Information Asset Classification System (IACS)

User Guide

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Information Asset Classification System User Guide

1. Background

As State Agencies, we are obligated to protect the information that New York State citizens have entrusted to our care. In order to appropriately protect information, we must know what data we have and understand its value. The Enterprise Information Security Office issued the *Information Classification Standard (NYS-S14-002)* and *Information Security Controls Standard (NYS-S14-003)* to uniformly protect information entrusted to State Agencies. The *Information Classification Standard* defines a classification scheme for information. The *Information Security Controls Standard* supplies baseline controls to protect the confidentiality, integrity and availability of information.

To assist State Agencies in their information classification efforts, an on-line tool called the **Information Asset Classification System (IACS)** has been developed. This user guide describes the features in IACS and provides the step-by-step process to define and classify information assets in accordance with the *Information Classification Standard*. For further information regarding the information classification process, review the *Information Classification Standard* and *Information Security Controls Standard* at:
www.its.ny.gov/tables/technologypolicyindex.htm/security

Look for *Helpful Tips* throughout this user guide for additional information on using IACS.

2. Accessing IACS

IACS may be accessed using My NY.gov Online Services: https://my.ny.gov/

2.1 My NY.gov Online Services Login Screen

You will be presented with the My NY.gov Online Services login screen. The application requires you to enter your NY.gov ID and password to logon.

You must have a NY.gov ID entitled to use the application. Questions regarding obtaining a NY.gov ID and/or IACS entitlement should be directed to your agency NYSDS Delegated Administrator/Entitlement Administrator. NY.gov ID password resets should also be directed to your agency NYSDS Delegated Administrator.

Please login after reading the Acceptable Use Policy below

NY.gov ID

Username:

Password:

Sign In

Forgot your Username or Password ?
NY.gov ID - Terms of Service
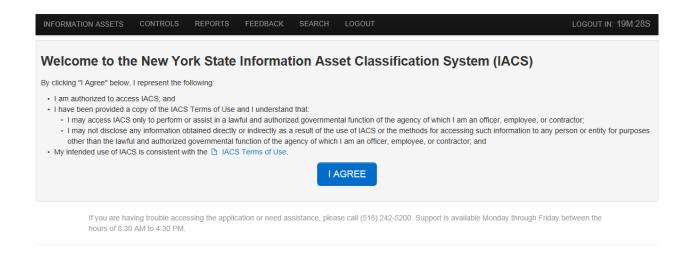
Agency Assistance & Contact Information

ACCEPTABLE USE POLICY FOR USERS OF NY.gov

This application uses the New York State (hereinafter State) Central Directory Service of the NYeNet for authentication and authorization. In addition to any obligations arising under acceptable use policies or terms of service implemented by NYeNet Participating Organizations, logging into this application indicates your agreement to abide by the following:

1. You shall use this application only for purposes directly related to the conduct of official business with the State or its agencies and the application shall not be used for nonpublic purposes including, but not limited to, the pursuit of personal activities, the mass distribution of unsolicited messages ("spamming"), and the promotion of commercial ventures or religious or political causes;
2. You are responsible for acquiring and safeguarding your own user ID and password used to access this application;
3. You shall be responsible for any activity attributable to the use of your account whether by you or any other person;
4. You shall not engage in activities that may cause interference with or disruption to any network, information service, equipment or user thereof;
5. You shall comply with all applicable confidentiality and security requirements as set forth in any applicable acceptable use policies or terms of service implemented through this application directly or by NYeNet Participating Organizations, and shall not seek information on other users or attempt to obtain access to, copy, or modify other users' files without express permission;
6. You shall not violate the rights of any person or entity protected by copyright, trade secret, patent, or other similar laws or regulations;
7. You shall not use this application for any fraudulent or illegal purpose, including, but not limited to, the transmission of obscene or harassing materials;
8. You must report any abuse or misuse of this application to ITS and you shall cooperate fully in any investigation into any such abuse or misuse, and
9. You understand and agree that the State reserves the right to revise, amend, or modify this Acceptable Use Policy or other related policies and agreements at any time in any manner. Notice of any revisions, amendments, or modifications will be posted on this and other sites.

