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# State of Ohio Administrative Policy

## IT Security Awareness and Training

No: Information Technology  
IT-15

Effective: July 21, 2015

Issued By:



Robert Blair, Director

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### 1.0 Purpose

This policy provides information technology (*IT security awareness and training*) requirements for State of Ohio *information system users*, which includes employees, contractors, temporary personnel and other agents of the state. This policy is not intended for the general population that accesses electronic government services or applications.

A glossary of terms found in this policy is located in Appendix A - Definitions. The first occurrence of a defined term is in *bold italics*.

### 2.0 Policy

State agencies shall conduct IT security awareness training in accordance with the requirements outlined in this policy and shall ensure that all information system users adhere to the policy.

2.1 ***Basic IT Security Awareness Training***. The Department of Administrative Services (DAS) Office of Information Security and Privacy (OISP) shall provide basic information security awareness training for agencies to use to conduct this training.

2.1.1 DAS OISP shall identify and provide a solution for delivering the basic IT security awareness training statewide.

2.1.2 The DAS OISP training shall be updated annually to ensure it remains current, addressing the latest security threats and best practices.

2.1.3 Agencies shall ensure that all information system users complete the DAS OISP basic IT security awareness training.

2.1.3.1 Users shall complete the basic IT security awareness training within two weeks of their initial hire date, annually thereafter; and when required by role or system changes.

2.1.4 Agencies shall determine if it is necessary to augment DAS OISP's basic IT security awareness training due to agency specific requirements or any applicable laws, regulations, or industry codes that require some type of IT security training for the information systems to which personnel have authorized access. Examples of regulations or laws that require additional security training, include:

- Accessing **Confidential Personal Information (CPI)** (Section 1347.15 of the Ohio Revised Code)
- Family Educational Rights and Privacy Act (FERPA)
- IRS Publication 1075
- FBI Criminal Justice Information Services (CJIS) Security Policy
- Health Insurance Portability and Accountability Act (HIPAA)
- Payment Card Industry Data Security Standard (PCI-DSS)

2.1.5 As appropriate, each agency shall supplement the basic IT security awareness training with tools that will help communicate local or programmatic information security issues, incidents and procedures (e.g., "message of the day," posters, special events, e-mail notices).

2.2 **Role-Based Security Training.** In addition to basic IT security awareness training, agencies are encouraged to provide role-based security training that focuses on the unique responsibilities for protecting State assets that are inherent in particular job functions. Certain roles may require more targeted training, such as business managers, senior executives, information owners, application developers, systems administrators, database administrators and desktop support.

2.2.1 Agencies should identify the job functions that require additional role-based training and then determine the format, content and frequency of the training. Listed below are a few examples of role-based training:

Business managers and senior executives:

- The safeguarding and use of **personally identifiable information (PII)**
- Executive targeting threats such as social engineering and **spear phishing**
- Identification of suspicious messages and the importance of not opening suspicious e-mails or attachments
- Examples of prominent cyber-attacks

Application developers, system administrators and database administrators:

- How to write secure code and use appropriate validation tools
- Proper security testing methods
- How to handle sensitive information

Desktop Support:

- **System hardening** techniques
- How to recognize attacks
- Handling systems infected with **malware**

2.2.2 DAS OISP shall help inform and support these efforts through a variety of channels, such as security communications (e.g., current threats, countermeasures, or training opportunities), best practices research and resources, security briefings or conferences.

2.3 **IT Security Awareness and Training Management**. Agencies shall ensure that all information system users meet the training requirements of this policy by identifying, monitoring and managing the overall IT security education effort.

2.3.1 Agencies shall identify all individuals requiring basic IT security awareness and role-based training.

2.3.1.1 Individual training records shall be maintained to ensure that basic IT security awareness and role-based training requirements are being fulfilled.

2.3.1.2 These records shall be retained in accordance with agency record retention requirements.

2.4 **Exception Requests**. If for some reason an agency is not able to comply with one or more of the requirements outlined in this policy, the agency shall formally request an exception from DAS OISP.

2.4.1 The requesting agency shall provide a completed DAS OISP Security Policy & Standard Exception Request Form, which is available on the Office of Information Security & Privacy and Ohio IT Policy Web pages. The Security Exception Request Form requires the following information be provided:

2.4.1.1 The security requirement(s) to which the exception request applies;

2.4.1.2 A business or technical justification for seeking an exception;

2.4.1.3 Identification of the potential risk(s);

2.4.1.4 Description of the compensating controls that either are in place or will be implemented in an effort to mitigate risk and satisfy the intent of the requirement(s);

2.4.1.5 Identification of the steps, if any, that are being taken to eliminate the exception;

2.4.1.6 Explanation of the results of a cost-benefit analysis, which weighs the costs and benefits associated with compliance against the implementation of compensating controls. For the purposes of this policy, a thorough cost-benefit analysis shall take into account the potential cost and risk of a breach involving unencrypted data, including the breach notification requirements as outlined in Section 1347.12 of the Ohio Revised Code; and

2.4.1.7 Anticipated exception request duration, including an explanation of the estimated time necessary to achieve compliance.

2.4.2 The State Chief Information Security Officer or his/her designee shall review DAS OISP Security Exception Request Form submissions and notify the requesting agency as to whether or not the exception request is approved.

2.5 **Implementation.** As of the effective date of this policy, some agencies are unlikely to be completely aligned to the IT security awareness and training requirements outlined in this policy. A general implementation framework for the requirements of this policy includes:

2.5.1 Agencies shall have six months from the effective date of this policy to implement the IT security awareness and training requirements.

2.5.2 Agencies that do not have IT personnel shall contact the DAS Office of Information Security & Privacy to determine an appropriate approach for compliance.

