Information Sensitivity Policy

1.0 Purpose
The Information Sensitivity Policy is intended to help Fuqua faculty, employees and students determine what information can be disclosed to non-affiliates, as well as the relative sensitivity of information that should not be disclosed outside of Duke University’s Fuqua School of Business (hereafter noted as “Fuqua”) without proper authorization.

The information covered in these guidelines includes, but is not limited to, information that is either stored or shared via any means. This includes: electronic information, information on paper, and information shared orally or visually (such as telephone and video conferencing).

All faculty and employees (hereafter noted as “personnel”) should familiarize themselves with the information labeling and handling guidelines that follow this introduction. It should be noted that the sensitivity level definitions were created as guidelines and to emphasize common sense steps that you can take to protect Fuqua Confidential information (e.g., Fuqua Confidential information should not be left unattended in conference rooms).

Please Note: The impact of these guidelines on daily activity should be minimal.

Questions about the proper classification of a specific piece of information should be addressed to your manager. Questions about these guidelines should be addressed to The Fuqua Infrastructure Team.

2.0 Scope
All Fuqua information is categorized into two main classifications:

- Fuqua Public
- Fuqua Confidential

Fuqua Public information is information that has been declared public knowledge by someone with the authority to do so, and can freely be given to anyone without any possible damage to Fuqua.

Fuqua Confidential contains all other information. It is a continuum, in that it is understood that some information is more sensitive than other information, and should be protected in a more secure manner. Included is information that should be protected very closely, such as trade secrets, development programs, potential acquisition targets, and other information integral to the success of Fuqua. Also included in Fuqua Confidential is information that is less critical, such as telephone directories, general Fuqua information, personnel information, etc., which does not require as stringent a degree of protection.

A subset of Fuqua Confidential information is "Fuqua Third Party Confidential" information. This is confidential information belonging or pertaining to another organization which has been entrusted to Fuqua by that organization under non-disclosure agreements and other contracts. Examples of this type of information include everything from joint development efforts to vendor, donor, alumni or prospect lists, and supplier information. Information in this category ranges from extremely sensitive to information about the fact that we’ve connected a supplier / vendor into Fuqua's network to support our operations.

Fuqua personnel are encouraged to use common sense judgment in securing Fuqua Confidential information to the proper extent. If a Fuqua affiliate is uncertain of the sensitivity of a particular piece of information, he/she should contact their manager.

3.0 Policy
The Sensitivity Guidelines below provides details on how to protect information at varying sensitivity levels. Use these guidelines as a reference only, as Fuqua Confidential information in each column may necessitate more or less stringent measures of protection depending upon the circumstances and the nature of the Fuqua Confidential information in question.
3.1 Minimal Sensitivity: General corporate information; some personnel and technical information

Marking guidelines for information in hardcopy or electronic form.

Note: any of these markings may be used with the additional annotation of "3rd Party Confidential".

Marking is at the discretion of the owner or custodian of the information. If marking is desired, the words "Fuqua Confidential" may be written or designated in a conspicuous place or in the information in question. Other labels that may be used include "Fuqua Proprietary" or similar labels at the discretion of your individual business unit or department. Even if no marking is present, Fuqua information is presumed to be "Fuqua Confidential" unless expressly determined to be Fuqua Public information by a Fuqua faculty or staff member with authority to do so.

Access: Fuqua personnel, contractors, people with a business need to know.
Distribution within Fuqua: Standard interoffice mail, approved electronic mail and electronic file transmission methods.
Distribution outside of Fuqua internal mail: U.S. mail and other public or private carriers, approved electronic mail and electronic file transmission methods.
Electronic distribution: No restrictions except that it be sent to only approved recipients.
Storage: Keep from view of unauthorized people; erase whiteboards, do not leave in view on tabletop. Machines should be administered with security in mind. Protect from loss; electronic information should have individual access controls where possible and appropriate.
Disposal/Destruction: Destroy outdated paper information on Fuqua premises; electronic data should be expunged/cleared. Reliably erase or physically destroy media.
Penalty for deliberate or inadvertent disclosure: Up to and including termination, possible civil and/or criminal prosecution to the full extent of the law.

3.2 More Sensitive: Business, financial, technical, and most personnel information

Marking guidelines for information in hardcopy or electronic form.

Note: any of these markings may be used with the additional annotation of "3rd Party Confidential". As the sensitivity level of the information increases, you may, in addition or instead of marking the information "Fuqua Confidential" or "Fuqua Proprietary", wish to label the information "Fuqua Internal Use Only" or other similar labels at the discretion of your individual business unit or department to denote a more sensitive level of information. However, marking is discretionary at all times.

Access: Fuqua personnel and non-employees with signed non-disclosure agreements who have a business need to know.
Distribution within Fuqua: Standard interoffice mail, approved electronic mail and electronic file transmission methods.
Distribution outside of Fuqua internal mail: Sent via U.S. mail or approved private carriers.
Electronic distribution: No restrictions except that it be sent via a private link to approved recipients.
Storage: Individual access controls are highly recommended for electronic information.
Disposal/Destruction: Destroy outdated paper information on Fuqua premises; electronic data should be expunged/cleared. Reliably erase or physically destroy media.
Penalty for deliberate or inadvertent disclosure: Up to and including termination, possible civil and/or criminal prosecution to the full extent of the law.

