CESS Request Approval

What, Why, When, Who & How?

January 24, 2017
What is CESS Request Approval?

• CESS Request Approval is a review and approval process for IT projects and purchases

• What is being reviewed?
  – IT Project CESS Requests submitted through UGAmart
  – IT Purchase Requisitions for IT Projects, with approved CESS request numbers, submitted through UGAmart

• What is Sensitive, Restrictive and Critical data?
What is the difference between Sensitive, Restricted and Critical data?

- Sensitive information is typically redacted from open records disclosures, & loss of such data could cause harm to individuals such as UGA students, personnel, donors and partners, and cause the University to incur significant costs in response and significant damage to UGA’s reputation.

- Examples of Sensitive Data
  - Student records and prospective student records (w/o Social Security Numbers)
  - Donor and alumni records
  - Critical infrastructure information (IT systems info, system passwords, etc.)
  - Research information related to funding, sponsorship, human subjects, etc.
  - Information protected by non-disclosure agreements or private contracts
  - Law enforcement and investigative records
  - UGA ID Number (also known as the 81X number)
• Records with restricted information are typically not open for public inspection & loss of such data could cause harm to individuals and cause the University to incur significant costs in response and significant damage to UGA’s reputation

• Examples of Restricted Data
  – Social Security Numbers (SSN) or last four digits of an individual’s SSN
  – Financial information and account numbers including the full 16-digit UGACard number
  – Payment card cardholder data
  – Protected health information

• Loss of data classified as Critical will cause significant damage to UGA’s reputation

• Examples of Critical Data
  – Emergency notification/contact data
  – Health care data
  – Student records
Why do IT Projects and Purchases need to be reviewed?

• Risk Assessment -
  – IT Security Risks to UGA’s data, network and/or IT infrastructure
  – IT Standards Compliance for wireless, network security, bandwidth consumption and IT resources

• Large IT Acquisitions - $10,000 or greater, regardless of risk factors

• Why was I told my purchase needs CESS Approval if it is under $10,000?
When should CESS Approval be requested?

• If an IT Project or Purchase requires CESS approval, always submit a CESS Approval Request, and await approval and an issued CESS Request number BEFORE submitting any Purchase Requisition carts related to the project.

• Remember to build in enough lead time so you can submit a CESS Approval Request, and be able to process any Purchase Requisitions after the CESS is approved.
Who is responsible for submitting a request for CESS approval?

IT Personnel and Administrative/Business support need to work together for a CESS request to be submitted accurately.

- **IT Personnel Responsibilities** – Provide all technical content necessary to fill out the CESS request form (quotes or project documents), assess if a security evaluation or any other forms are required based on technical specifications, and if so fill the forms out.

- **Administrative or Business Support Responsibilities** – Gather all relevant documents, forms and information from IT Personnel necessary to fill out the CESS Request form in UGAmart. Retain the CESS Request number upon approval, and cite the CESS Request number in the UGAmart cart for any Purchase Requisitions associated with the approved CESS Project.
How do I submit an IT Project or Purchase for CESS Approval?

- UGAmart CESS Requests and IT Purchase Requisitions
  - Completing CESS Requests for approval
  - Indicating CESS approval for IT Purchase Requisitions
Completing A CESS Request Form in UGAmart

• Log in to UGAmart at:
  https://ugamart.uga.edu/UGAmart/index.jsp

Click CESS Approval Form (located underneath the section entitles UGA Internal Stores & Forms)
This link will take you to the CESS Approval Essentials page with instructions, links and helpful information.

When the CESS Approval Form is complete, choose “Add to new Cart” and click Go.

**CESS Approval Form**

**UGA Computer Equipment, Software or Service (CESS) Request Form**

This form should be used to request approval of a Computer Equipment, Software & Services (CESS) project.

**Available Actions:**
- Add to new Cart

**Individual Responsible for CESS Resource and Location**

<table>
<thead>
<tr>
<th>Name</th>
<th>Phone</th>
<th>E-Mail Address</th>
<th>Dept/Unit CESS Resource Location (Building and Room #)</th>
<th>Approving Unit Coordinator Group</th>
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</thead>
<tbody>
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<td>VP for Information Technology</td>
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**CESS Project Information**

Please complete the fields below to request CESS approval for your project. Select the appropriate unit coordinator above.

- **Project/System Name:**
- **Primary Use of CESS Resource(s):** Administration
- **Purpose of Product or Service:**
- **Estimated Cost $ - Total Cost of All Project Purchases Across All Fiscal Years:**
- **Is Project Currently Funded:** Yes
- **Projected Fiscal Year(s) of Purchases:** 2017

**Description of Probable Project Purchases:** (Attach Additional Documentation If More Space Is Needed)

<table>
<thead>
<tr>
<th>Item</th>
<th>Generic Description (Micro, Software, Printer, etc.)</th>
<th>Manufacturer</th>
<th>Product/Model Number</th>
<th>Qty</th>
<th>Est. Cost per Item</th>
<th>Total Cost</th>
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**Total Cost (manually added)**

500
Click all that apply to the IT Project.

Quotes, Security Evaluation or any other Project/required documents should be attached here.

The answers to these questions determine if the CESS is coded as “N” or “S” and should be answered by the IT Project contact person.

