Operating Procedure

Effective Date November 1, 2017	**Number** 310.2
Amended 2/16/18, 4/2/18, 9/11/18, 12/1/18, 1/1/19	**Operating Level** Department
Supersedes Operating Procedure 310.2 (11/1/14)	
Authority COV §2.2-2009, §2.2-2827, §18.2-372, §18.2-374, §18.2-374.1:1, 19.2-386.31, §53.1-10, §53.1-25	
Subject **INFORMATION TECHNOLOGY SECURITY**	**ACA/PREA Standards** 4-4100, 4-4101, 4-4102; 4-ACRS-7D-05, 4-ACRS-7D-06; 4-APPFS-3D-31, 4-APPFS-3D-34; 2-CO-1F-01, 2-CO-1F-06
Incarcerated Offender Access Yes ☐ No ☒ / **Public Access** Yes ☒ No ☐ / **Attachments** Yes ☒ #3 No ☐	**Office of Primary Responsibility** Chief Information Officer

I. PURPOSE

This operating procedure establishes security controls in accordance with Commonwealth of Virginia Information Technology Resource Management Information Security Standard COV ITRM Standard SEC501 and standards for the acceptable use of the internet, social media, e-mail, and electronic communications tools.

II. COMPLIANCE

This operating procedure applies to all units operated by the Department of Corrections (DOC). Practices and procedures shall comply with applicable State and Federal laws and regulations, Board of Corrections policies and regulations, ACA standards, PREA standards, and DOC directives and operating procedures.

III. DEFINITIONS

Administration and Operations Manager - The head of the Fiscal Administration and Operational section of CTSU

Agency Information Technology Resources (AITR) - Liaison between the agency and VITA to ensure that information (questions, concerns, issues, etc.) flow smoothly between the two parties and the right people are involved in the communication process

Case Sensitive - A computer program's ability to distinguish between uppercase (capital) and lowercase (small) letters. Programs that do not distinguish between uppercase and lowercase are said to be case insensitive.

Chief Information Officer (CIO) - The head of the DOC Corrections Technology Services Unit

Corrections Technology Services Unit (CTSU) - The Department of Corrections unit that is the central technology management unit and the clearinghouse for all DOC technology initiatives including but not limited to the management of surplus property management; this unit coordinates all liaison activities with VITA/Northrup Grumman.

CTSU Security - The information security section within the CTSU unit; the Information Security Officer (ISO) is the head of CTSU Security.

Data - Raw, unorganized facts (written or electronic) that are in the possession of the Department of Corrections employees, volunteers, vendors, or contractors

Data Custodian - Individual responsible for physical or logical possession of DOC IT system data and information; the custodian monitors and operates systems appropriately and protects the data and information from unauthorized access, modification, and destruction. Provides reports to the Data Owner as required.

Data Owner - Manager responsible for policy, procedure, and practice decisions regarding data and information sensitivity, access, and protection on a DOC IT system.

Data Sharing - An agreement between the DOC and another Federal, State, or Local government agency, where the agency is granted access to DOC systems and can export DOC data as approved in the agreement

Information - Processed, organized, or structured data related to employees, offenders, incidents or operational units, to include: writings of all kinds, E-mail, correspondence, memoranda, notes, diaries, statistics, receipts, letters, returns, summaries, pamphlets, books, interoffice and intra-office communications, bulletins, printed matter, computer printouts, system logs, database logs, word processing files, calendars, scheduling programs, teletypes, facsimiles, drawing, sketches, spreadsheets, oral records, photographs, video, tape recordings, magnetic discs and any other recordings.

Information Security Officer (ISO) - The head of CTSU Security

Information Technology (IT) - Equipment or interconnected system or subsystem used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information; this term includes computers, peripherals, software, firmware, and similar procedures, services, and related resources.

Information Technology Initiative - Any software development or purchase, network deployment including utilizing solutions such as Internet access or wireless technology, and hardware deployment

Intern - An individual who is undergoing supervised practical training and is serving an internship to advance their area of study; paid interns are considered employees.

Internet - A global collection of interconnected computer networks sharing a wide variety of resources (research and archived data, publications, news, weather, electronic mail, etc.) and functionality including "e-government", communications, and entertainment. No one individual is in charge of, or owns, the Internet. Internet Service Providers (ISP s) offer the vehicle for access to the Internet.

IT Partnership (ITP) - The public-private partnership between the Commonwealth of Virginia and Science Applications International Corporation (SAIC) and its suppliers which is transforming state government's IT infrastructure technology and providing the expertise and resources to support improved delivery of services

Local Site Support (**LSS)** - An individual whose primary responsibilities are not related to IT, but provides IT support to others within the same operating unit (e.g. VACORIS).

Malware ***("malicious software")*** - Programs or files designed to infiltrate and damage a computer system without the owner's knowledge. Malware includes computer viruses, worms, Trojan horses, rootkits, spyware, some adware, malicious, and unwanted software. *(Also see Virus, Worm)*

Non-DOC Requests - Software application requests by government agencies (Federal, State, Local) that have a valid need to access DOC software applications (e.g. VACORIS).

Obscene Material - Any material that "considered as a whole, has as its dominant theme or purpose an appeal to the prurient interest in sex, that is, a shameful or morbid interest in nudity, sexual conduct, sexual excitement, excretory functions or products thereof or sadomasochistic abuse, and which goes substantially beyond customary limits of candor in description or representation of such matters and which, taken as a whole, does not have serious literary, artistic, political or scientific value." (COV 18.2-372)

Offender – An inmate, probationer, parolee or post release supervisee or other person placed under the supervision (conditional release) or investigation of the Department of Corrections

Organizational Unit Head - The person occupying the highest position in a DOC unit, such as a correctional facility, regional office, probation and parole office, Virginia Correctional Enterprises (VCE), Academy for Staff Development, Corrections Construction Unit, Agribusiness Unit, and individual headquarters unit (i.e. Human Resources, Offender Management, Internal Audit)

PC - Personal computer, which also applies to all DOC workstations, including laptop computers

Political Activity - An activity involving or relating to individual views about social relationships involving authority or power (political opinions); involving or relating to the profession of governing (political office); having or influenced by partisan interests (political party).

Science Applications International Corporation (SAIC) and its suppliers - Contract vendor responsible for the service delivery of the Commonwealth's IT infrastructure needs, with oversight from VITA

Security Incident - Any act or circumstance that compromises, harms, or destroys DOC software, hardware, or data

Sensitive Data - Information whose worth is calculated based on its value to the owner

Social Media - Form of online communication or publication that allows for multi-directional interaction. Social media includes: blogs, wikis, podcasts, social networks, photograph and video hosting websites and new technologies as they emerge.

Software Applications - Software used by DOC personnel to perform needed job duties (e.g. *VACORIS, CARS,* FAACS*, Inmate Pay / Inmate Trust, etc*.).

Software Applications Authorizer - The "owner" of a software application who approves access rights and privileges for a specific application relating to DOC business. (e.g. *VACORIS, CARS, CIPPS, iDOC, eInventory, TMS, etc*.).

System Administrator - Analyst, engineer, or consultant responsible for implementing, managing, or operating a DOC IT system at the direction of the System Owner, Data Owner, and/or Data Custodian. The System Administrator manages day-to-day administration and implements security controls and other requirements of DOC IT systems.

System Owner - Manager responsible for operation, maintenance, and documentation of risk for a DOC IT system.

User ID - The name given to a user or account that enables access to the computer system/network.

Virginia Information Technologies Agency (VITA) - The agency responsible for the central management of the Commonwealth's information technology resources

Virus - A program which can replicate itself and infect a computer without the user's knowledge. The difference between a virus and a worm is that a virus requires a host program in order to replicate. A virus can only spread from one computer to another when its host is taken to an uninfected computer and spread to other computers by means of a network file system, USB, CD, etc., then accessed by other computers. For a virus to replicate, it must be permitted to execute code and write to memory. This is the reason; many viruses attach themselves to executable files which are part of legitimate programs. (Also see *Malware, Worm*)

Volunteer - An individual who provides services to the Department without any financial gain under the supervision of a correctional employee or another volunteer designated to supervise volunteers to include unpaid interns. This individual volunteers more than once per quarter to work with offenders in a group setting or individually as approved by the DOC. Services provided can include but is not limited to conducting research with prior approval of Human Subject Research Review Committee, participating in events related to Re-entry such as job assistance, Co-facilitating groups, participating in bible study, and performing clerical tasks.

