OPENCHAIN

Official Checklist

Introductory Merger & Acquisition Checklist

General Compliance Checklist

Policies & Management	Implementation	Notes, Action Items
Does the target organization structure include a committee to create policies and review open source usage such as Open Source Review Board (OSRB) or an Open Source Programs Office (OSPO)?	❏ Yes ❏ No ❏ Not available ❏ Not Applicable	If yes: • Describe the regular operations of the committee – meeting frequency. • Describe the size of the committee as well as its composition.
Does the target organization have a formally documented open source usage policy?	❏ Yes ❏ No ❏ Not available ❏ Not Applicable	If yes: • Is the policy communicated within the org? • Are the development teams trained on the basics of open source licensing? • Does the policy cover the cases where open source technology is to be used within proprietary software, by copying or pasting or including dependencies?
Describe the rejection and the approval processes for requests for usage of third-party open source software within proprietary software.	❏ Complete ❏ Partial ❏ Not available ❏ Not applicable	

Proprietary Software	Implementation	Notes, Action Items
Describe the target's proprietary product or products	❏ Complete ❏ Partial ❏ Not available ❏ Not applicable	
Describe the distribution mechanisms (cloud, Saas, hosted, on-prem, mobile, client side browser code)	❏ Complete ❏ Partial ❏ Not available ❏ Not applicable	
Any unknown copyleft licensed (Affero GPL, GPL, LGPL, MPL) code used in proprietary software?	❏ Yes ❏ No ❏ Not available ❏ Not Applicable	
Any dual-licensed software that the target is using under a commercial license (MySQL, Ghostscript)	❏ Yes ❏ No ❏ Not available ❏ Not applicable	
List any source code modifications made to open source.	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Describe interaction of each element of open source with proprietary software (statis or dynamic linking.)	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Describe the usage of the following (if any): • Export control and Cryptography • Databases (MySQL or MongoDB) • Web Services (AWS) • Shipping containers or virtual machines • Any commercially licensed software • Repository or package managers (maven, npm)	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Are copywright headers maintained in proprietary source code?	❏ Yes ❏ No ❏ Not available ❏ Not applicable	
Has any proprietary code been developed by 3rd party software suppliers/contractors outside the company?	❏ Yes ❏ No ❏ Not available ❏ Not applicable	
Tooling	**Implementation**	**Notes, Action Item**
Is there any open source code scanner or similar tool deployed to detect,	❏ Yes ❏ No ❏ Not available	If yes:

manage and enforce open source policies?	❏ Not applicable	• Provide the name and version • Describe the frequency of the scans • Describe the process around detection and patching of open source related security vulnerabilities
3rd Party Open Source Software	**Implementation**	**Notes, Action Item**
Does Target contribute code or resources to any 3rd party open source projects, or has it ever done so?	❏ Yes ❏ No ❏ Not available ❏ Not applicable	If yes: • Specify the projects and provide details of the contributions (licenses, websites, and whether in code, resources, or monetary)
Do any target employees hold positions on external open source projects, such as committers or project management committees?	❏ Yes ❏ No ❏ Not available ❏ Not applicable	If yes: • Identify the project, employee and position
Open Source Claims	**Implementation**	**Notes, Action Item**
Describe any claims of non-compliance made to the target, and any progress toward resolving them.	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Document Request List	**Implementation**	**Notes, Action Item**
Recent Open Source Bill of Materials or Open Source Disclosures listing all the open source used target's products are received.	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Documents relating to open source usage, approval and rejection policies are received	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Any available 3rd party notices that may be displayed or distributed with target's products are provided	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Suppliers that provide open source as part of tangible inputs that are included	❏ Complete ❏ Partial	

in the target's products (chips, computers) are identified.	❏ Not available ❏ Not Applicable	
Copies of policies covering IP ownership and development by employees and contractors are received	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Copies of contracts with 3rd parties/contractors for development of software (along with details attached) are received.	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	
Confirmed whether any 3rd party sources of software produced or consumed by the target have been certified as OpenChain Conformant	❏ Complete ❏ Partial ❏ Not available ❏ Not Applicable	