



Library Technology Services
Presents

UF's Technology Risk Assessment process

How it affects the libraries and you

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What are UF Risk Assessments?

Part of the Integrated Risk Management program at UF
(<https://irm.ufl.edu/>)

UF Data Guide (<https://irm.ufl.edu/uf-data-guide/>)

The guide will help you understand your data type within UF's data classification guidelines. This guide can also be used to find approved software and computing infrastructure for use with various data types.

Fast Path Solution (<https://irm.ufl.edu/fast-path-solutions/>)

Fast Path Solutions is a list of pre-assessed software and computing environments. Currently there are 478 solutions in this list. If you are working with non-restricted data, you may use software/services listed in the Fast Path Solutions without additional review by UF administrative, compliance, and risk management offices.

Risk Assessments

Risk Assessments are performed on information systems, including but not limited to,

- Hardware, software, some network connections
- Services (new or existing) products
- Renewal, migration, upgrades, enhancements of a pre-existing system or environment
- Tools, cloud services, applications

UF Data Guide

(<https://irm.ufl.edu/uf-data-guide/>)

HOW TO SAFELY WORK WITH MY DATA AT UF

Use this tool to make informed decisions where to safely store, analyze and share data at UF.

Scroll down to browse [Data Types](#) and [Restricted Data Solutions](#).

NEED TO DETERMINE YOUR DATA TYPE?

Answer the questions to name your data type.

Which of these does your data include?

- | | |
|---|---|
| <input type="checkbox"/> Individual Financial Account Information, Including Credit/Debit Cards | <input type="checkbox"/> Mental Health, HIV, Minor Patients, Other Protected Status |
| <input type="checkbox"/> Export Controlled Information (ITAR, EAR) | <input type="checkbox"/> Social Security Numbers |
| <input type="checkbox"/> National Institutes of Health, NASA, Department of Veterans Affairs Data | <input type="checkbox"/> Student Records |
| <input type="checkbox"/> ID Information, Address, Phone, Passport, Email or Participant | <input type="checkbox"/> Student Financial Aid and Loan Application Information |
| <input type="checkbox"/> Human Subjects, Health Information | <input type="checkbox"/> Receiving/Providing Federal Government Information |
| <input type="checkbox"/> Human Subjects, Non-health Information | <input type="checkbox"/> Criminal Justice Information System (CJIS) |
| | <input type="checkbox"/> None of These Apply |
| | <input type="checkbox"/> I Don't Know |

FIND OUT

ALREADY KNOW YOUR DATA TYPE AND/OR INTENDED SOLUTION?

Data Type ▼

with

Restricted Data Solution ▼

FIND OUT

Tip: Select "All" to view a full list of data permissions.

NEED HELP?

Contact UFIT:
IRM-UF@ufl.edu
(352) 294-3589

DATA TYPES

Controlled Unclassified Information (CUI)

Credit Card or Payment Industry (PCI)

Criminal Justice Information System (CJIS)

Export Controlled Research (ITAR, EAR)

Federal Information Security Management Act (FISMA)

Personally Identifiable Information (PII)

Protected Health Information (HIPAA)

Restricted Identifiable Human Subject Research

Social Security Numbers

Student Education Records (FERPA)

Student Loan Application Information (GLBA)

Veterinary Medicine

Open

Sensitive

UF Fast Path Solutions

(<https://irm.ufl.edu/fast-path-solutions/>)