Wireless IT Equipment - Equipment, including 802.11 a/b/g and Bluetooth or any equipment connecting to or interacting with DOC information technology systems without the use of wires such as: wireless access points, wireless cards, cellular cards or phones used to access other networks while connected to the DOC's network, handheld PCs and personal information managers utilizing Bluetooth or 802.11 a/b/g to access any network while still connected to the DOC network.

Workstation - The device used by employees to connect to the network or system resources. Workstation also means personal computers and laptop computers.

Worm - A self-replicating computer program which uses the computer network to send copies of itself to other computers attached to the network, without any user intervention. Unlike a virus, a worm does not need to attach itself to an existing program, meaning it can spread itself to other computers without needing to be transferred as part of a host. A worm does its damage by spreading through the network exploiting vulnerabilities in operating systems and almost always causing harm to the network. *(Also see Malware, Virus)*

IV. ORGANIZATIONAL RESPONSIBILITIES

A. Applicability

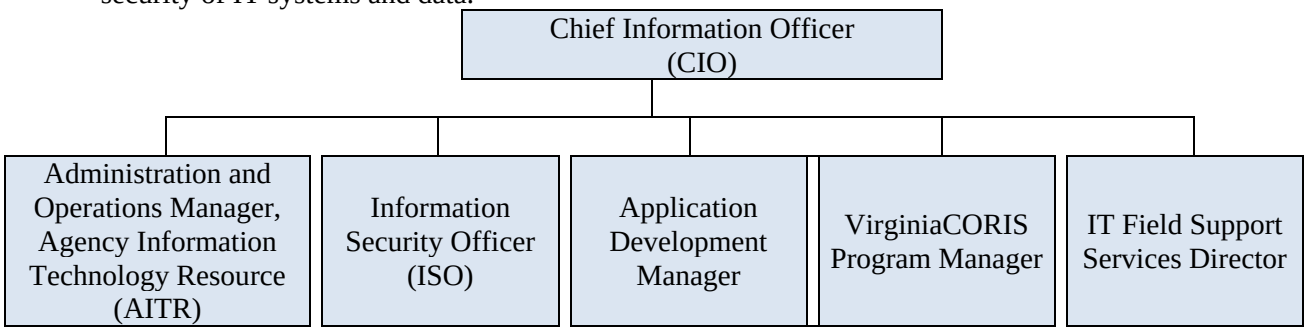
1. COV ITRM Standard SEC501 defines the requirements to protect Department of Corrections data and

information from loss, unauthorized use, modification, disclosure, or reproduction, and to ensure the implementation of, and compliance with, controls, standards, and procedures.

2. This operating procedure implements COV ITRM Standard SEC501 to govern the security of the Department of Corrections information and data collection system, including verification, access to data, and protection of the privacy of offenders and staff. (2-CO-1F-06) It ensures that all data and information, and the means by which they are created, gathered, processed, transmitted, communicated, and retained are identified, classified, controlled, and safeguarded.
3. DOC data and information must also meet federal, state, and other regulatory and legislative requirements.
4. This operating procedure applies to all DOC employees, contractors, volunteers, interns, and partners requiring access to or the use of DOC Information Technology Resources.
5. Employee failure to follow this operating procedure is a violation of Operating Procedure 135.1, *Standards of Conduct*, and may result in disciplinary action.

B. Corrections Technology Services Unit (CTSU) Organizational Structure

1. The following organizational chart depicts the reporting structure within CTSU responsible for the security of IT systems and data.



2. The Chief Information Officer (CIO) of the Corrections Technology Services Unit is responsible for security of DOC information technology resources.
3. The CIO shall approve all DOC software applications development to be used by multiple users. There are NO exceptions. Applications created or installed without this approval will not be supported by CTSU and may be required to be uninstalled.
4. The DOC Information Security Officer (ISO) shall implement and maintain the DOC information security program.
   a. The ISO shall ensure that adequate and appropriate levels of protection for DOC technical resources are in place to prevent unauthorized or unnecessary access or disclosure, and ensure effective and accurate processing and continuity of operations as relates to Information Technology security within the DOC.
   b. The ISO shall create, implement, enforce, and maintain security policies, procedures, and IT security programs for DOC Information Technology resources and systems under the direction of the CIO.
   c. The ISO may appeal through the chain of command to the Deputy Director for Administration for review and resolution of a security issue.
   d. The ISO shall maintain liaison with the Chief Information Security Officer of the Commonwealth.
5. The Administration and Operations Manager provides oversight of operational technology activities to include routing, switching, and telecommunications in support of institutions and community corrections as well as the maintenance of IT asset inventory and software licenses. Administration functions include billing, procurement, transfer, and disposal of assets.
6. The Agency Information Technology Resources (AITR) is responsible for ensuring cooperative

sharing of information between the agency and VITA.

7. The Application Development Manager is responsible for all custom application development as well as database administration and ensuring adherence to security standards, guidelines, and procedures.

C. CTSU Interaction with other Units

1. The IT Partnership (VITA/SAIC) shall configure and deploy all DOC servers and workstations not identified by the ISO as being related to security. Servers and workstations will be configured in accordance with the VITA/SAIC server and workstation standard configuration procedures. ISO designated security servers are supported solely by the ISO and other security staff. VITA/SAIC is responsible for all contracted hardware maintenance.
2. Organizational Unit Heads shall ensure that policies and procedures relative to information technology security are enforced in accordance with this operating procedure.
3. In order to complete the annual IT Security Awareness Training requirements, all salaried and wage employees, consultants, volunteers, interns, and authorized users having a DOC IT system account are required to read and consent to the terms of the *DOC Information Security Agreement.*
4. VITA/SAIC is designated and responsible for all DOC System account maintenance and activities (additions, deletions, transfers, renames, disk quota allocations, etc.).
   a. VITA/SAIC is responsible for monitoring all accounts for adherence to this procedure and all other relevant codes, laws, and policies applicable to DOC Information Technology.
   b. CTSU Security will review these activities for compliance.

V. ACCESS TO DOC INFORMATION TECHNOLOGY RESOURCES

A. Requests for account maintenance and activities shall be communicated to the DOC CTSU Security Office.

1. Accounts must be granted on the basis of least privilege. The principle of least privilege requires that access is only provided to the systems that are required of the user to complete their functions.
2. Account requests are managed as follows:
   a. All new user account requests must include a *Windows User Account Request* 310_F2 submitted to CTSU Security.
   b. Each request for a new account must include a *Windows User Information Security Agreement* 310_F3 signed by the user. This shall be kept in the user's personnel file locally.
   c. All user re-name account requests must include a *Windows User Account Request* 310_F2 submitted to CTSU Security.
   d. All requests for account transfers must be submitted by the receiving location utilizing a *Windows User Account Request* 310_F2 to CTSU Security.
   e. All requests for account disables must include a *Windows User Account Request* 310_F2 submitted to CTSU Security.
   f. Any user going on a leave of absence expected to last 30 days or more must have their account disabled for the duration of their absence.
   g. For an account to be re-enabled, the user's Supervisor, Human Resources Officer (HRO), Unit Head or CTSU Security must make the request by email or by telephone. *A form is not required to re-enable an account.*
   h. All requests for account deletions must include a *Windows User Account Request* 310_F2 submitted to CTSU Security by the user's Supervisor.
   i. Requests to disable an account must be submitted to CTSU Security in a timely manner after an employee or contractor termination.
3. Guest and shared accounts are prohibited on sensitive systems.

