

### Step 1 Discovery




Est. Duration: 1-3 Days

### Step 2 Vetting

Est. Duration: 2-14 Days

### Step 3 Findings / Acquisition

Est. Duration: 1-5 Days

<b>GOAL</b>	Identify your responsibilities Articulate opportunities, risks and trade-offs to Cal Poly.	Help you make the best possible decision. Ensure Cal Poly compliance obligations are met. Provide due diligence, oversight over campus resources.	Document findings, approvals, exceptions. Identify “next steps”.
<b>SUMMARY</b>	<p>Gather contact information</p> <p>Describe the product/service:</p> <ul style="list-style-type: none"> <li>- “who” will use it</li> <li>- “what” it is</li> <li>- “when” it will be deployed</li> <li>- “where” it will reside (Cal Poly or “cloud hosted” / outsourced)</li> <li>- “why” this vendor</li> <li>- “how” it will be used</li> </ul> <p>Describe compliance, use case scenarios:</p> <ul style="list-style-type: none"> <li>- data classification (e.g., Level 1, 2, 3)</li> <li>- other (e.g., FERPA, HIPPA, PCI, Section 508)</li> </ul>	<p>Review for compliance with existing <a href="#">laws, policies, and standards</a>, including:</p> <ul style="list-style-type: none"> <li>- Accessibility</li> <li>- Information Security</li> <li>- Technology Integration &amp; Support</li> <li>- Procurement Services</li> </ul> <p>Review for strategic technology direction and fit with CSU/campus infrastructure initiatives and IT roadmaps.</p> <p>This includes: policies and standards for integration, reliability, security; resource and support requirements; data access and use; and business processes (e.g., opportunities, impacts and sustainability).</p>	<p>Finalize assessments:</p> <ul style="list-style-type: none"> <li>- Compliance (laws, policies, standards)</li> <li>- Strategic technology direction and fit with CSU/campus infrastructure initiatives and IT roadmaps</li> </ul> <p>Finalize ICT documentation noting:</p> <ul style="list-style-type: none"> <li>- Areas of compliance and fit</li> <li>- Concerns or variances</li> <li>- Mitigating actions, commitments</li> <li>- Conditional approvals</li> <li>- Exceptions granted</li> <li>- Expectations for annual review, substantive updates in product / service</li> </ul>
<b>ACTIVITIES</b>	<p>What you do:</p>  <ul style="list-style-type: none"> <li>• Engage your IT/security staff</li> <li>• Ensure accurate, thorough information is collected</li> <li>• Identify any variances to CSU, campus standards</li> <li>• Carefully review all of your responses</li> <li>• <b>Submit an <a href="#">Online ICT Form</a></b></li> <li>• Submit requisition (PeopleSoft), waiver form (ProCard), other documentation</li> </ul> <p>How we assist:</p> <p><b>ITS</b></p> <ul style="list-style-type: none"> <li>• Determine if product/service:             <ul style="list-style-type: none"> <li>- has already been reviewed</li> <li>- is already licensed by Cal Poly</li> </ul> </li> <li>• Engage Procurement Services</li> </ul> <p><b>PS</b></p> <ul style="list-style-type: none"> <li>• Review supporting documentation (e.g., agreement, contract, quotes, requisition, scope of work)</li> </ul>	<p>What you do:</p>  <ul style="list-style-type: none"> <li>• Actively participate and demonstrate responsibility for your acquisition</li> <li>• Clarify compliance and technical questions (e.g., data, security, use scenarios)</li> <li>• Submit compliance documentation (e.g., “cloud hosted” / outsourced services; annual review, substantive updates)</li> </ul> <p>How we assist:</p> <p><b>ITS</b></p> <ul style="list-style-type: none"> <li>• Consult with requestor, vendor/developer, campus technical teams, management</li> <li>• Review accessibility documentation, assess compliance status, Cal Poly risks</li> </ul> <p><b>PS</b></p> <ul style="list-style-type: none"> <li>• Consult with campus, vendor teams</li> </ul> <p><b>ISO</b></p> <ul style="list-style-type: none"> <li>• Consult with requestor, Information Security Coordinator, IT staff, vendor</li> <li>• Assess compliance status, Cal Poly risks</li> <li>• Offer guidance to mitigate/eliminate risks</li> </ul>	<p>What you do:</p>  <ul style="list-style-type: none"> <li>• Finalize Online ICT Form comments, supporting documentation, links</li> <li>• Finalize compliance and documentation, next steps</li> </ul> <p>How we assist:</p> <p><b>ITS</b></p> <ul style="list-style-type: none"> <li>• Document accessibility status</li> <li>• Offer guidance to mitigate risks</li> <li>• Document approvals, findings</li> <li>• Process Exception Request</li> </ul> <p><b>PS</b></p> <ul style="list-style-type: none"> <li>• Document contractual and supporting information</li> <li>• Document approvals, findings</li> <li>• Generate PO (PeopleSoft) or approve waiver (ProCard)</li> </ul> <p><b>ISO</b></p> <ul style="list-style-type: none"> <li>• Document findings, guidance</li> </ul>

