

**Unified Capabilities Approved Products List (UC APL)  
Security Technical Implementation Guide (STIG)  
Applicability Questionnaire**

For DSN System Developers and Vendors

Version 3, Release 0



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**Developed by DISA for the DoD**

**1.1 Introduction**

It is assumed that a DoD Component will use the product or system, which therefore is required to be secured in accordance with the applicable DoD STIGs. To use this questionnaire, answer the questions below by checking the boxes. Each checked box indicates one or more required STIGs checklists or tools. Use the active links under each question to see what resources are available for each STIG requirement. Please refer to the Information Assurance Support Environment website for a list of all of the STIGS, Checklists, and Security Readiness Review Evaluation Scripts (SRR).

<http://iase.disa.mil/>  
<http://iase.disa.mil/stigs/index.html>

The SRRs must be requested from your Sponsor

[http://iase.disa.mil/stigs/app\\_security/database/srrs.html](http://iase.disa.mil/stigs/app_security/database/srrs.html)

\*Note: An engineer who is fully knowledgeable with the system to be tested must fill out this technical questionnaire. This engineer should be the one who will participate in or will directly support the testing effort.

Name of the Product or System: \_\_\_\_\_

Model of the Product or System: \_\_\_\_\_

Version and patch level of the Product or System: \_\_\_\_\_

**1.2 Solution or System General Type and/or Function**

General Device Type

- TDM Only
- IP Centric or based
- IP Enabled TDM based switch
- Network interconnected (Internal or externally)
- Optical Based

Specify technology(s): \_\_\_\_\_

Other – Please Specify: \_\_\_\_\_

Adjunct/Auxiliary Systems/Computer Telephony Integration (CTI)

- Voice Mail
- Unified Messaging
- Automated Attendant
- Call/Contact Center
- Emergency Services/Response
- Interactive Voice Response (IVR)
- Fax Server/Services
- Audio Conferencing System or Bridge
- Video Teleconferencing System
- Network or Device Management
- Access Control System (AAA)
- Other – Please Specify: \_\_\_\_\_

For the above, check all that apply:

- IP based
- TDM based or interfaced
- VoIP based
- Network interconnected – Specify technology: \_\_\_\_\_
- Other – Please Specify: \_\_\_\_\_

These auxiliary components are managed; – Check all that apply:

- Locally via a directly connected Keyboard/Mouse/Monitor  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Locally via a directly connected external terminal or emulator  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Remotely across a Network \_\_\_\_\_  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Remotely via Dialup \_\_\_\_\_  
Specify Interfaces and Technology(s): \_\_\_\_\_

Network Details (If applicable)

- Assured Service Voice Application LAN (ASVALAN)
- Non- Assured Service LAN
- WAN Transport
- Non- Assured Service
- Network Management
- Network Security
- Wireless
- Other – Please Specify: \_\_\_\_\_  
Specify Interfaces and Technology(s): \_\_\_\_\_

Video Teleconference System (VTC) Details (If applicable)

- CODEC/conferencing unit  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Multipoint Conferencing Unit (MCU)  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Conferencing Gateway  
Specify Interfaces and Technology(s): \_\_\_\_\_
- IMUX/Modem  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Secure/Non-Secure Switching  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Other – Please Specify: \_\_\_\_\_  
Specify Interfaces and Technology(s): \_\_\_\_\_

Solution Management

The solution is managed; – Check all that apply:

- Locally via a directly connected Keyboard/Mouse/Monitor  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Locally via a directly connected external terminal or emulator  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Remotely across a Network \_\_\_\_\_  
Specify Interfaces and Technology(s): \_\_\_\_\_
- Remotely via Dialup \_\_\_\_\_

Solution Misc.

