Library Technology Services

Presents

UF's Technology Risk Assessment process

How it affects the libraries and you

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Cliff Richmond, Head, Digital Development, LTS
Will Chaney, Head, Operations and Web Management, LTS

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?

- ☐ Individual Financial Account Information, Including Credit/Debit Cards
- ☐ Export Controlled Information (ITAR, EAR)
- ☐ National Institutes of Health, NASA, Department of Veterans Affairs Data
- ☐ ID Information, Address, Phone, Passport, Email or Participant
- ☐ Human Subjects, Health Information
- ☐ Human Subjects, Non-health Information
- ☐ Mental Health, HIV, Minor Patients, Other Protected Status
- ☐ Social Security Numbers
- ☐ Student Records
- ☐ Student Financial Aid and Loan Application Information
- ☐ Receiving/Providing Federal Government Information
- ☐ Criminal Justice Information System (CJIS)
- ☐ None of These Apply
- ☐ 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/)

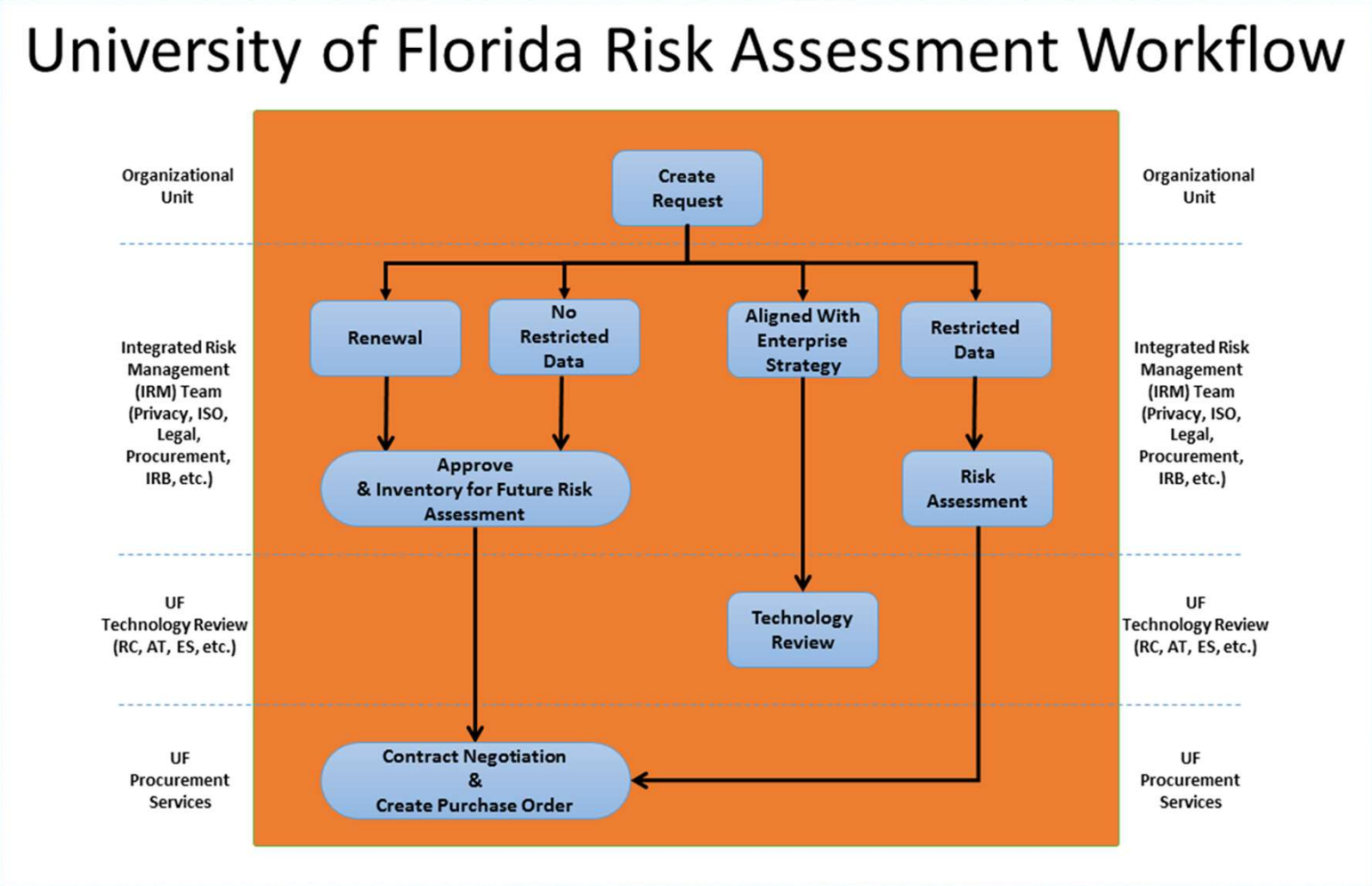
ZENODO

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.

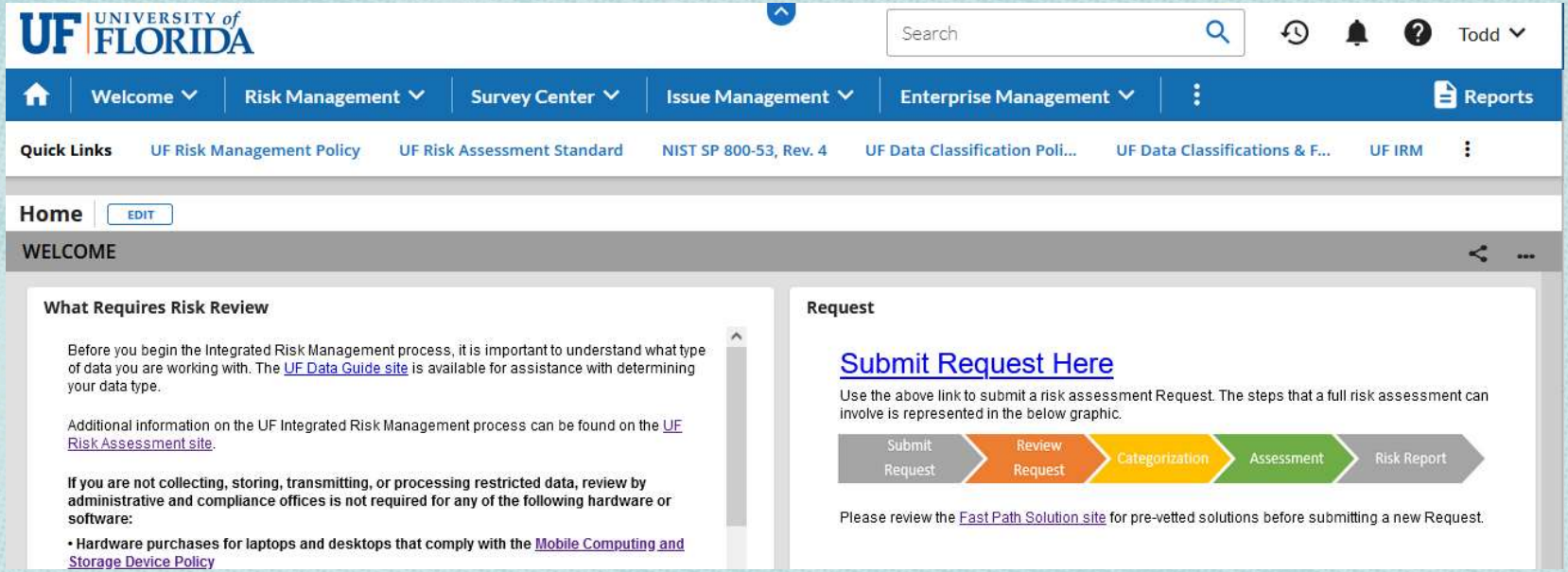
Open Data	Sensitive Data	Restricted Data
There Is No Action Required	There Is No Action Required	**Submit A Request If Using Restricted Data**

UF Risk Assessments



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.



