

BackNine Insurance and Financial Services, Inc.	Information Security Personnel Security
Approved by: Reid Tattersall	Issue Date: June 24 <sup>th</sup> , 2020

## 1. Purpose

BackNine Insurance and Financial Services, Inc.’s mission is to simplify the selling of insurance. This policy establishes the Enterprise Personnel Security Policy, for managing risks from personnel screening, termination, management and third-party access, through the establishment of an effective security planning program. The personnel security program helps BackNine Insurance and Financial Services, Inc. implement security best practices with regard to personnel screening, termination, transfer and management.

## 2. Scope

The scope of this policy is applicable to all Information Technology (IT) resources owned or operated by BackNine Insurance and Financial Services, Inc. Any information, not specifically identified as the property of other parties, that is transmitted or stored on BackNine Insurance and Financial Services, Inc. IT resources (including e- mail, messages and files) is the property of BackNine Insurance and Financial Services, Inc.. All users (BackNine Insurance and Financial Services, Inc. employees, contractors, vendors or others) of IT resources are responsible for adhering to this policy.

## 3. Intent

The BackNine Insurance and Financial Services, Inc. Information Security policy serves to be consistent with best practices associated with organizational Information Security management. It is the intention of this policy to establish a personnel security capability throughout BackNine Insurance and Financial Services, Inc. and its business units to help the organization implement security best practices with regard to personnel screening, termination, transfer and management.

## 4. Policy

BackNine Insurance and Financial Services, Inc. has chosen to adopt the Personnel Security principles established in NIST SP 800-53 “Personnel Security,” Control Family guidelines, as the official policy for this domain. The following subsections outline the Personnel Security standards that constitute BackNine Insurance and Financial Services, Inc. policy. Each BackNine Insurance and Financial Services, Inc. Business System is then bound to this policy, and must develop or adhere to a program plan which demonstrates compliance with the policy related the standards documented.

- PS-1 Personnel Security Procedures: All BackNine Insurance and Financial Services, Inc. Business Systems must develop, adopt or adhere to a formal, documented personnel

security procedure that addresses purpose, scope, roles, responsibilities, management commitment, coordination among organizational entities, and compliance.

- PS-2 Position Categorization: All BackNine Insurance and Financial Services, Inc. Business Systems must:
  - Assign a risk designation to all positions.
  - Establish screening criteria for individuals filling those positions.
  - Review and revise position risk designations on a tri-annual basis.
  
- PS-3 Personnel Screening: All BackNine Insurance and Financial Services, Inc. Business Systems must screen individuals prior to authorization access to the information asset. In addition, BackNine Insurance and Financial Services, Inc. Business Systems must rescreen individuals every seven years.
- PS-4 Personnel Termination: All BackNine Insurance and Financial Services, Inc. Business Systems must upon personnel termination:
  - Terminate information asset access.
  - Conduct exit interviews.
  - Retrieve all security-related organizational information system-related property.
  - Retain access to organizational information and information assets formerly controlled by terminate personnel.
  
- PS-5 Personnel Transfer: All BackNine Insurance and Financial Services, Inc. Business Systems must review logical and physical access authorizations to information assets/facilities when personnel are reassigned or transferred to other positions within the organization on a quarterly basis.
- PS-6 Access Agreements: All BackNine Insurance and Financial Services, Inc. Business Systems must ensure that individuals requiring access to organizational information and information assets sign appropriate access agreements prior to being granted access. In addition, BackNine Insurance and Financial Services, Inc. Business Systems must review/update the access agreements on a tri-annual basis.
- PS-7 Third-Party Personnel Security: All BackNine Insurance and Financial Services, Inc. Business Systems must:
  - Establish personnel security requirements including security roles and responsibilities for third-party providers.
  - Document personnel security requirements.
  - Monitor provider compliance.
- PS-8 Personnel Sanctions: All BackNine Insurance and Financial Services, Inc. Business Systems must employ a formal sanction process for personnel failing to comply with established information security policies and procedures.

## Appendix A – References

The following references illustrate public laws which have been issued on the subject of information security and should be used to demonstrate BackNine Insurance and Financial Services, Inc. responsibilities associated with protection of its information assets.

1. United States Department of Commerce National Institute for Standards and Technology (NIST) Special Publication 800-53 Recommended Security Controls for Federal

Information Systems Revision 3, Operational Controls, Personnel Security Control Family, August 2009.

2. United States Department of Commerce National Institute for Standards and Technology (NIST) Special Publication 800-100 "Information Security Handbook: A Guide for Manager" October 2006.
3. United States Department of Commerce National Institute for Standards and Technology (NIST) Special Publication 800-73 "Interfaces for Personal Identity Verification" February 2010.
4. United States Department of Commerce National Institute for Standards and Technology (NIST) Special Publication 800-76 "Biometric data Specification for Personal Identity Verification" January 2007.
5. United States Department of Commerce National Institute for Standards and Technology (NIST) Special Publication 800-78 "Cryptographic Algorithms and Key Sizes for Personal Identification Verification (PIV)" February 2010.