



Application/System:	Date:

## GENERAL INFORMATION

Vendor Full Name ("Vendor"):

Product Name(s):

What is the purpose of the Product(s):

Please describe the System architecture in terms of user workstation software, server software, and the interaction between the two. In particular, are database operations, such as searches, executed on the server or the workstation?

What are the Vendor's expectations of UMass Medical School (UMMS) during the initial installation and on-going support? For example, if there is a problem with the software and/or vendor provided hardware after initial installation, does the Vendor expect UMMS to assist in the resolution of the problem?

Additional Comments:

## DEFINITIONS:

- "Agreement" shall mean the agreement, contract, purchase order, sales agreement, or other legally-binding document associated with this document. In the event of a conflict between the Agreement and this System Requirements Document, this System Requirements Document shall prevail.
- "Connectivity" shall mean the temporary or permanent data communications connection used for maintenance, online access, data transfer, or other applications.
- "N/A" shall mean not applicable.
- "Response Time", if not specifically defined in the Agreement, shall mean the time between the pressing of the return (or enter) key or the "click" of the mouse on an action button (i.e. inquire, send, save, search, etc.) and the System's response by displaying the next character(s) on the screen. This response may consist of displaying the requested information, or displaying the prompt for the next question, or displaying an error message in the case of invalid data, or displaying a "Help" message when the user asks for on-line help or other appropriate action by the System.
- "ASP/SAAS Model" shall mean a System where the Software is accessed via the Internet from a UMMS location to a Vendor site. However, certain arrangements between UMMS and Vendor may expand this definition to include the provision of production IT functionality with some or all of the underlying software and/or hardware residing at a UMMS location.
- "Software" shall have the same meaning as is provided for in the Agreement. If not defined, it shall mean the product identified under the GENERAL INFORMATION section above.
- "System" shall mean all hardware, Software, IT-related services and third party products.

## VENDOR INSTRUCTIONS

- Vendor, please answer each question by inserting an "X" in the "Yes" or "No" columns, as applicable.
- Throughout this document, there are several questions that require additional information from you. Insert your response in the "Vendor Comments" section, which is located at the end of each section, as the response helps us understand the System.
- In addition, the "Vendor Comments" field can be used by you at any time for adding comments you feel important to note. Insert the number of the question with the specific comment to avoid confusion when there are several questions in one section.
- Throughout this document, questions are to be answered from the perspective of providing all functionality described in the product literature for the products included in the Agreement. Note in the corresponding Vendor Comments area if functionality will be reduced based on any answer provided.

### SECTION 1: CLASSIFICATION

1.1	Is there a SSAE16 form or security white paper that can be supplied to UMMS if requested?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.2	Does the system store, maintain, or process any Protected Health Information?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.3	Does the system store, maintain, or process (1) an individual's first name or first initial and last name in combination with and linked to any one or more of the following data elements, when the data elements are not encrypted or redacted: (i) Social Security number or Medicaid number. (ii) Driver's license number or a State identification card number issued in lieu of a driver's license. (iii) Financial account number, credit or debit card number, in combination with any required security code, access code or password that would permit access to an individual's financial account. <i>If "no", skip to question 1.4.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.3.1	Will you share this information referenced in sections 1.2 and 1.3 with a third party <i>If "yes", provide additional information in Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.3.2	Will this information be located at a site owned or leased by you?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.4	Does the Agreement include the provision of production IT functionality with some or all of the underlying software and/or hardware not residing at a UMMS location? <i>If "no", skip to question 1.5.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.4.1	Will the hardware in the arrangement identified above be located at a UMMS site?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.5	Are there any third-party products included in the System? <i>If "yes", list the products in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.6	Does the System utilize any component that will require installation at a UMMS facility? <i>If "no", skip to question 1.9.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.6.1	What type of equipment will be installed at UMMS? (Select all that apply) <input type="checkbox"/> Appliance <input type="checkbox"/> PC/Workstation <input type="checkbox"/> Browser Plug-in <input type="checkbox"/> Client Software <input type="checkbox"/> Library/Agent <input type="checkbox"/> Router/Gateway <input type="checkbox"/> Server <input type="checkbox"/> Other <input type="text"/>	
1.7	Does the Vendor obtain any ownership of the UMMS provided data?	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.8	Are any of the functions of the System outsourced to a third party? <i>If "no", skip question 1.9.1</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
1.8.1	Which of the following functions are outsourced? (Select all that apply) <input type="checkbox"/> Backup <input type="checkbox"/> Cleaning <input type="checkbox"/> Development <input type="checkbox"/> Hosting <input type="checkbox"/> Maintenance <input type="checkbox"/> Redundancy <input type="checkbox"/> Testing/Quality <input type="checkbox"/> Other <input type="text"/>	

