Software Purchasing Process
The **Original Software Process**

1. **Requester**
   - Submits request to the department (1 day)

2. **Dept.**
   - Reviews request and submits requisition (1 day)

3. **Procurement Services**
   - Receives request and submits PO to supplier (same day)
Software is no longer physical
Current Software Procurement Process

1. End user submits request to dept.
2. Dept. submits KFS requisition or request to PALCard team for approval
3. Procurement verifies if any existing agreements are in place.
4. If no agreement exists, Procurement forwards software questionnaire to dept.
5. Dept. consults with end user and local IT to fill out questionnaire.
6. Dept. submits questionnaire to Procurement for review.

1. Procurement reviews questionnaire and either forwards it to OIT to begin a security review or dept. is given permission to purchase.
2. OIT asks department to request HECVAT, Security Plan, and SOC Type II report from supplier.
3. OIT provides security review assessment and assists departments in completing Appendix DS.
4. Department sends UC Contract templates (UC T&C, Appendix DS, GDPR, BAA) to supplier to review.
5. Supplier provides feedback/edits.
6. Contracts team reviews edits and negotiates with supplier.

1. Agreement is finalized.
2. PO is issued or paid with PALCard.

***Additional 2-4 weeks during FY end***
Software Procurement Team

01 Requester

02 UPPOC – Unit Procurement Point of Contact

03 UISL – Unit Information Security Lead

04 OIT Security Risk & Compliance

05 Procurement Services
# Administrative UISLs

<table>
<thead>
<tr>
<th>Unit</th>
<th>Technical UISL</th>
<th>Administrative UISL</th>
</tr>
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<tbody>
<tr>
<td>Athletics</td>
<td>Mikel Alustiza</td>
<td>John Hauscarriague</td>
</tr>
<tr>
<td>Chancellor’s Office</td>
<td>Max Garrick</td>
<td>Tomas Figueroa</td>
</tr>
<tr>
<td>Communications</td>
<td>Jim Kreuziger</td>
<td>Karen Imahara</td>
</tr>
<tr>
<td>Enrollment Management</td>
<td>Chris Shultz</td>
<td>Patricia Morales</td>
</tr>
<tr>
<td>Division of Finance and Administration</td>
<td>Clint Maruki</td>
<td>David Ott</td>
</tr>
<tr>
<td>Graduate Division</td>
<td>James Tang</td>
<td>Court Crowther</td>
</tr>
<tr>
<td>Health Affairs</td>
<td>Gabriel Gracia</td>
<td>Jim Davis</td>
</tr>
<tr>
<td>Human Resources</td>
<td>Chrisia Chen</td>
<td>Stephen Whelan</td>
</tr>
<tr>
<td>Equal Opportunity &amp; Compliance</td>
<td>Max Garrick</td>
<td>May Wang</td>
</tr>
<tr>
<td>Office of Information Technology</td>
<td>Josh Drummond</td>
<td>Kian Colestock</td>
</tr>
<tr>
<td>Provost/EVC Office</td>
<td>Max Garrick</td>
<td>Tomas Figueroa</td>
</tr>
<tr>
<td>Office of Research</td>
<td>Noah Margolis</td>
<td>Sinqui Musto</td>
</tr>
<tr>
<td>Student Affairs</td>
<td>Wayne Fields</td>
<td>Edgar Dormitorio</td>
</tr>
<tr>
<td>Office of the Vice Provost for Teaching and Learning</td>
<td>Jeremy Thacker</td>
<td>Jennifer Aaron</td>
</tr>
<tr>
<td>University Advancement</td>
<td>Ashish Regmi</td>
<td>Lynn Rahn</td>
</tr>
</tbody>
</table>

Find your department’s UISL at [security.uci.edu/isc.html](http://security.uci.edu/isc.html)
## Academic UISLs

<table>
<thead>
<tr>
<th>School</th>
<th>Technical UISL</th>
<th>Administrative UISL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Claire Trevor School of the Arts</td>
<td>Jason Valdry</td>
<td>Deb Sunday</td>
</tr>
<tr>
<td>School of Biological Sciences</td>
<td>Matthew Martinez</td>
<td>Benedicte Shipley</td>
</tr>
<tr>
<td>The Paul Merage School of Business</td>
<td>Gary Striano</td>
<td>Tony Hansford</td>
</tr>
<tr>
<td>School of Education</td>
<td>Hyuk Kang</td>
<td>Tammy Ho</td>
</tr>
<tr>
<td>The Henry Samuelli School of Engineering</td>
<td>Dan Melzer</td>
<td>John Romine</td>
</tr>
<tr>
<td>School of Humanities</td>
<td>Dwayne Pack</td>
<td>Penny Portillo</td>
</tr>
<tr>
<td>Donald Bren School of Information and Computer Science</td>
<td>Bill Cohen</td>
<td>Heike Rau</td>
</tr>
<tr>
<td>School of Law</td>
<td>Patty Furukawa</td>
<td>Lisa Rehbaum</td>
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<tr>
<td>School of Physical Sciences</td>
<td>Domingos Begalli</td>
<td>Maria Graziano</td>
</tr>
<tr>
<td>School of Social Ecology</td>
<td>Jennifer Lane</td>
<td>Greg Reinhard</td>
</tr>
<tr>
<td>School of Social Sciences</td>
<td>Andrew Hill</td>
<td>Becky Avila</td>
</tr>
<tr>
<td>Libraries</td>
<td>Adrian Petrisor</td>
<td>Kevin Ruminson</td>
</tr>
<tr>
<td>Division of Continuing Education</td>
<td>Erich Delcamp</td>
<td>Bob Rude</td>
</tr>
<tr>
<td>College of Health Sciences</td>
<td>Gabriel Gracia</td>
<td>Jim Davis</td>
</tr>
</tbody>
</table>

Find your department’s UISL at [security.uci.edu/isc.html](http://security.uci.edu/isc.html)
OIT Security Team

UCI Campus

- Josh Drummond
  Chief Information Security Officer

- April Sather
  Assistant Chief Information Security Officer

- John Denune
  Security Risk & Compliance Program Manager

UCI Health

- Gabriel Gracia
  Data Security Manager

- Steve Chen
  Security Information Protection Architect

- Uma Rapaka
  IT Security Architect

Software Purchasing Process
Procurement Services Team

Procurement/Strategic Sourcing

• Patrick Ko
  Senior Buyer

• Sarosh Siganporia
  Strategic Sourcing and Procurement Manager

• Snehal Bhatt
  Chief Procurement Officer

Contracts

• Andrew Calderon
  Contracts Manager

• Laura Moss
  Principal Contracts Analyst

• Shelia Thomas
  Contracts Analyst

🌐🌐 procurement.uci.edu
1. Requester completes SW Procurement Questionnaire and submits to UPPOC.
2. UPPOC reviews questionnaire and identifies/completes required Appendices. UPPOC also checks for existing agreements. If no Appendices required, proceed with purchasing.
3. UPPOC completes Appendix DS Exhibit 1 with requester.
4. UPPOC forwards UCI Contract Templates to Supplier for review and requests additional security documents.
5. UPPOC forwards SW Procurement Questionnaire and Supplier documents for Security Review. UPPOC also routes contract documents to Procurement Services and enter a KFS requisition (if applicable). OIT provides security review assessment and reviews/negotiates the Appendix DS. Any other Appendices will be reviewed by their respective parties. OIT will address and resolve any exceptions.
6. In conjunction with OIT, Procurement Services will negotiate contract language with supplier.
7. Agreement is finalized.
8. PO is issued or paid with PALCard.

***Additional 2 - 4 weeks during FY end***
1. Requester

Completes the Software Procurement Questionnaire and submits to the Unit Procurement Point of Contact.
2. Unit Procurement Point of Contact (UPPOC)

- Reviews the Questionnaire
- Verifies if there are any existing agreements
- In coordination with the UISL, determines if the purchase needs the required Appendices and further Review
- If the purchase is low risk/low dollar, issue PO (referencing UCTC) or pay via PALCard.
3. Requester with UPPOC

Completes Appendix DS Exhibit 1.

