.wa.gov											

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This data sharing Agreement (Agreement) is between the Washington State, Department of Licensing (DOL), and the Washington State Patrol (Recipient or WSP). DOL and Recipient may each be referred to individually as Party, or jointly as Parties.

In consideration of the terms and conditions contained herein, the Parties hereby agree as follows:

BACKGROUND INFORMATION

1. PURPOSE

The purpose of this Agreement is to establish the terms, conditions, and restrictions for DOL to provide Recipient a license to use Data and for establishing Recipient's safekeeping and Permissible Use requirements over such information. This Agreement ensures that information is provided, protected and used only for purposes authorized by federal and state law governing the release of Data.

The scope of this Agreement only provides the Recipient with access and Permissible Use of Data; it does not establish an agency relationship or independent contractor relationship between DOL and the Recipient.

This Agreement supersedes all previous agreements, authorizations, waivers and approvals. If the Recipient received additional authorizations or approvals, such as for Offshoring, under the previous agreement, it must reapply. Any corrective actions, Access Period suspensions, or other conditions placed on the Recipient under the previous agreement remain in full force and effect until the conditions are satisfied.

2. LEGAL AUTHORIZATION

This Agreement is made in accordance with all federal and state laws and rules as applicable, including but not limited to:

- a) Driver Privacy Protection Act 18 USC Ch. 123
- b) Revised Codes of Washington (RCW) 46.22.010, 46.04.652, 46.04.209, 46.04.1615
- c) RCW 46.52.120 – Case Record of Convictions and Infractions
- d) RCW 46.12.630 – For Lists of Vehicle Owners
- e) Washington Administrative Code may also apply

It is the responsibility of the Recipient to ensure that anyone accessing Protected Personal Information is familiar with the statutes, rules and contract requirements governing the use of Protected Personal Information, including all staff, contractors, Subrecipients and Subrecipient staff, to ensure the appropriate disclosure and use of Protected Personal Information.

3. DEFINITIONS

As used throughout this Agreement, the following terms shall have the meanings set forth below. Most terms used throughout this Agreement are defined in RCWs 46.22.010, 46.04.652, 46.04.209, and 46.04.1615, and applicable WAC. If there is a conflict between the definitions in this Agreement and definitions appearing in the RCW or WAC, the RCW or WAC will take precedence.

- a) "Access Period" is a duration of time under the term of this Agreement when Recipient is granted access and use of Protected Personal Information.
- b) "Agent" means a representative, or representatives, of a Requester that is under contract with the Recipient or Subrecipient to request driving records on the Requester's behalf. "Agent" includes insurance pools established under RCW 48.62.031 of which the authorized Recipient is a member.
- c) "Attorney" means an attorney functioning in a legal capacity when obtaining or using vehicle or vessel owner information from a Recipient or Subrecipient.
- d) "Breach" or "Breaches" means an unauthorized acquisition, loss of control or exposure to an unauthorized person or business, or Misuse of Protected Personal Information. Ransomware and unauthorized Offshoring of Protected Personal Information are included in this definition.
- e) "Consumer Report" has the same meaning as in 15 U.S. Code § 1681a.
- f) "Customers" means those entities that the Recipient is providing services to using Protected Personal Information but is not receiving Protected Personal Information from the Recipient. "Customers" does not include those entities receiving statistical reports.

- g) "Data" means information provided to Recipient under this Agreement.
- h) "Governmental Entity" means a federal agency, a state agency, board, commission, unit of local government, or quasi-governmental entities.
- i) "Incident" means an event that confirms, or is reasonably thought to be, the unauthorized access to, or Misuse of, Protected Personal Information. Ransomware attacks are included in this definition.
- j) "Independent Third Party" means any entity other than a member of the Recipient or any of its stockholders, or any entity controlled by or under common control with any of the stockholders or the company group.
- k) "Misuse" means the access, disclosure or use of Protected Personal Information without the express, written authorization from DOL in a data sharing agreement. "Misuse" also includes a violation of any privacy requirement outlined this Agreement.
- l) "Offshoring" means the electronic or hardcopy transmission, accessing, viewing, capturing images, storage, or processing of Protected Personal Information outside the United States.
- m) "Permissible Use" means authorized or required uses as outlined in federal or state law, and authorized in this Agreement.
- n) "Private Investigator" has the same meaning as RCW 18.165.010(11), or as licensed by other authority.
- o) "Protected Personal Information" means collectively Personal Information and Identity Information, as defined by RCWs 46.04.209, 19.255.005 and 42.56.590, authorized for disclosure by the federal Driver Privacy Protection Act and state law.
- p) "Requester" means an entity with an authorized Permissible Use to receive Protected Personal Information from DOL. A requester may be an Agent, Subrecipient or a Recipient.
- q) "Statement of Compliance" means an annual statement signed by an executive of an organization attesting to the Recipient's full compliance with requirements in this Agreement.
- r) "Subrecipient" means any entity outside your immediate organization that receives or has access to Protected Personal Information, including but not limited to subsidiaries, subcontractors, Requestors, or Agents.

SPECIAL TERMS AND CONDITIONS

4. AGREEMENT TERM

The term of this Agreement begins on November 1, 2022, and ends on October 31, 2025, unless terminated sooner or extended by mutual amendment as provided herein. This Agreement may be extended for any duration of time determined by DOL, but for no more than an additional five (5) years beyond the initial term.

Any waivers, additional approvals, etc., granted by DOL under this Agreement shall expire at the end of this Agreement and will not carry forward to any subsequent data sharing agreement.

5. GRANT OF LICENSE

Subject to the terms and conditions of this Agreement, DOL hereby grants Recipient with a limited non-transferable license to receive and use Data as solely permitted under this Agreement.

6. DATA OWNERSHIP

DOL retains sole and exclusive ownership of the Data. Nothing in this Agreement grants the Recipient any ownership interests in the Data.

7. DATA LICENSING STATEMENT

A Data Licensing Statement describes the responsibilities and process Recipient must use in order to request Data. The *Data Licensing Statement* is incorporated into this Agreement under Attachment A – *Data Licensing Statement*. *Data Licensing Statements* are established to specify the following information relative to this Agreement:

- a) Type of Data provided,
- b) The Permissible Use(s) for such Data,
- c) Identify how Data is transmitted and, if applicable, File Layout or Interface Control Document (ICD),
- d) Fees and payment information, as applicable, and

- e) Other requirements or information as may be applicable.

The Parties may incorporate additional Data Licensing Statements into this Agreement by written amendment fully executed by both Parties. Each Data Licensing Statement is to be incorporated by using the same attachment reference letter (A) and then further marking it with sequential identifying numbers (A1, A2, A3 etc.).

8. TRANSMISSION OF DATA BETWEEN DOL AND RECIPIENT

The system requirements for the transmission of Data are at the discretion of DOL. DOL will use its best efforts to always maintain the availability of the system and provide notice of changes to the system. DOL reserves the right to make unilateral changes to the system, or how Data is transmitted, with written notification to the Recipient.

Each request for Data must include:

- a) The Permissible Use code, if required in the Interface Control Document (ICD) or File Layout, and
- b) If applicable, unique ID number for each Subrecipient or Customer.

The transmission of Data to the Recipient by DOL will be made in accordance with Attachment A – *Data Licensing Statement*.

9. PRIVACY AND SECURITY REQUIREMENTS

To the extent that Data provided pursuant to this Agreement includes Protected Personal Information:

- a) Recipient shall safeguard all Protected Personal Information as set forth in Attachment B - *Privacy and Security Requirements*. Recipient agrees that it has a continuing obligation to comply with all federal and state laws, regulations, and security standards as enacted or revised over time, regarding Data protection, Breach, Data transmission, and restricted Permissible Uses of Protected Personal Information.
- b) Recipient has an ongoing obligation to ensure all its personnel, contractors and Subrecipients fully understand and comply with all *Privacy and Security Requirements*.

10. DATA LINEAGE

When comingling Data containing Protected Personal Information with data from another source that matches the Data fields provided to the Recipient by DOL, Recipient must use methods, such as metadata, to identify which information originated from DOL and track the Data lineage. Such methods must also be applied to Protected Personal Information shared with Subrecipients, and for the purpose of adhering to the data disposal requirements in this Agreement.

If the Recipient is unable to track the lineage of Data containing Protected Personal Information, DOL will consider any Protected Personal Information matching the Data fields provided to the Recipient by DOL, subject to the audit, *Privacy and Security Requirements*, and Breach notification requirements.