### VENDOR COMMENTS

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### SECTION 2: SYSTEM NETWORK ENVIRONMENT

2.1	Does the System include hardware or software that will be installed at a UMMS site and need to communicate with other devices on the UMMS network or the Internet? <i>If "yes", list the products in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**VENDOR COMMENTS**

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**SECTION 3: REMOTE SUPPORT REQUIREMENTS**

3.1	Will remote support be provided for the System? For example, will Vendor personnel require connectivity to devices at a UMMS site to provide end-user or system support? <i>If "yes", identify type of support in Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**VENDOR COMMENTS**

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**SECTION 4: PRODUCTION CONNECTIVITY REQUIREMENTS**

4.1	Other than for remote support as discussed above, does the System require electronic transmission of data between UMMS and a non-UMMS site? <i>If "yes", identify type of support in Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**VENDOR COMMENTS**

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**SECTION 5: INTERNET BROWSER COMPATIBILITY**

5.1	Is an Internet browser used to access any portion of the System? <i>If "no", skip the rest of Section 5.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.2	Is all browser-based functionality available using Microsoft Internet Explorer? <i>If "no", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.3	Are there any configuration changes that have to be made to the default browser settings to allow the application to function per the vendor specifications? <i>If "yes", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.4	Is Java support needed for proper functioning of the System? <i>If "yes", indicate the necessary requirements, including the Java version(s) in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.5	Are Vendor-supplied plug-ins needed for proper functioning of the System? <i>If "yes", indicate the necessary requirements and if the plug-ins are signed in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

**VENDOR COMMENTS**

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**SECTION 6: INTERNET ENVIRONMENT**

6.1	To obtain functionality or services included in the Agreement, or related support, will it be necessary for devices at UMMS sites to connect to Vendor via the Internet? <i>If "no", skip the rest of Section 6.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**IP Address**

6.2	Is the IP address of Vendor's website registered to Vendor? This will generally be true unless Vendor has outsourced its website. <i>If "no", explain the outsourcing arrangement in the Vendor Comment section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**Bandwidth/Latency**

6.3	Are the Internet connectivity requirements for accessing Vendor similar to those for accessing a typical website such as CNN.com? <i>If "no", provide bandwidth requirements in the Vendor Comment section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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**VENDOR COMMENTS**

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## SECTION 7: SERVER BACKUP

7.1	Does the System require server installation at a UMMS facility? <i>If "no", skip the rest of this section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
7.2	Is the System compatible with Commvault? <i>If "no", provide additional information in the Vendor Comment section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

### VENDOR COMMENTS

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## SECTION 8: VIRUS PROTECTION SOFTWARE SPECIFIC TO DESKTOP/CLIENT WORKSTATIONS (NOT SERVERS)

8.1	Is the desktop/client workstation maintained exclusively by Vendor? <i>If "no", skip to question 9.1. If "yes", complete through 8.7.1.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.2	Will Vendor supply and maintain an antivirus solution that is mutually agreeable to both parties and keep the program files and virus signature (DEF) files current? <i>If "yes", indicate the antivirus solution proposed and how the virus program will be updated in the Vendor Comments section. If "no", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.3	Will Vendor install, test, and verify compatibility of the virus program file prior to installing or upgrading the Software on any production desktop/client workstation where the antivirus solution is installed? <i>If "no", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.4	Are there any circumstances when patches or updates shouldn't be applied to the antivirus software? <i>If "yes", list specific circumstances, such as time of day or stage of processing, in Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.5	Are there special configurations to the antivirus software that will need to be maintained? For example, are there specific files or directories that need to be excluded from scanning, or setting up and launching an administrator scan on the device? <i>If "yes", list specific circumstances in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.6	If UMMS is under a support program with Vendor, will Vendor provide UMMS support staff with access to the System in the event UMMS needs to address any virus related issues? <i>If "no", provide additional information in Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
8.7	If the hardware portion of the System is maintained by UMMS, regardless of whether or not the hardware was purchased from Vendor, will the Vendor do the following:	
8.7.1	Certify that the System is fully compatible with MacAfee and allow UMMS to load this software on the desktop/client workstation? <i>If "no", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

