

18c – Tools and Resources to Support Awareness and

Training

Action Item Template Response

General Action Item Information

Lead Division/Office: Information and Infrastructure Assurance (IIA)

Action Item Number: 18c

Action Item Short Name: Tools and Resources to Support Awareness and Training

Also supports other Action Items: 18a, 18b Implementation leader (name & email): Merri Beth Lavagnino (mbl@iu.edu); Scott Wilson (szw@iu.edu)

Description:

IU should continue its program of outreach and education to increase the awareness and understanding of security and privacy issues among all members of the university community. Individuals who interact with sensitive, important, and/or private resources should have appropriate training in order to fully understand their responsibilities regarding privacy, and should periodically receive updated training.

I. DESCRIBE YOUR PLANS FOR IMPLEMENTING THIS ACTION.

We envision:

Every employee receiving basic awareness on information security and privacy issues as part of the hiring process and at regular intervals throughout his or her tenure at Indiana University.

Every student receiving basic awareness on information security and privacy issues as part of the matriculation process and at regular intervals throughout his or her tenure at Indiana University.

An Awareness and Training Registry that records which information security and privacy awareness and/or training activities - both basic and specialized - an employee has participated in (i.e. attended or completed) or received (i.e. mailed or emailed) and on what date.

An Online Training Tool that houses high-quality training modules addressing specialized awareness and/or training related to information security and privacy.

Supervisors, Data Stewards and Data Managers, and Compliance staff able to efficiently indicate which employees are required or desired to achieve what level of mastery in which Awareness or Training module or activity.

Supervisors, Data Stewards and Data Managers, and Compliance staff able to efficiently identify which awareness or training modules an employee is required to complete but has not yet completed, and to easily prompt the individual to do so by a certain date.

Effective corrective measures taken when an employee, especially one who interacts with sensitive, important and/or private resources, does not complete required awareness and/or training activities.

Based on the management information made available in the above tools (especially the Online Training Tool), the ability to tailor awareness and training materials to the identified needs of targeted segments of the university community, depending on changing risks and identified knowledge misunderstandings and gaps.

Action	Priority Category	Priority Number	Description
A	High (now)	2	Online Training Tool - Create or purchase a central tutorial and quiz tool to put all compliance and training modules in one place. (Perhaps cross reference with Action 26, 35)
B	High (now)	1	Awareness and Training Registry - Keep track of all awareness and training activities completed or received per employee. Make it possible for the individual, his or her supervisor, compliance, data steward/manager, legal, and audit, able to look up results. One challenge to address will be to identify an electronic means of knowing who supervises a given employee. PROGRESS: November 2009: Names being sought to serve on a specifications committee that will identify university-wide requirements for this Registry (and Online Training Tool). Committee to be chaired by Scott Wilson.
C	Medium (soon)	-	Infrastructure for delivering regular communications about information security and privacy to employees.
D	Medium (soon)	-	Logistics/infrastructure for training coordination. It may be possible to leverage IT Training infrastructure for online registration tool, and use of room and equipment.
E	Low (later)	-	Information Security, Policy, and Privacy portal powered by operational and stable CMS.

II. WHAT ARE THE POLICY AND PRACTICE IMPLICATIONS OF YOUR PLANS?

In order for this action to be successful, all members of the university community, especially faculty and staff, will need to allocate time and effort to this action.

The successful implementation of this action is furthered by active participation by:

- Human Resources, to ensure that all employees assent to and regularly re-assent to user agreements, and fulfill user awareness and training requirements. Corrective measures will be necessary in cases where employees, especially those who interact with sensitive, important and/or private resources, do not fulfill their identified assent, awareness, and training requirements.

- the Committee of Data Stewards and associated data managers, to ensure that all employees who interact with sensitive, important and/or private resources assent to and regularly re-assent to user agreements, and fulfill user awareness and training requirements. Procedures will be necessary for removal of access to resources in cases where these employees do not fulfill their identified assent, awareness, and training requirements.

- The various Compliance Offices, to ensure that all employees who interact with sensitive, important and/or private resources assent to and regularly re-assent to user agreements, and fulfill user awareness and training requirements. Procedures will be necessary for removal of access to resources in cases where these employees do not fulfill their identified assent, awareness, and training requirements.

- Student Affairs, to ensure that all students assent to and regularly re-assent to user agreements, and have the opportunity for additional awareness and training activities as appropriate.

- University Counsel, to ensure that all user agreements, and awareness and training activities conform to generally acceptable practices that result in the reduction of risk to the institution and to individuals.

- UITS, to ensure that tools and resources are developed or obtained and appropriately provided in a production environment to support recurring user agreement, awareness and training activities. Coordination specifically with IT Training and with enterprise-wide systems that can record user fulfillment of awareness and training requirements is anticipated.

III. IDENTIFY STAKEHOLDERS.

Once we know which specific project proposals are accepted as part of *Empowering People*, we will bring together implementation teams consisting of members from various UITS offices and other stakeholders such as HR, SES, Student Affairs, Academic Affairs, Financial, Research, HIPAA Compliance, University Counsel, IT Training, and the CDS Awareness & Training Subcommittee. These teams will formalize actual goals and plans.

In order to prepare estimated budgets and to better clarify initial project proposals for this action, we have consulted with the following individuals, units, or committees:

- Committee of Data Stewards (CDS) (in particular, the Awareness & Training Subcommittee)
- Research Compliance Committee
- Human Resources (Deb Dunbar)
- UITS Communications (Chip Rondot)
- UITS IT Community Partnerships (Todd Herring and Bob Flynn)
- UITS IT Training and Education (Chris Payne)
- UITS Learning Technology Operations (David Donaldson)
- UITS Enterprise Services, Integration and Delivery (Brian McGough)