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Administrative Directive

Transmittal:	11-OCFS-ADM-08 / 11-OTDA-ADM-08
To:	Local District Commissioners of Social Services Executive Directors of Voluntary Authorized Agencies
Issuing Divisions/Offices:	OCFS Information Technology OTDA Information Technology and Information Security Office
Date:	August 5, 2011
Subject:	State-issued OCFS and OTDA IT Equipment
Suggested Distribution:	Directors of Social Services LAN Administrators and IT staff CONNECTIONS Implementation Coordinators
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Attachments:	No
Attachment Available Online:	n/a

Filing References

Previous ADMs/INFs	Releases Cancelled	Dept. Regs.	Soc. Serv. Law & Other Legal Ref.	Manual Ref.	Misc. Ref.
					NYS Cyber Security Policy P03-002 Information Security Policy (v3.4, 7/2010)

I. Purpose

The purpose of this Administrative Directive (ADM) is to provide additional procedures for the installation, movement, relocation and de-installation of NYS Office of Children & Family Services (OCFS) and NYS Office of Temporary and Disability Assistance (OTDA) issued Information Technology (IT) equipment, and for the proper disposal of equipment and storage media containing confidential, personal, private, and sensitive information (PPSI).

This ADM does not supersede any policies or procedures with which OTDA or OCFS require Agencies to comply. Agencies are still required, in addition, to comply with all federal and state laws, rules and regulations applicable to the use, safeguarding, maintenance and disposal of such equipment and data.

This ADM is provided to address the maintenance, custody, inventory and security requirements of OCFS- and OTDA-issued IT equipment, and to safeguard PPSI through its useful life, regardless of the storage media used to store PPSI. Compliance with these procedures is mandatory. This ADM reiterates appropriate controls over IT equipment use, safeguarding, maintenance and disposal, to minimize the risk of inadvertently disclosing PPSI through improper disposal, re-use or loss of OCFS- and OTDA-issued IT equipment or storage media, including but not limited to hard drives and other portable media (e.g., tape, diskettes, USB drives, CDs, DVDs), mobile devices, digital printers/copiers/fax devices and any other devices that digitally store information.

II. Background

OCFS and OTDA issue IT equipment to local districts and other agencies to support the administration and delivery of program services. Local districts must ensure that their use and security of IT equipment, and the information accessed through it, complies with all applicable federal and state laws, rules and regulations related to confidentiality and information security. OCFS- and OTDA-issued IT equipment, storage media, and paper records containing confidential information must be properly used, safeguarded, managed and disposed of to reduce the risk of improper disclosure of confidential information. For these reasons, OCFS and OTDA have established procedures related to using, safeguarding, maintaining, and disposal of state agency issued equipment.

OCFS has bailment agreements with voluntary agencies, and memorandums of understanding (MOU) with local districts and other state agencies (voluntary agencies, local districts and other state agencies hereinafter will be referred to individually as the "Agency" and collectively as the "Agencies") that outline responsibilities and procedures to be followed for using, safeguarding, maintaining and disposing of IT equipment OCFS has issued to such Agencies.

This ADM is not intended to replace or supersede these agreements, MOUs or procedures. Rather, it is meant to reinforce existing procedures and standards regarding the use, safeguarding, maintenance and disposal of OCFS- and OTDA-issued IT equipment, and PPSI under the control and custody of the Agencies.

The goal of this ADM is to provide Agencies with direction on: how to minimize the likelihood of inadvertently disclosing PPSI; how to properly maintain and secure OCFS and OTDA-issued IT equipment while under their use and in their custody; and when appropriate, how to properly return the state-issued IT equipment to OCFS and OTDA, or properly dispose of it at the end of its use in accordance with all applicable federal and state law, rules and regulations.

III. Program Implications

Local districts must ensure that their use and security of OCFS- and OTDA-issued IT equipment, and the information accessed through it, comply with all applicable federal and state laws, rules and regulations related to confidentiality and information security.

Under existing agreements with OCFS, Agencies are required to establish a security plan and appropriate policies and procedures to address the following areas of OCFS IT equipment security: (i) physical security of OCFS-issued IT equipment to protect against unauthorized use, loss and/or theft; (ii) software and data security; (iii) personnel security; (iv) contingency plans to meet critical processing needs in the event of short- or long-term interruption of service; and (v) designation of an Agency Security Manager.

