Meeting Minutes

Logistics
Date: 7/27/17
Time: 3:30-5:00
Location: Rich 242

Participants
- Chris Jones
- Christopher Craig
- David Leonard
- Dwayne Palmer
- Eric Buckhalt
- Greg Phillips
- Jim Fortner
- John Gilleland
- John Wilson
- Justin Filoseta
- Katie Crawford
- Nelson Baker
- Pam Buffington
- Paul Kohn (Rita Pikowsky)
- Paul Strouts
- Raj Vuchatu
- Rich DeMillo
- Sonia Alvarez-Robinson

Meeting Purpose
Regular monthly meeting of the Technology Governance Steering Committee (TGSC)

Meeting Agenda
- Review Action Items from previous meeting
- Cybersecurity & Compliance Briefing (Jimmy Lummis)
  - Slides attached
- New CTR Process (Lori Sundal)
  - Slides attached
- Approve functional committee charters
  - Final updates underway on charters, will route to TGSC membership electronically next week (7/31 – 8/4) for approval
- Review workflow options and status
  - Reviewed/discussed workflow options.
  - Draft Footprints based workflow was more cumbersome than expected
  - Researching possibility of using SharePoint workflow instead
  - Additional research and discussion will take place over the next week
- Next regular monthly TGSC mtg: 8/24/17
Open Action items from previous meeting

<table>
<thead>
<tr>
<th>Action Item</th>
<th>Person Responsible &amp; Due Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete functional committee charters for approval at next month’s TGSC meeting</td>
<td>Functional Committee Co-Chairs</td>
<td>Not all charters were finalized. Final charters will be posted to the TGSC website and electronically routed to membership for approval</td>
</tr>
<tr>
<td>Request Lori Sundal give a briefing on new CTR process at next TGSC</td>
<td>Mark Hoeting</td>
<td>Lori presented the new CTR process, slides are attached</td>
</tr>
<tr>
<td>Request Jimmy Lummis present a DFARS/NIST deep dive at next TGSC</td>
<td>Mark Hoeting</td>
<td>Jimmy provided a Cybersecurity &amp; Compliance briefing, slides are attached</td>
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<tr>
<td>Request Greg Phillips update TGSC on ERP at a future TGSC mtg</td>
<td>Mark Hoeting / John Gilleland</td>
<td>Defer until August mtg based on other items already identified for July mtg.</td>
</tr>
<tr>
<td>GTSC to coordinate with DFARS/NIST project team to identify opportunities for change management assistance</td>
<td>Sonia Alvarez-Robinson By 7/31/17</td>
<td>Coordinating with Jimmy Lummis offline to provide change management support as needed</td>
</tr>
<tr>
<td>Distribute to TGSC:</td>
<td>John Gilleland By 6/30/17</td>
<td>Items 1 &amp; 2 distributed in early July</td>
</tr>
<tr>
<td>1) Draft Intake form projects will use for entry into Governance</td>
<td></td>
<td>Item 3 remains in process due to results of draft workflow in Footprints</td>
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<tr>
<td>2) Prioritization variables</td>
<td></td>
<td>Item 3 remains in process due to results of draft workflow in Footprints</td>
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<tr>
<td>3) Process flow</td>
<td></td>
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<tr>
<td>Review and provide feedback on the 3 documents above to John G</td>
<td>All TGSC members By 7/12/17</td>
<td>Feedback received from some TGSC members</td>
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<tr>
<td>Incorporate feedback from team members and finalize intake criteria, process, and functional committee process flow</td>
<td>John Gilleland By 7/20/17</td>
<td>Incorporating feedback into intake criteria, workflow process etc.</td>
</tr>
<tr>
<td>Schedule “table-top” exercise to walk through the governance process with 1-3 existing projects</td>
<td>John Gilleland By 7/31/17</td>
<td>Pending results of SharePoint workflow research underway. Will be scheduled once that process is complete.</td>
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New Action Items added during this meeting

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<tbody>
<tr>
<td>Complete process flow documentation – showing how the technology governance process flows, to include intake, functional committee actions, and how funding/budgeting integrates.</td>
<td>John Gilleland by 8/9/17</td>
<td>Carry over from previous action items -</td>
</tr>
<tr>
<td>Update and upload committee charters to SharePoint site and notify TGSC when all are ready for final review/approval.</td>
<td>John Gilleland by 8/4/17</td>
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<tr>
<td>Review and provide feedback on committee charters.</td>
<td>TGSC Members by 8/10/17</td>
<td></td>
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<tr>
<td>Recommend additional data fields for the prioritization matrix to John G. that will help us understand the current and planned Tier 2 and 3 projects.</td>
<td>TGSC Members by 8/2/17</td>
<td></td>
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<tr>
<td>Update matrix with the suggested data fields.</td>
<td>John Gilleland by 8/7/17</td>
<td></td>
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<tr>
<td>Populate the updated prioritization matrix with known information about current and planned technology initiatives at the Tier 2 &amp; 3 level.</td>
<td>TGSC Members by 8/21/17</td>
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AGENDA

- Amazon AWS BAA
- Lenovo Issues
- Email Forwarding Issues
- Endpoint Computing Management Project Update
- DFARS/NIST Compliance Project Update
Georgia Tech has a contract with Amazon for the AWS services that has been in place for several years.

Since gaining an AWS contract, the Institute has sought to obtain a Business Associate Agreement (BAA) with Amazon.