### 3.0 Authority

ORC 125.18

### 4.0 Revision History

Date	Description of Change
07/21/2015	Original policy.
07/21/2018	Scheduled policy review.

### 5.0 Inquiries

Direct inquiries about DAS OISP IT security training or this policy to:

Office of Information Security & Privacy  
Office of Information Technology  
Ohio Department of Administrative Services  
30 East Broad Street, 19th Floor

614.644.9391 | [state.isp@das.ohio.gov](mailto:state.isp@das.ohio.gov)

State of Ohio Administrative Policies may be found online at [www.das.ohio.gov/forStateAgencies/Policies.aspx](http://www.das.ohio.gov/forStateAgencies/Policies.aspx)

Additional information regarding the Office of Information Security & Privacy may be found online at [infosec.ohio.gov](http://infosec.ohio.gov).

## Appendix A - Definitions

- a. Availability. Ensuring timely and reliable access to and use of information.<sup>1</sup>
- b. Basic IT Security Awareness Training. The purpose of this type of training is for the participant to gain a basic understanding of the need for information security and the actions that he/she can take to maintain security and respond to suspected security incidents. This training also increases awareness regarding the importance of operations security.
- c. Confidential Personal Information (CPI). Personal information that falls within the scope of Section 1347.15 of the Ohio Revised Code and that an agency is prohibited from releasing under Ohio's public records law.
- d. Confidentiality. Preserving authorized restrictions on information access and disclosure, including means for protecting personal privacy and proprietary information.<sup>2</sup>
- e. Information System. A discrete set of information resources organized for the collection, processing, maintenance, use, sharing, dissemination, or disposition of information.<sup>3</sup>
- f. Integrity. Guarding against improper information modification or destruction, and includes ensuring information non-repudiation and authenticity.<sup>4</sup>
- g. IT Security Awareness and Training. IT security awareness training is a formal process for educating employees about computer security.
- h. Malware. A program that is inserted into a system, usually covertly, with the intent of compromising the **confidentiality, integrity, or availability** of the victim's data, applications, or operating system or of otherwise annoying or disrupting the victim.<sup>5</sup>

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<sup>1</sup> "NIST Special Publication 800-53 Revision 4, Security and Privacy Controls for Federal Information Systems and Organizations," U.S. Department of Commerce National Institute of Standards and Technology, April, 2013 <<http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf>>.

<sup>2</sup> *Ibid.*

<sup>3</sup> NIST Special Publication 800-53A Revision 4, "Assessing Security and Privacy Controls in Federal Information Systems and Organizations," U.S. Department of Commerce National Institute of Standards and Technology, December, 2014 <<http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53Ar4.pdf>>.

<sup>4</sup> "NIST Special Publication 800-53 Revision 4, Security and Privacy Controls for Federal Information Systems and Organizations," U.S. Department of Commerce National Institute of Standards and Technology, April, 2013 <<http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf>>.

- i. Personally identifiable information (PII). “Personally identifiable information” is information that can be used directly or in combination with other information to identify a particular individual. It includes:
- a name, identifying number, symbol, or other identifier assigned to a person,
  - any information that describes anything about a person,
  - any information that indicates actions done by or to a person,
  - any information that indicates that a person possesses certain personal characteristics.
- j. Role-Based Security Training. Role-based training strives to produce relevant and needed security knowledge and skills within the workforce. Role-based security training supports competency development and helps personnel understand and learn how to better perform their specific security role, which ultimately achieves more secure and protected information and systems.
- k. Spear Phishing. Phishing is the act of tricking individuals into disclosing sensitive personal information through deceptive computer-based means.<sup>6</sup> “Spear” phishing is a highly targeted attack aimed at a specific individual(s).
- l. System Hardening. The process of enhancing the default or basic security layers associated with an application and/or network. The primary purpose of system hardening is to increase the level of system security to dissuade and defeat intrusion or security breach attempts. Hardening concepts may include, but are not limited to, the application of system or application patches, removal of all unnecessary system features or services, shutting down of all unnecessary ports, incident logging, installation of a demilitarized zone (DMZ), packet filtering, cryptography, strong authorization, data encryption, and system/network monitoring and/or auditing.
- m. User. A user is defined as employees, contractors, temporary personnel and other agents of the state who administer and use state computer and telecommunications systems on behalf of the state. For the purposes of this policy, a user is not a member of the general population that accesses electronic government services or applications.

## Appendix B - Resources

Document Name
<i>NIST Special Publication 800-53, Rev. 4, Security and Privacy Controls for Federal Information Systems and Organizations, April 2013:</i>

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<sup>5</sup> Souppaya, Murugiah, Karen Scarfone. “NIST Special Publication 800-83, Revision 1, Guide to Malware Incident Prevention and Handling for Desktops and Laptops” U.S. Department of Commerce National Institute of Standards and Technology, July 2013, <<http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-83r1.pdf>>.

<sup>6</sup> *Ibid.*

<b>Document Name</b>
<a href="http://csrc.nist.gov/publications/PubsSPs.html">http://csrc.nist.gov/publications/PubsSPs.html</a>
<i>Ohio IT Standard ITS-SEC-02, "Enterprise Security Controls Framework":</i> <a href="http://das.ohio.gov/Divisions/InformationTechnology/StateofOhioITStandards.aspx">http://das.ohio.gov/Divisions/InformationTechnology/StateofOhioITStandards.aspx</a>
<i>Council on CyberSecurity, "Critical Security Controls Version 5.1":</i> <a href="http://www.counciloncybersecurity.org/critical-controls/reports/">http://www.counciloncybersecurity.org/critical-controls/reports/</a>
<i>Multi-State Information Sharing &amp; Analysis Center (MS-ISAC) Resources:</i> <a href="http://msisac.cisecurity.org/resources/">http://msisac.cisecurity.org/resources/</a>