| Company Name: | IBM |
|---------------|-----|
|               |     |

**Application Hosting Supported** 

| Software                                     | Supported | Licensing Available | Comments   |
|--|-----------|---------------------|--|
| ColdFusion                                   |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| GlassFish                                    |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| G. 1337 1311                                 |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Hibernate                                    |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| niperilate                                   |           |                     |  |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
| 1000   |           |                     | offering.  |
| JBOSS App Server and Suite                   |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Matlab                                       |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Media Wiki                                   |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Oracle Application Server and BPM Middleware |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| • •  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Silverlight                                  |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| <b>-</b>                                     |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Sun SMQ                                      |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| 5411 51VIQ                                   |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Tuvodo                                       |           |                     |  |
| Tuxedo                                       |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| WebLogic                                     |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| WordPress                                    |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
|  |           |                     |  |

| Company Name:              | IBM  |
|----------------------------|------|
| <b>Definition of Core:</b> | 2GHZ |

| ı                    |                          |          |  |  |
|----------------------|--------------------------|----------|--|--|
|                      | Contractor Configuration |          |  |  |
| Standard             | Cores (#)                | RAM (GB) |  |  |
| Extra Small          | 1                        | 2        |  |  |
| Small                | 2                        | 4        |  |  |
| Medium               | 4                        | 8        |  |  |
| Large                | 8                        | 16       |  |  |
| Extra Large          | 16                       | 16       |  |  |
| High Memory          |                          |          |  |  |
| Extra Small          | 1                        | 4        |  |  |
| Small                | 2                        | 8        |  |  |
| Medium               | 4                        | 16       |  |  |
| Large                | 8                        | 32       |  |  |
| Extra Large          | 16                       | 64       |  |  |
| High Compute         |                          |          |  |  |
| Medium               | 4                        | 2        |  |  |
| Large                | 8                        | 4        |  |  |
| Extra Large          | 16                       | 8        |  |  |
| High Compute Cluster |                          |          |  |  |
| Large                | 32                       | 32       |  |  |
| Extra Large          | 64                       | 64       |  |  |
| Custom               |                          |          |  |  |
| (Task Order Defined) |                          |          |  |  |

| Company Name: | IBM |
|---------------|-----|
|               |     |

**Database Supported** 

| Х | Х             |   |
|---|---------------|---|
|   | ^             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
| Х | Х             | SmartCloud for Government Supports, IBM has licensing   |
|   |               | available, IBM has professional services as well  |
|   |               |   |
|   | X X X X X X X | X       X         X       X         X       X         X       X         X       X         X       X         X       X         X       X         X       X         X       X |

| Company Name: | IBM |
|---------------|-----|

#### DOI Legacy Metering and Reporting Software Supported Template

| Software  | Supported | Licensing Available | Comments   |
|---|-----------|---------------------|--|
| Actuate   | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| AWStats   | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Crystal Reports                                       | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Fiddler   | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| GroundWork  | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Hyperion SQR Production Reporting                     | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| IBM Applications Service Center                       | Х         | X                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| JasperReports Server                                  | Х         | X                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Microsoft Systems Center Operations Manager (MS SCOM) | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| NAGIOS  | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| SmarterStats  | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Splunk  | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Windows Log Parser                                    | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
|   |           |                     |  |

Company Name IBM

| Section     | From  | То  | Minimum Requirements  |     |
|-------------|---|---|-----------------------|-----|
| C.6.1.4.2.1 | Compute Host Instance<br>(Vendor Data Center A) | Compute Host Instance<br>(Vendor Data Center A)                                     | <b>/             </b> |     |
| C.6.1.4.2.2 | Compute Host Instance<br>(Vendor Data Center A) | Compute Host Instance<br>(Vendor Data Center B)                                     |                       | (4) |
| C.6.1.4.2.3 | Vendor Data Center                              | DOI Intranet (measured at<br>the DOI Trusted Internet<br>Connection point of entry) |                       |     |
| C.6.1.4.2.4 | Compute Host Instance,<br>Vendor Data Center    | Internet  |                       |     |
| C.6.1.4.2.5 | Vendor Data Center                              | DOI Customers (LAN-to-LAN<br>VPN and dedicated circuits)                            |                       |     |

VM OS

### Attachment 18 - Operating Systems Licensing and Support

Operating System License Desriptions and Ranges of Version/Release Support

| IBM    |                   | Supp                       | orted          | Provided                   |                |      |
|--------|-------------------|----------------------------|----------------|----------------------------|----------------|------|
|        |                   | Range of Versions/Releases |                | Range of Versions/Releases |                |      |
| OS ID  | Operating         | System                     | From           | То                         | From           | То   |
| OS0001 | Microsoft Windows | <b>Enterprise Server</b>   | 2003           | 2008                       | 2003           | 2008 |
| OS0002 | LINUX             | Centos                     | 5.7            | 6                          | 5.7            | 6    |
| OS0003 | LINUX             | Red Hat                    | 5              | 6                          | 5              | 6    |
| OS0004 | LINUX             | Ubuntu                     | 6              | 6                          | 6              | 6    |
| OS0005 | LINUX             | Enterprise                 | 10             | 12                         | 10             | 12   |
| OS0006 | LINUX             | Scientific                 | 6              | 6                          | 6              | 6    |
| OS0007 | Sun Solaris       | for Intel                  | Do Not Support |                            | Do not Provide |      |
| OS0008 | Sun Solaris       | for SPARC                  | Do Not Suppor  | Do Not Support             |                |      |
| OS0009 | IBM               | AIX                        | 6              | 7.1                        | 7.1            | 7.1  |
| OS0010 | HP                | HPUX                       | Do Not Suppor  | t                          | Do not Provide |      |
| OS0011 |                   |                            |                |                            |                |      |
| OS0012 |                   |                            |                |                            |                |      |
| OS0013 |                   |                            |                |                            |                |      |
| OS0014 |                   |                            |                |                            |                |      |
| OS0015 |                   |                            |                |                            |                |      |
| OS0016 |                   |                            |                |                            |                |      |

#### Notes:

- 1 Support included for current DOI standards in addition to the latest versions of LINUX and Microsoft Windows operating systems. Support will be updated as new version are released.
- 2 Micrsoft Windows 2003 Licensing is Bring Your Own, no longer offered by Microsoft.

Company Name: IBM

Other Middleware Supported

| Other Middleware Supported                                      | ı         | T                   | _  |
|---|-----------|---------------------|--|
| Software  | Supported | Licensing Available | Comments   |
| Adlassian Jira  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Adobe Pro   | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| ArborText   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Citrix XenApp   | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Citrix XenDesktop   | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Citrix XenServer  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Common Spot   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| CommVault   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Documentum  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Eclipse Plug-ins  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Entellitrak   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Hydra   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| IBM FileNet   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Microsoft Dynamix CRM 2011                                      | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Net Backup  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Networker   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Oracle ADF  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Prolifics   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| PureDisk  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| SharePoint  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Software AG/Entirex DCOM (Communicator, XML Mediator, Adapters) | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| SQL Forms   | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Web Center Content  | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| XML DataPower   | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
|   |           |                     |  |

| Company Name: IBM | ny Name: | IBM |
|-------------------|----------|-----|

**Scripting and Programming** 

| Scripting and Programming Software | Supported | Licensing Available | Comments   |
|------------------------------------|-----------|---------------------|--|
| .NET                               | Х         | X                   | SmartCloud for Government Supports, IBM has licensing  |
|                                    |           |                     | available, IBM has professional services as well   |
| ASP net                            | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Flex Action Script                 | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| ISAPI                              | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Java                               | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Java Script                        | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Jscript                            | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Node.js                            | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| 4GL                                | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Perl                               | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| РНР                                | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Python                             | Х         | х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| RScript                            | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Ruby on Rails                      | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| UNIX Scripting                     | X         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
|                                    |           |                     |  |

Attachment 16 Requirements Traceability Matrix

| Company Name | IBM |  |
|--------------|-----|--|

| Solicitation Refe    | rence  |                 |        |           | Offer Reference   |
|----------------------|--|-----------------|--------|-----------|-------------------|
| Section #            | Requirement  | Contractor Self | Dago # | Section # | Brief Description |
| Secuoli #            | nequirement  | Certification   | rage # | Section # | oner Description  |
|                      |  |                 |        |           |                   |
|                      |  | (Meets, Does    | 1      |           |                   |
|                      |  | Not Meet)       | -      |           |                   |
| C.1                  | (Information)  |                 |        |           |                   |
| C.2                  | (Information)  |                 |        |           |                   |
| C.2.2                | Initial Technical Service Lines  |                 |        |           |                   |
| C.2.2.1              | Storage Services   |                 |        |           |                   |
| C.2.2.2              | Secure File Transfer Services  |                 |        |           |                   |
| C.2.2.3              | Virtual Machine Services   |                 |        |           |                   |
| C.2.2.4              | Database Hosting Services  |                 |        |           |                   |
| C.2.2.5              | Web Hosting Services   |                 |        |           |                   |
| C.2.2.6              | Development and Test Environment Hosting Services  |                 |        |           |                   |
| C.2.2.7              | SAP Application Hosting Services   |                 |        |           |                   |
| C.3                  | (Information)  | _               |        |           |                   |
| C.4                  |  |                 | 1      |           |                   |
|                      | (Information)  |                 | -      |           |                   |
| C.5                  | Establish and Meet Enterprise-Wide Requirements  |                 | -      |           |                   |
| C.5.1                | Comply with Essential Cloud Service Requirements   |                 |        |           |                   |
| C.5.1.1              | On-Demand Self Service   | Meets           | 4-66   | 4.b.1     | (b) (4)           |
| C.5.1.2              | Ubiquitous Network Access  | Meets           | 4-67   | 4.b.1     |                   |
| C.5.1.3              | Location Independent Resource Pooling  | Meets           | 4-67   | 4.b.1     |                   |
| C.5.1.4              | Rapid Elasticity   | Meets           | 4-67   | 4.b.1     |                   |
| C.5.1.5              | Measured Services  | Meets           | 4-67   | 4.b.1     |                   |
| C.5.2                | Manage Service Delivery and Maintain Business Relationships and Interconnections                           |                 |        |           |                   |
| C.5.2.1<br>C.5.2.1.1 | Provide Browser-Based Management Functionality  Define User Roles and Support User Authorization Workflows | Meets           | 4-67;  | 4.b.1;    |                   |
|                      | See notes this support oser Authorization workhows   |                 | 1-34   | 1.3.1     |                   |

| Solicitation R | eference   | Offer Reference   |               |                     |                   |  |
|----------------|--|---|---------------|---------------------|-------------------|--|
| Section #      | Requirement  | Contractor Self<br>Certification<br>(Meets, Does<br>Not Meet) | Page #        | Section #           | Brief Description |  |
| C.5.2.1.2      | Provision, Configure and De-Provision (Release) Resources                      | Meets   | 4-67          | 4.b.1               | (b) (4)           |  |
| C.5.2.1.3      | Monitor Performance and Manager Alerts and Reporting                           | Meets   | 4-67;<br>1-35 | 4.b.1;<br>1.3.2     |                   |  |
| C.5.2.1.4      | Monitor Resource Usage/Utilization and Provide Cost Metering and Cost Controls | Meets   | 4-67;<br>1-38 | 4.b.1;<br>1.3.3     |                   |  |
| C.5.2.1.5      | Manage Open and Resolved Incidents and Service Requests.                       | Meets   | 4-32;<br>1-38 | 4.a.2.1.6;<br>1.3.4 |                   |  |
| C.5.2.2        | Support DOI System Interfaces  | Meets   | 4-67          | 4.b.1               |                   |  |

| Solicitation Ref | erence   |   |                                 |                                     | Offer Reference   |
|------------------|--|---|---------------------------------|-------------------------------------|-------------------|
| Section #        | Requirement  | Contractor Self<br>Certification<br>(Meets, Does<br>Not Meet) | Page #                          | Section #                           | Brief Description |
| C.5.2.3          | Implement Transparent and Effective Performance Management | Meets   | 4-67;<br>1-47                   | 4.b.1;<br>1.3.6                     | (b) (4)           |
| C.5.2.4          | Implement Efficient, Effective and Formal Governance       | Meets   | 4-38;<br>4-27;<br>1-34;<br>1-38 | 4.a.3;<br>4.a.2;<br>1.3.1;<br>1.3.4 |                   |
| C.5.2.5          | Protect Intellectual Property Rights                       | Meets   | 4-78                            | 4.b.2                               |                   |

| Solicitation Refe | ronco   |                               |               |                 | Offer Reference   |
|-------------------|---|-------------------------------|---------------|-----------------|-------------------|
| Section #         | Requirement   | Contractor Self               | Page #        | Section #       | Brief Description |
| Section #         | nequirement   | Certification<br>(Meets, Does | l age #       | Section #       | unci Description  |
|                   |   | Not Meet)                     |               |                 |                   |
| C.5.2.6           | Prohibit and Actively Prevent Adware, SPAM and Remarketing of DOI Information | Meets                         | 4-68          | 4.b.1           | (b) (4)           |
| C.5.3             | Establish and Maintain Security and Privacy                                   | Meets                         | 4-81          | 4.c.1           |                   |
| C.5.3.1           | Comply with FedRAMP and DOI Information Security and Privacy                  | Meets                         | 4-81          | 4.c.1           |                   |
| C.5.5.1           | Requirements  | Wiccis                        | 4 01          | 4.0.1           |                   |
|                   |   |                               |               |                 |                   |
| a.                | DOI Security Control Standards  | Meets                         | 4-81          | 4.c.1           |                   |
| b.                | DOI Cloud Hosting Services IT Security and Privacy Requirements               | Meets                         | 4-81          | 4.c.1           |                   |
| c.                | DOI Privacy Loss Mitigation Strategy (PLMS)                                   | Meets                         | 4-81          | 4.c.1           |                   |
| d.                | Additional IT Security Information  | Meets                         | 4-81          | 4.c.1           |                   |
| C.5.3.2           | Provide User Authentication and Secure Connections                            | Meets                         | 4-82          | 4.c.1           |                   |
| C.5.3.3           | Comply with Security Assurance Requirements                                   | Meets                         | 4-89;<br>1-52 | 4.c.2;<br>1.3.7 |                   |
|                   | Provide Security Assessment Plan  | Meets                         | 4-89          | 4.c.2           |                   |
|                   | Provide Security Assessment Report  | Meets                         | 4-89          | 4.c.2           |                   |
| C.5.3.4           | Complete Third Party Assessment of Security Controls and Mitigate Weaknesses  | Meets                         | 4-89;<br>1-52 | 4.c.2;<br>1.3.8 |                   |
| J. Attachment 5   | Provide Bidder's Security Questionnaire                                       |                               | 2-1           | 2               |                   |
| C.5.3.4.1         | Implement and Maintain Access Controls  | Meets                         | 4-82          | 4.c.1           |                   |
| C.5.3.4.2         | Implement and Maintain Awareness and Training Controls                        | Meets                         | 4-82          | 4.c.1           |                   |
| C.5.3.4.3         | Implement and Maintain Audit and Accounability Controls                       | Meets                         | 4-82          | 4.c.1           |                   |
| C.5.3.4.4         | Implement and Maintain Security Assessment and Authorization Controls         | Meets                         | 4-82          | 4.c.1           | (h) (1)           |
| C.5.3.4.5         | Implement and Maintain Configuration Management Controls                      | Meets                         | 4-82          | 4.c.1           | (b) (4)           |

| Solicitation Re | ference  | Offer Reference   |        |           |                   |  |  |
|-----------------|--|---|--------|-----------|-------------------|--|--|
| Section #       | Requirement  | Contractor Self<br>Certification<br>(Meets, Does<br>Not Meet) | Page # | Section # | Brief Description |  |  |
| C.5.3.4.6       | Implement and Maintain Contingency Planning Controls                               | Meets   | 4-82   | 4.c.1     | (b) (4)           |  |  |
| C.5.3.4.7       | Implement and Maintain Identification and Authorization Controls                   | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.8       | Implement and Maintain Incident Response Controls                                  | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.9       | Implement and Maintain Maintenance Controls  | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.10      | Implement and Maintain Media Protection Controls                                   | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.11      | Implement and Maintain Physical and Environmental Protection Controls              | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.12      | Implement and Maintain Planning Controls   | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.13      | Implement and Maintain Personnel Security Controls                                 | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.14      | Implement and Maintain Risk Assessment Controls                                    | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.15      | Implement and Maintain System and Services Acquisition Controls                    | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.16      | Implement and Maintain System and Communication Protection Controls                | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.3.4.17      | Implement and Maintain System and Information Integrity Controls                   | Meets   | 4-82   | 4.c.1     |                   |  |  |
| C.5.4           | Ensure Portability of IT Systems and Facilitate Migration between System Providers | Meets   | 4-1    | 4.a.1     |                   |  |  |
| C.6             | Establish and Meet Resource Requirements   |   |        |           |                   |  |  |
| C.6.1           | Provide Basic Resources  | Meets   | 4-68   | 4.b.1     |                   |  |  |
|                 |  |   |        |           | (b) (4)           |  |  |

| Solicitation Re | eference   |                 |          |           | Offer Reference   |  |
|-----------------|--|-----------------|----------|-----------|-------------------|--|
| Section #       | Requirement  | Contractor Self | Page #   | Section # | Brief Description |  |
| Section ii      | Requirement  | Certification   | i age ii | Section " | Brief Bescription |  |
|                 |  | (Meets, Does    |          |           |                   |  |
|                 |  | Not Meet)       |          |           |                   |  |
| C.6.1.1         | Provide and Support Operating System Resource Requirements | Meets           | 4-68     | 4.b.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           | (D)               |  |
|                 |  |                 |          |           |                   |  |
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|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 | Current  | Meets           | 4-68     | 4.b.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 | Future   | Meets           | 4-68     | 4.b.1     |                   |  |
|                 | lature   | Meets           | 4-08     | 4.0.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
| C.6.1.2         | Provide and Support Compute-Host Resources                 | Meets           | 4-68     | 4.b.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
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|                 |  |                 |          |           |                   |  |
|                 | Contractor Displaced Configurations most or sussed Minimum | Meets           | 4-68     | 4.b.1     |                   |  |
|                 | Contractor Proposed Configurations meet or exceed Minimum  | Meets           | 4-68     | 4.0.1     |                   |  |
|                 | Configuration Requirements                                 |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
| C.6.1.3         | Provide and Support Storage Resources                      | Meets           | 4-68     | 4.b.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
| C.6.1.3.1       | Identify and Provide Access to Storage API's               | Meets           | 4-68     | 4.b.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
| C.6.1.3.2       | Support Storage for Both Files and Data Objects            | Meets           | 4-68     | 4.b.1     |                   |  |
| C.U.1.3.2       | Support Storage for Both Files and Butta Objects           | Wiccis          | 7 00     | 7.5.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          | <u> </u>  |                   |  |
| C.6.1.3.3       | Support Standard Storage Operations                        | Meets           | 4-69     | 4.b.1     |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
| C 6 1 2 4       | Cupport Storage Resource Classes                           | Moots           | 4 2 4    | 4 2 3 4 6 |                   |  |
| C.6.1.3.4       | Support Storage Resource Classes                           | Meets           | 4-34     | 4.a.2.1 8 |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
|                 |  |                 |          |           |                   |  |
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| Calicitation Dat                                 | · · · · · · · · · · · · · · · · · · ·   |                 |                  |           | Offer Reference                   |
|--|---|-----------------|------------------|-----------|-----------------------------------|
| Solicitation Ref<br>Section #                    | Requirement   | Contractor Self | Page #           | Section # | Offer Reference Brief Description |
| Section #  | requirement   | Certification   | rage #           | Section # | Bilei Description                 |
|  |   | (Meets, Does    |                  |           |                                   |
|  |   | Not Meet)       |                  |           |                                   |
| C.6.1.3.5  | Support Data Migration Across Storage Classes                                 | Meets           | 4-34             | 4.a.2.18  |                                   |
|  | ,   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           | (b)(4)                            |
|  | Web-Based Interface   | Does not Meet   |                  |           |                                   |
|  | Open Source API Interface   | Does not Meet   |                  |           |                                   |
| C.6.1.3.6  | Support Alternative Backup Solutions  | Meets           | 4-33             | 4.a.2.1.7 |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  | DOI designed/managed solution   | Meets           | 4-33             | 4.a.2.1.7 |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  | Contractor provide solution   | Meets           | 4-33             | 4.a.2.1.7 |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  | Comply with Security and Privacy Requirements                                 | Meets           | 4-33             | 4.a.2.1.7 |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  | Available at both OnSite and Offsite locations                                | Meets           | 4-33             | 4.a.2.1.7 |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  | Web Management Functionality  | Does not Meet   |                  |           |                                   |
|  | a. Ability to configure backup schedule                                       | Does not Meet   |                  |           |                                   |
|  | b. Ability to restore files and images from backup                            | Does not Meet   |                  | -         |                                   |
|  | c. Ability to configure retention period and automatic deletions of old files | Does not Meet   |                  |           |                                   |
|  |   |                 |                  | -         |                                   |
|  | d. Ability for government to specify the level of redundancy required         | Does not Meet   |                  |           |                                   |
|  | e. A scripting interface  | Does not Meet   |                  |           |                                   |
| C.6.1.3.7  | Support Secure Transfer of Physical Media                                     | Meets           | 4-69             | 4.b.1     |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  | Casuma Chain of Custodu   | 14              | 4.60             | 1 1 1     |                                   |
|  | Secure Chain of Custody   | Meets           | 4-69             | 4.b.1     |                                   |
|  |   |                 |                  |           |                                   |
|  | Flavibility in Couries Biology and Delivery Times                             | 14              | 4-69             | 1 1 1     |                                   |
|  | Flexibility in Courier Pick-up and Delivery Times                             | Meets           | 4-69             | 4.b.1     |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
| C.6.1.4  | Drouide Transport Descurees and Current Interess and Signature                | Meets           | 4-69             | 4.b.1     |                                   |
| C.0.1.4  | Provide Transport Resources and Support Interconnections                      | ivieets         | 4-09             | 4.0.1     |                                   |
|  |   |                 |                  |           |                                   |
| C.6.1.4.1  | Comply with General Transport Requirements                                    | Meets           | 4-69             | 4.b.1     |                                   |
| C.U.1.4.1  | Compty with General Transport Requirements                                    | MICCIS          | 4-03             | 7.0.1     |                                   |
|  |   |                 |                  |           |                                   |
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|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
|  |   |                 |                  |           |                                   |
| <del>                                     </del> | Calculate bandwidth using 95th percentile method with minimum sample          | Meets           | 4-69             | 4.b.1     |                                   |
|  | times of five minutes   | MICCIS          | <del>-</del> -03 | 4.0.1     |                                   |
| C.6.1.4.2  | Comply With Interconnection Configurations and Requirements                   |                 |                  |           |                                   |
| C.U.1.4.Z  | Compra with interconnection configurations and requirements                   |                 |                  |           |                                   |

| Solicitation Re | forence  | Ī               |             |           | Offer Reference   |
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| Section #       | Requirement  | Certification   | rage #      | Section # | Bilet Description |
|                 |  | (Meets, Does    |             |           |                   |
|                 |  | Not Meet)       |             |           |                   |
| C.6.1.4.2.1     | Between Compute Host Instances (Same Data Center)                      | Meets           | 4-69        | 4.b.1     |                   |
| C.O.I.4.Z.I     | between compute riost instances (same bata center)                     | Meets           | 7 03        | 7.5.1     |                   |
|                 |  |                 |             |           | (D)(4)            |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           | (D) (4)           |
|                 |  |                 |             |           |                   |
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|                 |  |                 |             |           |                   |
| C.6.1.4.2.2     | Between Compute Host Instances (Different Contractor Data Centers)     | Meets           | 4-69        | 4.b.1     |                   |
|                 |  |                 |             |           |                   |
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|                 |  |                 |             |           |                   |
| C.6.1.4.2.3     | Between Compute-Host at Contractor Data Center and DOI TIC             | Meets           | 4-69        | 4.b.1     |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
| C.6.1.4.2.4     | Between Compute-Host at Contractor Data Center and the Internet        | Meets           | 4-69        | 4.b.1     |                   |
|                 |  |                 |             |           |                   |
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|                 |  |                 |             |           |                   |
| C.6.1.4.2.5     | Between Compute-Host at Contractor Data Center to DOI Customers via    | Meets           | 4-69        | 4.b.1     |                   |
|                 | Direct Connections   |                 |             |           |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
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| C.6.2           | Provide Aggregated Resources and Enabling Services                     |                 |             |           |                   |
| C.6.2.1         | Provide Aggregated Resource Services                                   | Meets           | 4-69        | 4.b.1     |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
| 06011           |  |                 |             |           |                   |
| C.6.2.1.1       | Provide Secure File Transfer Resources                                 | Meets           | 4-25        | 4.a.1.10  |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
| C.6.2.1.2       | Provide Virtual Machine Resources                                      | Meets           | 4-70        | 4.b.1     |                   |
| C.U.Z.1.Z       | Frovide virtual iviaciline nesources                                   | ivieers         | 4-70        | 4.0.1     |                   |
| I               |  |                 |             |           |                   |
| I               |  |                 |             |           |                   |
| I               |  |                 |             |           |                   |
|                 |  |                 |             |           |                   |
|                 | Scalable, redundant, dynamic capabilities or virtual machines          | Meets           | 4-70        | 4.b.1     |                   |
|                 | Scalable, redundant, dynamic capabilities of virtual machines          | INICCIS         | <b>-</b> 70 | 7.0.1     |                   |
|                 | Allow Government users to procure and provision computing services on- | Meets           | 4-70        | 4.b.1     |                   |
| I               | line via the Internet  | INICCIS         | 4-70        | 4.0.1     |                   |
| I               | inc via the internet   |                 |             |           |                   |
|                 | Allow users to remotely load applications and data via the Internet    | Meets           | 4-70        | 4.b.1     |                   |
| I               | Allow users to remotely load applications and data via the internet    | INICCIS         | 4-70        | 4.0.1     |                   |
| I               |  |                 |             |           |                   |
| L               |  | ]               | 1           | ı         |                   |

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|                 |   | (Meets, Does    |        |           |                 |        |
|                 |   | Not Meet)       |        |           |                 |        |
|                 | Configuration and Management via Web Browser, over the Internet.          | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 | 1.70   |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Government Retains Ownership  | Meets           | 4-70   | 4.b.1     | (b) (4          |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Spawn on-Demand Instances   | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Support Acceptable Secure Administration Interface                        | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 | ļ      |           |                 |        |
|                 | Dynamic Allocation based upon load, without service interruption          | Meets           | 4-70   | 4.b.1     |                 |        |
|                 | <u> </u>  |                 |        | ļ.,       |                 |        |
|                 | Copy/Clone  | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Marking and Articles Articles   | 344             | 4.70   | 45.4      |                 |        |
|                 | Multi-processor Virtual Machies   | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 | . 70   | 41.4      |                 |        |
|                 | Support Processor Isolation   | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Comparts live migration between aborical basts                            | Monte           | 4.70   | 4 5 1     |                 |        |
|                 | Supports live migration between physical hosts                            | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Role-Based access controls and Auditing for Hypervisor                    | Meets           | 4-70   | 4.b.1     |                 |        |
|                 | Role-based access controls and Additing for Hypervisor                    | ivieets         | 4-70   | 4.0.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Hypervisor supports hardware-assisted memory virtualization               | Meets           | 4-70   | 4.b.1     |                 |        |
|                 | Trype visor supports hardware assisted memory virtualization              | ····cco         | 1.70   |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
| C.6.2.1.3       | Provide Database Hosting Resources  | Meets           | 4-70   | 4.b.1     |                 |        |
|                 | Ĭ   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Supports Current Range of Software  | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
| C.6.2.1.4       | Provide Web Hosting Resources   | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 | Supports Current Range of Software  | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
| C.6.2.1.5       | Provide Development and Test Environment                                  | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   | ļ               |        | ļ.,       |                 |        |
|                 | Support Range of Technical Service Lines, and range of instances for each | Meets           | 4-70   | 4.b.1     |                 |        |
|                 | (e.g. 0-100)  |                 |        |           |                 |        |
|                 | Assessment the contract value and conflict in                             | 14              | 4.70   | 45.0      |                 |        |
|                 | Accommodate custom roles and authorizations                               | Meets           | 4-70   | 4.b.1     |                 |        |
|                 |   |                 |        |           |                 |        |
| C6216           | Provide Application Heating   | Moote           | 4-71   | 4 h 1     |                 |        |
| C.6.2.1.6       | Provide Application Hosting   | Meets           | 4-/1   | 4.b.1     |                 |        |
|                 | Supports Current Range of Software  | Meets           | 4-71   | 4.b.1     |                 |        |
|                 | Supports current name of software   | IVIEED          | 4-/1   | 4.0.1     |                 |        |
|                 |   |                 |        |           |                 |        |
|                 |   |                 |        |           |                 |        |
| C.6.2.2         | Provide Enabling Services   |                 |        |           |                 |        |
| CIVILIE         | TOTAL ENGINE OCT TICES  |                 |        |           |                 |        |

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|                 |  | (Meets, Does    |        |           |                   |
|                 |  | Not Meet)       |        |           |                   |
| C.6.2.2.1       | Support Bulk Data Transfer and Provide Competitive Volume Discounts    | Meets           | 4-71   | 4.b.1     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           | (b) (4)           |
|                 |  |                 |        |           |                   |
|                 | a. Loading data from physical media                                    | Meets           | 4-71   | 4.b.1     |                   |
|                 | b. Transferring data in/out over the Internet                          | Manta           | 4-71   | 4.b.1     |                   |
| ·               | o. Transferring data in/out over the internet                          | Meets           | 4-/1   | 4.0.1     |                   |
|                 | c. Transferring Data in/out oto the DOI intranet                       | Meets           | 4-71   | 4.b.1     |                   |
|                 | in mansiering bata my out oto the bornitalite                          | WICCES          | 7 / 1  | 7.0.1     |                   |
|                 |  |                 |        |           |                   |
|                 | d. Trasferring data in/out via dedicated circuits (including VPN)      | Meets           | 4-71   | 4.b.1     |                   |
|                 |  |                 |        |           |                   |
|                 | One-Time, Free of Charge, Bulk Transfer of all data stored in Contract | Meets           | 4-71   | 4.b.1     |                   |
|                 | environment upon termination of Task Orders.                           |                 |        |           |                   |
| C.6.2.2.2       | Provide Operating System Services                                      |                 |        |           |                   |
|                 | Contractor will provide  | Meets           | 4-71   | 4.b.1     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 | Contractor will permit DOI to provide at DOI option                    | Meets           | 4-71   | 4.b.1     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 | Configure Operating System   | Meets           | 4-71   | 4.b.1     |                   |
|                 |  |                 |        |           |                   |
|                 | Troubleshoot Operating System Problems                                 | Meets           | 4-71   | 4.b.1     |                   |
|                 | Troubleshoot Operating System Problems                                 | ivieets         | 4-71   | 4.0.1     |                   |
| C.6.2.2.3       | Provide Licensing and Installation Services                            | Meets           | 4-71   | 4.b.1     |                   |
| 0.0.2.2.0       |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
| C.6.2.2.4       | Provide Patching and Version Control Services                          | Meets           | 4-71   | 4.b.1     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  | ļ               |        |           |                   |
|                 | Commit to defined patching schedule and process                        | Meets           | 4-71   | 4.b.1     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 | DOL Bossius > 1 week Advance Nation                                    | Mosts           | 4 71   | 4.b.1     |                   |
|                 | DOI Receive > 1 week Advance Notice                                    | Meets           | 4-71   | 4.D.1     |                   |
|                 |  |                 |        |           |                   |
|                 | DOI right to delay or deny implementation                              | Meets           | 4-71   | 4.b.1     |                   |
|                 | bot right to delay or delly implementation                             | ivieets         | 4-71   | 4.0.1     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 | Contractor comply with change controls processes and authorities for   | Meets           | 4-71   | 4.b.1     |                   |
|                 | change   |                 |        |           |                   |
| C.6.2.2.5       | Provide Disaster Recovery Services                                     |                 |        |           |                   |
|                 | Support to design, implement and Manage the Disaster Recovery Solution | Meets           | 1-52   | 1.3.8     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
| <b>—</b>        | Provide Web Pared capability for configuring Director Recovery Ontions | Door not Most   | -      |           |                   |
|                 | Provide Web-Based capability for configuring Disaster Recovery Options | Does not Meet   |        |           |                   |
|                 | Supports DOI defining set of mission critical data and snapshots       | Meets           | 1-52   | 1.3.8     |                   |
|                 | Supports Doi demining set of mission critical data and shapshots       | MICEL           | 1-32   | 1.3.0     |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 | Provides all service required to execute failover                      | Meets           | 1-52   | 1.3.8     |                   |
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| C.6.2.2.9         | Provides Hosting for Scripting and Programming Environments          | Meets           | 4-72   | 4.b.1      |                   |
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|                   | Supports Current Range of Software                                   | Meets           | 4-72   | 4.b.1      |                   |
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| C.6.2.2.10        | Provide or Support Virtual Application and Virtual Desktop Resources | Meets           | 4-72   | 4.b.1      |                   |
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| C.7               | Establish and Meet Portfolio of Service Level Requirements           |                 |        |            |                   |
| C.7.1             | Optimize End-to-End Performance                                      | Meets           | 4-36   | 4.a.2.1.11 |                   |
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| C.7.1.2           | Adapt ot Demand Fluctuations to Maintain Service Levels              | Meets           | 4-36   | 4.a.2.1.11 |                   |
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| C.7.1.3           | Streamline and/or Automate Resource Scaling                          |                 |        |            |                   |
| C.7.1.0           | out cultimite allayor Automate hesource scaling                      |                 |        |            |                   |

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|                         | Tiers of Service, Template Capability and Scaling sequence definition or  | Meets           | 4-73   | 4.b.1      |                   |
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|                         | * Compute-Host: Processor   | Meets           | 4-73   | 4.b.1      |                   |
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|                         | Restrict to DOI approved tiers and templates in the provisioning portal   | Meets           | 4-73   | 4.b.1      |                   |
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| <b>C.7.2</b><br>C.7.2.1 | Meet Software and Licensing Support Service Level Requirements  Meet Operating System Services Service Level Requirements | Meets           | 4-35   | 4.a.2.1.10 |                   |
| C.7.2.1                 | Meet Operating System Services Service Level Requirements   | ivieets         | 4-35   | 4.a.2.1.10 |                   |
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|                         | contractor resposed guaranteed minimum performance rever  | Wicets          | 7 33   | 7.0.2.1.10 |                   |
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| C.7.2.2                 | Meet Licensing and Installation Services Service Level Requirements   | Meets           | 4-35   | 4.a.2.1.10 |                   |
|                         | ·   |                 | 1      |            |                   |
|                         |   |                 |        |            |                   |
|                         | Contractor Proposed guaranteed minimum performance level  | Meets           | 4-35   | 4.a.2.1.10 |                   |
|                         |   |                 |        |            |                   |
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| C.7.2.3         | Meet Patching and Version Control Service Service Level Requirements   | Meets                                      | 4-35                   | 4.a.2.1.10                      |                   |
|                 | Contractor Proposed guaranteed minimum performance level   | Meets                                      | 4-35                   | 4.a.2.1.10                      | (D) (4)           |
| C.7.3           | Meet Uptime and Availability Requirements  | Meets                                      | 4-30;<br>3-12          | 4.a.2.1.4;<br>3.2.b.i           |                   |
|                 | Meet Minimum Acceptable Performance Level: 95% Uptime with no more than 36 hours/calendar month of planned downtime. | Meets                                      | 4-30                   | 4.a.2.1.4                       |                   |
|                 | Contractor Recommended Incentives and Disencentives  | Meets                                      | 4-30                   | 4.a.2.1.4                       |                   |
|                 | Contractor Proposed from one (1) to four (4) service bands that meet DOI   | Meets                                      | 4-30;                  | 4.a.2.1.4;                      |                   |
|                 | minimum requirements   |  | 3-12                   | 3.2.b.i                         |                   |
| C.7.4           | Meet Disaster Recovery Services Service Levels   | Meets                                      | 4-30;<br>1-69;<br>3-12 | 4.a.2.1.4;<br>1.3.9;<br>3.2.b.i |                   |
|                 | Contractor Provided Draft Disaster Recovery Plan   | Meets                                      | 4-30                   | 4.a.2.1.4                       |                   |
| C.7.4.1         | Meet Recovery Time Objectives (RTO)  | Meets                                      | 4-30                   | 4.a.2.1.4                       |                   |
|                 | Contractor Proposed from one (1) to five (5) service bands that meet DOI minimum requirements                        |  | 4-30;<br>3-12          | 4.a.2.1.4<br>3.2.b.ii           |                   |
|                 | Minimum Acceptable Performance: 7 Days   | Meets                                      | 4-30                   | 4.a.2.1.4                       |                   |

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| C.7.4.2        | Meet Recovery Point Objectives (RPO)   | Meets                                      | 4-33;<br>3-13 | 4.a.2.1.7;<br>3.2.b.iii | (b) (4)           |
|                | Contractor Proposed from one (1) to five (5) service bands that meet DOI minimum requirements                                  | Meets                                      | 4-34;<br>3-13 | 4.a.2.1.7;<br>3.2.b.iii |                   |
|                | Minimum Acceptable Performance: 7 Days   | Meets                                      | 4-34          | 4.a.2.1.7               |                   |
| C.7.5          | Meet Backup Service Levels   |  |               |                         |                   |
| C.7.5.1        | Comply with Backup Frequency Requirements  | Meets                                      | 4-34          | 4.a.2.1.7               |                   |
|                | Provide means DOI authorized technical user to configuring backup and archiving frequency on authorized user defined schedule. | Meets                                      | 4-34          | 4.a.2.1.7               |                   |
|                | Schedule Supports Required Frequencies: Daily, Weekly, Monthly, Yearly.  | Meets                                      | 4-34          | 4.a.2.1.7               |                   |
|                | Provide means for DOI authorized technical user to select from approved Mean-Time-to-Restore.                                  | Meets                                      | 4-34          | 4.a.2.1.7               |                   |
|                | Provides means for DOI authorized technical user to select approved Retention Periods.   | Meets                                      | 4-34          | 4.a.2.1.7               |                   |
| C.7.5.2        | Meet Mean Time to Restore Requirements   | Meets                                      | 4-34;<br>3-13 | 4.a.2.1.7;<br>3.2.b.iv  |                   |
|                | Minimum Acceptable Performance Level: 72 Hours   | Meets                                      | 4-34          | 4.a.2.1.7               |                   |
|                | Contractor Proposed from one (1) to four (4) service bands that meet DOI minimum requirements                                  | Meets                                      | 4-34;<br>3-13 | 4.a.2.1.7;<br>3.2.b.iv  |                   |
| C.7.5.3        | Comply with Data Retention Policies  | Meets                                      | 4-34          | 4.a.2.1 8               |                   |
|                | Retention period duration before automatic deletion  | Meets                                      | 4-35          | 4.a.2.1 8               |                   |
| C.7.6          | Document and Meet Provisioning Service Level Requirements  | Meets                                      | 4-31          | 4.a.2.1 5               |                   |
| <u> </u>       |  |  | 1             |                         |                   |

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|                  |  | (Meets, Does    |        |            |                   |
|                  |  | Not Meet)       |        |            |                   |
| C.7.6.1          | Meet Compute Host and Operations System Provisioning Service Level         | Meets           | 4-31   | 4.a.2.1 5  |                   |
|                  | Requirements   |                 |        |            | (b) (4)           |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  | Provide means for several tiers of service for the speed in which a hosted | Meets           | 4-31;  | 4.a.2.1 5; |                   |
|                  | system can respond to changes in demand (either manually or                |                 | 3-14   | 3.2.b.v    |                   |
|                  | automatically)   |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  | Provide means in all cases where resources shall be brought online and     | Meets           | 4-31   | 4.a.2.1 5  |                   |
|                  | available for use within the specified time (either manually or            |                 |        |            |                   |
|                  | automatically)   |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  | Minimum Acceptable Performance Level: 24 Hours                             | Meets           | 4-31   | 4.a.2.1 5  |                   |
|                  |  |                 |        |            |                   |
|                  | Contractor Proposed from one (1) to four (4) service bands that meet DOI   | Meets           | 4-31;  | 4.a.2.1 5; |                   |
|                  | minimum requirements   |                 | 3-15   | 3.2.b.v    |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
| C.7.6.2          | Meet Storage Provisioning Service Level Requirements                       | Meets           | 4-31;  | 4.a.2.1 5; |                   |
|                  |  |                 | 3-14   | 3.2.b.vi   |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  | Provide means to provision the storage both manually, and/or scale         | Meets           | 4-31   | 4.a.2.1 5  |                   |
|                  | storage resources both manually and automatically                          |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  | Minimum Acceptable Performance Level: 24 Hours                             | Meets           | 4-31;  | 4.a.2.1 5; |                   |
|                  |  |                 | 3-14   | 3.2.b.vi   |                   |
|                  | Contractor Proposed from one (1) to four (4) service bands that meet DOI   | Meets           | 4-31;  | 4.a.2.1 5; |                   |
|                  | minimum requirements   |                 | 3-14   | 3.2.b.vi   |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
| C.7.7            | Meet SAP Hosting Performance Requirements                                  | Meets           | 4-36   | 4.a.2.1.12 |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
|                  | Describe resource for account hierarch comition for CAD Hosting Comition   | Nacto           | 4.26   | 4 - 2 1 12 |                   |
|                  | Provide means for several tiers of service for SAP Hosting Services        | Meets           | 4-36   | 4.a.2.1.12 |                   |
|                  |  |                 |        |            |                   |
|                  |  |                 |        |            |                   |
| C.7.7.1          | Meet SAP Computation Performance Requirements                              | Meets           | 4-36   | 4.a.2.1.12 |                   |
| C.7.7.1          | Meet SAP Computation Performance Requirements                              | ivieets         | 4-36   | 4.a.2.1.12 |                   |
|                  |  |                 |        |            |                   |
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|                  |  | ĺ               | 1      |            |                   |
|                  | Provide means for SAP configurations with scalable processing              | Meets           | 4-36   | 4.a.2.1.12 |                   |
|                  | performance; scalable up and down to meet requirements                     |                 | 7 30   | 7.0.2.1.12 |                   |
|                  | performance, scalable up and down to meet requirements                     |                 | I      |            |                   |
|                  | Performance requirements from 20,000 SAPS (or equivalent) up to and        | Meets           | 4-36   | 4.a.2.1.12 |                   |
|                  | including 1,800,000 SAPS (or equivalent) or further as needs grow          |                 | 7 30   | 7.0.2.1.12 |                   |
|                  | 2,000,000 o o for equivalent, or further as needs grow                     |                 | I      |            |                   |
|                  |  | ĺ               | 1      |            |                   |
| C.7.7.2          | Meet SAP RAM Performance Requirements                                      | Meets           | 4-37   | 4.a.2.1.12 |                   |
|                  | ,  | ĺ               |        |            |                   |
|                  | Provide means for SAP configurations with scalable RAM availability;       | Meets           | 4-37   | 4.a.2.1.12 |                   |
|                  | scalable up and down to meet requirements                                  |                 | I      |            |                   |
|                  |  | ĺ               | 1      |            |                   |
|                  |  | ĺ               |        |            |                   |
|                  | Performance requirements from 800GB up to 13,000 GB or further as          | Meets           | 4-37   | 4.a.2.1.12 |                   |
|                  | needs grow   | ĺ               |        |            |                   |
|                  |  | ĺ               |        |            |                   |
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|                 |  | (Meets, Does    |        |             |                   |     |
|                 |  | Not Meet)       |        |             |                   |     |
| C.7.7.3         | Meet SAP Storage Performance Requirements  | Meets           | 4-37   | 4.a.2.1.12  |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   | (4) |
|                 | Provide means SAP configurations with scalable storage availability;   | Meets           | 4-37   | 4.a.2.1.12  |                   |     |
|                 | scalable up and down to meet requirements  Performance requirements from 3 5TB up to 600TB or further as needs                                   | Meets           | 4-37   | 4.a.2.1.12  |                   |     |
|                 | grow   | ivieets         | 4-37   | 4.a.2.1.12  |                   |     |
|                 | Brow   |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
| C.7.7.4         | Meet Additional SAP Performance Metric Requirement   | Meets           | 4-37   | 4.a.2.1.12  |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
| C.7.8           | Meet Middleware Management Service Level Requirements  | Meets           | 4-35   | 4.a.2.1 9   |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        | +           |                   |     |
|                 | Provide means for several tiers of management support for Database,  | Meets           | 4-35   | 4.a.2.1 9   |                   |     |
|                 | Web Server, and Application Servers  |                 |        |             |                   |     |
| C.7.8.1         | Meet Middleware Patching and Version Control Requirements  | Meets           | 4-35;  | 4.a.2.9;    |                   |     |
| C.7.0.1         | incer madieware ratering and version control negatients  | Wiccis          | 3-10   | 3.2.a.ix    |                   |     |
|                 | Provide means to commit to a defined patching schedule and process   | Meets           | 4-35   | 4.a.2.1 9   |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 | Provide means for the DOI test patches at least 1 week before they are   | Meets           | 4-35   | 4.a.2.1 9   |                   |     |
|                 | rolled out to production systems   |                 |        |             |                   |     |
|                 | Provide means to ensure compatibility with the business system and to  | Meets           | 4-35   | 4.a.2.1 9   |                   |     |
|                 | include fall back procedures   | ivieets         | 4-33   | 4.a.2.1 3   |                   |     |
|                 | include fail back procedures   |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 | Provide means for coordination with the system owner prior to making   | Meets           | 4-35   | 4.a.2.1 9   |                   |     |
|                 | changes on a weekly, monthly, quarterly, and yearly schedule   |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
| 6783            | March Additional Middlessons Comica Lovel Descriptores   | Nanta           | 4.25   | 4.a.2.1 9   |                   |     |
| C.7.8.2         | Meet Additional Middleware Service Level Requirements  | Meets           | 4-35   | 4.a.2.1 9   |                   |     |
|                 |  |                 |        |             |                   |     |
| C.7.9           | Meet Secure File Transfer Service Levels   | Meets           | 4-25   | 4.a.1.10    |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
| C.7.10          | Meet Virtual Desktop and Applications Service Levels   | Meets           | 4-73   | 4.b.1       |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
| C.7.11          | Meet Customer and Program Support Service Levels   | Meets           | 4-32   | 4.a.2.1.6   |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 |  |                 |        |             |                   |     |
|                 | Provide means for several tiers of support services; to include both   | Meets           | 4-32;  | 4.a.2.1.6;  |                   |     |
|                 | trouble ticket support and service management  |                 | 3-15;  | 3.2.b.vii;  |                   |     |
|                 |  |                 | 3-15;  | 3.2.b.viii; |                   |     |
|                 |  |                 | 3-15   | 3.2.b.ix    |                   |     |
|                 |  |                 |        | 1           |                   |     |
|                 | Drovido magneto ancura pro defined comites level metrico are sect  | Moots           | 4-32   | 12216       |                   |     |
|                 | Provide means to ensure pre-defined service level metrics are met;<br>(availability, time to response, time to resolve, and planned downtime) as | Meets           | 4-32   | 4.a.2.1.6   |                   |     |
|                 | identified within the severity level   |                 |        |             |                   |     |
|                 | nacrianca within the severity level  |                 |        |             |                   |     |
|                 | 1  |                 | 1      | 1           |                   |     |

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|                 |  | Not Meet)                     |               |                          |                                   |
|                 | Provide means to describe an outage greater than 1-hour of unscheduled downtime, including root-cause and fix  | Meets                         | 4-32          | 4.a.2.1.6                | (b) (4)                           |
| C.7.11.1        | Meet Service Center Availability Service Levels  | Meets                         | 4-32          | 4.a.2.1.6                |                                   |
|                 | Provide means for reaching support or service personnel, during hours of availability for service or log a trouble ticket  | Meets                         | 4-32          | 4.a.2.1.6                |                                   |
| C.7.11.1.1      | 8x5 Single Time Zone   | Meets                         | 4-32          | 4.a.2.1.6                |                                   |
| C.7.11.1.2      | 8x5 CONUS  | Meets                         | 4-32          | 4.a.2.1.6                |                                   |
| C.7.11.1.3      | 8x5 CONUS + Alaska   | Meets                         | 4-32          | 4.a.2.1.6                |                                   |
| C.7.11.1.4      | 24x7x365/366   | Meets                         | 4-32          | 4.a.2.1.6                |                                   |
| C.7.11.1.5      | Custom Work Hours, Custom Work Week, Selected Time Zone(s)   | Meets                         | 4-32          | 4.a.2.1.6                |                                   |
| C.7.11.1.6      | Defined Season or Emergency/Incident Support   | Meets                         | 4-33          | 4.a.2.1.6                |                                   |
|                 |  |                               |               |                          |                                   |
| C.7.11 2        | Meet Service Level Time To Respond (Acknowledge) to Requests Service Levels  | Meets                         | 4-33;<br>3-15 | 4.a.2.1.6;<br>3.2.b.vii  |                                   |
|                 | Provide means for acknowledgement of the request and initial service center within the specified time to respond, within the tiers of services to include the severity and priority levels | Meets                         | 4-33;<br>3-15 | 4.a.2.1.6;<br>3.2.b.vii  |                                   |
| C.7.11 3        | Meet Mean-Time-To-Resolve Service Levels   | Meets                         | 4-33          | 4.a.2.1.6;<br>3.2.b.viii |                                   |
|                 |  |                               |               |                          |                                   |

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|                  |  | Not Meet)  |                       |                                 |  |
|                  | Provide means of commitment on the mean time to resolve all service and support issues to include the severity and priority levels   | Meets  | 4-33;<br>3-15         | 4.a.2.1.6;<br>3.2.b.viii        | (h) $(1)$                                      |
| C.7.11.4         | Minimize Planned Downtime and Maintenance Windows  | Meets  | 4-30                  | 4.a.2.1.4                       | (D) (4)  |
|                  | Provide means for support services that accommodate several maintenance window maximums to include planned downtime  | Meets  | 4-30;<br>3-15         | 4.a.2.1.4;<br>3.2.b.ix          |  |
| C.8              | Optional Characteristics Requirements  |  |                       |                                 |  |
| C.8.1            | Support Resource Segregation Options   | Meets  | 4-73                  | 4.b.1                           |  |
|                  | Provide means for several options for segregating resources; fully   | Meets  | 4-73                  | 4.b.1                           |  |
|                  | segregated; Federal government segregation, and Non-segregated   |  |                       |                                 |  |
| C.8.2            | Support Non-production environments  | Meets  | 4-73                  | 4.b.1                           |  |
|                  | Provide means in order to define non-production environments (e.g., test, development, training, staging, sandbox) as customized copies of a production environment                      | Meets  | 4-73                  | 4.b.1                           |  |
|                  | Provide means for administrators to have the ability to adjust the non-production environment specifications   | Meets  | 4-73                  | 4.b.1                           |  |
|                  | Provide means for non-production environments to access production storage or middleware instances, to include populating storage, both inside or outside, of the provider's environment | Meets  | 4-73                  | 4.b.1                           |  |
|                  | Provide the ability to restrict access to non-production environments to users or "domains   | Meets  | 4-73                  | 4.b.1                           |  |
|                  | Provide the ability to create and destroy non-production environments via web console  | Meets  | 4-73                  | 4.b.1                           |  |
| C.8.3            | Support Requirement to Manage Underlying Physical Resources  | Meets  | 4-31                  | 4.a.2.1.4                       |  |
| C.8.4            | Provide Content Delivery Network (CDN)   | Does not Meet                                    |                       |                                 |  |
| C.8.5            | Support Unique Compliance Requirements   | Meets  | 4-92;<br>4-86<br>4-88 | 4.c.5;<br>4.c.1.14;<br>4.c.1.15 |  |
| C.8.6            | Support Alaska/Hawaii Regional Connectivity  | Meets  | 4-36                  | 4.c.1.15<br>4.a.2.1.11          |  |

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|                  |   | (Meets, Does    |        |             |                   |
|                  |   | Not Meet)       |        |             |                   |
| C.8.7            | Address Issues Related to Poor Connectivity                                   | Meets           | 4-36   | 4.a.2.1.11  |                   |
|                  | ,   |                 |        |             |                   |
|                  |   |                 |        |             |                   |
|                  |   |                 |        |             |                   |
|                  |   |                 |        |             | (b) (4)           |
|                  |   |                 |        |             |                   |
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|                  |   |                 |        |             |                   |
| C.8.8            | Support or Provide Hardware Clustering  | Meets           | 4-73   | 4.b.1       |                   |
| C.o.o            | Support of Provide Hardware Clustering  | ivieets         | 4-73   | 4.0.1       |                   |
|                  |   |                 |        |             |                   |
| C 0 0            | Descride Lond Releasing   | Masta           | 4-73   | 4.b.1       |                   |
| C.8.9            | Provide Load Balancing  | Meets           | 4-73   | 4.0.1       |                   |
|                  |   |                 |        |             |                   |
|                  |   |                 |        |             |                   |
| C 0 10           | Connection Describe Interference to New Description and Contains              | Nacto           | 4-74   | 4 5 4       |                   |
| C.8.10           | Support or Provide Interfaces to Non-Department Systems                       | Meets           | 4-74   | 4.b.1       |                   |
|                  |   |                 |        |             |                   |
|                  |   |                 |        |             |                   |
|                  | Partide the shifts to account a Control to the standard and a standard to the |                 | 4 74   | 4 5 4       |                   |
|                  | Provide the ability to connect a Contractor hosted system or data store to    | ivieets         | 4-74   | 4.b.1       |                   |
|                  | another system that is hosted outside the DOI boundaries                      |                 |        |             |                   |
|                  | Dustide the magnetication to be configured to support date                    | Masta           | 4.74   | 4 h 1       |                   |
|                  | Provide the means for the connection to be configured to support data         | Meets           | 4-74   | 4.b.1       |                   |
|                  | exchange, support authentication schemes required by either system,           |                 |        |             |                   |
| 6.0.44           | adhere to all security requirements   |                 | 4-74   | 4.b.1       |                   |
| C.8.11           | Support or Provide Static IP Addressing                                       | Meets           | 4-74   | 4.0.1       |                   |
| C.8.12           | Provision Dedicated Resources   | Meets           | 4-74   | 4.b.1       |                   |
| C.6.12           | Provision Dedicated Resources   | ivieets         | 4-74   | 4.0.1       |                   |
| C.9              | Associated Support Services   | Meets           | 4-74   | 4.b.1       |                   |
| C.5              | Associated Support Scrivices  | WICCIS          | 7 / 7  | 4.5.1       |                   |
|                  |   |                 |        |             |                   |
|                  |   |                 |        |             |                   |
|                  |   |                 |        |             |                   |
| J.5              | Bidder's Security Questionnaire   | Meets           | 2-1    | 2           |                   |
| J.17             | Scope of Offer Matrix   | Meets           | 3-1    | 3.1.1       |                   |
| J.18             | Operating Systems Supported   | Meets           | 3-3    | 3.2.a.i     |                   |
| J.19             | Compute-Host Configurations   | Meets           | 3-4    | 3.2.a.ii    |                   |
| J.20             | Storage Classes   | Meets           | 3-5    | 3.2.a.iii   |                   |
| J.21             | Network Connectivity  | Meets           | 3-5    | 3.2.a.iv    |                   |
| J.22             | Range of Database Software Supported  | Meets           | 3-6    | 3.2.a.v     |                   |
| J.23             | Range of Web Hosting Software Supported                                       | Meets           | 3-7    | 3.2.a.vi    |                   |
| J.24             | Range of Application Hosting elements Supported                               | Meets           | 3-8    | 3.2.a.vii   |                   |
| J.25             | Range of DOI Legacy Metering and Reporting Software Supported                 | Meets           | 3-9    | 3.2.a.viii  |                   |
| J.26             | Range of Other Middleware Supported   | Meets           | 3-10   | 3.2.a.ix    |                   |
| J.27             | Range of Scripting and Programming Software Supported                         | Meets           | 3-11   | 3.2.a.x     |                   |
| J.28             | Uptime and Availability Service Bands   | Meets           | 3-12   | 3.2.b.i     |                   |
| J.29             | Recovery Time Objectives (RTO)  | Meets           | 3-12   | 3.2.b.ii    |                   |
| J.30             | Recover Point Objectives (RPO)  | Meets           | 3-13   | 3.2.b.iii   |                   |
| J.31             | Mean Time to Restore (MTR)  | Meets           | 3-13   | 3.2.b.iv    |                   |
| J.32             | Compute-Host Provisioning Service Bands                                       | Meets           | 3-14   | 3.2.b.v     |                   |
| J.33             | Storage Provisioning Service Bands  | Meets           | 3-14   | 3.2.b.vi    |                   |
| J.34             | Customer Service Meantime to Acknowledge (MTA)                                | Meets           | 3-15   | 3.2.b.vii   |                   |
| J.35             | Customer Service Meantime to Resolve or Fix (MTF)                             | Meets           | 3-15   | 3.2.b.viii  |                   |
| J.36             | Scheduled Downtime (Maintenance Windows)                                      | Meets           | 3-15   | 3.2.b.ix    |                   |
| 3.30             | Scheduled Downthine (Maintenance Williams)                                    | 141000          | 2 13   | J. Z. W. IA |                   |

J\_17\_Scope of Offer Procurement Sensitive

Solicitation No. D12PS00316- Foundation Cloud Hosting Services (FCHS)

Attachment 17
Offeror:

| Offeror: | IBIVI   |          |                  |                   |          |             |           |                           |   |         |          |          |
|----------|---|----------|------------------|-------------------|----------|-------------|-----------|---------------------------|---|---------|----------|----------|
|          |   |          | idder Proposed ( | Cloud Service Mod |          |             | Scope of  | <b>Associated Sup</b>     | port Services P                           | rovided |          |          |
| Section  | Technical Service Line                            | In-Scope | laaS/PaaS        | SaaS              | Planning | Engineering | Migration | Application<br>Management | Interface Design and Integration Services | Testing | Training | Security |
| C.1.1.1  | Storage Services                                  | Х        | Х                |                   | Х        | Х           | Х         | Х                         | Х   | Х       | Х        | Х        |
| C.1.1.2  | Secure File Transfer Services                     | Х        |                  | Х                 | Х        | Х           | Х         | Х                         | Х   | Х       | Х        | Х        |
| C.1.1.3  | Virtual Machine Services                          | Χ        | Х                |                   | Χ        | Х           | Х         | Х                         | Х   | X       | Х        | Х        |
| C.1.1.4  | Database Hosting Services                         | Χ        | X                |                   | Χ        | Χ           | Χ         | X                         | Χ   | Х       | Χ        | Х        |
| C.1.1.5  | Web Hosting Services                              | Χ        | X                |                   | Χ        | Χ           | Χ         | X                         | Χ   | X       | Х        | Х        |
| C.1.1.6  | Development and Test Environment Hosting Services | Χ        | Х                |                   | Χ        | Χ           | Х         | Х                         | Х   | X       | Х        | Х        |
| C.1.1.7  | SAP Application Hosting Services                  | Χ        | Х                |                   | Χ        | Х           | Χ         | Х                         | X   | Х       | Х        | X        |

Attachment 34 - Customer Service Meantime to Acknowledge (MTA) Template

| Company Name | IBM |
|--------------|-----|
| •            |     |

|                               | Severity/Priority |             |              |             |              |             |              |             |
|-------------------------------|-------------------|-------------|--------------|-------------|--------------|-------------|--------------|-------------|
|                               | 1                 |             | 2            |             | 3            |             | 4            |             |
| Service Band                  | Minimum (>=)      | Maximum (<) | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) |
| Band 1                        | 0 minutes         | 15 minutes  | 0 minutes    | 30 minutes  | 0 minutes    | 45 minutes  | 0 minutes    | 60 minutes  |
| Band 2                        | 15 minutes        | 2 hours     | 30 minutes   | 4 hours     | 45 minutes   | 6 hours     | 60 minutes   | 8 hours     |
| Band 3                        | 2 hours           | 8 hours     | 4 hours      | 16 hours    | 6 hours      | 24 hours    | 8 hours      | 36 hours    |
| Band 4                        | 8 hours           | 24 hours    | 16 hours     | 48 hours    | 24 hours     | 72 hours    | 36 hours     | 96 hours    |
| DOI Minimum Performance Level |                   | 24 hours    |              | 48 hours    |              | 72 hours    |              | 96 hours    |

#### Attachment 35 Customer Service Mean Time to Resolve or Fix (MTF) Template

Company Name IBM

|                                     |              | Severity/Priority |              |             |              |             |              |             |  |
|-------------------------------------|--------------|-------------------|--------------|-------------|--------------|-------------|--------------|-------------|--|
|                                     |              | 1                 | 2            | 2           |              | 3           |              | 4           |  |
| Service Band                        | Minimum (>=) | Maximum (<)       | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) |  |
| Band 1                              | 0 min        | 15 min            | 0 min        | 30 min      | 0 min        | 45 min      | 0 min        | 60 min      |  |
| Band 2                              | 15 min       | 2 hr              | 30 min       | 4 hr        | 45 min       | 6 hr        | 60 min       | 8 hr        |  |
| Band 3                              | 2 hr         | 8 hr              | 4 hr         | 16 hr       | 6 hr         | 24 hr       | 8 hr         | 36 hr       |  |
| Band 4                              | 8 hr         | 24 hr             | 16 hr        | 48 hr       | 24 hr        | 72 hr       | 36 hr        | 96 hr       |  |
| DOI Minimum Performance Level 24 hr |              |                   | 48 hr        |             | 72 hr        |             | 96 hr        |             |  |

# Attachment 31 - Meantime to Restore (MTR) Template

| ,            |     |
|--------------|-----|
| Company Name | IBM |

# **Mean Time to Restore Services**

| Service Band | Mean-Time to Restore |  |  |
|--------------|----------------------|--|--|
| Band 1       | 15 minutes           |  |  |
| Band 2       | 4 hours              |  |  |
| Band 3       | 24 hours             |  |  |
| Band 4       | 72 hours             |  |  |
| Maximum MTR  | 72 hours             |  |  |

### Planned Downtime Service Bands

### **ATTACHMENT 36**

|                            | Maximum Scheduled Downtime Per week |             |  |  |
|----------------------------|-------------------------------------|-------------|--|--|
| Service Band               | Minimum (>=)                        | Maximum (<) |  |  |
| Band 1 (High Availability) |                                     | 0.1 min     |  |  |
| Band 2                     | 0.1 min                             | 1 hr        |  |  |
| Band 3                     | 1 hr                                | 2 hr        |  |  |
| Band 4                     | 2 hr                                | 4 hr        |  |  |
| Band 5                     | 4 hr                                | 8 hr        |  |  |
| DOI Maximum Allowed        | 8 hr                                |             |  |  |

# **Provisioning Service Levels**

**Compute Host** 

Attachment 32 - Compute-Host Provisioning Service Bands Template

Company Name IBM

# **Complete Manual Request**

## (in Minutes)

|                                 | Emergency    |             |  |  |
|---------------------------------|--------------|-------------|--|--|
| Service Band                    | Minimum (>=) | Maximum (<) |  |  |
| Band 1                          | 0 minutes    | 15 minutes  |  |  |
| Band 2                          | 15 minutes   | 2 hours     |  |  |
| Band 3                          | 2 hours      | 8 hours     |  |  |
| Band 4                          | 8 hours      | 24 hours    |  |  |
| Minimum Acceptable Performance: |              | 24 hours    |  |  |

# **Provisioning Service Levels**

Storage

Attachment 33 - Storage Provisioning Service Bands Template

| 0 10             |              |
|------------------|--------------|
| Company Name IBM | Company Name |

# **Complete Manual Request**

(in Minutes)

|                                 | Emergency    |             |  |
|---------------------------------|--------------|-------------|--|
| Service Band                    | Minimum (>=) | Maximum (<) |  |
| Band 1                          | 0 minutes    | 15 minutes  |  |
| Band 2                          | 15 minutes   | 2 hours     |  |
| Band 3                          | 2 hours      | 8 hours     |  |
| Band 4                          | 8 hours      | 24 hours    |  |
| Minimum Acceptable Performance: |              | 24 hours    |  |

| J_30_RPO  |
|---|
| [Service_Level_RPO]_[IBM]                               |
| Attachment 30 - Recovery Point Objective (RPO) Template |

| Company Name | IBM |
|--------------|-----|
|              |     |

# **Recovery Point Objective (RPO)**

| Service Band                    | From      | То        |
|---------------------------------|-----------|-----------|
| Band 1                          | 0 minutes | 5 minutes |
| Band 2                          | 5 minutes | 4 hours   |
| Band 3                          | 4 hours   | 24 hours  |
| Band 4                          | 24 hours  | 48 hours  |
| Band 5                          | 48 hours  | 7 days    |
| Minimum Acceptable Performance: |           | 7 days    |

# Recovery Time Objective (RTO)

# Attachment 29 - Recovery Time Objectives (RTO) Template

Company Name IBM

# Recovery Time Objective (RTO)

| Service Band                    | From      | То        |
|---------------------------------|-----------|-----------|
| Band 1                          | 0 minutes | 5 minutes |
| Band 2                          | 5 minutes | 4 hours   |
| Band 3                          | 4 hours   | 24 hours  |
| Band 4                          | 24 hours  | 48 hours  |
| Band 5                          | 48 hours  | 7 days    |
| Minimum Acceptable Performance: |           | 7 days    |

