

# What is a Dataset?



**Information Security and Privacy Office (ISPO)**

**Risk Assessment Program**

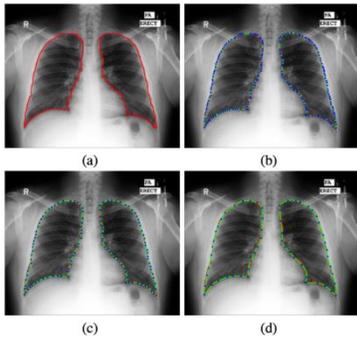
**August 2018**

**Version 1.1**

# Risk Assessments - Datasets

## Dataset Definition

A dataset (or data set) is a collection of data. Most commonly a dataset corresponds to the contents of a single database table, or a single statistical data matrix, where every column of the table represents a particular variable, and each row corresponds to a given member of the data set in question. In addition, datasets are not limited to just numbers and text and may include collections of images or videos. Dataset include electronic or paper formats.



## The Data Owner

The assignment of ownership is the key to the datasets you need to record in your risk assessment inventory. The inventory sheet for the unit risk management assignment should be populated by datasets in which personnel in the unit are defined as the “Data Owner” and thus hold ultimate responsibility for the custody of the information asset. It is important to understand units may receive and store information from enterprise datasets such as the university’s data cache or via the creation of reports from enterprise data which shifts ownership from the enterprise to the local unit. In addition, units may make unit-to-

unit data transfers with the receiving unit becoming a co-data owner with the same ownership responsibilities as the sending unit.

## Classification

Utilize the university’s Data Classification Guidelines to review and classify datasets as “Protected/Private/or Public within your units. Remember the default classification for State entities is “public” if the data has not been formally classified by the unit.



| StudentSSN  | FirstName | MiddleInitial | LastName     | Address              | City         | StateCode | ZipCode   | PH |
|-------------|-----------|---------------|--------------|----------------------|--------------|-----------|-----------|----|
| 111-11-1111 | Andrea    | A             | Able         | 100 S. Andrews St.   | Edwardsville | IL        | 62025     | 61 |
| 222-22-2222 | Bobby     | B             | Best         | 15 Beauford Way      | Alton        | IL        | 63000     | 61 |
| 333-33-3333 | Claudia   | C             | Charming     | Clover Avenue North  | Maryville    | IL        | 61000400  | NE |
| 888-88-8888 | Henretta  | H             | Headstrong   | S. Howard Road, #8   | Maryville    | IL        | 610005600 | 61 |
| 999-99-9999 | Inga      | I             | Indigo       | 5203 Icon Way        | Alton        | IL        | 63000     | 61 |
| 444-44-4444 | Donald    | D             | Donings      | 1804 Drewey Drive    | Alton        | IL        | 63000     | 61 |
| 555-55-5555 | Edwardo   | E             | Eastewing    | East South Road 188  | Edwardsville | IL        | 62025     | 61 |
| 666-66-6666 | Friderico | F             | Freewaydrive | Four Points South #2 | Edwardsville | IL        | 62025     | 61 |
| 777-77-7777 | Greta     | G             | Greathouse   | S. Grand St. #15     | Alton        | IL        | 63000     | 61 |
| 111-11-1112 | Arnold    | A             | Ahead        | 101 S. Andrews       | Edwardsville | IL        | 62025     | 61 |
| 555-55-5554 | Claude    | C             | Charming     | Northwest Avenue     | Alton        | IL        | 63000     | NE |
| 111-11-1113 | Harvey    | H             | Headstrong   | 105 Northwest St.    | Edwardsville | IL        | 62025     | 61 |
| 999-99-9988 | Amy       | A             | Ahead        | 17 Southend Drive    | St. Louis    | Mo        | 63115     | 31 |
| 333-33-3334 | Ariana    | A             | Ahead        | 52 West 14th St.     | St. Louis    | Mo        | 631155600 | 31 |
| * NEEL      | NEEL      | NEEL          | NEEL         | NEEL                 | NEEL         | NEEL      | NEEL      | NE |

## Assistance

Daniel Leggett is the university’s IT Security and Privacy Risk Manager who is available to assist you in the inventory/classification process. His email address is: [dleggett@fsu.edu](mailto:dleggett@fsu.edu).

### Examples of Datasets

The following pages highlight typical datasets processed by university units as a guide to your inventory process. While some datasets below are pre-classified, it will be the unit's responsibility to validate and classify their identified datasets using the university's classification guidelines.