2.2 IACS Welcome page

On the Welcome page, view and agree to the **IACS Terms of Use**. The only other action allowed on this screen is **LOGOUT**.

3. IACS Menu Bar

Functions available in IACS are listed on the main menu bar at the top of the screen.

3.1 Home – Welcome Page

The **Welcome** page provides a summary of your active information assets. **Quick Links** and **Reference Documents** are also available on this page.

3.2 Information Assets

The **INFORMATION ASSETS** menu allows you to manage your assets. Existing assets will be listed by default in **Asset Name** order. Assets may also be sorted by **Unique Asset Id**, **Owner** and **Custodian** by clicking on the column heading.

Assets can be filtered by clicking on **ALL**, **UN-CLASSIFIED**, **ARCHIVED**, **ACTIVE**, and **MOST RECENT**.

3.2.1 Add an Information Asset

To add an information asset, click on **ADD NEW ASSET** on the **Information Asset List** page or from the **INFORMATION ASSETS** drop-down menu. The following screen will appear.

| INFORMATION ASSETS ▾ | CONTROLS ▾ | REPORTS | FEEDBACK | SEARCH | LOGOUT | | LOGOUT IN: 17M:09S |

🏠 Home / Information Asset List

📄 CREATE FROM GENERAL SCHEDULE TEMPLATE   ★ *indicates a required field*

Department: [n/a ▾]

★ Name of Information Asset: [   ]

Description of Information Asset: [   ]

Information Asset Use: What business need does the information asset satisfy? [   ]

★ Information Asset Format: ☐ Electronic   ☐ Physical Media (Paper)

★ Information Asset Storage: Hold down the CTRL key to select multiple values
[database
desk
file cabinets
memory]

Source of Information: [   ]

Business Process(es) Supported: [   ]

★ Information Owner: [   ]

★ Information Custodian: [   ]

Internal Information User(s): [   ]

External Information User(s): (e.g., other State Agencies, other governmental agencies,public) [   ]

Information Asset ID Number: (You may specify your own id number or one will be auto-generated) [   ]

[ADD] [CANCEL]

All required fields are marked with a star (☆). Enter the requested information and click on **ADD** to save your entry and proceed to the **Asset Information Details** page.

Changes to asset information can be made at any time after the asset has been added using the **EDIT** feature on the **Information Asset List** page or the **Information Asset Details** page.
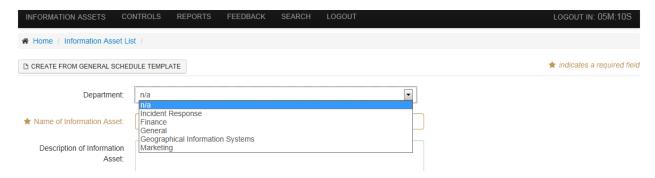
> ***Helpful Tip:*** *IACS is designed to protect against system compromise through user input. Therefore, certain special characters may not be displayed correctly (e.g., apostrophe) or may not be accepted.*

Helpful Tip: *A 20 minute inactivity time out period is enforced.* *A* **SESSION TIMEOUT** *meter is provided on the main menu bar for your reference.*

3.2.2 Field Descriptions

Field descriptions can be found in the *Information Classification Standard*. Several field descriptions are provided below for your reference. Check with your IACS agency support staff regarding field use at your agency.

Department: Select the appropriate Department name from the drop-down menu (if applicable). Department names are managed by the designated IACS Agency Administrator for your agency.

Information Asset Storage: Select where the information asset is stored. Multiple selections may be made.   Your agency IACS Administrator can customize these selections.

Information Asset ID Number: The application will auto-generate a number. If preferred, you may specify your own id number.   Check with your IACS agency support staff for numbering conventions.

3.2.3 Classify an Asset

Once an asset is saved, it can be classified at any time by selecting **Classify** from the **Asset Information Details** page.

You may also select **Classify** from the **Information Asset List** page as depicted below.

> ***Helpful Tip:*** *To delete an asset, select the* **Delete** *button. An asset may only be deleted if it has not yet been classified.*

To classify an asset you will be asked a series of questions in 3 categories - Confidentiality, Integrity and Availability.

As you answer the questions on each tab, an initial determination of the asset's classification will appear in the lower left hand corner. An asset is classified as Low, Moderate or High in each category. If it is determined, after answering a question, that the rating for a category is High, you are not required to complete the remaining questions in that category. However, doing so may provide you with a better understanding of the risks associated with the information asset.
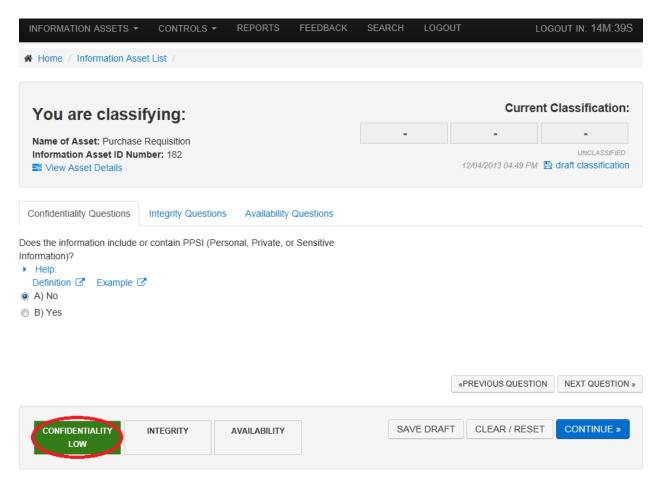

When you have completed the required questions for each of the 3 categories, click the **CONTINUE** button. Other options available on the classify screen include **SAVE DRAFT**, which allows you to save an incomplete classification and complete it at a later time. You may also clear your answers by clicking on the **CLEAR / RESET** button. A **HELP** link to the *Information Classification Standard* is available below each question, if you need assistance.

> ***Helpful Tip:*** *If the application does not detect any activity (e.g., click on **SAVE DRAFT**), it will time out after 20 minutes and any work that has not been saved will be lost.*

> ***Helpful Tip:*** *A saved **draft classification** is accessible from the **Information Asset Information Details** page or classify page (as shown above).*

On the confirmation screen, you may enter a **Summary Comment for the Classification**. You also have the ability to override the classification by category. All override values must set a classification value higher than the calculated classification. If an override category is selected, you may enter **Comments** for the override. If you do not wish to override the classification, choose **SAVE CLASSIFICATION**.

Any classification comments or override comments may only be edited by the person who entered them or by your agency designated IACS Administrator. The comments are accessible from the **Information Asset Details** page.

Helpful Tip: An override is used if the asset warrants a higher classification than suggested. If an override for a category is selected, the classification rating will be flagged with an asterisk for that category

Once you save the classification data, the **Information Asset Details** page is displayed.

Information on **RECORD HISTORY** and **CLASSIFICATION HISTORY** can be viewed. Functions available on this page include **Edit**, **Archive**, **Manage Controls** and **Re-classify**. All of these functions are also available from the **Information Asset List** page as shown below.

> *Helpful Tip: Assets are archived when they have reached their end of life. Information on archived assets may be found under INFORMATION ASSETS or under REPORTS.*

3.2.4 Re-classify an Asset

To re-classify an asset, click on the **Re-classify** link from either the **Information Asset Details** page or the **Information Asset List** page. The following screen will display.

The option to **LOAD ANSWERS** from the last classification to use as a starting point for a new classification is provided for your convenience.

> *Helpful Tip:* A **HISTORY** *link of past answers to a question will be displayed if you are re-classifying an asset.*

3.2.5 General Retention & Disposition Schedule Templates

Asset templates and classifications are provided for the record series identified in the *General Retention and Disposition Schedule for New York State Government Records*, issued by the New York State Archives, State Education Department. They are available by selecting **CREATE FROM GENERAL SCHEDULE TEMPLATE** when adding a new asset.

When **CREATE FROM GENERAL SCHEDULE TEMPLATE** is selected the 200 plus records series are displayed. A partial list is shown below.

In order to add one of the record series, click on that record. The asset form will be pre-populated as shown on the next page.