## Uptime and Availability Service Levels

Attachment 28 - Uptime and Availability Service Bands Template

Company Name IBM

# **Uptime and Availability**

| Service Band                    | Minimum (>=) | Maximum (<) | Maximum Planned Downtime |
|---------------------------------|--------------|-------------|--------------------------|
| Band 1                          | 99.99%       | 100%        | <4 minutes/month         |
| Band 2                          | 99.90%       | 99.99%      | <43 minutes/month        |
| Band 3                          | 99%          | 99.90%      | <7.2 hours /month        |
| Band 4                          | 95%          | 99%         | <36 hours/month          |
| Minimum Acceptable Performance: | 95%          |             | <36 hours/month          |

| J_20_sto  | rage c | asses  |
|-----------|--------|--------|
| [Storage_ | Class] | _[IBM] |

| Company Name: | IBM |
|---------------|-----|

# **Storage Classes**

|               |                      | Uptime/      |                        |
|---------------|----------------------|--------------|------------------------|
| Storage Class | Throughput           | Availability | Example                |
| Α             | 8 Gbps               | 99.999%      | High Speed SAN         |
| В             | 1 Gbps               | 99.999%      | low-speed SAN          |
| С             | 50 Mbps              | 99.9%        | Remote On-line Storage |
| D             | Access within 24 hrs | offline      | Tape Library           |

| Company Name: | IBM |
|---------------|-----|
|               |     |

**Web Hosting Elements Supported** 

| Software                     | Supported | Licensing Available | Comments   |
|------------------------------|-----------|---------------------|--|
| Apache                       | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| TomCat                       | х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Geronimo                     | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| IBM WebSphere                | х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Oracle Application Server    | Х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Jrun                         | х         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| GlassFish                    | X         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| IBM HTTP Server              | X         | Х                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| IIS                          | X         | X                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| Jetty (Eclipse Foundations)  | X         | X                   | SmartCloud for Government Supports, IBM has licensing available, IBM has professional services as well |
| serry (compact outlinations) | ^         | ^                   | 1  |

| Company Name: | IBM |
|---------------|-----|
|               |     |

**Application Hosting Supported** 

| Software                                     | Supported | Licensing Available | Comments   |
|--|-----------|---------------------|--|
| ColdFusion                                   |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| GlassFish                                    |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| G. 1337 1311                                 |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Hibernate                                    |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| niperilate                                   |           |                     |  |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
| 1000   |           |                     | offering.  |
| JBOSS App Server and Suite                   |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Matlab                                       |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Media Wiki                                   |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Oracle Application Server and BPM Middleware |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| • •  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Silverlight                                  |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| <b>-</b>                                     |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Sun SMQ                                      |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| 5411 51VIQ                                   |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| Tuvodo                                       |           |                     |  |
| Tuxedo                                       |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| WebLogic                                     |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
| WordPress                                    |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|  |           |                     | laaS offerings. The middleware installation, licensing |
|  |           |                     | and support are not included with the standard         |
|  |           |                     | offering.  |
|  |           |                     |  |

| Company Name:       | IBM  |
|---------------------|------|
| Definition of Core: | 2GHZ |

| Extra Small Small Medium Large | Cores (#)  1  2  4  8  16 | Pr Configuration RAM (GB)  2  4  8  16 |
|--------------------------------|---------------------------|--|
| Small<br>Medium<br>Large       | 2 4 8                     | 4<br>8<br>16                           |
| Medium<br>Large                | 4<br>8                    | 8<br>16                                |
| Large                          | 8                         | 16                                     |
|                                |                           |  |
|                                | 16                        | 16                                     |
| Extra Large                    |                           |  |
| High Memory                    |                           |  |
| Extra Small                    | 1                         | 4                                      |
| Small                          | 2                         | 8                                      |
| Medium                         | 4                         | 16                                     |
| Large                          | 8                         | 32                                     |
| Extra Large                    | 16                        | 64                                     |
| High Compute                   |                           |  |
| Medium NA                      | ١                         | NA                                     |
| Large NA                       | \                         | NA                                     |
| Extra Large NA                 | ١                         | NA                                     |
| High Compute Cluster           |                           |  |
| Large NA                       | ١                         | NA                                     |
| Extra Large NA                 | ١                         | NA                                     |
| Custom                         |                           |  |
| (Task Order Defined)           |                           |  |

| Company Name: | IBM |
|---------------|-----|
|               |     |

**Database Supported** 

| Database Supported                     |           |                     |  |
|--|-----------|---------------------|--|
| Software                               | Supported | Licensing Available | Comments   |
| Informix                               |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| MS SQL Express                         |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| MS SQL Server (2005, 2008, 2010, 2012) |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| MySQL                                  |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| Oracle 10g                             |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| Oracle 11g                             |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| Oracle 8a                              |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| PostGIS                                |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| PostGreSQL                             |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| SQLite                                 |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
| Sybase IQ                              |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|  |           |                     | laaS offerings. The middleware installation, licensing   |
|  |           |                     | and support are not included with the standard offering. |
|  |           |                     |  |
|  | -         | -                   |  |

| ompany Name:   |           |                     | IBM      |     |
|--|-----------|---------------------|----------|-----|
| OI Legacy Metering and Reporting Software            |           |                     |          |     |
| upported Template                                    |           |                     |          |     |
| oftware  | Supported | Licensing Available | Comments |     |
| ctuate   |           |                     | (b)      | (4) |
| WStats   |           |                     |          |     |
| wstats   |           |                     |          |     |
| rystal Reports                                       |           |                     |          |     |
|  |           |                     |          |     |
| iddler   |           |                     |          |     |
|  |           |                     |          |     |
| roundWork  |           |                     |          |     |
|  |           |                     |          |     |
| yperion SQR Production Reporting                     |           |                     |          |     |
|  |           |                     |          |     |
| BM Applications Service Center                       |           |                     |          |     |
|  |           |                     |          |     |
| asperReports Server                                  |           |                     |          |     |
|  |           |                     |          |     |
| Nicrosoft Systems Center Operations Manager MS SCOM) |           |                     |          |     |
|  |           |                     |          |     |
| AGIOS  |           |                     |          |     |
|  |           |                     |          |     |
| marterStats  |           |                     |          |     |
|  |           |                     |          |     |
| plunk  |           |                     |          |     |
|  |           |                     |          |     |
| Vindows Log Parser                                   |           |                     |          |     |
|  |           |                     |          |     |
|  | 1         |                     |          |     |

Company Name IBM

| Section     | From  | То  | Minimum Requirements |
|-------------|---|---|----------------------|
| C.6.1.4.2.1 | Compute Host Instance<br>(Vendor Data Center A) | Compute Host Instance<br>(Vendor Data Center A)                                     | (b) (1)              |
| C.6.1.4.2.2 | Compute Host Instance<br>(Vendor Data Center A) | · ·   | (D) (4)              |
| C.6.1.4.2.3 | Vendor Data Center                              | DOI Intranet (measured at<br>the DOI Trusted Internet<br>Connection point of entry) |                      |
| C.6.1.4.2.4 | Compute Host Instance,<br>Vendor Data Center    | Internet  |                      |
| C.6.1.4.2.5 | Vendor Data Center                              | DOI Customers (LAN-to-LAN<br>VPN and dedicated circuits)                            |                      |

VM OS

### Attachment 18 - Operating Systems Licensing and Support

Operating System License Desriptions and Ranges of Version/Release Support

| IBM    | вм                |                   | Supp           | orted                      | Provided       |                            |  |
|--------|-------------------|-------------------|----------------|----------------------------|----------------|----------------------------|--|
|        |                   |                   | Range of Vers  | Range of Versions/Releases |                | Range of Versions/Releases |  |
| OS ID  | Operating         | System            | From           | То                         | From           | То                         |  |
| OS0001 | Microsoft Windows | Enterprise Server | 2003           | 2008                       | 2003           | 2008                       |  |
| OS0002 | LINUX             | Centos            | Do not Support |                            | Do not Provide |                            |  |
| OS0003 | LINUX             | Red Hat           | 5              | 6                          | 5              | 6                          |  |
| OS0004 | LINUX             | Ubuntu            | Do not Support |                            | Do not Provide |                            |  |
| OS0005 | LINUX             | Enterprise        | Do Not Support |                            | Do not Provide |                            |  |
| OS0006 | LINUX             | Scientific        | 6              | 6                          | Do not Provide |                            |  |
| OS0007 | Sun Solaris       | for Intel         | Do Not Support |                            | Do not Provide |                            |  |
| OS0008 | Sun Solaris       | for SPARC         | Do Not Support |                            | Do not Provide |                            |  |
| OS0009 | IBM               | AIX               | 6              | 6                          | 6              | 6                          |  |
| OS0010 | HP                | HPUX              | Do Not Support |                            | Do not Provide |                            |  |
| OS0011 | LINUX             | SUSE Enterprise   | 11             | 11                         | 11             | 11                         |  |
| OS0012 |                   |                   |                |                            |                |                            |  |
| OS0013 |                   |                   |                |                            |                |                            |  |
| OS0014 |                   |                   |                |                            |                |                            |  |
| OS0015 |                   |                   |                |                            |                |                            |  |
| OS0016 |                   |                   |                |                            |                |                            |  |

#### Notes:

- 1 Operating system lisencing is included.
- 2 Centos is not provided or supported; however, it can be installed and suported by the Government.
- 3 Ubuntu is in the roadmap for 2013. Right now it can be installed and supported by the Government.
- 4 AIX 7 is on the roadmap to be provided and supported early in 2013.

Company Name: IBM

| Other Middleware Supported              |           |  |  |
|---|-----------|--|--|
| Software                                | Supported | Licensing Available                          | Comments   |
| Adlassian Jira                          |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are<br>laaS offerings. The middleware installation, licensing |
|   |           |  | and support are not included with the standard   |
|   |           |  | offering.  |
| Adobe Pro                               |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard offering.   |
| ArborText                               |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
| O'C V. A.                               |           |  | offering.  |
| Citrix XenApp                           |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are<br>laaS offerings. The middleware installation, licensing |
|   |           |  | and support are not included with the standard   |
|   |           |  | offering.  |
| Citrix XenDesktop                       |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing<br>and support are not included with the standard       |
|   |           |  | offering.  |
| Citrix XenServer                        |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard offering.   |
| Common Spot                             |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| oonmon oper                             |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
| 0                                       |           |  | offering.  |
| CommVault                               |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are<br>laaS offerings. The middleware installation, licensing |
|   |           |  | and support are not included with the standard   |
|   | <u> </u>  | <u>                                     </u> | offering.  |
| Documentum                              |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard offering.   |
| Eclipse Plug-ins                        |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| pg                                      |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
| E A PROPERTY                            |           |  | offering.  |
| Entellitrak                             |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are<br>laaS offerings. The middleware installation, licensing |
|   |           |  | and support are not included with the standard   |
|   |           |  | offering.  |
| Hydra                                   |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing<br>and support are not included with the standard       |
|   |           |  | offering.  |
| IBM FileNet                             |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard offering.   |
| Microsoft Dynamix CRM 2011              |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
| N                                       |           |  | offering.  |
| Net Backup                              |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are<br>laaS offerings. The middleware installation, licensing |
|   |           |  | and support are not included with the standard   |
|   |           |  | offering.  |
| Networker                               |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard offering.   |
| Oracle ADF                              |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
| Prolifics                               | -         |  | offering.  SmartCloud Enterprise and SmartCloud Enterprise+ are  |
| 1 1011103                               |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
|   |           |  | offering.  |
| PureDisk                                |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing<br>and support are not included with the standard       |
|   |           |  | offering.  |
| SharePoint                              |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard offering.   |
| Software AG/Entirex DCOM (Communicator, |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
| XML Mediator, Adapters)                 |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
| SQL Forms                               | -         |  | offering.  |
| JULI JIIIS                              |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are<br>laaS offerings. The middleware installation, licensing |
|   |           |  | and support are not included with the standard   |
|   |           |  | offering.  |
| Web Center Content                      |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard offering.   |
| XML DataPower                           |           |  | SmartCloud Enterprise and SmartCloud Enterprise+ are   |
|   |           |  | laaS offerings. The middleware installation, licensing   |
|   |           |  | and support are not included with the standard   |
|   |           | +  | offering.  |
|   | 1         |  | 1  |

| Company Name: | IBM |
|---------------|-----|
|               |     |

**Scripting and Programming** 

| Scripting and Programming Software | Supported | Licensing Available   | Comments  |
|------------------------------------|-----------|-----------------------|---|
| .NET                               | Supported | Electioning Available | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
| 1461                               |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       |   |
| A CD4                              |           |                       | offering.   |
| ASP.net                            |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Flex Action Script                 |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| ISAPI                              |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Java                               |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
| 1                                  |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Java Serint                        |           |                       |   |
| Java Script                        |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Jscript                            |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Node.js                            |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| 4GL                                |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
| .02                                |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Perl                               |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
| ren                                |           |                       | · · · · · · · · · · · · · · · · · · ·                   |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| РНР                                |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Python                             |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| RScript                            |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
| <b>x</b> -                         |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| Ruby on Rails                      |           |                       |   |
| Kuby Uli Kalis                     |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
| UNIX Scripting                     |           |                       | SmartCloud Enterprise and SmartCloud Enterprise+ are    |
|                                    |           |                       | laaS offerings. The middleware installation, licensing, |
|                                    |           |                       | and support are not included with the standard          |
|                                    |           |                       | offering.   |
|                                    |           | -                     |   |

Attachment 16 Requirements Traceability Matrix

| Company | Name |
|---------|------|
|---------|------|

| Solicitation Ref | erence   |                   |          |            | Offer Reference   |
|------------------|--|-------------------|----------|------------|-------------------|
| Section #        | Requirement  | Contractor Self   | Page #   | Section #  | Brief Description |
| Section ii       | requirement  | Certification     | i age ii | Section ii | Brief Bescription |
|                  |  | (Meets, Does      |          |            |                   |
|                  |  | Not Meet)         |          |            |                   |
| C.1              | (Information)  | rect wicety       |          |            |                   |
| C.2              | (Information)  |                   |          |            |                   |
| C.2.2            | Initial Technical Service Lines  |                   |          |            |                   |
| C.2.2.1          | Storage Services   |                   |          |            |                   |
| C.2.2.2          | Secure File Transfer Services  |                   |          |            |                   |
| C.2.2.3          | Virtual Machine Services   |                   |          |            |                   |
| C.2.2.4          | Database Hosting Services  |                   |          |            |                   |
| C.2.2.5          | Web Hosting Services   |                   |          |            |                   |
| C.2.2.6          | Development and Test Environment Hosting Services  |                   |          |            |                   |
| C.2.2.7          | SAP Application Hosting Services   |                   |          |            |                   |
| C.3              | (Information)  |                   |          |            |                   |
| C.4              | (Information)  |                   |          |            |                   |
| C.5              | Establish and Meet Enterprise-Wide Requirements  |                   |          |            |                   |
| C.5.1            | Comply with Essential Cloud Service Requirements   |                   |          |            |                   |
| C.5.1.1          | On-Demand Self Service   | Meets             | 4-6      | 4.a.1.2.6  |                   |
| C.S.1.1          | on bemana sen service  | Meets             | 7 0      | 7.0.1.2.0  |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   |          |            |                   |
| C F 1 2          | Ubiquitous Network Access  | Manta             | 1.6      | 4.a.1.2.6  | (b) (4)           |
| C.5.1.2          | Obiquitous Network Access  | Meets             | 4-6      | 4.a.1.2.6  |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   |          |            |                   |
| C.5.1.3          | Location Independent Resource Pooling  | Meets             | 4-6      | 4.a.1.2.6  |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   |          |            |                   |
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| C.5.1.4          | Rapid Elasticity   | Meets             | 4-6      | 4.a.1.2.6  |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   |          |            |                   |
| C.5.1.5          | Measured Services  | Meets             | 4-6      | 4.a.1.2.6  |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   |          |            |                   |
| C.5.2            | Manage Service Delivery and Maintain Business Relationships and  |                   |          |            |                   |
|                  | Interconnections   |                   |          |            |                   |
| C.5.2.1          | Provide Browser-Based Management Functionality   |                   |          |            |                   |
| C.5.2.1.1        | Define User Roles and Support User Authorization Workflows   | Meets             | 4-7      | 4.a.1.2.6  |                   |
|                  |  |                   |          |            |                   |
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|                  |  |                   |          |            |                   |
| C.5.2.1.2        | Provision, Configure and De-Provision (Release) Resources  | Meets             | 4-7      | 4.a.1.2.6  |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   | I        |            |                   |
| C.5.2.1.3        | Monitor Performance and Manager Alerts and Reporting   | Meets             | 4-7      | 4.a.1.2.6  |                   |
|                  | The second secon | 1                 | l        |            |                   |
|                  |  |                   |          |            |                   |
|                  |  |                   | I        |            |                   |
| C.5.2.1.4        | Monitor Resource Usage/Utilization and Provide Cost Metering and Cost  | Does not meet     | t        |            |                   |
| 3.3.2.1.7        | Controls   | S S S S NOT MICEL | I        |            |                   |
| C.5.2.1.5        | Manage Open and Resolved Incidents and Service Requests.   | Meets             | 4-7      | 4.a.1.2.6  |                   |
| C.J.L.1.J        | manage open and nesowed incluents and service nequests.  | WICCIS            | l        | 7.u.1.Z.U  |                   |
|                  |  |                   |          |            |                   |
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| Solicitation Re | ference  |                 |        |           | Offer Reference   |
|-----------------|--|-----------------|--------|-----------|-------------------|
| Section #       | Requirement  | Contractor Self | Page # | Section # | Brief Description |
| Section #       | Requirement  | Certification   | Page # | Section # | Bhei Description  |
|                 |  | (Meets, Does    |        |           |                   |
|                 |  | Not Meet)       |        |           |                   |
| C.5.2.2         | Support DOI System Interfaces                                      | Meets           | 4-7    | 4.a.1.2.6 |                   |
| C.3.2.2         | Support DOI System interfaces                                      | ivieets         | 4-7    | 4.a.1.2.0 |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
| C.5.2.3         | Incloses the reserved and Effective Devices and Management         | Meets           | 4-7    | 4.a.1.2.6 | (D) (4)           |
| C.5.2.3         | Implement Transparent and Effective Performance Management         | ivieets         | 4-7    | 4.a.1.2.6 |                   |
|                 |  |                 |        |           |                   |
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| C.5.2.4         | Implement Efficient, Effective and Formal Governance               | Meets           | 4-7    | 4.a.1.2.6 |                   |
|                 |  |                 |        |           |                   |
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|                 |  |                 |        |           |                   |
| C.5.2.5         | Protect Intellectual Property Rights                               | Meets           | 4-7    | 4.a.1.2.6 |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
| C.5.2.6         | Prohibit and Actively Prevent Adware, SPAM and Remarketing of DOI  | Meets           | 4-7    | 4.a.1.2.6 |                   |
|                 | Information  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  |                 |        |           |                   |
| C.5.3           | Establish and Maintain Security and Privacy                        |                 |        |           |                   |
| C.5.3.1         | Comply with FedRAMP and DOI Information Security and Privacy       | Does not meet   | 1-7    | 4.a.1.2.6 |                   |
| C.3.3.1         |  | poes not meet   | 4-7    | 4.d.1.2.0 |                   |
|                 | Requirements   | 1               |        |           |                   |
|                 |  |                 |        |           |                   |
|                 |  | 1               |        |           |                   |
|                 |  |                 |        |           |                   |
| ļ               |  |                 | 1      |           |                   |
| ļ               | a. DOI Security Control Standards                                  | Does not meet   |        |           |                   |
|                 | b. DOI Cloud Hosting Services IT Security and Privacy Requirements | Does not meet   |        |           |                   |
| ļ               | c. DOI Privacy Loss Mitigation Strategy (PLMS)                     | Does not meet   |        |           |                   |
|                 | d. Additional IT Security Information                              | Does not meet   |        |           |                   |
| C.5.3.2         | Provide User Authentication and Secure Connections                 | Does not meet   | 4-7    | 4.a.1.2.6 |                   |
|                 |  | 1               |        |           |                   |
|                 |  |                 |        |           |                   |
| <u></u>         |  | _1              |        | <u> </u>  |                   |
| C.5.3.3         | Comply with Security Assurance Requirements                        | Does not meet   |        |           |                   |
|                 | Provide Security Assessment Plan                                   | Does not meet   |        |           |                   |
|                 | Provide Security Assessment Report                                 | Does not meet   |        |           |                   |
|                 | •  |                 |        | •         |                   |

| Solicitation Reference  Gequirement Sequence  Gequirement Gequirement Control  Complete Third Party Assessment of Security Controls and Miligate  Consider Third Party Assessment of Security Controls and Miligate  Control Control Control Control  Control Control Control  Control Control  Control Control  Control Control  Contr |                |   | 1  |                  | 0" 5 '   |                   |
|--|----------------|---|--|------------------|--|-------------------|
| Complete Third Party Assissment of Security Controls and Millipate  Control Complete Third Party Assissment of Security Controls and Millipate  Meditorium.  A Complete Third Party Assissment of Security Controls and Millipate  Meditorium.  A Control Cont |                |   |  |                  |  | Offer Reference   |
| Meets   Does   Not Meets   N   | Section #      | Requirement   |  | Page #           | Section #  | Brief Description |
| Ca.3.4.1 Complete Third Party Assessment of Security Controls and Minigate West-recess Wes |                |   | Certification                                    |                  |  |                   |
| Casa 6 Competer Their Damy Assessment of Security Controls and Milligrate Windows Assessment of Provide Biotide 7 Security Questionnaire Members 2:1 2 2 5:5.4.5 1 Implement and Maritanian Access Costrols Does not meet 1 5:5.4.6 1 Implement and Maritanian Access Costrols Does not meet 1 5:5.4.6 1 Implement and Maritanian Access Costrols Does not meet 1 5:5.4.6 Implement and Maritanian Access Costrols Does not meet 1 Does not meet 1 5:5.4.6 Implement and Maritanian Access Costrols Does not meet 1 Does not meet 1 5:5.4.6 Implement and Maritanian Costrols Does not meet 1 Does not meet 1 5:5.4.6 Implement and Maritanian Costrols Does not meet 1 Does not meet 1 5:5.4.7 Implement and Maritanian Costrols Does not meet 1 Does not meet 1 5:5.4.7 Implement and Maritanian Costrols Does not meet 1 Does not meet 1 5:5.4.7 Implement and Maritanian Maritanian Planning Costrols Does not meet 1 Does not meet 1 5:5.4.7 Implement and Maritanian Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Costrols Does not meet 1 5:5.4.7 Implement and Maritanian Planning Cost |                |   | (Meets, Does                                     |                  |  |                   |
| Attachments   Security Questionnaire   Meets   2.1   |                |   | Not Meet)  |                  |  |                   |
| Attachments   Security Questionnaire   Meets   2.1   | C 5 3 4        | Complete Third Party Assessment of Security Controls and Mitigate     | Does not meet                                    | ì                |  |                   |
| Attachment   Service Redder's Security Questionnaire   C5.34.21   Implement and Minitaria Austraces Controls   C5.34.22   Implement and Minitaria Austraces Controls   Ones not meet   C5.34.24   Implement and Minitaria Austraces and Training Controls   Ones not meet   C5.34.34   Implement and Minitaria Austraces and Authorization Controls   Ones not meet   C5.34.34   Implement and Minitaria Security Austraces   Ones not meet   C5.34.34   Implement and Minitaria Confliguration Management Controls   Ones not meet   C5.34.34   Implement and Minitaria Confliguration Management Controls   Ones not meet   C5.34.34   Implement and Minitaria Confliguration Management Controls   Ones not meet   C5.34.34   Implement and Minitaria Minitarians Controls   Ones not meet   C5.34.34   Implement and Minitaria Minitarians Controls   Ones not meet   C5.34.34   Implement and Minitarian Mantenance Controls   Ones not meet   C5.34.34   Implement and Minitarian Management Protection Controls   Ones not meet   C5.34.34   Implement and Minitarian Protection Controls   Ones not meet   C5.34.34   Implement and Minitarian Protection Controls   Ones not meet   C5.34.34   Implement and Minitarian Protection Controls   Ones not meet   C5.34.34   Implement and Minitarian Protection Controls   Ones not meet   C5.34.34   Implement and Minitarian System and Communication Protection Controls   Ones not meet   C5.34.34   Implement and Minitaria System and Communication Protection Controls   Ones not meet   C5.34.34   Implement and Minitaria System and Communication Protection Controls   Ones not meet   C5.34.34   Implement and Minitaria System and Communication Protection Controls   Ones not meet   C5.34.34   Implement and Minitaria System and Communication Protection Controls   Ones not meet   C5.34.34   Implement and Minitaria System and Communication Protection Controls   Ones not meet   C5.34.34   Implement and Minitaria System and Communication Controls   Ones not meet   Ones no   | C.S.S.4        |   | Does not meet                                    |                  |  |                   |
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| C.3.3.1.3 Implement and Maintain Personnel Security Controls C.3.3.1.5 Implement and Maintain Risk Assessment Controls C.3.3.1.5 Implement and Maintain System and Services Acquistion Controls C.3.3.1.5 Implement and Maintain System and Communication Protection Controls C.3.3.1.6 Implement and Maintain System and Communication Protection Controls C.3.4.1.7 Implement and Maintain System and Information Integrity Controls C.3.4.2.7 Implement and Maintain System and Information Integrity Controls C.3.4.2.7 Ensure Portability of IT Systems and Facilitate Migration between System Provider C.3.4.1.7 Provider Basic Resource Requirements C.3.4.1.7 Provide Basic Resources  C.3.4.1.7 Provide and Support Operating System Resource Requirements  C.3.4.1.7 Provide and Support Operating System Resource Requirements  C.3.4.1.7 Provide and Support Compute-Host Resources  Meets  C.3.4.1.2.6 Provide and Support Storage Operations  Meets  C.3.4.1.2.6 Provide Access to Storage Operations  Meets  C.3.4. | C.5.3.4.11     | Implement and Maintain Physical and Environmental Protection Controls | Does not meet                                    |                  |  |                   |
| C.3.3.1.3 Implement and Maintain Personnel Security Controls C.3.3.1.5 Implement and Maintain Risk Assessment Controls C.3.3.1.5 Implement and Maintain System and Services Acquistion Controls C.3.3.1.5 Implement and Maintain System and Communication Protection Controls C.3.3.1.6 Implement and Maintain System and Communication Protection Controls C.3.4.1.7 Implement and Maintain System and Information Integrity Controls C.3.4.2.7 Implement and Maintain System and Information Integrity Controls C.3.4.2.7 Ensure Portability of IT Systems and Facilitate Migration between System Provider C.3.4.1.7 Provider Basic Resource Requirements C.3.4.1.7 Provide Basic Resources  C.3.4.1.7 Provide and Support Operating System Resource Requirements  C.3.4.1.7 Provide and Support Operating System Resource Requirements  C.3.4.1.7 Provide and Support Compute-Host Resources  Meets  C.3.4.1.2.6 Provide and Support Storage Operations  Meets  C.3.4.1.2.6 Provide Access to Storage Operations  Meets  C.3.4. |                |   |  |                  |  |                   |
| C.S.3.4.15 Implement and Maintain Risk Assessment Controls C.S.3.4.15 Implement and Maintain System and Communication Protection Controls Does not meet C.S.3.4.17 Implement and Maintain System and Communication Protection Controls Does not meet C.S.3.4.17 Implement and Maintain System and Information Integrity Controls C.S.3.4.17 Implement and Maintain System and Information Integrity Controls C.S.4 Insure Portability off Systems and Facilitate Migration between System Does not meet C.S.4 Extablish and Meet Resource Requirements C.S.6 Establish and Meet Resource Requirements C.S.7 Provide Basic Resources  Meets C.S.1 Provide and Support Operating System Resource Requirements  C.S.1 Provide and Support Compute-Host Resources  Meets C.S.2 Provide and Support Compute-Host Resources  Meets C.S.3 Provide and Support Storage Resources  Meets C.S.3 Provide and Support Storage Resources  Meets C.S.3 Provide and Support Storage Resources  Meets C.S.3 Provide Access to Storage API's  Meets C.S.3 Provide Access to Storage API's  Meets C.S.3 Provide Access to Storage Operations  Meets C.S.3 Provide Access to Storage Operations  Meets C.S.3 Provide Access to Storage Operations  Meets C.S.3 Support Storage Resource Classes  Meets  | C.5.3.4.12     | Implement and Maintain Planning Controls                              | Does not meet                                    |                  |  |                   |
| C.S.3.4.15 Implement and Maintain System and Services Acquistion Controls Does not meet C.S.3.4.15 Implement and Maintain System and Communication Protection Controls Does not meet C.S.3.4.17 Implement and Maintain System and Communication Protection Controls Does not meet C.S.3.4.17 Implement and Maintain System and Facilitate Migration Detween System Does not meet C.S.4.17 Provides Access to Storage Resource Requirements C.S.4.17 Provide Basic Resource Requirements C.S.4.17 Provide and Support Operating System Resource Requirements C.S.4.17 Meets C.S.4.18 Provide and Support Compute-Host Resources C.S.4.19 Provide Access to Storage Resources Meets C.S.4.19 Provide Access to Storage API'S Meets C.S.4.19 Support Storage for Both Files and Data Objects Meets C.S.4.19 Provide Access to Storage Operations Meets C.S.4.19 Provide Access to Storage Poperations Meets C.S.4.19 Provide Acc | C.5.3.4.13     | Implement and Maintain Personnel Security Controls                    | Does not meet                                    | $\mathbb{L}^{-}$ |  |                   |
| C.S.3.4.15 Implement and Maintain System and Services Acquistion Controls Does not meet C.S.3.4.15 Implement and Maintain System and Communication Protection Controls Does not meet C.S.3.4.17 Implement and Maintain System and Communication Protection Controls Does not meet C.S.3.4.17 Implement and Maintain System and Facilitate Migration Detween System Does not meet C.S.4.17 Provides Access to Storage Resource Requirements C.S.4.17 Provide Basic Resource Requirements C.S.4.17 Provide and Support Operating System Resource Requirements C.S.4.17 Meets C.S.4.18 Provide and Support Compute-Host Resources C.S.4.19 Provide Access to Storage Resources Meets C.S.4.19 Provide Access to Storage API'S Meets C.S.4.19 Support Storage for Both Files and Data Objects Meets C.S.4.19 Provide Access to Storage Operations Meets C.S.4.19 Provide Access to Storage Poperations Meets C.S.4.19 Provide Acc | C.5.3.4.14     | Implement and Maintain Risk Assessment Controls                       | Does not meet                                    |                  |  |                   |
| C.S.3.4.15 Implement and Maintain System and Communication Protection Controls C.S.3.4.17 Implement and Maintain System and Information Integrity Controls C.S.4.17 Ensure Portability of IT Systems and Facilitate Migration between System Providers C.S.4.17 Provides C.S.4.18 Provides C.S.1.19 Provide Basic Resource Requirements C.S.1.10 Provide Basic Resource Requirements C.S.1.10 Provide and Support Operating System Resource Requirements C.S.1.10 Provide and Support Operating System Resource Requirements C.S.1.10 Provide and Support Compute Host Resources C.S.1.10 Provide and Support Storage Resources C.S.1.10 Provide and Support Storage Resources C.S.1.10 Provide and Support Storage Resources C.S.1.10 Provide Access to Storage API'S C.S.1.11 Identify and Provide Access to Storage API'S C.S.1.11 Identify and Provide Access to Storage API'S C.S.1.11 Meets C.S.1.11 Support Storage for Both Files and Data Objects C.S.1.11 Meets C.S.1.11 Support Storage Resource Classes C.S.1.12 Support Storage Resource Classes C.S.1.13 Support Storage Resource Classes C.S.1.14 Support Storage Resource Classes C.S.1.15 Support Storage Resource Classes C.S.17 Support Storage Resource Classes C.S.18 Support Storage Resource Classes C.S.18 Support Storage Resource  |                |   |  | Ī                |  |                   |
| C.S.3.4.17 Implement and Maintain System and Information Integrity Controls C.S.4 Ensure Portability of IT Systems and Facilitate Migration between System Providers C.G. Establish and Meet Resource Requirements C.G.1 Provide Basic Resources Meets C.G.1.1 Provide and Support Operating System Resource Requirements  C.G.1.1 Provide and Support Operating System Resource Requirements  C.G.1.2 Provide and Support Compute-Host Resources Meets C.G.1.2 Provide and Support Compute-Host Resources Meets C.G.1.3 Meets C.G.1.3 Provide and Support Compute-Host Resources Meets C.G.1.3 Provide and Support Storage Resources Meets C.G.1.3 Provide and Support Storage Resources Meets C.G.1.3 Identify and Provide Access to Storage API's Meets C.G.1.3 Support Storage for Both Files and Data Objects Meets C.G.1.3 Support Storage Resource Classes Meets C.G.1.3 Support Storage Resource Classes Meets M |                | ,   |  | t e              |  |                   |
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| C.6.1.1 Provide and Support Operating System Resource Requirements Meets 4-7 4.a.1.2.6  Current Meets 4-7 4.a.1.2.6  Future Meets 4-7 4.a.1.2.6  C.6.1.2 Provide and Support Compute-Host Resources Meets 4-7 4.a.1.2.6  Contractor Proposed Configurations meet or exceed Minimum Meets 4-7 4.a.1.2.6  Configuration Requirements Meets 4-7 4.a.1.2.6  C.6.1.3 Provide and Support Storage Resources Meets 4-7 4.a.1.2.6  C.6.1.3.1 Identify and Provide Access to Storage API'S Meets 4-7 4.a.1.2.6  C.6.1.3.2 Support Storage for Both Files and Data Objects Meets 4-7 4.a.1.2.6  C.6.1.3.3 Support Storage Resource Classes Meets 4-7 4.a.1.2.6  C.6.1.3.4 Support Storage Resource Classes Meets 4-7 4.a.1.2.6  C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet Web-Based Interface Does not meet  | C.5.4          |   | voes not meet                                    |                  |  |                   |
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| C.6.1.2 Provide and Support Compute-Host Resources Meets 4-7 4.a.1.2.6  Contractor Proposed Configurations meet or exceed Minimum Configuration Requirements Meets 4-7 4.a.1.2.6  C.6.1.3 Provide and Support Storage Resources Meets 4-7 4.a.1.2.6  C.6.1.3.1 Identify and Provide Access to Storage API's Meets 4-7 4.a.1.2.6  C.6.1.3.2 Support Storage for Both Files and Data Objects Meets 4-7 4.a.1.2.6  C.6.1.3.3 Support Storage Operations Meets 4-7 4.a.1.2.6  C.6.1.3.4 Support Storage Resource Classes Meets 4-7 4.a.1.2.6  C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet Web-Based Interface Does not meet  |                |   |  |                  |  |                   |
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| C.6.1.3.2 Support Storage for Both Files and Data Objects Meets 4-7 4.a.1.2.6  C.6.1.3.3 Support Standard Storage Operations Meets 4-7 4.a.1.2.6  C.6.1.3.4 Support Storage Resource Classes Meets 4-7 4.a.1.2.6  C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet Web-Based Interface Does not meet  |                |   |  |                  |  |                   |
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| C.6.1.3.2 Support Storage for Both Files and Data Objects Meets 4-7 4.a.1.2.6  C.6.1.3.3 Support Standard Storage Operations Meets 4-7 4.a.1.2.6  C.6.1.3.4 Support Storage Resource Classes Meets 4-7 4.a.1.2.6  C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet Web-Based Interface Does not meet  |                |   |  |                  |  |                   |
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| C.6.1.3.4 Support Storage Resource Classes Meets 4-7 4.a.1.2.6  C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet Web-Based Interface Does not meet  | C.6.1.3.3      | Support Standard Storage Operations                                   | Meets  | 4-7              | 4.a.1.2.6  |                   |
| C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet  Web-Based Interface Does not meet   |                |   |  |                  |  |                   |
| C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet  Web-Based Interface Does not meet   |                |   |  |                  |  |                   |
| C.6.1.3.5 Support Data Migration Across Storage Classes Does not meet  Web-Based Interface Does not meet   | C 6 1 3 /      | Support Storage Resource Classes                                      | Meets  | 1-7              | 12126  |                   |
| Web-Based Interface Does not meet  | C.U.1.3.4      | Support Storage resource classes                                      | ivieer2  | 4-/              | 4.a.1.2.0  |                   |
| Web-Based Interface Does not meet  |                |   |  |                  |  |                   |
| Web-Based Interface Does not meet  |                |   |  |                  |  |                   |
| Web-Based Interface Does not meet  |                |   | 1  |                  |  |                   |
| Web-Based Interface Does not meet  | C.6.1.3.5      | Support Data Migration Across Storage Classes                         | Does not meet                                    |                  |  |                   |
|  |                |   | Does not meet                                    |                  |  |                   |
|  |                |   |  | Ī                |  |                   |
|  |                | 1 1 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2                               |  |                  | 1  |                   |