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

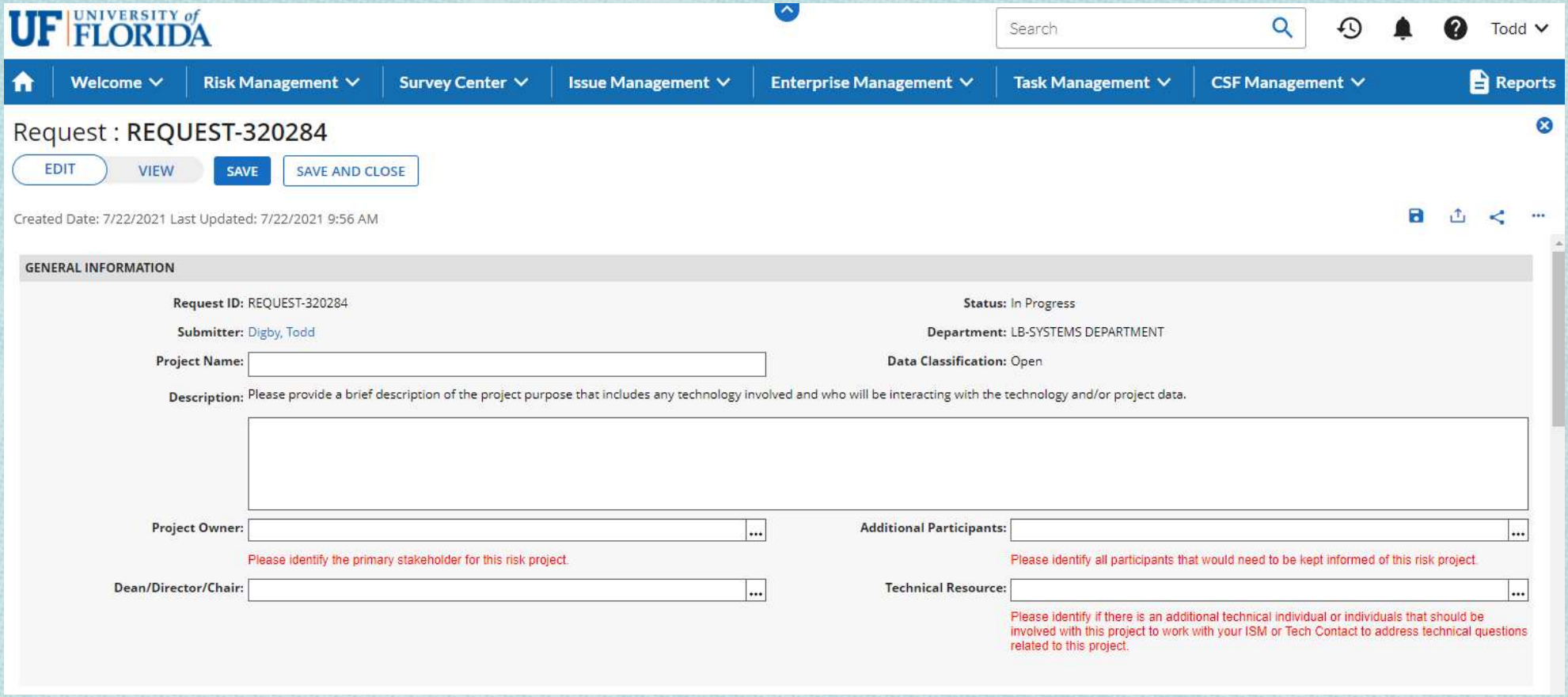
- Cliff Richmond – Software, networking, servers.
- Will Chaney – Hardware based requests.

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.