Whom do I contact?	Why does the process exist?	What is covered?	When does it apply?	Where do I get more info?
<p>ICT Process and Policy Clarifications <a href="mailto:it-policy@calpoly.edu">it-policy@calpoly.edu</a></p> <p><i>Staff to assist you:</i></p> <p>ICT Process Liaison Craig Schultz, ITS <a href="mailto:cschultz@calpoly.edu">cschultz@calpoly.edu</a> 756-6117</p> <p>Campus 508/ICT Compliance Policy <a href="mailto:it-policy@calpoly.edu">it-policy@calpoly.edu</a></p> <p><i>For accessibility review assistance, contact</i> <a href="mailto:ATI@calpoly.edu">ATI@calpoly.edu</a></p> <p>Information Security Doug Lomsdalen Info Sec Officer <a href="mailto:dlomsdal@calpoly.edu">dlomsdal@calpoly.edu</a> 756-7686</p> <p>Gary McCrillis Security Analyst <a href="mailto:gmcrrill@calpoly.edu">gmcrrill@calpoly.edu</a> 756-6294</p> <p>Procurement Services <a href="mailto:sbs-procurement@calpoly.edu">sbs-procurement@calpoly.edu</a> 756-2232</p>	<p>The ICT process exists to help you make the best possible decision, ensure compliance obligations are met, provide due diligence, and oversee effective use of campus resources.</p> <p>ICT requests are reviewed for compliance with existing <a href="#">laws, policies and standards</a>, including:</p> <ul style="list-style-type: none"> <li>- Accessibility</li> <li>- Information Security</li> <li>- Technology Integration/Support</li> <li>- Procurement Services</li> </ul> <p>ICT requests are reviewed for strategic technology direction and fit with CSU/campus infrastructure initiatives and IT roadmaps.</p> <p>This includes: policies and standards for integration, reliability, security; resource and support requirements; data use and access; and business processes (e.g., opportunities, impacts and sustainability).</p> <p>The ICT process is managed by ITS, aligned with and seeks to ensure consistency and efficiency of CSU/campus business and compliance processes.</p>	<p>The ICT process includes a broad range of products and services as defined by federal and state laws.</p> <p>CSU Executive Orders and Cal Poly policies/standards provide additional guidance.</p> <p>ICT includes: software, Web sites and online “cloud based” services; subscriptions and licenses; computers, servers, appliances, and peripherals; mobile devices; multimedia; network, storage, telecom devices; self-contained systems (e.g., copiers, instruments, printers, kiosks).</p> <p>ICT reviews for:</p> <ul style="list-style-type: none"> <li>- Accessibility compliance (e.g., Section 508, VPAT)</li> <li>- Information security (e.g., PCI, data handling)</li> <li>- Technology (e.g., integration, support)</li> <li>- Procurement Services (e.g., general provisions, terms and conditions, sole source, confidentiality and responsible use agreements)</li> </ul> <p>As the requestor, you are accountable / responsible for understanding opportunities, risks and trade-offs to Cal Poly associated with your product/service acquisition.</p>	<p>The ICT process applies to all new products and services regardless of cost (e.g., home-grown, purchased, donated, research or grant funded).</p> <p>ICT applies to existing products and services when:</p> <ul style="list-style-type: none"> <li>- substantive changes occur (e.g., new user interface, new functionality; move to a “cloud-hosted” model; information security model updates; changes to data collection, handling, storage, retention practices)</li> <li>- use expands (e.g., more users)</li> <li>- no prior review on file</li> <li>- prior review was 3+ years ago</li> </ul> <p>ICT review is not required if:</p> <ul style="list-style-type: none"> <li>- the item is site licensed at Cal Poly</li> <li>- it is an off-the-shelf type product that resides on one device for a single user</li> </ul> <p>The ICT review process is aligned with – but separate from – campus purchasing and other business processes.</p> <p>Substantive product/service changes will invoke an ICT review (e.g., contract revision; upgrade that has compliance impacts; improvements on information security, accessibility).</p> <p>Based on the completed review, an Exception Process is available for specific situations (e.g., products or services found to be non-compliant).</p>	<p><a href="#">Cal Poly ATI Wiki</a></p> <p><a href="#">ICT Review Forms</a></p> <ul style="list-style-type: none"> <li>- ICT Review Checklist</li> <li>- HECVAT Security Questionnaire</li> <li>- VPAT</li> <li>- EEAAP</li> </ul> <p><a href="#">ICT Review Process</a></p> <ul style="list-style-type: none"> <li>- ICT Review Flowchart</li> <li>- Campus Policy</li> <li>- Campus Standard</li> <li>- Roles &amp; Responsibilities</li> <li>- Reference links/info</li> </ul> <p><a href="#">Accessibility and Disability Information</a></p> <ul style="list-style-type: none"> <li>- CSU Executive Orders</li> <li>- Cal Poly Policies and Standards</li> <li>- Compliance / Legal</li> <li>- Reference links/info</li> </ul> <p><a href="#">Information Security</a></p> <ul style="list-style-type: none"> <li>- CSU Executive Orders</li> <li>- Cal Poly Policies and Standards</li> <li>- Compliance / Legal</li> <li>- Reference links/info</li> </ul> <p><a href="#">Procurement Services</a></p> <ul style="list-style-type: none"> <li>- Cal Poly Policies</li> <li>- CSU Policy</li> <li>- Compliance / Legal</li> <li>- Reference links/info</li> </ul> <p><a href="#">University Development</a></p> <ul style="list-style-type: none"> <li>- Gift Acceptance Procedures</li> </ul>