

# Guidelines for UCITPS Workgroups

Adopted April 2010

The University of California Information Technology Policy and Security (UCITPS) group is a standing committee of the University of California Information Technology Leadership Council (ITLC), and is chartered to monitor and advise the ITLC on major policy and security issues affecting University electronic information resources. UCITPS members (see Attachment) are appointed by their respective Chief Information Officer to be the institutional policy and/or security representative.

Much of the group's ongoing work occurs through informal experience sharing among campuses, whether through monthly calls, email lists or meetings. Occasionally, however, UCITPS may be formally charged by the ITLC to do an analysis resulting in a report or other final product. Alternatively, the group may internally identify a need for an analysis requiring significant coordination and/or resources to accomplish. In such cases, UCITPS may charge an ad hoc workgroup to undertake this work on its behalf and to return to the full membership the results of the work for review.

This document articulates how UCITPS charges, provides resources to and interacts with workgroups, and identifies roles and responsibilities in this process.

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## **A. Establishing a Workgroup**

### **A.1 Role of the UCITPS Chair**

The UCITPS chair is responsible for determining whether an issue warrants the establishment of an ad hoc workgroup, in consultation with the other members of the Executive Committee, the ITLC, or others as appropriate. The chair will work in consultation with same to establish a charge, including scope, deliverables, target completion date and any intermediate milestones, expected time commitment and expectations for how the workgroup product is brought back to the full UCITPS membership.

### **A.2 Workgroup Selection and Participation**

The UCITPS chair will identify workgroup participants. Workgroup participants will be selected on the basis of skills, knowledge and experience; and availability to engage actively during the project period. The chair will provide all members an opportunity to participate and seek to ensure diverse representation from University of California institutions to produce the best possible product. Typically, the chair will first solicit participants from the UCITPS membership. Then, as appropriate and as needed, other individuals whose expertise or presence is necessary or will significantly enhance the workgroup's ability to execute its charge can be invited to participate. For example, representatives from legal counsel, records management, law enforcement, internal audit, administrative policy, DMCA designated agents, network operations, licensing/strategic sourcing, etc. – whether from the Office of the President (UCOP) or from a campus – can and should be invited as appropriate. The UCITPS chair will formally invite external participants, if necessary, in conjunction with the ITLC liaison. Occasionally, the subject matter of a workgroup may imply restrictions on who may participate.

### **A.3 Workgroup Convener**

The UCITPS chair will appoint a convener for the workgroup, who will act as workgroup liaison to the chair. The convener shall be a UCITPS member.

The convener is responsible for conferring with workgroup participants to determine and arrange workflow logistics: how the workgroup meets and communicates, arranging conference call or meeting opportunities, coordinating workgroup member assignments and assembling a draft document for review. The convener will work with the UCITPS chair to bring back workgroup findings/recommendations to the full UCITPS membership.

### **A.4 Resources**

The workgroup convener will coordinate standard conference call line and/or in-person meeting resources with the workgroup participants.

## **B. Reports or Other Workgroup Products**

### **B.1 Review Process**

When a workgroup has completed a draft of a report or other product that it believes is ready to review with the UCITPS membership, the workgroup convener shall coordinate the report review with the UCITPS chair.

Generally, a draft document will first be shared by the convener with the UCITPS membership by email. Discussion, review and commentary can occur by email or by scheduling a conference call or other communications method as appropriate. The workgroup may garner input to iterate subsequent drafts with this process. All intermediate draft documents should be marked as “Draft – Restricted Distribution” to ensure there is no misunderstanding about the status of these drafts. Documents will also reflect sequential version information and list the name of workgroup participants.

To obtain the best possible product, it will often be useful, if not imperative, to open such discussion, review and commentary to a broader audience than the UCITPS membership. A draft that has reached an appropriate stage of maturity may be marked “Draft – For Comment” and shared more broadly, such as to the UCITPS listserv and other interested groups, subject to the restrictions in B.4. The UCITPS chair may consider other reasons for a more limited distribution, if appropriate.

### **B.2 Approval Process**

Some projects will require making a formal recommendation or taking a position on an issue. With consultation from the workgroup convener, the UCITPS chair is responsible for guiding the workgroup recommendation or position through the approval process. While unanimity from the UCITPS membership makes approval straightforward, sometimes only a general consensus may be possible, or there may legitimately be widely divergent views. Under the latter circumstances, the chair and the workgroup convener shall, with the advice of the executive committee and others as appropriate, determine how best to represent the range of views (e.g., through minority opinions, simple enumeration of views, or a vote by the UCITPS membership). In the case of any formal balloting on a recommendation position, each UCITPS institution will have two votes – one each for security and policy interests. Where there is only one institutional representative to UCITPS, the UCITPS representative will reflect two votes

### **B.3 Final Products**

The chair will present UCITPS recommendations to the ITLC or other charging entity, generally through distribution of a report or participating in a meeting. A final work product will generally be made available for appropriately configured access via the UCITPS web site.

## **B.4 Restrictions on Distribution**

Work products that discuss or contain confidential, personal or restricted information (see [IS-2](#): Inventory, Classification, and Release of University Electronic Information) must be handled with special care. Such products shall be marked as “Confidential – Do Not Distribute” and must only be distributed in an appropriate protected format (e.g., through the use of encryption). This class of products may imply constraints on workgroup participation, and final products of this nature will not be posted for general viewing.

## Attachment1: UCITPS Membership as of March 2010

### Members (appointed by each ITLC CIO)

	Policy	Security
<b>Berkeley</b>	Karen Eft	Ryan Means
<b>Davis</b>	Robert Ono (vice chair)	
<b>Irvine</b>	Isaac Straley	Mike Iglesias
<b>Irvine Medical Center</b>	Jeff Barnes	Gabriel Gracia
<b>Lawrence Berkeley Lab</b>	Adam Stone	Denise Sumikawa
<b>Los Angeles</b>	Kent Wada (chair)	Ross Bollens
<b>Los Angeles Medical Center</b>	Martha Arvin	Ann Chang
<b>Merced</b>	Greg Fellin	
<b>Office of the President</b>	Yvonne Tevis	Jon Good
<b>Riverside</b>	Shelley Gupta	Russ Harvey
<b>San Diego</b>	Ronise Zenon	Gabriel Lawrence
<b>San Diego Medical Center</b>	Kathleen Naughton	Kenn Wottge
<b>San Francisco</b>	Stephen Lau	David Rusting
<b>San Francisco Medical Center</b>	Binh Nguyen	
<b>Santa Barbara</b>	Karl Heins	Kevin Schmidt
<b>Santa Cruz</b>	Janine Roeth	

### Ex officio members (non-voting)

1. Office of Ethics, Compliance and Audit Services: Russell Opland, Systemwide Privacy Officer and HIPAA Security and Privacy Officer
2. Office of General Counsel: Maria Shanle, Senior Counsel

### ITLC Liaison (non-voting)

- Tom Putnam, CIO, UC Santa Barbara (primary)
- Rich Kogut, CIO, UC Merced (secondary)

## **Attachment 2: Guidelines for UCITPS Workgroups - Committee Members**

- Karen Eft, UC Berkeley
- Stephen Lau, UC San Francisco
- Robert Ono, UC Davis
- Kent Wada, UC Los Angeles