Information Security & Compliance
IT@UC
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Information Security and Compliance Committee
Meeting Minutes
University Hall, Room 310
January 19th, 2017

Present: Megan Pfaltzgraff, Mel Sweet, Matthew Clayton, Bret Harnett, Eira Tansey, Bo Vykhovanyuk, Angie Sklenka, Tina Bosworth, Tara Wood, Kyle Hern, Katrina Biscay, Matt Williams, Todd Beekley, Jesse Fatherree, Rick Grant

Guest: Angela Braggs-Brown

Apologies: Bruce Burton, Conor DuShane, Mark Stockman

New Business
- Welcome and Overview
- **Review of December Meeting Minutes**
  - o Tara Wood motioned the committee to accept the minutes with some minor changes; Todd Beekley seconded the motion. The committee voted to accept the minutes with the requested changes.
- **IT Governance Bylaws**
  - o The IT@UC Governance structure has been in place for approximately the past 3years.
  - o ITCAC committee recently reviewed the original bylaws document and is updating them.
  - o The bylaws documents the governance hierarchy including IT Council and the five (5) topical committees. They include membership terms, required committee representation, and voting requirements.
  - o Current version of bylaws is a draft that is still being edited. Once finalized with feedback from all topical committees, it will go to IT Council for final approval and made available on the UCIT website.
  - o Please use "reply all" to send suggested edits to the whole committee.
  - o For transparency purposes, the ITCAC is developing a comments wiki to document suggestions submitted in all governance committees. It will include which suggestions were implemented, along with a brief explanation if they were not incorporated into the document.
- **Records Retention Schedule Update – Eira Tansey**
  - o [Records Retention PDF document](#) is on Library website for records retention schedules.

- o University community should refer to this document and adhere to timelines.
- o Some departments will need special schedules, such as Public Safety.
- o UC Libraries is offering more workshops in spring semester to help staff understand records retention policies.
- o If website doesn't answer questions, contact Eira Tansey.
- o When departments are destroying records according to the University Retention Schedule, they need to submit a corresponding form to Eira's office to document what records are being purged.
- o email does not currently have its own record retentions schedule but is retained according to its content.
- o Capstone is an email retention methodology being introduced to government agencies by the National Archives and Records Administration. The capstone approach determines final email disposition by the role or position of the account user, rather than by the content of each individual email. Capstone may provide a framework for Universities in the future, but is not currently the method being employed for email retention.
- o UC Health has an email retention policy which prevents users from being able to save emails long-term. Each email has a destroy date noted on it.
- **Human Research Data & Security – Angela Braggs-Brown**
    - o Angela Braggs-Brown is the Director for Human Research Protection Program (HRPP) in the UC Office of Research Integrity. The HRPP provides training and support for research involving human subjects. HRPP services include Institutional Review Board (IRB) review and approval of human research protocols and regulatory guidance on FDA submissions and quality assurance audits of research and office/IRB processes. The IRB review considers what processes and resources will be used towards protecting electronic and stored data.
    - o Researchers receive questions regarding information security related plans as part of the research submission form. These responses are reviewed by the IRB members. Angela would like to have help creating a one page information guide (e.g., checklist) for researchers and IRB members to use on information security requirements for research data. The current data and security questions on the research submission form would be revised based on the guide.
    - o There is no separate program for student researchers to receive training for protecting research data or to understand the compliance policies. The new Data Governance committee that is forming may try to address the need for educational programs for student researchers. There are existing ethics classes but no centrally organized classes that specifically address research data issues outside of the CoM disciplines.
    - o Matthew Clayton, student government representative, will take the student research class issues back to student government and will work with Office of Research to discuss creating a one-credit course, taught by Office of Research, for any students planning to perform research.
    - o Bo will discuss the student research class suggestion with Office of General Council and bring back a high-level recommendation to a future IS&CC meeting.
    - o OIS (Matt) will schedule a meeting with HRPP to review and discuss data security policies

- Policy Updates
    - o Two overlapping HIPAA policies were published by OGC and Office of Information Security (OIS). Once the retirement of the OIS HIPAA police is approved, it will be removed and a high level

HIPAA policy that links to several OIS policies will be available on the OGC website. OGC will be the owner of the policy.