4. All DOC staff requiring Admin/System Accounts must submit a *Windows Admin/System Account Request* 310_F4 to CTSU Security. A signed copy of the *Windows Admin/System Security Agreement* 310_F1 should be sent to CTSU Security. (changed 9/11/18)
5. Requests for access to shared folders must be submitted to CTSU Security, defining the specific access required. For example: the name of the shared folder and the type of access needed. To be written similar to: \\s3groups\James River\Dairy Modify or Read only access.
6. Access to a facility's designated digital storage folder will be assigned through CTSU Security in accordance with Operating Procedure 030.1, *Evidence Collection and Preservation.*
7. Requests for access to another user's information (mail or shared folders) must be submitted to CTSU Security.
8. As authorized by the Organizational Unit Head, interns may be granted Windows User Accounts and VACORIS access with the following requirements:
   a. To access VACORIS, interns must have completed the same background process as employees. (see Operating Procedure 102.3, *Background Investigation Program*)
   b. Security Awareness Training, Gang Training, and other procedural requirements must be followed as for employees.
   c. Interns should have similar access as their respective DOC counterpart i.e., Counselors, P&P Officers, etc.
   d. For employees working at one DOC unit (institution, for example) and interning at another DOC Unit (P&P Office, for example), both Unit Heads must approve the additional job functions.
   e. The Organizational Unit Head is responsible to terminate access to DOC IT systems immediately at the end of the internship.
9. Volunteers are prohibited from access to DOC IT systems and VACORIS unless authorized by the Regional Operations Chief (the appropriate Chief of Corrections Operations or Deputy Director for volunteers not serving in a facility or P&P Office).
   a. Once access is properly authorized, background, training and access requirements are the same as interns above.
   b. The Organizational Unit Head is responsible to terminate access to DOC IT systems immediately at the end of the volunteer's need for access.

B. Accounts must be validated periodically to determine if the access is still necessary

1. VITA/SAIC and CTSU Security will monitor account usage. Accounts that have not been logged into after 90 days will be disabled. After 120 days of inactivity, accounts may be deleted upon request of the business unit contact.
2. VITA/SAIC must also conduct a review of all Domain Admin, Server Admin, and System accounts. Accounts not being utilized within 90 days should be deleted.
3. For disciplinary suspensions greater than one day, accounts and physical access must be disabled.

C. Remote Access (CISCO AnyConnect + RSA Dual Authentication Token)

1. Remote access via the IT Partnership enterprise solution (CISCO AnyConnect) is provided to all users and is installed on all devices.
2. Access
   a. The Organizational Unit Head will need to submit an email to CTSU Security to request new users be granted access to AnyConnect and provided a token for authentication.
   b. Dual Authentication (RSA Token) will be assigned to the user by CTSU Security
   c. When a hard token is issued and the token is lost or damaged, CTSU Security must be notified immediately.

3. Use of any remote connection to DOC IT Systems constitutes acceptance of and agreement to this operating procedure. Remote connections to DOC IT Systems may be monitored, scanned, or analyzed at any time without notification or consent.
4. All remote connections to DOC IT Systems should be originated from a DOC owned device excluding authorized contractors with approved equipment.
5. All systems connected to the DOC IT Systems remotely must be running virus protection with current virus definitions.
6. All systems connected to the DOC IT Systems remotely must be up to date on all current operating system and software security hot fixes, service packs, patches, and updates.
7. Those not in agreement with this operating procedure and its conditions should not connect to DOC IT Systems.
8. All systems connected to the DOC IT Systems remotely must utilize a firewall to protect the DOC from any other systems the device originating the remote connection may be connected to.

D. Non-DOC Requests for Access to DOC IT Systems

1. All requests for data sharing must be approved by the Data Governance Board.
2. This type of access is provided utilizing the IT Partnership enterprise solution SWAP (Secure Web Access Portal).
   a. All initial requests by non-DOC users for access to DOC software applications or systems must be submitted in writing to the CIO or to CTSU Security. The requestor must submit clear justification for the need for access to the DOC Systems. Once approved by the CIO, CTSU Security will notify the requestor when access is granted. The request must include the following information:
      i. The type of access required
      ii. Direction of dataflow
      iii. Contact information for the organization owning the IT system and/or data, including the System Owner and System Administrator.
      iv. There shall be a written agreement delineating the security requirements for each interconnected IT system and each type of data shared. All future connectivity must be established in the written agreement before implementation can occur.
      v. The written agreement shall also include data handling, storage, and disclosure.
3. The non-DOC requestor is responsible for notifying CTSU Security of removal of access privileges when access is no longer needed. Failure to comply with this paragraph may result in denial of future requests.
4. The non-DOC requestor will be provided a copy of this operating procedure. Use of granted access constitutes acceptance and agreement to abide by this operating procedure.
5. Non-DOC entities that are granted Domain Administrator Access must sign the *Windows Admin/System Security Agreement* 310_F1**.**

E. Software Application Authorization and Revocation

1. Acceptable access to DOC software applications and non-DOC software applications are contingent upon approval by the requestor's supervisor and the Software Applications Authorizer.
2. ALL requests for access to DOC software applications (*VACORIS, TMS*, etc.) or non-DOC software applications (*CARS, CAIS, VCIN*, etc.) must be sent to and approved by the Software Applications Authorizer listed on the *DOC Applications Access Authorization* (see Attachment 1)**.** (4-4100, 4-4102, 4-ACRS-7D-05, 4-ACRS-7D-06; 4-APPFS-3D-31, 4-APPFS-3D-34)
   a. It is the responsibility of the Software Applications Authorizer to notify CTSU Security of authorized designee additions and deletions.
   b. Questions concerning the authorization list should be directed to the CTSU mailbox:

(CTSUSecurity@vadoc.virginia.gov).

3. CTSU Security will accept the following valid application authorization requests from the Software Applications Authorizers' and their designees:
   a. Email from the Software Applications Authorizer or their designee.
   b. Written correspondence with a valid authorization signature from the Software Applications Authorizer or their designee
4. CTSU Security will accept the following requests for revocation of privileges:
   a. Email or written correspondence from DOC managing supervisor
   b. The ONLY exception is a request from DOC Special Investigations Unit or DOC management, due to an investigation or urgent need. All such urgent requests must be backed up with written authorized correspondence for documentation purposes.
5. CTSU Security will remove all software application access for account deletions and determine if software application access removal is necessary for account transfers.
6. ALL software application privileges granted, modified, and/or revoked must be performed by the CTSU Security group or their designee.

VI. USAGE OF DOC INFORMATION TECHNOLOGY RESOURCES

A. Network Login Banner and Authorized Login Accounts

1. VITA/SAIC will ensure the *Logon Banner* (see Attachment 2) is implemented within the login script for all workstations, servers connected to the network, and standalone devices.
   a. The banner will be displayed every time a user logs onto the system.
   b. This banner will reference Federal, State, and DOC regulations, policies, and procedures covering information technology use within the Commonwealth of Virginia.
2. Changes to any messages posted on login banners must have prior approval from either the ISO or the CIO before being implemented.
3. User and account access to DOC systems/network must be identified in accordance with *COV IT Information Security Standard* (SEC 501), or by other means providing equal or greater security (e.g. biometric readers, retina scanners etc.), and must be approved by the VITA/SAIC and CTSU Security groups before accessing any systems/network resources.
4. Server system software will execute with its inherent account as designed by the manufacturer of the software.

B. Official Use

1. No user should have expectation of privacy when using DOC Information Technology Systems.
   a. The DOC has the right to monitor all aspects of DOC IT Systems, and such monitoring may occur at any time, without notice and without the user's permission.
   b. Monitoring of IT systems and data may include but is not limited to network traffic, application and data access, keystrokes, user commands, email and Internet usage, and message and data content.
   c. Except for exemptions under the Act, electronic records may be subject to the *Freedom of Information Act (FOIA)* and therefore, available for public distribution.
2. CTSU Security shall monitor use of all DOC Information Systems for any activity that may be in violation of state and/or DOC policy and procedure. CTSU Security shall review all security settings, configurations, and patch management for security and violations of policy and procedure.
3. The DOC uniformly collects, records, organizes, and processes data, much of which is sensitive and confidential, about employees, offenders, and agency operations for management information purposes in order to carry out the Department's Mission, Vision, Goals, and Objectives. (2-CO-1F-01)

