



Data Governance

An Introduction for Data Stewards and Custodians

October 21, 2019

Agenda

- Data Governance – What and Why?
- Data Governance Model
- Governance Structure, Timeline and Deliverables
- Tier 1 Requirements
- Next Steps for Data Stewards and Custodians
- Question and Answers



What is Data Governance

Data governance
is ...

- A set of guidelines for how people behave and make decisions about data
- A new set of Business Procedures **required** by the USG



Data Governance Project Summary

01. Description: what?

- ▶ This project will identify, prioritize, document and make recommendations for any necessary modifications to current (or creation of new) practices and procedures for data governance infrastructure and management practices.

02. Rationale: why?

- ▶ As of 12.31.20, all University System of Georgia organizations are required to be in compliance with the content on Data Governance and Management, which is located in Section 12 of the USG Business Procedures Manual.

03. Roles and responsibilities: what are they?

- ▶ Data Owner - President
- ▶ Trustee - Executive leadership
- ▶ **Data Steward - Directors or other personnel that directly control within their data area**
- ▶ **Custodian - Personnel that administer a system that houses university data**
- ▶ User - Ensures that data are being used correctly

04. GSU Project Team: who's leading?

- ▶ Appointed Lead: Erik Lauffer
- ▶ Project Support: Kim Foney
- ▶ Core Team Members: Branden Ferguson, Keith Sumas, Whitfield Samuel, plus:
 - ▶ Tier 1 Section Leads:
 - ▶ 12.3.1 - Mary McLaughlin, Susan Ridley
 - ▶ 12.4 - Ren Flot
 - ▶ 12.5 - Madison Burnett

05. USG Project Timeline: when due?

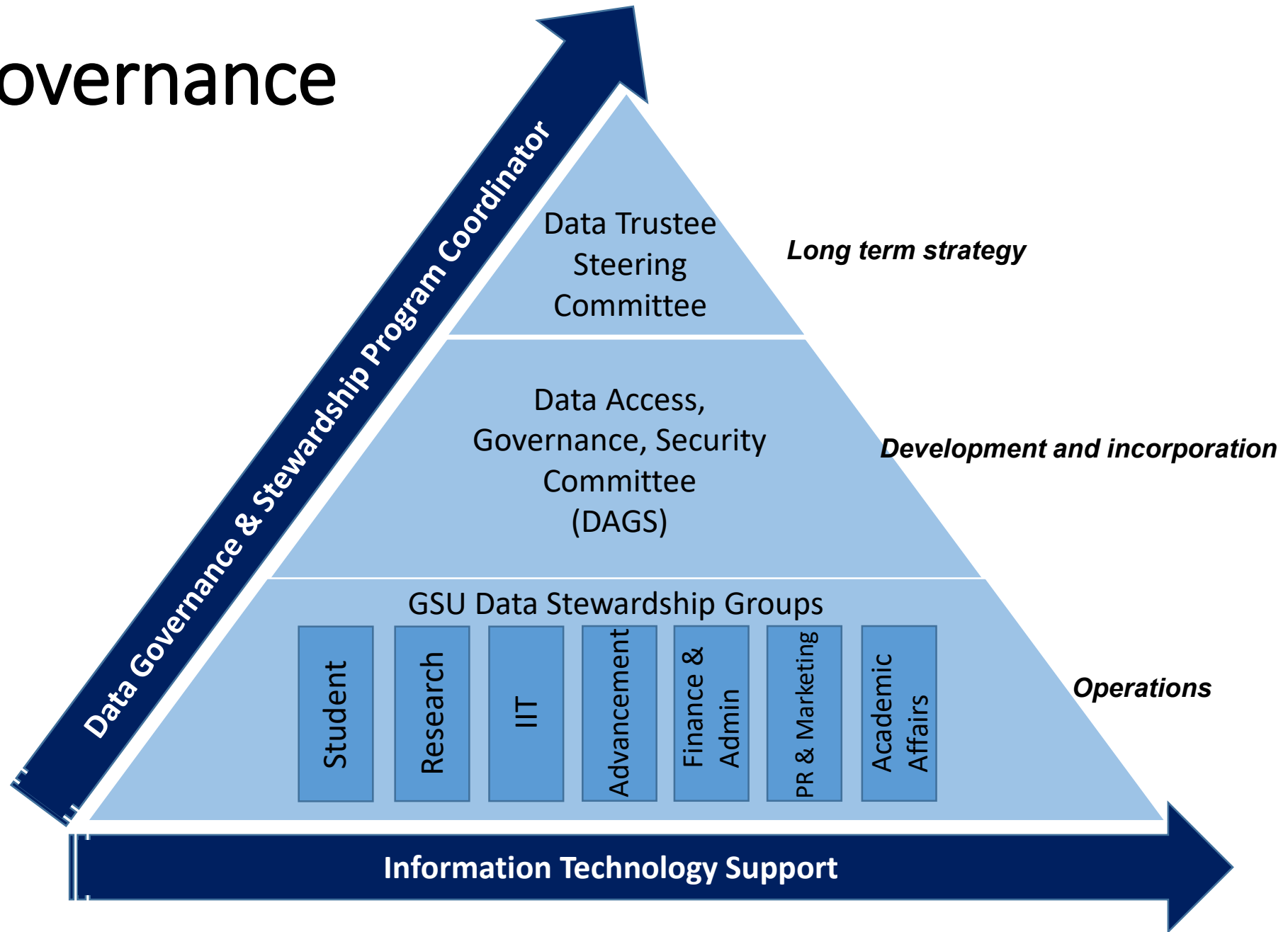
- ▶ Tier 1 - December 31, 2019
- ▶ Tier 2 - June 30, 2020
- ▶ Tier 3 - December 31, 2020