You will need to fill-in the remaining required fields.

> *Helpful Tip:* Use **CTRL-F** to find a particular asset template.

🏠 Home / Information Asset List /

📄 CREATE FROM GENERAL SCHEDULE TEMPLATE   ★ *indicates a required field*

Department: n/a ▼

★ Name of Information Asset: Personal History Files

Description of Information Asset:

Information Asset Use:
What business need does the information asset satisfy?

> Records related to an individual's employment history with an agency. Personal history files generally include applications, résumés, appointment letters, probation reports, performance program evaluations, disciplinary actions, veterans status certifications, employee information forms, memoranda and

★ Information Asset Format: ☐ Electronic   ☐ Physical Media (Paper)

★ Information Asset Storage:
Hold down the CTRL key to select multiple values

> database
> desk
> file cabinets
> memory

Source of Information:

Business Process(es) Supported:

★ Information Owner:

★ Information Custodian:

Internal Information User(s):

External Information User(s):
(e.g., other State Agencies, other governmental agencies,public)

Information Asset ID Number:
(You may specify your own id number or one will be auto-generated)

> 90001

[ADD]   [CANCEL]

After you **ADD** the asset, the following screen will display with the classification information pre-populated.

It is important to keep in mind that the provided classifications are <u>recommendations</u>. Each organization is responsible for determining if the classifications are appropriate for its specific environment and whether any changes are necessary.

3.3 Controls

Once an asset is classified, the security controls for the classification can be viewed by selecting **Manage Controls** from the **Information Asset Details** page or from the **Information Asset List** page.

Helpful Tip: Descriptions for each control are provided in a drop-down box by clicking on the control.

Security controls may also be viewed by selecting **CONTROLS** from the menu bar. Explanations for each control are displayed in the **GLOSSARY**. The controls may be listed by Confidentiality-Integrity-Availability (**LIST BY CIA**) and by classification rating (**LIST BY CLASSIFICATION**). Partial screen shots of the options are provided on the following pages.

GLOSSARY

Controls

glossary   list by CIA ▾   list by classification

INFORMATION CONTROL CHARTS GLOSSARY

#	Control	Need	Control Type	Explanation/Clarification	CIA	Control Rating	Suggested Role
1	Access approval/removal process (audit)	R	Authorization	Audit the access approval/removal process at least annually.	C	HIGH	ISO
2	Access approval/removal process in place	R	Authorization	The State Entity must have a formal documented process in place to grant access to it's information assets. Information is provided on either a role-based or need to know/need to do basis. Access is granted for a specific need and is taken away when the need is no longer present.	C	Low	State Entity

Helpful Tip: *The Glossary is sorted by default in number (#) order. It may also be sorted by* **Control Rating** *or* **Suggested Role***.*

LIST BY CIA

Controls

glossary   list by CIA ▾   list by classification

	Confidentiality
	Integrity
	Availability

LOW CONFIDENTIALITY CONTROLS

Glossary X-Ref #	Control R=Required O = Optional
2	▶ R - Access approval/removal process in place
3	▶ R - Access authorized by information owner

LIST BY CLASSIFICATION

Controls

glossary   list by CIA ▾   list by classification

INFORMATION CONTROL CHARTS CLASSIFICATION RATING MENU

Classification Rating	Confidentiality	Integrity	Availability
L L L	LOW	LOW	LOW
L L M	LOW	LOW	MODERATE

3.4 Security Controls Gap Analysis

After an asset is classified, a security controls gap analysis may be performed by selecting **Manage Controls** from the **Information Asset Details** page or from the **Information Asset List** page. All IACS users have the ability to perform the gap analysis (i.e., assert the status of a control), however only IACS users with confirmation privileges can confirm or un-confirm the status of a control.

Controls may be managed individually (select **Manage**) or managed as a group (select **Bulk Update**) as shown in the screen shot below. **Statistics** on the status of controls are also provided.

The following page depicts individually and group managed controls.