ZENODO

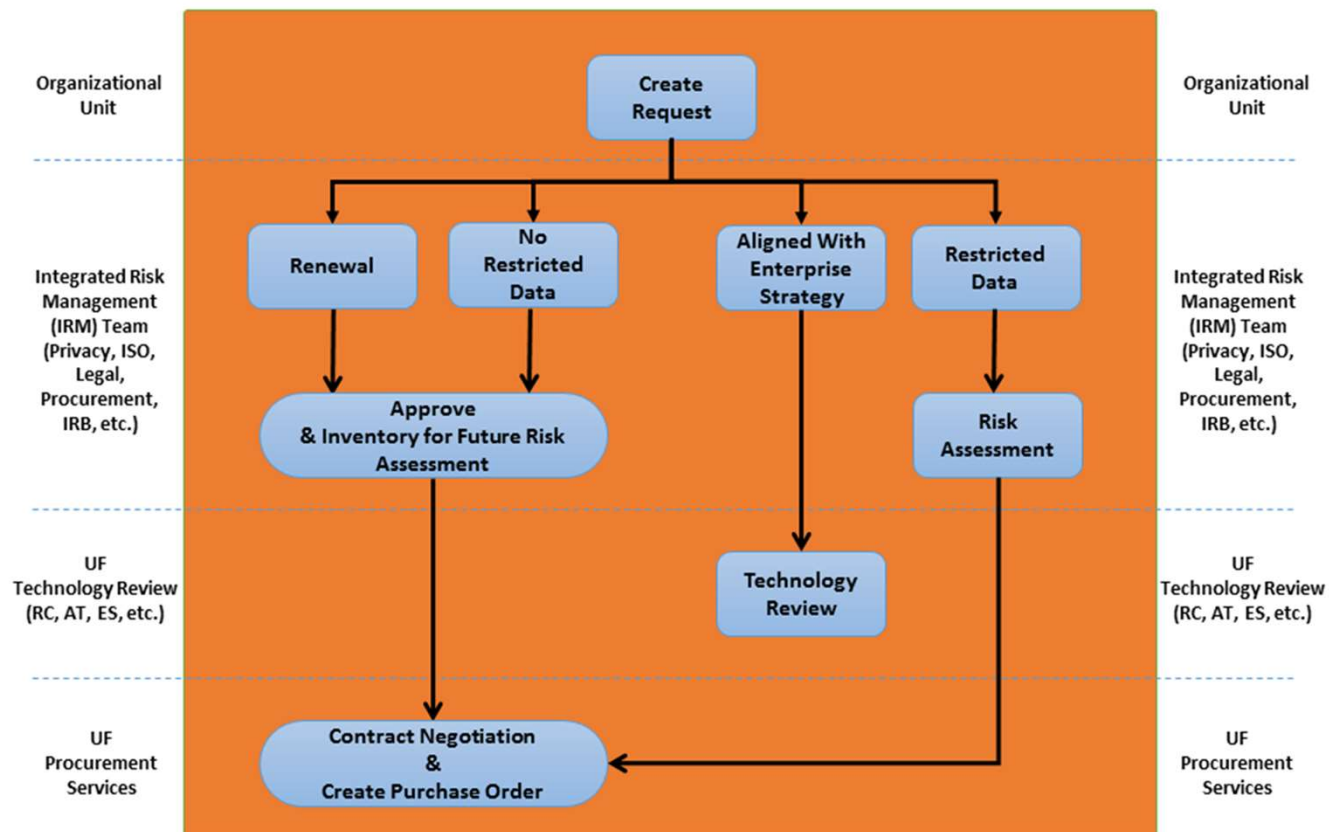
General-purpose open-access repository developed under the European OpenAIRE program and operated by CERN. It allows researchers to deposit data sets, research software, reports, and any other research related digital artifacts.

Please follow the **Usage Guidelines** in the chart below to properly use this Fast Path Solution.

| <u>Open Data</u> | <u>Sensitive Data</u> | <u>Restricted Data</u> |
|-----------------------------|-----------------------------|---|
| There Is No Action Required | There Is No Action Required | Submit A Request If Using Restricted Data |

UF Risk Assessments

University of Florida Risk Assessment Workflow



UF Risk Assessments

- Each new submission for risk assessment or “Request” is reviewed for the following criteria: security, privacy, and alignment with the university’s technology goals.
- This process involves multiple units, including the Information Security Office, the Privacy Office, the Office of the General Counsel, and Procurement Services.
- Library Technology Services facilitates the Risk Assessment process for the Smathers Libraries.

The screenshot displays the University of Florida's Risk Management website. The header includes the UF logo, a search bar, and navigation links for Welcome, Risk Management, Survey Center, Issue Management, Enterprise Management, and Reports. Below the header is a 'Quick Links' section with links to various policies and standards. The main content area is divided into two columns. The left column, titled 'What Requires Risk Review', provides information on the Integrated Risk Management process, including links to the UF Data Guide site and the UF Risk Assessment site. It also lists hardware and software requirements for restricted data. The right column, titled 'Request', features a 'Submit Request Here' link and a flowchart illustrating the five steps of the risk assessment process: Submit Request, Review Request, Categorization, Assessment, and Risk Report. A note at the bottom of the 'Request' section directs users to the Fast Path Solution site for pre-vetted solutions.