OCFS is the sole owner of all OCFS-issued IT equipment and software installed and/or under the use or in the custody of the Agency. OTDA is the sole owner of all OTDA-issued IT equipment and software installed and/or under the use or in the custody of the Agency.

OCFS- and OTDA-issued IT equipment may not be sold, rented, pledged, used as collateral or disposed of by the Agency. Such equipment may not be moved by the Agency without consent and prior written approval of the state agency that issued it.

Agencies may assume ownership of OTDA-issued IT equipment purchased under revenue intercept. In doing so, they must comply fully with OTDA procedures to notify OTDA so the equipment can be removed from inventory, and reimage the equipment before reissuing it for Agency purposes. If this option to assume ownership is not exercised, the equipment remains the property of OTDA and is subject to all existing procedures and standards regarding the use, safeguarding, maintenance and disposal of same, including the provisions of this ADM.

OCFS IT shall be responsible for the installation, de-installation and removal of OCFS-issued IT equipment installed and/or under the use or in the custody of the Agencies.

OCFS IT has responsibility, directly or indirectly, for installing the system image on OCFS-issued IT equipment on the Human Services Enterprise Network (HSEN) under the use or in the custody of the Agencies.

OTDA IT shall be responsible for the installation, de-installation and removal of OTDA-issued IT equipment installed and/or under the use or in the custody of the Agencies. OTDA IT has responsibility, directly or indirectly, for installing the system image on OTDA-issued IT equipment on the HSEN under the use or in the custody of the Agencies.

IV. Required Action

1. Agencies must maintain accurate inventories of all OCFS- and OTDA-issued IT equipment under their use and in their custody.
 - Agencies must provide an updated and accurate inventory of OCFS-issued IT equipment to OCFS during the period Aug. 1–31 of each year, submitting such inventories via email to comctrup@ocfs.state.ny.us. Inventories shall be submitted to OCFS on an Excel spreadsheet, including model, serial number and device location. Agencies must report any lost or stolen equipment to OCFS IT, using the OCFS-4440 Lost or Stolen Equipment Form, to comctrup@ocfs.state.ny.us,
 - Agencies must provide an updated and accurate inventory of OTDA-issued IT equipment to OTDA IT during the period Aug. 1–31 of each year, submitting such inventories by email to otda.sm.bit.crcrequest@otda.state.ny.us. Inventories shall be submitted on an Excel spreadsheet, including model, serial number and device location. Agencies must report any lost or stolen equipment to OTDA IT, using the OTDA CRC Assistance Form and submitting it by email to otda.sm.bit.crcrequest@otda.state.ny.us,
 - All OTDA-issued IT equipment items must have an OTDA asset tag affixed to the item. OTDA asset tags are required for OTDA's inventory and maintenance purposes. Maintenance may be denied on any equipment without an asset tag. Agencies that have or receive equipment without asset tags must immediately notify OTDA, so that assets tags can be issued and steps taken to correct the situation.
2. Agencies are responsible for the replacement cost of any OCFS- and OTDA-issued IT equipment that is damaged, lost or stolen while under their use and in their custody.
3. Agencies must designate to OCFS IT an individual to serve as the Agency's "Site Contact" at each of their locations within 10 business days of the effective date of this ADM, by e-mail to comctrup@ocfs.state.ny.us. Agencies must also notify OCFS by e-mail to comctrup@ocfs.state.ny.us of any changes to the

designated Site Contact. The Site Contact shall serve as a liaison with OCFS IT (or any other person or entity designated by OCFS IT) for the installation, de-installation, movement, maintenance and inventory of OCFS-issued IT equipment, as well as the liaison for resolving any hardware and/or software issues.

OTDA maintains a current list of local district LAN Administrators. The LAN Administrator shall serve as the site contact and liaison with OTDA (or any other person or entity designated by OTDA) for the installation, de-installation, movement, maintenance and inventory of OTDA-issued equipment, as well as the liaison for resolving any hardware and/or software issues. Agencies must notify OTDA by e-mail, at: otda.sm.bit.crcrequest@otda.state.ny.us of any changes to the Agency's designated LAN Administrator.

