

How a Secure File Transfer Solution Should Support Compliance

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Confidentiality	HIPAA Security Rule	How WS_FTP Server and WS_FTP Professional Support Compliance
Authentication	<p>§ 164.312 Technical Safeguards. (d) Standard: Person or entity authentication. Verify person/entity seeking access to electronic protected health information is the one claimed.</p>	<ul style="list-style-type: none"> - Unique user IDs - Integrates with existing user databases such as Active Directory, LDAP, NT and ODBC databases - Active Directory support for Distinguished Name, Group and Organizational Unit - All passwords encrypted during client-server authentication when using WS_FTP Professional and WS_FTP Server - All passwords stored in WS_FTP Server database are encrypted - Ability to enforce strong password creation - Auto-expiring passwords with options to allow client reset - Rules on using previously used passwords - Two-factor authentication using username/passwords pairs, with SSL Certificates for mutual authentication, or with SSH public keys
Access Control	<p>§ 164.312 Technical Safeguards. (a)(1) Standard: Access control. Allow access only to those persons or software programs that have been granted access rights. (a)(2)(i) Unique user identification (Required). Assign a unique name and/or number for identifying and tracking user identity. (a)(2)(iii) Automatic logoff (Addressable). Terminate an electronic session after a predetermined time of inactivity. (a)(2)(iv) Encryption and decryption (Addressable). Encrypt/decrypt electronic protected health information.</p>	<ul style="list-style-type: none"> - Administrative SoD (Separation of Duties) with multiple levels of access control and administrator permissions - Permissions can be set on shared folders and applied to individual users or entire user groups - Administrators can set disk space, maximum file storage, and maximum bandwidth for entire groups or users - Block file uploads, downloads, deletions, renaming, and directory creation on a per user basis and per IP address - Set read, write, delete, list, and rename permissions on shared folders - Lock users to their home folder, hide other folders from view - Administrative options to hide the existence of other users' folders - Control server access by IP address and port ranges - Block IP addresses manually, or automatically, using set criteria (such as number of failed connections), - Block IP addresses by subnet - Support for IP address "whitelist" (safe from automatic blocking) - Virtual folders are supported for accessing Universal Naming Convention (UNC) and mapped drives - Create SSL certificates and a trusted authorities database on a per host basis - Force mutual authentication for client and server to both exchange SSL certificates - Clear Command Channel (CCC) enables Firewall/Network Address Translations (NAT) support for SSL connections - Configure IP address and ports when using PASV command (with or without SSL) for better performance with firewalls, NAT devices - User IDs and passwords always encrypted
Privacy	<p>§ 164.312 Technical Safeguards. (e)(1) Standard: Transmission Security (e)(2)(ii) Encryption (Addressable). Encrypt electronic protected health information (that is being transmitted)</p>	<ul style="list-style-type: none"> - Encrypts client connections over SSH, SSL (Version 3—Implicit, Explicit and TLS) and SCP2 protocols - Session encryption using 256-bit AES encryption and 3DES - FIPS 140-2 validated encryption using 256-bit AES, 3DES, and SHA 1, SHA 2 - Force SSH, SSL/FTPS or TLS 1.0 or higher on all client connections to WS_FTP Server 128 bit SSL on folder access - Encrypts stored files with fully-integrated OpenPGP mode - Configurable SSL/TLS encryption down to the folder level - Policy based cryptographic strength enforcement - Import, export and create SSL x.509v3 certificates - Support for full chain and peer-level SSL certificate chains - Import, export and create SSH keys, including OpenSSH keys, for Windows, Unix, and Linux - Support for suppressing SSH protocol name in version in login banner, preventing malicious actions - Create, Edit, Import, Export, Delete OpenPGP keys with support for PGP, OpenPGP and GPG - Select and prioritize ciphers to use in OpenPGP key creation - Support for RSA and Diffie-Hellman key types with settable expiration date - OpenPGP asymmetric key length of 1024 – 4096 bits

