Triage Form

To submit the responses, click on the "Submit Triage" button. This button will get visible only when all the fields are populated with data and the record is updated in the database.

Note: If there is \*\* = Mandatory – must be populated before submit

If there is no \*\* = Mandatory – preloaded with saved data

General (GNRL)

1. University Department: Linguistics
2. University Department Primary Campus (if applicable): UCLA
3. University Department Code: 0650
4. University Department Contact Name: Melissa Jamero
5. University Department Contact Email: melissa@humnet.ucla.edu
6. University Department Contact Phone Number (555-555-5555): 310-206-5451
7. Third-Party Name: Shiny Apps
8. Product/Service Name: Standard Account, monthly
9. Type of Product/Service (primary):
   1. E.g., CRM, LMS, SaaS, IaaS, PaaS, IDaaS, etc.
10. Product Description (Brief summary of University’s Department/Unit Use): server for hosting Shiny App that is used for visualization of skill based grading in linguistic courses
11. Descriptive Tags (optional):
    1. server
12. Web Link to Product/Service provider:
    1. <https://www.shinyapps.io/>
13. Third-Party Contact Name:
14. Third-Party Contact Title:
15. Third-Party Contact Email:
16. Third-Party Contact Phone Number (555-555-5555):
17. Third-Party Employee Count **(select the best option)**
    1. –None—
    2. <= 10 Employees
    3. 10-50 Employees
    4. > 50 Employees
18. Will the Third Party provide consulting services? (select the best option) (Y/N)

Procurement Information (PROC)

Before filling out the UCLA Triage Form, the Requester (University department or individual) should contact the University's procurement professionals to obtain guidance and to verify whether any existing contracts may be in place.

1. Have you consulted with the University’s procurement professionals regarding this request for assessment? **(Y/N) Yes.**
2. Is there an existing contract with the third party in question? **(Y/N) No**
3. Please indicate the scope of the contract (e.g., department-wide, schools, University-wide, etc.): Department
4. Who is the contract manager? (e.g., name, email): (I suppose Megha would be?)

University’s Technology Information (INIT)

Before filling out the UCLA Triage Form, the Requester (University's department or individual) should contact their Department/Unit IT resources to consult on appropriate strategy and to verify sufficient resources are available (as necessary).

1. Have you consulted with your Department/Unit IT resources regarding this request for assessment? **(Y/N). Yes**
2. Department/Unit IT Contact Name: Genevieve Johnson
3. Department/Unit IT Contact Email: gjohnson@humnet.ucla.edu
4. In order for this third-party software/service, department application, or integration with enterprise system to be successfully implemented, what support will be required from your Department/Unit IT?
   1. technical support, system monitoring, primary IT contact methods, communication methods (to users)
   2. none

Use Case Information (USCA)

This section covers pertinent information sharing activities, defined as housing University data, utilizing the third-party software/service, and/or requesting integration with a University enterprise system(s). Thorough responses are encouraged to provide an accurate understanding of evaluation requirements. For definitions of terms, UCLA support contacts, or additional reference material, please refer to the Guidance column or the Overview tab.

1. Provide a general summary of your department and the business area that will be involved.
   1. Pertinent information sharing activities are defined as housing University data, utilizing the third-party software/service, and/or requesting integration with a University enterprise system(s). Ensure that sufficient details are provided so that security assessors can understand the educational mission of your department and the business area(s) in which it operates. For example, describe your department or business area’s role in the University, how you achieve that role, what your team looks like, etc.
   2. **ANSWER: de-identified quiz grades**
2. Define and describe the primary need(s) for your department or business area to engage with the third-party (e.g., business related, technical, research, etc.).
   1. Describe why the use of this product and/or service is necessary to support your project and/or business function. What are the implications if you cannot engage in these activities?
   2. **ANSWER: we want to show undergrads their progress in class performance based on quiz grades, which is not possible to be implemented in myucla or Bruinlearn. If we cannot use this application, they will not be able to monitor their grades on a weekly basis.**
3. Describe the solution and or service being procured. Include any use cases contemplated under the agreement.
   1. Describe how the product and/or service will be used and include any University data involved in the solution/service. What information does the product and/or service need to access? How will this be used to achieve the desired task(s)? What is the estimated timeline for the task(s)? Please provide a detailed outline of the imagined case(s) in which the product and/or services will be used.
   2. **ANSWER: it will be used by the students to monitor their grades. The product require students’ deidentified quiz scores. I’ve written a program that uses this server to enable students to monitor grades. We will use it for 5 years.**

**Example: students will go to a provided link and use the program to check their grades**

1. How will the product and/or service receive University data, how will it store University data, and what is the intended purpose for University data? Please provide details of how data will flow between the third party and the University.
   1. If applicable, elements of the processes pertaining to sensitive data should be documented in more detail. Sensitive data is defined in the glossary section of the Overview tab.
   2. **ANSWER: it does not store or receive university data; no sensitive data.**
2. If this request is related to a University project, select the appropriate project type and provide additional information as indicated in the Guidance form.
   1. University project is defined in the glossary section of the Overview tab. Using the drop down, **please choose one of the options provided.** If Other is selected in the drop down, please list the project type in column E.
      1. –None—
      2. Project – Research
      3. Project – Quality Assurance
      4. Project – Grant Application
      5. Clinical Process
      6. Other
      7. **N/A**

Third Party Risk Management Information (TPRM)

