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.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2,824,636</td>
<td>39.93% (1.41%)</td>
<td>30.38% (1.07%)</td>
<td>1.0260% (0.03%)</td>
<td>2,953,399 (0.47%)</td>
</tr>
<tr>
<td>2</td>
<td>1,808,122</td>
<td>18.83% (1.04%)</td>
<td>9.12% (0.55%)</td>
<td>2.1020% (1.11%)</td>
<td>1,778,406 (0.83%)</td>
</tr>
<tr>
<td>3</td>
<td>4,710,638</td>
<td>26.79% (0.56%)</td>
<td>116.85% (2.48%)</td>
<td>0.36% (0.01%)</td>
<td>4,566,926 (0.94%)</td>
</tr>
<tr>
<td>4</td>
<td>1,121,076</td>
<td>27.94% (1.15%)</td>
<td>25.26% (2.25%)</td>
<td>40.04% (0.04%)</td>
<td>1,084,568 (0.78%)</td>
</tr>
<tr>
<td>5</td>
<td>129,832</td>
<td>6950% (53%)</td>
<td>46.74% (6.6%)</td>
<td>236% (1.5%)</td>
<td>114,339 (0.75%)</td>
</tr>
<tr>
<td>6</td>
<td>558,191</td>
<td>4.42% (0.79%)</td>
<td>7.49% (1.34%)</td>
<td>199% (0.03%)</td>
<td>546,795 (0.83%)</td>
</tr>
<tr>
<td>7</td>
<td>114,077</td>
<td>3.70% (0.03%)</td>
<td>1.67% (1.47%)</td>
<td>26.02% (0.2%)</td>
<td>112,307 (0.47%)</td>
</tr>
<tr>
<td>8</td>
<td>2,975,230</td>
<td>5.02% (0.19%)</td>
<td>72.52% (4.63%)</td>
<td>1.07% (0.14%)</td>
<td>2,952,690 (0.93%)</td>
</tr>
<tr>
<td>9</td>
<td>2,753,284</td>
<td>179.80% (5.5%)</td>
<td>43.36% (1.57%)</td>
<td>5.09% (0.18%)</td>
<td>2,925,505 (0.79%)</td>
</tr>
<tr>
<td>10</td>
<td>1,309,791</td>
<td>106.31% (8.11%)</td>
<td>15.84% (1.2%)</td>
<td>3.70% (0.02%)</td>
<td>1,187,952 (0.67%)</td>
</tr>
</tbody>
</table>

**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.

**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.
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

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/Statues

**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
**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