### VENDOR COMMENTS

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**SECTION 9: OPERATING SYSTEM PATCHES SPECIFIC TO DESKTOP/CLIENT WORKSTATIONS (NOT SERVERS)**

If you answer "no" to the questions in this Section, provide additional information in the Vendor Comments section.

9.1	Is the desktop/client workstation maintained exclusively by Vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9.2	Will Vendor apply and maintain operating system patches on desktop/client workstations on which the System runs in order to comply with UMMS policy?	<input type="checkbox"/> Yes <input type="checkbox"/> No
9.3	Are there any circumstances when patches or updates should not be applied? <i>If "yes", list specific circumstances, such as time of day or stage of processing, in Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
9.4	If UMMS is under a support program with Vendor, will Vendor provide UMMS support staff with access to the System in the event UMMS needs to address any security related problems with the System?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**VENDOR COMMENTS****SECTION 10: AUTHENTICATION METHODOLOGY**

If you answer "no" to the questions in this Section, provide additional information in the Vendor Comments section.

10.1	Does the System support unique user IDs?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.2	Does the System have the ability to deactivate rather than delete a user identifier so that it may not be reused?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.3	Are user identifiers required to be at least three (3) characters in length?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.4	Does the System require a combination of a password and user identifier for authentication?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.5	Does the System require user-chosen passwords for authentication?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.6	Does the System require user-chosen passwords to be at least eight (8) characters in length?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.7	Does the System enforce user-chosen passwords to be a mix of alpha and numeric characters?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.8	Does the System enforce suspension of the user account after a maximum of three (3) failed login attempts?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.9	Does the reactivation of the suspended user account require administrative level intervention?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.10	Does the system allow for concurrent logins?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.11	Does the System encrypt or hash passwords?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.11.1	Does the system allow administrators to see end-user passwords in clear text?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.12	Does the System enforce the user-chosen password to be different from the user identifier?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.13	Can factory-set default passwords be changed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.14	Can the System enforce password change during a user's initial login attempt?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.15	Does the System use hard-coded passwords?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.16	Does the System require a new password to be different than the current password?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.17	Are user-chosen passwords required to change at least every 180 days?	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.18	Does the System support lightweight directory access protocols (LDAP) for its front end user authentication? <i>If "yes", provide additional information in Vendor Comment section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
10.19	Are authentication standards the same for administrators as they are for users?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**VENDOR COMMENTS**

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**SECTION 11: AUDIT TRAIL**

If you answer "no" to any following, please provide additional information in the Vendor Comments section.

11.1	Does the System maintain an audit trail that provides documentary evidence of user transactions? <i>If "no", skip the rest of Section 11.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.2	Do the trails contain:	
11.2.1	Unsuccessful login attempts?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.2.2	Successful login attempts?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.2.3	Username/user ID associated with the login?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.2.4	Do these items contain a timestamp?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.3	Once successfully logged on, do the audit trails record user events such as:	
11.3.1	Modification of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.3.2	Addition of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.3.3	Deletion of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.3.4	Viewing of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.3.5	Do these items contain a timestamp?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.3.6	Is the username/user ID associated with the event, logged?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.4	Does the system allow valid users to attempt access to unauthorized areas of the system? <i>If "no", skip to question 11.5.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.4.1	Attempted addition of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.4.2	Attempted deletion of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.4.3	Attempted modification of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.4.4	Attempted viewing of data/records?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.4.5	Do these items contain a timestamp?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.4.6	Is the username/user ID associated with the event, logged?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.5	Does the system record log out events? <i>If "no", skip to question 11.6.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.5.1	Does this item contain a timestamp?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.6	Does the system have the ability to create reports from the audit trails?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.7	Does the System have the ability (with enough storage) to retain logs for at least six (6) years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.8	Does the System log the same actions for administrators as it does for users?	<input type="checkbox"/> Yes <input type="checkbox"/> No
11.9	How are audit logs accessed? <input type="checkbox"/> Through the application <input type="checkbox"/> Through a script	

