

GOVERNANCE REQUEST PROCEDURE (ITS-GOV-P001) INFORMATION TECHNOLOGY SERVICES AURORA UNIVERSITY

1.0 SCOPE:

The procedure will detail the steps employees must follow to request a software application, electronic systems, IT related Services, Virtually Reality or AI tools and applications for educational or business purposes.

2.0 RESPONSIBILITY:

2.1 Chief Information Officer (CIO)

3.0 APPROVAL AUTHORITY:

3.1 Chief Operations Officer (COO)

4.0 DEFINITIONS:

- 4.1 **Deepseas:** Aurora University third party security consultant
- 4.2 **Governance Committee (GC):** Assembled group of department representatives, faculty and staff that evaluate requests for new software, applications and AI tools.
- 4.3 **Cabinet:** The leadership team that represents Aurora University
- 4.4 **Sponsor:** The person with fiscal authority over the source budget.
- 4.5 **Requestor:** The person making the request.
- 4.6 **Offering(s):** any technology that falls within the management purview of Information Technology Services to acquire, implement, maintain, contract manage, integrate with, and/or support.

5.0 PROCEDURE:

5.1 The Business Sponsor, Dean or Vice President will establish the business case/need to renew, acquire, upgrade or replace an application, software, electronic services or add VR or AI tools or applications and identify at least three potential vendors who can provide the service or product.

5.1.1 Requestor must confirm with their budget manager that funds are available to pay for the requested offering.

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- 5.1.2 If budget manager approves of the funding the requestor should proceed to complete the product or services request form.
 - 5.1.2.1 If funding is not approved then the requestor will not proceed with the application.
- 5.2 The Business Sponsor, Dean or Vice President must complete the product or services request form <https://aurora.edu/itrequestform> and submit it to ITS.
 - 5.2.1 If the request is a product renewal, process jumps to 5.4.
 - 5.2.2 ITS will evaluate the request to confirm we do not have an existing product that meets the current and future need.
 - 5.2.2.1 If the university has an existing product that meets the current and future needs of the organization, the requestor and VP will be informed by ITS and the request will not move forward.
 - 5.2.3 If the request is approved by ITS, it will be placed on the agenda for the next scheduled Governance meeting for discussion.
- 5.3 The requestor presents proposal to Governance Committee (GC) along with the business case and at least three potential vendors for consideration.
 - 5.3.1 If GC approves, a minimum of three vendor presentations will be scheduled by ITS and/or the requestor to present to GC.
 - 5.3.2 If GC does not approve of the request, they will inform the requestor and the CIO.
 - 5.3.2.1 CIO will inform the COO of the decision
 - 5.3.2.2 If COO agrees with GC and CIO request will not move forward.
 - 5.3.2.2.1 Requestor is informed of the decision.
 - 5.3.2.3 If COO disagrees with CIO and GC the request will be sent back to GC with an explanation of why they are being asked to proceed with their evaluation.

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5.4 After the presentations from vendors, GC and CIO may approve a vendor to move forward.

5.4.1 If GC and CIO do not approve of any of the vendor's they can request to review other vendors

5.4.1.1 If a suitable vendor/product is found, GC and CIO will make a recommendation to move forward.

5.4.1.2 If suitable product is not found, GC and CIO will inform COO and requestor.

5.4.2 If a suitable vendor/product cannot be found by the CIO or the requestor, they will inform GC.

5.4.3 GC and CIO will either re-evaluate the original group of vendors/products and make a recommendation

5.4.3.1 Or the CIO will inform the COO that a suitable vendor or product has not been located.

5.4.3.2 If COO agrees with GC and CIO request will not move forward. Requestor is informed of the decision.

5.4.3.3 If COO disagrees with CIO and GC the request will be sent back to GC with an explanation of why they are being asked to proceed with their evaluation.

5.5 Once a vendor/product is approved by GC, the CIO will move forward with a security review and reference checks.

5.5.1 If the vendor passes security review and reference checks, CIO will request a draft contract from the vendor.

5.5.1.1 If the vendor does not pass security review and reference checks CIO can recommend to GC re-evaluate the other candidates

5.5.1.1.1 GC selects an alternative candidate and process resumes at 5.4.

5.5.1.2 CIO can move forward but negotiate contract terms to protect against increased liability.

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- 5.6 CIO requests a draft contract from the vendor.
 - 5.6.1 Contract is evaluated/negotiated by COO, CIO, RISK and outside counsel if necessary.
 - 5.6.2 CIO and RISK approve contract.
 - 5.6.2.1 If contract terms cannot be agreed upon CIO will take it back to GC to evaluate alternative vendors.
- 5.7 If request is greater than \$25,000 annually or is made by a cabinet member or impacts multiple VP areas or would result in a multi-year contract then agreement goes to cabinet for approval.
 - 5.7.1 If none of the cabinet criteria are met the CIO will present recommendation to COO for approval.
- 5.8 COO/CIO presents recommendation to Cabinet
 - 5.8.1 Cabinet approves request
 - 5.8.1.1 If cabinet does not approve, COO will inform requestor and GC of the decision to not move forward.
- 5.9 Contract is signed by CFO or COO, purchase is made.



