

<b>ARIZONA STATEWIDE INFORMATION SECURITY</b>	<b>ADOA POLICY</b>	 <b>State of Arizona</b>
---	------------------------	---

## ADOA POLICY 8260: PHYSICAL SECURITY PROTECTIONS

DOCUMENT NUMBER:	P8260
EFFECTIVE DATE:	JULY 1, 2015
REVISION:	1.1

### 1. AUTHORITY

---

To effectuate the mission and purposes of the Arizona Department of Administration (ADOA), the Agency shall establish a coordinated plan and program for information technology (IT) implemented and maintained through policies, standards and procedures as authorized by Arizona Revised Statutes (A.R.S.)§ 41-3504 and § 41-3507.

### 2. PURPOSE

---

The purpose of this policy is to protect state information systems and assets through limiting and controlling physical access and implementing controls to protect the environment in which state information systems and assets are housed.

### 3. SCOPE

---

- 3.1 Application to ADOA BUdget Units (ADOA BUs)** - This policy shall apply to all ADOA BUs as defined in A.R.S. § 41-3501(1).
- 3.2 Application to Systems** - This policy shall apply to all state information systems:
1. **(P)** Policy statements preceded by “(P)” are required for state information systems categorized as Protected.
  2. **(P-PCI)**Policy statements preceded by “(P-PCI)” are required for state information systems with payment card industry data (e.g., cardholder data).
  3. **(P-PHI)** Policy statements preceded by “(P-PHI)” are required for state information systems with protected healthcare information..
  4. **(P-FTI)** Policy statements preceded by “(P-FTI)” are required for state information systems with federal taxpayer information.
- 3.3** Information owned or under the control of the United States Government shall comply with the Federal classification authority and Federal protection requirements.

## **4. EXCEPTIONS**

---

**4.1** PSPs may be expanded or exceptions may be taken by following the Statewide Exception Procedure.

**4.1.1** Existing IT Products and Services

- a. ADOA BU subject matter experts (SMEs) should inquire with the vendor and the state or agency procurement office to ascertain if the contract provides for additional products or services to attain compliance with PSPs prior to submitting a request for an exception in accordance with the Statewide Policy Exception Procedure.

**4.1.2** IT Products and Services Procurement

- a. Prior to selecting and procuring information technology products and services, ADOA BU SMEs shall consider ADOA and Statewide IT PSPs when specifying, scoping, and evaluating solutions to meet current and planned requirements.

## **5. ROLES AND RESPONSIBILITIES**

---

**5.1** State Chief Information Officer (CIO) shall:

- a. Be ultimately responsible for the correct and thorough completion of Statewide Information Technology (IT) Policies, Standards and Procedures (PSPs) throughout all state ADOA BUs.

**5.2** State Chief Information Security Officer (CISO) shall:

- a. Advise the State CIO on the completeness and adequacy of the ADOA BU activities and documentation provided to ensure compliance with Statewide Information Technology PSPs throughout all state ADOA BUs;
- b. Review and approve ADOA BU security and privacy PSPs and requested exceptions from the statewide security and privacy PSPs; and
- c. Identify and convey to the State CIO the risk to state information systems and data based on current implementation of security controls and mitigation options to improve security.

**5.3** ADOA BU Director shall:

- a. Be responsible for the correct and thorough completion of Information Technology PSPs within the ADOA BU;

- b. Ensure ADOA BU compliance with Physical Security Controls Policy; and
- c. Promote efforts within the ADOA BU to establish and maintain effective use of state information systems and assets.

**5.4** ADOA BU CIO shall:

- a. Work with the ADOA BU Director to ensure the correct and thorough completion of Statewide Information Technology PSPs within the ADOA BU; and
- b. Ensure Physical Security Controls Policy is periodically reviewed and updated to reflect changes in requirements.

**5.5** ADOA BU Information Security Officer (ISO) shall:

- a. Advise the ADOA BU CIO on the completeness and adequacy of the ADOA BU activities and documentation provided to ensure compliance with Statewide Information Technology PSPs;
- b. Ensure the development and implementation of an adequate controls enforcing the Physical Security Controls Policy for the ADOA BU; and
- c. Ensure all personnel understand their responsibilities with respect to the physical protection of state information systems and assets.

**5.6** Supervisors of state employees and contractors shall:

- a. Ensure users are appropriately trained and educated on Physical Security Controls Policies; and
- b. Monitor employee activities to ensure compliance.

