Information Technology

Managing Information Assets

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What you need to know

• IT resources to be managed
• What’s available on your campus
• Systems/project management principles
• Policies, laws & other legal considerations
• Security Awareness
  Risk Assessment, Mitigation, & Monitoring
• Resources to help you
IT Resource Management

Managing

- People (IT staff, user support, programmer analysts)
- Data/Information (e.g., electronic records, databases)
- IT infrastructure
  - Systems (e.g., departmental billing system)
  - Software (e.g., “productivity” software)
  - Hardware (e.g., servers, desktops, laptops, PDAs)

Jargon: EIR = Electronic Information Resource(s)
ESI = Electronically Stored Information

Information Technology Basics

- Role of desktop systems
- Role of application systems in supporting business processes
- Role of network (web) & its available resources
- Security Risk Assessment
  - Network Security
  - Computer (Server, Desktop, Laptop) Security
  - Data Security ➔ Information Security

IT is only one part: Technical and “Social”
What’s Available?

Ask:

- Is something close already available?
- Is the data already available electronically?
- How can this integrate with existing (and anticipated) systems or services? Should it?
- What about security?

Be Proactive!

IT Systems/Project Management, 0

“But I don’t manage IT systems/projects”

- IT systems/projects may be “just” configuration/deployment
- Systems/Projects that are “not IT” often (increasingly) have significant IT components.
- IT (security) awareness
  - We all have to manage our own use.
  - “Social Engineering” weaknesses (e.g., “phishing,” “spear phishing,” and “whaling”)
IT projects can differ from other projects:
1. Changing technology, expectations, skills
2. Vendor viability/stability
3. Interactions with legacy systems
4. Technical staff
5. Increased Security Risks

IT projects must be:
1. Well Defined
   (Avoid scope creep. Consider scale.)
2. Cost Effective
3. Compatible
4. Sustainable (change control)
5. Secure and Auditable
UC New Business Principles
(Our common goals)
1. Enhance individual employee productivity
2. Encourage collaboration and partnerships
3. Manage technology as an investment
4. Focus on outcomes
5. Strive for simplification

UC Electronic Communications Policy
• Privacy, confidentiality, and security
• Allowable Use includes use “for incidental personal purposes”
• Key points updated in most recent version:
  – “Nonconsensual access”
  – “System Monitoring” (was “Unavoidable Inspection”)
  – Definitions of Public Records and University Administrative Records as in RMP-1 & RMP-8
  – Encryption advisory and guidelines as in IS-3
  – Retention and disposition as in RMP-2
Electronic Information Security

UC BFB IS-3 provides EIS guidelines

- Local campus implementation, coordination
- Key points in current version:
  - Scope now includes (all) “activities in support of the University’s mission”
  - Incident response and planning
  - “Physical” security including mobile devices and archives/backups

DMCA – Digital Millennium Copyright Act

- Provides for limits to the liability of online service providers who are unaware of violations
- Each campus has a designated agent to receive and handle notices of infringement
- Different rules for cases related to faculty or graduate students performing teaching or research than for students, faculty, and staff in general

Intellectual Property (IP) is Central to Universities

- DMCA is very visible but only a (small) part of universities’ copyright picture
- Copyright is only part of IP picture
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Policies, Laws & Regulations

• FERPA
  Family Education Rights Privacy Act
  – Privacy of student education records.
  – Allows students to block access to their information or even existence.

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Policies, Laws & Regulations

HIPAA = Health Insurance Portability & Accountability Act

• Protected Health Information (PHI)
  – Past, present or future physical or mental health or condition
  – Provision of or payment for health care to the individual

• Privacy regulations apply to PHI in any form or media: electronic, paper, or oral
• Security regulations apply to electronic PHI

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Personal Information Security Laws
California 2002 SB 1386 & 2007 AB 1298

Personal Information in Computerized Data
(California Civil Code 1798.29 & 1798.82-1798.84)

Must notify about security breach disclosing
“Personal Information” = Name & any of these:
– Social security number
– Driver's license or California ID Card number.
– Account number, credit or debit card number, in
  combination with any information that would
  permit access to an individual's financial account.
– Medical or Health Insurance Information

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Policies, Laws & Regulations

Electronic Discovery (“e-discovery”)
(“discovery” = pretrial disclosure)

• Federal Rules of Civil Procedure mandate
  the Identification & Preservation of
  Electronically Stored Information (ESI)
  when one should “reasonably should know
  that the evidence may be relevant to
  anticipated litigation.”

