

What is your Research Environment?

- Private Network:** You plan to use HRS Restricted data on computer(s), workstation(s), and/or server(s) linked to a private network that **is not connected** to the outside world. *[Go to page 3]*

Note: This is a recommended solution; restricted data plans using this approach have a high likelihood of immediate approval.

- Standalone Workstation:** You plan to use HRS Restricted data on a computer/workstation that **is not connected** to the outside world. *[Go to page 5]*

Note: This is a recommended solution; restricted data plans using this approach have a high likelihood of immediate approval.

- Networked Workstation OR Workstation-Server:** You plan to use HRS Restricted data on a computer/workstation that **is connected** to the outside world, and all the processing/analysis will take place on the local workstation or on a local server. *[Go to page 7]*

Note: This is not a recommended solution; restricted data plans using this approach will require special technical and procedural evaluation which may delay approval.

Work site requirement: We require that the work environment of HRS Restricted Data users be an office or work space owned by the signing institution that is private, unshared, lockable and secure.

Restricted Data Investigator Name	Title	Institution
IT Department Contact Name	Title	Telephone
IT Contact Signature	Date	

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Private Network (Recommended Solution)

Workstation	Operating system:	
	<input type="checkbox"/>	Windows 7 Professional/Enterprise/Ultimate
	<input type="checkbox"/>	Windows XP Professional (Service Pack 3)
	<input type="checkbox"/>	Macintosh OS X (10.4 and above)
	<input type="checkbox"/>	Unix family (specify)_____
	<input type="checkbox"/>	Other (specify)_____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is workstation login access limited to person(s) specified in the <i>Restricted Data Agreement</i> and/or <i>Supplemental Agreement</i> ?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	If workstations (or other network devices such as printers) have wireless capabilities are these disabled?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is physical protection provided for workstation hardware (e.g., BIOS password, locked CPU box)?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is anti-virus software installed on network devices used for file transfers? Describe: _____ _____
Network	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is access to HRS restricted data resources on the network limited to the person(s) specified in the <i>Restricted Data Agreement</i> and/or <i>Supplemental Agreement</i> ?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is network isolated (no physical connection of any kind, wired or wireless, to any network device) from all forms of external access?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is physical security (locked rooms, locked cabinets and/or storage closets) provided for all network components?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are procedures in place to allow secure updating of operating system and applications software for server(s) and workstations? Describe: _____ _____
Restricted Data Files	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is strong encryption (e.g., Bitlocker, Windows Encrypting File System, PGP) installed and in use on workstations and server(s)? Describe: _____ _____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are restricted data files kept in encrypted form when not in use?
Backup media	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are restricted data files encrypted before backup or transfer to off-line storage?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are backup media containing restricted data files clearly labeled as such and kept in a secure storage area?
Printed Output	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are procedures in use to minimize the printing of restricted data elements?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	If a local printer is used for printed output is it located in the same locked office as the workstation?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are private network printers located in a secure area accessible only to authorized users?
Work Environment	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are workstation monitors positioned to prevent unauthorized viewing?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is physical security (locked office) provided for the workstation area(s)?
	<input type="checkbox"/> Yes* <input type="checkbox"/> No	Will laptops be used for workstations? If yes, provide justification (this is discouraged).

Standalone Workstation (Recommended Solution)

Workstation	Operating system:	
	<input type="checkbox"/>	Windows 7 Professional/Enterprise/Ultimate
	<input type="checkbox"/>	Windows XP Professional (Service Pack 3)
	<input type="checkbox"/>	Macintosh OS X (10.4 and above)
	<input type="checkbox"/>	Unix family (specify)_____
	<input type="checkbox"/>	Other (specify)_____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is workstation login access limited to person(s) specified in the <i>Restricted Data Agreement</i> and/or <i>Supplemental Agreement</i> ?
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are all external network connections to the workstation (wired and wireless) disabled?	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is a procedure in place to allow secure updating of operating system and applications software? Describe: _____ _____	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	If the workstation has wireless capabilities are these disabled?	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is physical protection provided for workstation hardware (e.g., BIOS password, locked CPU box)?	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is anti-virus software installed on the workstation? Describe: _____ _____	
Restricted Data Files	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is strong encryption (e.g., Bitlocker, Windows Encrypting File System, PGP) installed and in use on workstations and server(s)? Describe: _____ _____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are restricted data files kept in encrypted form when not in use?
Backup media	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are restricted data files encrypted before backup or transfer to off-line storage?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are backup media containing restricted data files clearly labeled as such and kept in a secure storage area?
Printed Output	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are procedures in use to minimize the printing of restricted data elements?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	If a local printer is used for printed output is it located in the same locked office as the standalone workstation?
Work Environment	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is the workstation stored in locked office accessible only to the persons specified in the <i>Restricted Data Agreement</i> and/or <i>Supplemental Agreement</i> ?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is the workstation monitor positioned to prevent unauthorized viewing?
	<input type="checkbox"/> Yes* <input type="checkbox"/> No	Will a laptop be used as the workstation? If yes, provide research justification (this is strongly discouraged).

