

UWM IT Procurement Practice

Introduction

Due to the often-complex nature of technology-related purchases, and the necessity to comply with a wide array of formal State and UW System mandates, UWM's Information Technology and Procurement units have developed a specific practice for supporting those procurements. This practice will ensure that the University community receives the best possible solution to their technology needs in an efficient manner and at the best possible value. Procurement is defined as the process of sourcing, agreeing to terms and conditions, and acquiring goods or services from an external source, whether for a price or for free.

All technology-related procurement requests share a common set of questions that must be addressed before going forward with a purchase:

- What is the problem or opportunity the procurement will address?
- Is there a solution within our current technology offerings?
- Will the proposed technology work in our environment?
- Is funding available?
- Is University data being shared with third parties and under what terms and conditions?
- Does the vendor meet University of Wisconsin System and UWM required security standards?
- Do agreements contain necessary confidentiality clauses?
- Will there be a need to integrate with some existing technology?
- Will data be loaded into our systems?
- Is the vendor aware of their responsibility in maintaining and upgrading systems?
- Is the purchaser aware of their responsibility in implementing the proposed solution?
- What IT resources will be needed to implement the proposed solution?
- Where does a specific purchase fall within the university's priorities?
- What are the proper procurement guidelines and processes to follow?
- If it is a renewal of service, is there anything in our environment or the vendor's environment that has changed?

IT Procurement Practice

The **IT Procurement Practice** includes the following activities. These activities are broadly stated categories of actions. They may be performed sequentially or in series. Not all activities will be performed for a given procurement. The goal of this practice is to provide a transparent and comprehensive collaborative method to procure Information Technology products and services in as lightweight a manner as possible that is flexible and relies on Information Technology and Procurement professional's skills, knowledge, experience, and judgement. What follows documents this practice.

Awareness and Communication

This activity ensures that University stakeholders understand **WHY** the practice exists, **WHEN** they should initiate an IT procurement request, **HOW** the IT Procurement Practice operates and **WHAT** to expect from the practice. This activity encompasses the time and effort to educate faculty and staff on the value of engaging Information Technology and Procurement units early in the procurement initiation

process. It includes the various communication modes available to engage University stakeholders: web pages, emails, group presentations, one-on-one dialog.

Types of IT Procurements – Commodity and Project

Certain hardware and software are commonly procured for University faculty and staff. Called “Commodity” hardware and software, it includes such items as Windows desktops and laptops, Apple desktops and laptops, tablets, monitors, accessories (monitors and stands, memory, keyboards and mice, external storage, video cards, network adapters, cables, docking stations, printers, Teams Phone System devices or other personal peripherals), and off-the-shelf packaged personal productivity software (such as Visio or Project). Procurements for these items are called Commodity procurements.

On the other hand, IT procurements may be for departmental or enterprise software, either to be hosted in the UWM Data Center or hosted as Software as a Service (SaaS) by a vendor in the cloud, or for specialized hardware. These generally onetime procurements are called Project procurements. These kinds of procurements may:

- Implement a new system or IT Service to campus, or
- Utilize or transform University data, or
- Make significant improvements to an existing system or IT Service on campus, or
- Involve major upgrades to software and hardware, or
- Research new technology for a specific purpose, or
- Improve existing or introduce new processes to campus.

And these procurements are identified by criteria such as:

- It may take more than one week of effort to complete, or
- It may involve more than one person or work group, or
- It may affect more than one work group, or
- It may involve procurement of IT professional services resources, or
- It may require communication, training and/or documentation, or
- It may significantly impact other areas of work, or
- It may have significant interest or involvement of senior leadership.

These criteria are not exhaustive and are intended to provide an idea of what could possibly encompass a Project procurement.

To achieve the intended goals and objectives behind the procurement, Project procurements generally require the involvement of a team of IT Subject Matter Experts (Desktop Support, Enterprise System Support, Cloud Services, Information Systems, Information Security, and Professional Services) working in collaboration with University stakeholders.

IT Procurement Roles and Responsibilities

Under this practice, University units have the following roles and responsibilities.

