

About this tool



4-Tier Software Supplier Evaluator tool

About this tool

The 4-Tier Software Supplier Evaluator tool is designed to effectively and thoroughly implement inspections and critical evaluations of Software Suppliers in a simplified manner for general auditors, inspectors, and quality assurance professionals. This tool is designed specifically to help persons in need of more understanding of software development life cycle processes to effectively evaluate Software Suppliers and Software Vendors.

The 4 Tiers

There are 4 tiers to this software supplier evaluation:

1. Tier 1 - Internal Investigation
2. Tier 2 - Questionnaire
3. Tier 3 - Remote Inspection
4. Tier 4 - Onsite Inspection

The tiers specified can be performed in parallel or in series. The evaluation risk scoring contained in each tier is to provide **additional guidance** to help make quality decisions toward the next step in the Supplier's total evaluation, and to help the supplier improve the overall quality of the provided software products, services, and deliverables for your business.

This tool is not intended to be given to the Software Supplier/Vendor being evaluated. It is suggested that Software Supplier evaluations be kept confidential to your business.

License Information

You, the purchaser/user, are allowed unlimited usage of this tool on multiple machines for "single-user" use only. Additional user-licenses for other people require one additional 4-Tier Software Supplier Evaluator © tool purchase per user.

Legal Information and Disclaimer

This spreadsheet is a tool to help in the evaluation of Software Suppliers. The developer and licensor of this spreadsheet do not constitute as advisors for your business or your business operations. The purchaser and user of this tool assume full responsibility of the use of this tool and to verify all calculations, risk ratings, and information presented by this tool.

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Tier 1: Internal Investigation



Tier 1: Internal Investigation

INSTRUCTIONS: Conduct an internal investigation within your company to discover if there are any documented complaints, issues, process investigations, or litigations involving the Software Supplier/Vendor. This investigation can be expanded to consider information from publicly disclosed or announced complaints from other customers of the Software Supplier. The collected information should be used to a.) help prioritize the high risk suppliers, and b.) establish a baseline expectation of the supplier. Mouse-over the questions for more information.

Tier 1: Internal Investigation

Software Supplier/Vendor: _____

Internal Investigation Completion Date: _____

Investigation performed by: _____

SCORE: 0

RISK: LOW

Note: The default Score value is '0'.
The default Risk value is 'Low'.

#	Software Inspection Evaluation	Specify Answer	Specify reference documentation or comments	Risk Flags
1	How many formal corrective actions have been initiated against the vendor/supplier for "software" within the last 2 years?	0		0
2	How many complaints or issues have been identified in the software delivered by the vendor/supplier within the last 2 years?	0		0
3	Has the vendor/supplier announced changes to their software development life cycle (SDLC) process within the last 2 years?	<specify>		0
4	Has the vendor/supplier participated in a merger or acquisition in the last 2 years?	<specify>		0
5	Is the vendor/supplier providing a product software that will be newly consumed by your company?	<specify>		0
6	Is the vendor/supplier providing additional software products or services that have not been approved by your company's quality system?	<specify>		0

Key Criteria

HIGH = If SCORE is "4" or higher.

MEDIUM = If SCORE is "2" or "3".

LOW = If SCORE is "1" or "0".

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Tier 2: Questionnaire



Tier 2: Questionnaire

INSTRUCTIONS: Submit the *Software Supplier Questionnaire* PDF document to the Software Supplier to complete. Once your business has received the completed questionnaire, transfer the responses to the Tier 2 form below. The Tier 2 form below tabulates the responses to each question into "Risk Flags". Risk Flags reduce the Overall Score and increase the Risk of the Software Supplier. A low score means a high risk. Bonus points are automatically awarded to the Software Supplier if their process produces non-essential deliverables. The non-essential deliverables (denoted in black text in questions 6-14) increase the overall quality of the delivered software product/service. Mouse-over for more information on select questions.

Scoring:
 - Highest possible score is 100.
 - Possible bonus points obtained are 15.
 - Highest score with no bonus points is 85.
 - Worst possible score is 62.

Tier 2: Software Supplier Questionnaire

71 Overall Score

RISK:

MEDIUM

Supplier/Vendor being evaluated: _____

Date of Evaluation: _____

Evaluation performed by: _____

Note: The default Overall Score value is '71'.

Note: The default Risk value is 'Medium'.