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| Solicitation Re |   | Combined Co. 15 | D "      | C 1: "    | Offer Reference   |
| Section #       | Requirement   |                 | Page #   | Section # | Brief Description |
|                 |   | Certification   |          |           |                   |
|                 |   | (Meets, Does    |          |           |                   |
|                 |   | Not Meet)       |          |           |                   |
| C.6.1.3.6       | Support Alternative Backup Solutions  | Meets           | 4-7      | 4.a.1.2.6 | (b) (4)           |
|                 | DOI designed/managed solution   | Does not meet   |          |           |                   |
|                 | Contractor provide solution   | Does not meet   |          |           |                   |
|                 | Comply with Security and Privacy Requirements   | Does not meet   |          |           |                   |
|                 | Available at both OnSite and Offsite locations  | Does not meet   |          |           |                   |
|                 | Web Management Functionality  | Does not meet   |          |           |                   |
|                 | a. Ability to configure backup schedule   | Does not meet   |          |           |                   |
|                 | b. Ability to restore files and images from backup  | Meets           | 4-7      | 4.a.1.2.6 |                   |
|                 | c. Ability to configure retention period and automatic deletions of old files                   | Does not meet   |          |           |                   |
|                 | d. Ability for government to specify the level of redundancy required                           | Does not meet   |          |           |                   |
|                 | e. A scripting interface  | Does not meet   |          |           |                   |
| C.6.1.3.7       | Support Secure Transfer of Physical Media   | Does not meet   |          |           |                   |
|                 | Secure Chain of Custody   | Does not meet   |          | <u> </u>  |                   |
|                 | Flexibility in Courier Pick-up and Delivery Times   | Does not meet   |          |           |                   |
| C.6.1.4         | Provide Transport Resources and Support Interconnections  | Does not meet   |          |           |                   |
| C.6.1.4.1       | Comply with General Transport Requirements  | Does not meet   |          |           |                   |
|                 | Calculate bandwidth using 95th percentile method with minimum sample times of five minutes      | Does not meet   |          |           |                   |
| C.6.1.4.2       | Comply With Interconnection Configurations and Requirements                                     |                 |          |           |                   |
| C.6.1.4.2.1     | Between Compute Host Instances (Same Data Center)   | Meets           | 4-8      | 4.a.1.2.6 |                   |
| C.6.1.4.2.2     | Between Compute Host Instances (Different Contractor Data Centers)                              | Meets           | 4-8      | 4.a.1.2.6 |                   |
| C.6.1.4.2.3     | Between Compute-Host at Contractor Data Center and DOI TIC                                      | Meets           | 4-8      | 4.a.1.2.6 |                   |
| C.6.1.4.2.4     | Between Compute-Host at Contractor Data Center and the Internet                                 | Meets           | 4-8      | 4.a.1.2.6 |                   |
| C.6.1.4.2.5     | Between Compute-Host at Contractor Data Center to DOI Customers via Direct Connections          | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                 |   |                 |          |           |                   |
| C.6.2           | Provide Aggregated Resources and Enabling Services  |                 |          |           |                   |
| C.6.2.1         | Provide Aggregated Resource Services  | Meets           | 4-8      | 4.a.1.2.6 |                   |
| C.6.2.1.1       | Provide Secure File Transfer Resources  | Does not meet   | 1        |           |                   |
| C.6.2.1.2       | Provide Virtual Machine Resources   | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                 | Scalable, redundant, dynamic capabilities or virtual machines                                   | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                 | Allow Government users to procure and provision computing services on-<br>line via the Internet | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                 | Allow users to remotely load applications and data via the Internet                             | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                 |   | 1               | <u> </u> |           |                   |

| Calisitation Dafa | rones   |                                  |        |  | Offer Deference   |
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| Solicitation Refe |   | Combout 0: 15                    | D #    | C47 *  | Offer Reference   |
| Section #         | Requirement   | Contractor Self<br>Certification | Page # | Section #  | Brief Description |
|                   |   | (Meets, Does                     |        |  |                   |
|                   |   | Not Meet)                        |        |  |                   |
|                   | Configuration and Management via Web Browser area the Interest                      | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | Configuration and Management via Web Browser, over the Internet.                    | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | Government Retains Ownership  | Meets                            | 4-8    | 4.a.1.2.6  | (b) (4)           |
|                   | Government Retains Ownership  | ivieets                          | 4-0    | 4.d.1.2.0  |                   |
|                   |   |                                  |        |  |                   |
|                   | Spawn on-Demand Instances   | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | opanii on bemana iistanices   | , , , ,                          | "      | naizizio   |                   |
|                   | Support Acceptable Secure Administration Interface                                  | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        |  |                   |
|                   | Dynamic Allocation based upon load, without service interruption                    | Does not meet                    |        |  |                   |
|                   | Copy/Clone  | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | Multi-processor Virtual Machies   | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        |  |                   |
|                   |   | ļ                                |        | ļ  |                   |
|                   | Support Processor Isolation   | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
|                   | Supports live migration between abusined best-                                      | Moots                            | 4.6    | 40136  |                   |
|                   | Supports live migration between physical hosts                                      | Meets                            | 4-8    | 4.a.1.2.6  |                   |
| <b>-</b>          | Role-Based access controls and Auditing for Hypervisor                              | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | noie-based access controls and Addidlig for Hypervisor                              | ivieets                          | 4-0    | 4.d.1.2.0  |                   |
|                   | Hypervisor supports hardware-assisted memory virtualization                         | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | Trypervisor supports flardware-assisted flerifory virtualization                    | Wicels                           |        | 4.4.1.2.0  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        |  |                   |
| C.6.2.1.3         | Provide Database Hosting Resources  | Does not meet                    |        |  |                   |
|                   | Supports Current Range of Software  | Does not meet                    |        |  |                   |
| C.6.2.1.4         | Provide Web Hosting Resources   | Does not meet                    |        |  |                   |
|                   | Supports Current Range of Software  | Does not meet                    |        |  |                   |
| C.6.2.1.5         | Provide Development and Test Environment  | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
|                   | Support Range of Technical Service Lines, and range of instances for each           | Does not meet                    |        |  |                   |
|                   | (e.g. 0-100)  |                                  |        |  |                   |
|                   | Accommodate custom roles and authorizations   | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
| C.6.2.1.6         | Provide Application Hosting   | Does not meet                    |        | <del>                                     </del> |                   |
| C.O.Z.I.O         | Supports Current Range of Software  | Does not meet                    |        |  |                   |
| C.6.2.2           | Provide Enabling Services   | Does not meet                    |        |  |                   |
| C.6.2.2.1         | Support Bulk Data Transfer and Provide Competitive Volume Discounts                 | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        |  |                   |
| a.                | Loading data from physical media  | Does not meet                    |        |  |                   |
| b.                | Transferring data in/out over the Internet  | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
| C.                | Transferring Data in/out oto the DOI intranet                                       | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        | ļ  |                   |
| d.                | Trasferring data in/out via dedicated circuits (including VPN)                      | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | One Time Come of Change Bully Transfer C. H. J. | D :                              |        | -  |                   |
|                   | One-Time, Free of Charge, Bulk Transfer of all data stored in Contract              | Does not meet                    |        |  |                   |
| C6222             | environment upon termination of Task Orders.  |                                  |        |  |                   |
| C.6.2.2.2         | Provide Operating System Services Contractor will provide                           | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | Soliciastol Will provide  | Mees                             | 1 3    | 4.0.1.2.0  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        |  |                   |
|                   |   |                                  |        |  |                   |
|                   | Contractor will permit DOI to provide at DOI option                                 | Meets                            | 4-8    | 4.a.1.2.6  |                   |
|                   | ·   | _                                |        |  |                   |
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| Solicitation Refe | rence  |                 |          |           | Offer Reference   |
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| Section #         | nequilement  | Certification   | i age #  | Section # | Brief Bescription |
|                   |  | (Meets, Does    |          |           |                   |
|                   |  | Not Meet)       |          |           |                   |
|                   | Configure Operating System   | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                   | Somigare operating system  | Wicets          | 7 0      | 7.0.1.2.0 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
|                   | Troubleshoot Operating System Problems                                 | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           | (b) (4)           |
| C.6.2.2.3         | Provide Licensing and Installation Services                            | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
| C.6.2.2.4         | Provide Patching and Version Control Services                          | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
|                   | Commit to defined patching schedule and process                        | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
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|                   |  |                 |          |           |                   |
|                   | DOI Receive > 1 week Advance Notice                                    | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
|                   | DOI right to delay or deny implementation                              | Meets           | 4-8      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
|                   | Contractor comply with change controls processes and authorities for   | Does not meet   |          |           |                   |
|                   | change   | _               |          |           |                   |
| C.6.2.2.5         | Provide Disaster Recovery Services                                     | Does not meet   |          |           |                   |
|                   | Curport to design implement and Manage the Disaster Resource Colution  | Door not most   |          |           |                   |
|                   | Support to design, implement and Manage the Disaster Recovery Solution | Does not meet   |          |           |                   |
|                   | Provide Web Recod canability for configuring Disaster Recovery Options | Door not most   | 1        |           |                   |
|                   | Provide Web-Based capability for configuring Disaster Recovery Options | Does not meet   |          |           |                   |
|                   | Supports DOI defining set of mission critical data and snapshots       | Does not meet   |          |           |                   |
|                   | Provides all service required to execute failover                      | Does not meet   |          |           |                   |
| C.6.2.2.6         | Supports one or More Solutions for Middleware Licensing                | Meets           | 4-9      | 4.a.1.2.6 |                   |
| 5.5.2.2.0         | Supports one or more solutions for minuteware Electioning              |                 | I ,      | 7.0.1.2.0 |                   |
| A and/or          | Contractor Provided Support for Current (and/or)                       | Does not meet   | 1        |           |                   |
|                   | Contractor Proposed Migration and Standard                             | Meets           | 4-9      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
| C and/or          | DOI Provided   | Meets           | 4-9      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
|                   |  | ĺ               |          |           |                   |
| C.6.2.2.7         | Provides Hosting for DOI Legacy Metering and Reporting Software        | Meets           | 4-9      | 4.a.1.2.6 |                   |
|                   |  |                 |          |           |                   |
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|                   |  | ĺ               | I        |           |                   |
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|                   |  |                 |          |           |                   |
|                   | Supports Current Range of Software                                     |                 |          |           |                   |
| C.6.2.2.8         | Provides Hosting for Other Middleware                                  | Meets           | 4-9      | 4.a.1.2.6 |                   |
|                   |  |                 | I        |           |                   |
|                   |  |                 | <u></u>  |           |                   |
|                   | Supports Current Range of Software                                     | Does not meet   | I        |           |                   |
|                   |  | <u> </u>        | <u> </u> |           |                   |
|                   | <u> </u>   |                 |          |           |                   |

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| Solicitation Refe     |  | Contracts - C-If                          | Dogo #   | Coctio- #  | Offer Reference   |
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|                       |  | Certification                             |  |  |                   |
|                       |  | (Meets, Does<br>Not Meet)                 |  |  |                   |
| C.6.2.2.9             | Provides Hosting for Scripting and Programming Environments  | Meets                                     | 4-9  | 4 - 1 2 6  |                   |
| C.0.2.2. <del>3</del> | Provides hosting for scripting and Programming Environments  | IVIEELS                                   | 4-3  | 4.a.1.2.6  |                   |
|                       |  |   |  |  | (b) (4)           |
|                       | Supports Current Range of Software   | Does not meet                             |  |  |                   |
|                       | Supports current hange of Software   | Does not meet                             |  |  |                   |
|                       |  |   |  |  |                   |
| C.6.2.2.10            | Provide or Support Virtual Application and Virtual Desktop Resources   | Does not meet                             |  |  |                   |
|                       | Provides   | Does not meet                             |  |  |                   |
| and, o                | Supports   | Does not meet                             |  |  |                   |
| C.7                   | Establish and Meet Portfolio of Service Level Requirements   |   |  |  |                   |
| C.7.1                 | Optimize End-to-End Performance  | Meets                                     | 4-9  | 4.a.1.2.6  |                   |
|                       |  |   |  |  |                   |
|                       |  |   |  |  |                   |
| C.7.1.1               | Manage Latency between Hosted Applications and End Users   | Meets                                     | 4-9  | 4.a.1.2.6  |                   |
|                       |  |   |  |  |                   |
|                       |  |   |  |  |                   |
| C.7.1.2               | Adapt ot Demand Fluctuations to Maintain Service Levels  | Meets                                     | 4-9  | 4.a.1.2.6  |                   |
|                       |  |   |  |  |                   |
|                       |  | I   |  |  |                   |
|                       | <u> </u>   | <u> </u>                                  | <u> </u>   | <u> </u>   |                   |
| C.7.1.3               | Streamline and/or Automate Resource Scaling  |   |  |  |                   |
|                       | Tiers of Service, Template Capability and Scaling sequence definition or                                       | Does not meet                             |  |  |                   |
|                       | acceptable alternative   |   |  |  |                   |
|                       | * Compute-Host: Processor  | Does not meet                             |  |  |                   |
|                       | * Compute-Host: Memory   | Does not meet                             |  |  |                   |
|                       | * Storage  | Does not meet                             |  |  |                   |
|                       | * Transport: Bandwidth   | Does not meet                             |  |  |                   |
|                       | Restrict to DOI approved tiers and templates in the provisioning portal  | Does not meet                             |  |  |                   |
|                       | User defined scaling sequence and triggers   | Does not meet                             |  |  |                   |
| C.7.2                 | Meet Software and Licensing Support Service Level Requirements   |   |  |  |                   |
| C.7.2.1               | Meet Operating System Services Service Level Requirements  | Does not meet                             |  |  |                   |
|                       | Contractor Proposed guaranteed minimum performance level   | Does not meet                             |  |  |                   |
| C.7.2.2               | Meet Licensing and Installation Services Service Level Requirements  | Does not meet                             |  |  |                   |
|                       | Contractor Proposed guaranteed minimum performance level   | Does not meet                             |  |  |                   |
| C.7.2.3               | Meet Patching and Version Control Service Service Level Requirements   | Does not meet                             |  |  |                   |
|                       | Contractor Proposed guaranteed minimum performance level   | Does not meet                             |  |  |                   |
| C.7.3                 | Meet Uptime and Availability Requirements  | Does not meet                             |  |  |                   |
|                       | Meet Minimum Acceptable Performance Level: 95% Uptime with no  | Does not meet                             |  |  |                   |
|                       | more than 36 hours/calendar month of planned downtime.   |   |  |  |                   |
|                       | Contractor Recommended Incentives and Disencentives  | Does not meet                             |  |  |                   |
|                       | Contractor Proposed from one (1) to four (4) service bands that meet DOI                                       | Does not meet                             |  |  |                   |
|                       | minimum requirements   |   |  | <u> </u>   |                   |
| C.7.4                 | Meet Disaster Recovery Services Service Levels   | Does not meet                             |  | <u> </u>   |                   |
| 0744                  | Contractor Provided Draft Disaster Recovery Plan   | Does not meet                             |  |  |                   |
| C.7.4.1               | Meet Recovery Time Objectives (RTO)  | Does not meet                             | <del>                                     </del> | 1  |                   |
|                       |  | Does not meet                             | l  |  |                   |
|                       | Minimum requirements   | Door not most                             | <b>-</b>   | -  |                   |
| C.7.4.2               | Minimum Acceptable Performance: 7 Days  Most Recovery Point Chiestives (RPO)                                   | Does not meet                             | $\vdash$   | <del>                                     </del> |                   |
| C. / .4.Z             | Meet Recovery Point Objectives (RPO)  Contractor Proposed from one (1) to five (5) service bands that meet DOI | Does not meet<br>Does not meet            | <del>                                     </del> | <del> </del>                                     |                   |
|                       |  | Does not meet                             | I  |  |                   |
|                       | minimum requirements Minimum Acceptable Performance: 7 Days  | Does not meet                             | $\vdash$   | <del>                                     </del> |                   |
| C.7.5                 | Meet Backup Service Levels   | Does not meet                             |  |  |                   |
| C.7.5.1               | Comply with Backup Frequency Requirements  | Does not meet                             |  |  |                   |
| C. I.O.I.             | Provide means DOI authorized technical user to configuring backup and  | Does not meet                             |  | <u> </u>   |                   |
|                       | archiving frequency on authorized user defined schedule.   |   | I  |  |                   |
|                       |  | Does not meet                             | i –  | 1  |                   |
|                       |  |   |  |  |                   |
|                       | Provide means for DOI authorized technical user to select from approved  | Does not meet                             | <del>                                     </del> | 1  |                   |
|                       | Mean-Time-to-Restore.  | - 22230                                   |  |  |                   |
| ŀ                     | Provides means for DOI authorized technical user to select approved  | Does not meet                             |  |  |                   |
|                       | •  |   | l  |  |                   |
|                       | Retention Periods.   |   |  |  | 1                 |
| C.7.5.2               | Retention Periods.  Meet Mean Time to Restore Requirements   | Does not meet                             |  |  |                   |
| C.7.5.2               | Meet Mean Time to Restore Requirements   | Does not meet                             |  |  |                   |
| C.7.5.2               |  | Does not meet Does not meet Does not meet |  |  |                   |

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|                  |  | (Meets, Does    |          |           |                   |
|                  |  | Not Meet)       |          |           |                   |
| C.7.5.3          | Comply with Data Retention Policies  | Does not meet   |          |           |                   |
| C.7.5.5          | Retention period duration before automatic deletion  | Does not meet   |          |           |                   |
| C.7.6            | Document and Meet Provisioning Service Level Requirements  | Does not meet   |          |           |                   |
| C.7.6.1          | Meet Compute Host and Operations System Provisioning Service Level   | Does not meet   |          |           |                   |
| C.7.0.1          | Requirements   | Does not meet   |          |           |                   |
|                  |  | Does not meet   |          |           |                   |
|                  | system can respond to changes in demand (either manually or  | Does not meet   |          |           |                   |
|                  | automatically)   |                 |          |           |                   |
|                  | Provide means in all cases where resources shall be brought online and                                       | Does not meet   |          |           |                   |
|                  | available for use within the specified time (either manually or  | 20031101111001  |          |           |                   |
|                  | automatically)   |                 |          |           |                   |
|                  | Minimum Acceptable Performance Level: 24 Hours   | Does not meet   |          |           |                   |
|                  | Contractor Proposed from one (1) to four (4) service bands that meet DOI                                     |                 |          |           |                   |
|                  | minimum requirements   |                 |          |           |                   |
| C.7.6.2          | Meet Storage Provisioning Service Level Requirements   | Does not meet   | 1        |           |                   |
|                  | Provide means to provision the storage both manually, and/or scale   | Does not meet   | 1        | 1         |                   |
|                  | storage resources both manually and automatically  |                 |          |           |                   |
|                  | Minimum Acceptable Performance Level: 24 Hours   | Does not meet   | 1        | 1         |                   |
|                  | Contractor Proposed from one (1) to four (4) service bands that meet DOI                                     |                 | Ī        | Ì         |                   |
|                  | minimum requirements   |                 |          | _         |                   |
| C.7.7            | Meet SAP Hosting Performance Requirements  | Does not meet   |          |           | 0) (4)            |
|                  | Provide means for several tiers of service for SAP Hosting Services  | Does not meet   |          |           |                   |
| C.7.7.1          | Meet SAP Computation Performance Requirements  | Does not meet   |          |           |                   |
|                  | Provide means for SAP configurations with scalable processing  | Does not meet   |          |           |                   |
|                  | performance; scalable up and down to meet requirements   |                 |          |           |                   |
|                  | Performance requirements from 20,000 SAPS (or equivalent) up to and  | Does not meet   |          |           |                   |
|                  | including 1,800,000 SAPS (or equivalent) or furhter as needs grow  |                 |          |           |                   |
| C.7.7.2          | Meet SAP RAM Performance Requirements  | Does not meet   |          |           |                   |
|                  | Provide means for SAP configurations with scalable RAM availability;   | Does not meet   |          |           |                   |
|                  | scalable up and down to meet requirements  |                 |          |           |                   |
|                  | Performance requirements from 800GB up to 13,000 GB or further as  | Does not meet   |          |           |                   |
|                  | needs grow   |                 |          |           |                   |
| C.7.7.3          | Meet SAP Storage Performance Requirements  | Does not meet   |          |           |                   |
|                  | Provide means SAP configurations with scalable storage availability;   | Does not meet   |          |           |                   |
|                  | scalable up and down to meet requirements  |                 |          |           |                   |
|                  | Performance requirements from 3 5TB up to 600TB or further as needs  | Does not meet   |          |           |                   |
|                  | grow   |                 |          |           |                   |
| C.7.7.4          | Meet Additional SAP Performance Metric Requirement   | Does not meet   |          |           |                   |
| C.7.8            | Meet Middleware Management Service Level Requirements  | Does not meet   |          |           | (b) (4)           |
|                  | Provide means for several tiers of management support for Database,  | Does not meet   |          |           |                   |
|                  | Web Server, and Application Servers  |                 |          |           |                   |
| C.7.8.1          | Meet Middleware Patching and Version Control Requirements  | Does not meet   |          |           |                   |
|                  | Provide means to commit to a defined patching schedule and process   | Does not meet   | <b>!</b> |           |                   |
|                  | Provide means for the DOI test patches at least 1 week before they are                                       | Does not meet   |          |           |                   |
|                  | rolled out to production systems   |                 | <b>!</b> | 1         |                   |
|                  | Provide means to ensure compatibility with the business system and to  | Does not meet   |          |           |                   |
|                  | include fall back procedures   | D               | 1        | 1         |                   |
|                  | Provide means for coordination with the system owner prior to making   | Does not meet   |          |           |                   |
| 6783             | changes on a weekly, monthly, quarterly, and yearly schedule   | Desert :        | 1        |           |                   |
| C.7.8.2          | Meet Additional Middleware Service Level Requirements  | Does not meet   | 1        | -         |                   |
| C.7.9            | Meet Secure File Transfer Service Levels   | Does not meet   | -        | -         | (D) (4)           |
| C.7.10<br>C.7.11 | Meet Virtual Desktop and Applications Service Levels  Meet Customer and Program Support Service Levels       | Does not meet   | -        | -         |                   |
| C./.11           |  | Does not meet   | 1        |           |                   |
|                  | Provide means for several tiers of support services; to include both   | Does not meet   |          |           |                   |
|                  | trouble ticket support and service management  | Door not        | -        |           |                   |
|                  | Provide means to ensure pre-defined service level metrics are met;   | Does not meet   |          |           |                   |
|                  | (availability, time to response, time to resolve, and planned downtime) as                                   |                 |          |           |                   |
|                  | identified within the severity level  Provide means to describe an outage greater than 1-hour of unscheduled | Does not most   | 1        |           |                   |
|                  | downtime, including root-cause and fix   | Does not meet   |          |           |                   |
| l .              | aowinime, including root-cause and fix   | l               | <u> </u> | <u> </u>  | 1                 |

| Solicitation Ref | erence   | Offer Reference |        |           |                   |     |  |  |  |  |
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|                  |  | (Meets, Does    |        |           |                   |     |  |  |  |  |
|                  |  | Not Meet)       |        |           |                   |     |  |  |  |  |
| C.7.11.1         | Meet Service Center Availability Service Levels                          | Meets           | 4-9    | 4.a.1.2.6 |                   |     |  |  |  |  |
| 0.7.12112        | The control of the following of the general                              |                 | . 5    |           |                   |     |  |  |  |  |
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|                  |  |                 |        |           |                   |     |  |  |  |  |
|                  | Provide means for reaching support or service personnel, during hours of | Meets           | 4-9    | 4.a.1.2.6 |                   |     |  |  |  |  |
|                  | availability for service or log a trouble ticket                         |                 |        |           |                   |     |  |  |  |  |
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| C.7.11.1.1       | 8x5 Single Time Zone   | Meets           | 4-9    | 4.a.1.2.6 |                   |     |  |  |  |  |
|                  |  |                 |        |           |                   |     |  |  |  |  |
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| C.7.11.1.2       | 8x5 CONUS  | Meets           | 4-9    | 4.a.1.2.6 |                   |     |  |  |  |  |
| C.7.11.1.2       | 8X3 CUNU3  | ivieets         | 4-9    | 4.d.1.2.0 |                   |     |  |  |  |  |
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| C.7.11.1.3       | 8x5 CONUS + Alaska   | Meets           | 4-9    | 4.a.1.2.6 |                   |     |  |  |  |  |
| 017121213        | S.S. Serves Aniaska  |                 | . 5    |           |                   |     |  |  |  |  |
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| C.7.11.1.4       | 24x7x365/366   | Meets           | 4-9    | 4.a.1.2.6 |                   |     |  |  |  |  |
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| C.7.11.1.5       | Custom Work Hours, Custom Work Week, Selected Time Zone(s)               | Meets           | 4-9    | 4.a.1.2.6 |                   |     |  |  |  |  |
|                  |  |                 |        |           |                   |     |  |  |  |  |
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|                  |  | Not Meet)       |        |  |                   |  |
| C.7.11.1.6       | Defined Season or Emergency/Incident Support                                 |                 | 4-9    | 4.a.1.2.6  |                   |  |
|                  |  |                 |        |  |                   |  |
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| C.7.11 2         |  | Meets           | 4-9    | 4.a.1.2.6  |                   |  |
|                  | Levels   |                 |        |  |                   |  |
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|                  | · ·  | Meets           | 4-9    | 4.a.1.2.6  |                   |  |
|                  | center within the specified time to respond, within the tiers of services to |                 |        |  |                   |  |
|                  | include the severity and priority levels                                     |                 |        |  |                   |  |
| C.7.11 3         | Meet Mean-Time-To-Resolve Service Levels                                     | Does not meet   |        |  |                   |  |
|                  |  |                 |        |  |                   |  |
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|                  | Provide means of commitment on the mean time to resolve all service          | Does not meet   | 1      | <del>                                     </del> |                   |  |
|                  | and support issues to include the severity and priority levels               | Does not meet   |        |  |                   |  |
| C.7.11.4         | Minimize Planned Downtime and Maintenance Windows                            | Meets           | 4-9    | 4.a.1.2.6  |                   |  |
| C./.11.4         | William 2e Flatinea Downtime and Wallitenance Willacows                      | ivicets         | 4-3    | 4.a.1.2.0  |                   |  |
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| Securit #         | negarement   | Certification   | rage #   | Section # | bie beschpati     |
|                   |  | (Meets, Does    |          |           |                   |
|                   |  | Not Meet)       |          |           |                   |
|                   | Provide means for support services that accommodate several                | Meets           | 4-9      | 4.a.1.2.6 |                   |
|                   | maintenance window maximums to include planned downtime                    | W.CCO           | , ,      | - IIIII   |                   |
|                   | ,  |                 |          |           | (D) (4)           |
|                   |  |                 |          |           |                   |
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|                   |  |                 |          |           |                   |
|                   |  |                 |          |           |                   |
| C.8               | Optional Characteristics Requirements                                      |                 |          |           |                   |
| C.8.1             | Support Resource Segregation Options                                       | Does not meet   |          |           |                   |
|                   | Provide means for several options for segregating resources; fully         | Does not meet   |          |           |                   |
|                   | segregated; Federal government segregation, and Non-segregated             |                 |          |           |                   |
| C.8.2             | Support Non-production environments  | Does not meet   |          |           |                   |
|                   | Provide means in order to define non-production environments (e.g.,        | Does not meet   |          |           |                   |
|                   | test, development, training, staging, sandbox) as customized copies of a   |                 |          |           |                   |
|                   | production environment   |                 |          |           |                   |
|                   | Provide means for administrators to have the ability to adjust the non-    | Does not meet   |          |           |                   |
|                   | production environment specifications                                      |                 |          |           |                   |
|                   | Provide means for non-production environments to access production         | Does not meet   |          |           |                   |
|                   | storage or middleware instances, to include populating storage, both       |                 |          |           |                   |
|                   | inside or outside, of the provider's environment                           |                 |          |           |                   |
|                   | Provide the ability to restrict access to non-production environments to   | Does not meet   |          |           |                   |
|                   | users or "domains  |                 |          |           |                   |
|                   | Provide the ability to create and destroy non-production environments      | Does not meet   |          |           |                   |
|                   | via web console  | <u></u>         | <u> </u> |           |                   |
| C.8.3             | Support Requirement to Manage Underlying Physical Resources                | Does not meet   |          |           |                   |
| C.8.4             | Provide Content Delivery Network (CDN)                                     | Does not meet   |          |           |                   |
| C.8.5             | Support Unique Compliance Requirements                                     | Does not meet   |          |           |                   |
| C.8.6             | Support Alaska/Hawaii Regional Connectivity                                | Does not meet   |          |           |                   |
| C.8.7             | Address Issues Related to Poor Connectivity                                | Does not meet   |          |           |                   |
| C.8.8             | Support or Provide Hardware Clustering                                     | Does not meet   | <u> </u> |           |                   |
| C.8.9             | Provide Load Balancing   | Does not meet   |          |           |                   |
| C.8.10            | Support or Provide Interfaces to Non-Department Systems                    | Does not meet   | <u> </u> | ļ         |                   |
|                   | Provide the ability to connect a Contractor hosted system or data store to | Does not meet   |          |           |                   |
|                   | another system that is hosted outside the DOI boundaries                   | <u> </u>        | <u> </u> | ļ         |                   |
|                   | Provide the means for the connection to be configured to support data      | Does not meet   |          |           |                   |
|                   | exchange, support authentication schemes required by either system,        | 1               |          |           |                   |
|                   | adhere to all security requirements  | <u></u>         | <u> </u> |           |                   |
| C.8.11            | Support or Provide Static IP Addressing                                    | Does not meet   | <b>.</b> | <u> </u>  |                   |
| C.8.12            | Provision Dedicated Resources  | Does not meet   |          |           |                   |
| C.9               | Associated Support Services  | Does not meet   |          | -         |                   |
| 15                | Stillede County Overhood   |                 | 2.5      | 2         |                   |
| J.5               | Bidder's Security Questionnaire  | Meets           | 2-1      | 2         |                   |
| J.17              | Scope of Offer Matrix  | Meets           | 3-1      | 3.1.2     |                   |
| J.18              | Operating Systems Supported  | Meets           | 3-16     | 3.2.c.i   |                   |
| J.19              | Compute-Host Configurations  | Meets           | 3-17     | 3.2.c.ii  |                   |
|                   | Storage Classes  | Meets           | 3-18     | 3.2.c.iii |                   |
| J.20<br>J.21      | Network Connectivity   | Meets           | 3-18     | 3.2.c.iv  |                   |

| Solicitation R | Reference   |                 |        | ·          | Offer Reference   |
|----------------|---|-----------------|--------|------------|-------------------|
| Section #      | Requirement   | Contractor Self | Page # | Section #  | Brief Description |
|                |   | Certification   |        |            |                   |
|                |   | (Meets, Does    |        |            |                   |
|                |   | Not Meet)       |        |            |                   |
| J.22           | Range of Database Software Supported                          | Meets           | 3-19   | 3.2.c.v    |                   |
| J.23           | Range of Web Hosting Software Supported                       | Meets           | 3-20   | 3.2.c.vi   |                   |
| J.24           | Range of Application Hosting elements Supported               | Meets           | 3-21   | 3.2.c.vii  |                   |
| J.25           | Range of DOI Legacy Metering and Reporting Software Supported | Meets           | 3-22   | 3.2.c.viii |                   |
| J.26           | Range of Other Middleware Supported                           | Meets           | 3-23   | 3.2.c.ix   |                   |
| J.27           | Range of Scripting and Programming Software Supported         | Meets           | 3-24   | 3.2.c x    |                   |
| J.28           | Uptime and Availability Service Bands                         | Meets           | 3-25   | 3.2.d.i    |                   |
| J.29           | Recovery Time Objectives (RTO)                                | Does not meet   | 3-25   | 3.2.d.ii   |                   |
| J.30           | Recover Point Objectives (RPO)                                | Does not meet   | 3-26   | 3.2.d.iii  |                   |
| J.31           | Mean Time to Restore (MTR)                                    | Does not meet   | 3-26   | 3.2.d.iv   |                   |
| J.32           | Compute-Host Provisioning Service Bands                       | Meets           | 3-27   | 3.2.d.v    |                   |
| J.33           | Storage Provisioning Service Bands                            | Meets           | 3-27   | 3.2.d.vi   |                   |
| J.34           | Customer Service Meantime to Acknowledge (MTA)                | Meets           | 3-27   | 3.2.d.vii  |                   |
| J.35           | Customer Service Meantime to Resolve or Fix (MTF)             | Meets           | 3-28   | 3.2.d.viii |                   |
| J.36           | Scheduled Downtime (Maintenance Windows)                      | Does not meet   | 3-28   | 3.2.d.ix   |                   |