11. PERMISSIBLE USE

- 11.1 Recipient may only use Data containing Protected Personal Information for the Permissible Uses as set forth in Attachment A – *Data Licensing Statement*. This Agreement does not constitute a release of Protected Personal Information for the Recipient's discretionary use. The Data may be accessed and used only as authorized herein. Any other use not specifically authorized herein is strictly prohibited.
- 11.2 The Recipient may not use Data not meeting the definition of Protected Personal Information to discern, establish, or determine the identity of, or otherwise re-identify an individual without prior written approval of DOL.

- 11.3 In accordance with RCW 43.17.425 and Washington Executive Order 17-01, Recipient and Subrecipients are explicitly prohibited without limitation against sharing or using Data, including Protected Personal Information, for purposes of investigating, enforcing, cooperating with, or assisting in the investigation or enforcement of any federal or state regulation or surveillance programs or any other laws, rules, or policies that target Washington residents solely on the basis of race, religion, immigration, or citizenship status, or national or ethnic origin.
- 11.4 Any violation of the Permissible Use of the Data or RCW 43.17.425 is strictly prohibited and may be cause for immediate termination of this Agreement, as well as other possible civil and criminal penalties.
- 11.5 When prior Protected Personal Information received and retained by Recipient is refreshed with new Data, Recipient must refrain from using the older Protected Personal Information and must dispose of it, unless otherwise required by federal or state law or regulation. Recipient may only use, sell, distribute, and disseminate Protected Personal Information that is the most current Protected Personal Information received under this Agreement unless specifically waived by DOL.
- 11.6 Recipient shall further comply with all Permissible Use requirements set forth on Attachment B – *Privacy and Security Requirements*.
- 11.7 DOL may monitor and investigate the use and security of Protected Personal Information received by the Recipient or its Subrecipients through this Agreement. The Recipient has a duty to cooperate with DOL's investigation and ensure Subrecipient's cooperation with such investigations.

12. INCIDENT / BREACH NOTIFICATION

- 12.1 Recipient must notify DOL when it reasonably believes an Incident or Breach took place, including Incidents and Breaches occurring at a Subrecipient, when Protected Personal Information is involved, at each of the following:

DOL Help Desk, phone: (360) 902-0111,
DOL Compliance Manager, phone: (360) 902-3920, and
DOL Event Management, email: DOLEventMgmt@dol.wa.gov

Recipient must disclose the Incident or Breach to DOL prior to any public notification.

- 12.2 In addition to the above requirement to notify DOL, Recipient must also comply with all applicable laws that require the notification of individuals as required by RCW 42.56.590 or RCW 19.255.010, as applicable. Recipient must cooperate with DOL to help facilitate notification of all necessary individuals as determined by DOL or other legal authority. At DOL's discretion, Recipient may be required to directly perform notification requirements.

Recipient is responsible for all costs, including, but not limited to, notification and credit monitoring costs resulting from an Incident or Breach. This includes DOL's costs for responding to the Incident or Breach. Nothing herein prevents Recipient from requiring any Subrecipient from being responsible for all costs resulting from a Subrecipient's Incident or Breach.

For purposes of this provision, unauthorized disclosure includes the disclosure to any employees, personnel, or Agents of Recipient who do not have a direct business need to access the Protected Personal Information.

13. INCIDENT / BREACH RESPONSE

When Protected Personal Information is involved in a Breach or Incident, the Recipient has a duty to cooperate with DOL's investigation, which is a routine part of DOL's incident response plan, including Incidents and Breaches occurring at a Subrecipient. In response to any Incident or Breach, Recipient must:

- a) Participate in the exchange of information related to the Incident or Breach,

- b) Cooperate in the investigation of an Incident or Breach, and
- c) Make personnel available to participate in DOL's incident response team.

DOL reserves the right to require Recipient to suspend the Subrecipient's Access Period, for any person or Subrecipient found to have experienced a Breach. The Access Period will remain suspended until DOL provides written approval to provide Protected Personal Information to that Subrecipient.

14. SUBRECIPIENTS

Prior to sharing Protected Personal Information with Subrecipients, Recipient must have a written Agreement with Subrecipient that meets the requirements, terms, and conditions, set forth on Attachment C – *Subrecipient Requirements*.

Recipient is responsible for the regular overseeing, managing, and testing of compliance for all Subrecipients. Subrecipient noncompliance to the required terms or conditions of this Agreement are equally borne by the Recipient.

15. PAYMENTS

This is a non-financial agreement.

16. INSURANCE

A. Required Coverages

Recipient shall maintain self-insurance or commercial insurance as outlined herein. Insurance must be maintained with carriers that are authorized to do business in Washington State and maintain a minimum AM Best rating of A-: VII, or an equivalent rating with a similar rating agency.

All insurance must be primary to any other insurance programs afforded to or maintained by DOL or the state of Washington. Recipient waives all rights against DOL and the state of Washington for recovery of damages to the extent that such damages would be covered by general liability or umbrella insurance maintained by Recipient pursuant to this Agreement.

Recipient must notify DOL within thirty (30) days if a claim has been made under the commercial general liability or self-insurance policy related to the Data provided under this Agreement.

a) Commercial General Liability

Recipient shall maintain self-insurance, or a commercial general liability insurance policy, including contract liability, in adequate quantity to protect against legal liability arising out of activity from this Agreement. Policy shall not be less than the following:

- \$1,000,000 per occurrence
- \$2,000,000 aggregate

b) Cyber Liability

If the Recipient is receiving Protected Personal Information from DOL, beginning January 1, 2024, the Recipient shall maintain cyber liability insurance with minimum policy amounts as outlined below, based on the number of unique individuals' records in Recipient's possession in the policy period. This insurance shall include coverage for third party claims and losses including with respect to network risks (such as data Breaches, transmission of virus/malicious code; unauthorized access or criminal use of third party, ID/data theft) and invasion of privacy regardless of the type of media involved in the loss of private information (such as computers, paper files and records, or voice recorded tapes), covering collection, use, access, etc., of personally identifiable information, direct liability, as well as contractual liability for violation of privacy policy, civil suits and sublimit for regulatory defense/indemnity for payment of fines and penalties.

Number of Records Held per Policy Period	Policy Value
Greater than one million unique individuals	\$100,000,000
500,001 – 1,000,000 unique individuals	\$50,000,000

250,001 – 500,000 unique individuals	\$25,000,000
100,001 – 250,000 unique individuals	\$15,000,000
50,001 – 100,000 unique individuals	\$5,000,000
5,250 – 50,000 unique individuals	\$1,000,000
1 – 5,249 unique individuals	Policy not required

DOL may, at its sole discretion, waive or reduce the policy value of cyber liability insurance required herein, based on the Recipient's demonstrated risk mitigations. Recipient must receive written approval from DOL prior to reducing the required policy amount.

B. Additional Insureds

The policies shall include, or be endorsed to include the following provisions:

- a) The state of Washington shall be named as an additional insured, when available to the Recipient, to the full limits of liability purchased by the Recipient even if those limits of liability are in excess of those required by this Agreement.
- b) The Recipient's insurance coverage shall be primary insurance and non-contributory with respect to all other available sources.

C. Notice of Cancellation

Recipient shall provide written notice thirty (30) days in advance of the cancellation of any insurance required hereunder.

D. Certificates of Insurance

Prior to receiving any Data, Recipient shall provide DOL a valid certificate or certificates of insurance demonstrating the fulfillment of all requirements herein.

If applicable, Recipient will submit renewal certificates on a yearly basis during the term of this Agreement, which must be received within thirty (30) days following the renewal of any policies, without a lapse in coverage.

Failure to provide DOL with the Certificates of Insurance may result in immediate suspension of Access Period and may, at DOL's sole discretion, result in termination of this Agreement.

17. AUDITS

Recipient shall be subject to regular audits as set forth on Attachment D – *Audit Requirements* during the period it possesses Protected Personal Information. Corrective actions that were outstanding under a prior corrective action plan are incorporated into this Agreement.

By entering into this Agreement, Recipient acknowledges its obligation to provide DOL access to complete unredacted copies of audits and waives any protections under RCW 42.56.420 solely with respect to disclosing its audits to DOL under this Agreement. Failure to disclose audit reports to DOL will be considered a breach of this Contract and subject to termination.

Information obtained by DOL through the audit process, including the audit report, shall be handled as confidential information. DOL will internally only disclose information obtained during any audit on a need-to-know basis. Any external release of information will be in compliance with the provisions of Chapter 42.56 RCW, Public Records Act.

