**Instructions**. You are receiving this questionnaire in response to **[an audit notice, a license review]** sent to the **UNIVERSITY OF COLORADO BOULDER** (“CU-Boulder”). These questions are intended to clarify the scope of the audit and the procedures to be used. By completing and returning this questionnaire, you are affirming the nature of the audit and enabling a clear and expedient exchange of information and dialog. If you feel that any of the questions are not relevant to the **[an audit notice, a license review]**, please respond accordingly. We will consider omitted questions to be out of scope for this **[an audit notice, a license review]**. If you have any questions regarding this questionnaire, please contact **oitsoftware@colorado.edu** immediately.

Vendor name

Questionnaire completed by

Date completed

Please provide the full contact information for the principal auditor.

1. **Timeline**
2. What is the proposed start date?

Answer:

1. How many days do you estimate are required to complete the [audit, license review]?

Answer:

1. What are your process milestones (in order of execution)?

Answer:

1. **Scope**
2. What CU-Boulder entities are in scope?

Answer:

1. What CU-Boulder entities are out of scope?

Answer:

1. What locations are in scope?

Answer:

1. What locations are out of scope?

Answer:

1. What software products are in scope?

Answer:

1. What software products are out of scope?

Answer:

1. What hardware platforms are in scope?

Answer:

1. What hardware platforms are out of scope?

Answer:

1. What contracts, amendments, orders, SOWs, etc., are in scope?

(*please provide an e-copy of all in-scope contracts, amendments, and related SOWs, POs, download reports, etc.*)

Answer:

1. What contracts, amendments, orders, SOWs, etc., are out of scope?

Answer:

1. What is the software product usage period? (start date to end date)

Answer:

1. **Methodology**

For the four phases listed below, provide a detailed response regarding the methodologies, tools, procedures, practices, etc. that will be used. Provide an estimated duration for each phase.

1. ***Planning and Scoping***
2. How does the auditor develop an understanding of our environment, installations, usage, locations, etc.?

Answer:

1. ***Data Collection***
2. What discovery tool will be used?

Answer:

1. How is the tool deployed?

Answer:

1. What security privileges does the tool require?

Answer:

1. Describe how the tool interacts with 1) the local device, 2) the computer operator, or 3) the local network.

Answer:

1. List all data collections to be requested.

Answer:

1. Where is the data discovered on a local device stored on the local device and how is it collected from the device?

Answer:

1. If using a script, are the script commands in readable text?

Answer:

1. Will CU-Boulder be able to review the content of the collected data?

Answer:

1. Does the discovery tool require an internet connection?

Answer:

1. Will the auditor be on-site to oversee the data collection?

Answer:

1. Will personnel interviews be conducted?

Answer:

1. What positions or job titles are expected to be interviewed?

Answer:

1. What other types of data or related files will be requested?

Answer:

1. ***Data Analysis***
2. How will the auditor analyze and summarize the data that has been collected?

Answer:

1. Specifically, how will the auditor identify, count, and reconcile for compliance the following:
2. a trial product installed alongside the equivalent licensed product.

Answer:

1. software bundles containing individually licensed products.

Answer:

1. hardware using hard partitioning technology (e.g.,IBM LPAR or Oracle VM)

Answer:

1. hardware using soft partitioning technology (e.g., VMWare)

Answer:

1. application virtualization (e.g., Citrix)

Answer:

1. containerization (e.g., Docker)

Answer:

1. hardware designated for disaster recovery.

Answer:

1. software designated for disaster recovery.

Answer:

1. backup software copies.

Answer:

1. multiple versions of the same product.

Answer:

1. software installed in production, test, or development environments.

Answer:

1. the date of installation for each version of a product.

Answer:

1. uninstalled software subsequently reinstalled on another device.

Answer:

1. software fragments left over after software is uninstalled.

Answer:

1. how will the auditor aggregate license entitlements across the entities in scope?

Answer:

1. how will the auditor aggregate software deployments across the entities in scope?

Answer:

1. How will the auditor determine the applicable licensing agreement for each installation?

Answer:

1. ***Reporting***
2. How will the final results be presented?

Answer:

1. **Comments**

Include additional comments to help clarify the scope and procedures.

Comments: