Information Technology Governance Process

Cornell University expects all stewards and custodians of information technology (IT) systems and services to develop, manage, and use those systems and services in a manner consistent with the university's requirements for data security, data confidentiality, and business continuity. In support of this charge, Cornell has an IT Governance Framework based on formal policy and delegated responsibilities.

Before any IT applications, software, or services are purchased, the university's approval process must be followed.

Approval Process Required before Buying IT Software, Applications or Services

Work with an IT leader in your college, department, or administrative unit to submit an IT Statement of Need.

Submitting an IT Statement of Need is the first step toward purchasing IT software, applications, or services. This step helps ensure that Cornell makes sound purchasing decisions in alignment with the university's goals and remains in compliance with all applicable laws and university policies.

An IT Statement of Need is required for any IT application, software, or service that would require internal or external IT expertise or effort, or products, tools, or resources to develop, purchase, alter, upgrade, decommission, etc., an IT application or service, regardless of source of funds or availability of staff time. This includes IT applications, software, or services that are planned for use within a single department, center, college, or unit if the application requires expertise beyond that which a non-IT functional end user could provide.

> *Exceptions: A few scenarios don't require an IT Statement of Need (see this list of exceptions). Two common exceptions: If research sponsored funds are being used for the purchase, OR if the purchase is for faculty and will not be used with regulated data, an IT Statement of Need is not needed. When you submit your purchasing request to Cornell Procurement, be sure to specify the exception.*

After the IT Statement of Need is submitted, it enters a one-week collegial review period, during which university and IT leaders have an opportunity to review and comment. A CIT committee also reviews the IT Statement of Need during this period.

While the IT Statement of Need is being reviewed, you should begin working through the Checklist for Purchasing Administrative IT Software and Services, for example, requesting a Technology Risk Assessment (TRA), having a web accessibility review done, completing the Data Steward Request Form, or having a privacy review done. Alternatively, you can wait to receive the "next steps" email from the IT Project Management Office confirming what steps from the checklist must be taken before the purchase can be processed and approved by Cornell Procurement.

Contact pmo@cornell.edu with questions.

Buying IT Applications, Services, or Software After Completing the IT Statement of Need Process

When you submit your purchasing request to Cornell Procurement, attach copies of the IT Statement of Need, the "next steps" email from the IT Project Management Office confirming what steps from the Checklist for Purchasing Administrative IT Software and Services were required, and documentation showing the outcome or results of those steps.

Buying Manual
Subject: Purchases with Special Procedures
Title: Information Technology Governance Process

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Please note:
- Must be purchased on a purchase order when there is a contract that requires a signature, e.g., vendor contract, export control terms, vendor terms and conditions.
- Orders with incomplete information cannot be processed by the Business Service Center representative or procurement agent.

End User Responsibilities

1. Review the IT Governance process at https://it.cornell.edu/itgovernance.
2. Work with an IT leader in your college, department, or administrative unit to submit the IT Statement of Need and to complete the required parts of the Checklist for Purchasing Administrative IT Software and Services.
3. The "next steps" email you will receive from the IT Project Management Office will confirm which steps from the Checklist must be taken before the purchase can be processed and approved by Cornell Procurement. Once you have completed those steps, attach the following documents to the I Want Doc:

- The "next steps" email from the IT Project Management Office.
- All required documents identified in the "next steps" email (e.g., Technology Risk Assessment, Web Accessibility review, Data Steward Request Form, Privacy review).
- Vendor's quote, agreement, or contract, as appropriate.

For additional information, please contact the Project Management Office (PMO) at PMO@cornell.edu.

BSC Roles and Responsibilities

1. PCard edoc (PCDO) processing
   a. If the IT Statement of Need process was completed, attach the "next steps" email and all required documents identified in the "next steps" email to the PCDO, then proceed with normal process
   b. If the IT Statement of Need process was not completed, then have end user complete the process and attach the documents identified in 1.a. to the PCDO

2. I Want Document processing
   a. Review the "next steps" email from the IT Project Management Office regarding the IT Statement of Need and ensure that all documentation is attached to the requisition for the required steps. (Note: Orders with incomplete or missing documentation must be returned by the procurement agent.)
   b. If a contract is attached (regardless of dollar amount), the order must be processed on a requisition and marked as line item restricted to ensure routing to Procurement.
   c. The requisition must comply with the requirements above, per the "next steps" email attached.
   d. If no contract is attached, then proceed with the standard process based on dollar amount after ensuring that the requirements per the "next steps" email have been met