Networked Workstation OR Workstation/Client-Server (Not Recommended)

Workstation	Operating system:	
	<input type="checkbox"/>	Windows 7 Professional/Enterprise/Ultimate
	<input type="checkbox"/>	Windows XP Professional (Service Pack 3)
	<input type="checkbox"/>	Macintosh OS X (10.4 and above)
	<input type="checkbox"/>	Unix family (specify)_____
	<input type="checkbox"/>	Other (specify)_____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is workstation login access limited to person(s) specified in the <i>Restricted Data Agreement</i> and/or <i>Supplemental Agreement</i> ?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are all forms of Internet access (e.g. ftp, telnet, http, irc, Instant Messenger, peer-to-peer communications) to network devices on the research subnet disabled?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is access from the network to local workstation resources (e.g. shared folders) disallowed?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is RDP or dial-in access to the network via a remote access server or workstation modem disabled?
<input type="checkbox"/> Yes <input type="checkbox"/> No*	If workstations (or other network devices) have wireless capabilities are these disabled?	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is physical protection provided for workstation hardware (e.g., BIOS password, locked CPU box)?	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are Web browsers configured to minimize security risks (example: current version of Firefox with Adblock Plus, NoScript and BetterPrivacy add-ons installed)? Describe:_____	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are social network applications such as Facebook, Twitter, MySpace, LinkedIn disallowed?	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is anti-virus and anti-spyware software installed and maintained on the workstation and network servers? Describe:_____	
<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is a procedure in place to allow secure updating of operating system and applications software for network devices? Describe: _____	
Restricted Data Files	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is strong encryption (e.g., Bitlocker, Windows Encrypting File System, PGP) installed and in use on workstations and server(s)? Describe:_____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are restricted data files kept in encrypted form when not in use?
Network	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are "best practice" system management procedures in place to control user and group access to network resources and maintain workstation and network security?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are procedures in place for automatic updates to network server operating systems, client operating systems, and client application software?

	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are secure shell (SSH) or virtual private network (VPN) procedures in place to encrypt communications between workstation and server(s)?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are intrusion detection/prevention systems installed and maintained for the server(s) and workstation(s) attached to this network segment? Describe: _____ _____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is firewall protection provided for the network segment(s) where restricted data client and server(s) are located? Describe: _____ _____
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is network access to HRS restricted data products limited to person(s) specified in the <i>Restricted Data Agreement</i> and/or <i>Supplemental Agreement</i> ?
Backup media (workstation and server)	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are restricted data files encrypted before backup or transfer to off-line storage?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are backup media containing restricted data files clearly labeled as such and kept in a secure storage area?
Printed Output	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Are procedures in use to minimize the printing of restricted data elements?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	If a local printer will be used for printed output, is it located in the same locked office as the workstation?
	<input type="checkbox"/> Yes <input type="checkbox"/> No	Will printouts be sent to network printers? If yes, describe how security of printout content will be maintained: _____ _____ _____
Work Environment	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is the workstation stored in a locked office accessible only to the persons specified in the <i>Restricted Data Agreement</i> and/or <i>Supplemental Agreement</i> ?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Is the workstation monitor positioned to prevent unauthorized viewing?
	<input type="checkbox"/> Yes <input type="checkbox"/> No*	Have restricted data users received instruction on avoidance and mitigation of workstation security risks? Describe: _____ _____
	<input type="checkbox"/> Yes* <input type="checkbox"/> No	Will laptops be used for workstations? If yes, provide research justification (this is strongly discouraged).

