Information security – checklists

This document contains three checklists:

* Contract development checklist;
* Information and Supplier Security Checklist; and
* Procurement Security Compliance Checklist.

This document supports the [Information security - goods and services procurement guide](https://www.buyingfor.vic.gov.au/information-security-goods-and-services-procurement-guide).

Contract development checklist

# What is the contract development checklist?

This checklist ensures contracts include appropriate security related clauses. The clauses within contracts increase protections to public sector information and assets.

# How to apply the contract development checklist?

Use this checklist when creating the contract management plan. The checklist helps project managers and contract manages ensure the protection of:

* public sector data,
* information and
* assets

through the legal agreement with the supplier.

|  |  |  |
| --- | --- | --- |
| Item | Item description | Yes/No/NA |
| 1 | Has the contract included clauses related to the requirement to maintain a security program aligned to an industry standard (e.g. ISO 27001)? |  |
| 2 | Has the contract included clauses related to limitation of liability? |  |
| 3 | Has the contract included clauses related to confidentiality of government data? |  |
| 4 | Has the contract included clauses related to Service Level Agreements (SLAs) and penalties? |  |
| 5 | Has the contract included clauses related to supplier financial reporting? |  |
| 6 | Has the contract included clauses related to preventing data loss? |  |
| 7 | Has the contract included clauses related to the supplier being insured? |  |
| 8 | Has the contract included clauses related to the supplier’s requirements to maintain and provide access to business continuity/disaster recovery plans? |  |
| 9 | Has the contract included clauses related to backup guarantees? |  |
| 10 | Has the contract included clauses related to warranties? |  |
| 11 | Has the contract included clauses related to breach notification? |  |
| 12 | Has the contract included clauses related to the supplier’s requirements on termination? |  |
| 13 | Has the contract included clauses related to privacy? |  |
| 14 | Has contract included clauses related to:   * Security functional requirements * Security strength requirements * Security-related documentation? |  |
| 15 | Has the contract included clauses related to assurance requirements?   * E.g. Penetration testing, iRAP (for cloud services), etc. |  |
| 16 | Has the contract included clauses related to acceptance criteria? |  |
| 17 | The contracted can be terminated if the provider fails to comply with provision of the contract? |  |

Information and Supplier Security Checklist

# What is the information and supplier security checklist?

This checklist helps evaluation panels to assess the goods and services for public sector bodies which:

* store, transmit, process or
* have access to Victoria Public Sector data or networks.

The panels assess the suitability of goods and services.

# How to apply the information and supplier security checklist?

Use this checklist when evaluating a supplier’s response to a market approach where the goods or services:

store, transmit, process or

have access to Victoria Government information or networks.

To reduce the burden on project teams:

* information and supplier security assessments should only be undertaken for competitive offers.

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| --- | --- | --- |
| Item | Item description | Yes/No/NA |
| 1 | The supplier has agreed to meet the security functional, strength and assurance requirements detailed in the contract? |  |
| 2 | The supplier has provided information security documentation (e.g. frameworks, strategies, policies, procedures, etc.) and/or demonstrated an industry recognised approach to security? |  |
| 3 | The supplier has provided third party security assurance reports (e.g. SOC2, penetration testing, ISO27001 Certification, iRAP assessment or another independent audit)? |  |
| 4 | The supplier has sufficient personnel security controls in place? |  |
| 5 | The supplier has sufficient physical security controls in place? |  |
| 6 | The supplier has sufficient information security controls in place? |  |
| 7 | The supplier has sufficient ICT security controls in place? |  |
| 8 | The supplier has a security incident management plan? |  |
| 9 | Is a governance arrangement in place to managing ongoing security requirements? |  |
| 10 | An organisationally defined appropriate person (e.g. ICT manager, cyber security lead, risk committee, etc.) has accepted any residual risk? |  |

Procurement Security Compliance Checklist

# What is the procurement security compliance checklist?

This checklist supports buyers compliance with risk management requirements. Buyers ensure management of supply chain risks to the public when:

* buying goods and services for public sector bodies, which
* store, transmit, process or have access to Victoria Public Sector data or networks.

# How to apply the procurement security compliance checklist?

Use this checklist when buying goods and services before signing contracts.

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| --- | --- | --- |
| Item | Item description | Yes/No/NA |
| 1 | The project team have included security clauses within the contract? See Contract development security checklist |  |
| 2 | Information and supplier security residual risk has been accepted by an appropriate person? See Information and Supplier Security Checklist |  |

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