What Requires Risk Review

Before you begin the Integrated Risk Management process, it is important to understand what type of data you are working with. The [UF Data Guide site](#) is available for assistance with determining your data type.

Additional information on the UF Integrated Risk Management process can be found on the [UF Risk Assessment site](#).

If you are not collecting, storing, transmitting, or processing restricted data, review by administrative and compliance offices is not required for any of the following hardware or software:

- Hardware purchases for laptops and desktops that comply with the [Mobile Computing and Storage Device Policy](#)

Request

[Submit Request Here](#)

Use the above link to submit a risk assessment Request. The steps that a full risk assessment can involve is represented in the below graphic.

```

graph LR
    A[Submit Request] --> B[Review Request]
    B --> C[Categorization]
    C --> D[Assessment]
    D --> E[Risk Report]
  
```

Please review the [Fast Path Solution site](#) for pre-vetted solutions before submitting a new Request.

UF Risk Assessments

If you have a new software, online service, or technology hardware, there will need to submit a request to have a risk assessment completed.

- Requests can come from library staff as part of the regular purchasing process.
- For existing technologies, a risk assessment may be needed as part of a license or maintenance renewal.

Working with LTS on Risk assessments

- Cliff Richmond – Software, networking, servers.
- Will Chaney – Hardware based requests.

Important Notes

- For any technology that is possibly part of a grant, submitting these as early as possible is advisable.
- Risk assessments may take anywhere from a week to possibly over a year to complete depending on the type of data and the complexity of the review process that may be needed.

What does Library Technology Services do to help?



Initial Submission

UF

UNIVERSITY of FLORIDA

Search

🕒

🔔

?

Todd

🏠

Welcome

Risk Management

Survey Center

Issue Management

Enterprise Management

Task Management

CSF Management

📄 Reports

Request : REQUEST-320284

EDIT

VIEW

SAVE

SAVE AND CLOSE

Created Date: 7/22/2021 Last Updated: 7/22/2021 9:56 AM

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GENERAL INFORMATION

Request ID: REQUEST-320284

Status: In Progress

Submitter: Digby, Todd

Department: LB-SYSTEMS DEPARTMENT

Project Name:

Data Classification: Open

Description: Please provide a brief description of the project purpose that includes any technology involved and who will be interacting with the technology and/or project data.

Project Owner:

Additional Participants:

Dean/Director/Chair:

Technical Resource:

Please identify the primary stakeholder for this risk project.

Please identify all participants that would need to be kept informed of this risk project.

Please identify if there is an additional technical individual or individuals that should be involved with this project to work with your ISM or Tech Contact to address technical questions related to this project.

Request Details

Request Review

Data Usage: What data types are to be collected, stored, processed, maintained, or transmitted?

For additional guidance on the UF data classifications and control frameworks click [here](#).

* Includes de-identified coded data and must have the following identifiers removed [PHI De-identification Checklist](#).

- ☐ Protected Health Information
- ☐ De-Identified Health Information *
- ☐ Credit / Debit Card Information **
- ☐ Financial Account Information
- ☐ Florida Driver's License or ID Information
- ☐ Passport Numbers
- ☐ Social Security Numbers
- ☐ Full Name
- ☐ Student Records
- ☐ Date of Birth
- ☐ Veterinary Records
- ☐ Export Controlled (ITAR, EAR)
- ☐ FISMA
- ☐ CUI
- ☐ Other restricted data protected by law, regulations, or contracts
- ☐ Sensitive Data
- ☐ Open Data
- ☐ Other

What does Library Technology Services do to help?

Initial Submission

Estimated Number of Records: What is the estimated total number of records currently in use and added over the next two years?

Usage Purpose: What is the purpose of data usage?

- ☐ Student Education
- ☐ Law Enforcement
- ☐ Non-Credit Activity
- ☐ Medical Care
- ☐ University Administration
- ☐ Research
- ☐ Sale of Goods or Services (Non-Academic)
- ☐ Other

☐ N/A

Usage Justification: Why are the data elements required for usage based on the purpose?

What does Library Technology Services do to help?



Initial Submission

▼ USES AND DISCLOSURES

Requisition: Will this request require a purchase?

☐ Yes ☐ No



Marketing: Will personal information be used for marketing?

☐ Yes ☐ No ☐ N/A



Fund Raising: Will personal information be used for fund raising?