- o Bo motioned the committee to ask IT Council to retire the OIS HIPAA security policy in lieu of the OGC policy; Brett Harnett seconded the motion. The motion passed with one abstention.
- o Matt Williams shared an OIS Policy Status matrix with the committee (see attached). Some policies are waiting until the new UC President and a new General Council officer can review them as part of the integrated decision making process.
- o OIS is working with UCIT PIO to determine the appropriate communication vehicle for distributing approved policies university wide if the Triple D list is not used. Bo will keep the committee informed of decisions.

- **Other Items**
  - o FISMA task force coming next month. Brett Harnett and Bo Vykhovanyuk will be co-chairs. It will include members from R&D, IS&CC, Jane Strasser, and include membership from IT Managers. Matthew asked that at least two student representatives be included on the FISMA task force. One student should be from the College of Engineering and one from a medical discipline, such CoM or CoN student reps.
  - o OIS has been undergoing a policy review period for the past several months to update and create new policies. As part of the process, they have been comparing UC information security policies with other comparable institutions.

- **Adjournment**
  - o The committee adjourned at 11:25 am.

IT Governance By-Laws

1/18/2017

DRAFT

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IT Governance

The IT@UC Governance Structure consists of the IT Council, IT Council Advisory Committee, and five topical committees — Core Services & Shared Infrastructure, eLearning, Information Security & Compliance, IT Managers and Research & Development.

These committees report to the IT Council, which feeds into the university's Integrated Decision Making process and to the Senior Vice Presidents.

More than 350 students, faculty and staff representatives attend monthly meetings and serve as part of university-wide IT Governance.

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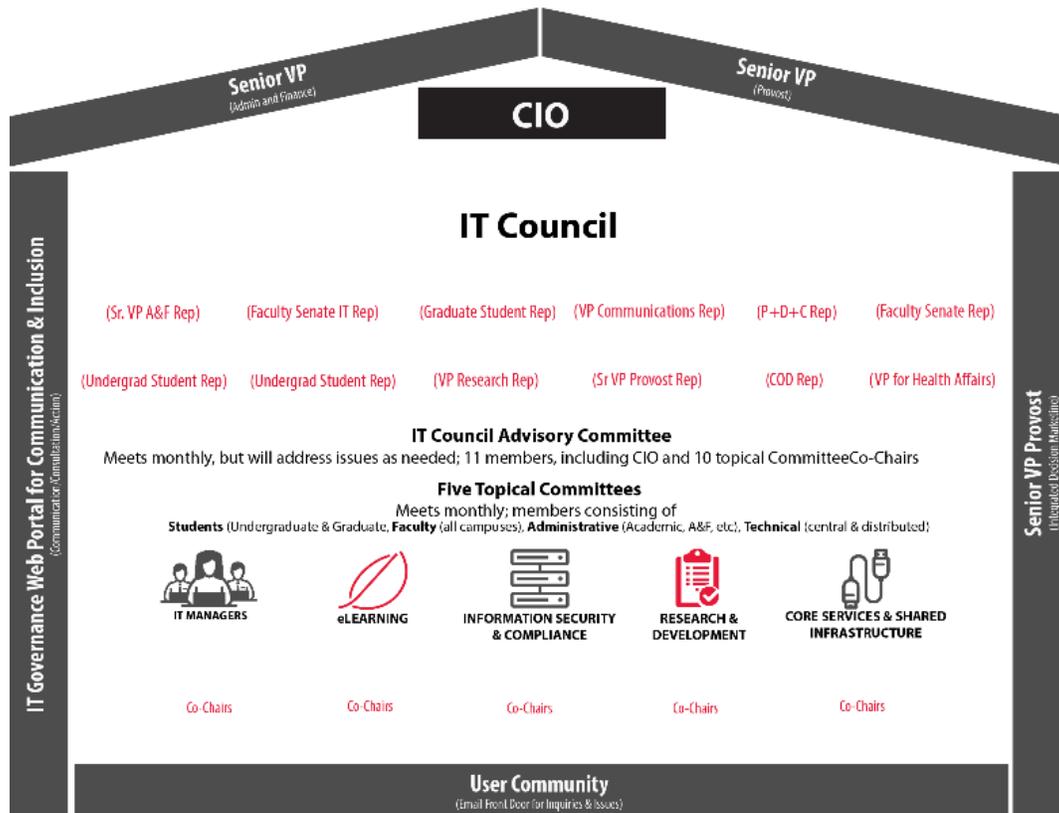University of Cincinnati
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IT@UC GOVERNANCE FY 2016 - 2017