Pursuant to RCW 46.22.010, DOL is not responsible for the costs of the audit, and DOL will invoice Recipient for audit costs as outlined in Attachment D – *Audit Requirements*. DOL will provide the Recipient an estimate of DOL's audit costs prior to the initiation of the audit.

18. AUDIT NON-DISCLOSURE AGREEMENT

This Agreement serves as a non-disclosure agreement between the Parties with regard to information exchanged during an audit or annual Statement of Compliance to the extent that the information is protected under RCW 42.56.420 or other applicable law.

DOL will not sign a separate non-disclosure agreement as it pertains to the exchange of information under the terms and conditions of the Agreement.

19. ANNUAL STATEMENT OF COMPLIANCE

If the Recipient is receiving Protected Personal Information from DOL, Recipient must submit annual statements of compliance attesting to its compliance with the *Privacy and Security Requirements*, and *Subrecipient Requirements*, in this Agreement for the period it possesses Protected Personal Information and has Subrecipients.

Annual statements of compliance are due each year on August 1.

- a) A Statement of Compliance is a written statement drafted by the Recipient, attesting to DOL that it is in compliance with requirements in the Agreement. The Statement of Compliance is valid when signed by personnel authorized to bind the Recipient. After conducting a self-assessment:
 - i. If Recipient is meeting all *Privacy and Security Requirements*, and *Subrecipient Requirements* of this Agreement, then Recipient's statement must affirm that it is in compliance with all *Privacy and Security Requirements*, and *Subrecipient Requirements*.
 - ii. If the Recipient determines it is not fully compliant with all *Privacy and Security Requirements*, and *Subrecipient Requirements* of this Agreement, Recipient must submit a completed Exhibit A – *Non-Compliance Form*. DOL and Recipient will work together to determine the actions needed to correct all deficiencies noted in the form. Actions pertaining to correcting deficiencies in a Statement of Compliance will be handled as a corrective action plan as described in Attachment D – *Audit and Compliance Reviews*.
- b) Corrective actions that were incomplete under prior annual statements of compliance are incorporated into this Agreement and will continue to be monitored by DOL to completion.
- c) If Recipient is processing Data under 15 U.S.C. §1681b as part of a Consumer Report, the Statement of Compliance must attest to compliance with the Federal Trade Commission's Disposal Rule (Disposal of Consumer Report Information and Records, 16 C.F.R., §682.3).

Failure to provide the annual Statement of Compliance may result in the suspension of the Recipient's Access Period.

20. SUSPENSION OF ACCESS PERIOD

20.1 The Recipient's Access Period may be suspended at DOL's discretion for non-compliance with this Agreement. During any suspension of an Access Period, all other terms and conditions of this Agreement remain in effect. If the Recipient's Access Period is suspended, Recipient may not obtain additional Data from DOL or any other sources where the Protected Personal Information originates from DOL, nor may Recipient use or release any Protected Personal Information it has in its possession, except as required under RCW 46.12.630(1) until the suspension is lifted, or as otherwise required by law.

Recipient's Access Period automatically begins with the execution of this Agreement. However, all conditions and corrective actions, if any, that were incomplete under the prior agreement are automatically forwarded and incorporated into this Agreement.

20.2 Recipient may only provide a Subrecipient with access to Protected Personal Information during Recipient's active Access Period. During the suspension, Recipient must notify the Subrecipients that they are prohibited from accessing and using Protected Personal Information.

20.3 Termination of Access Period.

The expiration or termination of this Agreement automatically terminates the Recipient's Access Period. Any suspension lasting longer than ninety (90) days may automatically terminate this Agreement under Section 21.3, *Termination for Cause*.

21. TERMINATION

Termination of this Agreement may be made as set forth below.

21.1 Unilateral Termination by Recipient

Recipient may terminate this Agreement at any time and for any reason upon providing written notice to DOL. If at the time of termination Recipient was under a corrective action plan or cure process, or had outstanding invoices, DOL may refuse future Agreements.

21.2 Administrative Terminations

If DOL's authority to actively engage in this Agreement is suspended or terminated, such a termination or suspension will automatically cause a termination or suspension of this Agreement. DOL is to provide as much notice as possible when such termination or suspension appears eminent.

Additionally, if DOL, as a state agency, determines that the continuation of this Agreement no longer conforms to DOL's policy, and/or is no longer in the best interests of DOL or the state of Washington, DOL may terminate this Agreement for convenience by giving written notice to the Recipient at least fifteen (15) business days before the effective date of termination. Administrative terminations are without cause.

Finally, if the Recipient has not received Data within the last twelve (12) months, DOL may administratively terminate this Agreement.

21.3 Termination for Cause

DOL may terminate this Agreement if Recipient or Recipient's Subrecipient violates a term, condition, or requirement of this Agreement. DOL has sole discretion on whether the Recipient or Subrecipient's non-compliance is cause for an immediate termination or suspension or whether the Recipient or Subrecipient should be given a cure process to correct the non-compliance.

For any determination of non-compliance, DOL must provide Recipient with a written statement identifying the full nature of Recipient's non-compliance. If DOL allows for a cure process, the Parties will work together to establish the process and timeline. DOL may suspend the Access Period to Data during a cure process. The agreed-upon cure process will be put in writing and acknowledged by both Parties. If Parties cannot mutually determine a cure process, or if Recipient does not substantially complete the cure process within the stated timelines, DOL then has the right to terminate this Agreement.

Any suspension lasting longer than ninety (90) days may lead to termination for cause.

21.4 Termination for Convenience

DOL may terminate this Agreement for convenience, upon thirty (30) days' written notice to the Recipient.

22. POST TERMINATION/SUSPENSION PROCEDURES

After receipt of a notice of termination or suspension, Recipient must immediately refrain from accessing, using, and disseminating any Data, except as allowed under RCW 46.12.630(1), or as otherwise directed by DOL in writing. Recipient must also settle all outstanding liabilities and claims arising from any pending or prior Data requests. Additionally, the Recipient must clear Protected Personal Information in accordance with Section 3, *Data and Media Sanitization*, of Attachment B – *Privacy and Security Requirements*.

23. CONFLICTS BETWEEN DOL DATA SHARING AGREEMENTS

If Recipient has multiple data sharing agreements with DOL, and if conflicts exist between those

agreements as they relate to *Privacy and Security Requirements*, Recipient must adhere to the strictest of those requirements unless an exception to those requirements is specifically stated in this Agreement, or a written waiver has been granted by DOL.

24. PENALTIES

The unauthorized disclosure or use of Protected Personal Information is subject to civil and criminal penalties pursuant to federal and state statutes.

25. ADDITIONAL DATA

If Recipient wishes to receive additional Data or wishes to use the current Data for Permissible Uses other than as authorized herein, Recipient must submit a new Data Records Contract Application for an amendment to this Agreement or a new data sharing agreement. If DOL agrees to provide the Data for the requested Permissible Uses or provide the additional data requested, then DOL will issue an amendment or a new agreement that contains the additional information, terms, and conditions. Such amendment or agreement will not be valid until properly executed by both Parties.

26. TECHNICAL REQUIREMENTS

Any disruption in Data delivery will be restored at a time determined by DOL.

The Recipient is responsible for the advance internal testing of Recipient's system in response to all DOL system changes, of which DOL will use its best efforts to provide advance notice, prior to the implementation of all DOL system changes.

27. FUNDING CONTINGENCY

In the event funding from state, federal or other sources is withdrawn, reduced, or limited in any way after the effective date of this Agreement and prior to normal completion, DOL may suspend this Agreement without advance notice. This Agreement may be subject to renegotiation under any new funding limitations and/or conditions.

28. REQUIREMENT WAIVER

DOL, in its sole discretion, may grant the Recipient a waiver to certain requirements outlined herein. The Recipient must apply for the waiver to DOL and supply all requested information, including a plan for how and when the Recipient will be in compliance with the requirement. DOL may require the Recipient to implement an action plan to ensure the Recipient's future compliance. The Waiver must be approved in writing and in advance of Recipient not meeting the requirement.

GENERAL TERMS AND CONDITIONS

29. AMENDMENTS

This Agreement may only be amended by mutual agreement of the Parties. Such amendments are not binding unless they are in writing and signed by personnel authorized to bind each of the Parties.

Only DOL's Director or designated delegate by writing has the expressed authority to alter, amend, modify, or waive any clause or condition of this Agreement. Furthermore, any alteration, amendment, modification, or waiver of any clause or condition of this Agreement is not effective or binding unless made in writing and signed by DOL's Director or delegate.