- Does any portion of the solution perform Encryption?
- The encryption module or software tool kit is FIPS 140-2 validated.
- The encryption is NSA type 1 certification.
- Is a Firewall providing enclave boundary protection as part of the solution? Common Criteria or NIST certification (or the pursuit of) is required. The [Enclave STIG](#) is applicable.
- The firewall has an EAL-4 Common Criteria Rating.
- Does any portion of the solution use PKI or X.509 type certificates?
- The asset is DoD PKI enabled or compatible?

**1.3 Solution Components Breakdown**

Solution Components

- This system is comprised of a **single** device (i.e., a single asset or box that has a single instance of an operating system).  
\*Note: This does not apply to multiple assets or boxes housed in a larger cabinet.
- This system is comprised of a **multiple** devices (i.e., multiple assets or boxes, each having multiple instances of one or more operating systems).  
\*Note: This also applies to a single asset that has multiple instances of one or more operating systems.

**1.4 Component/Asset Identification**

Repeat the form for each individual asset.

\*Note: an Asset is defined as a single device or box that has a single instance of an operating system.

Functional name of the device: \_\_\_\_\_

Function performed: \_\_\_\_\_

Device type:

- Network Transmission Element
- Router
- Layer 3 Ethernet switch
- Layer 2 Ethernet switch
- ATM Switch
- LAN
- Provider/Edge
- Backbone/Core
- Optical Transport: the [Backbone Transport STIG](#) is applicable.
- SONET NE
- DWDM NE
- MSPP NE
- ODXC NE
- IP Modem
- Wireless
- Multiplexer
- M13
- Promina

The above is used in:

- LAN/CAN
  - MAN/WAN
  - Telecom Switching Element (TDM)
  - Switching fabric
  - Security device
  - Firewall/RTS Edge Border Controller
  - Intrusion Detection/Prevention
  - VPN Concentrator/Terminator
  - Encryption Device
  - Server
  - Workstation
  - Endpoint (Instrument or terminal)
  - Other – Please Specify: \_\_\_\_\_
- Supported – Required – Test with
- |                          |                          |                          |  |
|--------------------------|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Keyboard/Mouse/Monitor                           |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Directly connected external terminal or emulator |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Remotely across a Network                        |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | Remotely via Dialup_                             |

**1.4.1 STIG Applicability**

**Component Operating System**

Does any portion of the asset use a Windows OS? If so, the [Windows OS Guidance](#) is applicable.

- The OS is [Windows NT](#)? (NOTE: This is no longer supported by the DoD)
- The OS is [Windows 2000](#) Server? (NOTE: This is in the process of being Phased out of DoD environments)
- The [Windows 2000 Server is “Stand Alone” or a member of a domain?](#)
- The [Windows 2000 Server is configured as a Domain Controller?](#)
- The OS is [Windows 2003](#) Server?
- The [Windows 2003 Server is “Stand Alone” or a member of a domain?](#)
- The [Windows 2003 Server is configured as a Domain Controller?](#)
- The OS is [Windows XP](#) Professional?
- The OS is [Windows 2000](#) Professional?
- The OS is [Windows XP](#) Embedded?
- The OS is [Windows 2000](#) Embedded?
- The OS is [Windows Vista](#)?

Does any portion of the asset use a UNIX or Linux OS? If so the [UNIX STIG](#) is applicable.

- The OS is SUN OS
- The OS is Solaris 2.5.1
- The OS is Solaris 2.6
- The OS is Solaris 7
- The OS is Solaris 8
- The OS is Solaris 9
- The OS is Solaris 10
- The Solaris OS is for Sparc processors
- The Solaris OS is for X86 processors

- The OS is HP-UX 10
- The OS is HP-UX 11
- The OS is IRIX
- The OS is BSD UNIX
- The OS is Free BSD
- The OS is ATT UNIX
- The OS is Open UNIX
- The OS is Open BSD
- The OS is SCO UNIX
- Other – Please Specify: \_\_\_\_\_
- The OS is Linux
- The Linux OS is Connective
- The Linux OS is Debian
- The Linux OS is Mandrake
- The Linux OS is Red Hat
- The Linux OS is SuSe
- The Linux OS is Trustix
- Other – Please Specify: \_\_\_\_\_
- The UNIX or Linux is embedded: \_\_\_\_\_
- Does any portion of the asset use Macintosh (Mac) OS X? The [Macintosh STIG](#) is applicable.

Network Component Software

- Does any portion of the asset use a Network Routing/Firewall/Switching Component? The [Network Infrastructure STIG](#) is applicable.
- The component is Cisco IOS
- The component is Cisco CATOS
- The component is Cisco PIX IOS
- The component is Juniper JUNOS
- The component is Foundry
- The component is Extreme
- The component is 3Com
- The component is Enterasys
- The component is Nortel
- Other – Please Specify: \_\_\_\_\_
- Please Specify Version(s) for the above: \_\_\_\_\_

If none of the above check below, the [UNIX STIG](#) general checks are applicable.

- The operating system is a network device embedded OS or real time OS
- The OS is VxWorks
- The OS is ONX
- Other – Please Specify: \_\_\_\_\_
- Please Specify Version(s) for the above: \_\_\_\_\_

Note: The OS STIGs may not be able to be applied if the OS is embedded and there is no access to a command line from any interface to make OS configuration changes and all system IA functions are provided by a shell or application that runs on the OS. That is the OS does not provide “IA Enabled” services used by the system.

**1.4.2 Component Software and Applications**

Does the asset use a Web Server such as IIS or Netscape (or other) to provide access to any portion of its functionality or management? The [Web Server STIG](#) and is applicable

Check all as appropriate:

- Apache 1.3.x
- Apache 2.x
- IIS 4
- IIS 5
- IIS 6
- Netscape Enterprise Server 4.1
- Netscape Enterprise Server 6.1
- Other – Please Specify: \_\_\_\_\_

Does the asset use a HTTP browser such as Internet Explorer or Netscape (or other) to access any portion of its functionality or management? The [Web Server STIG](#) and Desktop Application STIG are applicable as related to Web browsers. Check all as appropriate:

Supported – Required – Test with

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Firefox
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IE v6 SP0
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IE v6 SP1
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IE v6 SP2
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	IE v7 SP0
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Netscape 4.x
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Netscape 6.0
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Netscape v 7.1
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Netscape v 7.2
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Other: Please Specify - _____

Does the asset use scripts or mobile code that is typically associated with “Web Services” to provide any portion of its functionality or management? The [Web Server STIG](#) is applicable

Please Specify: \_\_\_\_\_

Does any portion of the asset use a database engine? The [Database STIG](#) is applicable.

- Oracle 8i
- Oracle 9i
- Oracle 10g

Use the [Oracle SRR scripts](#)

- MS-SQL Server 7
- MS-SQL Server 8

Use the [SQL SRR Scripts](#)

Generic Database Engine

- Microsoft Access
- MySQL
- Other – Please Specify: \_\_\_\_\_

Apply the general database guidance.

- Does any portion of the asset store information (such as configuration information) in tables or use a file structure that would typically be known as a database? The [Database STIG](#) is applicable in a general sense.
- Does the asset use scripts or mobil code that is typically associated with “Web Services” to provide any portion of its functionality or management? The [Web Server STIG](#) is applicable.

Please Specify: \_\_\_\_\_

- Does the asset use an Application Server such as J2EE to provide access to any portion of its functionality or management? The [Web Server STIG](#) and [Application Services STIG](#) are applicable. More specifically are any of the following used?

- Apache Jakarta Tomcat
- Tomcat 4.x
- Tomcat 5.x

See the Application Services STIG Appendix B

- BEA's WebLogic Server
- WebLogic Server 8.x

See the Application Services STIG Appendix C

- Sun Microsystems JVM, JRE, J2SE (SUN JAVA Workshop)
- Sun JAVA 6.1
- JVM J2SE
- JVM MS-VM

See the Application Services STIG section 3

- Microsoft .NET Framework the [.NET Checklist](#) is applicable
- Framework 1.0
- Framework 1.1
- Framework 2.0

See the NSA Guide to Microsoft .NET Framework Security, Version 1.4, dated 22 September 2004.

- Other Application Servers
- WebSphere AS
- WebSphere MQ
- JBoss
- Sun Java System Application Server
- Oracle Application Server
- Other - Please Specify: \_\_\_\_\_

See the Application Services STIG Section 3,

- Does the asset contain a Domain Name Services (DNS) server? The [DNS STIG](#) is applicable.

Please Specify: \_\_\_\_\_

- Does the asset contain an Active Directory (AD) server or interact with an AD server?

The Active Directory STIG is applicable.

Please Specify: \_\_\_\_\_

- Does the asset use any of the following? The Sharing Peripherals Across the Network (SPAN) STIG is applicable.
- Storage Area Network (SAN)?

- Keyboard, Video, And Mouse (KVM) Switches?
- Universal Serial Bus (USB) devices?
- Multifunction Devices (Printer/Fax/etc) or Network Printers?
- Does the asset use Biometrics? The Biometrics STIG is applicable.
- Will the asset be used to provide classified voice communications? The Defense Red Switch Network (DRSN) STIG may be applicable.
- Will the asset be used to provide Real Time Video communications? The Collaboration STIG may be applicable.
- Will the asset be used to provide Voice over IP communications? The VOIP STIG may be applicable.
- Will the asset be used with Virtual Machine Software? The Virtual Machine STIG is applicable.
- VMware
- Virtual PC
- Other, Please Specify: \_\_\_\_\_

**1.4.3 Component Environment and Management**

- Does the asset carry or support telecommunications traffic in the form of voice, video, data (via modem), or fax? The [DSN STIG](#) is applicable.
- Does the asset use VoIP technology and therefore an IP network? The [VoIP STIG](#) is applicable. The [Network Infrastructure STIG](#) is applicable.
- Does any portion of the asset use a wireless technology? The [WIRELESS STIG](#) is applicable.\*\*
- Does the use or management of the asset require crossing enclave boundaries? (i.e., communicating between LANs across a WAN). The [DSN STIG](#) is applicable. The [Enclave STIG](#) is applicable. The [Network Infrastructure STIG](#) is applicable.
- Does the use or management of the asset require dial-up access to the device or system? The [DSN STIG](#) is applicable. The [Enclave STIG](#) is applicable. The Network Infrastructure STIG is applicable.
- Does the use or management of the asset require remote access to the LAN on which the asset resides? The [Secure Remote Computing \(SRC\) STIG](#) is applicable.
- Does the use or management of the product require the use of a vendor specific application by users or administrators? The [Application Checklist](#) is applicable.
- Does the use or management of the product require the use of Antivirus products, Office products, web browsers? [The Desktop Application STIG](#) is applicable.
- Does the use or management of the product require the use of Microsoft Exchange? [The Desktop Application STIG](#) is applicable.

**1.5 Protocols**

Check off all of the following protocols that are used by the system/device:

- FTP
- TFTP
- Telnet
- BootP

- RCP
- SSH Version 1
- SSH Version 2
- SFTP
- SNMP Version 1
- SNMP Version 2
- SNMP Version 3
- SSL
- SSL Version 1, 2, 3.0
- SSL Version 3.1
- TLS
- IPSEC
- h.323
- h.320
- SIP
- SIP-T
- SIP-TLS
- AS-SIP
- RTP
- SRTP
- LDAP
- SMTP
- Proprietary Signaling Protocol – Detail: \_\_\_\_\_
- Proprietary Bearer Protocol – Detail: \_\_\_\_\_
- Other – Please Specify: \_\_\_\_\_