4. *Personal Use of the Computer and the Internet* - Personal use means use that is not job-related. In general, incidental and occasional personal use of the Commonwealth's electronic communications tools, including the Internet is permitted during work hours, but not so as to interfere with the performance of the employee's duties or the accomplishment of the unit's responsibilities. Personal use is prohibited if it:
   a. Adversely affects the efficient operation of the computer system; or
   b. Violates any provision of this operating procedure, any supplemental procedure adopted by the agency supplying the Internet or electronic communication systems, or any other policy, regulation, law, or guideline as set forth by Federal, State or Local, law (see COV §2.2-2827)
5. Users of the DOC computer system/network must not use these resources for soliciting business, selling products, or commercial activities other than those expressly permitted by DOC management.
6. The Organizational Unit Head will ensure employees, contractors, volunteers, interns, and authorized users shall NOT allow offenders to have access (supervised or unsupervised) to any DOC Information Technology Resource connected to the agency's network/systems, or resource that can access the Internet. Any exception must be unequivocally approved by the CIO and Deputy Director.
   a. Offenders are strictly prohibited from any access to DOC Information Technology Resources on the agency's network/systems or resources that can access the Internet. Information technology resources not on the agency's network/system or resources that do not have Internet access may be utilized by offenders in accordance with Operating Procedure 310.3, *Offender Access to Information Technology*.
   b. An exception is provided for supervised offenders in the work release program at Virginia Correctional Enterprises with explicit approval of the Deputy Director for Administration.
   c. Offenders shall not have direct, unsupervised access to output and storage peripherals such as printers, scanners, DVD burners, and copy machines unless to perform specific educational or job tasks.
   d. Offenders must be under constant sight supervision of DOC staff when performing such tasks. At a workstation in a controlled area with locked doors (such as VCE shops or CTE classrooms) offender use of information technology equipment is allowed under the general supervision of a trained employee.
   e. DOC staff should inspect printed or copied items to guard against misuse of DOC resources.
   f. Any exception to this configuration must be approved by the Chief of Corrections Operations.
7. No access shall be granted to any DOC Information Technology System, resource, or data by anyone unless that access is granted in accordance with this operating procedure. Based on the scope of work to be performed, a background check is required.
8. Vendors, partners, or other non-DOC entities shall not be granted access to the DOC Information Technology Systems without the express written permission of the CIO.
   a. All requests for data sharing must be approved by the Data Governance Board.
   b. When access is requested, CTSU Security shall provide the CIO with a risk assessment.
   c. If access is granted by the CIO to a vendor, partner, or non-DOC entity, that entity shall agree in writing to abide by all applicable laws, regulations, and DOC operating procedures prior to receiving access. (see Attachment 3, *IT Systems Interoperability Security*)
9. Posting sensitive data on a public website, FTP server, bulletin board, shared drive, or other publicly accessible medium is prohibited unless a written exception is approved by the DOC Director. The exception must include the business case, risks, mitigating controls and all residual risks.
10. When using electronic communication tools and social media, users should follow all applicable Commonwealth policies and be responsible and professional in their activities. Employees should conduct themselves in a manner that supports the DOC mission and performance of their duties.
    a. When utilizing social media for posting and communicating information for business purposes,

users should be respectful of the DOC, other employees, customers, vendors, and others. Be aware of any associated potential liabilities and obtain consent prior to communicating or posting information about the workplace.

b. Only employees with authorization to publish DOC materials to social media sites or the Internet are permitted to do so. Without exception, all DOC materials published to social media sites or the Internet must go through their respective approval processes.

c. When utilizing social media for communicating or posting information for personal use, personal email addresses must be utilized and not those related to their position with DOC .

11. When posting personal entries on the Internet, employees shall ensure that they are representing themselves as individuals. They shall not imply or state that they represent the Department of Corrections.

a. When posting entries on the Internet, employees should ensure that they do not undermine the public safety mission of the DOC, impair working relationships of the DOC, impede the performance of their duties, undermine the authority of supervisors, diminish harmony among coworkers, or negatively affect the public perception of the DOC. They should not post information, images or pictures which will adversely affect their capacity to effectively perform their job responsibilities or which will undermine the public's confidence in the DOC's capacity to perform its Mission.

b. Employees' speech on or off-duty, made pursuant to their official duties, that owes its existence to employees' professional duties and responsibilities, is not protected speech under the First Amendment and may form the basis for discipline if deemed detrimental to the DOC. DOC employees should assume that their speech and related activity will reflect upon their office and the DOC.

c. Users may use a disclaimer when posting opinions or views for personal use such as, "The views expressed on this (website, blog, social media site) are my own and do not reflect the views of my employer or the Commonwealth of Virginia" when appropriate to ensure their personal views are not perceived as official Commonwealth of Virginia communications.

d. For safety and security reasons, DOC employees are cautioned not to disclose their employment with the DOC or post information pertaining to any other employee of the DOC without the employee's permission.

i. DOC employees should not post personal photographs or provide similar means of personal recognition that may cause them to be identified as a sworn employee of the DOC.

ii. Sworn employees who are or may reasonably be expected to work in undercover operations, surveillance, intelligence, or technical support positions shall not post any form of visual or personal identification.

e. Engaging in prohibited speech noted herein will be considered a violation of Operating Procedure 135.1, *Standards of Conduct*, and may be subject to disciplinary action up to and including termination.

f. Any employee becoming aware of or having knowledge of a posting, website, or web page in violation of this procedure shall notify their supervisor immediately.

g. Since other people tagging (or posting) items to a social media page is possible, it is recommended that employees review their site regularly and remove any information that they believe is inappropriate.

h. The following are some examples of what should not be published, posted, or displayed; this list is not all inclusive:

i. Comments or information regarding a specific offender or information which could reasonably identify a specific offender

ii. Confidential information about offenders, DOC programs, facilities or offices

iii. Pictures or images of DOC staff dressed in a DOC uniform or any facsimile of a DOC uniform

iv. References to any employment with the DOC that are likely to undermine or impair an

employee's ability to function as a DOC employee or interfere with the DOC's Mission, reputation, or the effectiveness or efficiency of the DOC's activities

v. Photos, videos, or audio recordings taken in the work environment without written consent from the Director
vi. Derogatory or offensive information or commentary about offenders in general
vii. Pictures, images or information suggesting identification with Security Threat Groups (gangs) or which portray security threat groups in a positive and appealing manner
viii. Information, images or pictures related to DOC security procedures, security equipment or fixtures, building layouts or architectural drawings of facilities
ix. Any information, data, or photographs that purports, by word or presentation, to represent an official publication by, or the official position of, the DOC without express written authority of the Director
x. Pictures or images of staff with offenders under supervision
xi. Information, images or pictures of conduct that is illegal
xii. Information, images or pictures of other conduct which would interfere with an employee's ability or effectiveness to perform assigned job responsibilities

i. Organizational Unit Heads are expected to reinforce the importance of these guidelines with their employees on an ongoing basis. They should discuss any specific concerns or issues with the DOC Human Resources Office.

j. Employees who have any specific concerns or doubts about a potential or existing Internet posting should discuss it with their Organizational Unit Head.

12. Certain activities are prohibited when using the Internet, electronic communications, and Information Technology Systems. These include, but are not limited to:

a. Accessing, downloading, printing or storing information with sexually explicit content as prohibited by law (see COV §2.2-2827)

b. Downloading or transmitting fraudulent, threatening, obscene, intimidating, defamatory, harassing, discriminatory, or otherwise unlawful messages or images

c. Installing or downloading computer software, programs, or executable files in violation of this and other applicable operating procedures

d. Uploading or downloading copyrighted materials or proprietary agency information in violation of this and other applicable operating procedures

e. Uploading or downloading access-restricted agency information in violation of this and other applicable operating procedures

f. Using another employee's DOC network account for any purpose

g. Posting information or sending email using another's identity, an assumed name, or anonymously

h. Forwarding of joke email, chain letters, personal photographs, etc.

i. Conducting DOC business with a personally owned external email address (e.g. Gmail, Yahoo)

j. DOC email addresses should only be used for DOC business, and not to be used as one's own personal email address (i.e. logging in to another company or business websites, signing up for personal items, shopping, or paying bills)

k. Picture avatars on Gmail should contain only a facial photograph that is of a professional nature and deemed business appropriate or an agency or department logo.

