

Confidential Document Requiring Protection

INFORMATION SECURITY DATA REQUIREMENTS CHECKLIST

For Use by Campus Department, Procurement, and Information Technology Services

Original Kept in Procurement and Copies to Campus Department and ITS

Print First and Last Name of "MPP" Requester: _____

Department: _____

*Retention Requirements: _____ Years _____ Months Backup Data Purge by Date: _____

Procurement Requisition Number: _____ Date: _____

Print Vendor Name: _____ Product: _____

Information Technology Services must review contracts involving access to protected information, any cloud computing, and those involving computer related hardware/software. Since contracts and services can evolve over time, this checklist must be completed every new contract, contract revision, or contract renewal to ensure we meet our obligations for securing data, systems, and networks.

1. Please check Yes (Y) or No (N) below to indicate type of cloud services provided:

Check Y or N	Types of Cloud Services (University Department and ITS Use)	Procurement and ITS Use Only
Y <input type="checkbox"/> or N <input type="checkbox"/>	The vendor will provide Virtual Desktops that will reside in a 3 rd party data center, or Desktop as a Service (DaaS).	CSA STAR, SSEA 16 SOC 2, SIG report must be submitted by the vendor
Y <input type="checkbox"/> or N <input type="checkbox"/>	The vendor will provide hardware (servers, desktops, etc.) that will reside in a 3 rd party data center, or Infrastructure as a Service (IaaS).	CSA STAR, SSEA 16 SOC 2, SIG report must be submitted by the vendor
Y <input type="checkbox"/> or N <input type="checkbox"/>	The vendor will provide and manage servers that will reside in a 3 rd party data center, or Platform as a Service (PaaS).	CSA STAR, SSEA 16 SOC 2, SIG report must be submitted by the vendor
Y <input type="checkbox"/> or N <input type="checkbox"/>	The vendor will provide software that will be stored on servers in a 3 rd party data center, or Software as a Service (SaaS).	CSA STAR, SSEA 16 SOC 2, SIG report must be submitted by the vendor
Y <input type="checkbox"/> or N <input type="checkbox"/>	Multiple Vendors will provide hardware, servers, and/or software that will be stored in a 3 rd party data center. (DaaS, IaaS, PaaS, or SaaS)	CSA STAR, SSEA 16 SOC 2, SIG report must be submitted by EACH vendor
Y <input type="checkbox"/> or N <input type="checkbox"/>	The vendor services will allow documents/data to be stored in a computer that resides in a 3 rd party data center.	CSA STAR, SSEA 16 SOC 2, SIG report must be submitted by the vendor

CSA = Cloud Security Alliance; cloudsecurityalliance.org/star. SSAE 16 = Statement on Standards for Attestation Engagements (SSAE) no. 16, SOC II; www.ssa16.org. SIG=Standardized Information Gathering; sharedassessments.org

IF ANSWERED "YES" TO ANY OF THE QUESTIONS ABOVE, PLEASE CONTINUE WITH SECTION 2, OTHERWISE, RETURN FORM TO THE PROCUREMENT OFFICE.

Confidential Document Requiring Protection

2. Please check Yes (Y) or No (N) below to indicate types of University protected information to be collected, shared, accessed/transmitted, or stored by contractor, subcontractor, or subcontractor's agent as part of the contract statement of work.

Check Y or N	Protected Information (University Department and ITS Use)	Procurement and ITS Use Only IT Supplemental Sections and Misc.
Y <input type="checkbox"/> or N <input type="checkbox"/>	Does the subcontractor or agent employ more than 100 employees, access more than 500 individual pieces of information (e.g. 500 names and SSN, credit cards, medical records, or any combination) or conduct full SAS70 (type II) audits?	<p>N= Use Low Risk sections (3b; 6 and 8a: use as appropriate)</p> <p>Y= Use High Risk sections (3a; 6 and 8b: use as appropriate)</p> <p>*For low and high Section 7 –Need yr./mon from department http://www.calstate.edu/recordsretention/</p>
Examples of Level 1 data (Confidential):		
Y <input type="checkbox"/> or N <input type="checkbox"/>	Passwords or credentials that grant access to level 1 and level 2 data.	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	PINs (Personal Identification Numbers).	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Birth date combined with last four digits of SSN and name.	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Tax ID with name.	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Driver's license number, state identification card, and other forms of national or international identification in combination with name.	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Social Security number and name	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Health insurance information	1, 2, 3, 4, 5.4, 6, 7, 8, 9, Annual Cert. FU
Y <input type="checkbox"/> or N <input type="checkbox"/>	Medical records related to an individual (including disability information).	1, 2, 3, 4, 5.4, 6, 7, 8, 9, Annual Cert. FU
Y <input type="checkbox"/> or N <input type="checkbox"/>	Psychological Counseling records related to an individual	1, 2, 3, 4, 5.4, 6, 7, 8, 9, Annual Cert. FU
Y <input type="checkbox"/> or N <input type="checkbox"/>	Bank account or debit card information with any required security code, access code, or password that would permit access to an individual's financial account.	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Biometric information	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Electronic or digitized signatures	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Private key (digital certificate)	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Law enforcement personnel records	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Criminal background check results	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Username or email address, in combination with a password or security question and answer that would permit access to an online account (SB 46)	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Information that would pose a severe risk or result in severe damage to the CSU if disclosed	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
<u>Payment Card Industry Specific:</u>		
Y <input type="checkbox"/> or N <input type="checkbox"/>	Name with credit card payment to campus merchant ID (Department may require PCI DSS Self-Assessment)	1, 2, 3, 4, 5.1, 6, 7, 8, 9, Annual Cert. FU, Dept. Self-Assess. FU
Y <input type="checkbox"/> or N <input type="checkbox"/>	Credit card numbers with cardholder name (Department may require PCI DSS Self-Assessment)	1, 2, 3, 4, 5.1, 6, 7, 8, 9, Annual Cert. FU, Dept. Self-Assess. FU
Y <input type="checkbox"/> or N <input type="checkbox"/>	Purchase of software to process name with credit card payment to campus merchant ID (Department may require PCI DSS Self-Assessment)	1, 2, 3, 4, 5.2, 6, 7, 8, 9, Annual Cert. FU, Dept. Self-Assess. FU
Y <input type="checkbox"/> or N <input type="checkbox"/>	Name with ACH payment to campus bank account	1, 2, 3, 4, 5.3, 6, 7, 8, 9, CSU Nacha FU
Examples of Level 2 data (Internal Use)		
Y <input type="checkbox"/> or N <input type="checkbox"/>	Name (Identity Validation Key) with Birth date (full: mm-dd-yyyy).	1, 2, 3, 4, 6, 7, 8, 9

Confidential Document Requiring Protection

Y <input type="checkbox"/> or N <input type="checkbox"/>	Name (Identity Validation Key) with Birth date (partial: mm-dd only).	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Photo (taken for identification purposes)	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Library circulation information	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Trade secrets or intellectual property such as research activities	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Location of critical or protected assets	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Licensed software	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Vulnerability/security information related to a campus or system	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Campus attorney/client communications	1, 2, 3, 4, 6, 7, 8, 9
	<u>Student name with personally identifiable educational record (not defined as “directory” information) typically:</u>	
Y <input type="checkbox"/> or N <input type="checkbox"/>	Grades	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Courses taken	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Schedule	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Test scores	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Advising records	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Financial aid received	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Educational services received	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Disciplinary actions	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Student Photo	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
	<u>Employee Name with personally identifiable information:</u>	
Y <input type="checkbox"/> or N <input type="checkbox"/>	Employee net salary	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Home address	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Personal telephone numbers	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Personal email address	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Payment history	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Employee evaluations	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Pre-employment background investigations	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Mother’s maiden name	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Race and ethnicity	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Names of parents or other family member (s)	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Birthplace (city, state, country)	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Gender	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Marital status	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Physical description	1, 2, 3, 4, 6, 7, 8, 9
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case
Y <input type="checkbox"/> or N <input type="checkbox"/>	Other:	1, 2, 3, 4, 6, 7, 8, 9, Case-by-Case

The CSU is the authoritative source for current definitions of protected information, and University as it applies.

Departments may need to follow-up for items added into contract under “Procurement and ITS Use Only”. Please use your department processes for this purpose. (i.e., Follow up with your vendor for annual certifications.)

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***Note:** Campus custodian or designee responsible for record retention of data listed as well as follow-up for any destruction of residual data that exists must supply dates requested. Backup data may not be archived. Contractor should provide the evidence or certification to the campus custodian or designee that record retention requirements have been met. See CSU Executive Order 1031. <http://www.calstate.edu/eo/EO-1031.html>; <http://www.calstate.edu/recordsretention/>

Signature of Requester _____

*****Procurement Only*****

Contract approved: check Y or No Purchase Date: _____ Copy to ITS and Dept.: check Y or N

Original template kept in Information Technology Services

Last date modified: April 11, 2018