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1. IT Council

The IT Council is the university governance committee chaired by the Chief Information Officer (CIO) and VP for Information Technologies and is advisory to the CIO. This group is charged to:

- Consider all significant IT initiatives, issues and policies that impact the university.
- Work with the CIO to prepare recommendations to the Senior Vice President for Administration and Finance and the Senior Vice President for Academic Affairs and Provost.
- Participate in the university's Integrated Decision Making process.
- Sponsor the creation of a university-wide strategic plan for IT at UC that supports academic and research priorities of the university and lives out the objectives of the Blue Ribbon Task Force on Academic Information Technology Report.
- Develop appropriate IT policies, standards, guidelines, practices and compliance expectations.
- Appoint chairs of, coordinate and oversee the IT at UC Governance Topical Committees—IT Managers, E-Learning, Research & Development, Core Services & Shared Infrastructure, and Information Security & Compliance.
- Create, coordinate, and oversee ad hoc committees as needed.

i.   IT Council Composition

The IT Council is comprised of the following:
- Vice President for Information Technology and Chief Information Officer
- Senior Vice President for Academic Affairs
- Senior Vice President for Administration and Finance
- Vice President for Health Affairs

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- Vice President for Government Relations and University Communications
- Faculty Senate Appointment – Faculty Senate IT Chair
- Faculty Senate Chair
- University Architect and Associate Vice President Planning + Design + Construction
- Vice President for Research
- Council of Deans representative
- Topical Committee Co-chairs
- Undergraduate Student – Student Government President
- Graduate Student –Student Government President

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ii.   Standard Terms

Position	Term
Vice President for Information Technology and Chief Information Officer Senior Vice President for Academic Affairs Senior Vice President for Administration and Finance Vice President for Health Affairs Vice President for Government Relations and University Communications University Architect and Associate Vice President Planning + Design + Construction Representative Vice President for Research Representative	Permanent
Faculty Senate Appointment	One year
Council of Deans Representative	One year
IT@UC Associate/Assistant Vice President (AVP) committee co-chair	Permanent
Non-IT@UC committee co-chair	Two-year term (can serve two consecutive terms for a total of four years)
Students	One year

iii.   Voting members

All members of the IT Council are voting members except the IT@UC
co-chair of each topical committee or CIO appointee.

2. Governance Process and Workflow

The following items apply to all governance groups including: IT Council, IT Council Advisory Committee, topical committees, and subcommittees.
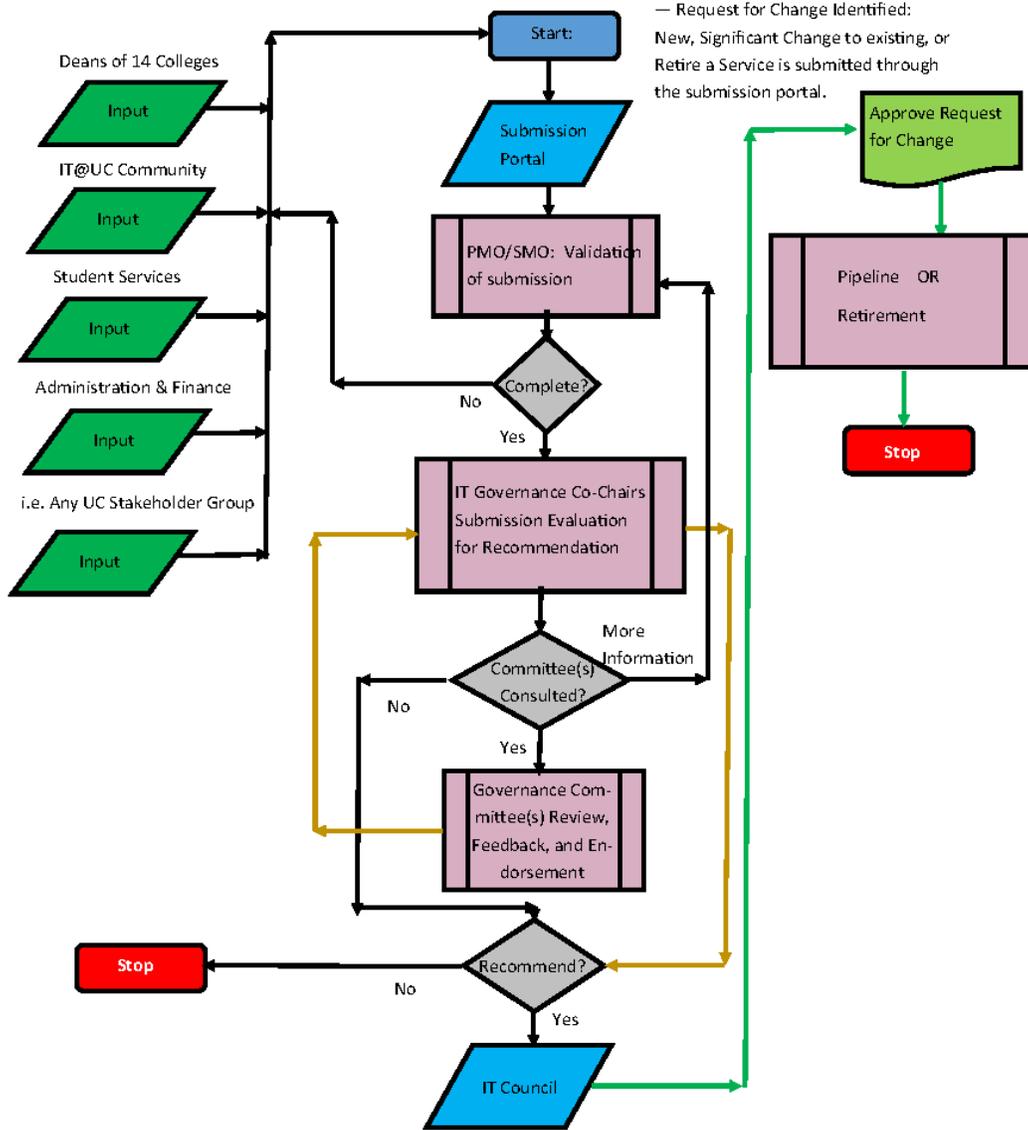
i.   Meeting Schedule

The IT Council, IT Council Advisory Committee, topical committees, and subcommittees will meet monthly unless otherwise specified.

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Committee Name	Meeting Frequency	Meeting Time
IT Council	Fourth Wednesday of the month	8:00 am – 9:30 am
IT Council Advisory Committee (ITCAC)	Third Friday of the month	8:30 am – 10:00 am *
eLearning Topical Committee	First Wednesday of the month	8:30 am – 9:30 am
IT Manager Committee	Second Tuesday of the month	9:30 am – 11:00 am
Research & Development Topical Committee	Second Tuesday of the month	1:00 pm – 2:30 pm
Core Services & Shared Infrastructure	Second Thursday of the month	10:00 am- 11:30 am
Information Security & Compliance	Third Wednesday of the month	10:00 am – 11:30 am

*ITCAC meeting times are subject to change

ii.   Initiative Approval Process

A Strategic Initiative Overview Form should be completed for all new initiatives. The Initiative Overview Form can be completed by a committee, individual, or college/unit. The Initiative Overview Form will be reviewed by the IT Council Advisory Committee to ensure alignment with university strategy and adequate communication to all IT governance committees. IT Council Advisory Committee will provide feedback and recommend next steps. The review process will also validate the creation of a subcommittee or task force before work begins.

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Strategic Initiative Request Flow Process

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iii.   Open Seat Membership Process

The Open Seat Membership Process provides an inclusive and standardized process for soliciting and identifying new members.

- **Faculty-** Faculty members are nominated by faculty and elected by Faculty Senate. In addition, the Faculty Senate Chair will maintain a list of alternate committee members based on inquiries and interest. The IT Council and its topical committees will draw from this list in the event a replacement or additional faculty member is needed mid-year. The Project Management Office will also be notified by Faculty Senate about election results in April. Co-chairs will in turn contact their newly elected members to welcome and orient them.

- **Staff-** Staff are made aware of committee membership opportunities for the following school year through targeted staff list serves to notify staff about committee membership opportunities. Messaging will request interested parties to contact the Project Management Office by email at ucit-pmo@ucmail.uc.edu.   Names and contact information for interested staff will be provided to co-chairs.

- **Students-** Students are encouraged to participate in IT Council and its topical committees. Recruitment of students begins with Student Government. Information about IT council and the topical committees is provided to the newly elected President during April. This information is then disseminated to the student government members during August at the start of the school year. The Student Body President and Vice President are members of IT Council. Additional Student Government members are invited to participate in the topical committees of interest. Student government members who are unable to participate due to schedule conflicts are encouraged to recruit a designee to attend a topical committee. Designees contact the Project Management Office to join a committee. Co-chairs will in turn contact the student who has expressed interest.

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Typical Recruitment Calendar

Month	Activities
January	No planned recruitment activity.
	No planned recruitment activity.
February	1. Project Management Office provides Council of Deans with description of IT Council and current topical committees including meeting days and times. 2. Article sent re: IT. Council and current topical committees. 3. Call for nominations is sent to faculty by Faculty Senate Committee on Committees
March	1. Council of Deans includes IT. Council as agenda item to encourage participation 2. 2nd article sent re: IT. Council and current topical committees. 3. Nominations to committees are due to Faculty Senate 4. Elections of committee members held by Faculty Senate
April	1. Faculty are notified about election results. 2. Project Management Office is notified about election results. Project Management Office notifies committee co-chairs about their newly elected faculty members. 3. Co-chairs contact faculty seated on their committees to welcome them. 4. Project Management Office contacts new student body president with information about I.T. Council and committees.
May	No planned recruitment activity.
June	No planned recruitment activity.
July	No planned recruitment activity.
August	1. First IT. Council and topical committee meetings of the new school year with new members. 2. Student body president introduces IT Council and topical committee information to student government. Names of interested students from student government are forwarded to the UCIT-PMO by the President.
September	No planned recruitment activity.
October	No planned recruitment activity.
November	No planned recruitment activity.
December	No planned recruitment activity.

iv.   Electronic Voting Process (See Addendum)

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To support an efficient and agile governance process, all groups should use the Electronic Voting Process when initiative approval timelines are more aggressive than the meeting schedule.

Initiative Overview Forms that have been reviewed/approved by the ITCAC will be distributed in advance of any requested vote. A one-week review and question period will culminate in a vote. Voting will be open for 24 hours to allow for individuals on IT Council who are traveling etc.

Members may vote yay, nay, additional information or discussion required, or abstain (a non-vote will be considered an abstention).

v.   Delegate Process/Attendance

Sending a delegate is encouraged if a member is unable to attend a meeting. Delegates do not vote.

vi.   Communication

All documentation will be distributed at least one week in advance of any governance meeting.