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Exhibit 1 – Institutional Information

1. Protection Level Classification:
   - Protection Level 1
   - Protection Level 2
   - Protection Level 3
   - Protection Level 4

   **Explanation:** [Optional, add detail if needed, may be covered in SOW]
   The Protection Level determines the applicable cybersecurity insurance requirement in the Terms and Conditions.

2. Institutional Information data element descriptors:
   - Select all data types that apply:
     - A. Animal Research Data
     - B. Controlled Technical Information (CTI)
     - C. Controlled Unclassified Information (CUI) – 800-171/NARA
     - D. Defense Department; Covered Defense Information (CDI)
     - E. Federal Acquisition Regulations (FARs/DFAR) other than CUI
     - F. GDPR personal data
     - G. GDPR special data
     - H. Health data – other identifiable medical data not covered by HIPAA, (including but not limited to occupational health, special accommodation, or services qualification, etc.)
     - I. Health Records subject to HIPAA Privacy or Security Rule (PHI)
     - J. Human Subject Research Data
       1. Identified
       2. Anonymized
     - K. Intellectual property (IP), such as patents, copyright, or trade secrets
     - L. ITAR/EAR-controlled data
     - M. Payment card data (PCI, PCI DSS)
     - N. Personally identifiable information – PII
     - O. Student data, whether or not subject to FERPA
     - P. Other: __________________
     - Q. Other: __________________

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For reference see: https://security.ucop.edu/policies/institutional-information-and-it-resource-classification.html
4. UPPOC

Sends Draft Copies of the UCI Purchasing Agreement, UC Terms and Conditions, and Appendices to the Supplier to review.

AND

Requests the Supplier send to UCI:
(a) Information security and privacy policies/plan.
(b) 3rd party security review (e.g., SOC Type II report)
(c) HECVAT self-assessment
5. UPPOC

Forwards items to IT Security Team and Procurement Services to initiate the Review Process:
1) SW Procurement Questionnaire
2) Supplier documents

***Submits requisition in KFS***
UCI Campus Review Process:

- UCI Campus Security
- UCI Campus Privacy/GDPR
- UCI Campus Accessibility
- UCI PCI

UCI Health Review Process:

- UCIH Security
- UCIH Privacy Office/GDPR
- UCIH Accessibility

securityreviews@uci.edu

Exceptions?

Yes

Exceptions Resolved?

No

END

Software Not Procured

secriskassessment@hs.uci.edu
UCI Campus Reviewers

securityreviews@uci.edu

UCI Campus Review Process:
- UCI Campus Security
- UCI Campus Privacy/GDPR
- UCI Campus Accessibility
- UCI PCI

UCI Health Reviewers

secriskassessment@hs.uci.edu

UCIH Review Process:
- UCIH Security
- UCIH Privacy Office/GDPR
- UCIH Accessibility

Exceptions?

Exception Process

Exceptions Resolved?

Yes

OR
UCI Campus Review Process:
- UCI Campus Security
- UCI Campus Privacy/GDPR
- UCI Campus Accessibility
- UCI PCI

UCI Health Review Process:
- UCIH Security
- UCIH Privacy Office/GDPR
- UCIH Accessibility

Exceptions? No

securityreviews@uci.edu
secriskassessment@hs.uci.edu
6. Procurement Services

- Reviews/Negotiates any redlines or changes in contract language in parallel with OIT’s review process.

- Once the security review and contracts negotiation have concluded, the Contracts Team will finalize the contract (incl. Appendices) and route for signatures.

- Issues Purchase Order or pay via PALCard.

- Adds the software to the University’s inventory.
The Rule of Three

Best Practices for End Users/Requesters

1. Submit your requests as early as possible.
2. Consult with your UPPOC first. Be sure to fill out the Software Procurement Questionnaire.
3. NEVER sign any supplier T&C or Agreements on behalf of the University.
The Rule of Three
Best Practices for UPPOC

1. Check for existing agreements. Verify compliance with BUS-43 and PCC.
2. Verify that the Software Procurement Questionnaire is filled out accurately and completely.
3. Allow sufficient time for software review.