l. The use of language, words, or pictures that could be considered offensive to others

m. Permitting a non-user to use DOC resources for purposes of communicating the message of some third party individual or organization

n. Tampering with security controls configured on Commonwealth of Virginia (COV) workstations

o. Installing or using proprietary encryption hardware or software on COV systems

p. Installing personal software on a COV system

q. Adding system hardware to, removing system hardware from or modifying system hardware on a COV system

r. Connecting non-COV devices to a COV IT system or network, such as personal computers, laptop, PDA or other handheld device, USB (flash) drives, cell phones, and digital music players

s. Utilizing a DOC issued laptop device and/or DOC issued mobile phone as one's own personally owned device for personal business

t. Using proprietary agency information, state data records and social media to locate agency customers for personal reasons

u. Posting photos, videos, or audio recordings taken in the work environment without written consent

v. Using agency or organization logos without written consent

w. Texting, emailing, or using hand-held electronic devices while operating a state vehicle in violation of the *Office of Fleet Management Services Policies and Procedures Manual*

x. Streaming audio and video, as it not only slows down the network speed but it also clogs network traffic

y. Providing application data to individuals who do not otherwise have authorization or access to such information

z. Unacceptable, inappropriate, or unauthorized access, use, disclosure, alteration, manipulation, destruction or misuse of DOC data or information

aa. Any other activities designated as prohibited by the DOC

C. Password Security

1. All DOC password requirements are based on the minimum VITA Standards.
2. All users of DOC IT systems must be identified with a non-generic User ID and password or by other means that provide equal or greater security. All non-standard methods of access (e.g. biometric readers, retinal scanners etc.) shall be approved by VITA and CTSU Security before accessing any systems/network resources.
3. Employees must not share accounts or allow others access through their User ID unless approved by CTSU as a shared account.
4. All accounts will have a password.
5. Passwords must not be displayed on the screen as they are entered.
6. VITA/SAIC shall implement and maintain the Windows password policy on the Windows Systems once it has been set by CTSU Security.
7. Passwords must be implemented on mobile devices issued by DOC (iPhone, iPad, etc.) The password requirement is a minimum of 4 characters.
8. Windows passwords must be at least 8 characters and are case sensitive.
9. All users should choose passwords, with a combination of at least three of the following types of characters.
   a. Alpha Characters (a-z)
   b. Numeric Characters (0-9)
   c. Capitalized Characters (A-Z)
   d. Symbols and Punctuations (#!$%^&*)
   e. Examples of how to pick a strong password without making it too complex to remember
      i. Take two words like "two sticks" and capitalize some letters and substitute symbols and numbers.
      ii. two sticks = Tw0$t1cK$ This password has alpha characters, numeric characters, and punctuation or symbols so it meets the requirements.

Note: DO NOT USE THIS EXAMPLE AS YOUR PASSWORD! THIS IS ONLY AN EXAMPLE!

10. The password must NOT be related to the user's job or personal life or a word found in the dictionary as most common words can be easily 'cracked' by a password cracking tool.
11. The system will prompt users to change their passwords every 90 days. A password may not be reused that was used in the previous 24 changes.
12. After four unsuccessful attempts to enter a password, the User ID involved will be:
    a. Temporarily disabled
    b. Once a password is locked out, users must contact the VCCC to have the password unlocked
13. Anyone that installs any device or software on DOC systems will change all default passwords on all devices, service accounts, or software before it is used by DOC employees. This refers to all vendor default passwords on ALL devices or software packages. Passwords shall not appear as plain text in any scripts.
14. Passwords should not be written down or left in a place where unauthorized persons might discover them. (e.g. under keyboard, top drawer of desk, under mouse pad, taped to PC).
15. If any user suspects that their password may have been disclosed, they must immediately change the password or notify the ISO or CTSU Security.

D. Logging Off, Locking, and Rebooting Workstations

1. All workstations, when unattended even for short periods must be locked and password protected. The locking screen saver on all PCs has been set to take effect within 30 minutes if there is no activity on the workstation. Devices with access to sensitive systems or those devices in less physically secure environments must have a lower time-out interval documented and enforced, in accordance with *COV ITRM Standard SEC 501*.
2. When users have completed work for the day, they should put their workstation in stand-by mode. Shared workstations must either log off or reboot their workstations. Due to the need to patch software, update virus definitions, or perform other maintenance on PCs after hours, a complete shutdown is not required unless CTSU requests it.
3. All servers must be configured with the screen saver settings to take effect within 2 minutes and lock the server if there is no activity on the server.
4. Users should reboot their PCs at least weekly to ensure PC health and that security patches and updates that have been applied take effect.

E. Internet Services Usage

1. DOC Internet Sites and Visitor Privacy
    a. The DOC uses VIPNet to host state web sites. To function properly, some VIPNet applications create "cookies" containing information found on users' computers. The applications place those "cookies" on the computers and notify users of their creation.
    b. The DOC Public Internet site does not:
        i. Record personal information of visitors
        ii. Record movements of visitors through the site
        iii. Record dates and times of visits
        iv. Record Internet browser information
    c. DOC reserves the right to modify Internet privacy policy and procedures at any time and without prior notice.
2. Filtering, Monitoring, and Inspection
    a. The CTSU Security Office filters, monitors, and inspects activities and information related to the use of DOC Systems and Internet services to ensure these services are used only for acceptable, appropriate, and authorized purposes. CTSU Security blocks access to known pornographic,

gambling, and other unacceptable, inappropriate, and unauthorized web sites.

b. An employee is notified of any attempted visit to an inappropriate and unauthorized web site, whether intentional or not, by a warning message. The employee should notify his supervisor when he receives a warning message.

c. An employee must notify his supervisor and CTSU Security (via the CTSU Security Mailbox: (CTSUSecurity@vadoc.virginia.gov) if he gains access to a pornographic, gambling or other web site designated by the DOC as inappropriate and unauthorized, whether intentional or not.

d. Unacceptable, inappropriate, and unauthorized use of Internet services, electronic communications, Information Technology Systems, and devices will be investigated and acted on in accordance with Operating Procedure 135.1, *Standards of Conduct*.

e. If an employee has visited or attempted to visit one or more unauthorized web sites the following procedure will be followed:

i. CTSU Security will deliver a written report of the employee's activity to the employee's Organizational Unit Head.

ii. CTSU Security will deliver copies of the report to Human Resources, the Special Investigations Unit and the CIO.

iii. The Organizational Unit Head will give notice of the report to the employee, the employee's Supervisor, and to the Unit Head's supervisor (i.e. Chief of Corrections Operations, Deputy Director for Administration, Regional Operations Chief, or Regional Administrators).

iv. The Organizational Unit Head may request the employee's access to the Internet be suspended. Access may be reinstated only if requested by the Organizational Unit Head.

v. If a supervisor reasonably suspects that an employee has intentionally visited or attempted to visit one or more unauthorized web sites, the supervisor, through the Organizational Unit Head, will request CTSU Security to analyze the Internet activity of the employee.

3. Acceptable, Appropriate, and Authorized Usage

a. DOC Internet services support job functions, communications, information exchange, and collaborative work.

b. All Commonwealth of Virginia and DOC policies and procedures regarding conduct of personnel relevant to the use of Internet services apply to the use of those services.

c. DOC authorizes only legal and ethical use of Internet services.

d. DOC requires users of Internet services to respect copyrights, software licensing rules, property rights, and the privacy and prerogatives of others.

e. Utilization of USB (flash) drives must only include those that are encrypted, unless the use of an unencrypted drive is approved in writing by the Director or Chief of Corrections Operations, or Deputy Director.

i. When approved, the unencrypted drive will only be used on a stand-alone, free standing device. Under no circumstances will an unencrypted drive be connected to or used on any device connected to the DOC network.

ii. Facility staff must ensure that the drive is removed from the facility upon completion of the approved activity or purpose.

f. Use of Internet services is a privilege that can be revoked.

g. Specific acceptable, appropriate, and authorized usages of Internet services include, but are not limited to, activities supporting:

i. Job functions, communications, information exchange, and collaborative work directly related to the charter, mission, goals, and purposes of the DOC

ii. Applications for, and administration of, grants and contracts for DOC research projects or other programs

iii. Dissemination or distribution of laws, policies, procedures, rules, programs, services, activities, or other official information

iv. Administrative communications not requiring a high level of security
v. Employees' pursuit or maintenance of training, education, or certifications related to their job function and responsibilities
vi. Professional society activities related to employees' job responsibilities and activities
vii. Administrative communications and discussions related to employees' job responsibilities and activities

h. If a business need requires access to blocked content, access may be requested by the user's Organizational Unit Head via the CTSU Security Mailbox: (CTSUSecurity@vadoc.virginia.gov)

4. Unacceptable, Inappropriate, and Unauthorized Usage

a. DOC has no tolerance for employees, contractors, interns, and volunteers who use DOC Internet services and information technology (personal computers, networks, etc.) for unacceptable, inappropriate, and unauthorized purposes.