30. ASSIGNABILITY

If Recipient's ownership changes, it must provide written notice to DOL within thirty (30) days. DOL, in its sole discretion, will determine if the Agreement will be assigned, terminated, or a new agreement issued.

31. CONTRACT MANAGEMENT

The Recipient's contract manager, and DOL's contract manager, respectively listed on page one (1) are responsible for all official communications and notices pertaining to this Agreement. All such communications and notices are to be made between the respective managers unless alternative personnel are established for specific purposes. The use of email, to the most current email address on file

for the other Party, is an acceptable form of providing notice for all purposes in this Agreement. Only written notifications will be accepted for official notices.

The Recipient must notify DOL in writing within thirty (30) calendar days of changes to: business name, ownership, business address, phone number, email address, or contract manager or his/her contact information.

32. COMPLIANCE MANAGEMENT

Recipient must designate a compliance manager who is responsible for assuring that Recipient complies with all reporting and *Privacy and Security Requirements*. If no compliance manager is named on the first page of this Agreement, or subsequently named thereafter, then the contract manager will be deemed the compliance manager.

33. DISPUTES

The Parties agree that time is of the essence in resolving disputes. The designated contract managers must use their best efforts to resolve disputes between the Parties at the lowest administrative level. If these individuals are unable to resolve the dispute, the responsible program directors of each party will review the matter and attempt resolution. This process shall not interfere with or prohibit DOL's ability to terminate this agreement for administrative, cause or convenience.

34. GOVERNANCE

This Agreement shall be construed and interpreted in accordance with the laws of the state of Washington and the venue of any action brought hereunder shall be in the Superior Court for Thurston County.

In the event of an inconsistency in this Agreement, unless otherwise provided, the inconsistency shall be resolved by giving precedence in the following order:

- a) Applicable federal and Washington State laws, and regulations,
- b) Terms and conditions of this Agreement, and
- c) Any additional attachments or other material incorporated herein by written reference.

35. LEGAL FEES

Unless otherwise specified by law, and except as otherwise stated herein, in the event of litigation or other action brought to enforce Agreement terms, each Party shall bear its own legal fees and costs.

36. INDEMNIFICATION

Each Party, to the maximum extent allowed by law, shall defend, protect and hold harmless the other Party from and against all claims, suits or actions arising from either negligent or intentional acts or omissions, including Breaches, of the respective entity, and its Subrecipients, or Agents of the Recipient, while performing the terms of this Agreement.

37. INDEPENDENT CAPACITY

The scope of this Agreement only provides the Recipient with access and Permissible Use of Data; it does not establish an agency relationship or independent contractor relationship between DOL and the Recipient. Nothing herein may be deemed as allowing any employee or agent of one Party to be considered as the employee or agent of the other Party.

38. INTEGRITY OF DATA

DOL receives data from multiple sources. As such, Recipient shall not hold DOL liable for any errors which occur in the accuracy of Data.

If DOL has determined it has provided Data incorrectly or inappropriately to the Recipient, it may require the Recipient cease all use of, and clear the Data in accordance with Section 9, *Data and Media Sanitization*, of Attachment B - *Privacy and Security Requirements*. If the Recipient provided the Data to any Subrecipient, the same requirements may apply.

DOL may provide corrected information, if available, to the Recipient, which will also be available to the Subrecipient(s) where applicable.

39. NON-EXCLUSION OF REMEDIES

The rights and remedies of the Parties as provided in this Agreement, are not exclusive and are in addition to any other rights and legal remedies provided by law, including without limitation, the right to receive financial reimbursement for any incurred damages.

40. RECIPIENT LEGAL COMPLIANCE STANDARDS

Recipient must comply with all applicable local, state, and federal laws rules and regulations. Such compliance minimally includes without limitation, all applicable licensing requirements of the state of Washington, all civil rights and non-discrimination laws, the Americans with Disabilities Act (ADA) of 1990, and all federal and state employment laws. Failure to comply with this provision may be grounds for termination of this Agreement regardless of the affect it may have on the subject matter of this Agreement.

41. RECIPIENT PROPRIETARY INFORMATION

Recipient acknowledges DOL is subject to chapter 42.56 RCW, *Public Records Act*, and this Agreement is a public record as defined by that Act. Any confidential or proprietary information submitted to DOL must be clearly identified as such by the Recipient. To the extent consistent with chapter 42.56 RCW, DOL will maintain the confidentiality of all such information marked confidential or proprietary.

If a request is made for the Recipient's proprietary information and DOL intends to release the information, DOL will notify the Recipient of the request and notify the Recipient of the date records will be released to the requester. It will be the responsibility of the Recipient to obtain any necessary court order enjoining that disclosure by the stated release date. If the Recipient fails to obtain the court order enjoining disclosure, DOL will release the requested information.

If the Recipient is a Governmental Entity governed by other public disclosure laws, the Recipient must follow the applicable statutes. If the Recipient receives a request for any Protected Personal Information provided under this Agreement, and it does not have authority to redact the Protected Personal Information, it must notify the DOL contract manager prior to the Protected Personal Information being released.

42. PUBLICITY & MEDIA

The Recipient must get DOL's written consent prior to using DOL's name or logo, or Data on any business forms, advertising, or publicity where the name or logo are included or may be reasonably implied.

If DOL approves any advertising and publicity, DOL reserves the right to add a disclaimer and/or rescind its approval later. Recipient may not use the Washington State seal under any circumstance.

If the Recipient is the subject of a media article or story that includes DOL or its Data, it must notify the DOL contract manager immediately.

43. RECORDS ACCESS, INSPECTIONS AND MAINTENANCE

Recipient, at the request of DOL, must provide access to all records retained in connection with administration of this Agreement. Records include documentation regarding the management of this Agreement and excludes Data obtained over the term of the Agreement. Records inherently include access to all records under the Driver Privacy Protection Act. Recipient is to keep all records created in relation to this Agreement for no less-than six (6) years beyond the end of this Agreement, this includes without limitation:

- a) Information pertaining to a Breach or Incident and the response to that Breach or Incident, for both Recipient and Subrecipients,
- b) Communications of a substantial nature with Subrecipients about anything covered by Attachment C, *Subrecipient Requirements*,

- c) Payments and refunds between Recipient and DOL as they pertain to actions under this Agreement,
- d) Recipient audits, annual Statement of Compliance and supporting documentation, and
- e) Subrecipient audit documentation, relating to the *Privacy and Security Requirements, Subrecipient Requirements*, compliance activities, and data sharing contracts.

When Protected Personal Information is shared with Subrecipients or Customers, Recipient must keep the following information for a period of five (5) years:

- a) Name of each Subrecipient or Customer on whose behalf an individual record was obtained,
- b) A unique ID number for each Subrecipient or Customer, for requests for driving records,
- c) The total number of unique individuals' records the Subrecipient received in a calendar year; and
- d) The Permissible Use of each record obtained.

All records subject to this section must be made available for inspection and review in non-redacted form regardless of any claim of privilege or confidentiality, except for attorney-client privilege. DOL may request copies at no additional cost to DOL. Recipient may designate some sections or pages as being confidential and/or privileged by noting such designation in writing. Recipient may provide a cover sheet listing all pages or sections that it considers privileged or confidential. DOL will maintain confidentiality over all such records to the extent allowed by law.

Recipient also agrees to work with DOL for purposes of obtaining necessary records from Subrecipients upon request.

If any litigation, claim, or audit is started before the expiration of the six-year period, the records must be retained until all litigation, claims, or audit findings involving the records have been resolved including any appeals and remands.

44. SEVERABILITY

If any term or condition of this Agreement is held invalid, the remainder of the Agreement remains valid and in full force and effect.

45. SURVIVORSHIP

The terms, conditions and warranties contained in this Agreement that concern, but are not limited to, privacy, record retention, audits, Annual Statements of Compliance, Access Period, insurance, destruction of Data, survive the completion of the performance, cancellation or termination of this Agreement, and remain in full force and affect until such time that all Protected Personal Information is surrendered and/or destroyed as set forth on Attachment B – *Privacy and Security Requirements*.

46. WAIVER

A failure by either Party to exercise its rights under this Agreement shall not preclude that Party from subsequent exercise of such rights and shall not constitute a waiver of any other rights under this Agreement unless stated to be such in a writing signed by an authorized representative of the Party and attached to the original Agreement.

ATTACHMENT A-1 - DATA LICENSING STATEMENT

AGGREGATE DATA SERVICES

1. DATA TYPE AND CLASSIFICATION

The following are specific terms and conditions for aggregate Data to Recipient.