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Policies, Laws & Regulations

• More of all of these for research data.
• In general, more of all of these on the way.
• Identity theft a driving concern.
  – US Senate March 2007 hearings
    http://judiciary.senate.gov/hearing.cfm?id=2582
  Leading to Senate passing S.2168
    http://thomas.loc.gov/cgi-bin/bdquery/z?d110:s2168:
    now (April 2008) in House Subcommittee
  – FTC Business Guide (a guide, not regulation):
    “Protecting Personal Information”
    http://www.ftc.gov/infosecurity

Other Legal Considerations

PCI Data Security Standards
  PCI = Payment Card Industry = credit/debit cards
  PCI Data Security Standards are contractual
  obligation for those accepting payment via
  credit/debit cards

“Outsourcing” or “Sharing”
  Confidential/Private/Restricted/Sensitive
  Information
What is “IT Security”?  

- “Information Technology” resources  
  - Computer networks  
  - Computers: “Servers,” Desktops, Laptops  
  - Portable computing & data storage devices  
  - Data stored (“at rest”) or being transmitted  
  
  UC jargon for these is “EIR”  
  = “Electronic Information Resources”  

- Security = Maintaining legitimate use & blocking unauthorized uses  

Six Scary Pages Coming Up!

What are the risks?  

- Unauthorized Access to Restricted or “Sensitive” Information  
- Compromised Computer System  
  (“compromised” = unauthorized access)  
  - Attacks on network or other computer systems  
  - Normal work blocked/impeded  
  - Data/Information destroyed or altered  
  - Restricted/Sensitive Information Disclosed
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The Risks are Real

- Lost laptops and portable storage devices
- Data/Information “left” on public computers
- Data/Information intercepted in transmission
- Spyware, “malware,” “keystroke logging”
- Unprotected computers infected within seconds of being connected to the network
- Thousands/Millions/??! of attacks every day

Data/Information Where It Does Not NEED To Be!

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The Problem is Growing

- Increasing number of attacks
- Security exploits spread in minutes not days
- “Script Kiddies” use powerful tools
- Serious hackers have even better tools

Opportunistic Exploitation increases with increased publicity/awareness
Ad Hoc & Organized Criminal Networks

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Managing Information Assets
Personal Identity “Incidents”

<table>
<thead>
<tr>
<th>People</th>
<th>Date</th>
<th>University</th>
</tr>
</thead>
<tbody>
<tr>
<td>178,000</td>
<td>April 2004</td>
<td>San Diego State</td>
</tr>
<tr>
<td>380,000</td>
<td>May 2004</td>
<td>UC San Diego</td>
</tr>
<tr>
<td>207,000</td>
<td>May 2004</td>
<td>UCLA (2 thefts)</td>
</tr>
<tr>
<td>600,000</td>
<td>September 2004</td>
<td>UC Berkeley</td>
</tr>
<tr>
<td>98,000</td>
<td>March 2005</td>
<td>UC Berkeley</td>
</tr>
<tr>
<td>120,000</td>
<td>March 2005</td>
<td>Boston College</td>
</tr>
<tr>
<td>107,000</td>
<td>April 2005</td>
<td>Tufts</td>
</tr>
<tr>
<td>106,000</td>
<td>April 2006</td>
<td>University of Texas at Austin</td>
</tr>
<tr>
<td>26,500,000</td>
<td>May 2006</td>
<td>US Government</td>
</tr>
<tr>
<td>367,000</td>
<td>May 2006</td>
<td>Ohio University</td>
</tr>
<tr>
<td>220,000</td>
<td>June 2006</td>
<td>Western Illinois University</td>
</tr>
<tr>
<td>170,000</td>
<td>July 2006</td>
<td>Nelnet (student loan company; missing tape)</td>
</tr>
<tr>
<td>45.7 to 94 million</td>
<td>July 2005(?) – Feb 2007</td>
<td>TJX (TJ Maxx, Marshalls, etc. = 2,500 stores)</td>
</tr>
<tr>
<td>800,000</td>
<td>November 2006</td>
<td>UCLA</td>
</tr>
<tr>
<td>63,000</td>
<td>1996 – April 2007</td>
<td>US Census Bureau</td>
</tr>
</tbody>
</table>

Educational Security Incidents: http://www.adamdodge.com/esi/

“Sensitive” Data

- Passwords
- Research data
- Human resources personnel files
- Student information
- Email messages
- Professor’s contact list
- Personal phone numbers
- Home address
- Birth date
- Ethnicity information
- Gender information

Would you want such information about you in unknown/everyone’s hands?