☐ Yes ☐ No ☐ N/A



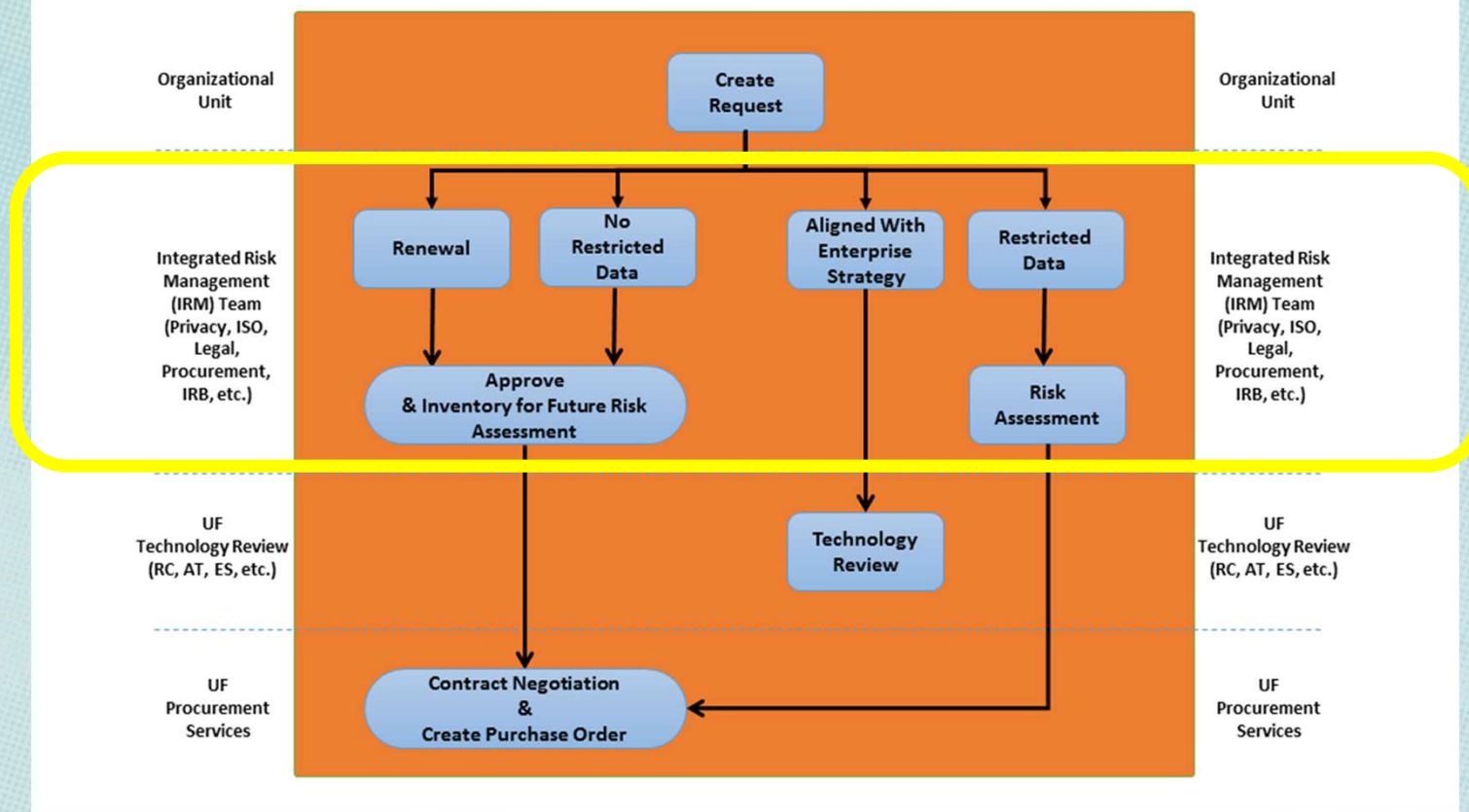
Attachments: Attach any agreements, diagrams, or other information pertaining to this Request.

[Add](#)

What does Library Technology Services do to help?

What happens next?

University of Florida Risk Assessment Workflow



What does Library Technology Services do to help?

Initial Submission and Categorization Stage

Technology Questions

In-house/Commercial: Is this an in-house built product or commercial product?

Website Development and Web Application Usage: Will this project involve website development and/or web application usage?

Website Authentication: Will new or existing website usage require authorization and/or authentication?

Website Shibboleth Usage: Will Shibboleth be used for authorization and/or authentication?

Website Authenticated Users: Who will be authenticating to the new or existing website(s)?