Forms	Due Date
Voting Issue-Action Form Due to PMO	Five Business Days Prior to Meeting
Agenda & Attachments Sent To Committee Members	Two Business Days Prior to Meeting
Strategic Initiative Request Form Submitted in TeamDynamix	15th of Each Month*

3. IT Council Advisory Committee

The IT Council Advisory Committee (ITCAC) is the university governance committee chaired by an elected member of the committee. The ITCAC is advisory to the CIO and IT Council. This group is charged to:

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- Review all significant IT initiatives, issues and policies that impact the university to ensure proper vetting prior to submission to IT Council.
- Work with the CIO and topical committee co-chairs to prepare recommendations to IT Council.
- Review all Initiative Overview Forms.
- Oversee the Open Seat Membership Process.
- Work with the CIO to prepare the IT Council Agenda.

i.   IT Council Advisory Committee Composition

The IT Council Advisory Committee is comprised of the CIO and co-chairs for each topical committee.

ii.   Voting members

All members of the IT Council Advisory Committee are voting members.

4. Topical Committees

i.   Committee Charge

The formation of a new committee is at the discretion of the CIO. The initial charge will be developed and delivered by the CIO. Any changes to the charge must be submitted to the IT Council for approval. Committees should review their charge at least annually.

ii.   Standard Committee Composition

- IT@UC co-chair – appointed by CIO
- Non-IT@UC co-chair – elected from within the committee, nominees must have served at least one year
- Faculty – appointed by Faculty Senate
- Faculty – open seat
- IT@UC Subject Matter Expert – appointed by IT@UC co-chair
- IT@UC Subject Matter Expert – appointed by IT@UC co-chair
- Undergraduate Student – appointed by Student Government

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- Graduate Student – appointed by Student Government

iii. Standard Terms

Position	Term
IT@UC co-chair	Permanent
Non-IT@UC co-chair	Two-year term (can serve two consecutive terms for a total of four years)
Faculty	Two-years
IT@UC Subject Matter Expert	Two-years (no term limit)
Students	One-year
Additional members identified by co-chairs	Two-years (no term limit)

iv. Additional Members (Subject Matter Experts)

Committee co-chairs may identify additional members. Any additional members will serve a two-year term and be identified through the Open Seat Membership process.

v. Voting Members

All members of the standard committee composition are voting members. Co-chairs of committees may identify additional members as voting members.

vi. Non-IT@UC Co-chair Election Process

Nominations for the Non-IT@UC co-chair should be collected utilizing the Open Seat Membership Process. All nominations must be from existing committee members that have served at least one year. Self-nominations are acceptable. Only designated voting members for the committee are allowed to vote.

vii. IT@UC Assistant Vice President (AVP) Co-chair Appointment Process

When possible, the IT@UC co-chair should be the AVP most closely responsible for the committee's area of work. Optionally, the CIO may appoint an IT@UC representative to serve as co-chair.

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5. Subcommittee Formation

The co-chairs of a topical committee may form a subcommittee to support the work of the committee. Subcommittees serve as a recommending and advisory body to the governing committee. Subcommittees should be formed only when the work is ongoing. The creation of a subcommittee must be approved through the Strategic Initiative Overview Form process. The initial charge and goals will be developed and delivered by the committee co-chairs. Any changes to the charge and goals must be submitted to the co-chairs for approval. Subcommittees should review their charge and goals at least annually.

i.   Standard Subcommittee Composition

- IT@UC Subject Matter Expert co-chair – appointed by IT@UC (AVP) committee co-chair
- Non-IT@UC co-chair – appointed by committee co-chairs
- Faculty – open seat
- Faculty – open seat
- IT@UC Subject Matter Expert – appointed by IT@UC AVP co-chair
- IT@UC Subject Matter Expert – appointed by IT@UC AVP co-chair
- Undergraduate Student – appointed by Student Government
- Graduate Student – appointed by Student Government

ii.   Standard Terms

Position	Term
IT@UC Subject Matter Expert co-chair	Permanent
Non-IT@UC co-chair	Two-year term (can serve two consecutive terms for a total of four years)
Faculty	Two-years
IT@UC Subject Matter Expert	Two-years (no term limit)
Students	One-year
Additional members identified by co-chairs	Two-years (no term limit)

iii.   Additional Members

Subcommittee co-chairs may identify additional members. Any additional members will serve a two-year term and be identified through the Open Seat Membership process. This term can be extended to ensure continuity.

