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 & 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

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.

Amazon Web Services

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

The University of Georgia
Procurement Office

Statement of Understanding for Amazon Cloud Financial Stewardship

Requestor: _____
   Department   Name   Phone #   Email
Technical
Contact: _____
              Name   Phone #   Email

Department: _____
New Account
Purpose: _____

Amazon Program Guidelines & Procurement Instructions: *http://eits.uga.edu/hardware_and_software/aws_services/* .
Amazon Web Services Account Set Up: *http://aws.amazon.com/resources/create-account/*

As an authorized financial obligator/representative of the department listed above, the undersigned represents that the department has been made aware of, acknowledges, understands, and accepts the overall financial responsibility for the proper set up and administration of an AWS cloud services master account, including system financial cap/spending alerts and management reporting, plus ongoing management of Amazon departmental usage and costs for the above referenced purpose. The undersigned further acknowledges the inherent financial risks and implications (including but not limited to vendor charges for usage overages beyond the contracted amount) if the department does not institute sufficient accountability, internal controls, roles, and processes to monitor usage activity on its departmental Amazon account.

UGA's Chief Technology Officer (CTO) and Information Security Officer will have oversight access rights to all UGA AWS accounts to monitor data usage and security. Any risk mitigation will be discussed with the respective Dean or Vice President before taking any remediation actions.

Authorized Signature_____
                      Dean/Vice President

Name_____

Date_____

Risk Assessment

— **How is the CESS Review process helping to protect UGA's IT data, systems and networks?**

Example:

- **Cloud Services**

Why do IT Projects & 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?

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.
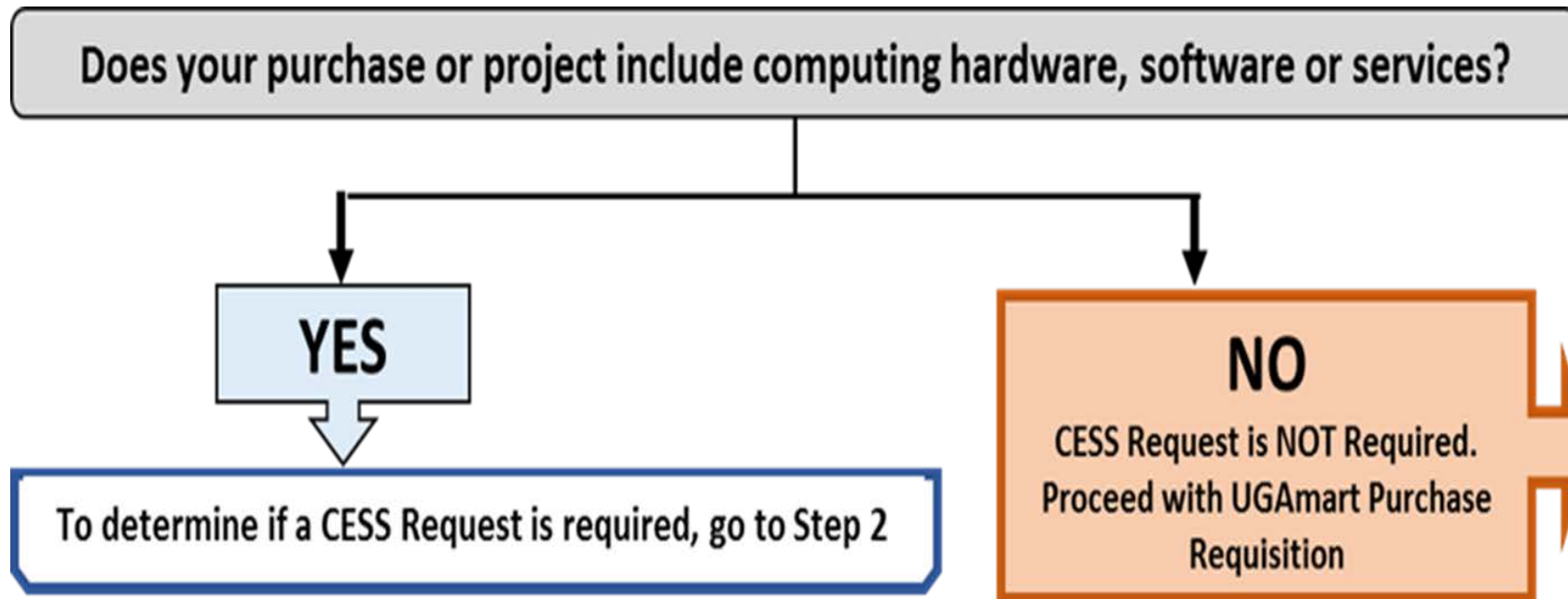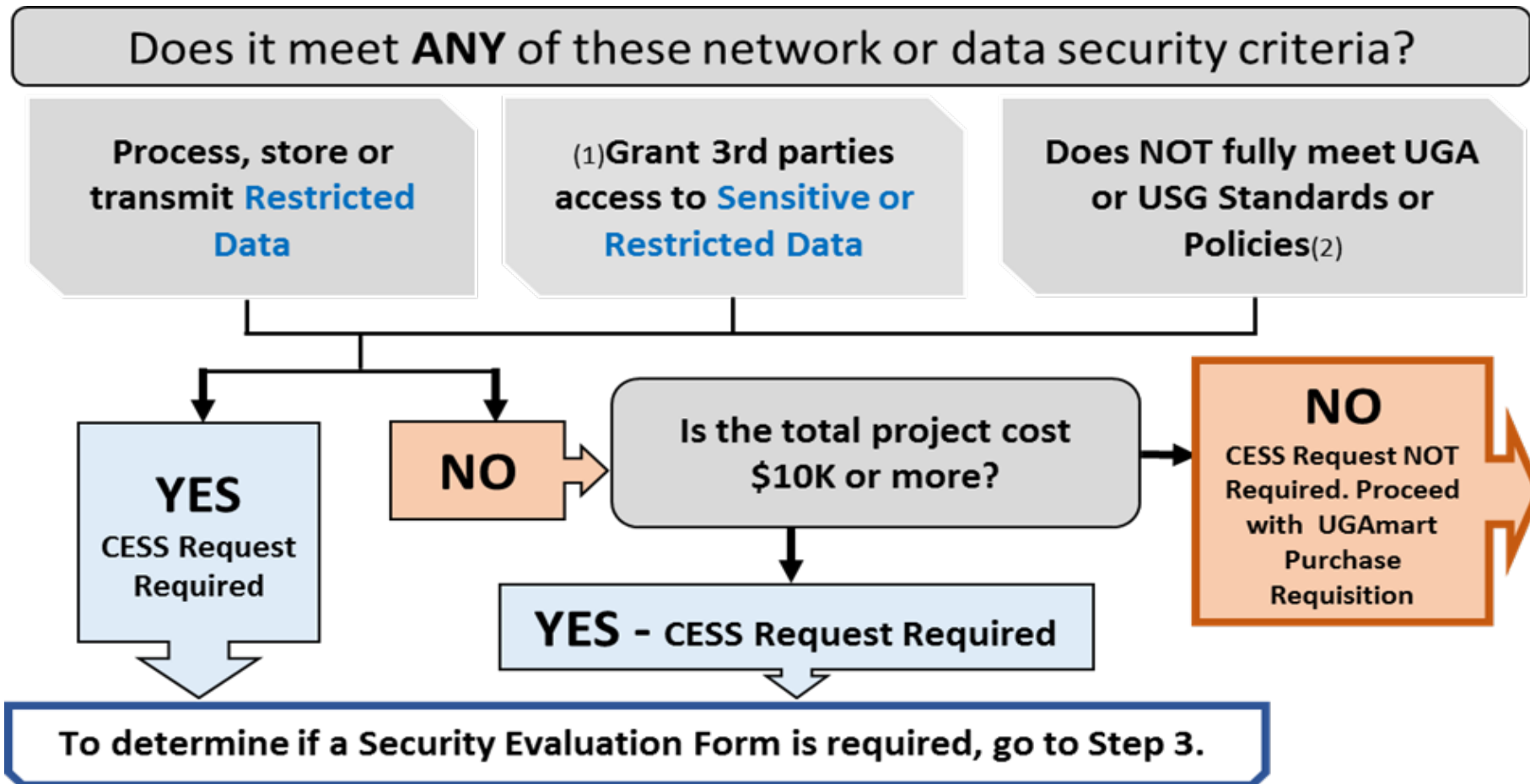
How do I know if my purchase or project needs CESS approval?

Does my purchase or project need CESS approval?

- Step 1: Purchase Type

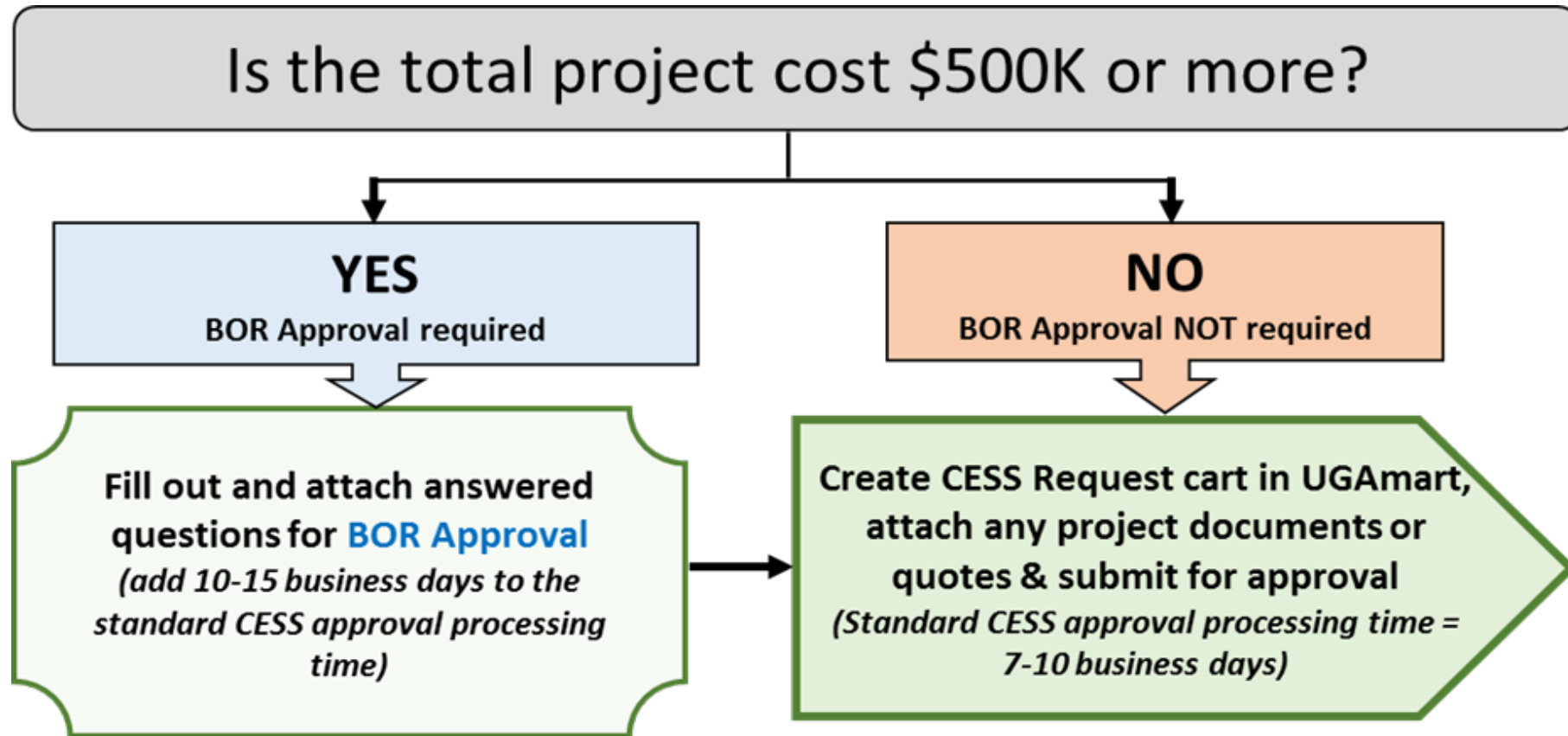Does your purchase or project include computing hardware, software or services?

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: Risk & Dollar Threshold

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

| Process, store or transmit Restricted Data | (1)Grant 3rd parties access to Sensitive or Restricted Data | Does NOT fully meet UGA or USG Standards or Policies(2) |

YES CESS Request Required

NO → 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.

• Step 3: Determine Security Risk Classification

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 |

YES (CESS-S) Security Evaluation Form required

NO (CESS-N) Security Evaluation Form not required

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: Board of Regents Approval Necessity

Is the total project cost $500K or more?

YES
BOR Approval required

NO
BOR Approval NOT required

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

Create CESS Request cart in UGAmart, attach any project documents or quotes & submit for approval *(Standard CESS approval processing time = 7-10 business days)*

I've determined my project or purchase needs CESS Approval. What now?

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.

What are the approval steps for a CESS Request, and how long do they usually take?