06. Monitoring: USG expectation?

- ▶ USG requires that GSU submit documentation and supporting material to attest compliance in accordance with the USG project timeline for all tiers.



Data Governance Model



Roles and Responsibilities

Data Owner

- President
- Appoint Trustees
- Responsible for all data of the university

Trustee

- Executive leadership
- Identify data areas
- Appoint Stewards
- Ensures use of data is consistent with the mission.
- Participates on Executive Steering Committee
- Communicates concerns to the Data Owner

Steward

- Directors or other personnel that directly control within their data area:
 - Access
 - Security
 - Definitions
 - Privacy
 - Quality
- Participates on DAGS
- Communicates concerns to the Trustee

Custodian

- Personnel that administer a system that houses university data
- Controls access to the data within their system
- Ensures data is accessible
- Ensures data are being stored and defined correctly

User

- Ensures that data are being used correctly
- Adheres to all regulatory and institutional requirements about the use, storage, and transmission of data



Project Timeline

Data Governance & Stewardship Program In Place

6/1/2020

Tier 1 Sections Due

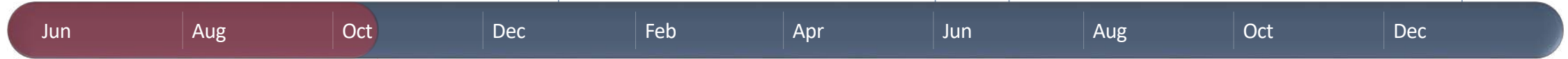
12/31/2019

Tier 2 Sections Due

6/30/2020

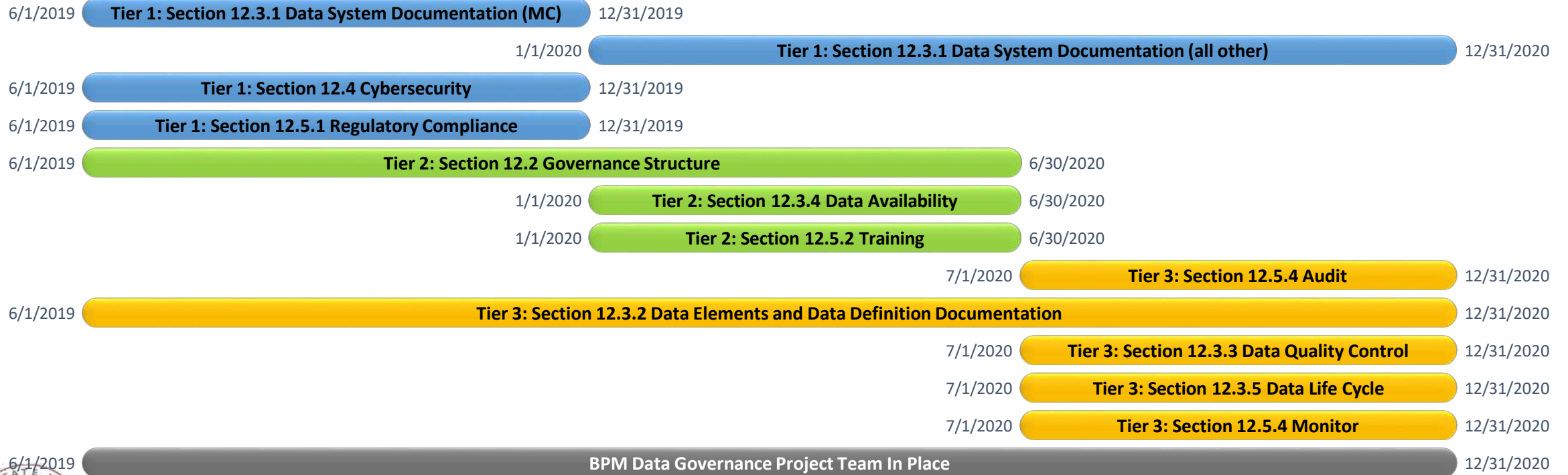
Tier 3 Sections Due

12/31/2020



2021

Today



Project Deliverables

01

Establish a sustaining data governance structure

Develop definitions; Establish roles and responsibilities;
Develop operational committees; Develop standard definitions;

02

Identify best practices for data governance practices and data quality

03

Review data systems in order to identify and document

Both Mission Critical and Non- Mission Critical data systems;
Document minimum levels of information for each; Utilize checklist to supply documentation to USG

04

Identify sharing mechanism to access data system structure and data elements

For all systems; Includes best practices, definitions, metadata