☒ Vessel ☒ Vehicle

The classification of the Data shared under this Agreement includes:

- ☒ Category 3 – Confidential Information: Information specifically protected from disclosure by law. This may include:
- a. Personal information.
 - b. Information concerning Employee personnel records.
 - c. Information regarding Information Technology infrastructure and security of computer and telecommunication systems.

This category of data is also known as 'Protected Personal Information', 'Personally Identifiable Information (PII)' and/or 'Personal Information'.

2. DEFINITIONS

There are no definitions specific to this Data Licensing Statement.

3. PERMISSIBLE USES

Recipient may request and re-disclose Protected Personal Information only as authorized herein.

AGGREGATE VEHICLE AND VESSEL PERMISSIBLE USES	
I.	Governmental Entities: Any governmental agency including any court or law enforcement agency, or any private person or entity acting on behalf of a federal, state, or local agency, or Canada in carrying out its functions: PROVIDED, HOWEVER, That nothing in this section is construed to allow actions prohibited under RCW 43.17.425.
	RCW 46.12.630(2)(b)

4. FEE SCHEDULE

This is a non-financial Data Licensing Statement.

5. BILLING PROCEDURES

This is a non-financial Data Licensing Statement.

6. FILE LAYOUTS

The transfer of Data will occur as outlined below. The Parties may modify a file layout by DOL issuing a Memorandum of Understanding (MOU). DOL reserves the right to edit and/or change the *File Layout* as considered necessary to the functions of DOL, with notice to the Recipient.

- A. The Recipient will access Data through the DOL DRIVES system and Recipient's ACCESS Switch.
- B. The file type will be XML Web Service.
- C. Data will be provided at the following frequency: 24/7, year-round.
- D. This Data will be provided in the File Layout below.

STOLEN VEHICLE REQUEST TYPES**1. EVS (and associated variations, EVSA, EVSF, EVSP)**

XML Field Name	Data format/length	Description	Data Category 3 & 4
WACIC	10 Alphanumeric characters	WACIC Number	n/a
LIC	1 - 10 Alphanumeric characters	License Plate Number	n/a
LICSTATE	2 Alphabetic characters	License Plate State	n/a
LICEXPIRE	4 Numeric digits or "NX"	License Plate Year	n/a
LICTYPE	2 Alphabetic characters	License Plate Type	n/a
VIN	1 - 20 Alphanumeric characters	Vehicle Identification Number	n/a
YEAR	4 Numeric Digits	Vehicle Year	n/a
MAKE	2 – 24 Alphanumeric characters	Vehicle Make	n/a
MODEL	2 – 3 Alphanumeric characters	Vehicle Model	n/a
COLOR	3 Alphanumeric characters	First Vehicle Color	n/a
COLOR2	3 Alphanumeric characters	Second Vehicle Color	n/a
THEFTDATE	Date in format CCCCMMDD	Date of Theft	n/a
OCA	1 - 20 Alphanumeric characters	Agency Case Number	n/a
NOA	1 Alphabetic character	Notify Agency Flag	n/a
OAN	1 - 20 Alphanumeric characters	Owner Applied Number	n/a

2. MVS

XML Field Name	Data format/length	Description	Data Category 3 & 4
LICEXPIRE	4 Numeric digits or "NX"	License Plate Year	n/a
LICTYPE	2 Alphabetic characters	License Plate Type	n/a
VIN	1 - 20 Alphanumeric characters	Vehicle Identification Number	n/a
YEAR	4 Numeric Digits	Vehicle Year	n/a
MAKE	2 – 24 Alphanumeric characters	Vehicle Make	n/a
MODEL	2 – 3 Alphanumeric characters	Vehicle Model	n/a
COLOR	3 Alphanumeric characters	First Vehicle Color	n/a
COLOR2	3 Alphanumeric characters	Second Vehicle Color	n/a
THEFTDATE	Date in format CCCCMMDD	Date of Theft	n/a
OCA	1 - 20 Alphanumeric characters	Agency Case Number	n/a
NOA	1 Alphabetic character	Notify Agency Flag	n/a
OAN	1 - 20 Alphanumeric characters	Owner Applied Number	n/a

3. CVS

XML Field Name	Data format/length	Description	Data Category 3 & 4
WACIC	10 Alphanumeric characters	WACIC Number	n/a
LIC	1 - 10 Alphanumeric characters	License Plate Number	n/a
VIN	1 - 20 Alphanumeric characters	Vehicle Identification Number	n/a
OCA	1 - 20 Alphanumeric characters	Agency Case Number	n/a

4. XVS

XML Field Name	Data format/length	Description	Data Category 3 & 4
WACIC	10 Alphanumeric characters	WACIC Number	n/a
LIC	1 - 10 Alphanumeric characters	License Plate Number	n/a
VIN	1 - 20 Alphanumeric characters	Vehicle Identification Number	n/a
OCA	1 - 20 Alphanumeric characters	Agency Case Number	n/a

STOLEN VEHICLE RESPONSE TYPES

XML Field Name	Data format/length	Description	Data Category 3 & 4
RSP	Encapsulates the detail data nodes	Response Data Node	n/a
RSP.MESSAGE	Provides for any overall messages, such as "OK" or "ERROR"	Response Message	n/a

VEHICLE / VESSEL FUNCTION QUERY TYPES:**1. VEHICLE SEARCH BY IDENTIFICATION QUERY**

XML Field Name	Data format/length	Description	Data Category 3 & 4
ORI	9 character alphanumeric	ORI	n/a
IDTYPE	One of the values as IdType: LIC; VIN; TAB; PMT; DOT	Id TYPE	n/a
ID	LIC as Id -1 to 10 Alphanumeric characters; VIN as Id - 1 to 17 Alphanumeric characters; TAB as Id - 9 Alphanumeric characters; PMT as Id - 8 Alphanumeric characters; DOT as Id - 7 Numeric Digits;	Id Number	n/a

2. VEHICLE SEARCH BY HANDICAP PLACARD NUMBER QUERY

XML Field Name	Data format/length	Description	Data Category 3 & 4
ORI	9 character alphanumeric	ORI	n/a
PLA	8 Alphanumeric characters	Placard Number	n/a

3. VEHICLE SEARCH BY OWNER QUERY

XML Field Name	Data format/length	Description	Data Category 3 & 4
ORI	9 character alphanumeric	ORI	n/a
FIRSTNAME	1 – 30 Alphabetic characters	Owner First Name	n/a
LASTNAME	1 – 30 Alphabetic characters and dash	Owner Last Name	n/a
MIDDLENAME	1 – 30 Alphabetic characters	Owner Middle Name	n/a

4. VESSEL SEARCH BY IDENTIFICATION QUERY

XML Field Name	Data format/length	Description	Data Category 3 & 4
ORI	9 character alphanumeric	ORI	n/a
IDTYPE	One of the values as IdType: REG; BHN; DEC	Id Type	n/a

ID	REG as Id -1 to 10 Alphanumeric characters; BHN as Id - 1 to 15 Alphanumeric characters; DEC as Id - 9 Alphanumeric characters;	Id Number	n/a
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5. VESSEL SEARCH BY OWNER QUERY

XML Field Name	Data format/length	Description	Data Category 3 & 4
ORI	9 character alphanumeric	ORI	n/a
FIRSTNAME	1 – 30 Alphabetic characters	Owner First Name	3
LASTNAME	1 – 30 Alphabetic characters and dash	Owner Last Name	3
MIDDLENAME	1 – 30 Alphabetic characters	Owner Middle Name	3

VEHICLE VESSEL RESPONSE TYPES:

1. VEHICLE AND VESSEL SEARCH RESPONSE

XML Field Name	Description	Data Category 3 & 4
TRN	Provides a reflection of the input parameters so that the original query can be presented to the end use consistent with legacy operation.	n/a
RSP	Encapsulates the detail data nodes	n/a
RSP.MESSAGE	Provides for any overall messages, such as "NOT FOUND"	n/a
RSP.VEHICLE	Encapsulates the details pertaining to the vehicle or vessel queried. Refer to RSP.Vehicle Object details in 1.1	n/a

1.1 RSP.VEHICLE

XML Field Name	Description	n/a
MESSAGE	Information data	n/a
VEHICLEINFO	Details of the vehicle	n/a
REGINFO	Registration information	n/a
TITLEINFO	Title information	n/a
DOTINFO	DOT information	n/a
REGOWNERS	Registered owner(s)	3
LEGALOWNERS	Legal Owner(s) if different from registered owner(s)	3
BRANDS	Brand Information	n/a
STOLEN	Stolen Vehicle Information	n/a
OTHERINTEREST	Other interest information	n/a
HOLDS	Holds that may have been placed	n/a

