

GOVERNANCE REQUEST PROCEDURE (ITS-GOV-P001)

INFORMATION TECHNOLOGY SERVICES AURORA UNIVERSITY

1.0 SCOPE:

The procedure details the steps employees must follow to request a software application, electronic systems, IT-related Services, Virtual 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 **Purchasing:** Department that oversees the RFP process.

4.5 **Sponsor:** The person with fiscal authority over the source budget.

4.6 **Requestor:** The person making the request.

4.7 **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.

4.8 **Request for Proposal:** A Request for Proposal (RFP) is a formal document that an organization issues to solicit bids from potential vendors, contractors, or service providers. It outlines the organization's needs, requirements, and evaluation criteria so that interested parties can submit detailed proposals explaining how they would meet those needs.

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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. If the requestor is seeking pricing for future budget purposes, **they should not use this process**. They should contact ITS and purchasing to assist in gathering pricing data.
 - 5.1.1 Requestor must confirm with their budget manager that funds are available to pay for the requested offering.
 - 5.1.2 If budget manager approves of the funding, the requestor should proceed to complete the IT Request Form and send the business case to ITS.
 - 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 IT Request Form <https://aurora.edu/itrequestform> and submit it to ITS for review.
 - 5.2.1 If the request is a product renewal, the process advances to 5.6.
 - 5.2.2 ITS will evaluate the request to confirm there is not an existing product that meets the current or future need.
 - 5.2.2.1 If the university has an existing product that meets the current or 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/ITS will present proposal to Governance Committee (GC) along with the business case.
 - 5.3.1 If GC approves, the requestor and ITS will then work with purchasing to develop an RFP to seek candidates to fulfill the request.

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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, the request will not move forward.

5.3.2.2.1 Process ends. Requestor is informed.

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.

5.3.2.4 After approval from GC, requestor and ITS will contact purchasing to begin development of an RFP.

5.4 After responses to the RFP are received and narrowed to two or three candidates, presentations from vendors will be scheduled with the requestor, purchasing, at least three representatives from GC and CIO.

5.4.1 If the requestor, purchasing, representatives from GC and CIO select a vendor, process moves to 5.5.

5.4.2 If representatives from GC, the requestor, purchasing and CIO do not approve of any of the vendors, they can request to review other vendors from purchasing.

5.4.2.1 If a suitable vendor/product is found, requestor, purchasing, representative from GC and CIO will make a recommendation to move forward to get full GC approval. Process moves to 5.5.

5.4.2.2 If a suitable product is not found, representatives from GC, purchasing and CIO will inform COO and requestor.

5.4.2.3 If COO agrees with CIO, then purchasing request will not move forward.

5.4.2.3.1 Process ends. Requestor is notified.

5.4.2.4 If COO disagrees with CIO, the request will be sent back to the evaluation team with an explanation of why they are being asked to proceed with their evaluation and select most viable candidate that fulfills the request.

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5.5 Once a vendor/product is approved by the requestor, purchasing, representatives from GC, and the CIO, it will move forward to the full GC for review.

5.5.1 If GC approves the process, it proceeds to a security review and reference checks.

5.5.1.1 If GC does not approve, they can ask to review information about other candidates.

5.5.1.2 If GC selects an alternate and the CIO, purchasing, and requestor all agree, the process moves to the security review and reference checks. Process moves to 5.5.1.

5.5.1.2.1 If the evaluation team cannot find a viable candidate/product, CIO will inform COO.

5.5.1.2.2 COO agrees with the evaluation team.

5.5.1.2.3 The process ends and requestor is informed of the decision.

5.5.1.2.3.1 If COO disagrees, it will get sent back to the evaluation team to come up with a recommendation. Process returns to 5.5.

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

5.5.2.1 If the vendor does not pass security review or reference checks, CIO can recommend to GC, purchasing, and the requestor to re-evaluate the other candidates. Process moves to 5.5.1.2.

5.6 CIO or purchasing requests a draft contract from the vendor.

5.6.1 CIO and RISK approve contract.

5.6.1.1 If contract terms cannot be agreed upon, CIO will take it back to GC to evaluate alternative vendors. Process returns to 5.5.1.1.

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.

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5.7.1 If none of the cabinet criteria are met, the CIO will present recommendation to COO for approval.

5.7.1.1 If COO does not approve, process ends and requestor is informed.

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 not to move forward.