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6. ASSOCIATED DOCUMENTS:

6.1 Product and Service Request Form

7. RECORD RETENTION TABLE:

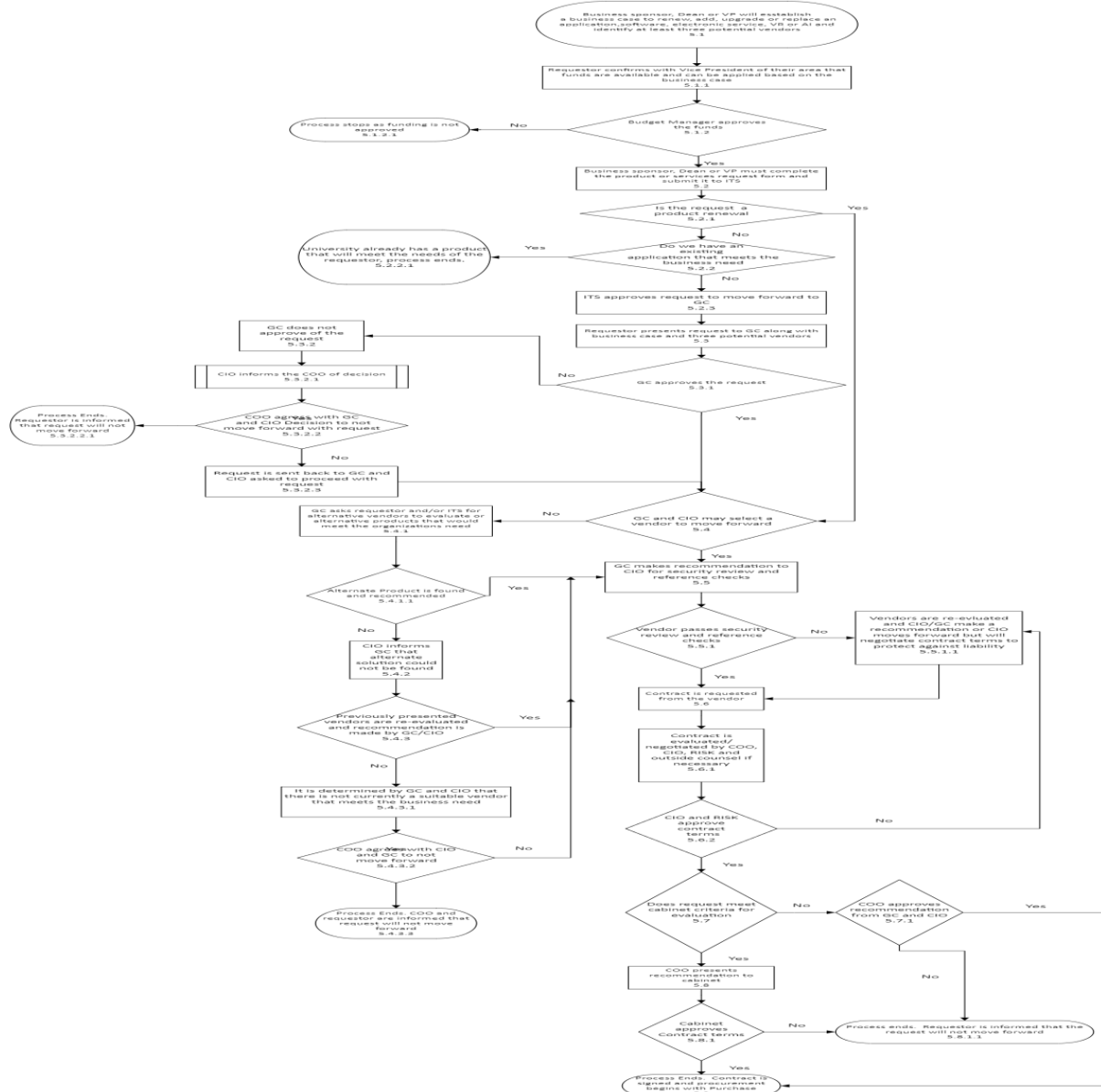
| <u>Identification</u> | <u>Storage</u> | <u>Retention</u> | <u>Disposition</u> | <u>Protection</u> |
|-----------------------|-----------------|------------------------|--------------------|-------------------|
| Quote | Electronic File | Stored on data archive | Maintain | Password |
| Contract | Electronic File | Stored on data archive | Maintain | Password |
| Purchase Order | Electronic File | Seven years | Maintain | Password |
| Requisition | Electronic File | Seven years | Maintain | Password |

8. REVISION HISTORY:

| <u>Date:</u> | <u>Rev.</u> | <u>Description Revision:</u> |
|--------------|-------------|------------------------------|
| 10/30/2024 | | Initial Release |

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9. FLOWCHART



End of Procedure