2. PLACARD SEARCH RESPONSE

XML Field Name	Description	Data Category 3 & 4
TRN	Provides a reflection of the input parameters so that the original query can be presented to the end	n/a

	use consistent with legacy operation.	
RSP	Encapsulates the details pertaining to the Placard query. Refer to RSP Object details in 2.1	n/a

2.1 RSP

XML Field Name	Description	Data Category 3 & 4
MESSAGE	Any textual data pertaining to the response.	n/a
LASTNAME	Last name of holder	3
FIRSTNAME	First name of holder	3
MIDDLENAME	Middle name of Holder	3
ADDRESS1	First address line	3
ADDRESS2	Second address line	3
CITY	Address city	3
STATE	Address State	3
ZIP	Address ZIP code	3 (with +4 zip)
CREATEDATE	Placard creation date	n/a
EXPIREDATE	Placard Expiration date	n/a
NUMBER	Placard Number	n/a
STATUS	Placard Status	n/a

ATTACHMENT A-2 - DATA LICENSING STATEMENT

AGGREGATE DATA SERVICES

1. DATA TYPE AND CLASSIFICATION

The following are specific terms and conditions for aggregate Data to Recipient.

☒ Driver

The classification of the Data shared under this Agreement includes:

- ☒ Category 3 – Confidential Information: Information specifically protected from disclosure by law. This may include:
- a. Personal information.
 - b. Information concerning Employee personnel records.
 - c. Information regarding Information Technology infrastructure and security of computer and telecommunication systems.

This category of data is also known as 'Protected Personal Information', 'Personally Identifiable Information (PII)' and/or 'Personal Information'.

2. DEFINITIONS

There are not specific definitions for this Data Licensing Statement.

3. PERMISSIBLE USES

Recipient may request and re-disclose Protected Personal Information only as authorized herein.

AGGREGATE DRIVER DATA PERMISSIBLE USES	
I.	For use by any government agency, including any court or law enforcement agency, in carrying out its functions, or any private person or entity acting on behalf of a Federal, State, or local agency in carrying out its functions.
	DPPA (b)(1)

4. FEE SCHEDULE

This is a non-financial Data Licensing Statement.

5. BILLING PROCEDURES

This is a non-financial Data Licensing Statement.

6. FILE LAYOUT

The transfer of Data will occur as outlined below. The Parties may modify a file layout by DOL issuing a Memorandum of Understanding (MOU). DOL reserves the right to edit and/or change the *Interface Control Document* (ICD) as considered necessary to the functions of DOL, with notice to the Recipient.

- A. The Recipient will access Data through the DOL DRIVES system and Recipient's ACCESS Switch.
- B. The file type will be XML Web Service.
- C. Data will be provided at the following frequency: 24/7, year-round.
- D. This file is covered by the *WSP/DOL Driver License Query* Interface Control Document (ICD). The ICD may be updated through mutual agreement of both Parties.

ATTACHMENT A-3 - DATA LICENSING STATEMENT

AGGREGATE DATA SERVICES

1. DATA TYPE AND CLASSIFICATION

The following are specific terms and conditions for aggregate Data to Recipient.

☒ Firearm Data

The classification of the Data shared under this Agreement includes:

- ☒ Category 4 – Confidential Information Requiring Special Handling (if Social Security Numbers are provided): Information requiring special handling is information that is specifically protected from disclosure by law and with:
- Especially strict handling requirements are dictated by statutes, regulations, or agreements.
 - Serious consequences that can arise from unauthorized disclosure, such as threats to health and safety, or legal sanctions.

2. DEFINITIONS

There are no definitions specific to this Data Licensing Statement.

3. PERMISSIBLE USES

Recipient may request and re-disclose Protected Personal Information only as authorized by Washington State law. This Data is shared pursuant authorizing statutes, including, but not limited to Chapter 9.41 RCW, and applicable Washington Administrative Code.

4. FEE SCHEDULE

This is a non-financial Data Licensing Statement.

5. BILLING PROCEDURES

This is a non-financial Data Licensing Statement.

6. FILE LAYOUT

The transfer of Data will occur as outlined below. The Parties may modify a file layout by DOL issuing a Memorandum of Understanding (MOU). DOL reserves the right to edit and/or change the *File Layout* as considered necessary to the functions of DOL, with notice to the Recipient.

- The Recipient will access Data between DOL's Firearms in house system and the WSP ACCESS Switch.
- The file type will be Custom Protocol.
- This file is covered by the *Description of Data* and *Access to Data* sections below.

7. DESCRIPTION OF DATA

The following are firearms request types:

QUERY INPUTS	DESCRIPTION
F	Firearms Serial No. Search
FN	Driver's License ID Search
FP	Search by First 5 of LN, First of FN, First of MN and DOB (mmddyy)

Query search type and results will be provided in separate file.

8. ACCESS TO DATA

DOL will provide access to the Data using the file lay out below. DOL reserves the right to edit and/or change the file layout as considered necessary to the functions of DOL, with notice to the Recipient.

- Frequency of Data Delivery: 24/7, year around
- Response Time: 30 seconds
- Availability: 90% or more
- Expected time to Recovery: 2 Hours
- Delivery Method: Via WSP's ACCESS Switch
- File Type: Custom Protocol

9. DATA LICENSING STATEMENT CONTACT

The contract managers for this Data Licensing Statement are:

WSP:

Name: Wes Vradenburg

Email: Wesley.radenburg@wsp.wa.gov

Phone: (360) 534-2103

DOL:

Name: Neil Lutterman

Email: nlutterman@dol.wa.gov

Phone: (360) 664-1549

ATTACHMENT B – PRIVACY AND SECURITY REQUIREMENTS

This attachment applies when the Recipient receives Protected Personal Information from DOL; it does not apply if the Recipient does not receive Protected Personal Information from DOL.

PRIVACY REQUIREMENTS

The Recipient must have a privacy framework. At a minimum, the framework must include principles and methodologies for identifying and managing privacy risks, including the following.

1. PRIVACY POLICY

Recipient must have a privacy policy that:

- a) Declares data is managed as an asset of the organization, and outlines appropriate controls for the protection of data, and
- b) Sets an expectation that all personnel will secure, use, and dispose Protected Personal Information in alignment with Recipient's privacy and security practices, which must collectively align with these Privacy Requirements.

2. PRIVACY NOTICE

Recipient must have a privacy notice available to inform the public how Recipient gathers, shares, uses, discloses, and manages Protected Personal Information.

3. INCIDENT RESPONSE PLAN

Recipients are required to have an incident response plan to respond to an Incident or Breach involving Protected Personal Information. At a minimum, the plan is to include:

- a) Procedures the Recipient uses to prepare for, detect, respond to, and recover from Incidents or Breaches,
- b) Notification to DOL; and
- c) Notification in accordance with chapter 19.255 RCW or RCW 42.56.590.

4. PRIVACY IN SYSTEM DEVELOPMENT, OPERATION AND MAINTENANCE

The Recipient must have and use a process to consider the impacts to the privacy of Protected Personal Information when developing systems, products, new versions of existing products, and services. Commonly known as "privacy by design."

5. TRAINING

The Recipient must train its personnel, including contractors, with access to Protected Personal Information on its privacy policy.

DOL may update these Privacy Requirements as may be required by state policy or law.

DATA SECURITY REQUIREMENTS

1. OCIO GUIDANCE

Recipient must apply and follow Office of the Chief Information Officer (OCIO) guidance on securing information technology assets standards as provided in Policy 141.10 (or as amended).

2. IT SECURITY ASSESSMENT

In addition to the audit requirements outlined herein, Recipient is to provide DOL its most recent IT Security Assessment, specific to the systems that store, process, or transmit DOL's data, with one due at least every three years.

3. DATA MINIMIZATION

Recipient must have a policy for the retention of Protected Personal Information. Recipient must only retain Protected Personal Information for the duration of time needed to fulfill the Permissible Use for which it was obtained and/or in accordance with agency record retention policies.

4. DATA AND MEDIA SANITIZATION

Recipient must have a data and media sanitization policy that aligns with current revised NIST SP 800-88 guidelines for media sanitization that includes:

- a) "Clearing" Protected Personal Information from media once the Protected Personal Information has met the retention policy required in Section 3, *Data Minimization*.
- b) "Purging" Protected Personal Information from media when media are reused for purposes within the organization but will not store Protected Personal Information.
- c) "Destroying" media that stored Protected Personal Information when the media is not going to be reused by the organization.