4. Agencies agree that they shall not install, or allow to be installed, any software or hardware not specifically authorized by the state agency to any OCFS- or OTDA-issued equipment. Agencies also agree that all OCFS- or OTDA-issued equipment shall be connected to the HSEN for a minimum of two hours each month in order to receive the latest security patches and updates. In the event that any OCFS- or OTDA-issued equipment remains disconnected from the HSEN for a period greater than one month, Agencies will be required to rejoin the equipment to the network. Assistance is available via the Office for Technology (OFT) Customer Care Center at 1-800-697-1323.
5. Agencies agree that all OCFS- and OTDA-issued IT equipment, including laptops and other portable devices, will be secured when not in use.
6. Agencies must return all OCFS- or OTDA-issued equipment and software under their use and in their custody back to the issuing state agency when: (a) an Agency ceases operations; (b) an Agency experiences a decrease in staffing levels, or situations occur which otherwise warrant a decrease in the amount of equipment needed by an Agency; (c) an Agency ceases to provide foster care and/or child welfare services for which specific IT equipment was issued by OCFS; or (d) an Agency cannot maintain the security of the issuing state agency's equipment or the confidentiality of PPSI.

For OCFS-issued IT equipment, Agencies must provide written notice to the appropriate OCFS Regional Office via registered or certified mail, return receipt requested, or hand delivered, at least sixty (60) days prior to the occurrence of any of the aforementioned events, or as soon as practicable thereafter, and to OCFS-IT by email to comctrup@ocfs.state.ny.us.

For OTDA-issued equipment, agencies must provide written notice to the OTDA IT by completing the OTDA CRC Assistance Form and submitting it by e-mail to otda.sm.bit.crcrequest@otda.state.ny.us, at least sixty (60) days prior

to the occurrence of any of the aforementioned events, or as soon as practicable thereafter.

7. Under no circumstances shall OCFS- or OTDA-issued IT equipment be left unsecured. In the event that the Agencies are not capable of maintaining the requisite secure environment for OCFS- or OTDA-issued IT equipment, the Agencies must immediately take the following steps so that proper arrangements can be made to secure or return the equipment:
 - For OCFS-issued equipment, notify OCFS-IT by e-mail at: comctrup@ocfs.state.ny.us.
 - For OTDA-issued equipment, notify OTDA IT by e-mail at: otda.sm.bit.crcrequest@otda.state.ny.us.
8. Agencies must not disconnect any OCFS- or OTDA-issued IT equipment from the HSEN network without the written consent of the issuing state agency, with the exception of laptops or other portable devices when they are to be used in the field for official purposes.
 - Requests to disconnect OCFS-issued IT equipment must be submitted to OCFS by e-mail at comctrup@ocfs.state.ny.us using OCFS Form 4818.
 - Requests to disconnect OTDA-issued IT equipment must be submitted to OTDA IT by completing the OTDA CRC Assistance Form and submitting it by e-mail to otda.sm.bit.crcrequest@otda.state.ny.us. Where a local district Agency opts to assume ownership of OTDA equipment purchased under revenue intercept, the Agency must notify OTDA IT by completing the OTDA Surplus Office Automation Equipment Agreement Form and OTDA-4834EL Certification of Hard Drive Disposition Form, and submitting these forms by e-mail to: otda.sm.bit.crcrequest@otda.state.ny.us. Upon receipt and processing of the requisite forms, OTDA IT will remove the equipment from inventory. The Agency must also reimaging the equipment before reissuing the equipment for their purposes.
9. Agencies must utilize the OCFS-IT and OTDA forms (listed in Section VI) when requesting the installation, movement, relocation, and de-installation of any OCFS- or OTDA-issued IT equipment.
10. Agencies must not move, transfer, relocate or otherwise dispose of any OCFS- or OTDA-issued equipment except with the consent of the issuing state agency.

All requests to move or relocate OCFS-issued IT equipment must be submitted to OCFS-IT by e-mail at comctrup@ocfs.state.ny.us, using OCFS Form 4820, at least one hundred and eighty (180) days prior to the proposed date to move or relocate the equipment, or as soon as practicable thereafter.

All requests to move or relocate OTDA-issued IT equipment must be submitted to OTDA IT by completing the OTDA CRC Assistance Form and submitting it by e-mail to otda.sm.bit.crcrequest@otda.state.ny.us, at least one hundred and eighty (180) days prior to the proposed date to move or relocate the equipment, or as soon as practicable thereafter.

