

Checklist for the Acquisition of Software Applications and Services

This checklist is designed to assist K-State units planning to acquire, develop or accept software applications or services. Answering the questions in the checklist will help units identify requirements and considerations prior to acquisition, including the need for support from Information Technology Services. Many of the questions can also be shared with vendors in evaluating software and support.

For questions about this form, please contact:

- | | | | |
|---|--|--------------|--|
| 1 | Diana Blake, Associate Director, ITS-ISO | 785-532-7843 | dkblake@k-state.edu |
| 2 | Harvard Townsend, Chief Information Security Officer | 785-532-2985 | harv@k-state.edu |
| 3 | Loren Wilson, Associate Director, ITS-OME | 785-532-2561 | lorenw@k-state.edu |
| 4 | Jan Elsasser, Director, Information Management, Student Life | 785-532-5166 | janel@k-state.edu |
| 5 | Carla Bishop, Director, Purchasing | 785-532-6214 | cbishop@k-state.edu |

1.00 General Information:				
Question	Yes	No	N/A	Comments / Response
1.01				What problem is being solved or what business/educational need is being filled by this particular software acquisition? Please be as specific as possible.
1.02				Who will use the software? Will it be limited to one user, a few users, one or more departments or courses, faculty, staff, students, the campus, the general public? Is it possible that a larger need for this software exists on campus? Estimate the number and types of users.
1.03				Have you conducted a basic review of similar applications and/or services (including established K-State contracts) to ensure an alternative product does not exist that would better meet your needs? If yes, list the names of the alternative products or services that have been considered.
1.04				Who will be providing internal support for the software? Will it be the user (faculty/staff), department or college technical support staff, ITS? If known, list the individual's name.
1.05				Is training required to use the software? If yes, how will the training be provided and by whom? Is this included in the cost or an additional expense?

Checklist for the Acquisition of Software Applications and Services

1.06	Are there additional costs associated with implementing the product? For example, what other hardware/software must be purchased (e.g. interfaces, reporting tools, storage, servers, etc.)? See 3.00 Infrastructure to detail the hardware/software requirements. Is there a set-up or implementation fee? Is there a subscription fee? If licenses must be purchased are these perpetual or concurrent licenses?				
1.07	Are there annual software support/maintenance requirements? If so, what are the projected annual costs? Does the vendor provide projections for annual maintenance cost increases?				
1.08	What are the other on-going support requirements and costs for the software? Please outline and be as specific as possible.				
1.09	What other campus units need to be involved to support implementation of the product? This includes functional offices (such as Human Resources, Registrars, Admissions, etc.) and/or departmental/central IT units that may need to integrate the product with existing campus business processes or IT resources.				
1.10	Will this software be purchased as sole-source or through the bid process? (Contact Purchasing as soon as possible, if you haven't already.)				
1.11	What is the urgency and desired timeline for implementing this software?				
1.12	List the vendor's website address and the name and phone number of a representative who can be contacted for more information. NOTE: If the vendor has provided any technical documentation, please attach a copy with this checklist.				

2.00 Compliance / Security Policy Issues

Question		Yes	No	N/A	Comments / Response
2.01	Does the software restrict Social Security Number or Date of Birth from being used as a primary identifier/key or as part of such a key? NOTE: Such data may be stored within the system if required, but not used as a primary identifier.				
2.02	Will the system be used to store or manipulate student data? If so, is this data protected from improper disclosure as defined by FERPA ? (Federal law)				

Checklist for the Acquisition of Software Applications and Services

2.03	If any component of the system is hosted by the 3 rd party vendor, is all K-State data safeguarded via necessary contract provisions? This should include a process for alerting K-State in a timely manner (within a specified amount of time) if any breach occurs.				
2.04	Is all data stored by the software managed consistently with K-State record retention, backup, storage and security policies, standards and guidelines?				
2.05	Does the project include plans for classifying the K-State data stored or accessed through system? Are appropriate security controls planned for according to K-State's Data Classification and Security Policy ?				
2.06	Has a security plan been developed that provides an overview of the security requirements of the system and describe the controls in place or planned for meeting those requirements through all stages of the system's life cycle?				
2.07	Has the Information System Security Administrator been designated for this system? This is the person given overall responsibility for managing the security of the system and its data.				
2.08	Is the system ADA compliant ? If the system has a web-based interface, does the website adhere to web accessibility guidelines?				

3.00 Infrastructure

Question		Yes	No	N/A	Comments / Response
3.01	If the software will reside on a server, is the necessary IT infrastructure available to support it? This includes items such as network bandwidth, storage/server capacity, etc.				
3.02	What operating system is required to run the software? Can it be supported by existing ITS staff? NOTE: ITS staff have expertise in and can provide advice on Sun Solaris, Linux or Windows operating system-based servers.				
3.03	Will the software reside on a desktop computer or a server?				
3.04	Does the software use a database? If so, what kind? Can the database be supported by existing ITS staff? NOTE: ITS staff are knowledgeable in and can provide assistance/advice on Oracle databases.				

Checklist for the Acquisition of Software Applications and Services

3.05	Who is responsible for applying patches (software and operating system), and what is the expected timeframe for applying those patches? Who is responsible for testing the software and operating system patches? What is the support model if a patch is applied and there are issues?				
------	---	--	--	--	--

4.00 Authentication / Data / Integration Issues

	Question	Yes	No	N/A	Comments / Response
4.01	How are user accounts created in the new software?				
4.02	<p>How will users login?</p> <p>Login methods currently supported if the system will be on a K-State server:</p> <ul style="list-style-type: none"> - LDAP - CAS - Shibboleth <p>Login methods currently supported if the system will be hosted by the vendor:</p> <ul style="list-style-type: none"> - CAS - SAML - Shibboleth - Token based authentication <p>NOTE: K-State will not allow a vendor to store K-State eID and/or K-State passwords, nor can their system query the K-State LDAP service directly.</p>				
4.03	Will the system host any confidential data? If so, K-State's Data Classification and Security Policy has strong security requirements for any system hosting that data, including the need to encrypt it during transmission and storage.				
4.04	How will data be secured when transferred to the vendor to populate their system? Is sensitive data properly secured and data communication encrypted? For example, does the software support SSL?				
4.05	Can self-service web components of the software be deployed through the university's single sign-on portal ?				

Checklist for the Acquisition of Software Applications and Services

4.06	Are data elements needed from existing enterprise K-State systems? If so, data elements (i.e. employee data) will need to be defined and approval from the appropriate data stewards (i.e. Human Resources) will need to be given.				
4.07	Will this software be integrated with other enterprise K-State systems? If so, does the software/vendor provide API's for use in integrating with other necessary campus systems, such as PeopleSoft (iSIS, HR, FIS), Axio, Zimbra, etc.?				
4.08	Does this software have email capabilities? If so, please address the following: <ul style="list-style-type: none"> - How will emails be sent? - Will the vendor send emails on behalf of K-State? - How will users opt-out? 				

5.00 Performance and Availability Issues

	Question	Yes	No	N/A	Comments / Response
5.01	How long and how frequently must the software be down for maintenance? Does this meet user needs?				
5.02	In case of disaster, is it acceptable for the system to be unavailable for a period of time?				
5.03	Does the vendor have a clear escalation path / procedures for system support to identify and resolve problems?				
5.04	What is the vendor's upgrade cycle and process?				