INDIVIDUALLY MANAGED CONTROL

INFORMATION ASSETS ▼   CONTROLS ▼   REPORTS   FEEDBACK   SEARCH   LOGOUT   LOGOUT IN: 19M:00S

🏠 Home / Controls /

Mark Control as Applied PURCHASE REQUISITION

← Asset Control List   Manage Asset Control

Control Name	Backup recovery procedures MODERATE	**Information Asset Name:**	Purchase Requisition
Control Description	Written procedures for recovery of electronic information from backup must be defined and tested.	**Information Asset ID #:**	Electronic,Physical Media (Paper)
		Information Asset Format:	file cabinets,network share
Glossary X-Ref#	11	**Information Asset Storage:**	☰View Asset Details

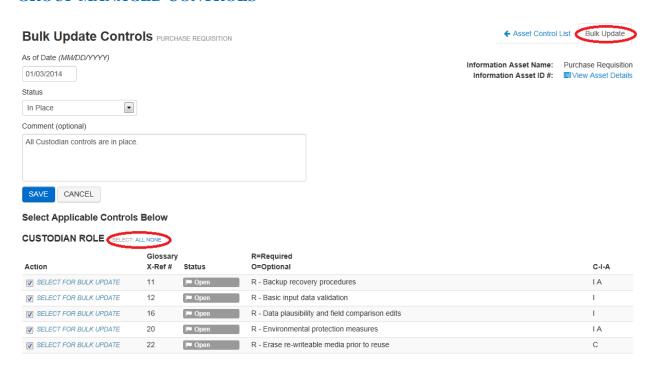**INTEGRITY (I): MODERATE**   **AVAILABILITY (A): MODERATE**

As of Date *(MM/DD/YYYY)*

12/18/2013

Last Asserted By   N/A
Confirmed By *   N/A
Last Updated   N/A

Status

Open ▼

Open
N/A
In Place

* ONLY USERS WITH CONFIRMATION PRIVILEGES CAN CONFIRM OR UN-CONFIRM A CONTROL.

SAVE   CANCEL

GROUP MANAGED CONTROLS

Bulk Update Controls PURCHASE REQUISITION

← Asset Control List   Bulk Update

As of Date *(MM/DD/YYYY)*

01/03/2014

Information Asset Name: Purchase Requisition
Information Asset ID #:   ☰View Asset Details

Status

In Place ▼

Comment (optional)

All Custodian controls are in place.

SAVE   CANCEL

Select Applicable Controls Below

CUSTODIAN ROLE SELECT: ALL NONE

Action	Glossary X-Ref #	Status	R=Required O=Optional	C-I-A
☑ SELECT FOR BULK UPDATE	11	⚑ Open	R - Backup recovery procedures	I A
☑ SELECT FOR BULK UPDATE	12	⚑ Open	R - Basic input data validation	I
☑ SELECT FOR BULK UPDATE	16	⚑ Open	R - Data plausibility and field comparison edits	I
☑ SELECT FOR BULK UPDATE	20	⚑ Open	R - Environmental protection measures	I A
☑ SELECT FOR BULK UPDATE	22	⚑ Open	R - Erase re-writeable media prior to reuse	C

To perform the controls gap analysis, review the listed control(s) and select the appropriate status:
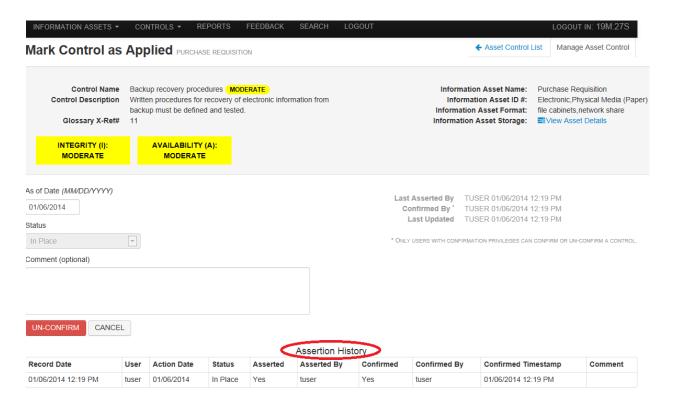
- **In Place** (the control is in place within the organization)
- **N/A** (the control is not applicable to the asset)
- **Open** (the control is currently not in place within the organization)

