

**Management Information Systems and Risk Assessment
Program Year (PY) 2021-2022**

LWDB Name and Number: _____

Dates of Review: _____

Review Period: _____

LWDB Staff Completing the Tool: _____

Authority: Grantee - Subgrantee Agreement; Chapter 74-2, F.A.C.; Section 435.03, F.S.; DEO IT Policy Numbers 1.08, 5.01, 05.10, 6.01, and 6.02; Universal Security Officer's Guide.

MANAGEMENT INFORMATION SYSTEMS (MIS) AND SECURITY PROTOCOLS	YES	NO	COMMENTS
1. Does the LWDB have a policy, procedure or business process in place related to MIS user account information?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes to #1, provide copy of written guidelines or indicate where this can be found. If no, how does the LWDB manage user account information?	<input type="checkbox"/>	<input type="checkbox"/>	
2. Do written guidelines specifically address information security protocols for MIS access for new/current employees? If no, how is this done?	<input type="checkbox"/>	<input type="checkbox"/>	
3. Do written guidelines cover procedures for revoking access permissions for employees who are terminated or are no longer employed by the LWDB? If no, how is this done?	<input type="checkbox"/>	<input type="checkbox"/>	
4. Does the LWDB conduct semi-annual information system access reviews?	<input type="checkbox"/>	<input type="checkbox"/>	
5. If yes to #4, are the results provided to the DEO Internal Security Unit (ISU)?	<input type="checkbox"/>	<input type="checkbox"/>	
6. Is the LWDB security officer notified in a timely manner whenever a person needs access or their access needs to be revoked? Explain how this is done or provide copy of written procedures.	<input type="checkbox"/>	<input type="checkbox"/>	
7. Are signed Individual Non-Disclosure and Confidentiality Certification forms for all staff (including contract and/or service provider staff who have access to system and other confidential information) collected and maintained by the LWDB?	<input type="checkbox"/>	<input type="checkbox"/>	
If no to #7, please explain the process for safeguarding information? If yes, please provide copies of procedures or indicate where this can be found.	<input type="checkbox"/>	<input type="checkbox"/>	
8. Does the LWDB conduct or require Level - 2 FDLE background screenings as a condition of employment or contract award for all board, contract and service provider staff with access to, and the ability to change or destroy confidential information including data stored in the MIS?	<input type="checkbox"/>	<input type="checkbox"/>	
If yes to #8, does the policy or procedure indicate rescreening will occur every five years of consecutive employment? Please provide copy of procedures or indicate where this can be found.	<input type="checkbox"/>	<input type="checkbox"/>	

<p>9. Does the LWDB conduct initial security training, annual security refresher training and ongoing security awareness training for all staff with access to confidential data? If yes, please provide a copy of the agenda and date of the last training or a copy of the procedures explaining this process. If no procedure, please explain how the training is done.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>10. Does the LWDB maintain an up-to-date and accurate list of all current and former MIS users (LWDB and contract staff) and user account information? Please provide lists and the systems they have/had access to.</p>	<input type="checkbox"/>	<input type="checkbox"/>	

RISK AND LIABILITY

RISK AND LIABILITY ISSUES	YES	NO	COMMENTS
<p>1. Does the LWDB have a risk mitigation strategy in place that would be activated during emergencies or other situations that may disrupt normal operations?</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>2. If yes to #1, does it include a continuity of operations plan, a disaster recovery plan and an organization risk analysis? Please provide a copy of the plan or indicate where this can be found.</p>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>3. Does the LWDB have any unresolved issues because of the most recent DEO Office of Inspector General Information Security Audit Final Report? If yes, please explain or provide a copy of the LWDB's most recent corrective action plan (CAP) response to the Information Security Audit.</p>	<input type="checkbox"/>	<input type="checkbox"/>	