J\_17\_Scope of Offer Procurement Sensitive

Solicitation No. D12PS00316- Foundation Cloud Hosting Services (FCHS)

Attachment 17

| Offeror: | IBM   |          | _                |                   |   |             |           |                           |   |         |          |          |  |  |
|----------|---|----------|------------------|-------------------|---|-------------|-----------|---------------------------|---|---------|----------|----------|--|--|
|          |   |          | idder Proposed ( | Cloud Service Mod | Scope of Associated Support Services Provided |             |           |                           |   |         |          |          |  |  |
| Section  | Technical Service Line                            | In-Scope | laaS/PaaS        | SaaS              | Planning                                      | Engineering | Migration | Application<br>Management | Interface Design and Integration Services | Testing | Training | Security |  |  |
| C.1.1.1  | Storage Services                                  | Х        | Х                |                   | Х   | Х           | Х         | Х                         | Х   | Х       | Х        | Х        |  |  |
| C.1.1.2  | Secure File Transfer Services                     |          |                  |                   |   |             |           |                           |   |         |          |          |  |  |
| C.1.1.3  | Virtual Machine Services                          | Х        | Х                |                   | Х   | X           | Χ         | Х                         | Х   | X       | X        | Χ        |  |  |
| C.1.1.4  | Database Hosting Services                         | Χ        | Х                |                   | Χ   | X           | Χ         | X                         | Χ   | X       | Χ        | Χ        |  |  |
| C.1.1.5  | Web Hosting Services                              | Χ        | X                |                   | Χ   | X           | Χ         | X                         | Χ   | X       | X        | Χ        |  |  |
| C.1.1.6  | Development and Test Environment Hosting Services | Х        | Х                |                   | Х   | X           | Χ         | Х                         | Х   | X       | X        | Χ        |  |  |
| C.1.1.7  | SAP Application Hosting Services                  |          |                  |                   |   |             |           |                           | •   |         |          |          |  |  |

#### Attachment 34 - Customer Service Meantime to Acknowledge (MTA) Template

| Company Name                 | IBM               |             |              |             |              |             |              |             |
|------------------------------|-------------------|-------------|--------------|-------------|--------------|-------------|--------------|-------------|
|                              | Severity/Priority |             |              |             |              |             |              |             |
|                              |                   | 1           | 2            | !           | 3            |             | 4            |             |
| Service Band                 | Minimum (>=)      | Maximum (<) | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) |
| SCE+                         |                   | 4 hours     |              | 24 hours    |              | 7 days      |              | 30 days     |
| SCE Advanced Premium         |                   | 30 mins     |              |             |              |             |              | 24 hours    |
|                              |                   |             |              |             |              |             |              |             |
|                              |                   |             |              |             |              |             |              |             |
| DOI Minimum Performance Leve | el                | 24 hours    |              | 48 hours    |              | 72 hours    |              | 96 hours    |

#### Attachment 35 Customer Service Mean Time to Resolve or Fix (MTF) Template

| Company Name                 | IBM                           |                   |              |             |              |             |              |             |
|------------------------------|-------------------------------|-------------------|--------------|-------------|--------------|-------------|--------------|-------------|
|                              |                               |                   |              |             |              |             |              |             |
|                              |                               | Severity/Priority |              |             |              |             |              |             |
|                              | 1 (90% within) 2 (90% within) |                   |              | 3           | 3            |             | 4            |             |
| Service Band                 | Minimum (>=)                  | Maximum (<)       | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) | Minimum (>=) | Maximum (<) |
| SCE+                         | 0 min                         | 4 hr              | 0 min        | 24 hr       | 0 min        | 7 days      | 0 min        | 30 days     |
| DOI Minimum Performance Leve | ĺ                             | 24 hr             |              | 48 hr       |              | 72 hr       |              | 96 hr       |

| Attachment 31 - Meantime to Restore ( | MTR | ) Template |
|---------------------------------------|-----|------------|
|---------------------------------------|-----|------------|

| Company Name | IBM |
|--------------|-----|

# **Mean Time to Restore Services**

| Service Band            | Mean-Time to Restore |  |  |
|-------------------------|----------------------|--|--|
| Not applicable for SCE  |                      |  |  |
| Not applicable for SCE+ |                      |  |  |
|                         |                      |  |  |
|                         |                      |  |  |
|                         |                      |  |  |

### Planned Downtime Service Bands

| ATTACHMENT 36 |  |
|---------------|--|
| Company Name  |  |

| IBM |
|-----|
|-----|

|                         | Maximum Scheduled Downtime Per week |             |  |  |
|-------------------------|-------------------------------------|-------------|--|--|
| Service Band            | Minimum (>=)                        | Maximum (<) |  |  |
| Not applicable for SCE  |                                     |             |  |  |
| Not applicable for SCE+ |                                     |             |  |  |
|                         |                                     |             |  |  |
|                         |                                     |             |  |  |
|                         |                                     |             |  |  |
| DOI Maximum Allowed     |                                     | 8 hr        |  |  |

## **Provisioning Service Levels**

**Compute Host** 

Attachment 32 - Compute-Host Provisioning Service Bands Template

## **Complete Manual Request**

(in Minutes)

|                                 | Emergency    |             |  |
|---------------------------------|--------------|-------------|--|
| Service Band                    | Minimum (>=) | Maximum (<) |  |
| Band 1 (SCE)                    | 0 minutes    | 1hr         |  |
| Band 2 (SCE+)                   | 24 hrs       | 72 hrs      |  |
| Minimum Acceptable Performance: |              | 24 hours    |  |

| <b>Provisioning Service Levels</b> |
|------------------------------------|
| Storage                            |

Attachment 33 - Storage Provisioning Service Bands Template

| Company Name | IBM |
|--------------|-----|

# **Complete Manual Request**

# (in Minutes)

|                                 | Emergency    |             |
|---------------------------------|--------------|-------------|
| Service Band                    | Minimum (>=) | Maximum (<) |
| Band 1                          | 0 minutes    | 15 minutes  |
| Minimum Acceptable Performance: |              | 24 hours    |

| Company Name  | IBM |  |
|---|-----|--|
| Attachment 30 - Recovery Point Objective (RPO) Template |     |  |
| [Service_Level_RPO]_[IBM]                               |     |  |
| J_30_RPO  |     |  |
|   |     |  |

# **Recovery Point Objective (RPO)**

| Service Band                    | From | То     |
|---------------------------------|------|--------|
| Not applicable for SCE          |      |        |
| Not applicable for SCE+         |      |        |
|                                 |      |        |
|                                 |      |        |
|                                 |      |        |
| Minimum Acceptable Performance: |      | 7 days |

| Recovery Time Objective (RTO)                           |     |  |  |
|---|-----|--|--|
| Attachment 29 - Recovery Time Objectives (RTO) Template |     |  |  |
| Company Name  | IBM |  |  |
| Recovery Time Objective (RTO)                           |     |  |  |

| Service Band                    | From | То     |
|---------------------------------|------|--------|
| Not applicable for SCE          |      |        |
| Not applicable for SCE+         |      |        |
|                                 |      |        |
|                                 |      |        |
|                                 |      |        |
| Minimum Acceptable Performance: |      | 7 days |

## Uptime and Availability Service Levels

Attachment 28 - Uptime and Availability Service Bands Template

Company Name IBM

# **Uptime and Availability**

| Service Band                    | Minimum (>=) | Maximum (<) | Maximum Planned Downtime |
|---------------------------------|--------------|-------------|--------------------------|
| Band 1 (Platinum)               | 99.9%        | 100%        |                          |
| Band 2 (Gold)                   | 99.7%        | 100%        |                          |
| Band 3 (Silver)                 | 99.5%        | 100%        |                          |
| Band 4 (Bronze)                 | 98.5%        | 100%        |                          |
| Minimum Acceptable Performance: | 95.0%        |             |                          |

| J_20_sto  | rage c | asses  |
|-----------|--------|--------|
| [Storage_ | Class] | _[IBM] |

| Company Name: | IBM |
|---------------|-----|

# **Storage Classes**

| Storage Class | Throughput | Uptime/<br>Availability | Example |
|---------------|------------|-------------------------|---------|
| SCE+          | 8 Gbps     | N/A                     |         |
| SCE           | 1 Gbps     | N/A                     |         |
|               |            |                         |         |
|               |            |                         |         |

| Company Name: | IBM |
|---------------|-----|
|               |     |

**Web Hosting Elements Supported** 

| Web Hosting Elements Supported | <u> </u>  |                     | T  |
|--------------------------------|-----------|---------------------|--|
| Software                       | Supported | Licensing Available | Comments   |
| Apache                         |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| TomCat                         |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| Geronimo                       |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| IBM WebSphere                  |           | Х                   | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| Oracle Application Server      |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| Jrun                           |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| GlassFish                      |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| IBM HTTP Server                |           | Х                   | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| IIS                            |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
| Jetty (Eclipse Foundations)    |           |                     | SmartCloud Enterprise and SmartCloud Enterprise+ are     |
|                                |           |                     | laaS offerings. The middleware installation, licensing   |
|                                |           |                     | and support are not included with the standard offering. |
|                                |           |                     |  |

Attachment 5

| Com                  | pany Name  | <u>::</u> |                           |        |           | IBM                 |                       |   |   |   |   |
|----------------------|------------|-----------|---------------------------|--------|-----------|---------------------|-----------------------|---|---|---|---|
|                      |            |           |                           |        |           |                     |                       | Vendor Self<br>Assessment<br>(Control<br>Implemented or | Third Party<br>Assessment<br>(Control<br>Implemented or | Effective Date of<br>Current ATO;<br>(authorizing | Effective Date<br>(Actual/Projected) of |
|                      | Control    |           |                           | Low-   | Moderate- |                     | Control Parameter (If | Not   | Not   |   | FedRAMP Provisional                     |
|                      |            |           | Control Name              | Impact | Impact    | Control Requirement | Applicable)           | Implemented)  | Implemented)  | DD/YYYY)  | ATO (MM/DD/YYYY)                        |
| 1.1.                 | Access Con | trol (AC) |                           |        |           |                     |                       |   |   |   |   |
|                      | AC 1       |           | Access Control Policy and | AC 1   | AC-1      | (b) (               | (4)                   |   | Assessed by clients for current                         |   | FedRAMP evaluation requested 6/8/2012;  |
| ${oldsymbol{arphi}}$ | AC-1       |           | Procedures                | AC-1   | AC-1      |                     |                       | Implemented   | ATOs.   | HUD Audit 8/2012                                  | projected 12/31/2012                    |
|                      |            |           |                           |        |           |                     |                       |   |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;                | FedRAMP evaluation                      |
|                      |            |           |                           |        |           |                     |                       |   | clients for current                                     | DOJ ATO 1/2012;                                   | requested 6/8/2012;                     |
|                      | AC-2       |           | Account Management        | AC-2   | AC-2      |                     |                       | Implemented   | ATOs.   | HUD Audit 8/2012                                  | projected 12/31/2012                    |
| Ш                    |            |           | J                         |        |           |                     |                       |   | Implemented.  | HUD ATO 9/2011;                                   |   |
|                      |            |           |                           |        |           |                     |                       |   |   | EPA ATO 1/2012;                                   | FedRAMP evaluation                      |
|                      |            |           |                           |        |           |                     |                       |   | clients for current                                     |   | requested 6/8/2012;                     |
| Ш                    | AC-2       | 1         |                           |        | AC-2 (1)  |                     |                       | Implemented   | ATOs.   | HUD Audit 8/2012                                  | projected 12/31/2012                    |

| Com | pany Name         | e:          |                                 |                |                     | IBM                 |                                      | 1  |   |   |  |
|-----|-------------------|-------------|---------------------------------|----------------|---------------------|---------------------|--------------------------------------|--|---|---|--|
| -   | puny num          | <u></u>     |                                 |                |                     |                     |                                      | J  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name                    | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) |   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |                                 |                |                     |                     |                                      |  |   |   |  |
|     | AC-2              | 2           |                                 |                | AC-2 (2)            | (b) (               | (4)                                  | mplemented   | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     |                   |             |                                 |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|     |                   |             |                                 |                |                     |                     |                                      |  | Assessed by<br>clients for current                              | EPA ATO 1/2012;<br>DOJ ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|     | AC-2              | 3           |                                 |                | AC-2 (3)            |                     |                                      | mplemented   | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     | AC-Z              | 3           |                                 | <del> </del>   | AC-2 (3)            |                     |                                      | mpiementeu   | Implemented.  | HUD ATO 9/2011;   | projected 12/31/2012   |
|     |                   |             |                                 |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     |                   |             |                                 |                |                     |                     |                                      |  |   | DOJ ATO 1/2012;   | requested 6/8/2012;  |
|     | AC-2              | 4           |                                 |                | AC-2 (4)            |                     |                                      | mplemented   | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     | AC-2              | 7           |                                 |                | AC-2 (7)            |                     |                                      | mplemented   | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     |                   |             |                                 |                | 1.0 2 (1)           |                     |                                      | premence   | Implemented.  | HUD ATO 9/2011;   | projected 12/01/2012   |
|     | AC-3              |             | Access Enforcement              | AC-3           | AC-3                |                     |                                      | mplemented   | Assessed by   | EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012                    | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     |                   |             |                                 |                |                     |                     |                                      |  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
|     | AC-3              | 3           |                                 | -              | AC-3 (3)            |                     |                                      | mplemented   | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     | AC-4              |             | Information Flow<br>Enforcement |                | AC-4                |                     |                                      | mplemented   | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | AC-5              |             | Separation of Duties            |                | AC-5                |                     |                                      | mplemented   | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

| Con | pany Nam  | <u>e:</u>   |                    |        |           | IBM                 |                       | 1                     |                                 |   |   |
|-----|-----------|-------------|--------------------|--------|-----------|---------------------|-----------------------|-----------------------|---------------------------------|---|---|
|     |           | _           |                    |        |           |                     |                       | -                     |                                 |   |   |
| l   |           |             |                    |        |           |                     |                       | Vendor Self           | Third Party                     | Effective Data of                                     |   |
|     |           |             |                    |        |           |                     |                       | Assessment            | I                               | Effective Date of                                     | Effective Date                          |
|     |           |             |                    |        |           |                     |                       | (Control              | •                               | Current ATO;<br>(authorizing                          | Effective Date<br>(Actual/Projected) of |
|     | Control   |             |                    | Low-   | Moderate- |                     | Control Parameter (If | Implemented or<br>Not |                                 |   | FedRAMP Provisional                     |
|     | Number    | Enhancement | Control Name       | Impact | Impact    | Control Requirement | Applicable)           | Implemented)          |                                 | DD/YYYY)  | ATO (MM/DD/YYYY)                        |
| Н   | Ivallibei | Emancement  | Control Name       | impacc | ппрасс    | control requirement | Аррисавіс             | шрешенец              |                                 |   | ATO (MINI) DO) TTTT                     |
|     |           |             |                    |        |           |                     |                       |                       |                                 | HUD ATO 9/2011;                                       |   |
|     |           |             |                    |        |           |                     |                       |                       |                                 | EPA ATO 1/2012;                                       | FedRAMP evaluation                      |
|     |           |             |                    |        |           |                     |                       |                       |                                 | DOJ ATO 1/2012;                                       | requested 6/8/2012;                     |
| _   | AC-6      | ļ           | Least Privilege    |        | AC-6      |                     |                       | Implemented           | ATOs.                           | HUD Audit 8/2012                                      | projected 12/31/2012                    |
|     |           |             |                    |        |           |                     | \ <b>T</b> /          |                       | Assessed by                     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012; | FedRAMP evaluation requested 6/8/2012;  |
|     | AC-6      | 1           |                    |        | AC-6 (1)  |                     |                       | Implemented           | ATOs.                           | HUD Audit 8/2012                                      | projected 12/31/2012                    |
|     |           |             |                    |        |           |                     |                       |                       | Assessed by clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012; | FedRAMP evaluation requested 6/8/2012;  |
|     | AC-6      | 2           |                    |        | AC-6 (2)  |                     |                       | Implemented           | ATOs.                           | HUD Audit 8/2012                                      | projected 12/31/2012                    |
|     |           |             | Unsuccessful Login |        |           |                     |                       |                       | Assessed by clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012; | FedRAMP evaluation requested 6/8/2012;  |
| i   | AC-7      | 0           | Attempts           | AC-7   | AC-7      |                     |                       | Implemented           | ATOs.                           | HUD Audit 8/2012                                      | projected 12/31/2012                    |

| Com | pany Name         | <u>::</u>   |  |                |                     | IBM                 |                                      | 1  |   |   |  |
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|     |                   |             |  |                |                     |                     |                                      | •  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name   | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |  |                |                     | (b)                 | <b>(4)</b>                           |  |   |   |  |
|     | AC-8              |             | System Use Notification  | AC-8           | AC-8                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD Audit 8/2012  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | AC-10             |             | Concurrent Session Control                                     |                | AC-10               |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | AC-11             |             | Session Lock   |                | AC-11               |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | AC-11             | 1           |  |                | AC-11 (1)           |                     |                                      | Not Implemented  |   |   |  |
|     | AC-14             | 1           | Permitted Actions Without<br>Identification/<br>Authentication | AC-14          | AC-11 (1)           |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     |   | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

| Com | mpany Name:       |             |                     |       |                     | IBM                 |                                      | 1  |   |   |  |
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|     |                   |             |                     |       |                     |                     |                                      | •  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name        | Low-  | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | AC-14             | 1           |                     |       | AC-14 (1)           | (h)                 | (4)                                  | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | AC-16             |             | Security Attributes |       | AC-16               |                     | ''/                                  | Not Implemented  |   |   |  |
|     |                   |             |                     |       |                     |                     |                                      |  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
|     | AC-17             |             | Remote Access       | AC-17 | AC-17               |                     |                                      | Implemented  | ATOs.<br>Implemented.<br>Assessed by                            | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;                              | projected 12/31/2012<br>FedRAMP evaluation   |
|     | AC-17             | 1           |                     |       | AC-17 (1)           |                     |                                      | Implemented  | ATOs.   | DOJ ATO 1/2012;<br>HUD Audit 8/2012   | requested 6/8/2012;<br>projected 12/31/2012  |
|     | AC-17             | 2           |                     |       | AC-17 (2)           |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     |                   |             |                     |       | 10.47(0)            |                     |                                      |  | I   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
|     | AC-17             | 3           |                     |       | AC-17 (3)           |                     |                                      | Implemented  | ATOs. Implemented. Assessed by                                  | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;                              | projected 12/31/2012 FedRAMP evaluation  |
|     | AC-17             | 4           | ı                   |       | AC-17 (4)           |                     |                                      | Implemented  | clients for current<br>ATOs.<br>Implemented.                    | DOJ ATO 1/2012;<br>HUD Audit 8/2012<br>HUD ATO 9/2011;                              | requested 6/8/2012;<br>projected 12/31/2012  |
|     | AC-17             | 5           |                     |       | AC-17 (5)           |                     |                                      | Implemented  | Assessed by<br>clients for current<br>ATOs.                     | EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012                              | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     |                   |             |                     |       |                     |                     |                                      |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012:                               | FedRAMP evaluation requested 6/8/2012;   |
|     | AC-17             | 7           | ,                   |       | AC-17 (7)           |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |

|     |              |             |                 |        |           |                     |                       | -  |  |              |  |
|-----|--------------|-------------|-----------------|--------|-----------|---------------------|-----------------------|--|--|--------------|--|
| Cor | ompany Name: |             |                 |        | IBM       |                     |                       |  |  |              |  |
|     |              |             |                 |        |           |                     |                       | •  |  |              |  |
|     | Control      |             |                 | Low-   | Moderate- |                     | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not | Third Party Assessment (Control Implemented or Not | (authorizing | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional |
|     |              | Enhancement | Control Name    | Impact | Impact    | Control Requirement | Applicable)           |  |  |              | ATO (MM/DD/YYYY)   |
|     | Number       | emancement  | CONTROL NAME    | impact | impact    | (b)                 | 4                     | третенечу  | шрененечу  | 56)1111)     | ATO (WWW, BLO, TTTT)   |
|     | AC-17        | 8           |                 |        | AC-17 (8) |                     |                       |  |  |              | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012    |
|     | AC-18        |             | Wireless Access | AC-18  | AC-18     |                     |                       | N/A. The IBM FDC does not permit wireless access.              |  |              |  |
|     | AC-18        | 1           |                 |        | AC-18 (1) |                     |                       | N/A. The IBM FDC does not permit wireless access.              |  |              |  |
|     | AC-18        | 2           |                 |        | AC-18 (2) |                     |                       | N/A. The IBM FDC<br>does not permit<br>wireless access.        |  |              |  |

| Com | pany Nam          | <u>e:</u>   |                             |                |                     | IBM                 |                                      | 1  |   |   |  |
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|     |                   |             |                             |                |                     |                     |                                      | •  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name                | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |                             |                |                     | (b)                 | <b>(4)</b>                           |  |   |   |  |
|     |                   |             |                             |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|     |                   |             |                             |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     |                   |             | Access Control for Mobile   |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | AC-19             |             | Devices                     | AC-19          | AC-19               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                             |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|     |                   |             |                             |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     | AC 10             | l .         |                             |                | AC 10 (1)           |                     |                                      |  | clients for current<br>ATOs.                                    |   | requested 6/8/2012;  |
|     | AC-19             | -           | <u> </u>                    |                | AC-19 (1)           |                     |                                      | Implemented  | Implemented.  | HUD Audit 8/2012<br>HUD ATO 9/2011;   | projected 12/31/2012   |
|     |                   |             |                             |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     |                   |             |                             |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | AC-19             | 2           |                             |                | AC-19 (2)           |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                             |                |                     |                     |                                      | ,  | Implemented.  | HUD ATO 9/2011;   | ,  |
|     |                   |             |                             |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     |                   |             |                             |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | AC-19             | 3           | 3                           |                | AC-19 (3)           |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             | Use of External Information |                |                     |                     |                                      |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012:                               | FedRAMP evaluation requested 6/8/2012;   |
| l   | AC-20             |             | Systems                     | AC-20          | AC-20               |                     |                                      | Implemented  | ATOs.   |   | projected 12/31/2012   |
|     | AC 20             |             | oysteins .                  | AC 20          | FIG 20              |                     |                                      | mplemented   | AT US   | 1100 Addit of 2012  | p. 0jected 12/01/2012  |

| Com  | pany Nam          | <u>e:</u>        |   |                |                     | IBM                 |                                      | 1  |   |   |  |
|------|-------------------|------------------|---|----------------|---------------------|---------------------|--------------------------------------|--|---|---|--|
|      |                   |                  |   |                |                     |                     |                                      | •  |   |   |  |
|      | Control<br>Number | Enhancement      | Control Name  | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) |   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|      | AC-20             | 1                |   |                | AC-20 (1)           | (b)                 | (4)                                  | Implemented  | Assessed by clients for current ATOs.                           | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|      |                   |                  |   |                |                     |                     |                                      |  | clients for current   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
|      | AC-20             | 2                |   |                | AC-20 (2)           |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|      | AC-22             |                  | Publicly Accessible Content                                 | AC-22          | AC-22               |                     |                                      | Implemented  | Assessed by   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
| 1.2. | Awarenes          | s and Training ( | (AT)  |                |                     |                     |                                      |  |   |   |  |
|      | AT-1              |                  | Security Awareness and<br>Training Policy and<br>Procedures | AT-1           | AT-1                |                     |                                      | Implemented  | Assessed by clients for current ATOs.                           | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|      | AT-2              |                  | Security Awareness  | AT-2           | AT-2                |                     |                                      | Implemented  | clients for current   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

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|    |              |                |                           |        |           |                     |                       | •              | _                         | _                           |                       |
|    |              |                |                           |        |           |                     |                       | Vendor Self    | Third Party               |                             |                       |
| ı  |              |                |                           |        |           |                     |                       | Assessment     | Assessment                | Effective Date of           |                       |
| ı  |              |                |                           |        |           |                     |                       | (Control       | (Control                  | Current ATO;                | Effective Date        |
|    | L            |                |                           | l.     |           |                     |                       | Implemented or | Implemented or            | (authorizing                | (Actual/Projected) of |
|    | Control      | F-1            | CtIN                      | Low-   | Moderate- | StI Btt             | Control Parameter (If | Not            | Not                       |                             | FedRAMP Provisional   |
| Н  | Number       | Enhancement    | Control Name              | Impact | Impact    | Control Requirement | Applicable)           | Implemented)   | Implemented) Implemented. | DD/YYYY)<br>HUD ATO 9/2011; | ATO (MM/DD/YYYY)      |
| ı  |              |                |                           |        |           |                     |                       |                | Assessed by               | EPA ATO 1/2012;             | FedRAMP evaluation    |
| ı  |              |                |                           |        |           |                     |                       |                | clients for current       |                             | requested 6/8/2012;   |
| ı  | AT-3         |                | Security Training         | AT-3   | AT-3      |                     |                       | Implemented    | ATOs.                     | HUD Audit 8/2012            | projected 12/31/2012  |
| Н  | AI-3         |                | Security Hairing          | AI-3   | AI-3      |                     |                       | implemented    |                           |                             | projected 12/31/2012  |
|    |              |                |                           |        |           |                     |                       |                | Implemented.              | HUD ATO 9/2011;             |                       |
|    |              |                |                           |        |           |                     |                       |                |                           | EPA ATO 1/2012;             | FedRAMP evaluation    |
|    |              |                |                           |        |           |                     |                       |                | clients for current       |                             | requested 6/8/2012;   |
| L  | AT-4         |                | Security Training Records | AT-4   | AT-4      |                     |                       | Implemented    | ATOs.                     | HUD Audit 8/2012            | projected 12/31/2012  |
| 1  | 3. Audit and | Accountability | Policy and Procedures (A  | U)     |           |                     |                       |                |                           |                             |                       |
|    |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
|    |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
|    |              |                |                           |        |           |                     |                       |                | Implemented.              | HUD ATO 9/2011;             |                       |
|    |              |                |                           |        |           |                     |                       |                | Assessed by               | EPA ATO 1/2012;             | FedRAMP evaluation    |
|    |              |                | Audit and Accountability  |        |           |                     |                       |                | clients for current       | DOJ ATO 1/2012;             | requested 6/8/2012;   |
|    | AU-1         |                | Policy and Procedures     | AU-1   | AU-1      |                     |                       | Implemented    | ATOs.                     | HUD Audit 8/2012            | projected 12/31/2012  |
|    |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
| ı  |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
| ı  |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
| ı  |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
| ı  |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
| ı  |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
|    |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
| ı  |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
| ı  |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
|    |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
|    |              |                |                           |        |           |                     |                       |                |                           |                             |                       |
|    |              |                |                           |        |           |                     |                       |                |                           | HUD ATO 9/2011;             |                       |
|    | 1            |                |                           |        |           |                     |                       |                |                           | EPA ATO 1/2012;             | FedRAMP evaluation    |
|    |              |                |                           | l      |           |                     |                       |                | I                         | DOJ ATO 1/2012;             | requested 6/8/2012;   |
| L  | AU-2         |                | Auditable Events          | AU-2   | AU-2      |                     |                       | Implemented    | ATOs.                     | HUD Audit 8/2012            | projected 12/31/2012  |

