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| S:\InformationTechnology\IT Security\General Documents\Images and Branding\ITSecurity_Logo.png | THIRD-PARTY ASSESSMENT FORM |
| Note: Prior to finalizing business agreements involving confidential data, this completed form should be sent to the TRS Information Security Office (InfoSec@trs.texas.gov) for review concerning the security of information with respect to legal or regulatory compliance and industry standard best practices |
| Third-Party Provider Name: |  | Date: |  |
| Address:  |  | Website: |  |
| Support Contact: | Email:  |  | Phone: |  |
| Information Security Contact: | Email:  |  | Phone: |  |
| **Name of the Service/Product:**  |
| **Technical Description of Communications**:(Client/Agent, Web/TLS, File Transmission, hosted website/WebApp, ASP, etc., SAAS/PAAS/IAAS): |  |
|  |
| **Describe Pertinent Outsourced/Contracted Service Arrangements:** (such as onsite support, remote support, temporary access, database management, etc.): |  |
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| **Providing an attestation report from within the last year can be sent to supplement this form.****If applicable, please select which form will be sent:**[ ]  SOC 2 Type 2 Report [ ]  FedRAMP Certification [ ]  HITRUST Report [ ]  CAIQ[ ]  ISO 27001 [ ]  ISO 27017 [ ]  SIG  |
| **Is the product/service, either wholly or partially, built in an environment hosted by the following Cloud Service Providers: Amazon Web Services (AWS), Microsoft Azure, Google Cloud Platform (GCP), Oracle, or IBM?**[ ]  AWS [ ]  Azure [ ]  GCP [ ]  Oracle [ ]  IBM |