1. What type of University data will be transmitted, shared, processed, handled or possessed to/from the third party as part of this relationship? **Select all that apply.**
   1. Please select all of the applicable data elements that the third party will access, produce, alter and/or store, regardless of any additional controls (e.g., encryption) being applied to the data. If one of the “Other” categories are selected, please provide information in the comments section. For the definition of University data and guidance on classifications of UC Protection levels, PII, and Personal Data, please see the Overview tab.
      1. **–None—**
      2. Animal research protocols
      3. Attorney-Client Privileged Information
      4. Building entry records from automated key card systems
      5. Building plans and information about the University physical plant
      6. Calendar information that does not contain P3 or P4 information
      7. Certain types of federal data (Pre-CUI)
      8. Course Catalogs
      9. De-identified patient information (with negligible re-identification risk)
      10. Debit/Credit or other card information
      11. Email addresses
      12. Exams (questions and answers)
      13. Export Controlled Research (ITAR, EAR)
      14. Financial Information (e.g., transaction data, account information, balances)
      15. House of Operation
      16. Individually identifiable genetic information (human subject identifiable)
      17. Information with contractual requirements for P4-level protection
      18. IT security information, exception requests and System security plans
      19. Meeting notes that do not contain P3 or P4 information
      20. Names
      21. No Data Sharing
      22. Other P3
      23. Other P4
      24. P1/P2 Not Listed
      25. Parking Regulations
      26. Passwords, PINs and passphrases or other authentication secrets that can be used to access P2 to P4
      27. Patent applications and work papers, drafts of research papers
      28. Personal Information (California Code) and/or Personally Identifiable Information (PII), when contai…
      29. Personally Identifiable Information (PII) and Personal Data as defined in GDPR contained in large se…
      30. Press Releases
      31. Private encryption keys
      32. Protected Health Information (PHI)/patient records
      33. Public Event Calendars
      34. Public Facing Websites intended for unrestricted access
      35. Published Research
      36. Research Information classified as Protection Level 3 (P3) by an Institutional Review Board
      37. Research information classified as Protection Level 4 (P4) by an IRB or otherwise required to be sto…
      38. Research using publicly available data
      39. Routine business records and email that does not contain P3 or P4 information
      40. Security camera recordings, body worn video system recordings, and cameras recording cash handling o…
      41. Sensitive Identifiable Human Subject Research data
      42. Student education records
      43. Student special services records
      44. UC directory (faculty, staff and students who have not requested a FERPA block)
      45. UC personnel records
      46. Unpublished research work and intellectual property not classified as P3 or P4
      47. Video recordings
2. What type of physical and/or logical access to data/premises/systems/networks owned by UCLA will the third party require as part of this relationship?
   1. Physical access includes access to UCLA premises. Logical access includes access to UCLA networks/systems/applications over their internet. **Please select the applicable level of access required by the third party while delivering products/services within this relationship.**
      1. **–None—**
      2. Code execution on university systems
      3. No access is required
      4. Onsite access to data
      5. Privilege access to data and/or systems
      6. Remote access with dedicated line/lease line/VPN
      7. Remote access without dedicated line/lease line/VPN
3. How many individual records of University data will be transmitted, shared or stored at any given time by the third party of this relationship?
   1. A record is a collection of University information, including confidential data, PHI, PII, etc. Please see the Classification of Information and IT Resources section of the Overview tab for help.
      1. **–None—**
      2. < 500 Records
      3. 500-300 Records
      4. 3000+ Records
4. Where will the requested software/service be hosted?
   1. –None—
   2. University Secured Facility
   3. **Third-Party Cloud**
   4. Third-Party Data Center
   5. Other or Not Applicable
5. Where will the shared University data be stored?
   1. **–None—**
   2. University Secured Facility
   3. Third-Party Hosted Service (e.g., AWS, Azure, Google Cloud Platform, OneDrive, Dropbox, Box, Google…)
   4. Third-Party Data Center
   5. Other or Not Applicable
6. Will the proposed third party develop or provide critical applications or software for UCLA?
   1. Examples of critical applications or software can include network management, cyber security software (e.g., anti-virus), institution IT, infrastructure, accounting software etc.
      1. –None—
      2. Yes
      3. **No**
      4. N/A
7. Will the product/service provided by the third party be subject to Americans with Disabilities Act (ADA) and/or other accessibility considerations? (Y/**N**)
   1. For guidance on ADA and accessibility considerations at UCLA, please reach out to the UCLA Accessibility contact or review the ADA and Accessibility Policies documentation provided on the Overview tab. Note: These forms are not for middleware/hardware requirements.
8. Will there be a significant impact or disruption to operations of the University’s entities if the third party fails to deliver products/services due to any outages or disruptions?
   1. "Third-party service outages and /or service disruptions can lead to scenarios where UCLA is unable or restricted in its ability to deliver, perform, and/or recover the required product(s)/service(s), due to dependencies the University's business processes will have on the third party's product/service. Please select ““Yes”” for this question if UCLA's operations will be significantly impacted in case of an outage or service disruption. For guidance answering this question, please find the IT Security contact on the Overview tab."
      1. –None—
      2. Yes – impact/disruption to one (1) university entity
      3. Yes – impact/disruption to multiple university entities
      4. **No**

Data Use Information (DAUS)

This section is focused on how University data will be used within and will flow through the requested system (between end-users, the software/service, and any third-party service [if applicable]).

1. What population does the University data represent?
   1. **–None—**
   2. Affiliates
   3. Faculty
   4. Other
   5. Patients
   6. Public
   7. Research Subjects
   8. Staff
   9. Students
2. Who is providing the University data that will be used?
   1. **–None—**
   2. Affiliates
   3. Faculty
   4. Other
   5. Public
   6. Research
   7. Staff
   8. Students
   9. Third Parties
3. What population(s) will be consuming this data?
   1. –None—
   2. Affiliates
   3. Faculty
   4. Other
   5. Public
   6. Research
   7. Staff
   8. **Students**
   9. Third Parties