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|          | Control<br>Number | Enhancement |                          | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | organization);(MM/  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          |                   |             |                          |                |                     | (b) (               | (4)                                  |  | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
| $\vdash$ | AU-2              |             |                          |                |                     |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          | AU-2              | 2           |                          |                | AU-2 (3)            |                     |                                      | Implemented  | I   | DOJ ATO 1/2012;   | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|          | AU-2              |             |                          |                | AU-2 (4)            |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|          | AU-3              |             | Content of Audit Records | AU-3           | AU-3                |                     |                                      | Implemented  | Implemented.<br>Assessed by                                     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|          | AU-3              | 1           |                          |                | AU-3 (1)            |                     |                                      | Implemented  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |

| Com | pany Nam          | e:          |  |                |                     | IBM                 |                       | 1  |   |   |  |
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|     | ,                 |             |  |                |                     |                     |                       | 4  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name                             | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | AU-4              |             | Audit Storage Capacity                   | AU-4           | AU-4                | (h)                 | 1                     | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | AU-5              |             | Response to Audit<br>Processing Failures | AU-5           | AU-5                |                     |                       | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     |                   |             | Audit Review, Analysis, and              |                |                     |                     |                       |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOI ATO 1/2012:                               | FedRAMP evaluation requested 6/8/2012;   |
|     | AU-6              |             | Reporting                                | AU-6           | AU-6                |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |  |                |                     |                     |                       |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
|     | AU-6              | 1           | l  |                | AU-6 (1)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |  |                |                     |                     |                       |  | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
|     | AU-6              | 3           | В  |                | AU-6 (3)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             | Audit Reduction and Report               |                |                     |                     |                       |  | Implemented.<br>Assessed by<br>clients for current              |   | FedRAMP evaluation requested 6/8/2012;   |
|     | AU-7              |             | Generation                               |                | AU-7                |                     |                       | Implemented  | ATOs.<br>Implemented.   | HUD Audit 8/2012<br>HUD ATO 9/2011;   | projected 12/31/2012   |
|     | AU-7              |             |  |                | AU-7 (1)            |                     |                       | Implemented  | Assessed by clients for current ATOs.                           | EPA ATO 1/2012;   | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     |                   |             |  |                | , (1)               |                     |                       | picinellieu  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|     | AU-8              |             | Time Stamps                              | AU-8           | AU-8                |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |

| Com  | pany Nam | ne:             |                        |        |           | IBM                 |                       |                  |                     |                   |                       |
|------|----------|-----------------|------------------------|--------|-----------|---------------------|-----------------------|------------------|---------------------|-------------------|-----------------------|
|      |          | <u> </u>        |                        | T      |           |                     | 1                     | Vendor Self      | Third Party         |                   |                       |
|      |          |                 |                        |        |           |                     |                       | Assessment       | Assessment          | Effective Date of |                       |
| l    |          |                 |                        |        |           |                     |                       | (Control         | (Control            | Current ATO;      | Effective Date        |
|      |          |                 |                        |        |           |                     |                       | Implemented or   | Implemented or      | (authorizing      | (Actual/Projected) of |
|      | Control  |                 |                        | Low-   | Moderate- |                     | Control Parameter (If | Not              | Not                 | ,                 | FedRAMP Provisional   |
| l    | Number   | Enhancement     | Control Name           | Impact | Impact    | Control Requirement | Applicable)           | Implemented)     | Implemented)        | DD/YYYY)          | ATO (MM/DD/YYYY)      |
|      |          |                 |                        |        |           |                     |                       |                  | Implemented.        | HUD ATO 9/2011;   |                       |
|      |          |                 |                        |        |           |                     |                       |                  | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|      |          |                 |                        |        |           |                     |                       |                  | clients for current | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | AU-8     | 1               | L                      |        | AU-8 (1)  |                     |                       | Implemented      | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|      |          |                 |                        |        |           |                     |                       | -                |                     |                   |                       |
|      |          |                 |                        |        |           |                     |                       |                  | Implemented.        | HUD ATO 9/2011;   |                       |
|      |          |                 |                        |        |           |                     |                       |                  | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|      |          |                 |                        |        |           |                     |                       |                  |                     | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | AU-8     | 1 1             |                        |        |           |                     |                       | Implemented      | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|      | 70 0     | 1               |                        |        |           |                     |                       |                  | Implemented.        | HUD ATO 9/2011;   | p. 0,00000 22,02,2022 |
|      |          |                 |                        |        |           |                     |                       |                  | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|      |          |                 | Protection of Audit    |        |           |                     |                       |                  |                     | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | AU-9     |                 | Information            | AU-9   | AU-9      |                     |                       | Implemented      | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|      |          |                 |                        | 1      |           |                     |                       |                  | Implemented.        | HUD ATO 9/2011;   | ,,,,                  |
|      |          |                 |                        |        |           |                     |                       |                  | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|      |          |                 |                        |        |           |                     |                       |                  |                     | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | AU-9     | 2               | 2                      |        | AU-9 (2)  |                     |                       | Implemented      | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|      |          |                 |                        |        |           |                     |                       |                  | Implemented.        | HUD ATO 9/2011;   |                       |
|      |          |                 |                        |        |           |                     |                       |                  | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|      |          |                 |                        |        |           |                     |                       |                  | clients for current | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | AU-10    |                 | Non-Repudiation        |        | AU-10     |                     |                       | Implemented      | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|      |          |                 |                        |        |           |                     |                       |                  |                     |                   |                       |
|      |          |                 |                        |        |           |                     |                       | N/A. The IBM FDC |                     |                   |                       |
|      |          | l _             |                        |        | (=)       |                     |                       | will not provide |                     |                   |                       |
|      | AU-10    | 5               | •                      |        | AU-10 (5) |                     |                       | email services.  |                     |                   |                       |
|      |          |                 |                        |        |           |                     |                       |                  |                     |                   |                       |
|      |          |                 |                        |        |           |                     |                       |                  | Implemented.        | HUD ATO 9/2011;   |                       |
|      |          |                 |                        |        |           |                     |                       |                  | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|      |          |                 |                        | 1      |           |                     |                       |                  | 1                   | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | AU-11    |                 | Audit Record Retention | AU-11  | AU-11     |                     |                       | Implemented      | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|      |          |                 |                        |        |           |                     |                       |                  |                     |                   |                       |
|      |          |                 |                        | 1      |           |                     |                       |                  |                     |                   |                       |
|      |          |                 |                        |        |           |                     |                       |                  |                     |                   |                       |
| I    |          |                 |                        | 1      |           |                     |                       |                  | Implemented.        | HUD ATO 9/2011;   |                       |
|      |          |                 |                        |        |           |                     |                       |                  | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|      |          |                 |                        | 1      |           |                     |                       |                  |                     | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | AU-12    |                 | Audit Generation       | AU-12  | AU-12     |                     |                       | Implemented      | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
| 1.4. |          | nt and Authoriz |                        |        |           |                     |                       |                  |                     | ,                 | . ,,                  |
| 4.7. |          | and nathone     |                        |        |           |                     |                       |                  |                     |                   |                       |

| Con      | npany Nam         | <u>e:</u>   |   |                |                     | IBM                 |                                      | 1  |   |   |  |
|----------|-------------------|-------------|---|----------------|---------------------|---------------------|--------------------------------------|--|---|---|--|
|          |                   | _           |   |                |                     |                     |                                      |  |   |   |  |
|          | Control<br>Number | Enhancement | Control Name  | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          | CA-1              |             | Security Assessment and<br>Authorization Policies and<br>Procedures | CA-1           | CA-1                | (b)                 | (4)                                  | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|          |                   |             |   |                |                     |                     |                                      |  | Assessed by   | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|          | CA-2              |             | Security Assessments  | CA-2           | CA-2                |                     |                                      | Implemented  | clients for current   | DOJ ATO 1/2012;<br>HUD Audit 8/2012   | requested 6/8/2012;<br>projected 12/31/2012  |
|          |                   |             | occurry ruscomend   |                |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
| $\vdash$ | CA-2              | 1           | L   | CA-2 (1)       | CA-2 (1)            |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          | CA-3              |             | Information System Connections                                      | CA-3           | CA-3                |                     |                                      | Implemented  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

| Co  | npany Nam           | <u>e:</u>          |                                  |                |                     | IBM                 |                                      | 1  |  |   |  |
|-----|---------------------|--------------------|----------------------------------|----------------|---------------------|---------------------|--------------------------------------|--|--|---|--|
|     | Control<br>Number   | Enhancement        | Control Name                     | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | organization);(MM/  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | CA-5                |                    | Plan of Action and<br>Milestones | CA-5           | CA-5                | (b)                 | (4)                                  | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | CA-6                |                    | Security Authorization           | CA-6           | CA-6                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | CA-7                |                    | Continuous Monitoring            | CA-7           | CA-7                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     |                     |                    |                                  |                |                     |                     |                                      |  |  |   |  |
| 1.5 | CA-7<br>. Configura | 2<br>tion Manageme | ent (CM)                         |                | CA-7 (2)            |                     |                                      | Implemented  | Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

| Con      | pany Name | <u>e:</u>   |                          |        |           | IBM                 |                       | 1              |  |   |   |
|----------|-----------|-------------|--------------------------|--------|-----------|---------------------|-----------------------|----------------|--|---|---|
|          |           |             |                          |        |           |                     |                       | •              |  |   |   |
|          |           |             |                          |        |           |                     |                       | Vendor Self    | Third Party                                  |   |   |
|          |           |             |                          |        |           |                     |                       | Assessment     | Assessment                                   | Effective Date of   |   |
|          |           |             |                          |        |           |                     |                       | (Control       | (Control                                     | Current ATO;  | Effective Date  |
|          | _         |             |                          |        |           |                     |                       | Implemented or | Implemented or                               | (authorizing  | (Actual/Projected) of                                       |
|          | Control   |             |                          | Low-   | Moderate- |                     | Control Parameter (If | Not            | Not  |   | FedRAMP Provisional   |
| ⊢        | Number    | Enhancement | Control Name             | Impact | Impact    | Control Requirement | Applicable)           | Implemented)   | Implemented)                                 | DD/YYYY)  | ATO (MM/DD/YYYY)  |
|          |           |             |                          |        |           | (h)                 | (1)                   |                |  | HUD ATO 9/2011;   |   |
|          |           |             |                          |        |           |                     |                       |                | Assessed by                                  | EPA ATO 1/2012;   | FedRAMP evaluation  |
|          |           |             | Configuration Management |        |           |                     |                       |                | clients for current                          |   | requested 6/8/2012;   |
|          | CM-1      |             | Policy and Procedures    | CM-1   | CM-1      |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                          |        |           |                     |                       |                | Implemented.                                 | HUD ATO 9/2011;   |   |
|          |           |             |                          |        |           |                     |                       |                | Assessed by                                  | EPA ATO 1/2012;   | FedRAMP evaluation  |
|          |           |             |                          |        |           |                     |                       |                | clients for current                          |   | requested 6/8/2012;   |
|          | CM-2      |             | Baseline Configuration   | CM-2   | CM-2      |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012  | projected 12/31/2012  |
|          | CM-2      | 1           |                          |        | CM-2 (1)  |                     |                       | Implemented    |  | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012 |
|          |           |             |                          |        |           |                     |                       |                | Implemented. Assessed by clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;                      |
|          | CM-2      | 1           |                          |        |           |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012  | projected 12/31/2012  |
| 1        |           |             |                          |        |           |                     |                       |                | Implemented.                                 | HUD ATO 9/2011;   |   |
| 1        |           |             |                          |        |           |                     |                       |                | Assessed by                                  | EPA ATO 1/2012;   | FedRAMP evaluation  |
| I        |           |             |                          |        |           |                     |                       |                | clients for current                          |   | requested 6/8/2012;   |
| $\vdash$ | CM-2      | 3           |                          |        | CM-2 (3)  |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                          |        |           |                     |                       |                | Assessed by clients for current              |   | FedRAMP evaluation requested 6/8/2012;                      |
|          | CM-2      | 5           | 1                        |        | CM-2 (5)  |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012  | projected 12/31/2012  |

| Com      | pany Name         | <u>e:</u>   |                          |                |                     | IBM                 |                       | 1  |   |   |  |
|----------|-------------------|-------------|--------------------------|----------------|---------------------|---------------------|-----------------------|--|---|---|--|
|          |                   |             |                          |                |                     |                     |                       | •  |   |   |  |
|          | Control<br>Number | Enhancement | Control Name             | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          |                   |             |                          |                |                     | (b)                 | (4)                   |  |   |   |  |
|          |                   |             |                          |                |                     |                     |                       |  | •   | HUD ATO 9/2011;   |  |
|          |                   |             | a 6 11 at                |                |                     |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          | CM 2              |             | Configuration Change     |                | CM 2                |                     |                       | Implemented  | clients for current<br>ATOs.                                    |   | requested 6/8/2012;  |
| $\vdash$ | CM-3              |             | Control                  |                | CM-3                |                     |                       | Implemented  | Implemented.  | HUD Audit 8/2012<br>HUD ATO 9/2011;   | projected 12/31/2012   |
|          |                   |             |                          |                |                     |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             |                          |                |                     |                     |                       |  | clients for current   |   | requested 6/8/2012;  |
|          | CM-3              | ] 2         |                          |                | CM-3 (2)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                          |                |                     |                     |                       |  | Implemented.  | HUD ATO 9/2011;   | ,,   |
|          |                   |             |                          |                |                     |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             |                          |                |                     |                     |                       |  | clients for current   |   | requested 6/8/2012;  |
|          | CM-4              |             | Security Impact Analysis | CM-4           | CM-4                |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                          |                |                     |                     |                       |  | Implemented.  | HUD ATO 9/2011;   |  |
|          |                   |             |                          |                |                     |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             | Access Restrictions for  |                |                     |                     |                       |  | clients for current   |   | requested 6/8/2012;  |
|          | CM-5              |             | Change                   |                | CM-5                |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                          |                |                     |                     |                       |  | Implemented.  | HUD ATO 9/2011;   |  |
|          |                   |             |                          |                |                     |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             |                          |                |                     |                     |                       |  | clients for current   |   | requested 6/8/2012;  |
| $\vdash$ | CM-5              | 1           |                          |                | CM-5 (1)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                          |                |                     |                     |                       |  |   |   |  |
|          |                   |             |                          |                |                     |                     |                       |  | Implemented.  | HUD ATO 9/2011;   |  |
|          |                   |             |                          |                |                     |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             |                          |                |                     |                     |                       |  | clients for current   |   | requested 6/8/2012;  |
| <u> </u> | CM-5              | 5           |                          |                | CM-5 (5)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |

| Control Number   Enhancement   Control Name   Implemented   Control Name   Implemented   Implement  | Con             | npany Name | <u>e:</u>   |                        |      |          | IBM                 |     | ]   |   |  |  |
|---|-----------------|------------|-------------|------------------------|------|----------|---------------------|-----|---|---|--|--|
| Assessed by   CM-6     |                 |            | Enhancement | Control Name           | I    |          | Control Requirement | 1   | Assessment<br>(Control<br>Implemented or<br>Not | Assessment<br>(Control<br>Implemented or<br>Not | Current ATO;<br>(authorizing<br>organization);(MM/ | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
| CM-6   1  |                 |            |             |                        |      |          | (b)                 | (4) |   | Assessed by                                     | EPA ATO 1/2012;<br>DOJ ATO 1/2012;                 | FedRAMP evaluation requested 6/8/2012;   |
| Implemented   |                 | CM-6       | 6           | Configuration Settings | CM-6 | CM-6     |                     |     | Implemented                                     | ATOs.   | HUD Audit 8/2012                                   | projected 12/31/2012   |
| Assessed by clients for current pol ATO 1/2012; projected 12/31/20  CM-6 3 3 CM-6 (3)  Implemented ATOS. HUD Audit 8/2012 projected 12/31/20  Implemented DATOS. HUD Audit 8/2012 projected 12/31/20  Implemented DATOS. HUD Audit 8/2012 projected 12/31/20  CM-7 Least Functionality CM-7 CM-7  Implemented HUD ATO 9/2011; EPA ATO 1/2012; Projected 12/31/20  Implemented HUD ATO 9/2011; Projected 12/31/20  Implemented HUD ATO 9/2011; Projected 12/31/20  Implemented HUD ATO 9/2012; Projected 12/31/20  CM-7 1 CM-7 (1)  Implemented ATOS. HUD Audit 8/2012 projected 12/31/20  Implemented HUD ATO 9/2011; Projected 12/31/20  Implemented HUD ATO 9/2011; Projected 12/31/20  Implemented ATOS. HUD Audit 8/2012 projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  Implemented ATOS. HUD Audit 8/2012 projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  Implemented ATOS. HUD AUDIT 8/2012; PedRAMP evaluation projected 12/31/20  |                 | CM-6       | 1           |                        |      | CM-6 (1) |                     |     | Not Implemented                                 |   |  |  |
| CM-6   3   CM-6 (3)   Implemented   ATOs.   HUD Audit 8/2012   projected 12/31/20   |                 |            |             |                        |      |          |                     |     |   | Assessed by                                     | EPA ATO 1/2012;                                    | FedRAMP evaluation   |
| Implemented.   Assessed by   EPA ATO 1/2012;   FedRAMP evaluation   Fe  | l               | CM-6       | 3           |                        |      | CM-6 (3) |                     |     | Implemented                                     |   |  | projected 12/31/2012   |
| Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. ATOS.  Implemented. HUD ATO 9/2011; EPA ATO 1/2012; DOJ ATO 1/2012; projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. ATOS. HUD ATO 1/2012; FedRAMP evaluation requested 6/8/2012  Implemented. ATOS. HUD ATO 1/2012; projected 12/31/20  Implemented. HUD ATO 9/2011; FedRAMP evaluation requested 6/8/2012  Implemented. HUD ATO 9/2011; FedRAMP evaluation requested 6/8/2012  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of projected 12/31/20  Implemented. Assessed by clients for current of |                 |            |             |                        |      |          |                     |     |   | Assessed by                                     | EPA ATO 1/2012;                                    | FedRAMP evaluation requested 6/8/2012;   |
| Assessed by clients for current CM-7 (1)  Implemented ATOS.  Implemented HUD ATO 9/2011; FedRAMP evaluation requested 6/8/2012 projected 12/31/20  Implemented HUD ATO 9/2011; FedRAMP evaluation requested 6/8/2012 projected 12/31/20  Implemented HUD ATO 9/2011; FedRAMP evaluation requested 6/8/2012 projected 12/31/20  CM-8 CM-8 CM-8 CM-8  Implemented ATOS.  Implemented ATOS.  Implemented HUD ATO 9/2011; FedRAMP evaluation requested 6/8/2012 projected 12/31/20  Implemented ATOS.  Implemented HUD ATO 9/2011; FedRAMP evaluation requested 6/8/2012 projected 12/31/20  Implemented ATOS.  Implemented DOJ ATO 1/2012; FedRAMP evaluation requested 6/8/2012 projected 12/31/20  Implemented DOJ ATO 1/2012; FedRAMP evaluation requested 6/8/2012 projected 12/31/20  |                 | CM-7       |             | Least Functionality    | CM-7 | CM-7     |                     |     | Implemented                                     |   |  | projected 12/31/2012   |
| CM-7 1 CM-7 (1)  Implemented ATOs. HUD Ato 9/2011;  Implemented. HUD ATO 9/2011;  Assessed by EPA ATO 1/2012; FedRAMP evaluation requested 6/8/2012  CM-8 CM-8 CM-8 CM-8  Implemented ATOs. HUD ATO 9/2011;  FedRAMP evaluation requested 6/8/2012  Implemented ATOs. HUD ATO 9/2011;  FedRAMP evaluation requested 6/8/2012  Implemented ATOs. HUD ATO 9/2011;  Assessed by EPA ATO 1/2012; FedRAMP evaluation requested for current points for current of the control |                 |            |             |                        |      |          |                     |     |   | Assessed by                                     | EPA ATO 1/2012;                                    | FedRAMP evaluation requested 6/8/2012;   |
| Assessed by clients for current DOJ ATO 1/2012; requested 6/8/2012 projected 12/31/20  CM-8 CM-8 CM-8 CM-8 CM-8 CM-8  Implemented ATOs. HUD Audit 8/2012 projected 12/31/20  Implemented. HUD ATO 9/2011; Assessed by clients for current DOJ ATO 1/2012; requested 6/8/2012 projected 12/31/20  CM-8 CM-8 CM-8 CM-8 CM-8 CM-8 CM-8 CM-8  |                 | CM-7       | 1           | <u>l</u>               |      | CM-7 (1) |                     |     | Implemented                                     |   |  | projected 12/31/2012   |
| Information System CM-8 CM-8 CM-8 CM-8 CM-8 CM-8 CM-8 CM-8  |                 |            |             |                        |      |          |                     |     |   |   |  | FedRAMP evaluation   |
| Implemented. HUD ATO 9/2011; Assessed by EPA ATO 1/2012; FedRAMP evaluation clients for current DOJ ATO 1/2012; requested 6/8/2012  | 1               |            |             | Information System     |      |          |                     |     |   |   |  | requested 6/8/2012;  |
| Assessed by EPA ATO 1/2012; FedRAMP evaluatio clients for current DOJ ATO 1/2012; requested 6/8/2012  | $ldsymbol{f L}$ | CM-8       |             |                        | CM-8 | CM-8     |                     |     | Implemented                                     | ATOs.   | HUD Audit 8/2012                                   | projected 12/31/2012   |
| clients for current DOJ ATO 1/2012; requested 6/8/2012  |                 |            |             |                        |      |          |                     |     |   |   |  | FodDANAD acceleration  |
|   |                 |            |             |                        |      |          |                     |     |   |   |  |  |
| Implemented IATOS. INDU Addit 6/2012 Iprojected 12/31/20  | 1               | CM-8       | 1           |                        |      | CM-8 (1) |                     |     | Implemented                                     | ATOs.   | HUD Audit 8/2012                                   | projected 12/31/2012   |

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| - |               |                   | _               |  |                |                     |                     |                                      | 4  |   |   |  |
|   |               | Control<br>Number | Enhancement     | Control Name                               | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | (Control<br>Implemented or<br>Not                           | (authorizing organization);(MM/   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|   |               | CM-8              | 3               |  | ·              | CM-8 (3)            | (h) (               | 4)                                   | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs. | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|   |               | CM-8              | 5               |  |                | CM-8 (5)            |                     |                                      | Implemented  | Assessed by clients for current                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|   | $\overline{}$ | CM-9              |                 | Configuration Management<br>Plan           |                | CM-9                |                     |                                      | Implemented  | Assessed by clients for current                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
| 1 | .6.           | Contingen         | cy Planning (CP | )  |                |                     |                     |                                      |  |   |   |  |
|   |               | CP-1              |                 | Contingency Planning Policy and Procedures | CP-1           | CP-1                |                     |                                      | Implemented  | Assessed by clients for current                             |   | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

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| Control<br>Number  | Enhancement | Control Name                           | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|                    |             |  |                |                     | (b)                 | (4)                   |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
| CP-2               |             | Contingency Plan                       | CP-2           | CP-2                |                     |                       | Implemented  | ATOs.<br>Implemented.<br>Assessed by                            | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;                              | projected 12/31/2012<br>FedRAMP evaluation   |
| CP-3               |             | Contingency Training                   | CP-3           | CP-3                |                     |                       | Implemented  | clients for current<br>ATOs.                                    | DOJ ATO 1/2012;<br>HUD Audit 8/2012   | requested 6/8/2012;<br>projected 12/31/2012  |
| CP-4               |             | Contingency Plan Testing and Exercises | CP-4           | CP-4                |                     |                       | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

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|     |                   | _           |                           |                |                     |                     |                       |  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name              | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) |   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |                           | <u> </u>       | ·                   |                     |                       | ,  | Implemented.  | HUD ATO 9/2011;   | , , , ,  |
|     | CP-4              | 1           |                           |                | CP-4 (1)            | (h)                 | (4)                   | Implemented  | Assessed by   | EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012<br>HUD ATO 9/2011; | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | CP-6              |             | Alternate Storage Site    |                | CP-6                | (D)                 |                       | Implemented  | Assessed by   | EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012                    | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     |                   |             |                           |                |                     |                     |                       |  | I   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
| _   | CP-6              | 1           |                           |                | CP-6 (1)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                           |                |                     |                     |                       |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
|     | CP-6              | 3           |                           |                | CP-6 (3)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                           |                |                     |                     |                       |  | Implemented.<br>Assessed by                                     | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|     |                   |             |                           |                |                     |                     |                       |  | I   | DOJ ATO 1/2012;   | requested 6/8/2012;  |
|     | CP-7              |             | Alternate Processing Site |                | CP-7                |                     |                       | Implemented  | ATOs. Implemented. Assessed by clients for current              | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012; | projected 12/31/2012 FedRAMP evaluation requested 6/8/2012;                        |
|     | CP-7              | 1           | Į.                        |                | CP-7 (1)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                           |                |                     |                     |                       |  | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
|     | CP-7              | 2           |                           |                | CP-7 (2)            |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     | CP-7              | 3           |                           |                | CP-7 (3)            |                     |                       | Implemented  | ATOs.   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | CP-7              | 5           |                           |                | CP-7 (5)            |                     |                       | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

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|     | Control<br>Number | Enhancement |                                | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | organization);(MM/  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY)      |
|     | CP-8              |             | Telecommunications<br>Services |                | CP-8                | (b) (               | (4)                                  | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012                                       | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                             |
|     | CP-8              | 1           |                                |                | CP-8 (1)            |                     |                                      | Implemented  | ATOs.<br>Implemented.<br>Assessed by                            | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012; | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012<br>FedRAMP evaluation |
|     | CP-8              | 2           |                                |                | CP-8 (2)            |                     |                                      | Implemented  | clients for current<br>ATOs.                                    | DOJ ATO 1/2012;<br>HUD Audit 8/2012   | requested 6/8/2012;<br>projected 12/31/2012   |
|     | CP-9              |             | Information System Backup      | CP-9           | CP-9                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012                                       | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                       |
|     |                   |             | постаноп бузент васкир         | 5. 5           | <u> </u>            |                     |                                      | mpremence  |   | noo naan oj 2012  | p. 0,20004 12,01,2012   |
|     | CP-9              |             |                                |                |                     |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012                                       | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                             |

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|          |                   |                 |                    |  |                     |                     |                                      | •  |                             |   |  |
|          | Control<br>Number | Enhancement     | Control Name       | Low-<br>Impact                                   | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Not                         |   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          |                   |                 |                    |  |                     | (b)                 | (4)                                  |  | Implemented. Assessed by    | HUD ATO 9/2011;<br>EPA ATO 1/2012;                    | FedRAMP evaluation   |
| l        |                   |                 |                    |  |                     |                     |                                      |  |                             | DOJ ATO 1/2012;                                       | requested 6/8/2012;  |
| _        | CP-9              |                 |                    |  |                     |                     |                                      | Implemented  |                             | HUD Audit 8/2012                                      | projected 12/31/2012   |
|          |                   |                 |                    |  |                     |                     |                                      |  | Implemented.                | HUD ATO 9/2011;                                       |  |
|          |                   |                 |                    |  |                     |                     |                                      |  |                             | EPA ATO 1/2012;                                       | FedRAMP evaluation   |
| ı        | CP-9              | Ι,              |                    |  | CP-9 (1)            |                     |                                      | Implemented  |                             | DOJ ATO 1/2012;<br>HUD Audit 8/2012                   | requested 6/8/2012;<br>projected 12/31/2012  |
| $\vdash$ | CP-9              | + +             |                    | <del>                                     </del> | CP-9 (1)            |                     |                                      | implemented  | ATOS.                       | HOD Addit 8/2012                                      | projected 12/31/2012   |
| l        |                   |                 |                    |  |                     |                     |                                      |  |                             | l   |  |
|          |                   |                 |                    |  |                     |                     |                                      |  |                             | HUD ATO 9/2011;                                       |  |
|          |                   |                 |                    |  |                     |                     |                                      |  |                             | EPA ATO 1/2012;                                       | FedRAMP evaluation   |
|          | cp. c             | 1               |                    |  | CD 0 (2)            |                     |                                      |  | I                           | DOJ ATO 1/2012;                                       | requested 6/8/2012;  |
| -        | CP-9              | 3               |                    | +  | CP-9 (3)            |                     |                                      | Implemented  | ATOs.<br>Implemented.       | HUD Audit 8/2012<br>HUD ATO 9/2011;                   | projected 12/31/2012   |
| l        |                   |                 | Information System |  |                     |                     |                                      |  |                             | EPA ATO 1/2012;                                       | FedRAMP evaluation   |
| l        |                   |                 | Recovery and       |  |                     |                     |                                      |  |                             | DOJ ATO 1/2012;                                       | requested 6/8/2012;  |
| l        | CP-10             |                 | Reconstitution     | CP-10  | CP-10               |                     |                                      | Implemented  | ATOs.                       | HUD Audit 8/2012                                      | projected 12/31/2012   |
|          |                   |                 |                    |  | . 20                |                     |                                      | ,  |                             | HUD ATO 9/2011;                                       | p. 0,0000 22,02,2022   |
|          |                   | 1               |                    |  |                     |                     |                                      |  |                             | EPA ATO 1/2012;                                       | FedRAMP evaluation   |
| I        |                   | 1               |                    |  |                     |                     |                                      |  |                             | DOJ ATO 1/2012;                                       | requested 6/8/2012;  |
|          | CP-10             | 2               |                    |  | CP-10 (2)           |                     |                                      | Implemented  | ATOs.                       | HUD Audit 8/2012                                      | projected 12/31/2012   |
|          |                   |                 |                    |  |                     |                     |                                      |  | Implemented.<br>Assessed by | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012; | FedRAMP evaluation requested 6/8/2012;   |
|          | CP-10             | 3               | 3                  |  | CP-10 (3)           |                     |                                      | Implemented  | I                           | HUD Audit 8/2012                                      | projected 12/31/2012   |
| 1.7.     |                   | tion and Auther | ntication (IA)     |  | (-)                 |                     |                                      |  |                             | , , , , ,   |  |
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|     |           | _           |                           |          |           |                     |                          | •              |                          |                                    |                       |
|     |           |             |                           |          |           |                     |                          | Vendor Self    | Third Party              |                                    |                       |
|     |           |             |                           |          |           |                     |                          | Assessment     | Assessment               | Effective Date of                  |                       |
|     |           |             |                           |          |           |                     |                          | (Control       | (Control                 | Current ATO;                       | Effective Date        |
|     |           |             |                           |          |           |                     |                          | Implemented or | Implemented or           | (authorizing                       | (Actual/Projected) of |
|     | Control   |             |                           | Low-     | Moderate- |                     | Control Parameter (If    | Not            | Not                      |                                    | FedRAMP Provisional   |
|     | Number    | Enhancement | Control Name              | Impact   | Impact    | Control Requirement | Annlicable)              | Implemented)   | Implemented)             | DD/YYYY)                           | ATO (MM/DD/YYYY)      |
|     |           |             |                           |          |           | (h)                 | $\langle \Delta \rangle$ |                |                          |                                    |                       |
|     |           |             |                           |          |           |                     |                          |                | Implemented.             | HUD ATO 9/2011;                    |                       |
| I   |           |             | Identification and        |          |           |                     |                          |                | Assessed by              | EPA ATO 1/2012;                    | FedRAMP evaluation    |
|     |           |             | Authentication Policy and |          |           |                     |                          |                | clients for current      |                                    | requested 6/8/2012;   |
|     | IA-1      |             | Procedures                | IA-1     | IA-1      |                     |                          | Implemented    | ATOs.                    | HUD Audit 8/2012                   | projected 12/31/2012  |
|     |           |             |                           |          |           |                     |                          |                | Implemented.             | HUD ATO 9/2011;                    |                       |
|     |           |             | Identification and        |          |           |                     |                          |                | Assessed by              | EPA ATO 1/2012;                    | FedRAMP evaluation    |
|     |           |             | Authentication            |          |           |                     |                          |                | clients for current      |                                    | requested 6/8/2012;   |
|     | IA-2      |             | (Organizational Users)    | IA-2     | IA-2      |                     |                          | Implemented    | ATOs.                    | HUD Audit 8/2012                   | projected 12/31/2012  |
|     |           |             |                           |          |           |                     |                          |                | Implemented.             | HUD ATO 9/2011;                    |                       |
|     |           |             |                           |          |           |                     |                          |                | Assessed by              | EPA ATO 1/2012;                    | FedRAMP evaluation    |
|     |           | _           |                           |          |           |                     |                          |                |                          | DOJ ATO 1/2012;                    | requested 6/8/2012;   |
|     | IA-2      | 1           |                           | IA-2 (1) | IA-2 (1)  |                     |                          | Implemented    | ATOs.                    | HUD Audit 8/2012                   | projected 12/31/2012  |
|     |           |             |                           |          |           |                     |                          |                | Implemented.             | HUD ATO 9/2011;                    |                       |
|     |           |             |                           |          |           |                     |                          |                | Assessed by              | EPA ATO 1/2012;                    | FedRAMP evaluation    |
| l   |           |             |                           |          | 14 2 (2)  |                     |                          |                | I                        | DOJ ATO 1/2012;                    | requested 6/8/2012;   |
| _   | IA-2      |             |                           |          | IA-2 (2)  |                     |                          | Implemented    | ATOs.                    | HUD Audit 8/2012                   | projected 12/31/2012  |
| l   |           |             |                           |          |           |                     |                          |                | Implemented. Assessed by | HUD ATO 9/2011;<br>EPA ATO 1/2012; | FedRAMP evaluation    |
|     |           |             |                           |          |           |                     |                          |                | clients for current      |                                    | requested 6/8/2012;   |
| l   | IA-2      | ١ ,         |                           |          | IA-2 (3)  |                     |                          | Implemented    | ATOs.                    | HUD Audit 8/2012                   | projected 12/31/2012  |
| ⊢   | IA-Z      | 3           |                           |          | IA-2 (5)  |                     |                          | implemented    | ATOS.                    | HOD Addit 6/2012                   | projected 12/31/2012  |
|     |           |             |                           |          |           |                     |                          |                | Implemented.             | HUD ATO 9/2011;                    |                       |
|     |           |             |                           |          |           |                     |                          |                | Assessed by              | EPA ATO 1/2012;                    | FedRAMP evaluation    |
| I   |           | 1           |                           |          |           |                     |                          |                | clients for current      | DOJ ATO 1/2012;                    | requested 6/8/2012;   |
|     | IA-2      | 8           |                           |          | IA-2 (8)  |                     |                          | Implemented    | ATOs.                    | HUD Audit 8/2012                   | projected 12/31/2012  |
|     |           |             |                           |          |           |                     |                          |                | landama-t                | LILID ATO 0 /2014                  |                       |
|     |           |             |                           |          |           |                     |                          |                | Implemented.             | HUD ATO 9/2011;                    | FodDAMD ovelvetics    |
|     |           |             | Device Identification and |          |           |                     |                          |                | Assessed by              | EPA ATO 1/2012;                    | FedRAMP evaluation    |
|     | 14.2      |             |                           |          | 14.3      |                     |                          | Implemented    | clients for current      |                                    | requested 6/8/2012;   |
|     | IA-3      |             | Authentication            |          | IA-3      |                     |                          | Implemented    | ATOs.                    | HUD Audit 8/2012                   | projected 12/31/2012  |

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|     | Control<br>Number | Enhancement | Control Name          | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | IA-4              |             | Identifier Management | IA-4           | IA-4                | (b) (               | (4)                                  | Implemented  | Implemented.  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | IA-4              |             |                       |                |                     |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | IA-4              | 4           |                       |                | IA-4 (4)            |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     |                   |             |                       |                |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |

| Con | pany Name         | <u>e:</u>   |                |                     | IBM                 |                                      | 1  |                             |   |  |
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|     |                   |             |                |                     |                     |                                      | 4  |                             |   |  |
|     | Control<br>Number | Enhancement | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Not                         | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | IA-5              |             | IA-5 (1)       | IA-5 (1)            | (b) (               | 4)                                   | Implemented  | Assessed by                 | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | IA-5              | 1           | (1)            | JM-3 (1)            |                     |                                      | Implemented  | Implemented.<br>Assessed by | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | IA-5              | 1           |                |                     |                     |                                      | Implemented  | Implemented.                | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |

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|          |                   |             |                        |                |                     |                     |                                      |   |                                 |   |  |
|          | Control<br>Number | Enhancement | Control Name           | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented)                  |                                 | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          | 14.5              |             |                        |                |                     | (b)                 | (4)                                  | Implemented   | Assessed by clients for current |   | FedRAMP evaluation requested 6/8/2012;   |
| $\vdash$ | IA-5              | 1           |                        |                |                     |                     |                                      | Implemented   | ATOs.                           | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                        |                |                     |                     |                                      |   | Assessed by clients for current |   | FedRAMP evaluation requested 6/8/2012;   |
|          | IA-5              | 2           |                        |                | IA-5 (2)            |                     |                                      | Implemented   | ATOs.                           | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                        |                | u 5 (a)             |                     |                                      |   | Assessed by clients for current |   | FedRAMP evaluation requested 6/8/2012;   |
|          | IA-5              | 3           |                        |                | IA-5 (3)            |                     |                                      | Implemented   | ATOs.<br>Implemented.           | HUD Audit 8/2012<br>HUD ATO 9/2011;   | projected 12/31/2012   |
|          |                   |             |                        |                |                     |                     |                                      |   | Assessed by clients for current | EPA ATO 1/2012;   | FedRAMP evaluation requested 6/8/2012;   |
|          | IA-5              | 6           |                        |                | IA-5 (6)            |                     |                                      | Implemented   | ATOs.                           | HUD Audit 8/2012  | projected 12/31/2012   |
|          | IA-5              | 7           |                        |                | IA-5 (7)            |                     |                                      | Not Implemented<br>for all<br>components. Only<br>implemented for a<br>subset of<br>components. |                                 |   |  |
|          |                   |             |                        |                |                     |                     |                                      |   |                                 | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|          | IA-6              |             | Authenticator Feedback | IA-6           | IA-6                |                     |                                      | Implemented   | ATOs.                           | HUD Audit 8/2012  | projected 12/31/2012   |