## **Student Datasets**

### Student Record Datasets

- a) **Student Record Datasets Public** (See [FSU Directory Information](#) for current list of [Directory items](#). Note: Students may file [Privacy Request](#) to make all the components of [their student record Non-Directory Information](#).)
- b) **Student Record Datasets Protected** (FSU Non-Directory Information)
- c) **Personal Student Notes**
- d) **Transcripts**
- e) **FERPA Release Statements**
- f) **Drop/Add Requests**
- g) **Transfer Student Paperwork**
- h) **Tests**
- i) **Projects/Assignments**
- j) **Thesis/Dissertations**
- k) **Student Immunization Records**
- l) **Student Disciplinary Matters**
- m) **Enrollment Agreements**
- n) **FSUID Photos**
- o) **Classroom Photos**



### Student Financial Aid Datasets

- a) **Declarations of Financial Support**
- b) **Free Application for Federal Student Aid (FAFSA)**
- c) **Sponsorship Certification Forms**
- d) **Tax Forms**
- e) **Master Promissory Notes**
- f) **Bank Letters, Bank Statements, or Credit References**
- g) **Scholarship or Award letters**

## **Research Datasets**

### Research Datasets Public

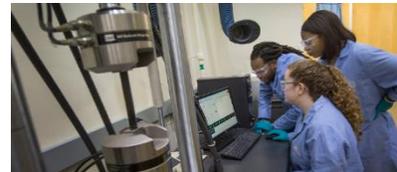
- a) **Research Datasets with Open Data Sharing Agreements**
- b) **Research Datasets Defined as Public Use Data Sets (PUDS)**
- c) **Research Datasets with De-Identified Data**
- d) **Research Surveys – Public**
- e) **Journals/Faculty Published Work**

### Research Datasets Private

- a) **Sensitive Identifiable Human Subject Research**
- b) **Unpublished Research** – (Unpublished grant proposals, research data, manuscripts and associated correspondence.)
- c) **Research Surveys - Private**

### Research Datasets Protected

- a) **Research Datasets HIPAA or Research Datasets with HIPAA Requirements in Contracts**
- b) **Research Datasets NIST 800-171**
- c) **Export Controlled Research** - (Includes information that is regulated for reasons of national security, foreign policy, anti-terrorism, or non-proliferation.) The International Traffic in Arms Regulations (ITAR) and Export Administration Regulations (EAR) govern this data type. Current law requires that this data be stored in the U.S and that only authorized U.S. persons be allowed access to:
  - 1. Chemical and biological agents
  - 2. Scientific satellite information
  - 3. Certain software or technical data
  - 4. Military electronics
  - 5. Nuclear physics information
  - 6. Documents detailing work on new formulas for explosives
- d) **Federal Information Security Management Act (FISMA) Restricted Datasets**
- e) **Research Datasets with Restricted Use Defined in Data Sharing Agreements**
- f) **Research Surveys - Protected**



## Intellectual Property Datasets

### Proprietary Intellectual Property (PIP)

- a) **PIP Private or Public** – Proprietary intellectual property in which the University asserts ownership that is created by University employees in connection with their work.
- b) **PIP Protected** - Proprietary intellectual property in which the University asserts ownership that is created by University employees in connection with their work. This work is protected by university patents and copyrights.

## Human Resource Datasets

### HR Information

- a) **HR Information Private (Most Faculty/Staff)**
  - a. Home Address
  - b. Phone Number
  - c. Rate/Paychecks
  - d. Employment Applications
  - e. Employment Contracts
  - f. Curriculum Vitae
  - g. Dependent Eligibility



- b) HR Information Protected
  - a. SSN Cards
  - b. Passports
  - c. Drivers Licenses
  - d. Medical Insurance Cards
  - e. Faculty or Staff with spouses in law enforcement or currently in a law enforcement position under section 119.071(4)(d)1.a., Florida Statutes
  - f. Non-CJIS Protected Employee Background Checks
    - i. Campus Solutions/OMNI Role Requests

## Financial Datasets

### Departmental Administration

- a) Private Budgetary, departmental, or University planning information – (Non-public financial, procurement, health/safety, audit, insurance and claims information.)

### Customer Credit Card Information Protected under PCI-DSS

- a) Cardholder name
- b) Credit/debit card account number
- c) Credit/debit card expiration date
- d) Credit/debit card verification number
- e) Credit/debit card security code



### Customer Information

- a) Protected/Private Customer Mailing Lists
- b) Protected/Private Ticketholder Information

