



**UNM**

*Information Technologies*

Information Security Assessments  
Service Level Agreement (SLA)  
By  
Information Technologies (UNM IT)  
For  
University of New Mexico (Customer)

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1.9	7-9-2015	R. Cooper	Edits per Agreements team
2.0	02/04/2016	Susan Elliot	Move Security Assessment SLA from old to new template

**Related/Referenced Documents:**



## Table of Contents

<b>1</b>	<b>General Overview .....</b>	<b>3</b>
<b>2</b>	<b>Service Description .....</b>	<b>3</b>
2.1	Service Scope.....	3
2.1.1	End-User Requirements to Use the Service.....	4
2.1.2	Boundaries of Service Features and Functions.....	4
2.2	Service Level Performance.....	4
2.2.1	General Service Levels.....	4
2.2.2	Specific Service Levels.....	4
<b>3</b>	<b>Roles and Responsibilities .....</b>	<b>4</b>
3.1	UNM IT Responsibilities in Support of the Service.....	4
3.2	Customer Responsibilities in Support of the Service.....	5
<b>4</b>	<b>Hours of Coverage and Escalation.....</b>	<b>5</b>
4.1	Hours of Coverage.....	5
4.2	Service Exceptions to Coverage.....	5
4.3	Escalation.....	5
<b>5</b>	<b>Service Requests.....</b>	<b>6</b>
5.1	Service Request Submission .....	6
5.2	Service Request Response .....	6
<b>6</b>	<b>Incidents.....</b>	<b>6</b>
6.1	Incident Report.....	6
6.2	Incident Response.....	6
6.3	Prioritization.....	6
<b>7</b>	<b>Maintenance and Service Changes.....</b>	<b>7</b>
<b>8</b>	<b>Pricing and Billing .....</b>	<b>7</b>
<b>9</b>	<b>Reviewing and Reporting .....</b>	<b>7</b>
9.1	System Performance and Availability Reporting .....	7
9.2	SLA Reviews.....	7
<b>10</b>	<b>Approvals.....</b>	<b>7</b>

## 1 General Overview

This is an SLA between the Customer and UNM IT to document the provision of:

- The Security Assessments;
- The general levels of response, availability, and maintenance associated with these services;
- The responsibilities of UNM IT as a provider of these services;
- The responsibilities of the End-Users and Customers receiving these services;
- The financial arrangements associated with the service.

This SLA shall be effective as of the Effective Date set forth on the cover page and will continue until revised or terminated.

## 2 Service Description

UNM IT documents services and associated fees in the UNM IT service catalog, <http://it.unm.edu/servicecatalog>.

### 2.1 Service Scope

As part of the UNM Information Security and Privacy Program, information security professionals will assess vulnerabilities in business and academic computing environments using industry standard approaches to test and analyze the security posture of the information and computing assets in those environments. UNM IT will document and provide a prioritized list of vulnerabilities based on their potential impact to the business or academic unit.

Any vulnerability assessment in which it is reasonable to presume that an unauthorized disclosure of Personally Identifiable or Sensitive and Protected Information (PII/ SPI) will immediately be converted to an information security incident, as described in our Information Security Incident Response MOU.

UNM information security professionals will provide information security vulnerability assessment services as described below to customers identified in section 2.1.2 and as prescribed in UNM Regents policy 7.3.

IT Security Assessment features include:

- Vulnerability Scan
  - UNM IT will scan customer devices to identify known vulnerabilities in programs and applications running on servers, workstations, or other network-connected devices;
- Penetration Testing
  - UNM IT will use industry-standard tools and techniques to attempt to exploit vulnerabilities identified through this assessment;
- Security Review
  - Technical Safeguards;
  - Administrative Safeguards;
  - Physical Safeguards;
- Security Evaluation
  - A security evaluation will contain recommendations to mitigate risks and formally transfer ownership of that risk to management. This will include a comprehensive review of administrative, physical and technical safeguards.