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|      |                   | <u> </u>     |   |                |                     |                     |                                      | <b>.</b>   |   |   |  |
|      | Control<br>Number | Enhancement  | Control Name  | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|      |                   |              |   |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|      | IA-7              |              | Cryptographic Module Authentication                                 | IA-7           | IA-7                |                     | $(\Lambda)$                          | Implemented  | Assessed by<br>clients for current<br>ATOs.                     | EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012                              | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|      | IA-8              |              | Identification and<br>Authentication (Non-<br>Organizational Users) | IA-8           | IA-8                |                     | (4)                                  | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
| 1.8. | Incident Re       | esponse (IR) |   |                |                     |                     |                                      |  |   |   |  |
|      |                   |              | Incident Response Policy  |                |                     |                     |                                      |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|      | IR-1              |              | and Procedures  | IR-1           | IR-1                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|      |                   |              |   |                |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
|      | IR-2              |              | Incident Response Training  Incident Response Testing               | IR-Z           | IR-2                |                     |                                      | Implemented  | Implemented. Assessed by clients for current                    |   | FedRAMP evaluation requested 6/8/2012;   |
|      | IR-3              |              | and Exercises   |                | IR-3                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|      |                   |              |   |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|      |                   |              |   |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|      |                   |              |   |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|      | IR-4              |              | Incident Handling   | IR-4           | IR-4                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|      |                   |              |   |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|      |                   |              |   |                | 1                   |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|      |                   |              |   |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|      | IR-4              |              |   |                | IR-4 (1)            |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |

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| Control<br>Number | Enhancement | Control Name        | Low- | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | (Control<br>Implemented or<br>Not                  | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY)           | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY)        |
| IR-5              | Emancement  | Incident Monitoring | IR-5 | IR-5                | (h)                 |                                      |  | Implemented. Assessed by clients for current       | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                               |
|                   |             |                     |      |                     |                     | 4)                                   |  | Assessed by clients for current                    |   | FedRAMP evaluation requested 6/8/2012;  |
| IR-6              |             | Incident Reporting  | IR-6 | IR-6                |                     |                                      | Implemented  | Implemented.                                       | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012:                     | projected 12/31/2012<br>FedRAMP evaluation<br>requested 6/8/2012;                         |
| IR-6              |             | Incident Response   |      | IR-6 (1)            |                     |                                      | Implemented  | Implemented.                                       | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | projected 12/31/2012 FedRAMP evaluation requested 6/8/2012;                               |
| IR-7              |             | Assistance          | IR-7 | IR-7                |                     |                                      | Implemented  | Implemented.                                       | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | projected 12/31/2012<br>FedRAMP evaluation<br>requested 6/8/2012;                         |
| IR-7              | 1           |                     |      | IR-7 (1)            |                     |                                      | Implemented Implemented  | Implemented.<br>Assessed by<br>clients for current | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | projected 12/31/2012<br>FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |

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| Ξ  |                   |             |                        |                |                     |                     |                       | •  |       |                                    |  |
|    | Control<br>Number | Enhancement |                        | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Not   | (authorizing organization);(MM/    | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|    |                   |             |                        |                |                     |                     | 4                     |  |       | HUD ATO 9/2011;<br>EPA ATO 1/2012; | FedRAMP evaluation requested 6/8/2012;   |
| L  | IR-8              |             | Incident Response Plan | IR-8           | IR-8                |                     |                       | Implemented  | ATOs. | HUD Audit 8/2012                   | projected 12/31/2012   |

| _   |                   |           |              |                |                     | IDA 4               |                       | 1  |                                    |   |  |
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| Com | pany Name         | <u>e:</u> |              |                |                     | IBM                 |                       |  |                                    |   |  |
|     | Control<br>Number |           | Control Name | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Not                                | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |           |              |                |                     | (b) (               | 4)                    |  |                                    |   |  |
|     | IR-8              |           |              |                |                     |                     |                       | Implemented  | Assessed by<br>clients for current |   | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

| Cor | npany Name        | <u>e:</u>   |  |                |                     | IBM |                                      | 1  |   |   |  |
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|     |                   | _           |  |                |                     |     |                                      | •  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name                             | Low-<br>Impact | Moderate-<br>Impact |     | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |  |                |                     | (b) | 4)                                   |  | Implemented. Assessed by clients for current                    |   |  |
|     | IR-8              |             |  |                |                     |     |                                      | Implemented  | ATOs.   |   |  |
| 1.9 | Maintena          | nce (MA)    |  |                |                     |     |                                      |  |   |   |  |
|     | MA-1              |             | System Maintenance Policy and Procedures | MA-1           | MA-1                |     |                                      | Implemented  | Assessed by   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |

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|          |                   |             |                        |                |                     |                     |                                      |  |   |   |  |
|          | Control<br>Number | Enhancement | Control Name           | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          |                   |             |                        |                |                     | (b) (               | 4)                                   |  |   |   |  |
|          | MA-2              |             | Controlled Maintenance | MA-2           | MA-2                |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              |   | FedRAMP evaluation requested 6/8/2012;   |
| $\vdash$ | IVIA-2            |             | Controlled Maintenance | IVIA-2         | IVIA-Z              |                     |                                      | Implemented  | ATOS.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          | MA 2              |             |                        |                | MA 2 (1)            |                     |                                      | In alamanta d  | Assessed by clients for current                                 |   | FedRAMP evaluation requested 6/8/2012;   |
|          | MA-2              | 1           |                        |                | MA-2 (1)            |                     |                                      | Implemented  | ATOs. Implemented. Assessed by                                  | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;                              | projected 12/31/2012 FedRAMP evaluation  |
|          | MA-3              |             | Maintenance Tools      |                | MA-3                |                     |                                      | Implemented  | clients for current<br>ATOs.                                    | DOJ ATO 1/2012;<br>HUD Audit 8/2012   | requested 6/8/2012;<br>projected 12/31/2012  |
|          |                   |             |                        |                |                     |                     |                                      |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|          | MA-3              | 1           |                        |                | MA-3 (1)            |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                        |                |                     |                     |                                      |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOI ATO 1/2012:                               | FedRAMP evaluation requested 6/8/2012;   |
|          | MA-3              | 2           |                        |                | MA-3 (2)            |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          | MA-3              | 2           |                        |                | MA-3 (3)            |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

| Con  | pany Name         | <u>e:</u>    |                       |                |                     | IBM                 |                                      | ]  |                              |   |  |
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|      | Control<br>Number | Enhancement  |                       | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Not                          |   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|      |                   |              |                       | ·              | ·                   | (b)                 | (4)                                  |  | Implemented.<br>Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|      | MA-4              |              | Non-Local Maintenance | MA-4           | MA-4                |                     |                                      | Implemented  | clients for current<br>ATOs. | DOJ ATO 1/2012;<br>HUD Audit 8/2012                                       | requested 6/8/2012;<br>projected 12/31/2012  |
|      |                   |              |                       |                |                     |                     |                                      |  |                              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
| L    | MA-4              | 1            |                       |                | MA-4 (1)            |                     |                                      | Implemented  | ATOs.                        | HUD Audit 8/2012  | projected 12/31/2012   |
|      | MA-4              |              |                       |                | (2)                 |                     |                                      | t  |                              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|      | MA-5              |              | Maintenance Personnel |                | MA-4 (2)            |                     |                                      | Implemented  | Implemented.<br>Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|      | IWA-3             |              | waintenance Personnei |                | IWIA-3              |                     |                                      | Implemented  | Implemented.<br>Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
| 1.6  | MA-6              | (1.45)       | Timely Maintenance    |                | MA-6                |                     |                                      | Implemented  | ATOs.                        | HUD Audit 8/2012  | projected 12/31/2012   |
| 1.10 | Media Pro         | tection (MP) |                       |                |                     |                     |                                      |  |                              |   |  |

| Co | mpany Nam         | e:          |   |                |                     | IBM                 |                                      | 1  |                                   |                                    |  |
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|    |                   |             |   |                |                     |                     |                                      |  |                                   |                                    |  |
|    | Control<br>Number | Enhancement |   | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | (Control<br>Implemented or<br>Not | (authorizing organization);(MM/    | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|    | MP-1              |             | Media Protection Policy and<br>Procedures | MP-1           | MP-1                | (b) (               | (4)                                  | Implemented  | Assessed by clients for current   | DOJ ATO 1/2012;                    | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|    |                   |             |   |                |                     |                     |                                      |  | Assessed by                       | HUD ATO 9/2011;<br>EPA ATO 1/2012; | FedRAMP evaluation   |
| ı  | MP-2              |             | Media Access                              | MP-2           | MP-2                |                     |                                      | Implemented  | clients for current<br>ATOs.      |                                    | requested 6/8/2012;<br>projected 12/31/2012  |
| r  | IVIP-2            |             | Ivieula Access                            | IVIP-Z         | IVIP-Z              |                     |                                      | пприетепе  | Implemented.<br>Assessed by       | HUD ATO 9/2011;<br>EPA ATO 1/2012; | FedRAMP evaluation requested 6/8/2012;   |
| L  | MP-2              | 1           |   |                | MP-2 (1)            |                     |                                      | Implemented  | ATOs.                             | HUD Audit 8/2012                   | projected 12/31/2012   |
|    | MP-3              |             | Media Marking                             |                | MP-3                |                     |                                      | Implemented  | Assessed by clients for current   | DOJ ATO 1/2012;                    | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |

| Company Name: |                   | e:          | IBM             |                |                     |                     |                                      | 1  |  |   |  |
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|               |                   |             |                 |                |                     |                     |                                      | Vendor Self<br>Assessment<br>(Control  | Third Party<br>Assessment<br>(Control        | Effective Date of<br>Current ATO;                     | Effective Date   |
|               | Control<br>Number | Enhancement | Control Name    | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Implemented or<br>Not<br>Implemented)  | Implemented or<br>Not<br>Implemented)        |   | (Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|               |                   |             |                 |                |                     | (b) (               | (4)                                  |  | Implemented. Assessed by clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012;                    | FedRAMP evaluation requested 6/8/2012;                           |
|               | MP-4              |             | Media Storage   |                | MP-4                |                     |                                      | Implemented  | ATOs.  | HUD Audit 8/2012                                      | projected 12/31/2012   |
|               | MP-4              | 1           |                 |                | MP-4 (1)            |                     |                                      | Not Implemented.<br>Backup tapes are<br>encrypted, but<br>SAN disks are not. |  |   |  |
|               |                   |             |                 |                |                     |                     |                                      |  | Implemented. Assessed by clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012;                    | FedRAMP evaluation requested 6/8/2012;                           |
|               | MP-5              |             | Media Transport |                | MP-5                |                     |                                      | Implemented  | ATOs.  | HUD Audit 8/2012                                      | projected 12/31/2012   |
|               |                   |             |                 |                |                     |                     |                                      |  | Implemented. Assessed by clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012: | FedRAMP evaluation requested 6/8/2012;                           |
| $\vdash$      | MP-5              | 2           |                 |                | MP-5 (2)            |                     |                                      | Implemented  | ATOs.<br>Implemented.                        | HUD Audit 8/2012<br>HUD ATO 9/2011;                   | projected 12/31/2012   |
|               |                   |             |                 |                |                     |                     |                                      |  | Assessed by<br>clients for current           | EPA ATO 1/2012;<br>DOJ ATO 1/2012;                    | FedRAMP evaluation requested 6/8/2012;                           |
|               | MP-5              | 4           | Į.              |                | MP-5 (4)            |                     |                                      | Implemented  | ATOs.  |   | projected 12/31/2012   |

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|      |                   |             |   |                |                     |                     |                                      | •  |   |   |   |
|      | Control<br>Number | Enhancement | Control Name  | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented)             | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY)      |
|      | MP-6              |             | Media Sanitization  | MP-6           | MP-6                | (b) (               | (4)                                  | Implemented  | Implemented. Assessed by clients for current ATOs. Implemented. Assessed by | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;                              | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012<br>FedRAMP evaluation |
| ı    |                   |             |   |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;   |
| 1 11 | MP-6              | 4           | tal Protection (PE)   |                | MP-6 (4)            |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012  |
|      | PE-1              |             | Physical and environmental protection policy and procedures | PE-1           | PE-1                |                     |                                      | <u>Implemented</u>   | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                 | HUD Audit 8/2012  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                       |
|      | PE-2              |             | Physical Access<br>Authorizations                           | PE-2           | PE-2                |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.                          | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                             |
|      | PE-3              |             | Physical Access Control                                     | PE-3           | PE-3                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                 | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                       |

| Con      | pany Name         | 2:          |                            |                |                     | IBM                 |                                      | 1  |   |   |  |
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|          |                   |             |                            |                |                     |                     |                                      |  |   |   |  |
|          | Control<br>Number | Enhancement | Control Name               | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          |                   |             |                            |                |                     | (b)                 | (4)                                  |  | Implemented.<br>Assessed by                                     |   |  |
|          |                   |             |                            |                |                     |                     |                                      |  | clients for current   |   |  |
|          | PE-3              |             |                            |                |                     |                     |                                      | Implemented  | ATOs.   |   |  |
|          |                   |             |                            |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|          |                   |             |                            |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             | Access Control for         |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
| _        | PE-4              |             | Transmission Medium        |                | PE-4                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                            |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   | Ford DANAD available   |
|          |                   |             | Access Control for Output  |                |                     |                     |                                      |  | Assessed by<br>clients for current                              | EPA ATO 1/2012;   | FedRAMP evaluation requested 6/8/2012;   |
|          | PE-5              |             | Devices                    |                | PE-5                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
| _        | PE-3              |             | Devices                    | -              | PE-J                |                     |                                      | implemented  | ATOS.   | HOD Addit 8/2012  | projected 12/31/2012   |
| l        |                   |             |                            |                |                     |                     |                                      |  |   |   |  |
|          |                   |             |                            |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|          |                   |             |                            |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             |                            |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|          | PE-6              |             | Monitoring Physical Access | PE-6           | PE-6                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                            |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
| ı        |                   |             |                            |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |             |                            |                |                     |                     |                                      |  | clients for current   | DOJ ATO 1/2012;   | requested 6/8/2012;  |
|          | PE-6              | 1           |                            |                | PE-6 (1)            |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |             |                            |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
| 1        |                   |             |                            |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
| I        |                   |             |                            |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
| $\vdash$ | PE-7              |             | Visitor Control            | PE-7           | PE-7                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
| 1        |                   |             |                            |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   | Cadpasap accidents   |
| I        |                   |             |                            |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
| I        | DE 7              |             |                            |                | DE 7 (1)            |                     |                                      | Implemented  | clients for current<br>ATOs.                                    | HUD Audit 8/2012  | requested 6/8/2012;<br>projected 12/31/2012  |
| ь_       | PE-7              |             |                            | L              | PE-7 (1)            |                     |                                      | impiementeu  | ATUS.   | HOD Addit 6/2012  | projecteu 12/31/2012   |

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|     |                   | <del>-</del> |                     |                |                     |                     |                                      | <b>.</b>   |   |   |  |
|     | Control<br>Number | Enhancement  | Control Name        | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | PE-8              |              | Access Records      | PE-8           | PE-8                | (b)                 | (4)                                  | Implemented  | Implemented. Assessed by clients for current ATOs. Implemented. | HUD Audit 8/2012<br>HUD ATO 9/2011;   | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012 FedRAMP evaluation     |
|     |                   |              | Power Equipment and |                |                     |                     |                                      |  | Assessed by<br>clients for current                              | EPA ATO 1/2012;<br>DOJ ATO 1/2012:  | requested 6/8/2012;  |
|     | PE-9              |              | Power Cabling       |                | PE-9                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     | DE 10             |              | Superior Shaheff    |                | 05.40               |                     |                                      |  | Implemented. Assessed by clients for current                    |   | FedRAMP evaluation requested 6/8/2012;   |
|     | PE-10             | +            | Emergency Shutoff   | +              | PE-10               |                     |                                      | Implemented  | ATOs.<br>Implemented.   | HUD Audit 8/2012<br>HUD ATO 9/2011;   | projected 12/31/2012   |
|     |                   |              |                     |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     |                   |              |                     |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | PE-11             |              | Emergency Power     |                | PE-11               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     | PE-12             |              | Emergency Lighting  | PE-12          | PE-12               |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     |                   |              | Emergency Eighting  |                |                     |                     |                                      | mpremented   | Implemented.  | HUD ATO 9/2011;   | projected 12/01/2012   |
|     |                   |              |                     |                |                     |                     |                                      |  | Assessed by clients for current                                 |   | FedRAMP evaluation requested 6/8/2012;   |
|     | PE-13             |              | Fire Protection     | PE-13          | PE-13               |                     |                                      | Implemented  | ATOs.<br>Implemented.   | HUD Audit 8/2012<br>HUD ATO 9/2011;   | projected 12/31/2012   |
|     |                   |              |                     |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     |                   |              |                     |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | PE-13             | 1            | L                   |                | PE-13 (1)           |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |              |                     |                |                     |                     |                                      |  | Implemented.<br>Assessed by                                     | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|     |                   |              |                     |                | (a)                 |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | PE-13             | 2            | 2                   |                | PE-13 (2)           |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |              |                     |                |                     |                     |                                      |  | Implemented. Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|     |                   |              |                     |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | PE-13             | 3            | 3                   |                | PE-13 (3)           |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
| _   |                   |              |                     |                | (-/                 |                     |                                      |  |   |   | , ,  |

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|      |                   | _           |  |                |                     |                     |                                      |  |   |   |  |
|      | Control<br>Number | Enhancement | Control Name                               | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|      | PE-14             |             | Temperature and Humidity<br>Controls       | PE-14          | PE-14               | (b)                 | (4)                                  | Implemented  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|      | PE-14             |             |  |                |                     |                     |                                      | Implemented  | Implemented.<br>Assessed by                                     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|      | PE-15             |             | Water Damage Protection                    | PE-15          | PE-15               |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|      | PE-16             |             | Delivery and Removal                       | PE-16          | PE-16               |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|      | PE-17             |             | Alternate Work Site                        |                | PE-17               |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|      | PE-18             |             | Location of Information System Components  |                | PE-18               |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
| 1.12 | Planning (        | PL)         | - j-zem components                         |                | . 2 25              |                     |                                      | prantation   |   | TO THAT OF LOTE   | p. sjeden zejdijedie   |
|      | PL-1              |             | Security Planning Policy and<br>Procedures | PL-1           | PL-1                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

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|      |                   | _             |                           |                |                     |                     |                                      | •  |   |   |  |
|      | Control<br>Number | Enhancement   | Control Name              | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | organization);(MM/  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|      |                   |               |                           |                |                     | (b)                 | 4)                                   |  | Implemented.  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|      | PL-2              |               | System Security Plan      | PL-2           | PL-2                |                     |                                      | Implemented  | clients for current   | DOJ ATO 1/2012;   | requested 6/8/2012;<br>projected 12/31/2012  |
|      |                   |               |                           |                |                     |                     |                                      |  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
|      | PL-4              |               | Rules of Behavior         | PL-4           | PL-4                |                     |                                      | Implemented  | ATOs.<br>Implemented.<br>Assessed by<br>clients for current     | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012; | projected 12/31/2012<br>FedRAMP evaluation<br>requested 6/8/2012;                  |
|      | PL-5              |               | Privacy Impact Assessment | PL-5           | PL-5                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|      | DI 6              |               | Security-Related Activity |                | DI 6                |                     |                                      | les alons anto d   | Assessed by clients for current                                 |   | FedRAMP evaluation requested 6/8/2012;   |
| 1 13 | PL-6 Personnel    | Security (PS) | Planning                  |                | PL-6                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
| 2.20 | . Croomier        | occurry (10)  |                           |                |                     |                     |                                      |  |   |   |  |

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|          | Control<br>Number | Enhancement | Control Name                             | Low-   | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
| $\vdash$ | Number            | Ennancement | Control Name                             | impact | impact              | Control Reduirement | Applicable                           | implemented)   | impiementea)  | וויויטט   | ATO (WIWI/DD/TTTT)   |
|          | PS-1              |             | Personnel Security Policy and Procedures | PS-1   | PS-1                | (b) (               | (4)                                  | Implemented  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|          |                   | 1           | una i roccuares                          | 101    |                     |                     |                                      | mpremented   | Implemented.  | HUD ATO 9/2011;   | projected 12/01/2012   |
|          |                   |             |  |        |                     |                     |                                      |  | Assessed by<br>clients for current                              | EPA ATO 1/2012;<br>DOJ ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|          | PS-2              |             | Position Categorization                  | PS-2   | PS-2                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          | PS-3              |             | Personnel Screening                      | PS-3   | PS-3                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|          |                   |             |  |        |                     |                     |                                      | ·  | Implemented. Assessed by clients for current                    | ·   |  |
| Щ        | PS-4              |             | Personnel Termination                    | PS-4   | PS-4                |                     |                                      | Implemented  | ATOs.   |   |  |

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|      |            |             |                                       |        |           |                     |                       | •  |   |   |   |
|      | Control    |             |                                       | Low-   | Moderate- |                     | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not | Third Party Assessment (Control Implemented or Not          | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional    |
|      | Number     | Enhancement | Control Name                          | Impact | Impact    | Control Requirement | Applicable)           | Implemented)   | Implemented)  | DD/YYYY)  | ATO (MM/DD/YYYY)  |
|      | PS-5       |             | Personnel Transfer                    | PS-5   | PS-5      | (b)                 | (4)                   | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs. | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |
|      | 133        |             | reisonnei maisier                     | 133    | 133       |                     |                       | третенеч   | Implemented.<br>Assessed by                                 | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation  |
|      | PS-6       |             | Access Agreements                     | PS-6   | PS-6      |                     |                       | Implemented  | clients for current<br>ATOs.                                | DOJ ATO 1/2012;<br>HUD Audit 8/2012                                       | requested 6/8/2012;<br>projected 12/31/2012                       |
|      | F3-0       |             | Access Agreements                     | F3-0   | 13-0      |                     |                       | implemented  | Implemented.  | HUD ATO 9/2011;   | projected 12/31/2012  |
|      |            |             |                                       |        |           |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation  |
|      |            |             | Third-Party Personnel                 |        |           |                     |                       |  | clients for current   | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|      | PS-7       |             | Security                              | PS-7   | PS-7      |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012  |
|      |            |             |                                       |        |           |                     |                       |  | Implemented.  | HUD ATO 9/2011;   |   |
|      |            |             |                                       |        |           |                     |                       |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation  |
|      | DC 0       |             | D                                     | DC 0   | 00.0      |                     |                       | leader at d  | 1   | DOJ ATO 1/2012;   | requested 6/8/2012;   |
| 1 11 | PS-8       |             | Personnel Sanctions                   | PS-8   | PS-8      |                     |                       | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012  |
| 1.14 | KISK ASSES | ssment (RA) |                                       |        |           |                     |                       |  |   |   |   |
|      | RA-1       |             | Risk Assessment Policy and Procedures | RA-1   | RA-1      |                     |                       | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs. | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |
|      | RA-2       |             | Security Categorization               | RA-2   | RA-2      |                     |                       | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs. | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012       |

| Com | pany Name         | <u>e:</u>   |                 |                |                     | IBM   |                                      |   |                                 |   |  |
|-----|-------------------|-------------|-----------------|----------------|---------------------|-------|--------------------------------------|---|---------------------------------|---|--|
|     | Control<br>Number | Enhancement |                 | Low-<br>Impact | Moderate-<br>Impact |       | Control Parameter (If<br>Applicable) | Assessment<br>(Control<br>Implemented or<br>Not | Implemented or<br>Not           | (authorizing<br>organization);(MM/  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |                 |                |                     | (b) ( | 4)                                   |   |                                 | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|     | RA-3              |             | Risk Assessment | RA-3           | RA-3                |       |                                      |   |                                 | HUD Audit 8/2012  | projected 12/31/2012   |
|     | RA-3              |             |                 |                |                     |       |                                      |   |                                 |   |  |
|     | RA-3              |             |                 |                |                     |       |                                      |   | Assessed by clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |

| Cor | npany Name | <u>e:</u> |                        |      |           | IBM                 |                       | 1  |   |   |   |
|-----|------------|-----------|------------------------|------|-----------|---------------------|-----------------------|--|---|---|---|
|     | Control    |           | Control Name           | Low- | Moderate- | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date (Actual/Projected) of FedRAMP Provisional ATO (MM/DD/YYYY) |
|     |            |           | Vulnerability Scanning | RA-5 | RA-5      | Control Requirement |                       | Implemented)   | Implemented)  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012               |
|     | RA-5       |           |                        |      |           |                     |                       | Implemented  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012         |

| Con  | npany Name | <u>e:</u>       |                        |        |           | IBM                 |                       | 1                              |                     |                    |                       |
|------|------------|-----------------|------------------------|--------|-----------|---------------------|-----------------------|--------------------------------|---------------------|--------------------|-----------------------|
|      |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | Vendor Self                    | Third Party         |                    |                       |
|      |            |                 |                        |        |           |                     |                       | Assessment                     | Assessment          | Effective Date of  |                       |
| 1    |            |                 |                        |        |           |                     |                       | (Control                       | (Control            | Current ATO;       | Effective Date        |
|      |            |                 |                        |        |           |                     |                       | Implemented or                 | Implemented or      | (authorizing       | (Actual/Projected) of |
|      | Control    |                 |                        | Low-   | Moderate- |                     | Control Parameter (If | Not                            | Not                 | organization);(MM/ | FedRAMP Provisional   |
|      | Number     | Enhancement     | Control Name           | Impact | Impact    | Control Requirement | Applicable)           | Implemented)                   | Implemented)        |                    | ATO (MM/DD/YYYY)      |
|      |            |                 |                        |        |           |                     |                       |                                | Implemented.        | HUD ATO 9/2011;    |                       |
| 1    |            |                 |                        |        |           |                     |                       |                                |                     | EPA ATO 1/2012;    | FedRAMP evaluation    |
|      |            |                 |                        |        |           |                     |                       |                                | clients for current | DOJ ATO 1/2012;    | requested 6/8/2012;   |
|      | RA-5       | 1               |                        |        | RA-5 (1)  |                     |                       | Implemented                    | ATOs.               | HUD Audit 8/2012   | projected 12/31/2012  |
|      |            |                 |                        |        |           |                     |                       |                                | Implemented.        | HUD ATO 9/2011;    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     | EPA ATO 1/2012;    | FedRAMP evaluation    |
|      |            |                 |                        |        |           |                     |                       |                                |                     | DOJ ATO 1/2012;    | requested 6/8/2012;   |
|      | RA-5       | 2               |                        |        | RA-5 (2)  |                     |                       | Implemented                    | ATOs.               |                    | projected 12/31/2012  |
|      |            |                 |                        |        |           |                     |                       |                                | Implemented.        | HUD ATO 9/2011;    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     | EPA ATO 1/2012;    | FedRAMP evaluation    |
|      |            |                 |                        |        |           |                     |                       |                                |                     | DOJ ATO 1/2012;    | requested 6/8/2012;   |
|      | RA-5       | 3               |                        |        | RA-5 (3)  |                     |                       | Implemented                    | ATOs.               | HUD Audit 8/2012   | projected 12/31/2012  |
|      |            |                 |                        |        |           |                     |                       |                                | Implemented.        | HUD ATO 9/2011;    |                       |
|      |            |                 |                        |        |           |                     |                       |                                | Assessed by         | EPA ATO 1/2012;    | FedRAMP evaluation    |
|      |            |                 |                        |        |           |                     |                       |                                |                     | DOJ ATO 1/2012;    | requested 6/8/2012;   |
|      | RA-5       | 6               |                        |        | RA-5 (6)  |                     |                       | Implemented                    | ATOs.               | HUD Audit 8/2012   | projected 12/31/2012  |
| 1    |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | Not implemented.               |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | FDC currently                  |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | conducts own                   |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | penetration                    |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | testing, but IBM is            |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | willing to contract            |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | a third party for              |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | annual                         |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       | penetration                    |                     |                    |                       |
|      | DA E       |                 |                        |        | DA E (O)  |                     |                       | testing at<br>additional cost. |                     |                    |                       |
| 4 41 | RA-5       | 15              | -t-tat (CA)            |        | RA-5 (9)  |                     |                       | additional cost.               |                     |                    |                       |
| 1.13 | System an  | d Services Acqu | ilsition (SA)          |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       |                                |                     |                    |                       |
|      |            |                 |                        |        |           |                     |                       |                                | Implemented.        | HUD ATO 9/2011;    |                       |
| I    |            |                 | System and Services    |        |           |                     |                       |                                | Assessed by         | EPA ATO 1/2012;    | FedRAMP evaluation    |
| I    |            |                 | Acquisition Policy and |        |           |                     |                       |                                |                     | DOJ ATO 1/2012;    | requested 6/8/2012;   |
| I    | SA-1       |                 | Procedures             | SA 1   | SA-1      |                     |                       | Implemented                    | ATOs.               | HUD Audit 8/2012   | projected 12/31/2012  |
| _    | 3A-1       | <u> </u>        | Frocedures             | SA-1   | SH-I      |                     |                       | implemented                    | ATOS.               | 1100 Addit 0/2012  | projected 12/31/2012  |

| Con | npany Name        | e:          |                         |                |                     | IBM                 |                                      | 1  |  |   |  |
|-----|-------------------|-------------|-------------------------|----------------|---------------------|---------------------|--------------------------------------|--|--|---|--|
|     |                   | _           |                         |                |                     |                     |                                      | •  |  |   |  |
|     | Control<br>Number | Enhancement | Control Name            | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented)   | Third Party<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | SA-2              |             | Allocation of Resources | SA-2           | SA-2                | (b) (               | (4)                                  | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SA-3              |             | Life Cycle Support      | SA-3           | SA-3                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SA-4              |             | Acquisitions            | SA-4           | SA-4                |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SA-4              | ,           | requisitions            |                | SA-4 (1)            |                     |                                      | Implemented  |  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SA-4              | 4           |                         |                | SA-4 (4)            |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SA-4              | 7           |                         |                | SA-4 (7)            |                     |                                      | Not Implemented for all components. Only implemented for a subset of components. |  | NO GOOD OF LOTE   | p. ojecaco 12/31/2012  |

| Con | pany Name         | 2:          |                                  |                |                     | IBM                 |                       | 1  |   |   |  |
|-----|-------------------|-------------|----------------------------------|----------------|---------------------|---------------------|-----------------------|--|---|---|--|
|     |                   | _           |                                  |                |                     |                     |                       | •  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name                     | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) |   | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |                                  |                |                     | (b) (               | (4)                   |  |   |   |  |
|     | SA-5              |             | Information System Documentation | SA-5           | SA-5                |                     |                       | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SA-5              | 1           | Boothichtadan                    | GA 0           | SA-5 (1)            |                     |                       | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SA-5              | 3           |                                  |                | SA-5 (3)            |                     |                       | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SA-6              |             | Software Usage Restrictions      | SA-6           | SA-6                |                     |                       | Implemented  | Implemented. Assessed by clients for current ATOs. Implemented. | HUD Audit 8/2012<br>HUD ATO 9/2011;                                       | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SA-7              |             | User-Installed Software          | SA-7           | SA-7                |                     |                       | Implemented  | Assessed by clients for current ATOs.                           |   | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |

| Con | pany Nam          | ie:         |   |                |                     | IBM                 |                                      | 1  |   |   |  |
|-----|-------------------|-------------|---|----------------|---------------------|---------------------|--------------------------------------|--|---|---|--|
|     |                   | 1           |   |                | 1                   |                     | T                                    | ht-nd-nc-lt  | Third Death   |   |  |
|     | Control<br>Number | Enhancement | Control Name                            | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | DD/YYYY)  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | SA-8              |             | Security Engineering<br>Principles      |                | SA-8                | (h)                 | (1)                                  | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SA-9              |             | External Information System<br>Services | SA-9           | SA-9                |                     | (+)                                  | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | 3A-3              |             | Services                                | 3A-3           | 3A-3                |                     |                                      | impiementeu  | ATOS.   | HOD Addit 8/2012  | projected 12/31/2012   |
|     | SA-9              | 1           |   |                | SA-9 (1)            |                     |                                      | N/A. The FDC does<br>not outsource any<br>security services.                   |   |   |  |
|     | SA-10             |             | Developer Configuration<br>Management   |                | SA-10               |                     |                                      | Implemented  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     |                   |             |   |                |                     |                     |                                      |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|     | SA-11             |             | Developer Security Testing              |                | SA-11               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |   |                | 0.44(5)             |                     |                                      | N/A. The FDC<br>nfrastructure<br>does not include                              |   |   |  |
| Щ   | SA-11             | 1 1         | -[                                      |                | SA-11 (1)           |                     |                                      | any custom code.   | l .   | <u> </u>  |  |

| Com      | pany Name         | •                         |                              |                |                     | IBM                 |                                      | 1  |   |   |  |
|----------|-------------------|---------------------------|------------------------------|----------------|---------------------|---------------------|--------------------------------------|--|---|---|--|
| COII     | pany wante        | <u></u>                   |                              |                |                     |                     |                                      | J  |   |   |  |
|          | Control<br>Number | Enhancement               | Control Name                 | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|          | realine           | Emancement                | control runic                | impacc         | impact              | control requirement |                                      | impremented  | mpiementeuj   | 55,1111,  | Aro (miny bo) TTT  |
| 1 16     | SA-12             | d Communication           | Supply Chain Protection      |                | SA-12               | (b)                 | (4)                                  | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
| 1.16     | System and        | <u>a Communicati</u><br>I | ons Protection (SC)          |                |                     |                     |                                      |  |   |   |  |
|          |                   |                           |                              |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|          |                   |                           | System and                   |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |                           | Communications Protection    |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|          | SC-1              | ļ                         | Policy and Procedures        | SC-1           | SC-1                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |                           |                              |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   | FedRAMP evaluation   |
|          |                   |                           |                              |                |                     |                     |                                      |  | Assessed by<br>clients for current                              | EPA ATO 1/2012;   | requested 6/8/2012;  |
|          | SC-2              |                           | Application Partitioning     |                | SC-2                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
| $\vdash$ | 30-2              |                           | Application Fartitioning     |                | 30-2                |                     |                                      | implemented  | Implemented.  | HUD ATO 9/2011;   | projected 12/31/2012   |
|          |                   |                           |                              |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |                           | Information in Shared        |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|          | SC-4              |                           | Resources                    |                | SC-4                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |                           |                              |                |                     |                     |                                      |  |   |   |  |
|          |                   |                           |                              |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|          |                   |                           |                              |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|          |                   |                           |                              |                |                     |                     |                                      |  | clients for current   | DOJ ATO 1/2012;   | requested 6/8/2012;  |
|          | SC-5              |                           | Denial of Service Protection | SC-5           | SC-5                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |                           |                              |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
| 1        |                   |                           |                              |                |                     |                     |                                      | Implemented at   | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
| 1        |                   |                           |                              |                |                     |                     |                                      | OS and network   | clients for current   |   | requested 6/8/2012;  |
| $\vdash$ | SC-6              |                           | Resource Priority            |                | SC-6                |                     |                                      | levels   | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |                           |                              |                |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current              |   | FedRAMP evaluation requested 6/8/2012;   |
| <u></u>  | SC-7              |                           | Boundary Protection          | SC-7           | SC-7                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |

| Com      | pany Name         | e:           |              |                |                     | IBM                 |                                      | 1   |   |   |  |
|----------|-------------------|--------------|--------------|----------------|---------------------|---------------------|--------------------------------------|---|---|---|--|
|          |                   | _            |              |                |                     |                     |                                      |   |   |   |  |
|          | Control<br>Number | Enhancement  | Control Name | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Assessment<br>(Control  | Third Party Assessment (Control Implemented or Not Implemented) | organization);(MM/  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
| $\vdash$ | Number            | Elliancement | Control Name | iiipact        | Шрасс               |                     | Аррисавіе)                           | implemented   |   | HUD ATO 9/2011;   | ATO (IVIIVI/DD/TTTT)   |
|          | SC-7              | 1            |              |                | SC-7 (1)            | (h)                 | $\langle A \rangle$                  | Implemented   | Assessed by   | EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012<br>HUD ATO 9/2011; | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|          | SC-7              | 2            |              |                | SC-7 (2)            |                     |                                      | Implemented   | Assessed by   | EPA ATO 1/2012;<br>DOJ ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|          |                   |              |              |                |                     |                     |                                      |   | Assessed by clients for current                                 | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
| ш        | SC-7              | 3            |              |                | SC-7 (3)            |                     |                                      | Implemented   | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |              |              |                |                     |                     |                                      |   | Assessed by clients for current                                 | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
|          | SC-7              | 4            |              |                | SC-7 (4)            |                     |                                      | Implemented   | ATOs.<br>Implemented.   | HUD Audit 8/2012<br>HUD ATO 9/2011;                                       | projected 12/31/2012   |
|          |                   |              |              |                |                     |                     |                                      |   | Assessed by<br>clients for current                              | EPA ATO 1/2012;<br>DOJ ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|          | SC-7              | 5            |              |                | SC-7 (5)            |                     |                                      | Implemented   | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          |                   |              |              |                |                     |                     |                                      | ·   | Implemented.<br>Assessed by<br>clients for current              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;   |
|          | SC-7              | 7            |              |                | SC-7 (7)            |                     |                                      | Implemented   | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|          | SC-7              | 8            |              |                | SC-7 (8)            |                     |                                      | N/A. The FDC does<br>not route traffic to<br>external networks. |   |   |  |

