Software Services - Complete an Assessment and Determine a RATING

In an effort to streamline the software purchasing process AND to ensure the need for legal sufficiency in all software purchases the Terms and Conditions, or EULA, for any software or renewal needs to be approved by the DOC Procurement Department prior to acquiring or renewing the software. To assist Procurement in making a timely decision the following information needs to be provided to Procurement

INSTRUCTIONS:

1. Use this "Software Assessment" worksheet to consider and evaluate risks to the State and to third parties (non-State parties, such as private citizens) due to the software.
2. Enter NOTES as needed to help consider and evaluate the risks.
3. After evaluating the risks per STEP 1 through STEP 3, determine risk ratings per STEP 4 using the ' Risk Score' worksheet tab.

STEP 1: What is the Scope of Service?

STEP 2: Software Information

1.   The date needed (we would like at least a minimum of 15 days to review T's&C's and 30 days is preferable). MM/DD/YYYY
ANSWER:

2.   Is it SAAS (Cloud), COTS (On Prem) or Data Service (no uploading and saving of data remotely, just retrieving information)?
ANSWER:

3.   If SaaS, has the Cloud Assessment document been completed?
ANSWER:

4.   If SaaS, has approval been received by OSCIO?
ANSWER:

5.   Is it new software or a renewal?
ANSWER:

6.   If it's a renewal, how long has it been used? (Approximately)
ANSWER:

7.   How long do you expect to use it? (Approximately in years)
ANSWER:

8.   Is the license an enterprise, perpetual or per seat license?
ANSWER:

9.   What is the cost for the software (New or Renewal)?
ANSWER:

10.   If it's a renewal, what is the aggregate spend since software was purchased?

ANSWER:

11. What is the cost for maintenance? What is included in maintenance? **ANSWER:**	

12. How will the application or service be used? What is its purpose? What function does it serve? **ANSWER:**	

13. How dependent is the agency on this software? **ANSWER:**	

14. What data and systems will be impacted (what other systems or data will this system interface with, if any)? **ANSWER:**	

15. What other data and systems will the software have access to? **ANSWER:**	

16. Will the software have access to data that is confidential, private, protected or proprietary? What level of data classification are impacted? **ANSWER:**	

17. Are there alternative solutions available? If 'Yes' is alternative a viable solution? Why or why not? **ANSWER:**	

18. T&C's attached or a link to them provided. **ANSWER:**	

19. Software publisher, contact name/email (in case we need to add the rider or negotiate the T's and C's.) **ANSWER:**	

20. Where is the vendor/provider located? **ANSWER:**	

STEP 3: MITIGATION: How likely is it that something will actually go wrong and how severe/costly might it actually be? Here are *some* examples of factors to consider. The business people and subject matter experts involved in this risk assessment may have other or additional factors to consider. (Enter your NOTES below.)

1.   Considering the nature of the services provided, how often does something go wrong and what is the typical cost?
Answer:

2.   What preventative measures and/or precautions will be required to reduce the likelihood of an issue?
ANSWER:

3.   Will controls be in place to quickly identify a loss, damage or destruction of data?

ANSWER:

4.   Should the system fail or data be released or destroyed as a result of services from the software, is there a plan to back-up/replicate data? Is there a disaster recovery plan in place requiring the system and data restoration within 24 hours?
ANSWER:

5.   If something does go wrong, how likely is it that it will be identified and corrected early - before it becomes a worse case scenario?
ANSWER:

6.   If something does go wrong, how likely is it that damages will be fairly minor compared to mid-level, significant, major, or catastrophic?
ANSWER:

STEP 4: After completing the above thought process, determine a rating by going to the Score worksheet.

Software Services - Risk Assessment

Summary/Recommendation:

Risk Criteria:	Rating: (if there is an error or problem, how severe is the likely outcome to be?)	Score
Risk that requirements are not fully met by the software?	Low = 1, Moderate = 2, High = 3	0
Service provided is for data retrieval used for informational purposes only? If erroneous, agency impact is:	N/A = 0, Low = 1, Moderate = 2, High = 3	0
Software failure will negatively impact agency services?	Low = 1, Moderate = 2, High = 3	0
Software failure could result in loss of, or unauthorized access to, PII	Low = 1, Moderate = 2, High = 3	0
Disaster recovery plan needs to be in place in case of software failure	Low = 1, Moderate = 2, High = 3	0
Concerns for vendor financial viability/reputation	Low = 1, Moderate = 2, High = 3	0
No long term support or software upgrades	Low = 1, Moderate = 2, High = 3	0

Concerns that software is just released/new to market (un-tested)	Low = 1, Moderate = 2, High = 3	0
Based on the score, what are the risks:	**Software Risk Score:**	**0**

	THIS TOOL IS A GUIDELINE. If you conclude a different risk level is appropriate, you may use it. Document your reasoning below.

Score:	Overall Risk Level	
1 to 8	Risks for software/Service are Low	
9 to 16	Risks for software/Service are moderate	
20 to 25	Risks for software/Service are high	

Approved:

Denied:

Date:

Cost Center:

I have reviewed the End User License Agreement for this software

Signed By:

Cost Center Manager Approval

Approved:

Denied:

Date:

Signed By:

Department of Corrections, Chief Information Officer