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iv.   Voting Members

All members of the subcommittee standard composition are voting members. Co-chairs of committees may identify additional members as voting members.

6. Task Force Formation

The co-chairs of a committee may form a task force to support the work of the committee. A task force serves as a recommending and advisory body to the governing committee. A task force should be formed only when the work is short-term or project-based. The creation of a task force must be approved through the Initiative Overview Form process. Once approved, a project manager from the IT@UC Project Management Office will be assigned to help create a formal project charter. The project charter must be approved by the committee co-chairs prior to work beginning. The role of the Project Manager ends once the Charter is approved.

i.   Standard Task Force Composition

The composition is determined by the need of the task force for the duration of the project.

ii.   Standard Terms

All terms are for the duration of the task force.

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Addendum - IT Council Electronic Voting Policy

A. Definitions
For the purpose of this policy,
Polling is defined as "The collection of opinions on a subject."
Voting is defined as "A formal expression of choice regarding approval of a motion or election of an individual."
"IT Council" is defined as the IT Council itself, the IT Council Advisory Committee and all topical subcommittees.

B. Purpose
The purpose of this policy is to establish guidelines for the use of email polling and electronic voting with regard to the decision-making authority of the IT Council.

C. Scope
This policy will outline the circumstances where email polling and electronic voting are permitted and will detail the guidelines for their use.

D. General
It is the expectation of all committee members that material presented at meetings will be clear, complete and understandable in terms of the requirements placed upon them for action/response. Therefore, the intent of this policy is to ensure that the same comfort level of a regular face-to-face meeting is maintained while providing a clear explanation as to why the mechanism of email polling or electronic voting is being invoked in lieu of a regular meeting.

E. The Policy
Electronic voting is permitted at all IT Council meetings either by
   a. verbal response to the question via live teleconference or videoconference (where anonymity is not required, or where individually recorded votes are not required).
   b. an email sent to the secretary of the meeting (provides a written record of the vote if required or serves as the equivalent of a secret ballot for individuals not actually present in the meeting room).

At the discretion, or with the consent, of the Council or Committee Chair(s), and for matters of an urgent nature, OR time-sensitive matters OR where it would be more expeditious to do so OR when it is not feasible for the committee to meet in person or via teleconference, email polling and/or electronic voting may be used to help facilitate decisions of the IT Council in accordance with the following:
In recognition that decisions are being made using email communication in lieu of a face-to-face meeting, extra effort will be made to ensure that members are provided with sufficient background materials and adequate documentation to support the request for a decision.
All communication will be shared as a group email with all members copied on correspondence including questions, responses and general commentary. All members will select "reply all"

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when providing comments so that these will be shared simultaneously with all members and a record will be kept of the email exchange.

If a resolution is required, the Committee Chair may authorize the Secretary to conduct an electronic vote of the members. A clear rationale will be given to the members to explain why a motion is necessary. The question to be answered will be stated clearly in the form of a specific resolution provided for members' consideration. Respondents will be asked to vote upon the resolution.

In the event of an electronic vote, a reasonable and adequate time will be determined for members to respond to the request for a decision. Members will have the opportunity to declare a conflict and not participate in the vote. Every effort will be made to obtain a response from each member (i.e. allow each person to register their vote). The resolution shall be deemed to have been approved only if, by the end of the time period specified, the Committee Secretary has received approval responses from a majority of the voting members.

Non-response to an electronic vote will be considered an abstention. Voting records will be kept.

A resolution approved by email polling and electronic voting, permitted by the IT Council and passed by a majority of voting members, shall have the same force and effect as a resolution passed at a regularly constituted meeting of the IT Council.

The Council/Committee Secretary shall prepare a summary document noting the purpose of, and any decisions resulting from, the electronic exchange including any subsequent resolutions.

F. Review

This policy will be reviewed at regular intervals, not to exceed three years, to determine whether amendments are necessary.