- CESS "N" Requests Workflow

Requisition | **PR Approvals** | Comments | Attachments (2) | History

7 – 10 Business Days Processing Time (add 10-15 Business Days for BOR Approval if over $500K)

Submitted	College of Arts and Sciences	CESS Review	Risk Assessment	VPIT Approval	Create PO
Audrey Greeson 7/19/2016 10:50 AM	Approved ✓ ✓ Elizabeth Woods	Approved ✓ ✓ Arkedia Raines	Approved ✓ ✓ Benjamin Myers	Approved ✓ ✓ Arkedia Raines	Completed ✓

- CESS "S" Requests Workflow

Requisition | **PR Approvals** | Comments (6) | Attachments (3) | History

8 – 12 Business Days Processing Time (add 10-15 Business Days for BOR Approval if over $500K)

Submitted	Terry College of Business	CESS Review	Risk Assessment	VPIT Approval	CESS Security 1	Create PO
Melinda Hobbs 9/20/2016 2:38 PM	Approved ✓ ✓ Bradford Hunt	Approved ✓ ✓ Arkedia Raines	Approved ✓ ✓ Michael Lucas	Approved ✓ ✓ Melissa Witcher	Approved ✓ ✓ Benjamin Myers	Completed ✓

Completing a CESS Request Form in UGAmart

First, Log in to UGAmart at:

https://ugamart.uga.edu/UGAmart/index.jsp
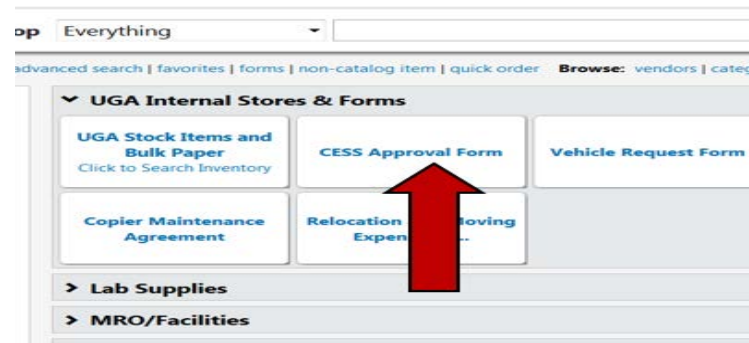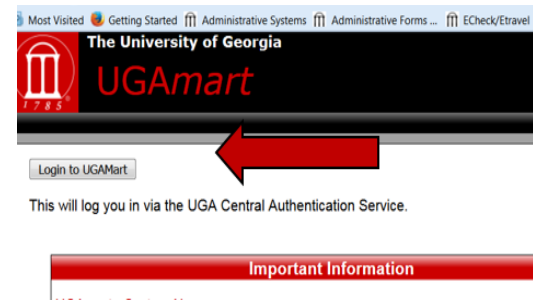
Next, Click CESS Approval Form (located underneath the section entitles UGA Internal Stores & Forms)

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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

Don't forget to choose your group. This determines approval routing for your college or VP

IT Contact Info.

CESS Approval Form

Available Actions: Add to new Cart | Go | Close

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. Follow this link to learn more about the CESS process.

Individual Responsibile for CESS Resource and Location

Name	Phone	E-Mail Address	Dept/Unit CESS Resource Location (Building and Room #)	Approving Unit Coordinator Group
				VP for Information Technology

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)

Item	Generic Description (Micro, Software, Printer, etc.)	Manufacturer	Product/Model Number	Qty	Est. Cost per Item	Total Cost

Total Cost (manually added)

500

Type of Product or Service Requested: ?

- Hardware ☐
- Software ☐
- Consultant Contract ☐
- Other ☐

Click all that apply to the IT Project

Funding Source: ?

- State ☐
- Grant or Contract ☐
- Service Income ☐
- Student Tech Fee ☐
- Gift ☐

Key Project Requirements ?

- Requires Wireless Connectivity ☐
- Large Bandwidth Requirement (e.g., streaming video) ☐
- 3rd Party Hosted ☐
- 3rd Party Supported ☐

Attachments ?

Internal Attachments

[Add Attachments]

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

Name of the Service Provider and Physical Location of all Hosting Sites ?

List the Name of the Service Provider and Physical Location of all Hosting Sites (include all on/off campus and cloud based sites)

1000 characters remaining   expand | clear

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.

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.

Link to the CESS Security Evaluation Form

VPIT Office Use Only ?

Vendor   CESS-N Request ⌄

Fulfillment Address   Fulfillment Address 1:

Total   0.00

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1785

eits.uga.edu

CESS Security Evaluation Form

- If the answer to ANY of the Security Questions is YES, the CESS will be "-S" and you will need to fill out and attach the CESS Security Evaluation Form

UGA Computer Equipment, Software, or Services (CESS)

Security Evaluation Form

Instructions: Fill out all applicable parts 1-4 of this form, save, and then submit to the Office of Information Security for review by attaching the completed form in .pdf format to the related CESS Approval in UGAMart at https://ugamart.uga.edu. Please direct any questions or comments on this form to the Office of Information Security via the EITS Helpdesk at 706-542-3106 or helpdesk@uga.edu.