05

Identify best practices for data governance processes, procedures, policies

06

Develop and implement training and communication plan

For all roles; Regarding cybersecurity policies and regulatory compliance



Project Deliverables

07

Identify and document any gaps or data risks in existing systems

Includes review of Processes and Procedures, Data Classification, System Access Control, Segregation and Separation of Duties

09

Establish necessary roles and responsibilities for active compliance monitoring and auditing

This will include a new oversight department for governance

11

Ongoing data advisory group with appropriate roles and responsibilities

This will be filled by the new Data Advisory Group (DAG)

08

Identify and document policies and procedures for ongoing compliance for federal, state and local regulations

Includes FERPA, GLBA, HIPPA

10

Web presence for project information/university wide visibility

This will include the eventual creation of a website dedicated to data governance



Tier I Requirements: 3 Major Sections

Cybersecurity

Several related GSU policies currently under review

- Data Classification: 3 Types of Data
 - Unrestricted
 - Sensitive
 - Confidential
- Data Access
 - Appropriate controls, authorized user maintenance and review
 - Steward analysis of roles and determination of access based on Principle of Least Privilege
 - Access termination requirements
- Segregation and Separation of Duties



Tier I Requirements: 3 Major Sections

Compliance

BPM Section 12.5: GSU must have policies and procedures to ensure appropriate personnel have a working knowledge of :

- Georgia's Open Records Act
- Family Education Rights and Privacy Act (FERPA)
- Health Information Portability and Accountability Act (HIPAA)
- Gramm-Leach-Bliley Act (GLBA)
- General Data Protection Regulation (EU GDPR)
- Specific research data requirements

The Office of Legal Affairs will provide guidance for all stewards regarding:

