Vendor risk assessment

University schools, departments and business units sometimes contract for data services with outside parties or service providers; of concern are those circumstances where service providers process or hold University data. While Duke University has taken steps to help ensure that its data is protected, service providers must also exercise appropriate controls to minimize the risk of exposing the data to potential unauthorized access and loss. (Note: Duke Health requires a separate review process. Please contact security@duke.edu for more information.)

Duke provides a Service Provider Security Assessment to:

- Establish communications and promote constructive dialogue between Duke and the potential service provider
- Help identify business, technical, security, compliance, legal, and other control factors
- Determine the level of risk inherent to the processing of data beyond the University’s physical controls

The security assessment document is required in all instances where:

- University data is shared with a service provider
- A service provider captures data for subsequent use by the University

Performing an assessment

The school, department, or business unit provides the service provider with the links to the instructions for completing the security assessment (this page) and to the security assessment document. Service providers are encouraged to respond fully to the questions, and return the completed assessment and any supporting materials to the Duke University IT Security Office for review and scoring. The results of the review are provided to the requesting school or business unit, the Office of General Counsel, and Procurement Services. Please note this process can take up to two weeks.

Protected data

Where the University’s “Sensitive” and/or “Restricted” data is held or processed by a service provider, there is a potentially higher risk where unauthorized access or loss occurs, so additional weight is appropriately applied to those circumstances.
Forms

There are two forms that all vendors must complete as part of the risk assessment process. The first form is the Security Assessment form.

- If a vendor has a SOC 2 Type 2 report [3] (performed within 2 years of your submission) for their company, download and complete Service Provider Security Assessment Short [4]. You must provide a copy of your SOC 2 Type 2 report with your submission.
  
  Please note that the SOC 2 Type 2 report for a cloud service provider hosting your software, does not meet this requirement. If you submit an Amazon AWS or Microsoft Azure SOC 2 Type 2 and the short assessment form you will be asked to resubmit the long assessment form before your software will be reviewed.

- If you are not able to provide a SOC 2 Type 2 report with your submission, you must complete the Service Provider Security Assessment Long [5].

The second form evaluates the ability to securely integrate your service using Duke’s Shibboleth environment for single sign-on and identifies attribute requirements that will help inform the overall security assessment.

- All Vendors are expected to complete the Shibboleth Integration Form [6] and submit as part of your response.

Instructions to the vendor

Please answer all questions fully.

- The Customer as described in this document is Duke University.
- The Service Provider as described in this document is the vendor or outside party that will receive University data or capture data for subsequent use by the University.

Use Response fields to indicate:

- Yes: The Service Provider has established and can provide evidence of the control(s) described in the query
- Partially: The Service Provider has not fully established the level of controls described in the query
- No: The Service Provider has not established the level of control(s) described in the query
- N/A: Not Applicable, the control described in the query is not applicable to the Service Provider or its process

Use Comments/Description fields to answer questions and provide details or explanations of conditions.
• Where the Service Provider's Response is **Partially**, this field should be used to provide a description as to the degree or level the control has been implemented.
• Where the Service Provider's Response is **N/A (Not Applicable)**, this field should be used to provide a reason why the query does not apply.
• Review the Request For Documentation listing and assemble the documents requested.
• Return the completed Security Assessment and requested documentation to Duke University ITSO for processing.

**Use of 3rd Party Cloud Providers by Service Provider**

If the Service Provider uses a 3rd party such as Amazon Web Services, the Service Provider will need to work with the 3rd party to answer questions that are specific about how and where Duke University’s data is accessed and/or stored. Answers of N/A are not appropriate for questions affected by such a hosting arrangement.

**Please note:** Duke University will review carefully the responses you provide. The University’s decision regarding which providers to select is based, in part, on the information included in your response.

Accordingly, should our discussions proceed to the point of contract negotiation, Duke University will expect you to (i) warrant that the services you provide will be in substantial conformity with the information provided in the response to the Service Provider Security Assessment form; (ii) inform Duke promptly of any material variation in operations from that reflected in your response; and (iii) agree that any material deficiency in operations from those as described in your response will be deemed a material breach.

**Source URL:** https://security.duke.edu/vendor-risk-assessment

**Links**
[1] https://security.duke.edu/vendor-risk-assessment
[2] mailto:security@duke.edu