b. If the DOC determines that an employee, contractor, intern, or volunteer has visited or attempted to visit one or more pornographic, gambling, or other web sites designated by the DOC as unacceptable, inappropriate and unauthorized, the employee, contractor, intern, or volunteer shall be reported to their Organizational Unit Head for appropriate action under Operating Procedure 135.1, *Standards of Conduct*.

c. Specific unacceptable, inappropriate, and unauthorized usages of Internet services include, but are not limited to:

i. Violations of Federal or State laws or violations of State or DOC policies or procedures
ii. For-profit activities, excluding those directly related to the DOC's charter, mission, goals and purposes, or employees' job responsibilities and activities
iii. Private business, including commercial advertising
iv. Personal or other non-DOC related fund raising or public relations activities, excluding those approved by the Director or the Director's designee
v. Intentional modification of passwords, files, or other data belonging to another employee without prior approval from either the employee or their supervisor
vi. Creation, transmission, retrieval, or storage of material or messages of a libelous, defamatory, derogatory, inflammatory, discriminatory, or harassing nature, including, but not limited to, those relating to race, ethnicity, national origin, religion, political affiliation, sex, gender, and age, or physical, mental, and emotional disability
vii. Access, use or distribution of computer games that are unrelated to the DOC's mission, goals and purposes, or employees' job responsibilities and activities, but excluding computer games that teach, simulate, or illustrate DOC-related information and activities which are approved by management and then installed by an LSS
viii. Interference with information technology users, services, or equipment including, but not limited to, those usages developing or propagating malicious code, attempting unauthorized access to another employee's computer, distributing advertisements, or sending chain mail
ix. Using the network to gain unauthorized entry to another machine on the network
x. Storing of music files or personal photographs on the DOC network LAN
xi. Utilizing a personally owned external account (e.g. Gmail, Yahoo) to conduct official DOC business
xii. Allowing access to the Internet, DOC network, LAN, WAN or other network to any person who has not received access approval from the DOC
xiii. Placing obscene material on the DOC computer network, for use, access, or distribution of sexually explicit, indecent, or obscene material

5. Pornography

a. The use of DOC Internet services or any DOC Information Technology System for visiting pornographic web sites, or for accessing, storing, or distributing pornographic material, is prohibited.

b. CTSU will monitor DOC employees', contractors', interns', and volunteers' Internet access for hits and blocks on pornographic, gambling, and other inappropriate websites. CTSU Security will report violations of this operating procedure to the violator's Organizational Unit Head.

c. DOC employees, contractors, interns, and volunteers are strongly encouraged to review all Code of Virginia sections and United States Code sections related to information technology and access to pornographic materials.

d. The following laws, standards, and guidelines govern the use of Commonwealth of Virginia and DOC Information Technology, including Internet services, with respect to pornographic web sites and materials, and other unacceptable, inappropriate, and unauthorized web sites and materials, by Commonwealth and DOC employees, contractors, interns, and volunteers. Users of DOC Systems must adhere to these procedures, codes, and laws while using DOC Systems.

i. Operating Procedure 135.1, *Standards of Conduct*

ii. COV §18.2-374 states, in part, that possession, production, reproduction, publication, distribution, transportation, or sale of obscene items is unlawful.

iii. COV §18.2-372 Definition of Obscenity

iv. 18 United States Code §1465 states, in part, that interstate transportation or communication, via computer or other means, of obscene materials is unlawful. Any person found in violation of this code shall be fined or imprisoned, or both.

v. COV §2.2-2827, defines restrictions on state employees' access to any information infrastructure. DOC shall immediately furnish current employees with copies of this code section's provisions, and shall furnish all new employees copies of this section concurrent with authorizing them to use agency computers.

vi. COV §18.2-374.1:1 defines possession of child pornography and describes the legal penalty for such acts. All sexually explicit visual material which utilizes or has as a subject a person less than 18 years of age shall be subject to lawful seizure and forfeiture pursuant to §19.2-386.31.

F. Email Usage

1. The DOC email system and all email accounts and their associated messages and attached files, are the property of the Commonwealth of Virginia and should be used for appropriate business purposes.

   a. Appropriate use refers to job functions, job communications, information exchange and collaborative work directly related to the mission, goals and business of the DOC.

   b. Personal, non-work related or inappropriate comments, graphics, quotes, links, or other non-business related items are not permitted in official communications using email or other media.

2. Employees who are members of DOC affiliated associations are permitted to use the DOC email system for association purposes in order to communicate and share information with other members because it is in the best interest of the DOC to support the development and ongoing education of employees.

   a. Employees are prohibited from using the DOC email system, facilities, equipment, supplies, and work time to lobby for or against a political activity or political candidate on behalf of the association.

   b. Employee use of the DOC email system for association purposes must comply with applicable DOC operating procedures governing the use of state equipment and the requirements of this operating procedure.

   c. Employees who fail to comply with this operating procedure are subject to revocation of this privilege and are subject to disciplinary action in accordance with Operating Procedure 135.1, *Standards of Conduct*.

3. Back-up copies of email messages and attached files may be stored and referenced for operational and legal purposes. Contents of email messages and files may be disclosed without employees' permission to appropriate and authorized DOC personnel and to law enforcement officials.

4. The DOC email systems, and all email accounts and their associated messages and attached files are

subject to monitoring by CTSU Security to ensure adherence to all relevant DOC policies and procedures, Virginia codes and laws, and United States codes and laws. This monitoring can occur at any time without the user's consent or notification.

5. Email shall not be used to send sensitive data unless encryption is used. The transmission of email and attached data that is sensitive relative to confidentiality or integrity is required to be encrypted; however digital signatures may be utilized for data that is sensitive relative to integrity.
6. Email at DOC is subject to all the terms and conditions in the *Internet Services Usage* Section of this operating procedure.
7. Any user of the DOC network who receives an email message violating the *Internet Services Usage* requirements should report the incident to their immediate supervisor. The supervisor should then contact CTSU Security.
8. Posting information or sending electronic communications such as e-mail using another's identity is prohibited.
9. DOC email must not be forwarded to an external email address unless there is a documented business case provided to CTSU Security by the Organizational Unit Head.
10. Emails may often be used in legal or other administrative proceedings that were not anticipated when the message was sent.
    a. *Freedom of Information Act (FOIA)* requests, court subpoenas, or other unexpected situations can place an electronic message in front of someone that you did not anticipate.
    b. An electronic message is just as "official" as a letter typed on letterhead stationery and mailed to the recipient through the postal service.
    c. Personal or inappropriate comments, graphics, quotes, links, or other non-business related items cannot be included in official communications, electronic or otherwise.
11. Standard framework for electronic message "auto signatures"
    a. Users are authorized to give their name, job title, agency, address, phone numbers, and email address when creating messages and replying to others. For example:

       John Doe, Bureau Chief
       Virginia Department of Corrections
       P.O. Box 26963
       6900 Atmore Drive
       Richmond, Virginia 23261-6963
       Telephone 804-674-3000
       Fax 804-674-3001
       Email John.Doe@vadoc.virginia.gov

    b. At the discretion of the Organizational Unit Head a brief Organizational Unit statement or graphic may be included in employee "auto signatures".
       i. The statement or graphic must reflect the DOC Mission, Vision, Healing Environment Initiative, Dialogue and/ or Strategic Plan.
       ii. The Organizational Unit Head must submit the Organizational Unit's statement or graphic for review and approval to the appropriate Regional Operations Chief for facilities and P& P Offices.
       iii. Headquarters Units will submit their statement or graphic to the Chief of Corrections Operations, Deputy Director for Administration or Deputy Director for Programs, Education, and Re-entry as applicable for review and approval.
       iv. Users may choose to include the standard statement or graphic developed for the Organizational Unit; no other graphics, quotes, links, etc. are allowed in "auto signature". This does not include a simple graphic or personal comment used in a clearly personal message sent to a single user.

G. Virus Suppression

1. All DOC employees are required to exercise caution when opening files retrieved from the Internet or received via electronic mail.
2. Files that have been downloaded or received should be subject to the virus checking software provided by DOC before those files are opened or executed.
3. VITA/SAIC is responsible for supporting and maintaining the agency's anti-virus enterprise software and ensuring that current definitions and updates are pushed out to the network/system.
4. Each user will be responsible for contacting CTSU Security to provide assistance in correcting any damage to a PC/workstation if it becomes infected with a virus.
5. All PCs/workstations in use within DOC must have VITA/SAIC approved and supported virus suppression software, with the latest release, loaded and activated on their PC/Workstation.
6. DOC users are prohibited from intentionally developing, deploying, using, or experimenting with malicious programs, including but not limited to viruses, adware, worms, spyware, Trojans, and keystroke loggers.