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| Preliminary Questions*Teacher Retirement System conducts Assessments on all third parties. Not all assessment questions are relevant to each party.* | Answers | Category |  |
| What services will TRS receive and what will be included in the service level agreement? |  | **Overview** |  |
| Has your company obtained a TX-Ramp certification or in the process of doing so? The Department of Information Resources now mandates that all state agencies contract with computing services that comply with TX-RAMP requirements.  |  | **Overview** |  |
| Will your service/product process or store any confidential information such as Personally Identifiable Information (PII) or Material Non-Public Information (MNPI)? |  | **Overview** |  |
| Will your product process any protected health information (PHI) or any data covered by the Health Insurance Portability and Accountability Act (HIPAA)?  |  | **Overview** |  |
| Does your company have an established Business Continuity and Disaster Recovery Plan (BCP/DRP)? |  | **Overview** |  |
| Do you comply with any specific industry standard security framework? (e.g., NIST Special Publication 800-53, ISO 27002, etc.)  |  | **Overview** |  |
| How long has your company conducted business in this industry?  |  | **Overview** |  |
| Describe the structure and size of your Information Security staff. (e.g. Admin, Engineering, QA/Compliance, etc.) |  | **Overview** |  |
| Describe the structure and size of your Software and System Development teams. (e.g. TRS Support, Implementation, Product Management, etc.) |  | **Overview** |  |
| Use this area to share information about your environment that will assist those who are evaluating you company data security safeguards. |  | **Overview** |  |
| Questions | **Answers** | **Category** |  |
| Do your workforce members receive regular training related to the HIPAA Privacy and Security Rules and the HITECH Act? |  | **HIPAA** |  |
| Do you monitor or receive information regarding changes in HIPAA regulations? |  | **HIPAA** |  |
| Has your organization designated HIPAA Privacy and Security officers as required by the HIPAA Security Rules? |  | **HIPAA** |  |
| Do you comply with the requirements of the Health Information Technology for Economic and Clinical Health Act (HITECH)? |  | **HIPAA** |  |
| Do you have an incident response process and reporting in place to investigate any potential incidents and report actual incidents?  |  | **HIPAA** |  |
| Do you have a plan to comply with the Breach Notification requirements if there is a breach of data? |  | **HIPAA** |  |
| Have you conducted a risk analysis as required under the HIPAA Security Rule? |  | **HIPAA** |  |
| Are you willing to enter into a Business Associate Agreement (BAA)? |  | **HIPAA** |  |
| Have you entered into a BAA with all subcontractors who may have access to protected health information (PHI) |  | **HIPAA** |  |
| Can you provide a HIPAA compliance attestation document? |  | **HIPAA** |  |
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| Assessment: | **Answers** | **Category** | **Sub-Category** |
| Has the relevant application been tested for vulnerabilities by a third party? |  | Application | Quality Assurance |
| State the date of the last test conducted. |  | Application  | Quality Assurance |
| How often does your organization perform vulnerability assessments of the specific product(s) that TRS is interested in utilizing? |  | Application | Quality Assurance |
| Does your organization have an application security team, focused on secure coding of the relevant applications? |  | Application | Quality Assurance |
| Do you have alternate data centers in case of disasters? |   | Business Continuity | Precautions  |
| Does your solution support redundancy and load balancing? |   | Business Continuity | Precautions  |
| Are any of your data center located in areas that have a high risk/probability of occurrence for high impact disasters (floods, tornadoes, earthquakes, etc)? |  | Business Continuity | Precautions |
| Has your organization designated and documented points of contact in case of a disaster? |  | Business Continuity | Disaster |
| Is there insurance in place for disaster recovery scenarios? If so, please describe. |   | Business Continuity | Disaster |
| Do you share your business continuity and redundancy plans with your tenants? |  | Business Continuity | Disaster |
| Describe policies and procedures established for management authorization systems for development or acquisition of new applications, systems, databases, infrastructure, services, and operations? |   | Change Management |   |
| Does your organization follow a documented Request For Change (RFC) process before implementing any changes? If so, please describe the process. If not, how are requests for change handled? |   | Change Management |   |
| Does your organization create implementation and back-out plans before action on any proposed changes? If so, please describe the process of creating and auditing these plans. |   | Change Management |   |
| Is documentation available that describes the installation, configuration and use of products/ services/ features? |   | Change Management |   |
| Does your company have a quality manual that describes an overview of your key standards for coding, testing, integration, large data volumes, and other areas that affect services? |   | Change Management |   |
| Do you have controls in place to ensure that all organizationally set standards of quality are being met on all software development? Please describe the controls. |   | Change Management |   |
| Describe or provide a reference to your solution support strategy in relation to maintaining software currency (i.e. how many concurrent versions are you willing to run and support?). |  | Change Management  |  |
