



220 - Personnel Security Standard

Purpose

The Personnel Security standard provides documentation of the requirements to achieve compliance with the Personnel Security Policy and other applicable policies, procedures, and/or standards. This standard is applicable to all Executive Branch Agency employees, interns, contractors, and/or vendors with access to State IT systems and system environments.

Standard

This standard uses the NIST SP 800-53 Rev. 5 framework as the guideline to establish control objectives to address a diverse set of security and privacy requirements. Not all controls within NIST SP 800-53 Rev. 5 may be selected for the Statewide baseline policies and standards. Agencies must categorize their data and identify the potential impact (high, moderate, or low), and select controls appropriately. This standard uses Table 3-1 in NIST SP 800-53B for the allocated impact levels (high, moderate, low) of controls and control enhancements. At a minimum, all low controls are selected, and certain moderate controls are selected. Agencies are to reflect their controls through the annual reporting process to DOA-DET.

Executive Branch Agencies are to develop policies, procedures, or processes for their own State information systems and system environments to protect State information, if applicable. Implementation of the standard controls within this document can be (1) a common (inheritable) control, (2) a system-specific control, or (3) a hybrid control. The control implementation defines the scope of applicability for the control, the shared nature or inheritability of the control, and the responsibility for control development, implementation, assessment, and authorization. Agencies should consider the following for inclusion in their policies, procedures, or processes:

Position Risk Designation (PS-2):

- Follow Agency policies, procedures, and policies for assigning risk (or classification) and hiring employees, interns, and contractors.

Personnel Screening (PS-3):

- All State employees, interns, and contractors must have personnel (citizen/residency reference checks) and security (background checks) screenings prior to employment.
- Individuals who work at consolidated datacenters must have an FBI fingerprint background check initiated prior to accessing areas with sensitive or confidential areas.
- Security background checks are required at a minimum of every 5 years.

Personnel Termination (PS-4):

- Where appropriate, agencies are to include the following in policies, procedures, and processes:
 - Disable system access within an Agency-defined time period.



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- Terminate or revoke any authenticators or credentials with the individuals.
- Conduct exit interviews when applicable.
- Retrieve all security-related organizational system-related property.
- Retain access to agency information and systems formerly controlled by the terminated individual.

Personnel Transfer (PS-5):

- Reviewing and confirming ongoing operational need for current logical and physical access authorizations to systems and facilities when individuals are reassigned or transferred to other positions within the agency or transferring to other Executive Branch agencies.
- Initiating Agency-defined transfer or reassignment actions within an Agency-defined period of time following the formal transfer.
- Modifying access authorizations as needed to correspond with any changes in operational needs due to reassignment or transfer.
- Notifying agency personnel or roles within the Agency-defined time period.

Access Agreements (PS-6):

- Developing and documenting access agreements.
- Reviewing and updating access agreements annually.
- Verify that individuals requiring access to agency or statewide information and systems:
 - Sign the appropriate access agreements prior to being granted access.
 - Re-sign the access agreement to maintain access to agency or statewide systems when agreements have been updated or required by an Agency-defined frequency.

External Personnel Security (PS-7):

This applies to datacenters outside of the State controlled datacenters.

- Establishing personnel security requirements, including security roles and responsibilities for external providers.
- Requiring external providers to comply with personnel security policies and procedures established by the agency.
- Documenting personnel security requirements.
- Require external providers to notify agency personnel or roles of any personnel transfers or terminations of external personnel who possess State information (including credentials/badges) or who have system privileges within an Agency-defined time period.
- Monitor provider compliance with personnel security requirements.

Personnel Sanctions (PS-8):

- Follow Agency Human Resource policies, procedures, and processes for employee sanctions.

Definitions

Executive Branch Agency - State of Wisconsin legislatively defined Departments and all customers of DET services, equipment, and/or technologies.



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State information - Any information that is created, accessed, used, stored, or transmitted by an Executive Branch Agency.

State information systems and system environments - All equipment or services used to input, store, process, transmit, and output information, including, but not limited to: network devices, servers, databases, printers, Internet, email, physical, virtual, cloud, and applications accessible to and/or managed by the agency.

Exception Process

Exceptions to any Executive Branch Agencies Security Policies, Procedures or Standards must follow the Executive Branch Agencies Exception Procedure.

Document History/Owner

This standard was developed as required by the State of Wisconsin Information Technology Security Policy Handbook, under the authority of Wisconsin State Statute 16.971.

This standard is effective upon approval and publication until retired. Revisions and updates continue the effective date by documenting required changes over time.

Ownership for this standard is assigned to DOA, DET Bureau of Security. As such, the DOA, DET Bureau of Security is responsible for the maintenance, update(s), and review of this document annually before the anniversary of the effective date.



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Table with 5 columns: Version #, Revision or Review Date, Description of Change(s), Reviewer/Author, Date Approved. It contains 4 rows of revision history and a final note row.

Authorized and Approved by:

Alan Greenberg, CISO

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