



# Written Information Security Program (WISP)

Effective Date: 02/26/19

Last Reviewed Date: 02/24/2022

The following are responsible for the accuracy of the information contained in this document

## Responsible Policy Administrator

Associate CIO, Information Security

## Responsible Department

Information Technology

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## Program Statement

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Pursuant to MGL 93H, all Massachusetts entities must have a Written Information Security Program (WISP). The Massachusetts data security regulations (201 C.M.R. 17.00) require every entity that owns or licenses "personal information" about Massachusetts residents to develop, implement, and maintain a WISP. The WISP must contain minimum administrative, technical, and physical safeguards to protect such "personal information".

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## Purpose

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The purpose of the WISP is to:

- (a) Ensure the security and confidentiality of Personal Information;
- (b) Protect against any anticipated threats or hazards to the security or integrity of such information;
- (c) Protect against unauthorized access to or use of such information in a manner that creates a substantial risk of identity theft or fraud.

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## Definitions

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**Breach** - the acquisition, access, use or disclosure of Personal Information in a manner not permitted under Subpart E of 45 CFR Part 164, M.G.L. c. 93H, or other applicable states' security breach statutes.

**Data** - information generated by or for, owned by, or otherwise in the possession of University of Massachusetts Chan Medical School (UMass Chan) that is related to the school's activities.

**Data Classification** - UMMS Departments must classify their data into at least one of the four levels of classification. Each category denotes a unique level of sensitivity and has specific access and handling requirements.

**Data Owner** -The Data Owner has policy-level responsibility for establishing rules and use of data based on applied classification. UMass Chan Senior Level Management is ultimately the Data Owner and is responsible for assigning the classification, ensuring the protection and establishing appropriate use of the school's data. Individuals within UMass Chan may be delegated some portion of this responsibility on behalf of the Senior Leadership.

**Personal Information** - personal information (as defined in Mass. Gen. Laws c. 93H or other states' breach notification laws).

**User** – shall mean all faculty, staff, students, employees, contractors, vendors and any other individuals with access to UMass Chan data or systems.



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## Scope

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The data covered by this WISP includes any information stored, accessed or collected at UMass Chan or for UMass Chan operations, whether in paper, electronic or other form.

This WISP applies to all Users.

This WISP applies to UMass Chan computing, network and information systems and services.

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## Related Policy

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Information Security Policy

Data Classification Policy

Acceptable Use Policy

Reporting Potential Breach and Security Incidents of Personally Identifiable Information

Information Security Incident Response Team Policy

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## Responsibilities

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It is the responsibility of the Information Security Officer to ensure that:

- The Program is followed as described;
- The Program is annually reviewed and updated;
- The relevant documentation is maintained.

It is the responsibilities of all Users to ensure that:

- UMass Chan policies and standards are read and understood;
- In-scope WISP data is maintained in a secure manner according to UMass Chan policies and standards.

## Components of WISP

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### 1. Identification and Assessment of Risks to Medical School Information

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UMass Chan has established the Information Security Risk Management Standard to outline the measures required to identify, assess and treat risks to the confidentiality, integrity, and availability of UMass Chan data and systems as well as identifying threats to UMass Chan assets. This Program includes the process to determine appropriate management actions and establish priorities for managing and implementing effective controls.

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### 2. Safeguarding Data

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Proper management of data requires departments to perform periodic reviews of data and assess their classifications and controls. The controls for classified data must be commensurate with the level of identified risk, regulatory requirements and contractual agreements.

Data Classification:



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UMass Chan employs a comprehensive data classification schema that leverages four levels of classification. Each category denotes a unique level of sensitivity and has specific access and handling requirements.

Once data is assigned the appropriate classification level, departments must conduct a Risk Assessment to determine acceptable levels of risk and the appropriate level of security controls for information systems.

### Encryption:

UMass Chan requires all Users to apply UMass Chan approved encryption solutions to all sensitive UMMS data to preserve the confidentiality and integrity of, and control accessibility to, where this data is processed, stored or transmitted.

### Access & Storage:

Access to UMass Chan systems and data is through authorized access controls, such as a unique account and credentials, to preserve the confidentiality and integrity of, and control accessibility to, UMass Chan data. All access to UMass Chan data is reviewed regularly to ensure access is appropriate.

### Data Destruction:

Records containing Personal Information are destroyed once they are no longer needed for business purposes, unless state or federal regulations require maintaining these records for a prescribed period of time. Paper and electronic records containing Personal Information are destroyed in a manner that prevents recovery of the data.

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### **3. Computer System Safeguards**

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UMass Chan applies industry best practices to maintaining the confidentiality, availability, and integrity of information systems by maintaining up-to-date firewall protection, operating system security patches, and malware protection. The most current security updates are applied regularly. UMass Chan performs regular Intrusion Detection monitoring and logging to prevent unauthorized access.