| Is there a documented process for keeping all network equipment up to date with the most current level of patches and updates? |   | Change Management |   |
| Describe the highest level of data classification that will be managed within your system(s) and/or application(s) (e.g.: Public/ Private/ Internal/ Secret/ Restricted). |  | Data | TRS Data |
| What TRS data will be stored or transmitted? Include security considerations of sensitive data. |   | Data | TRS Data |
| How and when is TRS data deleted? |   | Data | TRS Data |
| Will you be able to provide Certificate of Data Destruction or Erasure after the data has been deleted?  |  | Data | TRS Data  |
| How long will the institution's data be available within the system at the completion of this contract? |  | Data | TRS Data |
| What procedures are in place for handling client confidential information? |   | Data | TRS Data |
| Is TRS data isolated in a multi-tenant environment? |   | Data | TRS Data |
| If TRS data is stored in a shared environment, what protections are in place to maintain isolation and privacy of TRS data? |   | Data | TRS Data |
| Is personal information about TRS transmitted to or received from countries outside of the U.S.? If so, please list the countries. |   | Data | TRS Data |
| Do you use encryption for data leakage protection? |   | Data | Encryption |
| How do you encrypt data during transmission and at rest? |   | Data | Encryption |
| Does your product use HTTPS/TLS for all sensitive communications over the network? |   | Data | Encryption |
| Is your TLS certificate management a manual or automated process? |   | Data | Encryption |
| Is a formal risk assessment performed annually? |   | Governance |  Risk Management |
| Does your organization have a governance committee that reports to the board? If so, what are the governance committee's responsibilities? |   | Governance | Risk Management |
| Are employees subject to background checks? Please describe the type and level of background check. |   | Human Resources | Policies |
| Are contractors and temporary workers subject to background checks? |   | Human Resources | Policies |
| Are employees required to sign NDA or confidentiality agreements? |   | Human Resources | Policies |
| Describe password rules that are enforced for employees for critical systems (e.g. intranet, email). |   | Human Resources | Policies |
| Describe all documented procedures in place to govern change in employment or termination. |   | Human Resources | Policies |
| Describe any employee access to client data. |   | Human Resources | Employee Access |
| How are workplace devices encrypted? |   | Human Resources | Employee Access |
| If applicable, how are employees able to access our data remotely?  |   | Human Resources | Employee Access |
| Is access to data restricted across your employees on a need to know basis? |   | Human Resources | Employee Access |
| Do you use antivirus software on all work devices? |   | Human Resources | Employee Access |
| Describe the organizational structure of your security team. Provide details including roles, responsibilities, and number of team members.  |   | Human Resources | Security Team |
| Are employees required to complete any security awareness training? If so, please describe, including content and frequency. |  | Human Resources | Training  |
| Does your company have a dedicated Security Officer? If so, please describe their official training and certifications. |   | Human Resources | Security Team |
| Does your organization monitor security threats and attack trends, and how those trends may affect your Platform? |   | Incident Management |  Research |
| Do you have a Bring Your Own Device (BYOD) policy that defines the device(s) and eligibility requirements for BYOD usage? Include any personal electronic devices that are used for work purposes. |   | Mobile Security |  Device Management  |
| Do you have password policies for enterprise issued mobile devices or BYOD mobile devices? |   | Mobile Security |   Device Management |
| Do you have a documented and approved list of application stores and applications? |  | Mobile Security |  Device Management |
| Do you have a centralized mobile device management solution deployed to all mobile devices that are permitted to store, transmit, or process company data? |   | Mobile Security |  Device Management |
| Please describe security systems in place for visitors, including badges, supervision, and sign-in systems. |   | Physical Security |  Access |
| Are ingress and egress points, such as service areas and other points where unauthorized personnel may enter the premises, monitored, controlled and isolated from data storage and process? |  | Physical Security |  Access |
| Are closed-circuit cameras utilized at all entrances and exits in your offices? |   | Physical Security |  Monitoring |
| Does your organization utilize security guards and other physical protections within your office(s)? |   | Physical Security |  Monitoring |
| Describe the access authorization to areas housing sensitive information and equipment.  |   | Physical Security |  Access |
| Where are your data centers located? Provide locations for any backup and redundant data centers. |   | Physical Security | Data Centers |
| Describe physical access controls to your data centers. |   | Physical Security | Data Centers |
| Do you self-host or use third party for servers? What type of security do the third parties use, if applicable? |   | Physical Security | Data Centers |
| Does your product have configurable user roles and permissions, including Admin and General User roles? Describe how access can be restricted with these permissions. |   | Platform | User Access |
| Does your platform provide a mechanisms for TRSs to manage encryption keys? If so, please explain the process and limitations.  |   | Platform | Authentication |
