

**VIRGINIA STATE UNIVERSITY
RISK ANALYSIS SURVEY
INFORMATION TECHNOLOGY**

ASSESSABLE UNIT: ENTER THE NAME OF YOUR ASSESSABLE UNIT HERE

BUSINESS PROCESS: ENTER YOUR BUSINESS PROCESS HERE

BANNER INDEX CODE: ENTER YOUR BANNER INDEX CODE HERE

Low Risk: If you monitor the activity and have automated tools in place to prevent, mitigate, or detect unwanted access or use.

Moderate Risk: If you periodically monitor the activity or perform the operations manually without the assistance of automated tools which would detect unwanted access or use.

High Risk: If there are no tools in place to prevent unauthorized access or use.

	Risk	Risk Category	Question(s)	Business Risk	Audit Risk
1.	Network Security	Unauthorized access to client/server	1.1 Is your client/server environment secured with password access?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.2 Are all system access passwords encrypted?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.3 Do passwords expire?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.4 Is there security software in place to detect or prevent unauthorized access to your client/server environment?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.5 Are you notified of employee terminations in a timely manner?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.6 Do you take the necessary steps to terminate network access?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		Viruses	1.7 Are all drives and files on the network scanned on a daily basis for viruses?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.8 Is your network virus software set up to perform updates at regular scheduled intervals?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		Unattended Machines	1.9 Are University personnel required to have a password screen saver or other security device enacted on unattended personal computers upon long periods of inactivity?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		Monitoring for unusual activity	1.10 Is the server being monitored for unusual activity? (i.e. Spikes in network traffic or excessive drive usage.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.11 Is there an automated process for intrusion detection?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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1.	Network Security - continued	Vendor Access	1.12 Is access given to external parties? (i.e. Vendors who provide technical support for hardware or software.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.13 Does the vendor dial-in to a modem that has a dial back feature?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.14 Are there dial-in modems connected to your local area network (LAN) that enable users to remotely dial-in from an external location and access applications or files stored on your local server?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		Firewall	1.15 Is there a firewall protecting the network environment?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.16 Is incoming traffic to the modems protected by the firewall?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.17 Is the firewall protecting network access? (This refers to incoming and outgoing traffic through the LAN.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.18 Is the firewall protecting application access? (This refers to applications residing on your LAN.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.19 Does all incoming traffic go through the firewall? (This would also include other University traffic.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.20 Does all outgoing traffic go through the firewall? (This would include traffic from the LAN to the University environment.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			1.21 Are there controls in place to prevent denial-of-service (DoS) attacks? (i.e. The attacker floods the VSU web site with many electronic message requests for service that it slows down or crashes the network or computer targeted.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
1.	Network Security - continued	Firewall - continued	1.22 Does firewall technology have security logging turned on?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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	Web Server	1.23 Does the assessable unit have an active web server?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		1.24 Does the web server allow access to other servers?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
	Key person Dependency for the Network Environment	1.25 Is there a designated individual ensuring that the LAN remains functional?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		1.26 Is there a backup person to perform LAN administrative functions?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		1.27 Are there documented security policies and procedures?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		1.28 Is there a designated individual that has been assigned the role of Security Officer to ensure a secured IT environment?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		1.29 Does the Security Officer have a designated backup?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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2.	Application Security	Unauthorized access to Application	2.1 Is the function of assigning access to application software performed by one individual?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.2 Does one individual perform the function of assigning access to assessable unit –specific software?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.3 Do all applications residing on the network require a password to gain access?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.4 Are application passwords in clear text for viewing by the security administrator?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.5 Do application passwords expire?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.6 Are there policies and procedures to indicate who shall have access and the type of access allowed? (i.e. Inquiry, Add, Edit, Delete)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.7 Are there any passwords that are shared among users?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.8 Do the faculty and staff fully understand their responsibility for computer security?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		Sensitive Data	2.9 Does anyone in this assessable unit have access to information that is considered sensitive or confidential?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.10 Are there application parameters or safeguards to limit the areas that can be viewed, changed, or added by the user?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.11 Do web-enabled transactions that require user authentication, transfer sensitive data, or transfer funds use encryption, such as SSLv3?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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2.	Application Security - continued	Data Integrity	2.12 Is sensitive data stored in a secure environment? (i.e. Electronic limitations on viewing, reporting, or physically accessing information.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			2.13 Have any new applications been added, or have there been major modifications to existing applications within the last 2 years?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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3.	Ensure Availability of Data	Backups	3.1 Are backups performed on a reoccurring schedule at least nightly or when critical information changes?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
3.2 Is the task of performing backups assigned to one person as part of their regular job responsibility?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
3.3 Has the backup media ever been actually used or tested to recover data?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
3.4 Do your backups include Application programs?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
3.5 Do your backups include the Operating system?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
3.6 Do your backups include all Transaction files?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
3.7 Are the backups stored in a secure off-site location?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
3.8 Is the server connected to an uninterrupted power supply (UPS)?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	

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4.	Physical Security	Equipment Location	4.1 Is the location where the server equipment resides secured? (i.e. Locked room with access to only IT personnel.)?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
4.2 Is the client/server equipment accessible only to system personnel?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
4.3 Has physical security been reviewed with the DPPS and Facilities Management?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
4.4 Are desktops and notebooks equipped with anti-theft devices?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
4.5 Are servers located in environmentally controlled areas which contain: Smoke detectors? Water detectors? Fire suppression systems? Temperature sensors?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
4.6 Are surge protectors (at least) used on desktop computers?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
4.7 Are individual firewalls installed on any desktops , notebooks or servers in the department?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
4.8 Is there an accurate inventory of all computing equipment and software? If so, is a copy of the inventory stored off-site?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	