5.9 Contract is signed by CFO or COO. Purchase is made.

6. ASSOCIATED DOCUMENTS:

6.1 IT Request Form

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7. RECORD RETENTION TABLE:

<u>Identification</u>	<u>Storage</u>	<u>Retention</u>	<u>Disposition</u>	<u>Protection</u>
RFP	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
10/29/2025		Revision
03/02/2026		Revision

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graph TD
    Start([Business sponsor, UG or VP will establish a business case by completing, attaching and signing an application, outlining justification, UG or VP]) --> Step1[Requestor confirms with Vice President of their area that funds are available and can be applied based on the business case  
B.3.1]
    Step1 --> Decision1{Budget manager approves the request  
B.3.2}
    Decision1 -- No --> End1([Process stops as funding is not approved  
B.3.4])
    Decision1 -- Yes --> Step2[Business sponsor, UG or VP must complete the product or service request form and submit it to VP  
B.3.3]
    Step2 --> Decision2{Is the request a product removal  
B.3.4}
    Decision2 -- No --> Decision3{Do we have an existing contract approved that meets the business need  
B.3.5}
    Decision3 -- No --> Step3[VP approves request to move forward to GC  
B.3.5]
    Decision3 -- Yes --> Step4[Requestor submits request to GC along with business case  
B.3.6]
    Decision2 -- Yes --> Step5([University already has a product that will meet the need of the requesting project needs  
B.3.5.1])
    Step5 --> Step6[GC steps and approves of new contract  
B.3.7]
    Step6 --> Step7[VP informs the name of the contract  
B.3.8]
    Step7 --> Decision4{GC agrees with GC and CIO Director for next move forward with request  
B.3.2.2}
    Decision4 -- Yes --> Step8([Process ends, requestor is informed that contract will be awarded  
B.3.2.3])
    Decision4 -- No --> Step9[Requestor to send back to VP and CIO submit to processed with requestor  
B.3.2.3]
    Step9 --> Decision5{Contract award is denied and recommended  
B.3.2.4}
    Decision5 -- No --> Step10[GC agrees with UG and VP and then  
B.3.2.5]
    Decision5 -- Yes --> Step11[VP and CIO submit to processed with requestor  
B.3.2.5]
    Step10 --> Step12[Contract is awarded to vendor  
B.3.2.6]
    Step11 --> Step13[Term originates in requestor approved contract  
B.3.2.7]
    Step13 --> Decision6{Requestor is not in compliance to term approved  
B.3.2.8}
    Decision6 -- No --> Step14[RFI candidates are required to bid or time for the evaluation  
B.3.2.9]
    Decision6 -- Yes --> Step15[Recommendation from term comes to full GC review for review  
B.3.2.9]
    Step14 --> Decision7{GC approves recommendation from the term comes to full GC review and referenced attached  
B.3.3}
    Decision7 -- No --> Step16[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision7 -- Yes --> Step17[Contract is requested from the vendor  
B.3.3.2]
    Step16 --> Decision8{Vendor is not approved, request and referenced attached  
B.3.3.1}
    Decision8 -- No --> Step18[GC agrees with GC and CIO  
B.3.3.2]
    Decision8 -- Yes --> Step19[Contract is requested from the vendor  
B.3.3.2]
    Step18 --> Decision9{GC agrees with GC and CIO  
B.3.3.2}
    Decision9 -- No --> Step20[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision9 -- Yes --> Step21[Contract is requested from the vendor  
B.3.3.2]
    Step20 --> Decision10{GC agrees with GC and CIO  
B.3.3.2}
    Decision10 -- No --> Step22[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision10 -- Yes --> Step23[Contract is requested from the vendor  
B.3.3.2]
    Step22 --> Decision11{GC agrees with GC and CIO  
B.3.3.2}
    Decision11 -- No --> Step24[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision11 -- Yes --> Step25[Contract is requested from the vendor  
B.3.3.2]
    Step24 --> Decision12{GC agrees with GC and CIO  
B.3.3.2}
    Decision12 -- No --> Step26[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision12 -- Yes --> Step27[Contract is requested from the vendor  
B.3.3.2]
    Step26 --> Decision13{GC agrees with GC and CIO  
B.3.3.2}
    Decision13 -- No --> Step28[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision13 -- Yes --> Step29[Contract is requested from the vendor  
B.3.3.2]
    Step28 --> Decision14{GC agrees with GC and CIO  
B.3.3.2}
    Decision14 -- No --> Step30[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision14 -- Yes --> Step31[Contract is requested from the vendor  
B.3.3.2]
    Step30 --> Decision15{GC agrees with GC and CIO  
B.3.3.2}
    Decision15 -- No --> Step32[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision15 -- Yes --> Step33[Contract is requested from the vendor  
B.3.3.2]
    Step32 --> Decision16{GC agrees with GC and CIO  
B.3.3.2}
    Decision16 -- No --> Step34[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision16 -- Yes --> Step35[Contract is requested from the vendor  
B.3.3.2]
    Step34 --> Decision17{GC agrees with GC and CIO  
B.3.3.2}
    Decision17 -- No --> Step36[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision17 -- Yes --> Step37[Contract is requested from the vendor  
B.3.3.2]
    Step36 --> Decision18{GC agrees with GC and CIO  
B.3.3.2}