**VENDOR COMMENTS**

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**SECTION 12: AUTOMATIC LOG-OFF**

12.1	Does the System support automatic logoff inactivity time outs after no greater than fifteen (15) minutes of inactivity? <i>If "no", provide additional information in Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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## VENDOR COMMENTS

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## SECTION 13: STORAGE ENCRYPTION

If you answer "no" to any following, please provide additional information in the Vendor Comments section.

13.1	Does the System store data? <i>If "no", skip the rest of Section 13.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.2	Does the System encrypt data while stored? <i>If "no", skip the rest of Section 13.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.3	Does the System enforce, at a minimum, key sizes of 128 bits for symmetric keys and 1024 bits for asymmetric keys?	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.4	Which of the following asymmetric (public key) and key-exchange algorithms does the System employ:	
13.4.1	RSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.4.2	DH (Diffie-Hillman key exchange only)	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.4.3	DSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5	Which of the following symmetric (private key) algorithms does the System employ:	
13.5.1	AES	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5.2	3DES	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5.3	RSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5.4	RC4, RC5, or RC6	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5.5	TwoFish	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5.6	Serpent	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5.7	MARS	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.5.8	Blowfish	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.6	Which of the following hash algorithms does the System employ:	
13.6.1	MD5	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.6.2	SHA1 or greater	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.7	Which of the following digital signature algorithms does the System employ:	
13.7.1	RSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.7.2	DSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
13.8	Does the system employ encryption methodologies not listed in this Section? <i>If "yes", provide the encryption methodology in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

## VENDOR COMMENTS

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## SECTION 14: TRANSPORT ENCRYPTION

14.1	Does the System transmit data? <i>If "no", skip the rest of Section 14.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
If you answer "no" to any following, provide additional information in the Vendor Comments section.		
14.2	Does the System encrypt data while being transmitted? <i>If "no", skip the rest of Section 14.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.3	Does the System enforce, at a minimum, key sizes of 128 bits for symmetric keys and 1024 bits for asymmetric keys?	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.4	Which of the following asymmetric (public key) and key-exchange algorithms does the System employ:	
14.4.1	RSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.4.2	DH (Diffie-Hillman key exchange only)	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.4.3	DSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5	Which of the following symmetric (private key) algorithms does the System employ:	
14.5.1	AES	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5.2	3DES	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5.3	RSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5.4	RC4, RC5, or RC6	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5.5	TwoFish	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5.6	Serpent	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5.7	MARS	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.5.8	Blowfish	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.6	Which of the following hash algorithms does the System employ:	
14.6.1	MD5	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.6.2	SHA1 or greater	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.7	Which of the following digital signature algorithms does the System employ:	
14.7.1	RSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.7.2	DSA	<input type="checkbox"/> Yes <input type="checkbox"/> No
14.8	Does the system employ encryption methodologies not listed in this Section? <i>If "yes", provide the encryption methodology in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

## VENDOR COMMENTS

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## SECTION 15: DISASTER RECOVERY/BACK-UP

15.1	Is there a disaster recovery plan established for the System? <i>If "no", skip to question 15.2.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.1.1	Is the recovery plan tested at least annually? <i>If "no", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.1.2	Is there a business continuity plan in place to maintain service levels during a disaster? <i>If "yes", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.1.3	In the event of a disaster, is there an uptime guarantee? <i>If "yes", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.2	Is UMMS provided data included in the Vendor's backup schedules/routines? <i>If "no", skip the remainder of Section 15.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.2.1	Are these backups performed at least weekly?	<input type="checkbox"/> Yes <input type="checkbox"/> No