- Requests for the return of OCFS-issued IT equipment must be submitted to OCFS IT by e-mail to comctrup@ocfs.state.ny.us using Form 4819.
 - Requests for the return of any OTDA-issued IT equipment must be submitted to OTDA IT using the OTDA CRC Assistance Form and submitting it by e-mail to otda.sm.bit.crcrequest@otda.state.ny.us.
 - All OTDA-issued IT equipment must be returned to OTDA IT for disposal, unless an Agency is assuming ownership of equipment purchased under revenue intercept. Where an Agency opts to assume ownership, the Agency must notify OTDA IT by completing the OTDA Surplus Office Automation Equipment Agreement Form and OTDA-4834EL Certification of Hard Drive Disposition Form, and submitting these forms by e-mail to otda.sm.bit.crcrequest@otda.state.ny.us. Upon receipt and processing of the requisite forms, OTDA IT will remove the equipment from inventory. The Agency must also reimaging the equipment before reissuing the equipment for their purposes.
11. Agencies must maintain the confidentiality, security and encryption of the PPSI contained on all storage devices, including portable storage media, in accordance with all applicable federal and state laws, rules and regulations.
12. Any storage media containing PPSI that needs to be destroyed or disposed of must be destroyed or disposed of in accordance with all applicable federal and state laws, rules and regulations. Guidance is available in the NYS Office of Cyber Security informational guide, “*Erasing Information and Disposal of Electronic Media*,” at <http://www.cscic.state.ny.us/localgov>.

Acceptable methods include:

- a. **Wiping** -- Storage media being “wiped” using a utility that is compliant with the Department of Defense (DoD) 5015.2-STD RMA Design Criteria Standard.
- b. **Degaussing** -- Magnetic Storage media being “degaussed” using a Department of Defense (DoD) rated unit.
- c. **Physical Destruction** – Storage media such as CDs or DVDs being shredded using shredders capable of shredding such storage media. If such a shredder is unavailable, the media must be cut into four or more pieces. Storage media such as USB or hard drives being physically destroyed by burning, crushing or smashing.

13. Agencies must maintain a log of all storage media that has been disposed of and/or destroyed. The log must include the date, type of device, manufacturer, serial number (if one exists), and the method of sanitation or destruction used. This log must be retained and made available upon request to OCFS or OTDA, as applicable, or their authorized reviewer/auditor, for review and auditing purposes.
14. Any Agency using a third party entity or disposal company to dispose of any OCFS- or OTDA-issued IT equipment or storage media containing PPSI must, as a contractual requirement, obtain an affidavit from the third party entity or disposal company certifying that equipment or storage media has been destroyed, and specifying the destruction method(s) utilized in accordance with all applicable federal and state laws, rules and regulations, and NYS Office of Cyber Security policy.

V. Systems Implications

None

VI. Additional Information

Agencies must use the forms below to request Site IDs, installation, movement, relocation or de-installation of OCFS- or OTDA-issued equipment, or to report loss and/or theft of OCFS- or OTDA-issued equipment.

OCFS Forms

- OCFS 4820 -- CONNECTIONS Moving Form
- OCFS 4819 -- CONNECTIONS Equipment Return Form
- OCFS 4818 -- Other Request Form
- OCFS 4440 -- Lost or Stolen Equipment Form

OCFS forms are located on the OCFS intranet at: <http://ocfs.state.nyenet/it/forms.asp>

Forms must be submitted to: comctrup@ocfs.state.ny.us

OTDA Forms:

- OTDA- Customer Relations Center (CRC) Assistance Form
- OTDA-4835 Surplus Office Automation Equipment Agreement
- OTDA-4834EL Certification of Hard Drive Disposition

OTDA forms are located on the OTDA intranet at:

<http://otda.state.nyenet/it/resources.asp#howto>

Forms must be submitted to: otda.sm.bit.crcrequest@otda.state.ny.us

VII. Effective Date

This directive is effective immediately.

/s/ William Travis, Jr.

Issued By:

Name: William Travis, Jr.

Title: Deputy Commissioner

Division/Office: OCFS-IT

/s/ Deborah Snyder

Name: Deborah Snyder

Title: Chief Information Security Officer

Division/Office: OTDA OLA/ISO