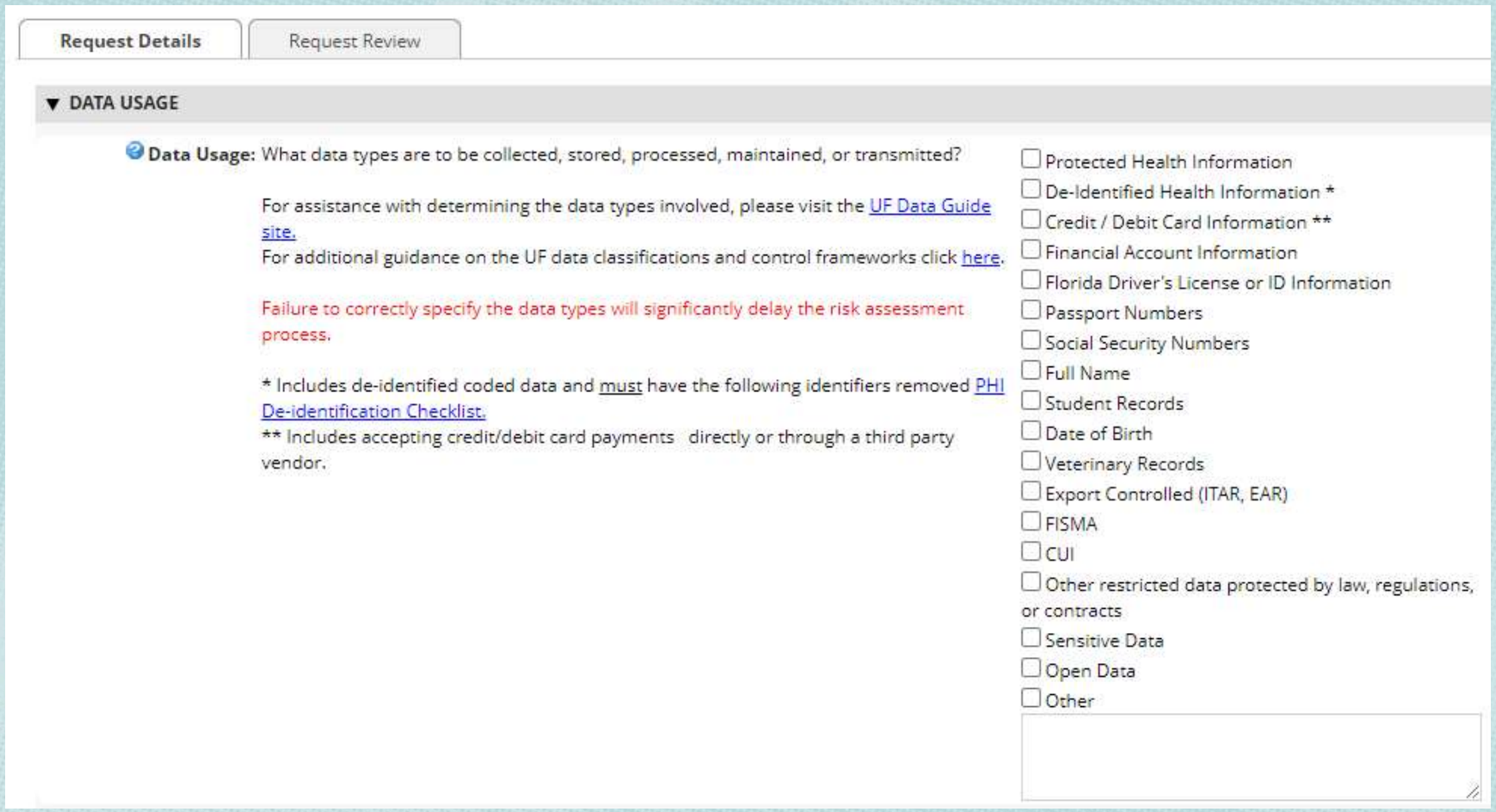
What does Library Technology Services do to help?

Initial Submission



What does Library Technology Services do to help?

Initial Submission



Request Details | Request Review

▼ DATA USAGE

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

For assistance with determining the data types involved, please visit the UF Data Guide site.
For additional guidance on the UF data classifications and control frameworks click here.

Failure to correctly specify the data types will significantly delay the risk assessment process.

* Includes de-identified coded data and must have the following identifiers removed PHI De-identification Checklist.
** Includes accepting credit/debit card payments directly or through a third party vendor.

- ☐ 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?

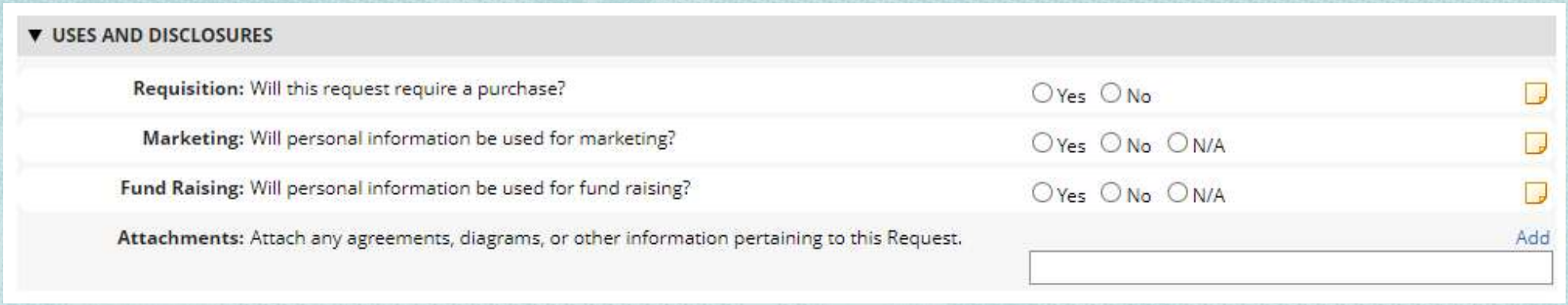
Usage Purpose: What is the purpose of data usage?

