

Services Compliance Checklist

You have selected a Category Codes that requires the completion of this checklist. This form is used to determine the nature of work the supplier will perform, and what type of information is shared as a result of that work. This is a core document and must be fully completed and attached to the Goods & Services Request Form within the CU Marketplace.

CHECK THE BOX OF THE CATEGORY CODE FOR THIS REQUISITION

Category Code	Description
☐ 43230000	Software (includes SaaS)
☐ 80111604	Temporary Technician Staffing
☐ 80111621	Temporary Research and Development Services
☐ 80141607	Events Management
☐ 81112200	Software Maintenance & Support
☐ 81112105	World Wide Web Hosting Services
☐ 82111604	Transcription Services
☐ 84111500	Accounting Services
☐ 84111504	Bookkeeping Services
☐ 84111506	Billing Services
☐ 84131608	Medical Claims and Review Management
☐ 85101503	Medical Office Services
☐ 85101601	Nursing Services
☐ 85121600	Medical Doctor Specialist Services
☐ 85121607	Psychiatrist Services
☐ 85121705	Acupuncturist Services
☐ 85130000	Medical Science Research and Experiment
☐ 85131700	Medical Science Research
☐ 93101502	Political Fund-Raising Services
☐ 43232610	Medical Software

For the Business Associate Agreement (BAA) contact the Columbia University Compliance Office: privacy@cumc.columbia.edu.

*For the Payment Card Industry (PCI) Compliance contact the Columbia University Office of the Treasurer:
creditcards@columbia.edu.*

For FERPA requirements contact The Office of the Registrar: scc@columbia.edu.

CHECK YES OR NO IF:

PHI – Protected Health Information

The work will include creation, access, receipt, use, storage, disclosure or transmittal of past, present or future patient information? If yes, the Business Associate Agreement (BAA) could be required.

☐ yes ☐ no

RESEARCH –The work includes access, use or disclosure of research information? If yes, in the box below, indicate what information will be accessed, used, or disclosed. Give the IRB or Protocol #: _____

☐ yes ☐ no

PCI – Payment Card Industry (Credit Card)

The service will use a method of accepting credit card payments, on behalf of Columbia. If YES, in the box below, list the services that will be provided and attach documentation that demonstrates the Supplier has achieved PCI DSS compliance. (*Contact Treasury for specific documentation requirements.*)

☐ yes ☐ no

PII – Personal Identifiable Information

Any personal information of Faculty, Staff, Employees or Students (includes anything that is part of the Student's record) is being accessed or shared with the supplier, that is not in the public space. This includes, but not limited to names, gender, passwords, street or email addresses, SSNs, Driver's License, purchase histories. <https://www.cuit.columbia.edu/handling-pii>

☐ yes ☐ no

System/Data Location

The system or data, including any of the above categories, is to be hosted, stored, accessed outside of Columbia in an off-site space that includes cloud services. If so, is it stored domestically or internationally (underline one)? If internationally, where? _____

☐ yes ☐ no

Will the work include the purchase of software, applications or electronic storage of patient, student, employee or research information? If yes, describe. _____

☐ yes ☐ no

Describe below, in the Additional Information box, the type of Columbia data (i.e. student, employee, financial research, etc.)

Will Columbia data be de-identified? If so, and data is PHI, then de-identification must be compliant with HIPAA Privacy Rules.

☐ yes ☐ no

Does supplier have access to University systems?

If Columbia data is being distributed or developed through University systems, please indicate below which University system(s) (ARC, PAC, CROWN, etc.).

☐ yes ☐ no

Identity Theft Protection (Red Flags) - Does the Service provider have Identity Theft Prevention policies? [Identity Theft Prevention Program Attestation.pdf](#)

☐ yes ☐ no

If not, have they executed the Service provider Attestation form?

☐ yes ☐ no

ADDITIONAL INFORMATION: Describe the intended use of Services or Software, and the Columbia information is accessed.