Website Development Comments: Please list the website address(es) that will be developed for this project.

Shibboleth Service Provider Review: Will this project involve a new Shibboleth service provider setup or a change to an existing Shibboleth service provider setup?

UF Stored: Will this data be stored at UF? Will all data remain within and under the jurisdiction of the State of Florida?

US Data Jurisdiction: Will all data remain within and under the jurisdiction of the United States?

What does Library Technology Services do to help?

Categorization Questions

Acceptable Downtime: What is the acceptable downtime?

Acceptable Data Loss: What is the acceptable data loss?

Remote Access: Is remote access required?

Direct System Interaction: What is the estimated number of individuals that will directly interact with this system?

Estimated Loss Impact: What is the estimated cost to the university if the system were to be lost?

Health & Safety Impact: Could a substantial or specific danger to health and safety of a person occur due to the malfunction or lack of availability of this information system?

Technology Purpose: Provide a detailed description of the technology purpose and how the information will be used.

Data Retention Details: Provide detail on the data retention plans to include:

- Amount of unique personally identifiable information at time of production
- Amount of records that will be stored per year
- Procedure to purge data at time of retention expiration
- How records will be store in all mediums

Data Flow Diagram: Please provide a detailed data flow diagram that identifies:

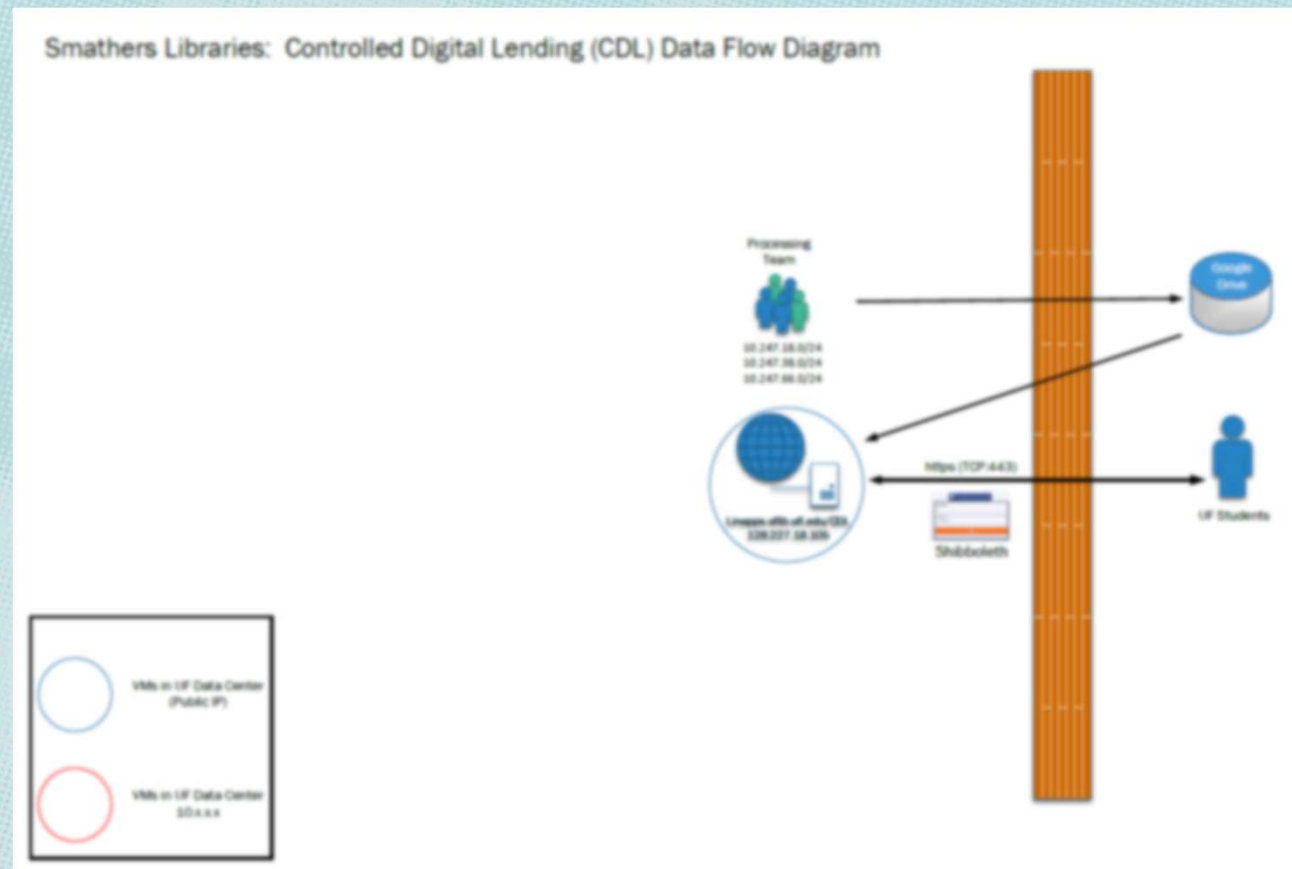
- All components and physical locations of the information system to include who manages each component
- All network zones used by the information system (Closed Zone, Protected, DMZ, etc.)
- All protocols used between the information system components and any remote information systems
- All data types used between the information system components and any remote information systems
- All remote information systems and access requirements used by those information systems to include source location (Campus, HSC, Internet, etc.)
- Boundary of information system (assessment scope)