**5.7** Users of state information systems shall:

- a. Familiarize themselves with this policy and related PSPs; and
- b. Adhere to PSPs regarding the physical protection of state information systems and assets.

## **6. ADOA POLICY**

---

**6.1 Physical Access Authorizations** - The ADOA BU shall: [NIST 800-53 PE-2] [IRS Pub 1075] [HIPAA 164.310 (a)(2)(iii)]

- a. Develop and maintain a list of individuals with authorized access to controlled areas or facilities where the state information system resides;

- b. Issue authorization credentials;
- c. Review and approve the access list and authorization credentials quarterly;  
and
- d. Remove individuals from the access list when access is no longer required.

**6.2 Standard Physical Access Control** - The ADOA BU shall: [NIST 800-53 PE-3] [IRS Pub 1075] [AAC 2-10] [HIPAA 164.310(a)(1), (a)(2)(ii)]

- a. Enforce physical access authorization at designated entry/exit points to the facility where the state information system resides; [PCI 9.1]
- b. Verify individual access authorizations before granting access to the facility; [PCI 9.1, 9.3.1]
- c. Control ingress/egress to the facility using keys, locks, combinations, card readers, and/or guards; and
- d. (P-PCI) Provide cameras, monitoring by guards, or isolating selected state information system components to control access to areas within the facility officially designated as publically accessible. [PCI 9.1.1]

**6.3 Protected Physical Access Control** - For all Protected state information systems and the server components of standard state information systems for which additional physical protections apply, the ADOA BU shall: [NIST 800-53 PE-3] [IRS Pub 1075] [AAC 2-10] [HIPAA 164.310(a)(1), (a)(2)(ii)]

- a. (P) Develop procedures to easily distinguish between onsite personnel and visitors. [PCI 9.2];
- b. (P) Give visitors a physical token that expires and that identifies the visitors as onsite personnel and ensure the visitor surrenders the physical token before leaving the facility or at the date of expiration; [PCI 9.3.2, 9.3.3.]
- c. Escort visitors and monitors visitor activity within controlled areas;
- d. Secure keys, combinations, and other physical access devices;
- e. Inventory keys and other physical access devices every quarter; keys and other physical access devices assigned to visitors are inventoried every day;  
and
- f. Change combinations annually and combinations and keys when keys are lost, combinations are compromised, or individuals are transferred or seperated.

**6.4 Monitoring Physical Access** - The ADOA BU shall: [NIST 800-53 PE-6] [IRS Pub 1075]

- a. Monitor physical access to the state information system to detect and respond to physical security incidents;
- b. (P) Review physical access logs weekly and, upon occurrence of potential indications of events; [PCI 9.1.1]
- c. (P) Coordinate results of reviews and investigations with the organizational incident response capability; and
- d. (P) Store physical access monitoring data for at least three months. [PCI 9.1.1]

**6.4.1 (P) Intrusion Alarms/Surveillance Equipment** - The ADOA BU shall monitor real-time physical intrusion alarms and surveillance equipment. [NIST 800-53 PE-6(1)] [IRS Pub 1075]

**6.5 Visitor Control Records** - The ADOA BU shall:

- a. Maintain visitor access records to the controlled areas or facilities where the information system resides;
- b. Review visitor access records monthly; [NIST 800-53 PE-8]
- c. Maintain a visitor log that includes the visitor's name, the firm represented, and the onsite personnel authorizing physical access; and
- d. The logs shall be retained for a minimum of three months. [PCI 9.4]

**6.6 (P) Access Control** - The ADOA BU shall implement the following physical access controls:

**6.6.1 (P) Transmission Medium** - The ADOA BU shall control physical access to state information system distribution and transmission lines within ADOA BU facilities using locked wiring closets; disconnected or locked spare jacks; and/or protection of cabling by conduit or cable trays. [NIST 800-53 PE-4] [IRS Pub 1075]

**6.6.2 (P) Workstations** -The ADOA BU shall implement physical safeguards for all workstations that access sensitive information to restrict access to authorized users. [HIPAA 164.310(b), 164.310(c)]

**6.6.3 (P) Output Devices** - The ADOA BU shall control physical access to state information system output devices to prevent unauthorized individuals from obtaining output. [NIST 800-53 PE-5] [IRS Pub 1075]