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|          |           |             |                              |        |           |                     |                       |                |                     |                   |                       |
|          |           |             |                              |        |           |                     |                       | Vendor Self    | Third Party         |                   |                       |
|          |           |             |                              |        |           |                     |                       | Assessment     | Assessment          | Effective Date of |                       |
|          |           |             |                              |        |           |                     |                       | (Control       | (Control            | Current ATO;      | Effective Date        |
|          |           |             |                              |        |           |                     |                       | Implemented or | Implemented or      | (authorizing      | (Actual/Projected) of |
|          | Control   |             |                              | Low-   | Moderate- |                     | Control Parameter (If | Not            | Not                 |                   | FedRAMP Provisional   |
| $\vdash$ | Number    | Enhancement | Control Name                 | Impact | Impact    | Control Requirement | Applicable)           | Implemented)   | Implemented)        | DD/YYYY)          | ATO (MM/DD/YYYY)      |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current |                   | requested 6/8/2012;   |
|          | SC-7      | 12          |                              |        | SC-7 (12) |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                              |        |           |                     |                       |                |                     |                   |                       |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|          | SC-7      | 13          |                              |        | SC-7 (13) |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|          | SC-7      | 18          |                              |        | SC-7 (18) |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|          | SC-8      |             | Transmission Integrity       |        | SC-8      |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current | DOJ ATO 1/2012;   | requested 6/8/2012;   |
|          | SC-8      | 1           |                              |        | SC-8 (1)  |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current |                   | requested 6/8/2012;   |
|          | SC-9      |             | Transmission Confidentiality |        | SC-9      |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current |                   | requested 6/8/2012;   |
|          | SC-9      | ١ ,         |                              |        | SC-9 (1)  |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |
|          | 00.0      | <u> </u>    |                              |        | 30 3 (I)  |                     |                       | mplemented     | A1031               | 1100 Addit 0/2012 | projected 12/31/2012  |
|          |           |             |                              |        |           |                     |                       |                | l                   |                   |                       |
|          |           |             |                              |        |           |                     |                       |                | Implemented.        | HUD ATO 9/2011;   |                       |
|          |           |             |                              |        |           |                     |                       |                | Assessed by         | EPA ATO 1/2012;   | FedRAMP evaluation    |
|          |           |             |                              |        |           |                     |                       |                | clients for current |                   | requested 6/8/2012;   |
|          | SC-10     |             | Network Disconnect           |        | SC-10     |                     |                       | Implemented    | ATOs.               | HUD Audit 8/2012  | projected 12/31/2012  |

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|     | Control<br>Number | Enhancement  | Control Name                           | Low-   | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | Number            | Lillancement | Control Name                           | impacc | impact              | Control Requirement | Аррисавие)                           | implemented  | implemented   | 00/1111   | ATO (WINI, DD) TTTT)   |
|     |                   |              | Touted Oath                            |        |                     | (b) (               | (4)                                  |  | Implemented. Assessed by clients for current                    |   | FedRAMP evaluation requested 6/8/2012;   |
|     | SC-11             |              | Trusted Path                           |        | SC-11               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |              | Cryptographic Key<br>Establishment and |        |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current              |   | FedRAMP evaluation requested 6/8/2012;   |
|     | SC-12             |              | Management                             | SC-12  | SC-12               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |              |  |        |                     |                     |                                      |  |   |   |  |
|     | SC-12             | 2            | 2                                      | _      | SC-12 (2)           |                     |                                      | Not Implemented.   |   |   |  |
|     | SC-12             | 5            | 5                                      |        | SC-12 (5)           |                     |                                      | Not Implemented.   |   |   |  |
|     |                   |              |  |        |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|     |                   |              |  |        |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     |                   |              |  |        |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | SC-13             |              | Use of Cryptography                    | SC-13  | SC-13               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     | SC-13             | 1            | L                                      |        | SC-13 (1)           |                     |                                      | Not Implemented.   |   |   |  |
|     |                   |              |  |        |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current              |   | FedRAMP evaluation requested 6/8/2012;   |
|     | SC-14             |              | Public Access Protections              | SC-14  | SC-14               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |              |  |        |                     |                     |                                      |  | Implemented. Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|     | l                 |              | Collaborative Computing                |        |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
|     | SC-15             | -            | Devices                                | SC-15  | SC-15               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   | 1            |  |        |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   | FadDANAD avaluation  |
|     |                   |              | Dublic Kou Infrastructure              |        |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     | SC 17             |              | Public Key Infrastructure              |        | SC 17               |                     |                                      | Implemented  | clients for current   |   | requested 6/8/2012;<br>projected 12/31/2012  |
|     | SC-17             | 1            | Certificates                           |        | SC-17               |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |

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|     | Control<br>Number | Enhancement | Control Name   | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | SC-18             |             | Mobile Code  |                | SC-18               | (b) (               | (4)                                  | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SC-19             |             | Voice Over Internet Protocol   |                | SC-19               |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SC-20             |             | Secure Name /Address<br>Resolution Service<br>(Authoritative Source) | SC-20          | SC-20               |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SC-20             |             |  | SC-20 (1)      | SC 20/1)            |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | 3C-20             | ,           | Secure Name/ Address Resolution Service (Recursive or Caching        | 3C-20(1)       | 3C-20 (1)           |                     |                                      | пприетиенте  | ATOS.  | HOD Addit 8/2012  | projected 12/31/2012   |
|     | SC-21             |             | Resolver) Architecture and Provisioning for Name/Address Resolution  |                | SC-21               |                     |                                      | Not Implemented.   | Implemented. Assessed by clients for current                                   | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|     | SC-22             |             | Service  |                | SC-22               |                     |                                      | Implemented  | ATOs.  | HUD Audit 8/2012  | projected 12/31/2012,  |
|     |                   |             |  |                |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
|     | SC-23             |             | Session Authenticity   |                | SC-23               |                     |                                      | Implemented  | ATOs.  | HUD Audit 8/2012  | projected 12/31/2012   |
|     | SC-28             |             | Protection of Information at<br>Rest                                 |                | SC-28               |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD Audit 8/2012  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SC-30             |             | Virtualization Techniques  |                | SC-30               |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
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|     | Control<br>Number | Enhancement     | Control Name   | Low- | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | (authorizing<br>organization);(MM/  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     | SC-32             | d Information I | Information System Partitioning                              | ·    | SC-32               | (h)                 | (1)                                  | Implemented  | Implemented.  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SI-1              |                 | System and Information<br>Integrity Policy and<br>Procedures | SI-1 | Si-1                |                     |                                      | Implemented  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SI-2              |                 | Flaw Remediation   | SI-2 | SI-2                |                     |                                      | Implemented  | Assessed by clients for current ATOs.                           | HUD Audit 8/2012  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|     | SI-2              | 2               |  |      | SI-2 (2)            |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              | DOJ ATO 1/2012;   | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

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|     |           | _           |                           |        |           |                     |                       | •              |  |  |   |
|     |           |             |                           |        |           |                     |                       | Vendor Self    | Third Party  |  |   |
|     |           |             |                           |        |           |                     |                       | Assessment     | Assessment   | Effective Date of                                      |   |
|     |           |             |                           |        |           |                     |                       | (Control       | (Control   | Current ATO;   | Effective Date  |
|     |           |             |                           |        |           |                     |                       | Implemented or | Implemented or                                     |  | (Actual/Projected) of                                       |
|     | Control   |             |                           | Low-   | Moderate- |                     | Control Parameter (If | Not            | Not  | organization);(MM/                                     | FedRAMP Provisional   |
|     | Number    | Enhancement | Control Name              | Impact | Impact    | Control Requirement | Applicable)           | Implemented)   | Implemented)                                       | DD/YYYY)   | ATO (MM/DD/YYYY)  |
|     |           |             |                           |        |           | (b) (               | 4)                    |                |  |  |   |
|     | SI-3      |             | Malicious Code Protection | SI-3   | SI-3      |                     |                       | Implemented    | Assessed by clients for current ATOs. Implemented. | DOJ ATO 1/2012;<br>HUD Audit 8/2012<br>HUD ATO 9/2011; | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012 |
| 1   |           |             |                           |        |           |                     |                       |                | Assessed by  | EPA ATO 1/2012;  | FedRAMP evaluation  |
|     |           | _           |                           |        | 0.0 (4)   |                     |                       |                | clients for current                                |  | requested 6/8/2012;   |
| _   | SI-3      | 1           |                           |        | SI-3 (1)  |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012                                       | projected 12/31/2012  |
|     |           |             |                           |        |           |                     |                       |                | Implemented. Assessed by clients for current       | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;                      |
|     | SI-3      | 1           |                           |        | SI-3 (2)  |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012                                       | projected 12/31/2012  |
|     |           |             |                           |        |           |                     |                       |                | Implemented.                                       | HUD ATO 9/2011;  |   |
| 1   |           |             |                           |        |           |                     |                       |                | Assessed by  | EPA ATO 1/2012;  | FedRAMP evaluation  |
| 1   |           |             |                           |        |           |                     |                       |                | clients for current                                | DOJ ATO 1/2012;  | requested 6/8/2012;   |
|     | SI-3      | 3           |                           |        | SI-3 (3)  |                     |                       | Implemented    | ATOs.  | HUD Audit 8/2012                                       | projected 12/31/2012  |

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|      | Control<br>Number | Enhancement | Control Name                  | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Not  | (authorizing organization);(MM/    | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|      |                   |             |                               | •              |                     | (b)                 | 4)                                   |  |  | HUD ATO 9/2011;                    |  |
|      | SI-4              |             | Information System Monitoring |                | SI-4                |                     |                                      | Implemented  | Assessed by clients for current ATOs.              | EPA ATO 1/2012;<br>DOJ ATO 1/2012; | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|      |                   |             |                               |                |                     |                     |                                      |  | Implemented.<br>Assessed by<br>clients for current | HUD ATO 9/2011;<br>EPA ATO 1/2012; | FedRAMP evaluation requested 6/8/2012;   |
|      | SI-4              | 2           | !                             |                | SI-4 (2)            |                     |                                      | Implemented  | ATOs.  | HUD Audit 8/2012                   | projected 12/31/2012   |
|      |                   |             |                               |                |                     |                     |                                      |  | Implemented.                                       | HUD ATO 9/2011;                    |  |
|      |                   |             |                               |                |                     |                     |                                      |  | Assessed by  |                                    | FedRAMP evaluation   |
| 1    |                   |             |                               |                |                     |                     |                                      |  | clients for current                                | DOJ ATO 1/2012;                    | requested 6/8/2012;  |
|      | SI-4              | 4           | l .                           |                | SI-4 (4)            |                     |                                      | Implemented  | ATOs.  | HUD Audit 8/2012                   | projected 12/31/2012   |

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|     |                   |             |  |                |                     |                     |                                      | •  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name                                   | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |  |                |                     | (b)                 | 4)                                   |  |   |   |  |
|     | SI-4              | 5           |  |                | SI-4 (5)            |                     |                                      | Implemented  | Assessed by clients for current ATOs.                           | HUD Audit 8/2012  | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SI-4              | 6           |  |                | SI-4 (6)            |                     |                                      | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012           | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012                        |
|     | SI-5              |             | Security Alerts, Advisories,<br>and Directives | SI-5           | SI-5                |                     |                                      | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     |   | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

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|-----|-------------------|-------------|------------------------------|----------------|---------------------|---------------------|--------------------------------------|--|---|---|--|
|     |                   |             |                              |                |                     |                     |                                      | •  |   |   |  |
|     | Control<br>Number | Enhancement | Control Name                 | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If<br>Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO;<br>(authorizing<br>organization);(MM/<br>DD/YYYY) | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |                              |                |                     | (b) (               | (4)                                  |  |   |   |  |
|     |                   |             | Security functionality       |                |                     |                     |                                      |  |   |   |  |
| _   | SI-6              |             | verification                 |                | SI-6                |                     |                                      | Not Implemented.   | II  | LUID ATO 0/2011   |  |
|     |                   |             | Software and Information     |                |                     |                     |                                      |  | Implemented. Assessed by clients for current                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                               | FedRAMP evaluation requested 6/8/2012;   |
|     | SI-7              |             | Integrity                    |                | SI-7                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                              |                |                     |                     |                                      |  | Implemented. Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|     |                   |             |                              |                |                     |                     |                                      |  | clients for current   | DOJ ATO 1/2012;   | requested 6/8/2012;  |
|     | SI-7              | 1           |                              |                | SI-7 (1)            |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                              |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|     |                   |             |                              |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
| 1   |                   |             |                              |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
| _   | SI-8              |             | Spam Protection              |                | SI-8                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                              |                |                     |                     |                                      |  | Implemented. Assessed by  | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation   |
|     |                   |             | Information Input            |                |                     |                     |                                      |  | clients for current   |   | requested 6/8/2012;  |
| L   | SI-9              |             | Restrictions                 |                | SI-9                |                     |                                      | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012   |
|     |                   |             |                              |                |                     |                     |                                      |  | Implemented.  | HUD ATO 9/2011;   |  |
|     |                   |             |                              |                |                     |                     |                                      |  | Assessed by   | EPA ATO 1/2012;   | FedRAMP evaluation   |
|     | SI-10             |             | Information Input Validation |                | SI-10               |                     |                                      | Implemented  | clients for current<br>ATOs.                                    | DOJ ATO 1/2012;<br>HUD Audit 8/2012   | requested 6/8/2012;<br>projected 12/31/2012  |
| Щ   | 31-10             | I           | mnormation input validation  |                | 31-10               |                     |                                      | implemented  | A103.   | 1100 Addit 0/2012   | projected 12/31/2012   |

| Com | pany Nam          | e:          |                        |                |                     | IBM                 |                       | 1   |                                   |                                    |  |
|-----|-------------------|-------------|------------------------|----------------|---------------------|---------------------|-----------------------|---|-----------------------------------|------------------------------------|--|
|     |                   | _           |                        |                |                     |                     |                       | •   |                                   |                                    |  |
|     | Control<br>Number | Enhancement |                        | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If | Assessment<br>(Control<br>Implemented or<br>Not | (Control<br>Implemented or<br>Not | (authorizing<br>organization);(MM/ | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|     |                   |             |                        | •              |                     | (b) (               | 4)                    |   | Implemented.                      | HUD ATO 9/2011;                    | FedRAMP evaluation   |
|     | SI-11             |             | Error Handling         |                | SI-11               |                     |                       |   |                                   |                                    | requested 6/8/2012;<br>projected 12/31/2012  |
|     |                   |             | Information Output     |                |                     |                     |                       |   |                                   |                                    | FedRAMP evaluation requested 6/8/2012;   |
|     | SI-12             |             | Handling and Retention |                | SI-12               |                     |                       | Implemented                                     | ATOs.                             |                                    | projected 12/31/2012   |
|     |                   |             |                        | 115            | 295                 |                     |                       |   |                                   |                                    |  |

Attachment 5 Agency Mandatory Security Control Enhancements and Clarifications

| Compa       | ny Name         |                                     |            |           | IBM                 |                                   | 1  |  |   |   |
|-------------|-----------------|-------------------------------------|------------|-----------|---------------------|-----------------------------------|--|--|---|---|
|             | Control         |                                     | Low-       | Moderate- |                     |                                   | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not | Third Party<br>Assessment<br>(Control<br>Implemented or<br>Not | Effective Date of<br>Current ATO  | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional    |
|             |                 | n Control Description               | Impact     | Impact    | Control Requirement | Control Parameter (If Applicable) | Implemented)   | Implemented)   | (MM/DD/YYYY)  | ATO (MM/DD/YYYY)  |
| <u>1.1.</u> | AC-10           | Concurrent Session Control          |            | AC-10     |                     | (4)                               | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |
|             | AC-16           | Security Attributes                 |            | AC-11 (1) |                     |                                   | Not Implemented.  Not Implemented.                             |  |   |   |
|             | AC-18           | 2                                   |            | AC-18 (2) |                     |                                   | N/A. The IBM FDC<br>does not permit<br>wireless access.        |  |   |   |
|             | AC-2            | 7                                   |            | AC-2 (7)  |                     |                                   | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |
| <u>1.3.</u> |                 | 3<br>accountability Policy and Proc | cedures (. | AC-3 (3)  |                     |                                   | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |
| <u>1.4.</u> | Assessment CA-2 | and Authorization (CA)              | CA-2 (1)   | CA-2 (1)  |                     |                                   | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |

Attachment 5 Agency Mandatory Security Control Enhancements and Clarifications

| Compa   | ny Name                  | Г         |                     |                |                     | IBM                 |                                   | 1  |  |   |  |
|---------|--------------------------|-----------|---------------------|----------------|---------------------|---------------------|-----------------------------------|--|--|---|--|
|         |                          | -         |                     |                |                     |                     |                                   | 1  |  |   |  |
| Referen | Control<br>Number        | Enl       | Control Description | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Effective Date of<br>Current ATO<br>(MM/DD/YYYY)                          | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|         | CA-7<br><b>Configura</b> | 2<br>tion | Management (CM)     |                | CA-7 (2)            |                     | (4)                               | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|         | CM-2                     | 5         |                     |                | CM-2 (5)            |                     |                                   | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|         | CM-5                     | 1         |                     |                | CM-5 (1)            |                     |                                   | Implemented  | Implemented. Assessed by clients for current ATOs.                             | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|         | CM-5                     | 5         |                     |                | CM-5 (5)            |                     |                                   | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|         | CM-6                     | 1         |                     |                | CM-6 (1)            |                     |                                   | Not Implemented  |  |   |  |

| Compa       | iny Name          | ≘      |                         |                |                     | IBM                 |   | 1  |   |   |  |
|-------------|-------------------|--------|-------------------------|----------------|---------------------|---------------------|---|--|---|---|--|
|             |                   |        |                         |                |                     |                     |   |  |   |   |  |
| Referen     | Control<br>Number | Enl    | Control Description     | Low-<br>Impact | Moderate-<br>Impact | Control Requirement |   | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO<br>(MM/DD/YYYY)                          | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|             | CM-8              | 3      |                         |                | CM-8 (3)            | (b)                 | 4 | Implemented  | Assessed by   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
| 1.6.        |                   | ency   | Planning (CP)           |                | CIVI O (S)          |                     |   | mpiemened  | ATO3.   | TIOD Addit 0/2012   | projected 12/31/2012   |
|             | CM-9              | 2      |                         |                | CP-2 (2)            |                     |   | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|             | CP-10             | 3      |                         |                | CP-10 (3)           |                     |   | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
| <u>1.7.</u> |                   |        | and Authentication (IA) |                |                     |                     |   |  |   |   |  |
| <u>1.8.</u> | Incident          | t Resp | onse (IR <u>)</u>       |                |                     |                     |   |  |   |   |  |

| Compa | ny Name           | Г      |                     |                |                     | ІВМ                 |                                   | 1  |   |   |  |
|-------|-------------------|--------|---------------------|----------------|---------------------|---------------------|-----------------------------------|--|---|---|--|
|       |                   |        |                     |                |                     |                     |                                   |  |   |   |  |
|       | Control<br>Number | Enl    | Control Description | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO<br>(MM/DD/YYYY)                          | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|       | IR-7              | 2      |                     |                | IR-7 (2)            | (b)                 | (4)                               | Implemented  | Implemented.<br>Assessed by<br>clients for current<br>ATOs.     | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
| 1.9.  | Maintena          | nce (I | MA)                 |                |                     |                     |                                   |  |   |   |  |
|       | MA-3              | 3      |                     |                | MA-3 (3)            |                     |                                   | Implemented  | Assessed by<br>clients for current                              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |

Attachment 5 Agency Mandatory Security Control Enhancements and Clarifications

| Comp         | any Name          | Γ   |                       |                |                     | IBM                 |                                   | 1  |  |  |  |
|--------------|-------------------|-----|-----------------------|----------------|---------------------|---------------------|-----------------------------------|--|--|--|--|
|              |                   |     |                       |                |                     |                     |                                   | <del>                                     </del>                               |  |  |  |
| Refere       | Control<br>Number | Enl | Control Description   | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented)  | Effective Date of<br>Current ATO<br>(MM/DD/YYYY)   | Effective Date (Actual/Projected) of FedRAMP Provisional ATO (MM/DD/YYYY)  |
|              |                   |     |                       |                |                     |                     |                                   |  | Implemented. Assessed by clients for current   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;  | FedRAMP evaluation requested 6/8/2012;   |
| 1.10         | MA-5              |     | Maintenance Personnel | MA-5           | MA-5                |                     |                                   | Implemented  | ATOs.  | HUD Audit 8/2012   | projected 12/31/2012   |
| <u>1.10.</u> | Media Pr          | 1   | cion (MP)             |                | MP-4 (1)            |                     |                                   | Implemented  | Implemented. Assessed by clients for current ATOs.  Implemented. Assessed by clients for current ATOs. | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation requested 6/8/2012; projected 12/31/2012  FedRAMP evaluation requested 6/8/2012; projected 12/31/2012 |

| Compa        | ny Name           | Г    |                         |                |                     | IBM                 |                                   | 1  |   |   |  |
|--------------|-------------------|------|-------------------------|----------------|---------------------|---------------------|-----------------------------------|--|---|---|--|
|              |                   | _    |                         |                |                     |                     |                                   |  |   |   |  |
| Referen      | Control<br>Number | Enl  | Control Description     | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Third Party Assessment (Control Implemented or Not Implemented) | Effective Date of<br>Current ATO<br>(MM/DD/YYYY)                          | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|              | MP-6              | 5    |                         |                |                     |                     |                                   | N/A. The FDC<br>does not currently<br>protect classified<br>information.       |   |   |  |
| <u>1.14.</u> | Risk Assess       | sme  | nt (RA)                 |                |                     |                     |                                   |  |   |   |  |
|              | DA F              |      |                         |                | DA 5 (2)            |                     | (4)                               |  | Implemented. Assessed by clients for current                    |   | FedRAMP evaluation requested 6/8/2012;   |
|              | RA-5              | 2    |                         |                | RA-5 (2)            |                     |                                   | Implemented  | ATOs.<br>Implemented.   | HUD Audit 8/2012<br>HUD ATO 9/2011;                                       | projected 12/31/2012   |
|              | RA-5              | 3    |                         |                | RA-5 (3)            |                     |                                   | Implemented  | Assessed by clients for current ATOs.                           | EPA ATO 1/2012;   | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|              | RA-5              | 6    |                         |                | RA-5 (6)            |                     |                                   | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|              | RA-5              | 9    |                         |                | RA-5 (9)            |                     |                                   | Implemented  | Implemented. Assessed by clients for current ATOs.              | HUD ATO 9/2011;<br>EPA ATO 1/2012;  | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
| <u>1.15.</u> | System and        | d Se | rvices Acquisition (SA) |                |                     |                     |                                   |  |   |   |  |
|              | SA-11             | 1    |                         |                | SA-11 (1)           |                     |                                   | N/A. The FDC<br>infrastructure<br>does not include<br>any custom code.         |   |   |  |

Attachment 5 Agency Mandatory Security Control Enhancements and Clarifications

| Com  | Company Name |                  | [    |                          |                |                     | IBM                 |                                   | ]  |  |   |  |
|------|--------------|------------------|------|--------------------------|----------------|---------------------|---------------------|-----------------------------------|--|--|---|--|
|      |              |                  | •    |                          |                |                     |                     |                                   |  |  |   |  |
| Refe |              | ontrol<br>lumber | Enl  | Control Description      | Low-<br>Impact | Moderate-<br>Impact | Control Requirement | Control Parameter (If Applicable) | Vendor Self<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented)               | Third Party<br>Assessment<br>(Control<br>Implemented or<br>Not<br>Implemented) | Effective Date of<br>Current ATO<br>(MM/DD/YYYY)                          | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional<br>ATO (MM/DD/YYYY) |
|      |              |                  |      |                          |                |                     | (b)                 | (4)                               |  |  |   |  |
|      | SA           | A-12             |      | Supply Chain Protection  |                | SA-12               |                     |                                   | mplemented   | Implemented.<br>Assessed by<br>clients for current<br>ATOs.                    | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012                  |
|      | SA           | <b>A</b> -4      | 7    |                          |                | SA-4 (7)            |                     |                                   | Not Implemented<br>or all<br>components. Only<br>mplemented for a<br>ubset of<br>components. |  |   |  |
|      |              |                  |      |                          |                |                     |                     |                                   | N/A. The FDC<br>does not   |  |   |  |
| 1.16 | _            | A-9<br>vstem an  | 1 Co | ommunications Protection |                | SA-9 (1)            |                     |                                   | ecurity services.  |  |   |  |

Attachment 5 Agency Mandatory Security Control Enhancements and Clarifications

| Compa        | ny Name  |       |   |        |           | IBM                 |                                   | 1  |   |   |   |
|--------------|----------|-------|---|--------|-----------|---------------------|-----------------------------------|--|---|---|---|
|              |          |       |   |        |           |                     |                                   |  |   |   |   |
|              |          |       |   |        |           |                     |                                   | Vendor Self<br>Assessment<br>(Control<br>Implemented or            | Third Party<br>Assessment<br>(Control<br>Implemented or | Effective Date of   | Effective Date<br>(Actual/Projected) of                           |
|              | Control  |       |   | Low-   | Moderate- |                     |                                   | Not  | Not   | Current ATO   | FedRAMP Provisional   |
| Referen      | Number   | En    | Control Description   | Impact | Impact    | Control Requirement | Control Parameter (If Applicable) | Implemented)   | Implemented)  | (MM/DD/YYYY)  | ATO (MM/DD/YYYY)  |
|              | SC-12    | 2     |   |        | SC-12 (2) |                     |                                   | Not Implemented.   |   |   |   |
|              | SC-12    | 5     |   |        | SC-12 (5) |                     | 141                               | Not Implemented.   |   |   |   |
| l            | SC-13    | 1,    |   |        | SC-13 (1) |                     |                                   | Not Implemented.   |   |   |   |
|              | SC-21    |       | Secure Name/ Address<br>Resolution Service (Recursive<br>or Caching Resolver) |        | SC-21     |                     |                                   | Implemented  |   |   |   |
|              | SC-6     |       | Resource Priority   |        | SC-6      |                     |                                   | Implemented at<br>OS and network<br>levels                         | Implemented. Assessed by clients for current ATOs.      | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;<br>HUD Audit 8/2012 | FedRAMP evaluation<br>requested 6/8/2012;<br>projected 12/31/2012 |
|              | SC-7     | 8     |   |        | SC-7 (8)  |                     |                                   | N/A. The FDC<br>does not route<br>traffic to external<br>networks. |   |   |   |
|              |          |       |   |        |           |                     |                                   |  | I .   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;                            |
|              | SC-7     | 12    |   |        | SC-7 (12) |                     |                                   | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012  |
|              | 56.7     | 10    |   |        | cc 7/12)  |                     |                                   | lld  |   | HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012;                     | FedRAMP evaluation requested 6/8/2012;                            |
|              | SC-7     | 13    |   |        | SC-7 (13) |                     |                                   | Implemented  | ATOs. Implemented. Assessed by clients for current      | HUD Audit 8/2012<br>HUD ATO 9/2011;<br>EPA ATO 1/2012;<br>DOJ ATO 1/2012; | projected 12/31/2012<br>FedRAMP evaluation<br>requested 6/8/2012; |
|              | SC-7     | 18    |   |        | SC-7 (18) |                     |                                   | Implemented  | ATOs.   | HUD Audit 8/2012  | projected 12/31/2012  |
| <u>1.17.</u> | System a | ınd I | nformation Integrity (SI)   |        |           |                     |                                   |  |   |   |   |
|              |          |       |   |        |           |                     |                                   |  |   |   |   |

| Compa | ny Name |                                     |        |           | IBM                 |                                   |  |  |                               |  |
|-------|---------|-------------------------------------|--------|-----------|---------------------|-----------------------------------|--|--|-------------------------------|--|
|       |         |                                     |        |           |                     |                                   |  |  |                               |  |
|       | Control |                                     | Low-   | Moderate- |                     |                                   | Vendor Self Assessment (Control Implemented or Not | Third Party Assessment (Control Implemented or Not | Effective Date of Current ATO | Effective Date<br>(Actual/Projected) of<br>FedRAMP Provisional |
|       | l I     | Enl Control Description             | Impact | Impact    | Control Requirement | Control Parameter (If Applicable) | Implemented)                                       | Implemented)                                       | (MM/DD/YYYY)                  | ATO (MM/DD/YYYY)   |
|       | SI-6    | Security functionality verification |        | SI-6      | (b)                 | 4)                                | Not Implemented.                                   |  |                               |  |