H. Security Incident Reporting

1. An IT security incident refers to an adverse event in an information system, network, and/or workstation, or the threat of the occurrence of such an event.
   a. IT security incidents must be immediately reported to the ISO by emailing CTSUSecurity@vadoc.virginia.gov.
   b. If email is known or suspected to be compromised, report the incident through alternate channels that have not been compromised.
   c. In addition, the incident must be reported by telephone to the ISO or CIO.
2. The user should document and report details that may be of relevance including date, time, name(s), location(s), systems, networks, and other significant information. To preserve evidence, no action beyond immediate notification to CTSU Security should be taken by any individual without the express direction of the CTSU Security Office.
3. All IT security incidents should be reported to CTSU Security using the *IT Security Incident Report* 310_F6. All report information must be emailed to the CTSU Security Office (CTSUSecurity@vadoc.virginia.gov) and followed up by mailing a hard copy of the *IT Security Incident Report* to the following address:

   Corrections Technology Services Unit
   CTSU Security Group
   P.O. Box 26963
   Richmond, Virginia 23261-6963

4. The ISO must report IT Security incidents to Commonwealth Security and to the Information Systems Auditor in the DOC Internal Audit Unit within 24 hours of receiving notification.
5. The following are examples of IT security incidents:
   a. System impairment due to improper usage/denial of service
   b. Unauthorized access or repeated attempts at unauthorized access from either internal or external sources
   c. Virus attacks which adversely affect servers or workstations
   d. Theft, loss, or vandalism of DOC software or hardware
   e. Web site defacement
   f. Intrusion or intrusion attempts into unauthorized system or user accounts
   g. Unauthorized access, use, disclosure, alteration, manipulation, destruction, or other misuse of DOC data
   h. Circumvention of IT security controls, safeguards, or procedures

i. Inappropriate use of the Internet or electronic email as defined in this operating procedure

j. Connecting to or tampering with another user's PC without written authorization

k. Installing hardware or software that has not been approved by CTSU

l. Accessing or attempting to access, copy, read, or manipulate data in any way that is not owned by the person attempting access, directly related to their job description, or for which the person attempting access has no legitimate right or need to access the information

m. Unauthorized release of unencrypted sensitive information (data breach) that is not otherwise obtainable from publicly available resources, or from Federal, State, or Local government records lawfully made available to the general public. This information includes first name (or initial) and last name in combination with and linked to any one or more of the following data elements *that relate to a resident of the Commonwealth*, when the data elements are neither encrypted nor redacted:

i. Social security number (at least 5 digits);

ii. Driver's license number or state identification number (at least 4 digits); or

iii. Financial account number, or credit card or debit card number, in combination with any required security code, access code, or password that would permit access to a resident's financial accounts

iv. Any information regarding an individual's medical or mental health history, mental or physical condition, or medical treatment or diagnosis by a health care professional

6. If after CTSU Security investigates the reported security incident and determines that the incident needs further investigation, CTSU Security should notify the Special Investigations Unit to perform a more thorough investigation of the incident.

I. Criminal History Information, Procedure, and Responsibilities (VCIN)

1. Criminal history information requested by someone other than the authorized VCIN operator will be personally presented to the requester or sent in a sealed envelope marked "CONFIDENTIAL"

2. A criminal history record shall not be given to non-criminal justice agencies and shall not be disseminated by radio or telephone except in an urgent or emergency situation, or for purposes of staff safety.

3. A record of all criminal history requests will be maintained in a *Criminal History Request Log* as specified in the VCIN manual.

4. When criminal history records have served the purpose for which they are intended, they shall be destroyed by burning or shredding.

5. There will be no unauthorized access or dissemination of any information obtained from VCIN. Violations will be handled in accordance with the Code of Virginia and Operating Procedure 135.1, *Standards of Conduct.*

J. Telephone Usage

1. Personal Calls

a. Local personal calls which have to be made during working hours may be made from DOC telephones, but their number and duration shall be kept to a minimum.

b. Long distance personal calls shall not be made from DOC telephones unless charges are reversed or charged to the employee's personal telephone number or personal credit card account.

2. Employees shall not access 900 numbers or any other number for personal use which constitutes a charge to the Commonwealth.

3. Organizational Unit Heads will be responsible for monitoring usage of DOC telephones and reviewing any billing statements to detect inappropriate usage.

K. Storage of Photographs

1. Offender photographs and photographs of employee or offender special events and activities including but not limited to volunteer banquets, celebrations, ceremonies, etc. may be temporarily stored on the DOC network.
   a. Offender photographs taken during visitation should be stored on the network for a maximum period of 6 months.
   b. Offender photographs taken as a part of a facilities picture project and photographs of employee or offender special events and activities may be stored on the network for a maximum period of 90 days.
   c. Photographs that are still needed after the authorized time period has elapsed must be removed from the DOC network and saved to an off line storage device such as a flash drive, CD/DVD or other portable storage device authorized by this operating procedure.
2. Offender photographs that are uploaded in VACORIS shall not be stored on the network.
3. Photographs used as evidence are subject to the requirements of Operating Procedure 030.1, *Evidence Collection and Preservation*. Access to a facility's designated digital storage folder will be assigned through CTSU Security.
4. CTSU Security will monitor the storage of photographs on the network and may remove unauthorized content with notification to the Organizational Unit.
   a. Each month, employees should review their W Drive and DOC email account and remove any items no longer needed.
   b. CTSU Security performs routine scans on all drives and will notify the Organizational Unit Head of any employee that has documents or photographs that should not be stored on the DOC network.

VII. INFORMATION TECHNOLOGY SYSTEM MANAGEMENT

A. Software Authorization

1. Special technical software and hardware specifications for special units within DOC shall be maintained with those unit's inventories and auditing documentation. No Information Technology Initiative shall commence without prior written notification and approval of the CIO of CTSU.
   a. The CIO will make appropriate CTSU staff assignments (if needed) within two weeks of receipt of the request.
   b. No software for use by more than one user shall be bought, downloaded, developed, programmed, or installed on the DOC network without express written approval from the CIO.
      i. The CIO must approve software use that falls outside of the DOC standard configuration. A written request to the CIO must be sent through the requesting employee's supervisor.
      ii. Requests for software to be installed must be submitted to CTSU Security. If not obvious, an explanation of the use for the software is required. Proof of license is also required.
2. Sensitive data shall not be used or stored in non-production environments (i.e., a development or test environment must have security controls equivalent to the production environment.)
3. VITA/SAIC and CTSU Security reserve the right to refuse all software that it considers to be Malware or hacking tools. Any request that is accepted or rejected will be forwarded to CTSU Security (CTSUSecurity@vadoc.virginia.gov) for follow up with the requestor.
4. DOC is a member of the Microsoft Select and Enterprise Agreement. Membership in this agreement allows DOC to acquire Microsoft Licensing for operating systems and office automation products. Procedures located on DOCNET shall be followed when users wish to obtain, procure, and use the products. A hard copy of this operating procedure may be requested through email to the CTSU Fiscal Administration and Security group.
5. Employees and contractors shall NOT allow offenders access (supervised or unsupervised) to software applications that are not stand-alone. (see Operating Procedure 310.3, *Offender Access to Information Technology*)

a. Workstations in facilities accessible by offenders must be located in offices or enclosed areas which can be locked and secured.
b. Offenders shall not have direct, unsupervised access to output and storage peripherals such as printers, scanners, DVD burners, and copy machines unless to perform specific educational or job tasks.
c. Offenders must be under constant sight supervision of DOC staff when performing such tasks. At a workstation in a controlled area with locked doors (such as VCE shops or CTE classrooms) offender use of information technology equipment is allowed under the general supervision of a trained employee.
d. DOC staff should inspect printed or copied items to guard against misuse of DOC resources.
e. Any exception must be unequivocally approved by the CIO and Chief of Corrections Operations.