- 6.6.4 (P-PCI) **Network Jacks and Devices** - The ADOA BU shall restrict physical access to publically accessible network jacks, wireless access points, gateways, handheld devices, networking/communications hardware, and telecommunication lines. [PCI 9.1.2]
- 6.6.5 (P) **Power Equipment and Cabling** - The ADOA BU shall protect power equipment and power cabling for the state information system from damage and destruction. [NIST 800-53 PE-9]
- 6.7 (P) **Power** - The ADOA BU shall implement the following physical controls for power:
  - 6.7.1 (P) **Emergency Shutoff** - The ADOA BU shall: [NIST 800-53 PE-10]
    - a. Provide the capability of shutting off power to the state information system or individual system components in emergency situations;
    - b. Place emergency shutoff switches or devices in data centers, server rooms, and computer rooms to facilitate safe and easy access for personnel; and
    - c. Protect emergency power shutoff capability from unauthorized activation.
  - 6.7.2 (P) **Emergency Power** - The ADOA BU shall provide a short-term uninterruptable power supply to facilitate an orderly shutdown of the information system or a transition of the information system to long-term alternate power in the event of a primary power source loss. [NIST 800-53 PE-11]
- 6.8 **Emergency Lighting** - The ADOA BU shall employ and maintain automatic emergency lighting for the state information system that activates in the event of a power outage or disruption and that covers emergency exits and evacuation routes within the facility. [NIST 800-53 PE-12]
- 6.9 **Fire Protection** - The ADOA BU shall employ and maintain fire suppression and detection devices/systems for the state information system that are supported by an independent energy source. [NIST 800-53 PE-13]
  - 6.9.1 (P) **Detection Devices** - The ADOA BU shall employ fire detection devices/systems for the state information system that activate automatically and notify the ADOA BU and emergency responders in the event of a fire. [NIST 800-53 PE-13(1)]
  - 6.9.2 (P) **Suppression Devices** - The ADOA BU shall employ fire suppression devices/systems for the state information system that provides automatic notification of any activation to the ADOA BU and emergency responders. [NIST 800-53 PE-13(2)]
  - 6.9.3 (P) **Inspections** - The ADOA BU shall ensure the facility undergoes annual inspections by authorized and qualified inspectors and resolves identified deficiencies within 30 days. [NIST 800-53 PE-13(3)]

- 6.10 Temperature and Humidity Controls** - The ADOA BU shall maintain defined temperature and humidity levels within the facility where the state information system resides at data centers, server rooms and computer rooms; and monitors temperature and humidity levels daily. [NIST 800-53 PE-14]
- 6.11 Water Damage Protection** - The ADOA BU shall protect state information systems from damage resulting from water leakage by providing master shutoff or isolation valves that are accessible, working properly, and known to key personnel. [NIST 800-53 PE-15]
- 6.12 Delivery and Removal** - The ADOA BU shall authorize, monitor, and control state information systems components entering and exiting the facility and maintains records of those items. [NIST 800-53 PE-16]
- 6.13 (P) Alternate Work Site** - The ADOA BU shall: [NIST 800-53 PE-17]
- a. Define and employ minimum security controls at alternate work sites;
  - b. Assess, as feasible, the effectiveness of security controls at alternate work sites; and
  - c. Provide a means for employees to communicate with state information security personnel in case of security incidents or problems.

## 7. DEFINITIONS AND ABBREVIATIONS

---

- 7.1** Refer to the PSP Glossary of Terms located on the ADOA-ASET website.

## 8. REFERENCES

---

- 8.1** NIST 800-53 Rev. 4, Recommended Security Controls for Federal Information Systems and Organizations, February 2013.
- 8.2** ADOA Policy Exception Procedure
- 8.3** HIPAA Administrative Simplification Regulation, Security and Privacy, CFR 45 Part 164, February 2006
- 8.4** Payment Card Industry Data Security Standard (PCI DSS) v2.0, PCI Security Standards Council, October 2010.
- 8.5** IRS Publication 1075, Tax Information Security Guidelines for Federal, State, and Local Agencies: Safeguards for Protecting Federal Tax Returns and Return Information, 2010.

## 9. ATTACHMENTS

---

None.

**10. REVISION HISTORY**

---

Date	Change	Revision	Signature
<b>04/01/2014</b>	Initial release within ASET	1.0	Aaron Sandeen, State CIO and ADOA Deputy Director
<b>08/01/2014</b>	ADOA Assistant Director's review; approved revisions added  Initial release within ADOA	1.1	Brian C. McNeil, ADOA Director