In addition, UNM IT provides infrastructure, staff, and processes, including:



- Friendly, courteous and efficient service;
- Support services via UNM IT Service Desk;
- Prompt referral of any inquiries/complaints to the appropriate responsible team;
- Web access to include service catalog, billing portal, self-service portal;
- And a continuous effort to develop and improve services for all service users.

#### 2.1.1 End-User Requirements to Use the Service

- Comply with directions from UNM Information security professionals on procedures and guidelines to help facilitate discovery.

#### 2.1.2 Boundaries of Service Features and Functions

- Request for services will pertain to the area of responsibility:
  - UNM Dean, Director, Chair of a department may request assessments for their department, services, and systems for which they are responsible;
  - UNM Departmental IT staff may request assessments, with the permission of their management, for systems they manage and / or maintain;
  - UNM employees, with the permission of their management, may request assessments for their UNM-assigned workstation or assigned devices;
- UNM IT, in consultation with other UNM investigative bodies, will evaluate compliance with the following regulatory, contractual, or policy requirements:
  - Family Education Rights and Privacy Act (FERPA);
  - Health Insurance Portability and Accountability Act (HIPAA);
  - Gramm Leach Bliley Act aka Financial Services Modernization Act (GLBA);
  - Payment Card Industry (PCI);
  - Any other regulatory or contractual areas may be included in the Statement of Work for an additional fee.
- Unknown and zero-day vulnerabilities generally cannot be identified by the security assessments provided;
- For no-cost annual managed workstation assessments, UNM IT will provide a vulnerability scan once per annum upon request

## 2.2 Service Level Performance

### 2.2.1 General Service Levels

- Information Security will assign appropriately trained IT staff to perform the work described in Scope of Work.
- Other service levels will be negotiated in writing in a formal Statement of Work prior to work beginning.

### 2.2.2 Specific Service Levels

- This section left blank

## 3 Roles and Responsibilities

### 3.1 UNM IT Responsibilities in Support of the Service

UNM IT responsibilities and/or requirements in support of this SLA include:

- Document services provided in UNM IT service catalog;

- Work to meet the deliverables and time lines negotiated in the written SoWs;
- Communicate any changes in priority that must occur due to Information Security and Privacy Incident response;
- Communicate any additional costs that are discovered in the engagement for a SoW;
- Obtain financial approval from the Department before engaging in additional work;
- Meet response times associated with the priority assigned to incidents and Service Requests;
- Comply with state and federal laws, as well as with UNM policies, to escalate to appropriate authority once a crime, breach, or security incident is reported or evidence of same is present.

### 3.2 Customer Responsibilities in Support of the Service

Customer responsibilities and/or requirements in support of this SLA include:

- Ensure devices are connected as necessary to provide this service;
- Provide onsite or on-call (primary and secondary) resource for the duration of the Assessment efforts;
- Provide billing index prior to any in-depth analysis, Statement of Work and/or involvement of a 3<sup>rd</sup> party;
- In order to define the scope of the assessment, customer could be asked for the following by UNM IT:
  - IP range, hostnames and gateway address;
  - System configuration details (applications, operating systems, hardware, etc.);
  - Documentation (network diagrams, policies, procedures, etc.);
  - Data Owner/ Steward responsible for information;
  - Privileged credentials that may be required.
- Utilize UNM IT Service Desk for requests and incidents unless instructed otherwise by UNM information security professionals;
- IT Strategic Advisory Committee to collaborate with UNM IT on the service framework to satisfy the University of New Mexico business requirements.
- Contact UNM IT Service Owner for additions or changes in established service levels;
- Ensure staff are familiar with the provisions of this SLA;
- Maintain appropriate staff expertise in the support of any Customer equipment and/or applications;
- Comply with UNM Business Policies;
- Ensure employees are familiar with UNM Business Policies [2030](#), [2500](#), [2520](#), and [7215](#).

## 4 Hours of Coverage and Escalation

### 4.1 Hours of Coverage

Security Assessments can be requested at any time via Help.UNM. Security Assessments are provided 8 hours a day, 8:00am-5:00pm, 5 days a week, Monday through Friday, except for periods of planned maintenance, institutional closures, or as otherwise negotiated in writing.