- Procurement Office

- Provides guidance on procurement practices to the University in accordance with good business practices and state of Wisconsin, University of Wisconsin System and campus laws, rules, policies, and guidelines.
 - Leads the development, issuance, and award of Request for Bids (RFB) and Requests for Proposals (RFP). The RFB and RFP process is heavily dependent on the cooperation of all UWM stakeholders and typically takes a minimum of 4 weeks for simple products and 3-6 months or longer for more complex products.
- Protects University staff from personal risk by signing Procurement contracts in accordance with State statutes and [University policy](#).
- Liaison between the University and its vendors for contract compliance (terms and conditions, and such) and pricing.
- Places Purchase Orders.
- Campus Technology Support (CTS)
 - Provides first level support for issues and questions related to any IT procurement.
 - For Commodity procurements:
 - Manages and maintains catalog of Commodity hardware and software.
 - Initiates or reviews requisitions, and resolves any questions.
 - Initiates Cherwell ticket to coordinate the management and deployment of procured hardware and software.
 - For Project procurements:
 - Performs first level triage for all requisitions to determine complexity and impact.
 - Determines and initiates reviews that are appropriate to the procurement.
 - Refers appropriate requisitions to IT Professional Services for review and possible input into their Project Request, Intake, Review and Approval Practice.
 - Manages and maintains hardware asset inventory for assets outside the data center.
- Information Technology Security
 - Provides guidance on IT Security practices to the University in accordance with University of Wisconsin System and campus policies, rules, and guidelines.
 - Initiates and conducts vendor and product evaluations and assessments to ensure compliance with University of Wisconsin System and campus IT Security policies, rules, and guidelines.
- Information Technology Professional Services (ITPS)
 - Maintains University IT Service Portfolio and Catalog.
 - Maintains software asset inventory and licenses.
 - For Project procurements:
 - Collaborates with Campus Technology Support to review Project procurement requisitions.
 - Collaborates with requisitioner to conduct Business Analysis practice activities.
 - Collaborates with requisitioner and initiates a formal IT project.
- Center for Excellence in Teaching and Learning (CETL)
 - Coordinates requests for changes to the UW System Digital Learning Environment with the DLE Integration Workstream team.

Available Technology Products and Services Resources

Before beginning a procurement, faculty and staff are encouraged to visit the following resources to determine whether an existing product or IT Service is currently available through University distribution channels to meet their needs.

For Commodity hardware and certain software, these resources include:

- **Windows Software Center** - Accessible from the Windows Start Menu, the Software Center provides the distribution mechanism for Windows desktop software available to University faculty and staff at no cost.
- **Apple Software** – Accessible as the Self-service app on Apple desktops and laptops.
- **UWM TechStore Online** - <https://techmallshop.uwm.edu/xcart/tech-store/>

In addition to Commodity hardware and software items, the University provides a catalog of Information Technology Services available to faculty and staff. Before starting a procurement, University faculty and staff should visit the **IT Service Catalog** (accessible at <https://uwm.edu/technology/it-service-catalog/>) to determine whether an existing University IT Service already exists to meet their needs. Or they may contact IT Professional Services and arrange a consultation to discuss their procurement intentions.

IT Procurement Initiation

Faculty and staff wishing to initiate an Information Technology procurement should visit the Campus Technology Support (CTS) Purchase Request page (<https://uwm.edu/technology/purchase-request/>).

This page can be used to initiate a Commodity procurement by selecting one or more of the “**I would like to purchase...**” options. These options include the Commodity hardware available to faculty and staff.

Additionally, this page can be used to initiate a Project procurement by selecting the “**Other**” option. On this page the requisitioner can provide details regarding the procurement. Faculty and staff are encouraged to initiate Project procurement requests as early as possible due to the time and effort that may be necessary to fulfill the request.

Lastly, this page can be used to initiate a conversation with Campus Technology Support regarding a procurement by selecting the “**Ask a question...**” option. A CTS Procurement Specialist will contact the requisitioner to discuss their question.

IT Procurement Reviews

When a request for a Commodity procurement is submitted the CTS Procurement Specialist will review the request for completion, seek any further information from the requisitioner, place the order with the vendor, coordinate any activities with the vendor, coordinate any post-delivery activities with CTS staff, and communicate with the requisitioner regarding the requisition status. Commodity procurements should not require extensive review.