6. All standalone workstations that have been formerly used by offenders must be reformatted and their operating systems and software reinstalled by contacting CTSU Security prior to attaching the workstation on the DOC network.
7. Users who have to access both their PC and offender standalone workstations must write-protect any data storage media exchanged between networked and offender used machines to avoid infestation of their media with possible viruses or malware.
8. All files on floppy disks, CD's, flash drives, and tapes must be scanned with anti-virus software prior to writing data to their PC or network if they have been used on offender PCs or have been used outside of the DOC.
9. The installation of software products that the software publisher has designated as end-of-life (i.e. the software publisher no longer provides security patches for the product) is prohibited.
10. Employees and contractors shall NOT allow unauthorized individuals access to DOC equipment or DOC software applications used for official purposes.
11. VITA/SAIC is responsible for all security patches, hot fixes, and updates for software on DOC IT Systems. Unless otherwise authorized, users are not permitted to download and apply updates to any software.
12. DOC users are encouraged to save data to their W drive (network share) rather than their computer hard drive (C:\) due to the fact that computers could potentially crash or become infected and a user may lose data.

B. Hardware Authorization

1. No Information Technology hardware shall be installed, used on, or connected to DOC IT Systems by non-CTSU staff without prior knowledge or approval from VITA/SAIC and CTSU Security. Examples include but are not limited to routers, switches, hubs, servers, workstations, wireless IT equipment, PDAs, removable drives and storage, printers, or any other Information Technology device or peripheral.
2. Requests for hardware to be connected to the network should be sent to the VCCC.
3. New and replacement DOC workstations/PCs are leased from the Virginia Information Technologies Agency (VITA). Current specifications and prices can be obtained from the VITA web site. Workstations that require reloading or configuring will be returned to the approved image when purchased or otherwise noted by VITA/SAIC.
4. Only DOC approved mobile data storage devices may be used on, or connected to DOC IT Systems. USB devices (e.g. flash drives) utilized within DOC must be encrypted.
5. Vendors, contractors, or any other non-DOC personnel who need to connect IT hardware to the DOC Systems must have written approval of CTSU Security and be provided a copy of this operating procedure. Any IT hardware attached to DOC IT Systems will be subject to this operating procedure.

6. All hardware systems connected to the DOC Network must utilize appropriate virus protection software and maintain up-to-date virus definitions and will be subject to security scans and should have no expectation of privacy.
7. All IT hardware connected to DOC IT Systems should be up to date with all applicable hot fixes and or security patches.
8. Any vendors, contractors, or non-DOC personnel that do not meet this requirement or do not agree to this operating procedure should not connect any devices to the DOC Systems or Network.
9. Donated technology (i.e. computers, software, peripherals etc.) may not be accepted, installed or used by DOC staff and offenders without prior written approval by the Chief Technology Officer or Deputy Director for Administration.

C. Wireless Equipment Security

1. Wireless IT equipment has unique security risks and should not be employed within DOC without the written consent of CTSU Security, CTSU Operations, and the VITA/SAIC teams. Requests for wireless equipment should be sent to either DOC Voice or IT Requests, depending on the nature of the request.
2. Any wireless IT equipment deployed within DOC will be evaluated on a case-by-case basis and may have different requirements based on its requested location and use. CISCO is the standardized wireless equipment utilized within the DOC.
3. Wireless IT equipment is subject to monitoring and scanning by CTSU Security at any time without notification or consent and is subject to all aspects of the *Internet Services Usage* and *Hardware Authorization* sections of this operating procedure.
4. All wireless equipment attached to COV DOC IT systems must run 128 bit or greater encryption and be able to successfully pass a wireless security scan by CTSU Security.
5. DOC workstations may be connected to trusted wireless networks, which are those networks utilizing a secure encryption protocol such as WPA (WEP is not considered secure), and those managed by another COV agency. DOC workstations may NOT be connected to untrusted wireless networks.
6. DOC devices remotely connecting to the WLAN must utilize two factor authentication.
7. Unauthenticated Internet access is not permitted on DOCs WLAN.
8. Wireless access points (AP) are limited to authorized domain users with properly configured wireless clients.
   a. A Wireless Guest Network has been established for the purpose of providing controlled access to the Internet for users without a Commonwealth of Virginia network account.
   b. Each facility designates a Wireless Guest Network administrator(s).
   c. Wireless Guest Network privileges will not be assigned to mobile devices (iPhones, iPads, etc.).
   d. Wireless Guest Network accounts must not be shared.
   e. Wireless Guest Network accounts will not be utilized for student or training environments.
   f. Wireless Guest Network accounts should only be granted for the time period required in order to conduct official DOC business. If an extended time period is required, an exception from CTSU Security should be requested.
9. Only COV owned or leased equipment shall be granted access to an internal WLAN.
10. Physical or logical separation between the WLAN and wired LAN segments must exist.

D. Encryption and Data Security

1. Encryption adds an additional layer of security and it be used whenever possible to protect sensitive or confidential data.
2. All internal IT communications should be encrypted whenever possible.

3. All external IT communications transmitted via email should be considered sensitive. Users are reminded to consider data that should not be shared externally prior to transmitting.
4. Any new processes, protocols, or applications that pass credentials in clear text cannot be used internally and MUST NOT be used externally. (examples - FTP, TELNET) Existing processes using these technologies must be remedied as soon as possible.
5. All encryption should be 128 bit or greater.
6. Sensitive documents printed to a globally shared printer should be retrieved immediately.
7. When no longer needed, shred documents and erase white or blackboards of sensitive data.
8. Electronic records should be retained in accordance with the retention requirements of the Library of Virginia.
9. Password protecting a user's network home share (W drive) or email (PST) files is not authorized without prior approval from the ISO.

E. Security Awareness Training

1. The Commonwealth of Virginia (COV) Information Technology Resource Management (ITRM) Standard SEC501requires that all state agencies establish and maintain an IT security awareness program to ensure that all individuals are aware of their security responsibilities and know how to fulfill them.
2. It is the responsibility of the Organizational Unit Heads to ensure all employees assigned a DOC IT Systems account participate in the IT Security Awareness Training (SAT) annually. (4-4101)
3. All new staff should take IT Security Awareness Training within 30 days of receiving access to DOC IT Systems.
4. If extenuating circumstances such as extended annual leave, extended sick leave, short-term disability, military leave, etc. prevent a user from meeting a required due date, the user must complete IT Security Awareness Training within 30 days of their return to work.
5. Staff taking the IT Security Awareness Training MUST utilize their DOC Windows account; failure to logon using the correct account will result in not receiving credit for the training.
6. Staff, excluding those on extended leave, failing to complete the training will be in violation of Operating Procedure 135.1, *Standards of Conduct*, and may be subject to disciplinary action.
7. Staff taking IT Security Awareness Training are required to read the *DOC Information Security Agreement* contained in the training.
   a. By completing the training, the user acknowledges that he or she agrees with all stipulations in the *Security Agreement* and will abide by the agreement.
   b. Failure to abide by the agreement will be a violation of Operating Procedure 135.1, *Standards of Conduct*, and the user may be subject to disciplinary action and will result in non-completion of training.

F. Removal of Data from Hardware (including copiers), Data Storage Devices, and Media - Prior to its being surplused, transferred, traded-in, disposed of, or replaced, Department of Corrections data shall be removed from all electronic media resources in accordance with *Removal of Commonwealth Data from Electronic Media (SEC514)*

VIII. REFERENCES

18 USC §1465, *Crimes and Criminal Procedure*

COV ITRM Standard SEC501, *IT Information Security Standard* (SEC501)

COV ITRM Standard SEC514, *Removal of Commonwealth Data from Electronic Media* (SEC514)

DHRM Policy 1.75 *Use of Internet and Electronic Communications Systems*

Operating Procedure 030.1, *Evidence Collection and Preservation*

Operating Procedure 102.3, *Background Investigation Program*

Operating Procedure 135.1, *Standards of Conduct*

Operating Procedure 310.3, *Offender Access to Information Technology*

Office of Fleet Management Services Policies and Procedures Manual

IX. FORM CITATIONS

Windows Admin/System Security Agreement 310_F1

Windows User Account Request 310_F2

Windows User Information Security Agreement 310_F3

Windows Admin/System Account Request 310_F4

IT Security Incident Report 310_F6

X. REVIEW DATE

The office of primary responsibility shall review this operating procedure annually and re-write it no later than three years after the effective date.

Signature Copy on File *8/24/17*

N.H. Scott, Deputy Director for Administration Date