

# Official Checklist

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Description automatically generated**Introductory Merger & Acquisition Checklist**

**General Compliance Checklist**

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| **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, manage and enforce open source policies? | * Yes * No * Not available * Not applicable | If yes:   * 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 in the target’s products (chips, computers) are identified. | * Complete * Partial * 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 |  |