

## DMH CONTRACTOR'S COMPLIANCE WITH INFORMATION SECURITY REQUIREMENTS

**Contractor Agency Name:** \_\_\_\_\_

Contractor shall provide information about its information security practices by completing this Attachment **annually**. Note: the implementation or use of AI technologies for data management; including data collection, data storage, data retrieval, data sharing and reporting without written approval from the Department of Mental Health's Chief Information Officer and Information Security Officer is prohibited. By submitting this Attachment, Contractor certifies that they will be compliant with Los Angeles County Board of Supervisors Policies and attest that it has implemented adequate controls to meet the following expected Information Security minimum standards, at the commencement and during the term of any awarded Contract. Contractor must be prepared to provide supporting evidence upon request. The completed forms must be returned to the DMH Information Security Officer (DISO) for approval within 10 business days from receipt. Any significant changes during the term of the Contract must be reported within 10 business days of implementation. Depending on the change(s), Contractor may be asked to re-submit this Attachment.

### COMPLIANCE QUESTIONS

#### DOCUMENTATION AVAILABLE

|   | YES                      | NO                       | N/A                      |  | YES                      | NO                       |
|---|--------------------------|--------------------------|--------------------------|--|--------------------------|--------------------------|
| 1 Will County's non-public data stored on your workstation(s) and laptop(s) be encrypted?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2 Have you implemented or used AI technologies for data management; including data collection, data storage, data retrieval, data sharing and reporting?<br><i>If "YES," please explain.</i>              | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3 Is Multi-Factor Authentication (MFA) used to access systems that store non-public data?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 4 Will County's non-public data stored on removable media be encrypted?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 5 Will County non-public data be encrypted when transported?<br><i>If "NO" or "N/A," please explain.</i>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 6 Will any validation/attestation reports generated by the encryption tools be maintained?<br><i>If "NO" or "N/A," please explain.</i>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 7 Will County's non-public data be stored on remote servers*?<br><small>*Cloud storage, Software-as-a-Service or SaaS</small><br><i>Please provide public URL and hosting information for the server.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |

|   | YES                      | NO                       | N/A                      |  | YES                      | NO                       |
|---|--------------------------|--------------------------|--------------------------|--|--------------------------|--------------------------|
| 8 Will all users with access to County's non-public data participate in an annual information security awareness training?<br><i>If "NO" or "N/A," please explain.</i>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 9 Will County's non-public data residing on endpoints be protected by an up-to-date antivirus and/or anti-malware software?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 10 Will all endpoints accessing and/or storing County's non-public data be physically secured?<br><i>If "NO" or "N/A," please explain.</i>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 11 Will all security incidents involving County's data be promptly reported?<br><i>If "NO" or "N/A," please explain.</i>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 12 Will all users' access be formally authorized, and users provided with unique logon IDs & complex passwords for accessing County data?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 13 Will all users' activities be monitored to ensure they are accessing the minimum information necessary to perform their assignments?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 14 Will users' access be modified once their role no longer justifies such access, and/or promptly suspended upon discharge or termination?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 15 Will all endpoints accessing and/or storing County's non-public data be regularly patched and updated for known vulnerabilities?<br><i>If "NO" or "N/A," please explain.</i>   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 16 Will all endpoints accessing and/or storing County's non-public data be rendered unreadable and/or unrecoverable, prior to disposition?<br><i>If "NO" or "N/A," please explain.</i>  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 17 Will annual inspections and risk assessments be conducted on systems involving County data and identified weaknesses and vulnerabilities be promptly mitigated or remediated?<br><i>If "NO" or "N/A," please explain.</i>                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |
| 18 Does the entity have policies and procedures to ensure continuity and availability of critical business processes during emergencies or disasters and ability to restore/recover data from ransomware attacks?<br><i>If "NO" or "N/A," please explain.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |

19 Upon expiration or termination of the contractual agreement with the County, will Contractor return or destroy County's non-public data?  
*If "NO" or "N/A," please explain.*

|                          |                          |                          |  |                          |                          |
|--------------------------|--------------------------|--------------------------|--|--------------------------|--------------------------|
| YES                      | NO                       | N/A                      |  | YES                      | NO                       |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |  | <input type="checkbox"/> | <input type="checkbox"/> |

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Authorized Signatory Name (Print)

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Authorized Signatory Official Title

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Authorized Signatory Signature

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Date