#	Question	Response Options	Supplier's Response	Details	Risk Flags	Notes
1	How many years has your company been providing software products and/or services for companies within a government-regulated industry (for example, Pharma or Medical Device)?	[>1yr, >2yrs, >3yrs, or >5yrs]	<specify>		0	
2	Is your company's software development process compliant with any established industry standards?	[Yes or No]	<specify>	N/A	0	
3	Which software development life cycle (SDLC) model does your company utilize?	[Waterfall, V-Shaped, Iterative, Spiral, Big Bang, or Agile]	<specify>		0	Click for description
4	Does your company have a documented policy that defines objectives for, and commitment to, a software quality system?	[Yes or No]	<specify>	N/A	0	
5	Is your company's software test team separate from the software developers?	[Yes or No]	<specify>	N/A	0	
6	For questions 6A thru 6Y, please specify which project validation documents are produced during your software development life cycle:					
6A	Project Charter	[Always, As needed, or N/A]	<specify>		0	
6B	Project Plan*	[Always, As needed, or N/A]	<specify>		1	
6C	User/Business Requirements*	[Always, As needed, or N/A]	<specify>		1	
6D	Functional Requirements*	[Always, As needed, or N/A]	<specify>		1	
6E	Design Specifications*	[Always, As needed, or N/A]	<specify>		1	
6F	System Architecture Specifications	[Always, As needed, or N/A]	<specify>		0	
6G	Database Specifications	[Always, As needed, or N/A]	<specify>		0	

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Tier 3: Remote Inspection



Tier 3: Remote Inspection

INSTRUCTIONS: In the *Tier 3: Remote Inspection*, you request a complete sample validation package from the Software Supplier for your business to review. If the Software Supplier is resistant about providing this information, then request validation package copies of the software product/service that is specifically produced for and used by your business. As your business receives the validation package, use the Tier 3 form below to track the items received and reviewed. The Tier 3 form below tabulates the "Received" responses into "Risk Flags". Risk Flags reduce the Delivery Score and increase the Delivery Risk of the Software Supplier. A low score means a high risk. Bonus points are automatically awarded to the Software Supplier if their process produces non-essential deliverables. The non-essential deliverables (denoted in black text in questions 4-28) increase the overall quality of the delivered software product/service.

When validation package items are not delivered to your business for review by the Software Supplier, your business cannot confirm if the Software Supplier is adhering to quality practices in the delivery of its software products/services to your business. 94% or less Delivery SCORE is classified as Delivery RISK "HIGH".

Upon your business' review of the delivered validation materials, specify the "Reviewed" and "Review Date" columns. Observations made of the materials can be made at the bottom of this form. In material review, your business must determine if the validation package materials (questions 4 thru 28) satisfy the Software Supplier's Policy, Process, and Procedure documentation for software development (questions 1 thru 3).

Tier 3: Remote Inspection

Software Supplier/Vendor: _____

Remote Inspection Completion Date: _____

Remote Inspection performed by: _____

Delivery SCORE:

100%

Note: The default Score value is '100%'.

Delivery RISK:

LOW

Note: The default Risk value is 'Low'.

#	Request the following documents from the Software Supplier.	Notes	Received	Risk Flags	Reviewed	Review Date
1	Company Policy document for software development		<specify>	0	<specify>	
2	Company Process document for software development		<specify>	0	<specify>	
3	Company Procedure document for software development		<specify>	0	<specify>	
#	Request the SDLC validation documentation created for software products/services consumed by your business.	Supplier Deliverable?	Received	Risk Flags	Reviewed	Review Date
4	Project Charter	<specify>	<specify>	N/A	<specify>	
5	Project Plan*	<specify>	<specify>	0	<specify>	
6	User/Business Requirements*	<specify>	<specify>	0	<specify>	
7	Functional Requirements*	<specify>	<specify>	0	<specify>	
8	Design Specifications*	<specify>	<specify>	0	<specify>	
9	System Architecture Specifications	<specify>	<specify>	N/A	<specify>	

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Tier 4: Onsite Inspection

Tier 4: Onsite Inspection

INSTRUCTIONS: The *Tier 4: Onsite Inspection* is the execution at the Software Supplier's facility of the Tier 2 (Questionnaire) and Tier 3 (Remote Inspection). If your business has a site audit/inspection procedure, it should be followed. This *Tier 4: Onsite Inspection* provides the questions and direction on what to examine specifically for software products/services produced by the Software Supplier. Answer the question "was this an onsite inspection" below. The remainder of the Tier 4 form is auto-populated based on the overall risk rating for the Tier 2 & 3 forms.

Tier 4: Onsite Inspection

Software Supplier/Vendor: _____

Onsite Inspection Completion Date: _____

Onsite Inspection performed by: _____

Was this an onsite inspection?

Steps	Obtained Risk Rating
1. Execute Tier2-Questionnaire form.	MEDIUM
2. Execute Tier3-RemoteInspection form.	LOW

Tier 4: Onsite Inspection - Overall Risk: **LOW**

Important Note: If the Software Supplier's Tier 2 Risk is Medium or Low, but they are not able to provide the expected validation documentation (95% or more) as part of the Tier 3 inspection, then the Tier 4 Overall Risk is 'HIGH'. This is because the Software Supplier did not provide evidence that they are adhering to their established processes and procedures for software product/service development.

Observations made:

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