### Financial Documents

- a) P-Cards
- b) Travel Documentation
- c) Individual Expense Reports
- d) Vouchers
- e) Receipts
- f) Physical or Electronic Copies of Checks
- g) Budgets
- h) Financial Statements
- i) Bank Accounts
- j) Unit Bank Statements
- k) Asset Inventories
  - a. IT Equipment
  - b. Fixtures
  - c. Vehicles

| Bank Table                              | Branch Table                        |
|---|-------------------------------------|
| Country Code: GBR                       | United Kingdom                      |
| Bank ID: 300000                         | Bank Type: Commercial               |
| Bank Name: LloydsTSB                    | Short Desc: LLDS                    |
| <b>Branch Information</b>               |                                     |
| *Bid Soc ID: NORTHERNROCK               | *Status: Active                     |
| *Bid Soc Name: Northern Rock - Gosforth | Short Name: NTRCK                   |
| *Account Number: 00105678               | <a href="#">Address Information</a> |
| Bank Identifier Code: LLOYDB21307       |                                     |
| AC Branch Name:                         |                                     |

### Procurement

- a) Supplier Records
- b) Purchase Orders

c) Supplier Invoices

# Legal Datasets

## Legal Information/Documents

- a) Protected Attorney/Client Privileged Information
- b) Protected Attorney Working Documents
- c) Demand Letters
- d) Complaints
- e) Laws/Statutes

## Contracts

- a) Protected Contracts without Non-Disclosure Provisions
- b) Supplier Contracts
- c) Public Contracts
- d) Real Estate Titles
- e) Rental Agreements
- f) Insurance Documents
- g) Employee/Faculty Contract Negotiations

## Proposals and Bid Documents

# Law Enforcement Datasets

## Law Enforcement Information

- a) Protected Law Enforcement Information under Criminal Justice Information Services (CJIS) provisions

## Background Checks

- a) Background checks protected by CJIS requirements

# Alumni/Foundation Datasets

## Donor Information

- a) Protected Donor Information
  - i. Membership Application
  - ii. Biographic/demographic data
  - iii. Contact information
  - iv. Prospect data
  - v. Donor Reports
  - vi. Beneficiary Receipt Reports
  - vii. Gift and gift-planning data
  - viii. Dues, Endowment Funds, and Membership Directory Information

| FLORIDA STATUTES |         |
|------------------|---------|
| SECTION          | SECTION |
| 700.01           | 700.01  |
| 700.02           | 700.02  |
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# Health Datasets (HIPAA)

## Health Information

- a) **Protected Health Information (PHI)** – (PHI is defined by the Health Insurance Portability and Accountability Act (HIPAA). PHI is individually identifiable health information that relates to the:
  - i. Past, present, or future physical or mental health or condition of an individual.
  - ii. Provision of health care to the individual by a covered entity (for example, hospital or doctor).
  - iii. Past, present, or future payment for the provision of health care to the individual.
- b) **Research Health Datasets with HIPAA Data Privacy, HIPAA Security/Privacy Contract Provisions, or under HIPAA Business Associates Agreements**



HIPAA dataset security and privacy requirements fall to units designated as “HIPAA Covered Components” (FSU is designated a Hybrid Covered Entity with units designated as Covered Components) and research data received under a “HIPAA Business Associates Agreement.”

# International Students/Faculty Datasets

## International Students Documents

- a) **An official letter from a sponsoring organization or government agency providing financial support for the purpose of education**
- b) **Official Letters from a Lending Institution**
- c) **Visa**
- d) **Verification of Immigration Status**
- e) **Passport Information**
- f) **Government Documents for International Students (I-20, DS-2019, I-515A)**



## International Faculty Documents

- a) **Visa/Green Card Documents**
- b) **Immigration Paperwork**
- c) **Documentation providing full information regarding any international faculty access to export-controlled technology or technical data**

# Email Datasets

**Emails** (Note: Most emails are stored in the enterprise Office 365/OneDrive environment which is not included in your inventory lists; however, any emails or PST files with emails downloaded on unit IT should be noted in your inventory.)

# Audit Datasets

## University Audits

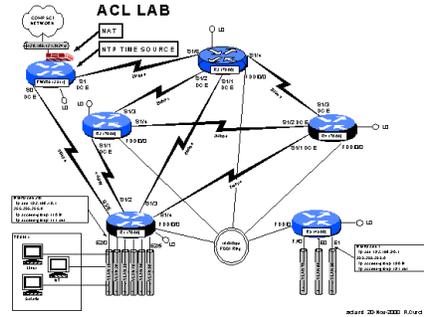
- a) Work Papers
- b) Audit Reports (Protected)
- c) Audit Reports (Public)



# Security Datasets

## Security Configurations

- a) Physical Security Controls
- b) Desktop IT Security Configurations
- c) IT Server Security Configurations
- d) IT Network Device Security Configurations



# Miscellaneous Datasets

## Seminar Participant Lists

## University Policies

## Student Handbook

## Student Government Documents

## Surveys-General

## SACS Accreditation Documentation

## Building or Room Blueprints

## Application Software Inventories