    Decision18 -- No --> Step38[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision18 -- Yes --> Step39[Contract is requested from the vendor  
B.3.3.2]
    Step38 --> Decision19{GC agrees with GC and CIO  
B.3.3.2}
    Decision19 -- No --> Step40[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision19 -- Yes --> Step41[Contract is requested from the vendor  
B.3.3.2]
    Step40 --> Decision20{GC agrees with GC and CIO  
B.3.3.2}
    Decision20 -- No --> Step42[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision20 -- Yes --> Step43[Contract is requested from the vendor  
B.3.3.2]
    Step42 --> Decision21{GC agrees with GC and CIO  
B.3.3.2}
    Decision21 -- No --> Step44[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision21 -- Yes --> Step45[Contract is requested from the vendor  
B.3.3.2]
    Step44 --> Decision22{GC agrees with GC and CIO  
B.3.3.2}
    Decision22 -- No --> Step46[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision22 -- Yes --> Step47[Contract is requested from the vendor  
B.3.3.2]
    Step46 --> Decision23{GC agrees with GC and CIO  
B.3.3.2}
    Decision23 -- No --> Step48[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision23 -- Yes --> Step49[Contract is requested from the vendor  
B.3.3.2]
    Step48 --> Decision24{GC agrees with GC and CIO  
B.3.3.2}
    Decision24 -- No --> Step50[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision24 -- Yes --> Step51[Contract is requested from the vendor  
B.3.3.2]
    Step50 --> Decision25{GC agrees with GC and CIO  
B.3.3.2}
    Decision25 -- No --> Step52[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision25 -- Yes --> Step53[Contract is requested from the vendor  
B.3.3.2]
    Step52 --> Decision26{GC agrees with GC and CIO  
B.3.3.2}
    Decision26 -- No --> Step54[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision26 -- Yes --> Step55[Contract is requested from the vendor  
B.3.3.2]
    Step54 --> Decision27{GC agrees with GC and CIO  
B.3.3.2}
    Decision27 -- No --> Step56[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision27 -- Yes --> Step57[Contract is requested from the vendor  
B.3.3.2]
    Step56 --> Decision28{GC agrees with GC and CIO  
B.3.3.2}
    Decision28 -- No --> Step58[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision28 -- Yes --> Step59[Contract is requested from the vendor  
B.3.3.2]
    Step58 --> Decision29{GC agrees with GC and CIO  
B.3.3.2}
    Decision29 -- No --> Step60[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision29 -- Yes --> Step61[Contract is requested from the vendor  
B.3.3.2]
    Step60 --> Decision30{GC agrees with GC and CIO  
B.3.3.2}
    Decision30 -- No --> Step62[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision30 -- Yes --> Step63[Contract is requested from the vendor  
B.3.3.2]
    Step62 --> Decision31{GC agrees with GC and CIO  
B.3.3.2}
    Decision31 -- No --> Step64[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision31 -- Yes --> Step65[Contract is requested from the vendor  
B.3.3.2]
    Step64 --> Decision32{GC agrees with GC and CIO  
B.3.3.2}
    Decision32 -- No --> Step66[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision32 -- Yes --> Step67[Contract is requested from the vendor  
B.3.3.2]
    Step66 --> Decision33{GC agrees with GC and CIO  
B.3.3.2}
    Decision33 -- No --> Step68[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision33 -- Yes --> Step69[Contract is requested from the vendor  
B.3.3.2]
    Step68 --> Decision34{GC agrees with GC and CIO  
B.3.3.2}
    Decision34 -- No --> Step70[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision34 -- Yes --> Step71[Contract is requested from the vendor  
B.3.3.2]
    Step70 --> Decision35{GC agrees with GC and CIO  
B.3.3.2}
    Decision35 -- No --> Step72[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision35 -- Yes --> Step73[Contract is requested from the vendor  
B.3.3.2]
    Step72 --> Decision36{GC agrees with GC and CIO  
B.3.3.2}
    Decision36 -- No --> Step74[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision36 -- Yes --> Step75[Contract is requested from the vendor  
B.3.3.2]
    Step74 --> Decision37{GC agrees with GC and CIO  
B.3.3.2}
    Decision37 -- No --> Step76[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision37 -- Yes --> Step77[Contract is requested from the vendor  
B.3.3.2]
    Step76 --> Decision38{GC agrees with GC and CIO  
B.3.3.2}
    Decision38 -- No --> Step78[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision38 -- Yes --> Step79[Contract is requested from the vendor  
B.3.3.2]
    Step78 --> Decision39{GC agrees with GC and CIO  
B.3.3.2}
    Decision39 -- No --> Step80[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision39 -- Yes --> Step81[Contract is requested from the vendor  
B.3.3.2]
    Step80 --> Decision40{GC agrees with GC and CIO  
B.3.3.2}
    Decision40 -- No --> Step82[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision40 -- Yes --> Step83[Contract is requested from the vendor  
B.3.3.2]
    Step82 --> Decision41{GC agrees with GC and CIO  
B.3.3.2}
    Decision41 -- No --> Step84[Vendor is not approved, request and referenced attached  
B.3.3.1]
    Decision41 -- Yes --> Step85[Contract is requested from the vendor  
B.3.3.2]
    Step84 --&gt
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