Recipient, unless otherwise required by law, must provide a certificate of Clearing Protected Personal Information, Purging Protected Personal Information from media, or Destroying media storing Protected Personal Information, within thirty (30) days of:

- a) Written request by DOL, or
- b) Termination of this Agreement.

DATA SECURITY REQUIREMENTS – HARD COPY RECORDS

All Protected Personal Information in hard copy form must be secured as follows:

1. HARD COPY STORAGE

Printed copies must be stored in locked containers or storage areas when not in use by authorized persons. Examples include a physically secure workspace, locked cabinets, or vaults. Hard copy documents must never be unattended or in areas accessible to the public.

2. HARD COPY TRANSPORTATION

- a) Hard copy documents containing Protected Personal Information taken outside a secure area must be in the possession of an authorized person, or a trusted courier providing tracking services.
- b) Records must be maintained for all transported hard copies showing the person(s)/courier(s) responsible for such transportation, including the receiving party.

DATA SECURITY REQUIREMENTS – OFFSHORING

1. OFFSHORING – ELECTRONIC RECORDS

- a) Recipient must maintain the primary, backup, disaster recovery and other sites for processing or storage of Protected Personal Information only from locations in the United States.
- b) Recipient may not, without advance written approval from DOL:
 - i. Directly or indirectly (including through Subrecipients) transmit Protected Personal Information outside the United States, or
 - ii. Allow access to Protected Personal Information from outside the United States.

2. OFFSHORING – HARD COPY

- a) Recipient must maintain all hard copies containing Protected Personal Information at locations in the United States.
- b) Recipient may not directly or indirectly (including through Subrecipients) transport any Protected Personal Information outside the United States unless it has advance written approval from DOL.

PERMISSIBLE USE REQUIREMENTS

1. DATA USE AND TRAINING

Recipient must institute and maintain written policies to ensure Protected Personal Information is only used as authorized herein. At a minimum, the policies must address training for all personnel with access to Protected Personal Information. Training must include:

- a) Permissible Use(s) of Protected Personal Information as authorized in the Agreement,
- b) Limitations on Permissible Use(s) of Protected Personal Information that prohibit the use of Protected Personal Information for anything other than authorized in the Agreement,
- c) Penalties for Breach of Protected Personal Information, and
- d) Identifying and reporting an Incident or Breach of Protected Personal Information.

2. PERMISSIBLE USE

Recipient must verify its use and disclosure of the Protected Personal Information is in accordance with the Permissible Use(s) established in this Agreement.

3. MONITORING PERSONNEL

Recipient must implement administrative, technical, or physical methods to monitor personnel for compliance with the Permissible Use(s) authorized in this Agreement across all business practices. Methods must address monitoring access to, and use of, Protected Personal Information.

ATTACHMENT C - SUBRECIPIENT REQUIREMENTS

The Recipient must apply these Subrecipient Requirements to any Subrecipient that receives Protected Personal Information directly from the Recipient in the following order.

1. SUBRECIPIENT POLICY AND PROCEDURES

Prior to disclosing any Protected Personal Information to a Subrecipient, the Recipient must adopt policies and procedures to effectively:

- a) Implement the controls required in these Subrecipient Requirements, and
- b) Ensure that all Subrecipients follow all Privacy and Security, Subrecipient and Audit Requirements outlined in this Agreement.

2. REQUIRED VETTING OF SUBRECIPIENTS

Prior to providing Protected Personal Information to any Subrecipient, Recipient must have a process to ensure that the Subrecipient is a Legitimate Business per WAC 308-10-010, or is a governmental entity, and has an authorized Permissible Use according to this Agreement. Recipient has an on-going obligation to ensure Subrecipients maintain the qualifications allowing them access to the Protected Personal Information.

Subrecipients that are criminal justice entities authorized to access Criminal Justice Information Services (CJIS) do not require additional vetting.

3. CONTRACT WITH SUBRECIPIENT

- A. Prior to providing or continuing to provide Protected Personal Information to a Subrecipient that is not an authorized user of CJIS services, Recipient must have a written contract with the Subrecipient that incorporates this Agreement into the Subrecipient Contract so that the Subrecipient is fully aware and subject to DOL's requirements when handling and processing Protected Personal Information. Upon request, DOL will provide a sample contract attachment the Recipient can use to satisfy this requirement.

The Subrecipient contract must:

- a) Include a statement that DOL retains sole and exclusive ownership of the Data. Nothing in the agreement may convey or grant the Subrecipient any ownership interest in the Data,
- b) Inform the Subrecipient its access to Data may be suspended should DOL suspend or limit Recipient's access to or use of Protected Personal Information, and while access is suspended, the Subrecipient must cease from using any Data in its possession,
- c) State the specific Permissible Use(s) of the Data provided to the Subrecipient, with a statement the Data can be used for no other purpose unless otherwise required by law,
- d) Require Recipient be notified when Subrecipient experiences an Incident or Breach, or reasonably believes an Incident or Breach of Protected Personal Information took place, and the Recipient must notify DOL of the Incident or Breach,
- e) Require Subrecipients that annually receive fewer than 5,250 unique individual's records containing Protected Personal Information, to take all reasonable security procedures and practices necessary to prevent the unauthorized disclosure and Misuse of Protected Personal Information,
- f) For Subrecipients that annually receive 5,250 or more unique individual's records containing Protected Personal Information, pass on all *Privacy and Security Requirements* in Attachment B through to all Subrecipients receiving Protected Personal Information originating from DOL,
- g) For vehicle or vessel owner information, require the Subrecipient to provide notice where appropriate to the vehicle or vessel owner whenever the Subrecipient discloses Protected Personal Information of a vehicle or vessel owner to an Attorney or Private Investigator, and
- h) As applicable, require the Subrecipient to obtain prior written consent from the Requester before requesting a Driving Record for employment/prospective employment or volunteer

organizations. At a minimum, the consent form must conform to and contain the required content under CONSENT REQUIREMENTS in Attachment A – *Data Licensing Statement for Abstract of Driving Records*.

4. SUBRECIPIENT NON-DISCLOSURE AGREEMENTS

Recipient shall not enter into non-disclosure agreements with Subrecipients that prohibit or bar DOL from knowing who receives Protected Personal Information, and how the Protected Personal Information is used. Additionally, Recipient shall not enter into a non-disclosure agreement with a Subrecipient preventing DOL from being notified of Breaches, or from accessing all information needed, in DOL's sole discretion, regarding the facts of the Breach.

5. LIMITED ACCESS AND USE

Recipient must have controls to limit Subrecipient access to Protected Personal Information for only uses authorized in the Subrecipient contract.

6. COMPLIANCE

A. For Subrecipients that are audited by the Recipient for compliance with CJIS Security Policy requirements, DOL will provide the Recipient mutually agreeable supplemental questions to test for compliance with the *Privacy and Security Requirements* in Attachment B. When those questions are incorporated into the CJIS audit, the resulting CJIS audit satisfies the requirement that the Recipient regularly audit Subrecipients under RCW 46.22.010.

B. For all other Subrecipients:

- a) Those Subrecipients annually receiving less than 5,250 unique individual's records containing Protected Personal Information, the Recipient must ensure that the Subrecipient take all reasonable actions necessary to prevent the unauthorized disclosure and Misuse of Protected Personal Information.
- b) Those Subrecipients annually receiving 5,250 or more unique individual's records containing Protected Personal Information:
 - i. Recipient must have procedures to regularly audit all Subrecipient(s), as applicable, for compliance with the requirements in Attachment A – *Data Licensing Statement(s)*.
 - ii. Recipient must have procedures to regularly audit all Subrecipient(s) for compliance with the requirements the *Privacy and Security Requirements* in Attachment B, as passed through in the Subrecipient's data sharing agreement with the Recipient. Recipient may accept third-party audits conducted within the past 12 months. The audits must determine Subrecipient's compliance with the *Privacy and Security Requirements* when the Subrecipient retains the Protected Personal Information.

Nothing herein shall prevent Recipient from requiring that a Subrecipient be responsible for all such costs of an audit.

C. If the Recipient finds a Subrecipient to be non-compliant with applicable requirements through the process of conducting audits, it must either:

- a) Ensure that non-compliance is corrected within a reasonable timeframe, or
- b) Suspend or terminate Subrecipient's access and use of Protected Personal Information.

7. SUBRECIPIENT LIST

When requested by DOL, Recipient must provide a list of names, and the respective Permissible Uses, for all the entities defined as Subrecipients and Customers. This list must be provided in Excel format or may be provided in another format at DOL's discretion, without redactions. The list must be provided within ten (10) business days of written request by DOL, and no less than annually.

The list at a minimum, must contain the following information:

- a) Recipient name,
- b) Date of the list,
- c) All Subrecipient and Customer names,
- d) If authorized to use CJIS, the unique CJIS ID number for each entity,
- e) Entity type (e.g., federal, local, state agency),
- f) If the entity is Offshoring Protected Personal Information, and if so, to where and for what Permissible Use,
- g) Whether the entity receives and processes Protected Personal Information (versus Recipient processing Protected Personal Information on the entity's behalf),

Recipient must keep the list for a minimum of five (5) years.

8. SUBRECIPIENT DISQUALIFICATION

If DOL notifies Recipient that it has disqualified a Subrecipient from receiving Protected Personal Information, Recipient must immediately terminate and prevent the Subrecipient's access and use of Protected Personal Information.

9. OFFSHORING BY SUBRECIPIENT

Recipient must not allow any Subrecipient to Offshore Protected Personal Information unless Recipient obtains permission for Subrecipient to do so.

ATTACHMENT D – AUDIT REQUIREMENTS

1. AUDIT AUTHORITY

Audits are required when DOL provides Data containing Protected Personal Information, pursuant to RCW 46.22.010.

2. AUDIT SCOPE AND CRITERIA

- a) Data Security audits will address one or more of the following areas of this Agreement:
 - i. Privacy Requirements in Attachment B
 - ii. Data Security Requirements in Attachment B
 - iii. Terms and conditions of this Agreement
- b) Permissible Use audits will address one or more of the following areas of this Agreement:
 - i. Privacy Requirements in Attachment B
 - ii. Permissible Use Requirements in Attachment B
 - iii. Subrecipient Requirements in Attachment C
 - iv. Terms and conditions of this Agreement

3. AUDIT OBJECTIVES

To determine if:

- a) Recipient has adequate internal controls (policies, procedures, monitoring, etc.) in place to provide reasonable assurance that requirements in scope are achieved.
- b) The internal controls are operationalized and effective.
- c) Recipient materially complies with Agreement requirements.

4. AUDIT REQUIREMENTS

	Data Security Audits	Permissible Use Audits
Due Date or Timeline	• Recipient must obtain and provide a complete audit report and submit it to DOL on or before June 30, 2023. • DOL may consider Data Security audits performed in the previous twelve (12) months. • Extensions may be granted due to conditions beyond the control of the Recipient. ○ A written request for an extension must be submitted in advance of the due date. ○ The request must describe the work done to-date to produce the audit and demonstrate progress toward delivering an audit report.	• Set by DOL • DOL will provide a minimum three (3) months' advance notice of an audit date.

Audit Cycle	• At DOL's discretion. • The standard cycle is one audit every three (3) years, measured from the due date of any prior audit report. • At DOL's discretion, audits can be required outside the three-year audit cycle when DOL has reason to suspect that the Recipient is in non-compliance with this Agreement. • Exceptions to the standard may be granted; in such cases, no less than one audit every four (4) years, measured from the due date of any prior audit report.	• At DOL's discretion. • The standard cycle is one audit every three (3) years, measured from the due date of any prior audit. • At DOL's discretion, audits can be required outside the three-year audit cycle when DOL has reason to suspect that the Recipient is in non-compliance with this Agreement. • Exceptions to the standard may be granted; in such cases, no less than one audit every four (4) years, measured from the date any prior audit was conducted.
Audit Standards	• The engagement package is based on attestation standards established by the American Institute of Certified Public Accountants and Government Auditing Standards issued by the Comptroller General of the United States, • State agencies that must comply with the Office of the Chief Information Officer (OCIO) Policy 141, Securing Information Technology Assets, may benefit from audits conducted using audit standards developed and published by the Washington State Auditor's Office (SAO), or • Agreed upon procedures for DOL audits published by the Washington State Auditor's Office (SAO).	• Audit process and procedures developed by DOL; to be shared in advance of the audit.
Auditor Qualification and Selection	• Auditors must meet the auditor qualifications as determined by DOL. • Audits must be conducted by DOL, or Independent Third-Party auditors selected by the Recipient. • Recipient is responsible to select the Independent Third-Party auditor. DOL may make available qualified audit firms.	DOL or its designated agent will perform all Permissible Use audits.
Cost of Audit	• Recipient is responsible for all costs associated with data security audits, including: ○ Independent Third-Party auditors ○ DOL staff labor when coordinating, scheduling, receiving, and reviewing the audit, to the point the final audit review is published. ○ If Recipient chooses to use a third-party auditor provided by DOL, Recipient must prepay the estimated audit costs to DOL. If the actual cost of the audit differs in amount from the amount prepaid, DOL will reimburse or invoice Recipient the difference. ○ All travel expenses of DOL personnel when conducting the audit in-person, including per diem. • DOL will notify Recipient in advance when DOL's costs of performing or reviewing the audit will exceed \$50,000.	• Recipient is responsible for all costs associated with permissible use audits, including: ○ Independent Third-Party auditors ○ DOL staff labor when coordinating scheduling, and conducting the audit; and, drafting and reviewing the audit report, to the point the final report is published by DOL. An estimate will be provided prior to the audit. ○ All travel expenses of DOL personnel when conducting the audit in-person, including per diem. • DOL will notify Recipient in advance when costs of performing or reviewing the audit will exceed \$50,000.

DOL Audit Invoice	Recipient must make final payment within thirty (30) days of receiving a DOL invoice for audit costs.
Audit Terms	• An exception is a situation where DOL identified a condition making it possible for it to conclude the Recipient is not in full compliance with a requirement. • A material weakness in internal control is defined as a deficiency, or combination of deficiencies, in internal control over compliance such that there is a reasonable possibility that material noncompliance with the requirements in this Agreement, would not be prevented, or detected and corrected, on a timely basis. • A significant deficiency is defined as a deficiency, or a combination of deficiencies, in internal control over compliance that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.
Audit Results	• Results will be formally communicated to Recipient by the DOL auditor noting all exceptions, including any significant deficiency or material weakness in internal control, noncompliance with this Agreement, laws or regulations, or abuse that come to the auditor's attention while conducting the engagement. • For Data Security Audits performed by auditors provided by DOL, and Permissible Use Audits, Recipient will have an opportunity to provide a management response, which would be added to the final report delivered to, or issued by, DOL. • A corrective action plan will be published with a final audit review or report when exceptions are identified.
Corrective Action Plans	• Are required for all exceptions identified in an audit or annual Statement of Compliance. • Within a timeframe acceptable to DOL, Recipient must submit a corrective action plan for each exception identified by the audit or annual Statement of Compliance. For each exception, the corrective action plan must outline the deliverable to correct the deficiency, and a timeline for completing all corrective actions. • DOL will determine whether Recipient is substantially complying with the corrective action plan. If Recipient is not in substantial compliance, then DOL may suspend access to the Data or take other actions as allowed in this Agreement. • Incomplete corrective actions under prior audits or annual statements of compliance are incorporated into this Agreement and will continue to be monitored by DOL to completion.

EXHIBIT A - NON-COMPLIANCE FORM

NON-COMPLIANCE FORM

This *Non-Compliance Form* must be completed by the Recipient during the annual internal assessment process outlined in Section 19, *Annual Statement of Compliance*, when it determines that it cannot comply with any component of the *Privacy and Security* or *Subrecipient Requirements*. The form must detail each component that is not in compliance.

Recipient Name:

Contact Person for additional information:

1. Standard(s) to which a deviation is requested:
Section #:
2. Describe the reason for non-compliance or deviation with the standard:
3. Provide the business or technical justification:
4. Describe the scope including quantification and requested duration (normally not to exceed one year):
5. Describe all associated risks:
6. Describe any supplemental controls to mitigate risks resulting from the deviation.
7. Include a plan, with schedule, to achieve compliance with the IT security or Permissible Use standard(s):
8. Identify any unmitigated risks:

I have evaluated the business issues associated with this request and I accept any and all associated risks as being reasonable under the circumstances until compliance is achieved.

Recipient Signature

Date

For security reasons, submit only hard copy *Non-Compliance Form* or upload document to DOL via a secure file transfer method. Do not submit this form via unsecure methods.