Technology Program

Line of Business: General Liability

Risk Control Strategy/Key Issues: To establish, document and maintain an updated technology program.

Suggested Program Elements:

1. **Program Statement**
   - Confidentiality and information security procedures
   - Acquisition and use of software, prevention of computer viruses and the avoidance of copyright infringement
   - Protection of notebooks, laptops, and other portable computing devices and the information contained on this equipment.
   - Electronic mail, voice mail, phone cards
   - Use of the internet and intranet
   - Issues unique to employees who work from home

2. **Confidentiality**
   - Employment information
   - Entity information
   - Financial and legal information
   - Miscellaneous confidential information
   - Entity, customer and vendor information

3. **Security**
   - Passwords
   - Password accountability (secure)

4. **Software Procedure**
   - Acquisition of software (purchasing/loading)
   - Authorized software (entity approval)
   - Installation
   - Upgrade, new releases
   - License agreements
   - Home computer software

5. **Portable Computer Procedure**
   - Permitted use (authorized uses, users)
   - Security (equipment, data)
   - Responsibility for loss or damage
   - Ownership of data
   - Care and maintenance
   - Return of equipment and software

6. **E-mail, Voice-mail, Calling Card Procedure**

   - Electronic mail
   - E-mail security (confidential information, encryption)
   - Monitoring of E-mail, voicemail
   - Recordkeeping
   - E-mail with Attorneys (sensitive material, encryption)
   - Guidelines for use of e-mail
   - Use of calling cards (security, uses)

7. **Internet Procedure**

   - Security
   - Authorized users
   - Encryption
   - Downloading information
   - Software
   - Copyright
   - Viruses
   - Representing your entity
   - Defamation, Harassment, and Libel

8. **Home Computer Users**

   - Security and confidentiality
   - Recordkeeping
   - Removing software and data upon termination
   - Acknowledgment and consent

Program Activities Calendar:

1. Annual review of program procedures.
2. Annual audits

Web Site Links:

- National Institute of Standards and Technology
  http://csrc.nist.gov/

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Sample Technology Program Checklist

ITEMS TO BE REVIEWED	YES	NO
Policy Statement	____	____
Confidentiality & information security procedures	____	____
Acquisition and use of software procedure	____	____
Prevention of computer viruses procedure	____	____
Avoidance of copyright infringement procedure	____	____
Protection of computer devices-information contained on this equipment	____	____
Policy on electronic mail, voice mail, phone calling cards	____	____
Policy on use of internet and intranet	____	____
Policy for employees who work from home	____	____
Confidentiality Policy Statement	____	____
Employment information	____	____
Entity information	____	____
Financial & legal information	____	____
Misc. confidential information	____	____
Entity, customer and vendor	____	____
Security Policy	____	____
Passwords	____	____
Password Accountability	____	____
Software Procedure	____	____
Acquisition of software	____	____
Purchasing	____	____
Authorized software	____	____
Installation	____	____
Upgrade, new releases	____	____
License agreements	____	____
Home computer software	____	____
Portable Computer Procedure	____	____
Permitted use	____	____
Authorized Users	____	____
Software	____	____

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ITEMS TO BE REVIEWED	YES	NO
Care and maintenance	____	____
Return of equipment	____	____
Loss or damage	____	____
Ownership of data	____	____
Backups	____	____
E-mail, Voice-mail, Calling card Procedure	____	____
E-mail security	____	____
Monitoring E-mail	____	____
Record keeping	____	____
Guidelines for E-mail	____	____
Voice mail monitoring	____	____
Use of calling cards	____	____
Internet Procedure	____	____
Monitoring internet	____	____
Personal use of internet	____	____
Encryption	____	____
Downloading information	____	____
Copyright	____	____
Viruses	____	____
Copyright, trademark, patent	____	____
Standards of Conduct	____	____
Fee based services	____	____
Uploading data or software	____	____
Representing your entity	____	____
Defamation, Harassment, Libel	____	____
Home Computer Users Procedure	____	____
Security and confidentiality	____	____
Recordkeeping	____	____
Removal of entity software and data upon termination	____	____

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Suggested Technology Agreement Components

1. **Statement of your Organization's Objective:**
   - Internet and E-mail access has been provided to facilitate efficiency in communications and research between internal departments as well as external customers/vendors.
   - Misuse/abuse of this access can expose the organization to new liabilities.
   - Guidelines, to which all employees must adhere, have been established for the appropriate use of internet and E-mail systems services.
   - Internet and E-mail systems are the property of the organization and their intended use is for official organization business only.
   - Utilization of the internet and E-mail systems for unlawful endeavors is in violation of this agreement.

2. **Statement of Employer's Rights:**
   - The organization should indicate that it reserves and intends to exercise the right to access and disclose the contents of E-mail messages.
   - Reasons for access and disclosure of E-mail messages may include, but are not limited to:
     - ✓ Providing assistance to others when employees are on vacation or otherwise unavailable
     - ✓ Investigation of suspected security breeches or violation of organization policies/agreements
     - ✓ Compliance with an investigation into suspected criminal acts
     - ✓ Recovery from a system failure or other emergency
     - ✓ Locating lost E-mail messages
     - ✓ Conducting system performance evaluations

3. **Employee Responsibilities/Guidelines:**
   - Upon receipt of internet access or an E-mail account, users should be charged with the responsibility of adherence to your organization's guidelines for appropriate use. These guidelines may include, but are not limited to:
     - ✓ The E-mail system is to be used in a professional manner.
     - ✓ Do not send threatening, insulting, obscene, derogatory or abusive E-mails.
     - ✓ Do not send messages or comments that could be interpreted as Sexual Harassment.
     - ✓ Do not send chain letters.
     - ✓ Do not send E-mails that involve either external for-profit or not-for-profit solicitations.
     - ✓ Do not send E-mails that involve personal sales or solicitations.
     - ✓ Email accounts should be properly maintained and cleaned out monthly.
     - ✓ Do not share passwords with co-workers.
     - ✓ Internet access is not to be used for the propagation of computer viruses.
     - ✓ Internet access is not to be used for personal recreation.
     - ✓ Do not participate in non-business "Chat Groups".
     - ✓ Do not leave computers that are logged-on to internet or E-mail accounts unattended for long periods of time.
     - ✓ Log out of all accounts and power down workstations at the end of every workday.
     - ✓ Internet access may be subject to filtering and monitoring.
     - ✓ Due to a lack of information consistency, beware of internet data, as it is subject to inaccuracies.

4. Reporting System for Security Violations:

- Immediately report any suspected unauthorized use of the internet and/or E-mail system.
- Recipients of this type of report may include, but is not limited to:
  - ✓ Your agency/department head
  - ✓ Your organization's Human Resources Department
  - ✓ Your organization's IS Director
  - ✓ The sender's (customer) Human Resource Department

5. Compliance:

- Users of your organization's internet and/or E-mail systems should be informed of the potential disciplinary actions that may be taken against them for violating this agreement. Actions should include, but are not limited to:
  - ✓ Verbal/Written Warnings
  - ✓ Termination of internet and/or E-mail access
  - ✓ Termination of Employment