When a Project procurement is submitted, the request will be forwarded to a cross-functional team with the following subject matter experts: CTS Procurement Specialist, Information Security Analyst,

Purchasing Analyst, and IT Business Analyst for review. The purpose of the review is to determine what activities will be necessary to fulfill the request. Reviewers will be looking for such things as:

- Duplication of existing IT Services
- Business case for the procurement
- Level of effort to implement
- Information security concerns and questions
- Ongoing support
- Contracting mechanism.

Project procurements may require specific reviews before a purchase order is issued. These reviews may result in the presentation of the procurement request to UWM IT governance prior to approval and issuance of a purchase order.

Please note: the UW System requires the University to vet all cloud-based software vendor's security and privacy policies as well as their contractual terms and conditions. This process is heavily dependent on vendor cooperation and typically takes a minimum of 2-4 weeks for simple products and 1-2 months or longer for more complex products.

These reviews could include the following.

Procurement Review - IT Procurements are subject to the University of Wisconsin System procurement rules which can be found at <https://uwm.edu/purchasing-payables/about/purchasing-within-uws/>.

These rules include:

- Are there special considerations or requirements for the purchase that must be followed? Such as:
 - A Purchasing Agent must sign all software license agreements, or other similar contracts such as non-disclosure agreements, on behalf of the University.
 - **NOTE:** An unauthorized signer will assume personal responsibility for damage claims that may arise.
 - The Department responsible for the day-to-day use of the software may be asked to sign a non-disclosure agreement and must submit the Software License for signature by Purchasing.
- Is there an existing contract that may or must be bought from?
- What is the appropriate process to follow based on the dollar value of the purchase?

Information Security Reviews - Procurements must meet University of Wisconsin System Information Security Policies. The applicable policies include:

Regent Policy Document

- **25-3** Acceptable Use of Information Technology Resources
<https://www.wisconsin.edu/regents/policies/acceptable-use-of-information-technology-resources/>
- **25-4** Strategic Planning and Large or High Risk Projects
<https://www.wisconsin.edu/regents/policies/strategic-planning-and-large-or-high-risk-projects/>

UW System Administrative Policies and Procedures

- **1030** Information Security: Authentication <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-authentication-2/>
- **1030.A** Information Security: Authentication Procedure <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-authentication-2/information-security-authentication/>
- **1031** Information Security: Data Classification and Protection <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-data-classification-and-protection/>
- **1031.A** Information Security: Data Classification <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-data-classification-and-protection/information-security-data-classification/>
- **1031.B** Information Security: Data Protections <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-data-classification-and-protection/information-security-data-protections/>
- **1033** Information Security: Incident Response <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-incident-response/>
- **1035** Information Security: IT Asset Management <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-it-asset-management/>
- **1035.A** Information Security: IT Asset Management Standard <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-it-asset-management/information-security-it-asset-mangement-standard/>
- **1039** Information Security: Risk Management <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-risk-management/>
- **1039.A** Information Security: Risk Management Procedure <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-risk-management/information-security-risk-management-procedure/>
- **1039.B** Information Security: Notification of Risk Acceptance <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-risk-management/information-security-notification-of-risk-acceptance/>
- **1040** Information Security: Privacy Policy <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-privacy-policy/>
- **1040.A** Information Security: Privacy Procedure <https://www.wisconsin.edu/uw-policies/uw-system-administrative-policies/information-security-privacy-policy/information-security-privacy-standard/>

All student data has been classified as high-risk data under University of Wisconsin System policy 1031 and should be handled in accordance with the University of Wisconsin System policies above, in addition to other laws and regulations, such as the Family Education Rights and Privacy Act (FERPA).

Client Data Classification Survey – This review may be required by UITS Information Security to ensure that the procurement complies with University of Wisconsin System and UWM policies. This review may be initiated by the CTS Procurement Specialist as part of their evaluation of the procurement request. The procurement requester will be required to complete the survey prior to the placement of a Purchase Order. The survey is available at

https://forms.office.com/Pages/ResponsePage.aspx?id=w3rKC7b8_U6J623pdgPPIVbIOfq5mQNGmcSDxaT8-rtUN0INMFBQVVpGNUJZVUdFQjhUQ1hVVR1dWSiQIQCN0PWcu .