| Does your Platform support single sign-on Federation and 2-Factor Authentication? If so, what protocols do you support? |   | Platform | Authentication |
| Do you have mechanisms in place for unlocking accounts that have been locked out (e.g., self-service via email, defined challenge questions, manual unlock)? |  | Platform | Authentication |
| Does the Platform store user login credentials? If yes, what hashing algorithm is used? |   | Platform | Authentication |
| Do you provide regular usage, performance, or other reports? |   | Platform | Reporting |
| Do you provide full audit logs of user behavior? |   | Platform | Reporting |
| Describe how TRS data is imported and exported from the Platform. |   | Platform | Data |
| Does your platform provide a mechanism to extract all of our data and will it be in an open/standard output for use elsewhere? |  | Platform | Data |
| Are all files uploaded by TRSs to the Platform scanned for viruses and malware? |   | Platform | Data |
| How frequently do you perform platform upgrades? Will these upgrades impact use of the applications relevant to TRS? |   | Platform | Technology |
| How much notice do you provide for any scheduled downtime? |   | Platform | Technology |
| How is TRS able to get in contact during unscheduled or extended downtime? |   | Platform | Technology |
| What is your up time to date? |   | Platform | Technology |
| Are automated penetration tests performed? If so, how often? |   | Platform | Technology |
| Do you use automated tools for security testing or code review? |   | Platform | Technology |
| Do you offer API access? If so, what form do the APIs take? |   | Platform | Technology |
| Is there an information security policy in place that has been approved by management and communicated to all employees? |   | Policies | Information Security |
| Is there a security incident management process in place? Please describe. |   | Policies | Information Security |
| How frequently are your information security policies reviewed? |   | Policies | Information Security |
| Is there a formal process for reporting and responding to privacy complaints or privacy incidents? Please describe. |   | Policies | Privacy |
| Is there any disciplinary action protocol for non-compliance with security policies? Please describe in detail. |   | Policies | Training |
| What training does your development and testing teams receive specific to application security? |   | Policies | Training |
| What third-party audits are regularly performed? |   | Security Infrastructure | Audits |
| Does your organization run intrusion detection or intrusion protection on the network? |   | Security Infrastructure | Network Security |
| Does your company use firewalls to restrict traffic into and out of your network at strategic points? |   | Security Infrastructure | Network Security |
| How often does your organization update firewall rules/policies? |   | Security Infrastructure | Network Security |
| What cyber forensic capabilities exist? |   | Security Infrastructure | Network Security |
| How are your SSL/TLS private keys protected on your web servers? |   | Security Infrastructure | Network Security |
| Does your organization outsource any operations to third parties? If yes, please describe the operations being outsourced. |   | Security Infrastructure | Third Parties |
| What access to our organizational data will third parties have? |   | Security Infrastructure | Third Parties |
| Does your business operate a VPN that allows remote access?  |  | Security Infrastructure | Identity & Access Management  |
| Do you provide to tenants user access to data, applications, infrastructure systems and network components upon request?  |  | Security Infrastructure | Identity & Access Management |
| Do you restrict, log, and monitor all access to your information security management systems (e.g., hypervisors, firewalls, vulnerability scanners, network sniffers, APIs, etc.)? |  | Security Infrastructure | Identity & Access Management |
| Are controls in place to ensure that access to application, programs or object source code is restricted to authorized personnel only?  |  | Security Infrastructure | Identity & Access Management |
| Do you support password (e.g., minimum length, age, history, complexity) and account lockout (e.g., lockout threshold, lockout duration) policy enforcement? |  | Security Infrastructure | Identity & Access Management |
| Does your product allow TRS to define the password complexity and lockout threshold?  |  | Security Infrastructure | Identity & Access Management |
| What level of technical support is included in your license agreements? What team members will be available to assist our company with technical support? |   | Support | Technical Support |
| Is there a 24x7x365 line available for clients to report security incidents? |   | Support | Technical Support |
| What methods do you use to inform TRS of vulnerabilities? |   | Vulnerabilities | Communication |
| Are applications scanned for vulnerabilities prior to release? |   | Vulnerabilities | Scanning |
| Describe or provide reference to how you monitor for and protect against common web application security vulnerabilities(e.g., Injection flaws, XSS, Broken authentication, etc) |  | Vulnerability | Scanning |
| Do you have an easily discoverable way for external parties to report security vulnerabilities?  |   | Vulnerabilities | Communication |
| Additional comments:  |  |

**For TRS Internal Use Only**

**Information Security**

Approved: [ ]  Rejected [ ]

Comments:

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Reviewed by:

\*If rejected, executive level approval is required.

**For the Executive Director/Chief Operations and Administration Officer Only**

Approved: [ ]  Rejected [ ]

Business Justification (If rejected by Information Security Department):

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Sign:

(Executive approval only)