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5.	Internal Control Environment	Policies and Procedures	5.1 Are there documented policies and procedures governing desktop computer use?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
5.2 Has the policies and procedures been communicated to all employees?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.3 Is sensitive data removed from hardware, software and media prior to reuse or disposal according to the Data Removal from State Electronic Equipment Standard (SEC2003-02.1 issued by the VITA)?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.4 Have the faculty who are conducting research determined if the data they are collecting should be classified as sensitive?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.5 Do the faculty and staff who administer sensitive data understand and follow appropriate federal, state, grant agency, or university regulations for protecting and backing up data?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.6 Are student workers given access to confidential teaching, research or administrative data? If so, is their use of such data monitored closely?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.7 Are user agreements clearly stating required authentication and protection levels established with all external agencies and institutions with which data are shared?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.8 Is the unencrypted transmission of sensitive data or memos through e-mail discouraged?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.9 Are particularly sensitive systems and infrastructures formally identified on a periodic basis?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	
5.10 Do you have a written process for handling known suspected breaches to security safeguards (e.g. intrusion detection)?			<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	

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5.	Internal Control Environment - continued	Policies and Procedures - continued	5.11 Documented evidence is available to measure staff efforts in keeping aware of emerging technology issues through training and continuing education programs.	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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	Risk	Risk Category	Question(s)	Business Risk	Audit Risk
6.	Ability to Continue Operations	Disaster Recovery Plan	6.1 Has a disaster recovery plan been developed to ensure continued services in the case of system (hardware or software) inoperability?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			6.2 Are regular updates of the disaster recovery plan performed?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			6.3 Has the disaster recovery plan been tested at least annually?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		Business Continuity Plan	6.4 Has a business continuity plan been developed? (i.e. Ensures that safeguards are in place if the University is to experience a natural, accidental, or intentional disaster.)	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			6.5 Are regular updates of the business continuity plan performed?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			6.6 Has the business continuity plan been tested?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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7.	Applications	Availability/Useful Life	7.1 Do you have any critical applications that will be unsupported in the next 5 years?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			7.2 Do you have a policy for tracking software licenses?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
			7.3 Do you have a policy for tracking software maintenance?	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High
		Complexity of Systems	7.4 What is the activity's degree of difficulty in implementing and maintaining hardware, software, and telecommunications systems? The following should be considered: <ul style="list-style-type: none"> • Relative size of environment • Diversity of applications • State of the art technology utilization • Number and nature of interfaces / interconnections; and • Quality, knowledge, skills, and disciplines of staff 	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High	<input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High

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Mission Impact Analysis Questions (#9 – #17)

9. What is your department's mission?
Enter response here.

10. What are the key functions your department performs to implement your mission?
Enter response here.

11. What IT personnel are critical to the performance of those key functions listed in #10 above? Please list the job roles and the incumbents' names and prioritize them based on their criticality to the functions identified above. Be sure to include individual, departmental, central VSU and external (e.g. vendor) personnel as appropriate. Also, include the names of the backup personnel for these key functions.

Examples:

- Server administrators
- Database administrators
- Helpdesk administrators
- Information security officers
- Network administrators

Enter response here.

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12. What IT hardware infrastructure and assets are critical to the performance of those key functions listed in #10 above? Please list these assets and prioritize them based on their criticality to the functions identified above. Be sure to include individual, departmental, central VSU and external (e.g., vendor) assets as appropriate, and list a system administrator, model number and operating system, where applicable, for each asset.

Examples:

- Servers (including those hosted by others)
- Desktops/laptops/PDAs that host critical or protected data

Enter response here.

13. What IT software and data assets are critical to the performance of those key functions listed in #10 above? Please list these assets and prioritize them based on their criticality to the functions identified above. Be sure to include individual, departmental, central VSU and external (e.g., vendor, federal and state data swapping) assets as appropriate.

Examples:

- Academic:* instructional resources, student data, grant data, databases necessary to maintain a given research program
- Administrative:* protected student or financial data necessary for business operations and student services
- Health-related:* protected clinical patient data and research
- External data provider

Enter response here.

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14. Has there been any loss, unavailability, corruption or inappropriate disclosure of critical IT assets or data within the last 2 years? If so, how effective was the response?

Enter response here.

15. What relevant personnel turnover, additions or subtractions, or role changes have occurred in the last 2 years?

Enter response here.

16. What interim risk mitigation measures have been put in place for new systems?

Enter response here.

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17. a) How is IT performance measured and what are the key performance indicators?
Enter response here.
- b) Are performance reports periodically prepared to Executive management and/or those charged with University governance?
Enter response here.
- c) For any of the IT services outsourced, does the Service organization obtain an independent assessment on the quality of services, control procedures, or other relevant information to assess performance and are such assessments reviewed by University management?
Enter response here.

18. Other Factors to Consider

Please provide additional management concerns or information deemed relevant to the risk of the assessable unit.

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The information provided is true and objective to the best of my knowledge and ability.

Completed by: **Name of who completed the survey** Date **mm/dd/year**

Reviewer 1 (if applicable): **Name of reviewer #1** Date **mm/dd/year**

Reviewer 2 (if applicable): **Name of reviewer #2** Date **mm/dd/year**

Cabinet Member Approval: **Name of Cabinet Member** Date: **mm/dd/year**