- **Key definitions** to assist in determining if your system contains any data elements covered by these statutes
- **Data sharing protocols** for internal and external requests
- **Key contacts** in the event of a breach or unauthorized disclosure of data

This information will need to be incorporated in your procedures if it is not already included



Tier I Requirements: 3 Major Sections

Data Systems Documentation

*For all Mission-Critical Systems

Trustee	Data Quality Assurance Methods	User and Technical guidelines	Procedures to ensure compliance with applicable law and regulation
Steward	Data Relationships / Dependencies	Process Flow Diagrams	Business Continuity plan
Business Owner/Custodian	Life Cycle requirements	Access Controls	Presence and classification of certain classes of data



What is GSU's definition of Mission Critical?

Systems that are both Enterprise in Scope and High in Severity

System Class (scope of impact)		System Category (severity of impact)	
Enterprise	A database, data system, or software application that allows access to a database that supports the entire University or contains data of all departments and/or a significant number of students	High	The potential impact is HIGH if the loss of confidentiality, integrity, or availability could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals; specifically any prolonged interruption to instruction capabilities or inability to meet payment and compliance obligations.



Draft Mission Critical Systems List

Critical Function	System	Administrative Use	Trustee
Payments	PeopleSoft Financials	A/P, G/L, Commitment control, Fixed Asset	Rackliffe
	OneUSG	USG administered HCM	Rackliffe
FERPA	PeopleSoft Grants Management	Grants, Contract Management, A/R, Billing	Eriksen
	Banner Accounts Receivable	University SIS	Renick
	Banner Document Management	Document Management	Renick
	Banner Financial Aid	University SIS	Renick
	Banner Self-service (GoSOLAR)	University SIS	Renick
	Banner Student	University SIS	Renick
	Bill+Payment	Student Accounts Billing	Renick
	eScripSafe	Electronic Transcripts on demand	Renick
	eTranscripts	Electronic transcript delivery	Renick
	GradesFirst	Student Advisement	Renick
	Luminis / PAWS	Student Portal	Renick
	Slate	Online admissions application (Undergrad + Grad)	Renick
	CommVault	Data Back-Ups	Ventimiglia
	Instruction	iCollege	Instruction
Axiom		Identity integration and disambiguation	Ventimiglia
Safety & Security	NetIQ	Identity management	Ventimiglia
	Splunk SIEM, SecureWorks LogVault	Security Information & Events Monitoring	Ventimiglia
Communication	Terradotta	Study Abroad	Hensel
	Departmental Storage	Campus home directories and department drives	Ventimiglia
	Office 365	Email, Lync, SharePoint	Ventimiglia
	WordPress Multi-site	Web content management system	Hale