Supporting Documentation: Provide all supporting documentation for this assessment to include:

- Data Use Agreement (DUA), Business Associate
- Agreement (BAA), Confidentiality Agreement (CA)
- Third party assessment reports

What does Library Technology Services do to help? Create Data Flow and Network Diagrams

Simple

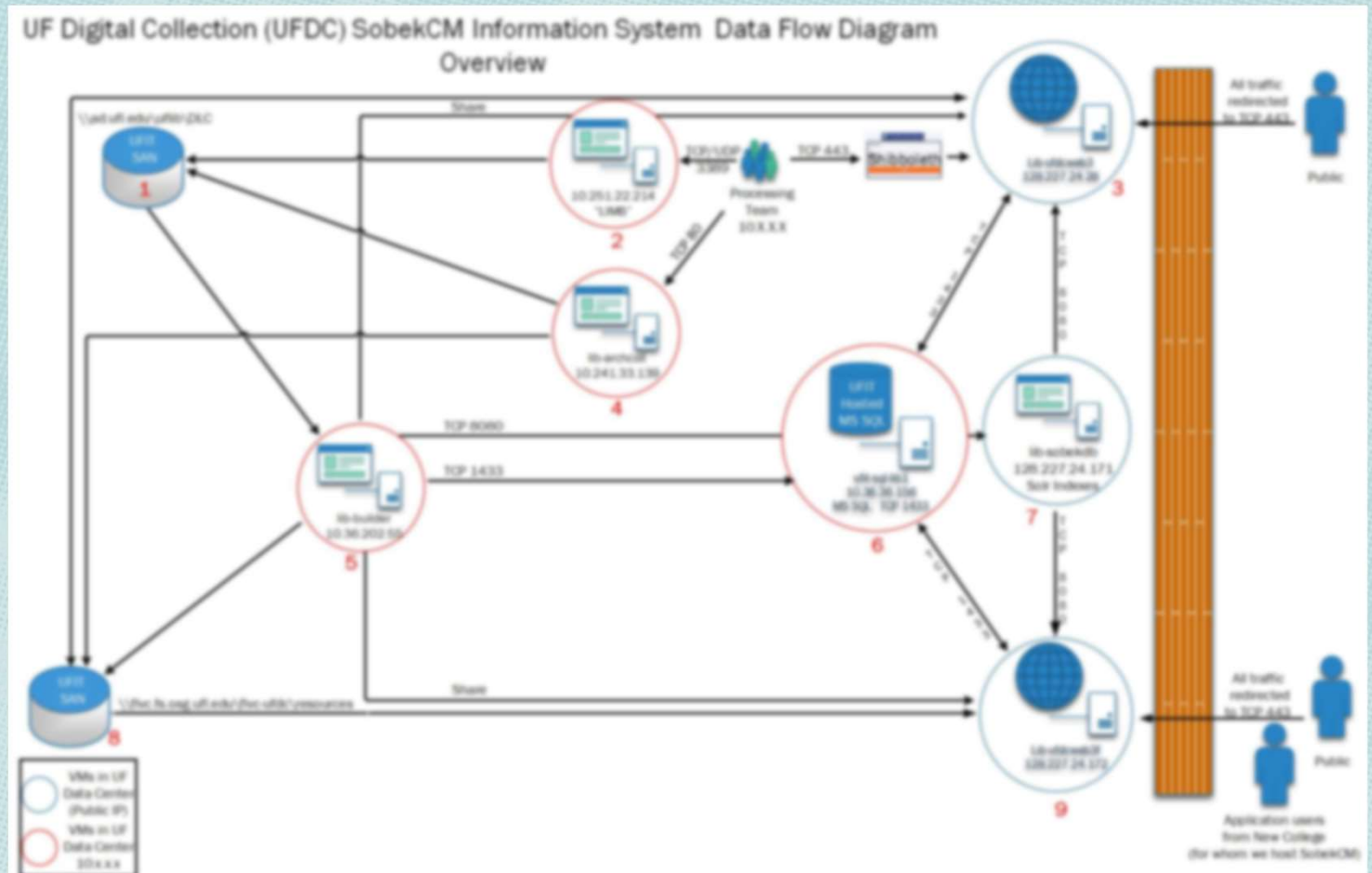


*Images blurred due to sensitive information

What does Library Technology Services do to help?

Create Data Flow and Network Diagrams

Complex



*Images blurred due to sensitive information

Results

Risk Project Name: [Smathers Libraries: Kapwing.com Video Editing 2021-06-04](#)

Request ID: 316419

Department: LB-SYSTEMS DEPARTMENT

Description:

The purpose of this intake is evaluation of the Kapwing.com on-line video editing software and services, in order to facilitate various video editing needs of library staff, such as adding subtitles. No PII, PHI or otherwise restricted or