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

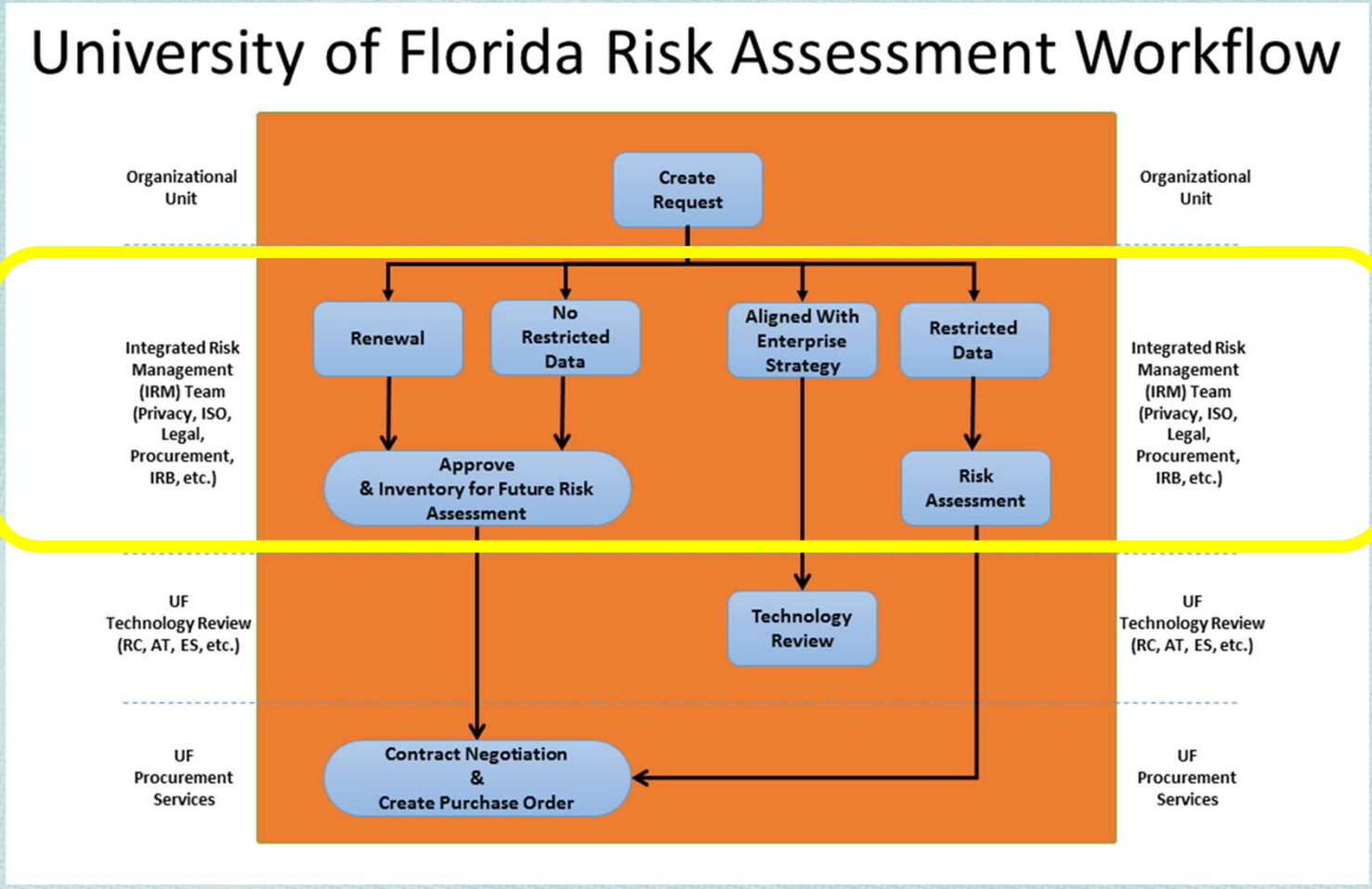
Usage Justification: Why are the data elements required for usage based on the purpose?

What does Library Technology Services do to help?

Initial Submission



What happens next?



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)

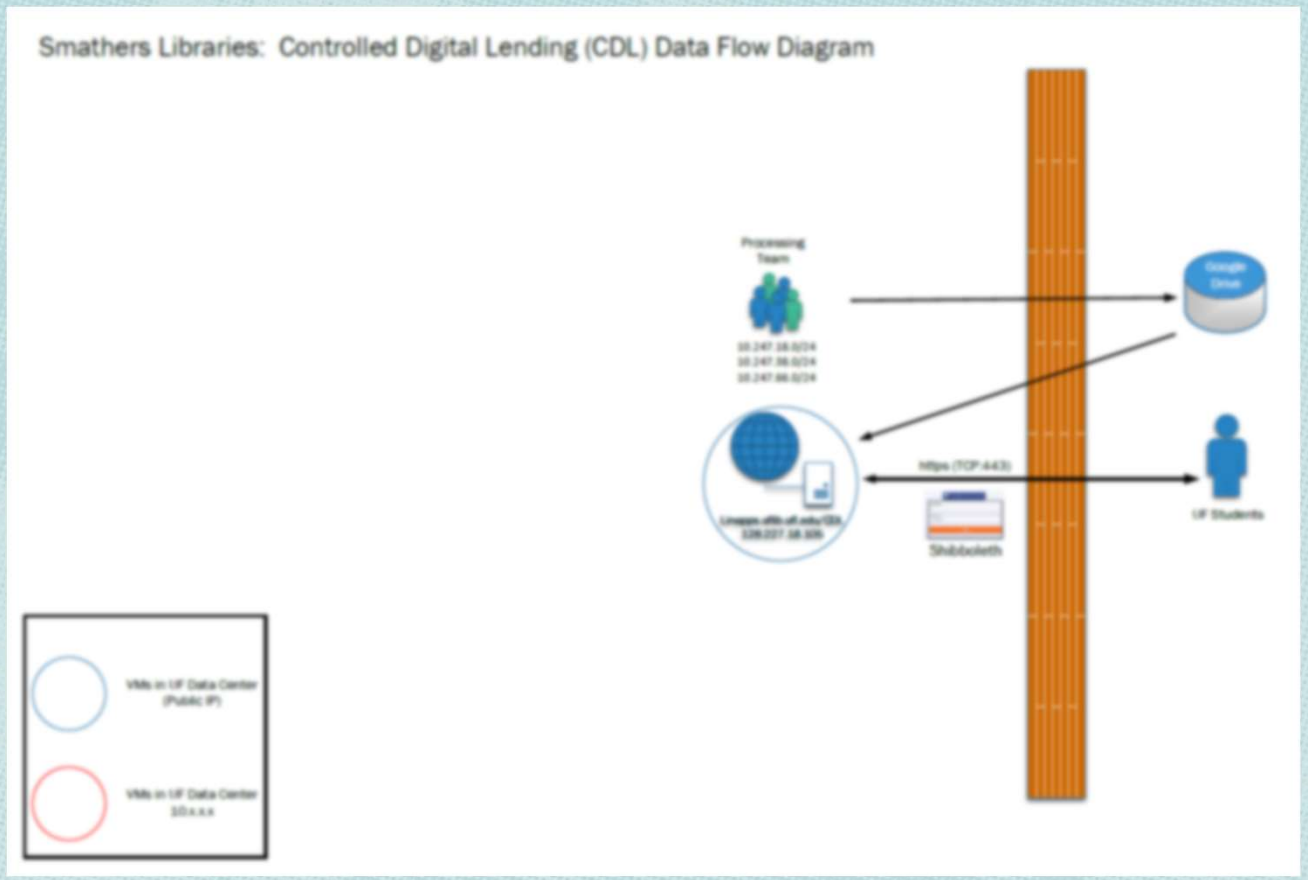
Supporting Documentation: Provide all supporting documentation for this assessment to include:

