

Information Security  
General Awareness Training  
Module 6 – Accountability and Consequences  
For The UF HSC Workforce

This is a general awareness training presentation on information security, at the end of which you should ...

Accountability and Consequences

- Violations
- Accountability
- Consequences

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understand common information security violations that you, as a user, are prone to, ... how accountability is established at the UF Health Science Center, ... and consequences that follow violations.

Information Security Violations

- Breaking an information security policy or law
- Focus on you as an information and computer user
- Can be:
  - unintentional and careless, or
  - unintentional and unwitting, or
  - intentional acts
- Resulting consequences vary in severity
- Subject the user to sanctions

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Think of information security violations as when you don't follow information security policies or when you break an information security law.

For purposes of this presentation, we are going to focus on those information security violations that occur at the hands of our information and computer USERS.

These violations can be unintentional and careless or unwitting acts, or they can be intentional acts.

The resulting consequences vary in severity, and


When information security violations are discovered, they subject the user to sanctions.

Most security violations committed by our users are of an **UN**intentional *but careless or unwitting* nature.

Let's point out what you are prone to, so you can avoid committing a violation.

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Information Security Violations  
Users are Prone To



Abandoned confidential document

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Leaving confidential documents behind, in public places.

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Information Security Violations  
Users are Prone To



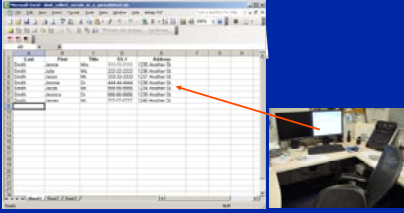
Office unlocked

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Leaving your office or work area unlocked where computers or files holding Restricted information are kept.

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Information Security Violations  
Users are Prone To



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Leaving your workstation without logging off or activating a locking screen saver. This bad practice leaves information especially unprotected if your work area is in a shared or public area.

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Information Security Violations  
Users are Prone To



Failing to reasonably secure a portable computer

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Failing to adequately secure your portable computers, if you use them. We have seen very serious consequences for this violation.

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Information Security Violations  
Users are Prone To

Abandoned computer equipment      Hard drive in trash

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Improperly disposing of confidential information, like Simply throwing confidential paper documents, CDs, DVDs and floppy disks in a waste basket, or abandoning old unwanted computer equipment in a hallway, that may still have Restricted information stored on it. These security violations are generally unintentional but careless and could lead to a violation of an individual's privacy.

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Information Security Violations  
of an Intentional Nature

Bypassing or Relaxing Safeguards

- Disabling antivirus updates
- Disabling a password requirement
- Sharing your password
- Sharing your login session

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Information security violations of an *intentional* nature generally carry more serious consequences for users. Bypassing or relaxing information security safeguards is a security violation of an intentional nature. Examples include:

Disabling antivirus updates  
Disabling a password requirement  
Sharing your password  
Sharing your login session

When you bypass safeguards, you open your computer up to hackers who could use it to perform malicious things to ANY computer at the University of Florida.

When you share your password, or logon and allow someone else to use your computer session you are bypassing safeguards.

When other people have access to electronic information using your password, their true identity in the system is hidden and their actions appear as yours.

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Information Security Violations  
of an Intentional Nature

Abuse of privileges, for example:

- Using your access privileges to look up an interesting person's medical information without a work related reason
- Installing illegally acquired software, electronic games or digital music

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Security violations of an intentional nature also include Abuse of privileges such as

Using your access privileges to look up an interesting person's medical information without a work related reason, or

Installing illegally acquired software, electronic games or digital music

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Information Security Violations of an  
Intentional Malicious Nature

Installing malicious software  
on our network or computers

Stealing information for  
fraud or other financial gain

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Information security violations of an intentional and malicious nature are rare, but generally carry the most serious consequences for users. Examples include:

Intentionally spreading a computer virus on our network and computers, or

using your access privileges to acquire personally identifiable information with an intent to commit fraud or other financial gain.

It is not often that these types of information security violations are committed by a member of our workforce, but unfortunately they

have occurred and we now must work to prevent them and respond to them when they happen.

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## Accountability

Establishing Accountability      Consequences and sanctions

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Accountability is used in legislation and our policies to motivate changes in information security practices, and to maintain compliance. You should be aware of how your personal accountability is established and the consequences and sanctions that could apply to you.

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## Establishing Accountability

Computer Activity Logging  
Access Monitoring  
Incident Reporting

Reduce Ambiguity and Doubt

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Accountability is mandated in laws and policies. Safeguards such as computer activity logging, access monitoring and incident reporting work together to reduce ambiguity and doubt about the cause of a security incident, and whether or not a violation of policy took place. Let's look at how these safeguards help establish accountability.