sensitive information will be involved. In addition to a data flow diagram, attached are correspondence to and from the vendor regarding security policies, procedures and overall posture, as well as a copy of the vendor's Terms of Service

Risk Analyst: Gomez, Nadja

Submitter: Richmond, Clifford D

Risk Analysis Overview:

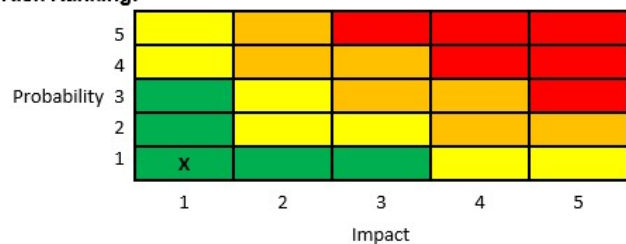
Risk Assessment Closure Detail:

Assessment Complete.

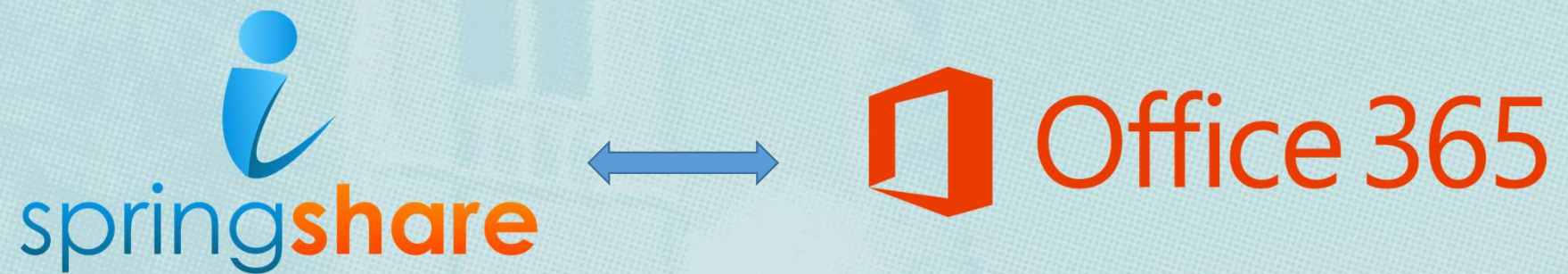
Recommend using UF Google account for login.

Proceed with project.

Risk Ranking:



Results



LastPass...

Questions?

Next Month's LTS Presents

New UFDC

UF DC Digital Collections
GEORGE A. SMATHERS LIBRARIES
UNIVERSITY OF FLORIDA

HOME COLLECTIONS AND PARTNERS TITLE SETS MAP SEARCH GENRES DATES ABOUT CONTACT US

Search UF Digital Collections Search

Refine Your Search

OUR COLLECTIONS. OUR SCHOLARSHIP. OUR WORLD.

OUR COLLECTIONS. OUR SCHOLARSHIP. OUR WORLD.

Collections Partners Genres