15.2.2	Are these backups encrypted to UMMS encryption requirements? (See encryption sections above)	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.2.3	Are these backups capable of restoring only UMMS data? <i>If "no", skip to question 15.2.4.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.2.3.1	Can UMMS request restoration of UMMS provided data if needed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
15.2.4	Are these backups stored offsite?	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### VENDOR COMMENTS

#### SECTION 16: SECURITY POLICIES AND PROCEDURES

16.1	Is access to UMMS provided data restricted to only necessary persons? <i>If "no", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
16.2	Do system administrator roles have access to any UMMS provided data?	<input type="checkbox"/> Yes <input type="checkbox"/> No
16.3	Do any other employee roles (finance, human resources, managers, etc.) have access to UMMS provided data? <i>If "yes", provide additional information in the Vendor Comments section.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
16.4	Are all employees, agents and contractors with access to UMMS data required to complete a non-disclosure agreement or similar confidentiality statement prior to accessing the data?	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### VENDOR COMMENTS

#### SECTION 17: INCIDENT RESPONSE

17.1	Does the Vendor have an established security response group or individual?	<input type="checkbox"/> Yes <input type="checkbox"/> No
17.2	In the event of a security incident, is there a process in place to notify UMMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### VENDOR COMMENTS

#### SECTION 18: NETWORK PROTECTION

18.1	Is there segregation between the devices used for the System and other departmental devices (such as human resources, finance, sales)? <i>If "no", skip to question 18.2.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.1.1	Is any UMMS provided data shared or transferred to a system not functioning as part of the System?	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.1.2	Are there segregation/isolation techniques utilized between the System and the non-System network? Please check all that apply. <i>If "no", skip to question 18.2.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

18.1.2.1	Which techniques are used? Please check all that apply: <input type="checkbox"/> Firewalls <input type="checkbox"/> Subnets <input type="checkbox"/> V-LANs <input type="checkbox"/> VPNs <input type="checkbox"/> Physical Splitting <input type="checkbox"/> Other (please specify type in Vendor Comment section below.)	
18.2	Is there a firewall present between all System networks and the Internet? <i>If "no", skip to question 18.3.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.2.1	Is the firewall stateful?	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.3	Are there any protections against IP Spoofing such as implementation of RFC-2827 or RFC-1918 filtering?	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.4	Are all externally accessible services/ports/devices periodically tested for vulnerabilities? <i>If "no", skip to question 18.5.</i> <i>If "yes", identify the tool used for testing in the Vendor Comments section below.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.4.1	Is vulnerability testing conducted at least quarterly?	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.4.2	Are the vulnerability scans considered payment card industry (PCI) compliant?	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.5	Is there an intrusion detection system deployed on the Systems network? <i>If "no", skip the remainder of section 18.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.5.1	Is the Intrusion Detection System performing Intrusion Prevention?	<input type="checkbox"/> Yes <input type="checkbox"/> No
18.5.2	Can the System implement an immediate lockout to all UMMS provided data if an intrusion occurs?	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### VENDOR COMMENTS

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#### SECTION 19: HOST PROTECTION

*Skip this Section if the System resides at UMMS.*

19.1	Are devices used in the System network hardened using industry best practice standards or other available standards? <i>If "yes", identify which standards and/or best practice guidelines are used in the Vendor Comments section below.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.2	Do servers used in the System have a host based firewall installed and enabled? <i>If "no", skip questions 19.2.1 and 19.2.2.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.2.1	Does the host based firewall reject unauthorized incoming connections?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.2.2	Does the host based firewall protect all services/ports that are not required for System functions?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.2.3	Do servers used in the System have anti-virus/malware protection? <i>If "no", skip to question 19.3.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.2.3.1	Is the anti-virus/malware protection updated at least daily?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.2.3.2	Does the anti-virus/malware protection protect in real-time (constant monitoring)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.2.3.3	Are there at least weekly scheduled scans of hosts to check for infections?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.3	Are there update/patching cycles in place to ensure devices and/or software are kept up to date? <i>If "no", skip to question 19.4.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.3.1	Are non-security related updates installed no further than six (6) months behind vendor release?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.3.2	Is there an accelerated test/patch cycle for security related updates, for example hours/days versus months?	<input type="checkbox"/> Yes <input type="checkbox"/> No
19.3.3	Is there a process for testing patches prior to deployment in a production mode?	<input type="checkbox"/> Yes <input type="checkbox"/> No