A **Comment** field is provided to document additional information regarding the control(s). Click the **SAVE** button.
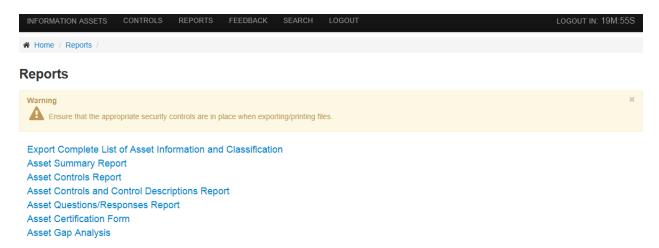
A status history (as shown below) is maintained for each control and may be viewed by selecting **Manage** on the **Asset Control List**.

Helpful Tip: *To determine the status of controls, the information owner should recruit and work with subject matter experts who have specific knowledge about the security controls implemented within the organization. The Information Security Officer along with the Information Custodian may be called upon to advise and assist.*

3.5 Reports

A selection of reports is available under **REPORTS**.

Information regarding your assets may be exported to Excel using the **Export Complete List of Asset Information and Classification** report.
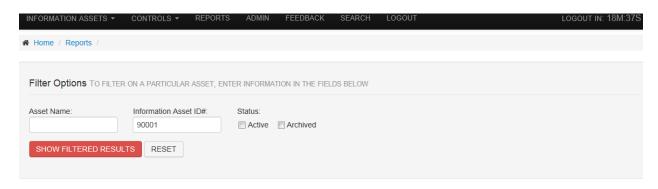
> **Helpful Tip:** *Ensure that the appropriate security controls are in place when exporting and printing files.*

The **Asset Summary Report**, **Asset Controls Report**, **Asset Controls and Control Descriptions Report**, **Asset Questions/Responses Report** and the **Asset Certification Form** allow you to filter on a particular asset or show all assets.

The **Asset Gap Analysis** provides a high level view of controls that are in place for classified assets by Department.

A sample of the **Asset Questions/Response Report** is shown on the following page.
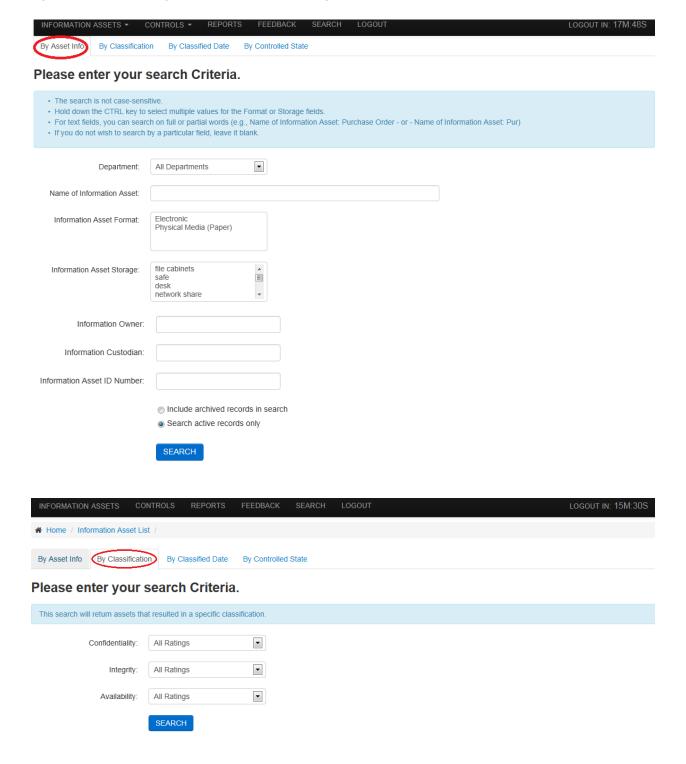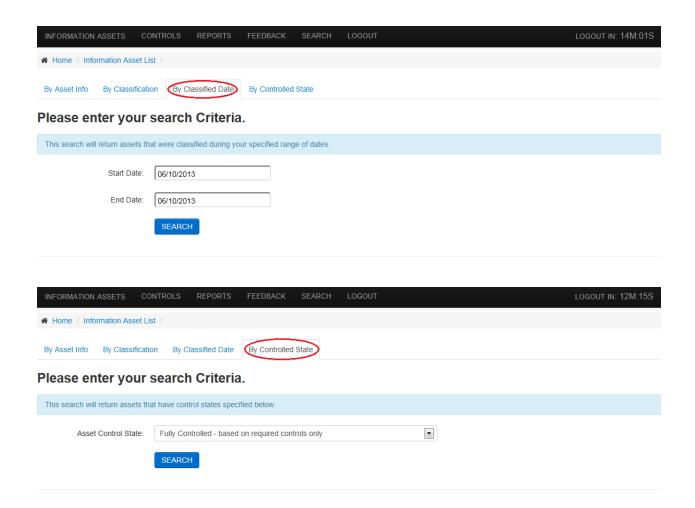
ASSET QUESTIONS/RESPONSE REPORT

