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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.
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.
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.

<table>
<thead>
<tr>
<th>General Retention &amp; Disposition Schedule Templates</th>
</tr>
</thead>
<tbody>
<tr>
<td>90329 Information Inquiries &amp; Request Records</td>
</tr>
<tr>
<td>90330 Freedom of Information Law (FOIL) Subject Matter and Employee Lists</td>
</tr>
<tr>
<td>90331 Freedom of Information Requests and Appeals</td>
</tr>
<tr>
<td>90332 Personal Privacy Impact Statements</td>
</tr>
<tr>
<td>90333 Personal Privacy Records Access Requests and Appeals</td>
</tr>
<tr>
<td>90334 Requests for Record Amendments or Corrections and Appeals</td>
</tr>
<tr>
<td>90335 Personal Privacy Annual Reports</td>
</tr>
<tr>
<td>90336 Press Release/Publication Files</td>
</tr>
<tr>
<td>90337 Annual Report Development Files</td>
</tr>
<tr>
<td>90338 Agency Annual Reports</td>
</tr>
</tbody>
</table>

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.
| Department: | n/a |
| Name of Information Asset: | Personal History files |
| Description of Information Asset: | |
| Information Asset Use: | 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: | 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: | 90001 (You may specify your own id number or one will be auto-generated) |

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

![Classification Information]

It is important to keep in mind that the provided classifications are recommendations. 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.
**Helpful Tip:** The Glossary is sorted by default in number (#) order. It may also be sorted by Control Rating or Suggested Role.
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

Mark Control as Applied PURCHASE REQUISITION

<table>
<thead>
<tr>
<th>Control Name</th>
<th>Control Description</th>
<th>Information Asset Name</th>
<th>Information Asset ID</th>
<th>Information Asset Format</th>
<th>Information Asset Storage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**As of Date (MM/DD/YYYY)**: 12/18/2013

**Status**

- Open
- In Place

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

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

SAVE CANCEL

GROUP MANAGED CONTROLS

Bulk Update Controls PURCHASE REQUISITION

**As of Date (MM/DD/YYYY)**: 01/03/2014

**Status**

- In Place

**Comment (optional)**

All Custodian controls are in place.

SAVE CANCEL

**Select Applicable Controls Below**

**CUSTODIAN ROLE** SELECT ALL

<table>
<thead>
<tr>
<th>Action</th>
<th>Glossary X-Ref#</th>
<th>Status</th>
<th>RnRequired</th>
<th>OnOptional</th>
<th>C-I-A</th>
</tr>
</thead>
<tbody>
<tr>
<td>SELECT FOR BULK UPDATE</td>
<td>11</td>
<td>Open</td>
<td>R</td>
<td></td>
<td>I-A</td>
</tr>
<tr>
<td>SELECT FOR BULK UPDATE</td>
<td>12</td>
<td>Open</td>
<td>R</td>
<td></td>
<td>I</td>
</tr>
<tr>
<td>SELECT FOR BULK UPDATE</td>
<td>16</td>
<td>Open</td>
<td>R</td>
<td></td>
<td>I</td>
</tr>
<tr>
<td>SELECT FOR BULK UPDATE</td>
<td>20</td>
<td>Open</td>
<td>R</td>
<td></td>
<td>I-A</td>
</tr>
<tr>
<td>SELECT FOR BULK UPDATE</td>
<td>22</td>
<td>Open</td>
<td>R</td>
<td></td>
<td>C</td>
</tr>
</tbody>
</table>

V2.2 July 17, 2014
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: 90001  
Status:  
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.

Please enter your search Criteria.

- The search is not case-sensitive.
- Hold down the CTRL key to select multiple values for the Format or Storage fields.
- For text fields, you can search on full or partial words (e.g., Name of Information Asset: Purchase Order - or - Name of Information Asset: Pur)
- If you do not wish to search by a particular field, leave it blank.

Department: All Departments
Name of Information Asset:
Information Asset Format: Electronic, Physical Media (Paper)
Information Asset Storage: file cabinets, safe, desk, network share
Information Owner:
Information Custodian:
Information Asset ID Number:

Include archived records in search
Search active records only

SEARCH

Please enter your search Criteria.

This search will return assets that resulted in a specific classification.

Confidentiality: All Ratings
Integrity: All Ratings
Availability: All Ratings

SEARCH
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

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.