

Security Plan Form

Name of Institution / Organization: _____

Security Procedures For: Researcher | New License ☐ License Amendment ☐
 Contractor ☐

Restricted-Use Data Holder Information:

Name of Principal Researcher (PR): _____

Mailing Address: _____

Office Phone: _____

Office Fax: _____

Email Address: _____

Person(s) having access to Restricted-Use Data:

| Name | Office Location | Office Phone |
|------|-----------------|--------------|
| | | |
| | | |
| | | |
| | | |
| | | |

Note: Access must be limited ONLY to those who have signed an Affidavit of Nondisclosure.

Storage Information | **Note:** Whether being used or not, the restricted-use data must be stored in this office.

Exact Data Location: _____
Location of computer
(includes room number)
where all work must be done. _____

Office Phone at this location: _____

PR Initials _____

Computer Security Requirements | **Note:** The restricted-use data must be run on a stand-alone computer. Use of laptop computers is prohibited. All modes of communication with the computer (e.g. modem, cable, network, wireless) must be disconnected when the Restricted-Use Data are being used. The residual Restricted-Use Data must be purged from the system immediately after each use and before reconnecting to a network.

- Description of Computer System (All work must be done on this system):

The system security officer* for the work site must initial below to indicate that the following security measures are in place.

- Anti-Virus software installed on computer Initials Initials: _____
- Limit room / area access by locking office when away from computer Initials: _____
- Passwords: unique, 6-8 characters with one non-alphanumeric Initials: _____
- Change password at least every 3 months Initials: _____
- Read-only access to original data Initials: _____
- Enable automatic “password screensaver” within 5 minutes of inactivity Initials: _____
- No routine backups of Restricted-Use Data Initials: _____
- Remove data by overwriting at the end of the project Initials: _____
- Notification (Warning Statement) Initials: _____
During the login process the following statement will appear on the screen before access is granted. If it is not feasible to have the warning appear on the screen, it will be typed and attached to the monitor in a prominent location.

WARNING | Federal Restricted-Use Data

Unauthorized Access To Licensed Individually Identifiable Information Is
A Violation Of Federal Law And Will Result In Prosecution

DO YOU WISH TO CONTINUE? Yes ☐ No ☐

***System Security Officer (SSO)** - The SSO is the person responsible for maintaining the day-to-day security of the system on which the licensed data reside. The SSO’s assigned duties shall include the implementation, maintenance, and periodic update of the security plan to protect the data in strict compliance with statutory and regulatory requirements.

PR Initials _____

Review And Approval

I have reviewed the requirements of the license security procedures and the contents of this security plan, which describes the protection measures for the requested Restricted-Use Data files. I have also instructed the collaborating researchers on the requirements of the security plan.

I hereby certify that this system meets all requirements of the license security procedures and that the in-place security safeguards adequately protect the Restricted-Use Data.

Principle Researcher SignatureDate: _____

Principle Researcher (type / print) Name

System Security Officer SignatureDate: _____

System Security Officer (type / print) Name