Filter Options TO FILTER ON A PARTICULAR ASSET, ENTER INFORMATION IN THE FIELDS BELOW

Asset Name: Information Asset ID#:   Status:
                           90001   ☐ Active   ☐ Archived

[SHOW FILTERED RESULTS]   [RESET]

Information Asset Questions/Responses Report

Name of Information Asset:	Personal History Files
Information Asset ID Number:	90001
Information Asset Status:	Active
Current Classification:	Confidentiality : High
	Integrity : High
	Availability : Moderate

Q & A:

Confidentiality

Does the information include or contain PPSI (Personal, Private, or Sensitive Information)?

B) Yes

Integrity

Does the information include medical records?

B) Yes

Availability

Is availability of the information essential for emergency response or disaster recovery?

A) No

This information needs to be provided or available:

B) Within 1 to 7 days

What is the impact to health and safety if information were not available when needed?

B) Limited impact

What is the financial impact if information were not available when needed?

B) Limited impact

What is the impact to the State Entity mission if information were not available when needed?

B) Limited impact

What is the impact to the public trust if the information were not available when needed?
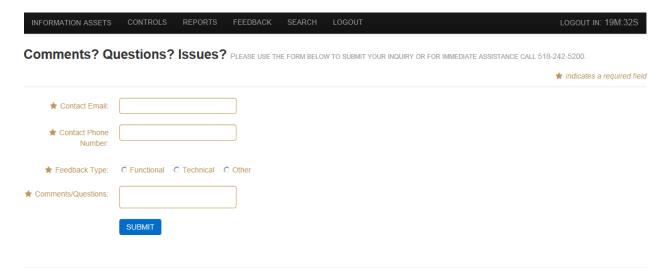
B) Limited impact

3.6 Search

SEARCH functionality is available from the menu bar. Search options include **By Asset Info**, **By Classification**, **By Classified Date**, and **By Controlled State**.

INFORMATION ASSETS   CONTROLS   REPORTS   FEEDBACK   SEARCH   LOGOUT   LOGOUT IN: 14M:01S

⌂ Home / Information Asset List /

By Asset Info   By Classification   By Classified Date   By Controlled State

Please enter your search Criteria.

This search will return assets that were classified during your specified range of dates.

Start Date: 06/10/2013

End Date: 06/10/2013

SEARCH

INFORMATION ASSETS   CONTROLS   REPORTS   FEEDBACK   SEARCH   LOGOUT   LOGOUT IN: 12M:15S

⌂ Home / Information Asset List /

By Asset Info   By Classification   By Classified Date   By Controlled State

Please enter your search Criteria.

This search will return assets that have control states specified below.

Asset Control State: Fully Controlled - based on required controls only ▾

SEARCH

3.7 Feedback

If you have questions or comments regarding the application, you may submit them by filling out the form under **FEEDBACK** as shown below. The **Contact Email** and **Contact Phone Number** fields will be pre-filled. Click on the **SUBMIT** button to forward.

3.8 Logout

To logout out of the application select **LOGOUT** from the menu.

4. Contact Information

Questions concerning this guide may be directed to the Enterprise Information Security Office at (518) 242-5200 or eiso@its.ny.gov.