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Why care about (EIR) Security

- Legal responsibilities
- Institutional & Personal Reputation & Trust (e.g., identity theft)
- Lost Time, Lost Work
- Denial of Service
- Cost of Remediation
- Real risks/threats and Real consequences

*Even “small” incidents can be “Big Trouble”*

Electronic Information Security

- IS-3 framework
  - Policy revision: Change of context/scope
  - Campus-level coordination
  - Identify and limit risk
- Technical measures
  - May need administrative backing. For example, Minimum standards (requirements) for network-connected devices; scanning & monitoring
- “Social” measures (“Social Engineering”)
  Security Awareness, Reaching Everyone
Security Awareness

1. Use/store restricted/sensitive information very carefully/sparingly
2. Good password practices
3. Secure transmission: VPN, https, ssh, …
4. Be very cautious with email and web
5. Encrypt (or de-identify) data on mobile devices and store definitive copy elsewhere
6. Archive information on professionally managed systems
7. Keep critical software up to date: patches and virus protection

“My Personal Password Practices”

• Different passwords for different uses
• When need to write passwords down:
  Use personal obfuscatory codings
  “june+3” ↩ “3-neju” “ff” ↩ “5” or “30”
  8 ↩ a,  3 ↩ e,  6 ↩ i,  4 ↩ o,  5 ↩ u
  Even when saved in an encrypted file
• Good free, open source encryption:
  http://www.truecrypt.org/
• Develop your own practices
Where are the risks?

Security Breach Notifications to the California Office of Privacy Protection

- 46% Lost or stolen laptops or other devices
- 21% Hacking (may include social engineering)
- 11% Web site exposures
- 5% Insiders
- 5% Improper disposal
- 5% Mis-sent mail/e-mail

Mobile Devices & Communications

- **Assume the device will be lost or stolen**
- Limit the information stored
- Encrypt or de-identify the information ("De-identify" = Require access to data stored elsewhere to make this information of value.)
- Keep a Current, Secure backup
- Backups can amplify security risk.
- Use Secure Communications
- Even Greater Care needed when using equipment other than “your own”
  “Keystroke loggers” always a possibility.
IT Security Awareness

Summary

• Technical measures/staff key, but “can only do so much”
• “End user” information security responsibility
• Balance technical and “social”
• Areas of continued & growing risk:
  – Information where it doesn’t have to be
  – Mobile devices, “backups,” “spare copies”
  – Insecure communication and passwords
  – End user inattention and lack of caution
• Balance costs, risks and convenience

UC Information Security Working Group

• April 2005: Initiated by UC President & Chancellors
• August 2005: Report focusing on “safeguards for restricted information in electronic form”
• Leadership Initiatives to
  Ensure Information Security
  “Information Security is an Exercise in Risk Management.”
• Management Initiatives to
  Safeguard Restricted Data
UC ISWG Recommendations

- Leadership:
  Chancellors (or their designates) develop “guidelines to ensure compliance with standards of accountability for data security breaches.”
- UC-wide communication campaign
- Information security training
- Handling of security incidents
- Policy updates
- Campus security programs
- Encryption
  http://www.ucop.edu/irc/itsec/uc/EncryptionGuidelinesFinal.html

UC IT Leadership Council (ITLC)

- Chief Information Officers (CIO's) and other senior IT leaders
- Quarterly Meetings with “Campus Reports”
- Initiatives (Federated Authentication Project)
- Specifications for “corporate systems communications” (e.g., corporate budget system, undergraduate admissions)
- Sponsor/Participate in Conferences, Awards
UC ITLC’s Primary Purposes

- Provide IT Leadership
- Promote Inter-Campus IT Collaboration
- Guide Development of IT Applications & Services
- Promote IT Policy Strategy and Development
- Encourage Collaboration among UC Constituencies
- Ensure Requisite IT Infrastructure
- Seek Economies of Scale
- Develop and Promote Funding Strategies
- Facilitate Information Flow and Responsiveness
- Represent UC in External Forums

You Are Not Alone

Many Resources Available:
- Central IT organizations/experts on security, etc.
- Internal Audit
- Records Management contacts & online resources
- Campus/General Counsel
- Organizations like NACUBO and EDUCAUSE: meetings, training, email lists, web sites
- UC-wide groups and email lists
- Magazines, journals
- Peers
- The Web
Web Sites, 1