### 4.2 Service Exceptions to Coverage

This section intentionally left blank.

### 4.3 Escalation

If you are not satisfied with the level of service on a request, please contact the Service Owner and if necessary, the UNM IT Service Manager.

<b>UNM IT Contact</b>	
Service Owner	Jeff Gassaway <a href="mailto:base@unm.edu">base@unm.edu</a> Information Security and Privacy Officer
Service Manager	Tammy Jo Martinez <a href="mailto:tjm@unm.edu">tjm@unm.edu</a> Director of Customer Service 505.277.0960

## 5 Service Requests

A Service Request is defined as a request for information, advice, or for access to a service.

### 5.1 Service Request Submission

Service Requests can be submitted by calling 505.277.5757. Current hours of operation are listed on the Customer Support Services website, <http://it.unm.edu/support>.

Online Service Requests can be submitted at the following URL: <https://help.unm.edu>.

### 5.2 Service Request Response

For all requests, UNM IT's objective is to acknowledge and assign requests within twelve (12) business hours of receipt. Requests will be fulfilled within seven (7) days.

Campus priorities may require exceptions during certain times of the Academic year.

## 6 Incidents

An incident is defined as any interruption in the normal functioning of a service or system.

### 6.1 Incident Report

Incidents can be reported using Help.UNM at <https://help.unm.edu> or by calling the UNM IT Service Desk during business hours at 505.277.5757.

For service outages after hours, call 505.277.5757 and select Option #3 to leave a message for the Manager on Duty (MOD). The MOD will contact the appropriate service technician to help resolve the service outage.

Time spent on resolving incidents that are end-user caused will be billed to the appropriate party at current hourly rate, including travel time. Material will be billed along with any associated expenses incurred to remedy the Incident.

### 6.2 Incident Response

Response time objectives for incidents reported to UNM IT are as follows:

Priority 1 (P1) is acknowledged, accepted and resolved within four (4) clock hours.

Priority 2 (P2) is acknowledged, accepted and resolved within one (1) business day.

Priority 3 (P3) is acknowledged, accepted and resolved within four (4) business days.

Priority 4 (P4) is acknowledged, accepted and resolved within nine (9) business days.

### 6.3 Prioritization

All reported incidents receive a priority number based on the impact and urgency of the service interruption.

Impact is determined based on the number of people/departments/buildings that are affected by the interruption or outage. Life-Safety issues are taken into consideration for assessing and assigning priorities.

Urgency is based on the acceptable delay to restore the service. Urgency can be critical or high and is determined based on the nature of the service outage.

UNM IT may prioritize incoming incident requests as P1 or P2 priority if it meets one or more of the following criteria:

- Significant number of people affected;
- The level to which work is impaired for individuals;
- Academic and Administrative Calendar deadlines;
- Significant impact on the delivery of instruction;
- Significant risk to safety, law, rule, or policy compliance.

## 7 Maintenance and Service Changes

The Maintenance Window for Security Assessments can be found on the UNM IT website, <http://it.unm.edu/availability>. UNM IT reserves the right to modify the maintenance window.

## 8 Pricing and Billing

Charges for UNM IT services are billed monthly in arrears and post automatically to UNM departmental indices on the 1<sup>st</sup> business day of each month. Monthly bill detail for UNM IT charges can be accessed using the UNM IT Billing Portal at <http://it.unm.edu>.

## 9 Reviewing and Reporting

### 9.1 System Performance and Availability Reporting

This section intentionally left blank.

### 9.2 SLA Reviews

UNM IT is responsible for facilitating reviews of this document. Contents of this document may be amended as required, provided mutual agreement is obtained from the primary stakeholders and communicated to all affected parties.

This SLA contains the complete agreement between the parties and shall not be changed, amended or altered except in writing and signed by each party.

## 10 Approvals

UNM IT: University of New Mexico CIO

CUSTOMER:

By: Gilbert Gonzales

By: \_\_\_\_\_

Title: Chief Information Officer

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