3.3 Most Sensitive: Trade secrets & marketing, operational, personnel, financial, source code, & technical information integral to the success of Fuqua.
Marking guidelines for information in hardcopy or electronic form.

*Note:* any of these markings may be used with the additional annotation of "3rd Party Confidential". To indicate that Fuqua Confidential information is very sensitive, you may label the information "Fuqua Internal: Registered and Restricted", "Fuqua Eyes Only", "Fuqua Confidential" or similar labels at the discretion of your individual business unit or department. Once again, this type of Fuqua Confidential information need not be marked, but users should be aware that this information is very sensitive and be protected as such.

**Access:** Only those individuals (Fuqua personnel and non-employees) designated with approved access and signed non-disclosure agreements.

**Distribution within Fuqua:** Delivered direct - signature required, envelopes stamped confidential, or approved electronic file transmission methods.

**Distribution outside of Fuqua internal mail:** Delivered direct; signature required; approved private carriers.

**Electronic distribution:** No restrictions to approved recipients within Fuqua, but it is highly recommended that all information be strongly encrypted.

**Storage:** Individual access controls are very highly recommended for electronic information. Physical security is generally used, and information should be stored in a physically secured computer.

**Disposal/Destruction:** Strongly Encouraged: Destroy outdated paper information on Fuqua premises; electronic data should be expunged/cleared. Reliably erase or physically destroy media.

**Penalty for deliberate or inadvertent disclosure:** Up to and including termination, possible civil and/or criminal prosecution to the full extent of the law.

### 4.0 Enforcement
Any employee found to have violated this policy may be subject to disciplinary action, up to and including termination of employment.

### 5.0 Definitions
**Terms and Definitions**

**Appropriate measures**
To minimize risk to Fuqua from an outside business connection. Fuqua computer use by unauthorized personnel should be restricted so that, in the event of an attempt to access Fuqua proprietary information, the amount of information at risk is minimized.

**Configuration of Fuqua-to-other entity connections**
Connections shall be set up to allow other entities to see only what they need to see. This involves setting up both applications and network configurations to allow access to only what is necessary.

**Delivered Direct; Signature Required**
Do not leave in interoffice mail box, call the mail room for special pick-up of mail.

**Approved Electronic File Transmission Methods**
Includes supported FTP clients and Web browsers.

**Envelopes Stamped Confidential**
You are not required to use a special envelope. Put your document(s) into an interoffice envelope, seal it, address it, and stamp it confidential.

**Approved Electronic Mail**
Includes all mail systems supported by Fuqua/Duke IT personnel. If you have a business need to use other mailers contact the appropriate support organization.

**Approved Encrypted email and files**
Techniques include the use of DES and PGP. DES encryption is available via many different public domain packages on all platforms.

**Company Information System Resources**

Company Information System Resources include, but are not limited to, all computers, their data and programs, as well as all paper information and any information at the Internal Use Only level and above.

**Expunge**

To reliably erase or expunge data on a PC or Mac you must use a separate program to overwrite data, supplied as a part of Norton Utilities. Otherwise, the PC or Mac's normal erasure routine keeps the data intact until overwritten. The same thing happens on UNIX machines, but data is much more difficult to retrieve on UNIX systems.

**Individual Access Controls**

Individual Access Controls are methods of electronically protecting files from being accessed by people other than those specifically designated by the owner. On UNIX machines, this is accomplished by careful use of the chmod command (use *man chmod* to find out more about it). On Mac's and PC's, this includes using passwords on screensavers.

**Insecure Internet Links**

Insecure Internet Links are all network links that originate from a locale or travel over lines that are not totally under the control of Fuqua.

**Encryption**

Secure Fuqua Sensitive information in accordance with the *Acceptable Encryption Policy*. International issues regarding encryption are complex. Follow Duke University guidelines on export controls on cryptography, and consult your manager and/or Duke legal services for further guidance.

**One Time Password Authentication**

One Time Password Authentication on Internet connections is accomplished by using a one time password token to connect to Fuqua's internal network over the Internet. Contact your support organization for more information on how to set this up.

**Physical Security**

Physical security means either having actual possession of a computer at all times, or locking the computer in an unusable state to an object that is immovable. Methods of accomplishing this include having a special key to unlock the computer so it can be used, thereby ensuring that the computer cannot be simply rebooted to get around the protection. If it is a laptop or other portable computer, never leave it alone in a conference room, hotel room or on an airplane seat, etc. Make arrangements to lock the device in a hotel safe, or take it with you. In the office, always use a lockdown cable. When leaving the office for the day, secure the laptop and any other sensitive material in a locked drawer or cabinet.

**Private Link**

A Private Link is an electronic communications path that Fuqua has control over its entire distance. For example, all Fuqua networks are connected via a private link. A computer with modem connected via a standard land line (not cell phone) to another computer have established a private link. ISDN lines to employee's homes is a private link.

### 6.0 Revision History

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<th>Date</th>
<th>Who made the revision</th>
<th>Change made</th>
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<tbody>
<tr>
<td>2012-01-23</td>
<td>Fuqua Infrastructure</td>
<td>Initial issue</td>
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