

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

**STATEWIDE POLICY (8310): ACCOUNT MANAGEMENT**

DOCUMENT NUMBER:	(P8310)
EFFECTIVE DATE:	DRAFT SEPTEMBER 17, 2018
REVISION:	2.0

**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 (PSPs) as authorized by Arizona Revised Statutes (A.R.S.)§ 18-104 and § 18-105. REFERENCE STATEWIDE POLICY FRAMEWORK 8310 ACCOUNT MANAGEMENT.

**2. PURPOSE**

The purpose of this policy is to establish the baseline controls for the administration of agency information system accounts.

**3. SCOPE**

- 3.1. **Application to Budget Units (BUs)** - This policy shall apply to all BUs as defined in A.R.S. § 18-101(1).
- 3.2. **Application to Systems** - This policy shall apply to all agency information systems:
  - a. (P) Policy statements preceded by “(P)” are required for agency information systems categorized as Protected.
  - b. (P-PCI) Policy statements preceded by “(P-PCI)” are required for agency information systems with payment card industry data (e.g., cardholder data).
  - c. (P-PHI) Policy statements preceded by “(P-PHI)” are required for agency information systems with protected healthcare information.
  - d. (P-FTI) Policy statements preceded by “(P-FTI)” are required for agency 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 Policy Exception Procedure.

**4.1.1.** Existing IT Products and Services

- a. 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, BU SMEs shall consider Statewide IT PSPs when specifying, scoping, and evaluating solutions to meet current and planned requirements.

**4.2.** BU has taken the following exceptions to the Statewide Policy Framework:

Section Number	Exception	Explanation / Basis

**5. ROLES AND RESPONSIBILITIES**

---

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

- a. Be ultimately responsible for the correct and thorough completion of Statewide IT PSPs throughout all state BUs.

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

- a. Advise the State CIO on the completeness and adequacy of all state BU activities and documentation provided to ensure compliance with statewide IT PSPs throughout all state BUs;
- b. Review and approve or disapprove all state BU security and privacy PSPs and exceptions to existing 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.** BU Director shall:

- a. Be responsible for the correct and thorough completion of BU PSPs;
- b. Ensure compliance with BU PSPs; and
- c. Promote efforts within the BU to establish and maintain effective use of agency information systems and assets.

**5.4.** BU CIO shall:

- a. Work with the BU Director to ensure the correct and thorough completion of BU IT PSPs; and
- b. Ensure BU PSPs are periodically reviewed and updated to reflect changes in requirements.

**5.5.** BU ISO shall:

- a. Advise the BU CIO on the completeness and adequacy of the BU activities and documentation provided to ensure compliance with BU Information Technology PSPs;
- b. Ensure the development and implementation of adequate controls enforcing the BU PSPs;
- c. Request changes and/or exceptions to existing PSPs from the State CISO; and
- d. Ensure all personnel understand their responsibilities with respect to secure account management.

**5.6.** Supervisors of agency employees and contractors shall:

- a. Ensure users are appropriately trained and educated on BU PSPs; and
- b. Monitor employee activities to ensure compliance.

**5.7.** System Users of agency information systems shall:

- a. Become familiar with this policy and related PSPs; and
- b. Adhere to PSPs regarding account management and acceptable use of agency information systems.

**6. STATEWIDE POLICY**

---

- 6.** The BU shall implement account management through the following activities:

- 6.1.** (P) **Automated Account Management** - The BU shall employ automated mechanisms to support the management of information system accounts. [NIST 800-53 AC-2(1)] [IRS Pub 1075]
- 6.2.** (P) **Develop Account Management Operational Procedures** - The BU shall ensure that security policies and operational procedures for restricting access to Confidential data are documented, in use, and known to all affected parties and cover all system components. [PCI DSS 7.2.1, 7.3]
- 6.3. Identify Account Types** - The BU shall identify the types of agency information system accounts to support organizational missions / business functions (e.g., individual, guest, emergency access, developer, maintenance, administration). [NIST 800-53 AC-2a] [HIPAA 164.312 (a)(2)(iii) – Addressable] [PCI DSS 7.2.2]
  - 6.3.1. Establish Group and Role-based Accounts** - The BU shall establish conditions for group and role membership. [NIST 800-53 AC-2c] [PCI DSS 7.1.1] [PCI DSS 7.2.2]
  - 6.3.2. Account Specification** -The BU shall specify authorized users of the agency information system, group and role membership, and access authorizations (i.e., privileges) and other attributes for each account. [NIST 800-53 AC-2d] [PCI DSS 7.1.3]
  - 6.3.3. (P) Privileged Accounts** - The BU shall restrict privileged accounts (e.g., super user accounts) on the agency information system to administrative roles. [NIST 800-53 AC-6(5)] [IRS Pub 1075] [PCI DSS 7.1.2]
  - 6.3.4. (P) Separation of Duties** - The BU shall separate (Agency) BU -defined duties; documents separation of duties of individuals; and defines agency information system access authorizations to support separation of duties. [NIST 800-53 AC-5] [IRS Pub 1075] [PCI DSS 6.4.2]
- 6.4. Assign Account Managers** - The BU shall assign account managers for agency information system accounts. [NIST 800-53 AC-2b]
- 6.5. Account Approval** - The BU shall require documented approvals by authorized BU staff for requests to create, modify, and enable agency information system accounts. [NIST 800-53 AC-2e-f] [PCI DSS 7.1.4]
  - 6.5.1. (P) Automated Audit Actions** - The BU shall ensure the agency information system automatically audits account creation, modification, enabling, disabling, and removal actions and notifies, as required BU-defined personnel or roles. [NIST 800-53 AC-2(4)] [IRS Pub 1075]
- 6.6. Account Monitoring** - The BU shall authorize, and monitor the use of agency information system accounts. [NIST 800-53 AC-2g]