Higher Education Community Vendor Assessment Toolkit (HECVAT) - The Higher Education Community Vendor Assessment Toolkit (HECVAT) attempts to generalize higher education information security, data protection and authentication questions and issues regarding cloud services. Its purpose is to ensure that cloud services (also known as Software as a Service or SaaS) are appropriately assessed for managing the risks to the confidentiality, integrity, and availability of sensitive institutional information and the Personally Identifiable Information (PII) of constituents. Further information regarding HECVAT can be found at <https://library.educause.edu/resources/2016/10/higher-education-community-vendor-assessment-toolkit> .

Payment Card Compliance (PCI) Review - University groups and organizations who wish to accept credit card payments as part of a procurement will need to involve the Credit Card Acceptance Team for review of their procurement. The review will be required prior to the placement of a Purchase Order. Further information regarding can be found at <https://uwm.edu/business-financial-services/accounting-services/pci/> . This review will be initiated by the CTS Procurement Specialist as part of their evaluation of the procurement request. The Credit Card Acceptance Team has an informational web site at <https://uwm.edu/business-financial-services/accounting-services/pci/> and can be contacted at ccat@uwm.edu.

Voluntary Product Accessibility Template (VPAT) Review - Accessibility of IT products used at the University should be considered as a criterion for acquisition. This is especially critical for enterprise-level systems or technologies that affect many students, faculty, and/or staff. The [Voluntary Product Accessibility Template](#) (VPAT) is a standard form developed to assist in this evaluation. Vendors may be asked to report on the accessibility of their products and to submit a completed VPAT.

Requests for Changes to the University of Wisconsin System Digital Learning Environment

A unique use case in the IT Procurement Practice is requests for changes to the University of Wisconsin System Digital Learning Environment (DLE). The DLE is built on three, cloud-based software tools: Instructure's Canvas learning management system, Kaltura media management system, and Zoom web conferencing system. The DLE also includes other integrated learning technology tools to meet the needs of students and instructors.

If a DLE user has identified an unmet teaching and learning need that could be satisfied with a new third-party tool (i.e., extra software not currently used within the DLE) the DLE user may request that the new tool be added to the DLE environment using their "External Application Integration Request" process.

Requests for changes to the DLE from UWM requestors will be handled in the same manner as other IT Procurement requests with several additions. Requestors start the process by submitting an IT Procurement request, indicating that the request is for a change to the DLE. The request will undergo all the IT Procurement Reviews discussed previously in this document. In addition, potential vendors will be asked to complete a "UWS Digital Learning Environment (DLE) Interoperability Addendum". If the request satisfies these reviews, Procurement and Information Security will coordinate with the Center for Excellence in Teaching and Learning (CETL) and complete a "DLE External Application Request &

Scoring Rubric”. This document will be forwarded to the UW System DLE Integration Workstream team by the Center for Excellence in Teaching and Learning (CETL) for their review and approval. These reviews may take between 30 and 90 days to complete. No procurement will happen until approval is granted.

Further information regarding the DLE and its change process can be found at <https://www.wisconsin.edu/dle/>.

IT Procurement Outcomes

Reviews will result in the following actions:

- Approval: The requisition is approved; further activity may be initiated to support the procurement.
- Request for More Information: The requisition lacks sufficient information to decide and requires clarification or modification.
- Denial: The requisition does not satisfy some requirement and no purchase order is issued. Requisitioner may appeal the denial to University IT governance.

Revision History

Updated By	Updated On	Reasons for the Change
Dale Grabarczyk	2/21/2020	Creation
Bobby Jo Morse	5/27/2020	Updated Service Catalog website
Bobby Jo Morse	5/29/2020	Updated team members on review team
Bobby Jo Morse	6/4/2020	Updated Initiation section to remove redirect information
Dale Grabarczyk	9/2/2020	Added definition of procurement in opening paragraph
Dale Grabarczyk	4/20/2021	Added UW System Digital Learning Environment (DLE)
Dale Grabarczyk	5/3/2021	Updated link to UW System procurement rules
Dale Grabarczyk	6/23/2021	Added reference to duration of cloud software reviews
Dale Grabarczyk	7/7/2021	Added reference to Regent Policy Document 25-4
Dale Grabarczyk	7/7/2021	Added reference to UWM shared data and terms and conditions

Acceptance and Authorization

Approved By	Approved On
IT Advisory Council	6/15/2020