- UC Electronic Communications Policy (ECP)
  http://www.ucop.edu/ucophome/policies/ec/
- UC Business and Finance Bulletins (BFB)
  http://www.ucop.edu/ucophome/policies/bfb/
  - IS – Information Systems
    http://www.ucop.edu/ucophome/policies/bfb/bfbis.html
    - IS-3, Electronic Information Security
      http://www.ucop.edu/ucophome/policies/bfb/is3.pdf
  - RMP – Records Management Practices
    http://www.ucop.edu/ucophome/policies/bfb/bfbrmp.html
    - RMP-2, Records Retention and Disposition
      http://www.ucop.edu/ucophome/policies/bfb/rmp2.pdf

Web Sites, 2

- Copyright and DMCA (Digital Millennium Copyright Act)
  http://www.ucop.edu/irc/policy/copyright.html
  http://www.universityofcalifornia.edu/copyright/
- FERPA (Family Educational Rights & Privacy Act)
  http://www.ed.gov/offices/OM/fpco/ferpa/students.html
- HIPAA (Health Insurance Portability & Accountability Act)
  http://www.hhs.gov/ocr/hipaa/
- Ca Civil Code 1798.29 & 1798.82-.84 (SB 1386 & AB 1298)
  http://www.privacy.ca.gov/lawenforcement/laws.htm
- NACUBO (National Association of Colleges & University Business Officers)
  http://www.nacubo.org/
- EDUCAUSE
  http://www.educause.edu/
Web Sites, 3

- UC ITLC (UC Information Technology Leadership Council) http://www.ucop.edu/irc/itlc/
- UC Information Technology Guidance Committee http://www.universityofcalifornia.edu/itgc/
- IT Security at the University of California http://www.ucop.edu/irc/itsec/uc/
- UC ITPSO (UC Information Technology Policy and Security Officers) http://itpolicy.berkeley.edu/UCITPSO

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- Dave Tomcheck, UC Irvine – Former Associate Vice Chancellor, Administrative & Business Services

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Security Awareness

1. Use/store restricted/sensitive information very carefully/sparsely
2. Good password practices
3. Secure transmission: VPN, https, ssh, …
4. Be very cautious with email and web
5. Encrypt (or de-identify) data on mobile devices and store definitive copy elsewhere
6. Archive information on professionally managed systems
7. Keep critical software up to date: patches and virus protection

1. Restricted/Sensitive Data

- Do you need to have restricted/sensitive information on your computer or portable storage device?
  - “Portable storage device” = Laptop, PDA, “USB memory key,” CD, …
- If not, get rid of your copy. Access the information securely from a secure site.
- If you need your own copy, protect it.
- If you don't have support, you must learn to protect it yourself.
- If you have support, follow its guidance.
2. Guidelines for “Good” Passwords

• Hard to guess, but memorable (for you)
  – Six to 12 characters in length.
  – At least 1 of each of the following:
    Upper case letters; Lower case letters;
    Digits; Special characters: ,._+-!=*%$#@()
  – Use digits for letters and syllables:
    1=L,l; 2=to,Z; 3=E; 4=for(e); 5=S; 8=ate
  – Possibly a short phrase (e.g., “2L8&2L1ttl3”)
  – Combine root with prefix, suffix, or infix
• Different passwords for different uses
• Change regularly.

3. Secure transmission

• “Secure connection” = no third-party eavesdropping
• https = A secure web connection
  – Look for the “s” in the URL of a web site.
    Typically, also the icon of a closed padlock
  – Doesn’t mean the site can be trusted, only that
    the connection to it is secure (encrypted)
• VPN = Virtual Private Network
  – A secure (encrypted) connection to a trusted
    network, using special software on your computer
4. Email & Web Security Awareness

- Do not open unexpected attachments
  - Cannot trust apparent source to be real source
  - Trusted source may send “dangerous” email
  - Unknown sources are to be trusted even less
- Do not send sensitive information via email
- HTML email=web page from unknown source
- Know source of current page and link target

All these “rules” are better viewed as cautions than as absolutes.

5. Protect Data on Mobile Devices

- Assume the device may be lost or stolen
- Store a definitive copy elsewhere on a secured system
- Encrypt or de-identify data on mobile devices
  - “De-identify” = Remove personal identifying information. This information can be replaced by other values which can be used to retrieve the original information from a secure system
6. Data Archiving & System Backup

- When a system has been compromised, the best or only way to restore it to service may require “rebuilding from scratch,” sacrificing any information not stored elsewhere.
- Archiving information creates another copy which also must be secured.
- Data on CDs or other mobile storage devices is vulnerable to loss or theft.
- Archive/backup on a professionally managed system.

7. Keep critical software up to date

- Unless advised otherwise by IT support staff, enable the automatic update feature on the software you have installed.
- Set your virus protection software for automatic updates and to scan e-mail before it is opened (especially e-mail attachments) and files whenever you open them.