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Integrity	HIPAA Security Rule	How WS_FTP Server and WS_FTP Professional Support Compliance
	<p>(c)(1) Standard: Integrity. Protect electronic protected health information from improper alteration or destruction.</p> <p>(c)(2) Implementation specification: Mechanism to authenticate electronic protected health information (Addressable). Implement electronic mechanisms to corroborate that electronic protected health information has not been altered or destroyed in an unauthorized manner.</p> <p>(e)(2)(i) Integrity controls (in transmission) (Addressable). Ensure that electronically transmitted electronic protected health information is not improperly modified without detection until disposed of.</p>	<ul style="list-style-type: none"> - Built-in file integrity checking of up to SHA-512 secure hashing algorithms - Encrypts stored files with fully-integrated OpenPGP mode - Encrypts client connections over SSH and SSL (Implicit, Explicit and TLS) protocols - Session encryption using 256-bit AES encryption and 3DES - File and folder size comparing to ensure accuracy and completeness - Syslog integration into centralized network or security management logging systems - Automate the mirroring of two locations with built-in schedule, synchronization and backup utilities - File lock during upload prevents users from downloading a file before it is fully uploaded to the server - FIPS 140-2 validated ciphers using WS_FTP FIPS-validated transfer mode
Availability	<p>§ 164.308(a)(7)(ii) Administrative safeguards.</p> <p>(A) Data backup plan (Required). Establish and implement procedures to create and maintain retrievable exact copies of electronic protected health information.</p> <p>(B) Disaster recovery plan (Required). Establish (and implement as needed) procedures to restore any loss of data.</p>	<ul style="list-style-type: none"> - Server architecture enables load balancing to distribute workload among multiple servers for improved performance - Clustering groups servers for redundancy and to overcome scheduled/unscheduled server downtime - Session manager delivers real-time performance statistics on WS_FTP Server connections and file transfer events - Client-Server Logging: Capture Client-Server connections and activities related to the storage and transfer of files - Administration Logging: Keep an auditable record of server administrator actions - Syslog Support: Integrate WS_FTP logs with a company database or central data repository - Logging server and notification server both require administrator login - Ability to install logging server and notification server on a different server to optimize availability - Automatic restart of interrupted file transfers so users never lose valuable data because of an interrupted connections - Multipart mode splits large files into smaller segments and downloads all segments via different, yet concurrent, connections - File compression enables faster file transfers by reducing the size of files - Scheduler lets you program one-time or recurring transfers with auto-login, navigation and transfer - Backup wizard automates file backup to any device, drive or FTP server - Synchronize files and file directories between any two locations - Automated notifications trigger communication, workflows. Email, SMS and pager alerts. Launch external programs on events. - Configure to execute an application and include command line variables - Firewall script engine enables firewall script creation. Firewall Wizard steps through multiple firewall types including HTTP Proxy - Prevents DOS attacks by blocking IP addresses manually, automatically, using criteria such as number of failed connections.
Audit	<p>§ 164.312 Technical Safeguards.</p> <p>(b) Standard: Audit controls. Implement hardware, software, and/or procedural mechanisms that record and examine activity in information systems that contain or use electronic protected health information.</p> <p>§ 164.308 Administrative safeguards.</p> <p>(a)(5)(ii)(C) Log-in monitoring (Addressable). Procedures for monitoring log-in attempts and reporting discrepancies.</p>	<ul style="list-style-type: none"> - Client-Server Logging: Capture Client-Server connections and activities related to the storage and transfer of files - Administration Logging: Keep an auditable record of server administrator actions - Syslog Support: Integrate WS_FTP logs with a company database or central data repository - Log viewer provides four levels of reporting including verbose for all client-server activity, administration activity and errors - Nested filtering provides custom views of file transfer or other server events - Logs are exportable in XML format - Automated notifications triggers communication and workflows. Generate email, SMS and pager alerts and launch external programs based on server events such as uploading a file or creating a directory - Log the details of encrypted connections to verify encryption strength and type negotiated for a given session - Session manager delivers real-time performance statistics on WS_FTP Server connections and file transfer events - Connection log shows all commands sent from WS_FTP Professional to a server and shows the replies from the server