Why get a BAA?

- A BAA with Amazon would allow the Institute to store and process Protected Health Information (PHI) in the Amazon cloud.
- Researchers would gain the flexibility to scale their research projects into the Amazon cloud on demand.

Risks

- No one really owns AWS as a service.
- Researcher is still required to secure their AWS instances to the HIPAA HITECH standards.
- Amazon assumes no liability ownership in the BAA and is largely unwilling to negotiate on any of the terms.

Recommendation

- Proceed with the BAA if possible to come to agreement on terms.
- Keep PHI on campus in dedicated spaces that are already HIPAA HITECH compliant (e.g. IPaT).
LENOVO ISSUES

• Three times in the last two years Lenovo equipment has been found to contain different types of malware that was installed intentionally by Lenovo

• Several Federal agencies have restricted the purchase of Lenovo computing equipment

• Risk
  • The Institute’s intellectual property and the IP of our research sponsors are at risk of compromise

• Recommendation
  • All Institute owned computing equipment should be configured to leverage the campus endpoint protection and management systems (per policy)
  • A whitelist of computing equipment should be adopted from the Department of Defense
  • Employees that work with sensitive data or maintain a security clearance should be identified and advised on making their computing purchases from the whitelist
Systematically forwarding your email means configuring your email to automatically forward every message received to a third-party email provider (e.g. Gmail)

Risks

- Third party email providers, such as Google, claim license rights over any and all information that you place on their systems
- Not retaining these emails on Institute systems limits our ability to comply with sunshine laws such as the Georgia Open Records Act and the federal Freedom of Information Act

Realized Risk

- Recently a Georgia Tech researcher received information from another university that we weren’t supposed to have. The researcher that received this information was automatically forwarding his email to Gmail. The university that sent us the message had to perform a disclosure to the Defense Security Services agency and, consequently, we had to perform a disclosure as well (since we then sent this information along to the Gmail servers).

Recommendation

- This service needs to be disabled and all employees should use Institute email to conduct the business of the Institute
- There are currently approximately 450 employees who forward their email, a communications campaign to these users should take place prior to disabling the service
ENDPOINT COMPUTING MANAGEMENT PROJECT UPDATE

- Project is currently working to select an Endpoint Protection (EPP), Endpoint Detection and Response (EDR), and Endpoint Management (EPM) solution
- Requirements definition phase was completed last fiscal year
- Vendor demos for all three product classes were completed last year
- Proof of concept analysis have been completed for EPP/EDR

- FireEye HX selected as the campus standard solution for EPP/EDR

- EPM will likely be one of two choices which are being analyzed now
  - Series of best-of-breed point solutions to manage the endpoint computing ecosystem
  - Altiris
  - Airwatch ruled out as the solution of choice for a single EPM platform
Institute is required to comply with DFARS 252.204-7012 and NIST SP 800-171 by December 31, 2017.

FARS requirement is soon forthcoming.

All CUI must be protected: ITAR, EAR, Federal Financial Aid, Visa, potentially more coming.

Project Status

- Single objective of getting research labs and other in-scope areas compliant by December 31.
- Central compute environment pilot is nearly finished.
- Lab visits are in process.
- Communications ongoing.
- Lifecycle and Finance projects are meeting, but are not priority.
- Hiring temporary staffing resources to keep lab assessments occurring while staff are hired.
End User Enhancements

- User Interface Improvements - End user, Administrator, SME, Approvers Portals
- Copy existing CTR and save a draft of new CTR before submission
- Link existing VPAT from VPAT library to CTR
- Ability to see status progression of CTR
- Can recommend a product be added to the “Hardware Commodity List”
- Streamlined process for requests based on Commodity List
- Add Renewal of Existing Product as Type of Request
- Create a CTR with status for Planning – Business Case Only
Workflow

- Automatic submission to SMEs based on options selected; SMEs will receive notification
- CTRs are automatically routed to GTRI as appropriate
- If Security Questionnaire required, SME will be able to generate email with blank questionnaire to be routed to the submitter
- Ability for SMEs to return CTR to submitting unit with questions
- Electronic signatures for all levels of approval in process
- Addition of new statuses for workflow to include Pending EVP AF Approval and Pending BOR Approval and Approved Pending Funding
- Pre-set and ad hoc reminders sent during all levels of approval process
- PDF approval letter generated automatically to submitter
CTR APPLICATION ENHANCEMENTS

Reporting
Metric reporting via GTReports
Ad hoc reporting for TSC

Integration
BuzzMart search for GT PeopleSoft org codes and GT Contract/Agency Contract numbers
Docusign for e-signatures and possible workflow
Creation of searchable database for VPAT statements, known issues and Exception Statements
APPLICATION ENHANCEMENT TIMELINE

Campus Technology Request Web Application Project
High-level Milestones

July 2017  August  September  October  November  December  January 2018

Dev Phase 1  Dev Phase 2  Dev Phase 3  Dev Phase 4

Test Session 1  Test Session 2  Test Session 3  Test Session 4

Bug Fixes

Aug 15  Oct 1  Nov 17  Jan 2

Development Phases:
- Developers meetings: twice weekly
- Working Session: once every 2 weeks
- User Test Sessions

Bug Fixes: developers to resolve issues found during testing

Code Freeze Date
CTR AND THE LARGER GOAL

New Project Intake Process

CTR Data

Project Service Request Data
QUESTIONS?