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## How Computer Activity Logging Establishes Your Accountability

### Computer Activity Audit Log

User Name: Doe, Jane  
Audit Period: August 1, 2005 - August 31, 2005

User ID	Login Date and Time	Resource Accessed	Source Computer id	Logout Date and Time
Jdoe	8/1/2005 8:08 AM	www.my.UFL.edu	159.78.79.01	8/1/2005 8:39 AM
Jdoe	8/1/2005 1:11 PM	www.my.ACS.edu	159.78.79.01	8/1/2005 1:45 PM
Jdoe	8/2/2005 8:02 AM	Hyperion	159.78.79.01	8/2/2005 8:44 AM
Jdoe	8/2/2005 1:29 PM	IDX	159.78.79.01	8/2/2005 2:15 PM
Jdoe	8/3/2005 8:05 AM	Exchange email	159.78.79.01	8/3/2005 8:28 AM
Jdoe	8/3/2005 1:09 PM	www.BestBuy.com	159.78.79.01	8/3/2005 1:52 PM
Jdoe	8/4/2005 8:03 AM	www.my.UFL.edu	159.78.79.01	8/4/2005 9:25 AM
Jdoe	8/4/2005 1:01 PM	IDX	159.78.79.01	8/4/2005 3:15 PM
Jdoe	8/5/2005 1:05 PM	Exchange email	159.342.33.44	8/5/2005 10:49 PM

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Computer logs can show where you go, what you access and when.

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As a computer user, it is important for you to understand just how powerful computer activity logs are. Today's technology can easily collect detailed information on computer users, such as what web sites you've accessed, or what HSC applications you accessed and when what computer you were using and how long you remained logged on.

In the event of a suspected abuse of your computer privileges, activity logs such as these are accessed to support the investigation. Computer activity logs do not discriminate between work, personal and unauthorized uses of our HSC computers; they are ALL logged and attributed to you.

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How Computer Activity Logging Establishes Your Accountability

**Patient Record Access Audit Log**

User Name: Doe, Jane  
XYZ Medical System  
Audit Period: August 1, 2005 - August 31, 2005

User ID	Medical Record #	Patient Name	Screen	Action	Date Accessed	Time Accessed
JDoe	4876321	Hughes, L.	Demographic	View	8/1/2005	8:39 AM
JDoe	5068906	Nash, D.	Health & physical	View	8/1/2005	1:45 PM
JDoe	2567952	Thomas, D.	Lab	View	8/2/2005	9:44 AM
JDoe	3399568	Pos, E.	Medical Doc. 2099	Modify	8/2/2005	2:15 PM
JDoe	4787993	Ellis, T.	Lab	View	8/3/2005	9:28 AM
JDoe	4567987	Shelley, P.	Health & physical	Modify	8/3/2005	1:52 PM
JDoe	3499876	Joyce, J.	Medical Doc. 2248	View	8/4/2005	9:25 AM
JDoe	3451299	Hahn, S.	Demographic	Modify	8/4/2005	3:15 PM
JDoe	2236640	Yeats, P.	Demographic	Modify	8/5/2005	10:48 PM

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Computer logs can even show what patients records you accessed.

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Computer activity logs can be even more detailed showing the individual records you accessed, and

what action you took on them. This is a typical activity log in a healthcare information system.

In the event of a patient complaint of a privacy violation, you can see how a computer activity log can support the investigation, enabling authorities to hold the user Jane Doe accountable for her accesses.

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How Monitoring Establishes Your Accountability

**24 HOUR SECURITY CAMERAS RECORDING**



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Security cameras are an integral part of safety for the University of Florida. They are now regularly deployed in areas where expensive computer equipment is housed or stored. Video picked up on surveillance cameras has and will continue to be used to support investigations of computer theft and damage.

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How Incident Reporting Establishes Your Accountability



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Federal laws require that we have information security incident reporting policy and procedures in place, which we do. Any workforce member is required to report an information security incident when they suspect one. If you violate a policy or abuse a computer privilege, and it is observed by a co-worker, they are obligated to report it, and are in violation of our policy themselves if they chose to ignore it. This is another information security safeguard that helps to establish accountability.

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Accountability Established ...

- Computer Activity Logging
- Access Monitoring
- Incident Reporting



Now what ?

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Accountability is **UN**avoidable when it comes to information security. So what happens if you are accountable for an incident or violate an information security policy?



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 ...to You

- Center of unwanted attention
- Temporary loss of network or computer access
- Verbal Warning
- Written Reprimand
- Suspension of
  - Bonus
  - Transfer privileges
  - Promotion privileges
- Termination of contract or employment
- Civil or criminal penalties

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And finally, there could be consequences that apply to you directly, such as:

- Being the center of unwanted attention
- Loss of your computer access
- Disciplinary actions such as a verbal warning or written reprimand
- Suspension of privileges and opportunities normally afforded to faculty and staff in good standing
- More serious incidents can lead to you losing your job and facing legal penalties
- These consequences are not pleasant to talk about, but it is important that you know what could happen so you know what is at risk to you personally.

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Consequences are Avoidable  
 Accountability Is Not  
 Training and Awareness are Key

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This concludes our general awareness training presentation on accountability and consequences. Remember, consequences can be avoided, but accountability can not. You can avoid consequences by learning about our information security policies, good practices and by following them. Training and awareness are key.

<9.5 minutes>

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You Are Responsible

- Know Your Responsibilities
- Learn About Safeguards
- Review The SPICE Training Regularly

<http://security.health.ufl.edu/training>

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