Part 1 - Responsibility for Security.

1.1 Please indicate who will be responsible for the security of this resource:

Name:

Title:

Department/College:

1.2 Is the individual responsible for the security of the resource aware that the University of Georgia has policies and guidelines regarding the privacy and security of systems and information--including the Privacy Policy, Password Policy, Minimum Security Policy, Guidelines for Handling Sensitive Data, and Guidelines for Trusted Computing--and that these policies and guidelines can be found at https://infosec.uga.edu/policies?

☐ Yes

☐ No

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.

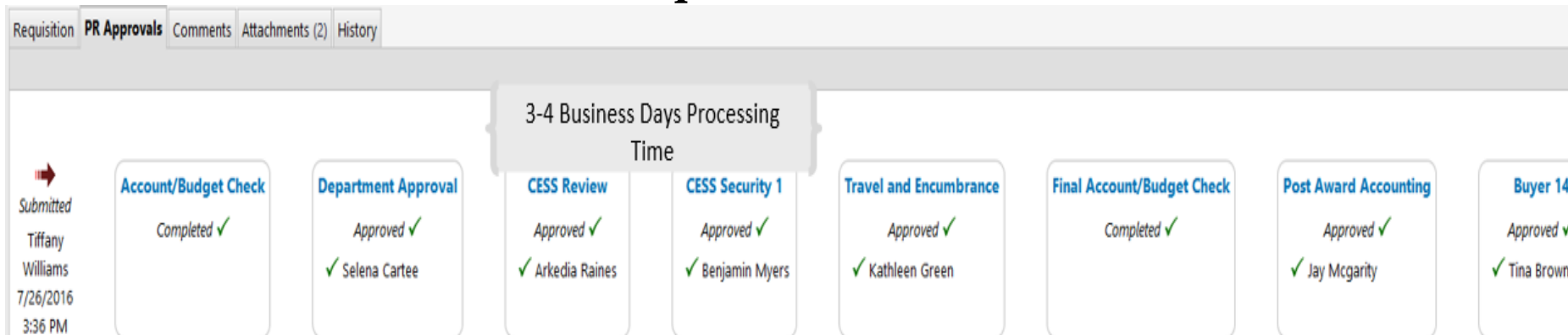Now I've received CESS approval and a CESS number has been issued. How does this apply to actual purchases?

What are the approval steps for a CESS approved Purchase Requisition, and how long do they usually take?
Shepherding CESSS Requests through the CESS Approval Process

- CESS "N" Purchase Requisition Workflow
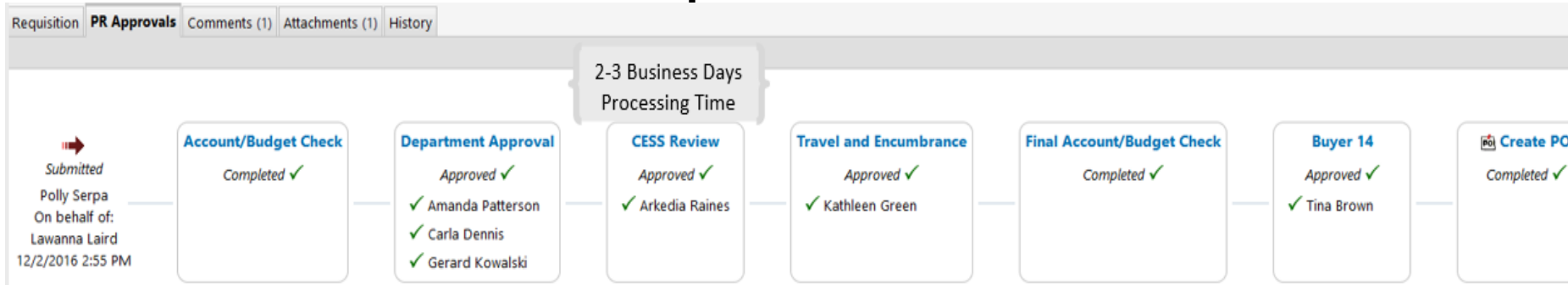
- CESS "S" Purchase Requisition Workflow

Indicating CESS Approval for IT Purchase Requisitions

- 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.

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

Enterprise Information
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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
  - 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

What, Why, When, Who & How

- Questions & Answers -

eits.uga.edu