- 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

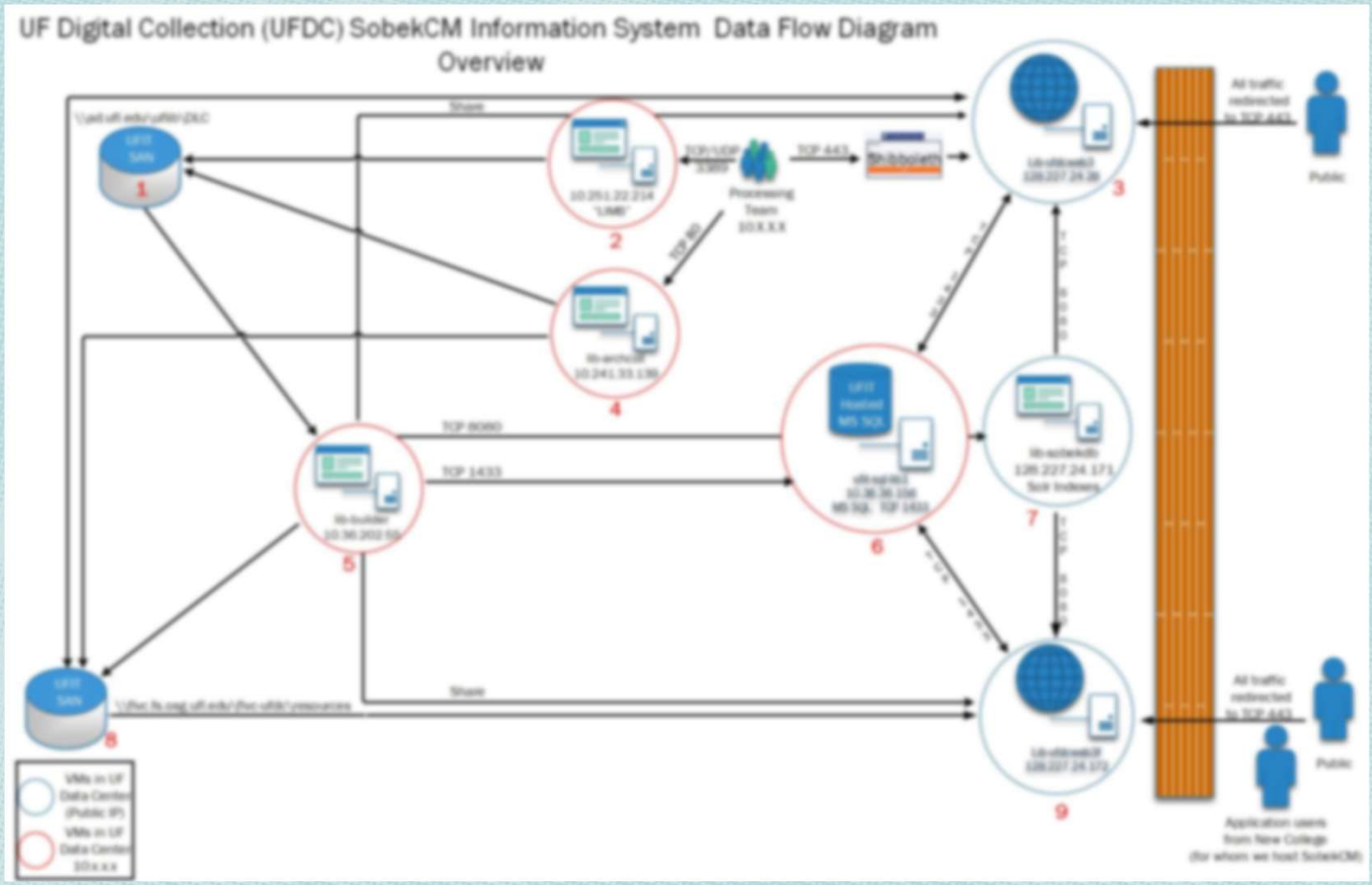


*Images blurred due to sensitive information

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

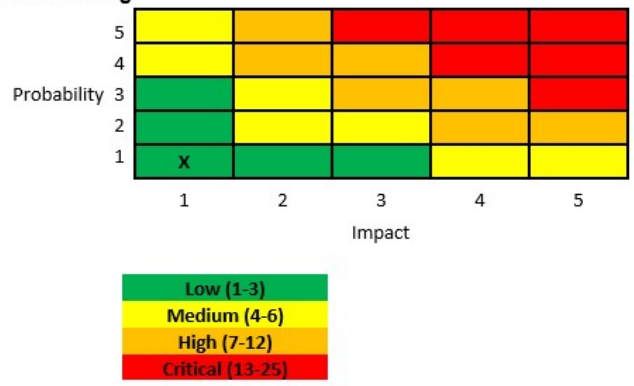
Risk Analyst: Gomez, Nadja
Submitter: Richmond, Clifford D

Risk Analysis Overview:

Risk Assessment Closure Detail:

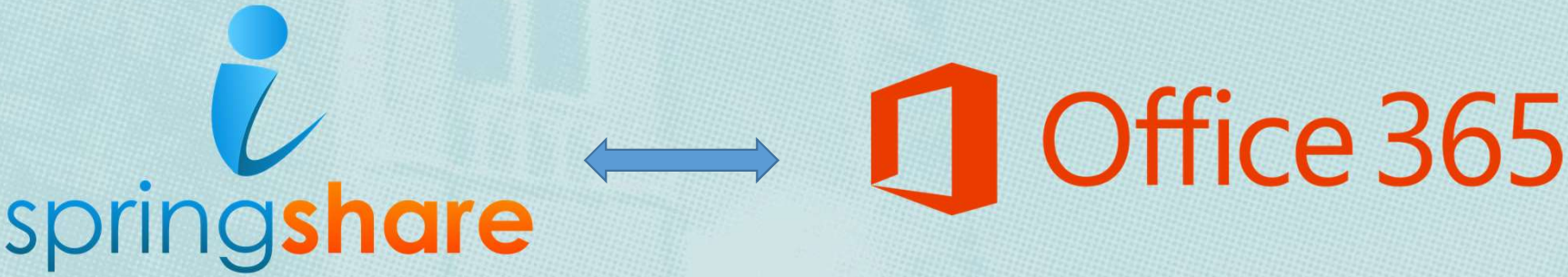
Assessment Complete.
Recommend using UF Google account for login.
Proceed with project.

Risk Ranking:



Low (1-3)
Medium (4-6)
High (7-12)
Critical (13-25)

Results



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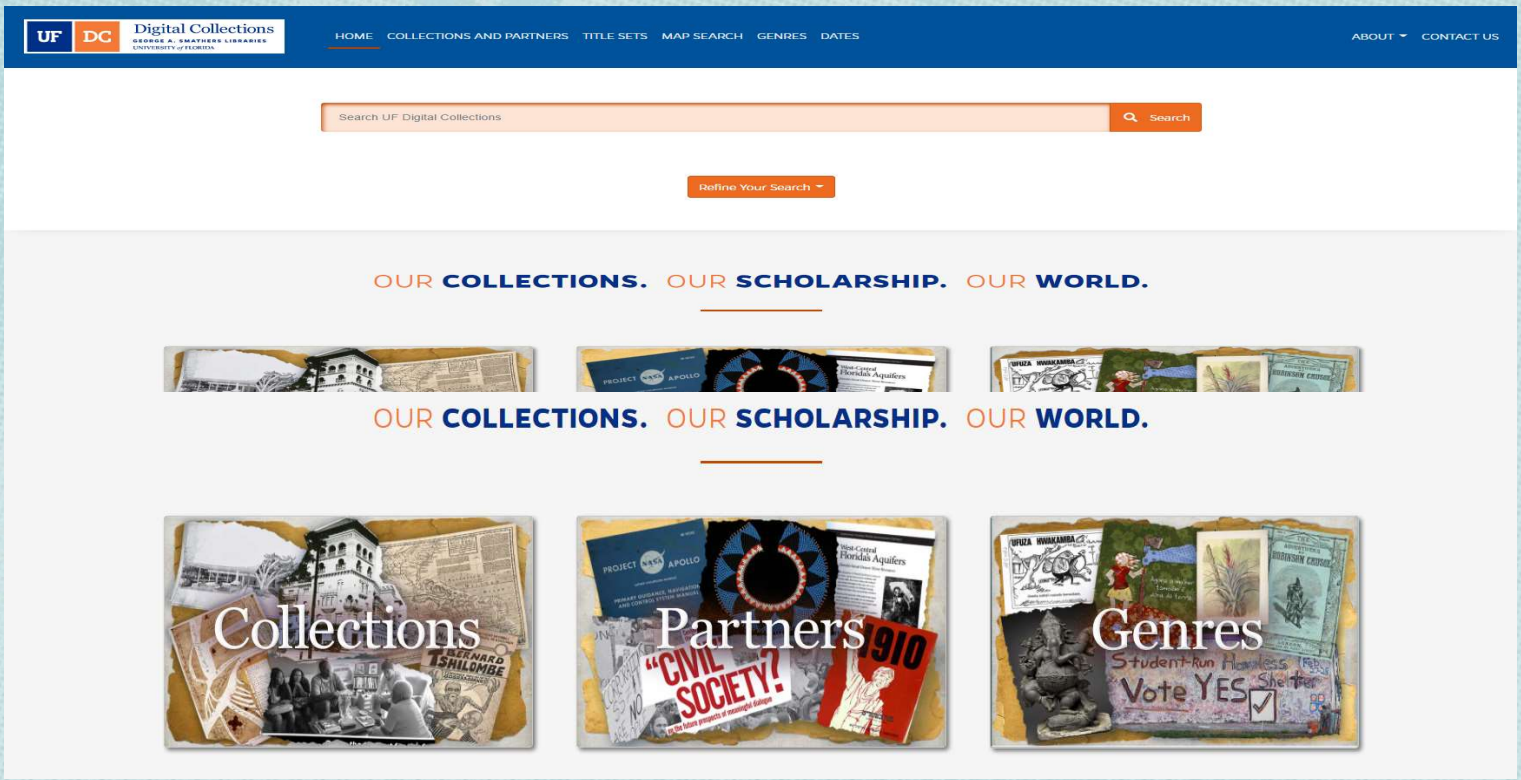
Questions?

Next Month's LTS Presents

New UFDC