- 6.6.1.** (P) **Vendor Account Monitoring** - The BU shall enable accounts used by vendors for remote access only during the time period needed and monitors the vendor remote access accounts when in use. [PCI DSS 8.1.5]
- 6.7. Account Creation, Deletion, and Removal** – The BU shall control the addition, deletion, and modification of user IDs, credentials, and other identifier objects. {PCI DSS 8.1.2}
  - 6.7.1.** Account Removal - The BU shall notify account managers when accounts are no longer required; users are separated or transferred; and individual information system usage or need-to-know changes. [NIST 800-53 AC-2h] [PCI DSS 8.1.3]
  - 6.7.2.** (P) **Immediate Removal of Separated Users** - The BU shall immediately revoke access for any separated users. [PCI DSS 8.1.3]
  - 6.7.3.** (P) **Automatic Removal of Temporary Accounts** - The agency information system automatically removes or disables temporary and emergency accounts after a BU-defined time. [NIST 800-53 AC-2(2)] [IRS Pub 1075]
  - 6.7.4.** (P) **Disable Inactive Accounts** - The BU shall ensure the agency information system automatically disables inactive accounts after BU -defined time period. For agency information systems containing cardholder data (CHD) the time period must be no more than 90 days. [NIST 800-53 AC-2(3)] [IRS Pub 1075] [PCI DSS 8.1.4]
- 6.8. Access Authorization** - The BU shall authorize access to the agency information system based on a valid access authorization; intended system usage; and other attributes as required by the organization or associated mission functions. [NIST 800-53 AC-2f,i] [HIPAA 164.308 (4)(ii)(B) – Addressable] [PCI DSS 7.1, 7.2]
  - 6.8.1.** (P) **Default “Deny-All” Setting** - The BU shall ensure the agency information system access control system is set to “Deny all” unless specifically allowed. [PCI DSS 7.2.3]
  - 6.8.2.** (P) **Restrict Direct Database Access** - The BU shall ensure the agency information system authenticates all access to any database containing Confidential information and restricts direct access or queries to databases to database administrators. [PCI DSS 8.7]
- 6.9. Accounts Rights Review** - The BU shall review accounts for compliance with account management requirements annually. [NIST 800-53 AC-2j] [HIPAA 164.308 (4)(ii)(C) – Addressable]
- 6.10. Reissues Account Credentials** - The BU shall establish a process for reissuing shared/group account credentials (if deployed) when individuals are removed from the group. [NIST 800-53 AC-2k]

## **7. DEFINITIONS AND ABBREVIATIONS**

---

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

**8. REFERENCES**

---

- 8.1.** STATEWIDE POLICY FRAMEWORK 8310 Account Management
- 8.2.** Statewide Policy Exception Procedure
- 8.3.** NIST 800-53 Rev. 4, Recommended Security Controls for Federal Information Systems and Organizations, February 2013.
- 8.4.** HIPAA Administrative Simplification Regulation, Security and Privacy, CFR 45 Part 164, February 2006
- 8.5.** Payment Card Industry Data Security Standard (PCI DSS) v3.2.1, PCI Security Standards Council, May 2018.
- 8.6.** 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>9/01/2014</b>	Initial Release	Draft	Aaron Sandeen, State CIO and Deputy Director
<b>10/11/2016</b>	Updated all the Security Statutes	1.0	Morgan Reed, State CIO and Deputy Director
<b>9/17/2018</b>	Update for PCI-DSS 3.2.1	2.0	Morgan Reed, State CIO and Deputy Director