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### **4. Password Requirements**

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Access to UMass Chan systems and data requires Users to authenticate with a unique User ID and password. Passwords must adhere to UMass Chan policy in their construction and change frequency. The sharing of an individual's account and password is prohibited.

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### **5. Third-Party Vendor Agreements Concerning Protection of Personal Information**

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Data Owners are responsible for confirming third-party service providers are maintaining appropriate security measures and data handling processes to protect UMass Chan data consistent with this Program.

All third parties with access to Data containing information of Massachusetts residents are required to attest to the appropriate level of protection and compliance to this WISP annually.



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In all circumstances where UMass Chan provides data or access to data, third-parties must attest to compliance with this WISP.

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### 6. Employee Training

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Training serves to educate UMass Chan workforce in maintaining compliance within their particular UMass Chan business function or activity, whether it be under research grants or industry contracts' privacy and security requirements, MGL Ch. 93H – Identity Fraud Statute, the Health Insurance Portability and Accountability Act (HIPAA), or other related federal and state laws and regulations regarding data privacy and information security.

UMass Chan requires that employees are trained in the proper handling of sensitive data. All UMass Chan faculty, staff, contingent workers, contractors and students in its schools, departments, centers and business units are required to complete privacy and information security training.

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### 7. Incident Reporting

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Incidents that raise concerns about the privacy or security of Personal Information must be reported promptly upon discovery to the Information Security Officer. The Incident Response Team (IRT) shall investigate all reported security incidents and Breaches. Led by the UMass Chan's Information Security Office, the IRT's objective is to:

1. Coordinate and oversee the response to incidents in accordance with the requirements of state and federal laws and UMass Chan policy;
2. Minimize the potential negative impact to the UMass Chan, client and 3<sup>rd</sup> party as a result of such incidents;
3. Where appropriate, inform the affected client and 3<sup>rd</sup> party of action that is recommended or required on their behalf;
4. Restore services to a normalized and secure state of operation;
5. Provide clear and timely communication to all interested parties.

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### Enforcement

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Any UMass Chan User violating any portion of UMass Chan's Information Security programs or policies may be denied access to UMass Chan systems or data. Additionally, the User may be subject to disciplinary action, up to and including dismissal from a school or termination of employment.




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## Approvals

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DocuSigned by:  
  
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ACIO, Information Security

2/24/2022  
Date

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## Revision log

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Revision Date	Revision Description	Revised by
02/26/2019	Initial Release	Brian Coleman
4/16/2019	Review	Brian Coleman
1/19/2021	Annual Review	Brian Coleman
2/24/2022	Annual Review and branding changes	Brian Coleman



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## Related Rules and Compliance

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In addition to Massachusetts regulations [201 CMR §17](#) (.pdf), handlers of data should also be aware of these other laws and regulations regarding personal information:

### **Massachusetts Data Breach Notification Law: Chapter 93H**

**This MA law** requires that businesses and government agencies notify residents of data breaches in certain situations. Notification to the Attorney General, the Director of Consumer Affairs and Business Regulation and the affected resident is required if it "knows or has reason to know of a breach of security" or "knows or has reason to know that the personal information of such resident was acquired or used by an unauthorized person or used for an unauthorized purpose." These breaches include hard copy as well as electronic data.

The law defines "personal information" as a resident's first name and last name, or first initial and last name in combination with any one or more of the following:

1) Social Security number, 2) driver's license number or state-issued identification card number or 3) financial account number or credit or debit card number, with or without any required security code, access code, personal identification number or password, that would permit access to a resident's financial account.

### **Family Educational Rights and Privacy Act (FERPA)**

Although student education records which include an individual's Social Security number, financial account number or other personal information are covered by this Information Security Program, all student records, regardless of whether they contain personal information, are also subject to the requirements of FERPA. The Family Educational Rights and Privacy Act (FERPA) is a federal law that protect the confidentiality of many student records. The law applies to all departments that receive funds under an applicable program of the U.S. Department of Education.

### **Health Insurance Portability and Accountability Act (HIPAA)**

The federal Health Insurance Portability and Accountability Act (HIPAA) requires UMMS to maintain the confidentiality of electronic health information that can be linked to an individual patient (electronic Protected Health Information, or ePHI).

### **Gramm Leach Bliley Act (GLBA)**

The GLBA requires "financial institutions" to adopt certain privacy safeguards. Insofar as "covered transactions" under GLBA include an individual's financial account number, this Information Security Program would also cover them.



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### **FACTA "Red Flag Rules"**

Section 114 of the Fair and Accurate Credit Transactions Act (FACTA), also known as the Red Flag Rules, requires that all organizations subject to the legislation must develop and implement a written "Identity Theft Prevention Program" to detect, prevent and mitigate identity theft in connection with the opening of certain new and existing accounts. In accordance with federal regulations, UMMS has adopted an Identity Theft Prevention Program. The safeguards referenced in the Identity Theft Prevention Program are the same as the minimum-security standards referenced in this Program.