<table>
<thead>
<tr>
<th>Type of Product or Service Requested:</th>
<th>Funding Source:</th>
<th>Key Project Requirements:</th>
<th>Attachments</th>
</tr>
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<tbody>
<tr>
<td>Hardware</td>
<td>State</td>
<td>Requires Wireless Connectivity</td>
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<tr>
<td>Software</td>
<td>Grant or Contract</td>
<td>Large Bandwidth Requirement (e.g., streaming video)</td>
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<td>Consultant Contract</td>
<td>Service Income</td>
<td>3rd Party Hosted</td>
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<tr>
<td>Other</td>
<td>Student Tech Fee</td>
<td>3rd Party Supported</td>
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<td></td>
<td>Gift</td>
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**Security Questions**

For more information on using the Information Classification Standard to define Sensitive Information and Critical Systems, please follow this link. 📝

1) Will this resource process, store, or transmit Restricted Information as defined in the University’s Data Classification and Protection Standard?

   - No
   - Yes

2) Will this resource be classified as Critical as defined in the University’s Data Classification and Protection Standard?

   - No
   - Yes

3) Will this system and/or service grant 3rd party access to Sensitive or Restricted Data such as cloud storage?

   - No
   - Yes

If you answered “Yes” to any of the questions above, you must fill out the CESS Security Evaluation Form found here and attach it to this CESS Approval Form to obtain approval. 📝 Click here to view a completed Security Evaluation example. 📝
If the answer to ANY of the Security Questions is YES, the CESS will be coded as an “-S” and you will need to fill out and attach the CESS Security Evaluation Form.

The link to the CESS Security Evaluation Form is just below the 3 Security Questions on the CESS Request Form.

Submitting a CESS Request in UGAmart

• In the “new” cart, select “Proceed to final review” from the top drop down menu and then click “Go”.

• The next screen will ask for the account number and object code that the project will be charged to. The line item will have $0.00 because CESS Requests do not create an encumbrance against UGA account funds.

• When you are finished, DO NOT select “Assign Cart”. Select “Final Review”, review your cart and “Submit for approval”. It will then be routed to the unit CESS Coordinator for approval before going to EITS for CESS Review.
Indicating CESS Approval for IT Purchase Requisitions

Every Purchase Requisition relating to an approved CESS project MUST have the full CESS Approval number listed here.

UGAmart does NOT auto-fill this field, so you will have to know the correct CESS number for your IT Project, and add the number manually.
Does my purchase or project need CESS approval?

• Step 1:

- Does your purchase or project include computing hardware, software or services?
  - YES
    - To determine if a CESS Request is required, go to Step 2
  - NO
    - CESS Request is NOT Required. Proceed with UGAmart Purchase Requisition
• Step 2:

Does it meet **ANY** of these network or data security criteria?

- Process, store or transmit **Restricted Data**
- Grant 3rd parties access to **Sensitive or Restricted Data**
- Does NOT fully meet UGA or USG Standards or Policies

If the answer is **NO** to all criteria, proceed to the next step.

**Is the total project cost $10K or more?**

- **NO**
  - CESS Request NOT Required. Proceed with UGAmart Purchase Requisition

- **YES**
  - CESS Request Required

**To determine if a Security Evaluation Form is required, go to Step 3.**
What does “Grant 3rd parties access” mean?

• When data is processed, stored or transmitted on a physical or virtual device (ie. Cloud) outside of direct control or possession of UGA.

What is the extra step for Amazon Web Services and why is it necessary?

• If the vendor is Amazon Web Services, the Amazon Cloud Financial Stewardship Form must be filled out, signed by the Dean or VP and attached to the CESS Request
• The form acknowledges the Dean or VP is aware of the financial risks involved with AWS accounts, and provides program guidelines and instructions
• Step 3:

Does it meet ANY of these information security risk criteria?

- Process, store or transmit Restricted Data
- (1) Grant 3rd parties access to Sensitive or Restricted Data
- Classified Critical per UGA's published Data Standards Policy

Fill out and attach the CESS Security Evaluation Form to the CESS Request cart in UGAmart.

To determine if Board of Regents approval is required, go to Step 4.
• **Step 4:**

  Is the total project cost $500K or more?

  - **YES**
    - BOR Approval required
    - Fill out and attach answered questions for **BOR Approval** *(add 10-15 business days to the standard CESS approval processing time)*

  - **NO**
    - BOR Approval NOT required
    - Create CESS Request cart in UGAmart, attach any project documents or quotes & submit for approval *(Standard CESS approval processing time = 7-10 business days)*
What are the approval steps for a CESS Request, and how long do they usually take?

*Shepherding CESS Requests through the CESS Approval Process*

- **CESS “N” Requests Workflow**
  - 7 – 10 Business Days Processing Time (add 10-15 Business Days for BOR Approval if over $500K)

- **CESS “S” Requests Workflow**
  - 8 – 12 Business Days Processing Time (add 10-15 Business Days for BOR Approval if over $500K)
What are the approval steps for a CESS approved Purchase Requisition, and how long do they usually take?  

*Shepherding CESS Requests through the CESS Approval Process*

- **CESS “N” Requests Workflow**

  - 2-3 Business Days Processing Time

- **CESS “S” Requests Workflow**

  - 3-4 Business Days Processing Time
Risk Assessment – How is the CESS Review process helping to protect UGA’s IT data, systems and networks?

- Examples:
  - Web Site Redesign
  - Cloud Services
Where can I find more information on CESS Requests or any of the things we covered today?

• **CESS Approval Essentials** – [https://eits.uga.edu/hardware_and_software/CESS](https://eits.uga.edu/hardware_and_software/CESS)
  - This link will take you to any policies, forms, instructions, links or definitions you may need in order to complete a CESS Request or Purchase Requisition for an IT Project

• **Email** – cess-eits@uga.edu
  - This email address is monitored so you can email any questions you may have, and receive a response even if the primary CESS person is not available
CESS Request Approval

- Questions & Answers -