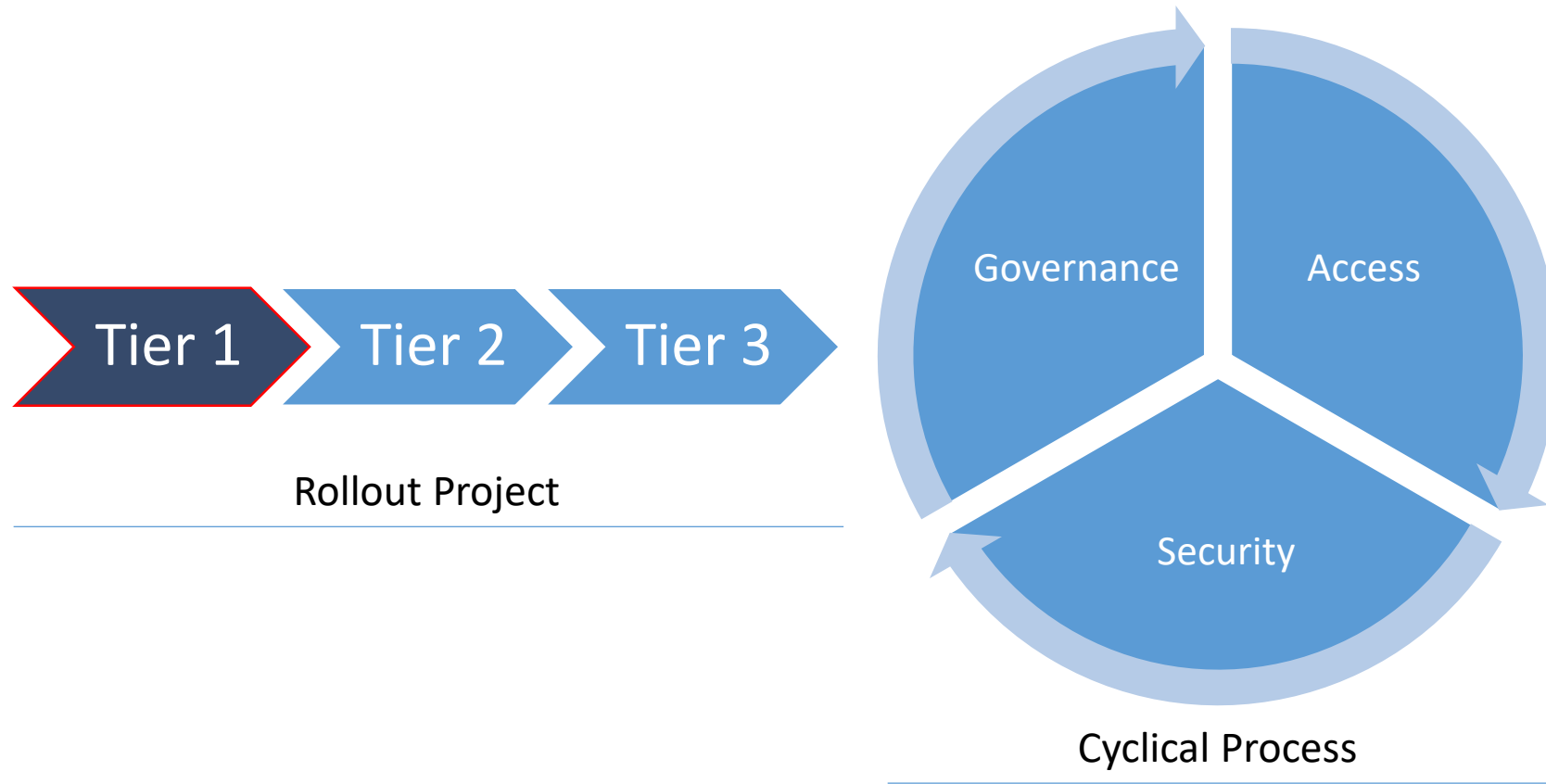


Next Steps for Data Stewards and Custodians

1. Review the mission-critical definition and system list and provide any feedback
2. Review your data system procedures and update as necessary
 - a. Compliance with applicable law and regulations
(additional guidance forthcoming)
 - b. User roles and access and termination
3. Review Data Element Questionnaire in advance of interview
4. Compile information and documentation of contingency / business continuity plans
5. Review your training materials in anticipation of second phase of BPM implementation
6. Data definitions meeting will be convened in early November



Governance as an Ongoing Process



Information for Data Stewards and Custodians

1. Where can you find additional information?

MS Teams Site: [Data Governance Working Group](#)

2. Who do I contact if I have questions?

You can reach out to anyone on the Core Team for assistance:

Erik Lauffer – elauffer@gsu.edu Kim Foney – kfonye@gsu.edu

Susan Ridley – sridley@gsu.edu Mary McLaughlin – mmclaughlin@gsu.edu

Brandon Ferguson – bferguson@gsu.edu Ren Flot – rflot@gsu.edu

Whitfield Samuel – wsamuel@gsu.edu Keith Sumas – ksumas1@gsu.edu

Madison Burnett – madisonburnett@gsu.edu

3. Will this group meet again?

Yes, at least quarterly.





Questions?





Data Governance

Thank you for your time and attention!!

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