<b>19.4</b>	Do employees, agents and consultants of the Vendor use accounts on the Systems that utilize the principle of least privilege? <i>If "no", skip the remainder of section 19.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>19.4.1</b>	Do employees, agents and consultants only utilize the System for System purposes (such as no web surfing, personal email, etc.)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>19.4.2</b>	Is there a termination process to ensure removal of access immediately when an employee leaves?	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### VENDOR COMMENTS

#### SECTION 20: DATA PROTECTION

<b>20.1</b>	Is any UMMS provided data stored by the System? <i>If "yes", provide additional information in the Vendor Comments section. If "no", skip the remainder of Section 20.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>20.1.1</b>	Is all UMMS provided data stored within the primary and backup data centers?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>20.1.2</b>	Does any UMMS provided data ever leave the primary or backup data centers?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>20.1.3</b>	Is transport of the back-up tapes done securely?	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### VENDOR COMMENTS

#### SECTION 21: SYSTEM DEVELOPMENT

<b>21.1</b>	Is there a quality control program or process in place for new development on the service/systems? <i>If "yes", provide additional information regarding your secure coding practices and/or policies employed in the Vendor Comments section. If "no", skip the remainder of Section 21.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>21.1.1</b>	Are development/testing environments segregated from the production environment?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>21.1.2</b>	Is there an approval process prior to migrating changes/improvements from test environment into production environment?	<input type="checkbox"/> Yes <input type="checkbox"/> No

#### VENDOR COMMENTS

#### SECTION 22: PHYSICAL SECURITY

*Skip this Sections if the System resides at UMMS.*

<b>22.1</b>	Is the primary data center location in a dedicated physical location?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>22.2</b>	Are there physical controls restricting access to the primary data center? <i>If "no", skip to question 22.4.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>22.3</b>	Which type of physical controls are in place at the data center (Select all that apply): <input type="checkbox"/> Biometric <input type="checkbox"/> Mantrap <input type="checkbox"/> Cameras <input type="checkbox"/> RFID/Proximity <input type="checkbox"/> Guard/Greeter <input type="checkbox"/> Smartcard <input type="checkbox"/> Keypad (PIN) <input type="checkbox"/> Other (please describe below)	
<b>22.4</b>	Are there backup data center sites for this System? <i>If "no", skip to question 22.5.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

<b>22.4.1</b>	Does the physical security of the backup data center sites mirror the primary data center? <i>Describe any differences in physical security between data centers in the Vendor Comments section below.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>22.5</b>	Is there a SSAE16 SOC2 outlining and validating the data center security controls?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>22.5.1</b>	If "Yes", can a copy of the SSAE16 report be furnished to UMMS?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**VENDOR COMMENTS**

**SECTION 23: ENVIRONMENTAL CONTROLS IN DATA CENTER**

*Skip this Sections if the System resides at UMMS.*

<b>23.1</b>	Are air conditioning and heating systems monitored?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>23.2</b>	Are there fire controls in place?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>23.3</b>	Are there generators available?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>23.4</b>	Are there power allowances in place?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>23.5</b>	Are there automatic notifications of thresholds used?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>23.6</b>	Are there redundant systems in place?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>23.7</b>	Are there automatic notifications for network or system failures?	<input type="checkbox"/> Yes <input type="checkbox"/> No

**VENDOR COMMENTS**

In the event the System is found not to be consistent with the statements made by Vendor in this System Requirement Document, the cost incurred by UMMS to deploy the System, including but not limited to staff training and network augmentation, shall be borne by Vendor.

All brand names and product names referenced in this Exhibit are trademarks of their respective holders.

To the extent that I had any questions, they have been answered. The information provided above has been reviewed by the Vendor representative listed below and is accurate and complete.

Vendor Representative Signature:

Vendor Representative Name:

Vendor Representative Title:

Date: