

Document Title: **Information Governance Certification Requirements for Vendor IT Proposals and Internal Government Application Development^{1 2}**

Document Type: Vendor Checklist

Document Purpose: This document is used in identifying vendors or proposals that meet requirements necessary for Government to sustain and ensure an adequate foundation for the development and implementation of secure information technology practices. Elements are included for issues relative to HIPAA Privacy, Security, and Records Management compliance in general.

Scope of Application: This Certification is required for information technology responses to Request for Proposals (RFPs) or for internal Government application development proposals. It applies to all application data in transit, at rest, used and stored in support of government business. This certification also is required for any outsourced SaaS, CLOUD, or other off-site data services in support of government business. On-site vendors with access to Government information resources are in addition required to abide by all policies and procedures of Government, Virginia.

The template is comprised of four sections:

1. **Standard**

This section includes the requirements to be addressed. Those requirements can take the form of a question or a statement.

2. **Does Your System Comply?**

The responder shall provide a high-level response to the Standard. The answers can be YES, NO, or Alternative (ALT). The responder MUST check one of the three boxes to indicate their

¹ This policy template is based on policies provided by Arlington County as a response to the call, by the Mason - NSF project (No. 1623653), for cybersecurity partnership and information sharing among cities and counties.

² As used in this document, (i) "Government" means XXX County/City Government, (ii) "CIO" means Chief Information Officer or his/her designee, (iii) "Department of Technology and Information Services" or "DTS" refers to the department that manages the Information Communication Technology, (iv) "CISO" means the Chief Information Security Officer or his/her designee, (v) "Communications Office" refers to the department or designee that manages communications and public relations, (vi) "Chief Records Management Officer" or CRO means the officer that manages Government records policies and enforcement.

position or solution capability. If the ALT box is checked the responder must provide a high-level explanation of the alternative in the “Comments/Plans for the Meeting Compliance” section. If there is supplemental information requested within the System Compliance column, an answer **MUST** be provided.

3. Where in Your Proposal is The Solution Described?

In this section the responder shall insert the technical proposal reference to the details of the solution. It should be specific (e.g., volume, chapter/section, page and paragraph heading) as to where the answer can be found. Failure to provide the reference or an incorrect reference shall be considered a NO answer. The procurement office or other Government departments will not search for the correct reference location.

4. Comments/Plans for Meeting Compliance

In this section the responder may provide any high-level comments that may clarify a response in the “Does System Comply” section. It is especially important for responders to use this section to explain alternative checked responses. An alternative response can include a statement of future development or a solution that addresses the requirement, however may not be a direct answer/solution to the requirement. This section **MUST NOT** be used for detailed descriptions of the response.

TITLE: **INFORMATION GOVERNANCE CERTIFICATE REQUIREMENTS**

MASON - NSF VIRGINIA CITY AND COUNTY CYBERSECURITY
PARTNERING, LEADERSHIP AND GOVERNANCE

Document Reference Number: VA Series-02

NSF PROJECT NO. 1623653

Last Updated 2/28/2018

	Standards	Does System Comply?	Where in Your Proposal is the Solution Described?	Comments/Plans for Meeting Compliance
A.	Description			
A.1.	System Name/Title:			
A.2.	Vendor/Developer:			
A.3.	RFP Reference Number:			
A.4.	Application Type:	COTS: <input type="checkbox"/> Proprietary: <input type="checkbox"/> ALT: <input type="checkbox"/> .NET <input type="checkbox"/> JAVA <input type="checkbox"/> OTHER <input type="checkbox"/> explain: _____		
A.5.	Provide a copy or statement about your software development life cycle standards and approach.			
A.6.	Database Requirements:	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> <input type="checkbox"/> If Yes or ALT, please specify		

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A.7.	User access controls are:	<input type="checkbox"/> Built into the system <input type="checkbox"/> Standard operating system such as: <input type="checkbox"/> Active Directory <input type="checkbox"/> LDAP <input type="checkbox"/> RACF <input type="checkbox"/> Database control such as: <input type="checkbox"/> Oracle <input type="checkbox"/> DB2 <input type="checkbox"/> SQL <input type="checkbox"/> Other Please specify		
A.8	List all additional system components required to make the proposed solution work, including any applets and/or plug-ins.			
B.	Password controls			
B.1.	System enforced: specified strong password to include minimum length and combination of alpha and numeric characters	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Current Minimum: ____ Current Maximum: ____		

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B.2.	System enforced: user passwords automatically changed or revoked after a user defined period has passed	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Current Change Interval: ____		
B.3.	System enforced: users required to change their passwords following the initial set up or resetting of the password	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
B.4.	System enforced: system administrators may not disable password controls	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
B.5.	System prevents auto logon, application remembering, embedded scripts, and hard-coded passwords in software	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
B.6.	History of previously used passwords is maintained by the system to prevent reuse	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Current Value: ____		
B.7.	Users are provided the capability to change their own passwords at their discretion	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
B.8.	User IDs are disabled after a specified number of consecutive invalid login attempts	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Current # Attempts: ____		

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B.9.	System automatically activates a password protected screensaver when units remain idle for determined period of time	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
B.10.	System automatically logs users off after a specified period of inactivity	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Current Auto logoff Time: _____		
B.11.	Passwords entered in a non-display field	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
B.12.	Passwords encrypted when routed over a network	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
B.13.	Passwords are encrypted in storage	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.	Security Administration			
C.1.	System logs unauthorized access attempts by date, time, user id, device and location	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.2.	System maintains an audit trail of all security maintenance performed by date, time, user id, device and location and information is easily accessible	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.3.	System provides security reports of users and access levels	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.4.	System provides a field(s) for personal information to be used for	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		

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	Standards	Does System Comply?	Where in Your Proposal is the Solution Described?	Comments/Plans for Meeting Compliance
	verification of users' identities for password resets and other maintenance (i.e., Mother's Maiden Name, DOB, etc.). Fields used would not be a requirement			
C.5.	System provides varying levels of access within the security application (i.e. access to only password reset functions or access to password reset function +Access to add & update users)	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.6.	System permits the assignment of designated Access Control Administrators	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.7.	System provides varying levels of access within the application	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.8.	System uses groups and unique user ids to define levels of access	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.9.	System provides the capability to place security controls on each system module and on confidential and critical levels within each module	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.10.	System provides capability to restrict access to particular records within the system, based on user id	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		

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C.11.	System provides capability of encryption of confidential or sensitive information stored locally on the device	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.12.	System provides capability of encryption of confidential or sensitive information transmitted over the network	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.13.	On-site training and sufficient supporting reference materials related to security administration for system administrators are provided prior to migration of product to production environment	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.14.	System provides centrally managed updates to protect against vulnerabilities	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.15	System will operate as described in conjunction with the Government's chosen Anti-virus, anti-malware, and anti-spam protection software.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
C.16	If this system stores PII, PPI or HIPAA data has the Government Privacy Officer (HR Director) approved the	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		

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	Standards	Does System Comply?	Where in Your Proposal is the Solution Described?	Comments/Plans for Meeting Compliance
	Business Associate Agreement (BAA)?			
D.	Activity Logging			
D.1.	System logs unauthorized access attempts by date, time, user id, device and location	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
D.2.	System maintains an audit trail of all security maintenance performed by date, time, user id, device and location and information is easily accessible	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Number of days kept: _____		
D.3.	System logs all inquiry accesses to data	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
D.4.	System logs all modification accesses to data	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
D.5.	System has auditing capabilities for both online or batch reporting. Can also be exported into Government standard databases	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
D.6.	Can logs be archived and recalled as needed?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Archive methods: <input type="checkbox"/> Tape <input type="checkbox"/> Disk <input type="checkbox"/> Other		
E.	Networking and Compatibilities			

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E.1.	Provide a diagram of the recommended network connectivity, interfaces, and data exchanges required for the proposed solution. Include a description and any additional explanation necessary to explain the method of interaction (e.g., read/write, synchronous/asynchronous).			
E.2.	System configuration/architecture (i.e., hardware, wiring, display, network, and interface) is documented and included in proposal.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
E.3.	Does your solution support external data transmission? Please indicate the method(s) supported.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Methods: <input type="checkbox"/> Secure FTP <input type="checkbox"/> Fax <input type="checkbox"/> Email <input type="checkbox"/> File Copies (CD, Diskette, etc) <input type="checkbox"/> Browser applications <input type="checkbox"/> Tape media		

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		<input type="checkbox"/> Web services <input type="checkbox"/> Other:		
E.4.	For externally electronically transmitted information, can the solution support encryption and data protection?	Encryption: Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> Data Protection: Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
E.5.	For wireless transmission of data, does the system support the Government wireless standards?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
E.6.	Can the system be accessed remotely (i.e. Internet, etc.)? If applicable, provide an explanation of your wireless transmission requirements for the proposed solution.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
E.7.	For management and vendor support can the system support secure remote access (VPN/Dual Factor Authentication)?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
E.8.	What anti-virus and end-point security software is the proposed solution compatible with? Provide version details with answer.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
F.	Contingency, Continuity, & Back-up			

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F.1.	What is your back up policy for the proposed solution?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
F.2.	For vendor supported, maintained, and managed solutions is there a Business Continuity Plan and a Disaster Recovery Plan?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> <input type="checkbox"/> Not applicable, Government supported		
F.3.	Does your solution automatically monitor database capacity requirements to reduce the risk of system overload? If yes, is a warning alert provided to the system administrator?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> <input type="checkbox"/> Warning alert provided <input type="checkbox"/> Not applicable, Government supported		
F.4.	In the event of an identified vulnerability to or within the system, are there designated technical support personnel available to assist Government with eliminating or mitigation of the vulnerability?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/> <input type="checkbox"/> Not applicable, Government supported		
F.5.	In the event of an identified vulnerability will there be a zero-day vendor response team assigned to provide support to Government IT administrator(s)?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		

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F.6	In the event of an incident or hardware/software fault does the application support redundant auto-failure, i.e. seamlessly transition the application to the redundant platform?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.	Records Retention			
G.1.	Please describe (in detail) the type of information to be stored in the proposed system.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.2.	Are you aware of existing records retention requirements for the content (See Virginia Records Retention Requirements ³)? If yes, please state the requirements.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.3.	Are you proposing to store any Personally Identifying Information in the system (SSN, Driver's License, financial information, etc.)? If so, please describe the business need and safeguards in place to secure the information.	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		

³ <http://www.lva.virginia.gov/agencies/records/retention.asp>

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G.4.	Does the system allow for records to be protected from unauthorized modification or deletion?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.5.	Does the system allow for records to be tagged (classified) and assigned a retention policy/schedule ensuring that the record is retained pursuant to the policy?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.6.	Does the system allow for automated destruction/deletion of records that have met or exceeded the required retention schedule?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.7.	Does the system allow for automated destruction to be suspended in the event of anticipated litigation and/or investigation (legal hold)?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.8.	Does the system allow for retrieval and production of information for e-discovery and FOIA compliance?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
G.9.	If the system does not contain any of the required functions identified in G.4. – G.8., have you ensured that it integrates with Government systems that do contain the required	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		

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	functionality? If yes, please describe your solution.			
H.	Data Security/Privacy			
H.1.	If this system stores HIPAA or PII data is the data secured through encryption?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
H.2.	If this system is capable of utilizing GPS for tracking purposes has Terms and Conditions of use language been prepared?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		
H.3.	If this is a public facing application and GPS is potentially part of the offering has a straw man education and promotion package been prepared?	Yes: <input type="checkbox"/> No: <input type="checkbox"/> ALT: <input type="checkbox"/>		