



**Administrative Procedure**  
**ITP-1**  
**Technology Governance and Procurement Review**

Number: ITP-1	Name: TECHNOLOGY GOVERNANCE AND PROCUREMENT REVIEW
Purpose: This procedure defines the technology governance process, in addition to outlining the requirements of the Technology Procurement Review process.	
Responsible Unit: Information Technology	
Approved by: <i>Jodie Penrod</i>	Approval Date: August 28, 2024

**1. General Information**

**a. Scope:**

Marshall University, Marshall University Research Corporation, Marshall University Foundation, Marshall University School of Medicine, and all Affiliates (as defined by UPGA-9, Information Technology Terms of Use Policy)

**b. Authority:**

Marshall University Chief Information Officer, as defined by ADMIN-20 Approval of Board of Governors Rules, University Policies and Administrative Procedures

**c. Passage Date:** August 28, 2024.

**d. Effective Date:** August 28, 2024

**e. Controlling Over:** Marshall University, Marshall University Research Corporation, Marshall University Foundation, Marshall University School of Medicine, and all Affiliates of Marshall University utilizing Marshall University Information Technology Services

**f. History:** This procedure replaces the previous ITP-48 Technology Review procedure effective on August 19, 2019. This procedure was updated on August 28, 2024, to incorporate shared governance into technology decision making.



## 2. Procedure

### a. General Information

The technology governance and procurement procedure serves as a foundation for making informed, strategic decisions about technology at Marshall University. The procedure considers the human, financial, and operational implications of implementing technology, including:

- Alignment with Institutional Goals
- Optimized Resource Allocation
- Risk Management
- Stakeholder Engagement
- Ensuring Accountability & Transparency
- Enhancing the User Experience & Equitable Access
- Data Governance & Management
- Continuous Improvement & Innovation
- Change Management
- Financial Efficiency

This procedure defines the technology governance and procurement process, in addition to outlining the requirements of the Technology Procurement Review process. Additionally, all technology purchases must follow all procedures as outlined by the Marshall University Office of Purchasing, including all documentation required by the State of West Virginia. The technology procurement process and review apply to purchases of Marshall University, including all affiliates of Marshall University utilizing information technology services provided by MU IT.

### b. Technology Governance Process

The Chief Information Officer (CIO) is accountable for ensuring shared governance in technology decision making at Marshall University. Technology decisions impacting the University community must be endorsed and approved by the following committees.

- The **Faculty Technology Committee (FTC)** is a standing committee of the Faculty Senate. The FTC should endorse and approve all technology decisions that impact teaching, learning, research, and associated technology systems at Marshall University. Members of the FTC are elected through the Faculty Senate standing committee process. A faculty member of FTC will chair the standing committee and the CIO (non-voting), the ATC Chair (voting), a representative from the Council of Chairs (voting) and others (non-voting) will function as ex-officio members of the standing committee.
- The **Administrative Technology Committee (ATC)** is a committee of staff representing administrative functions of the university. The ATC should endorse



and approve all technology decisions that impact administrative functions, and associated technology systems, at Marshall University. The ATC Chair will be elected by the members of the ATC and the CIO (non-voting), the FTC Chair (voting), and others (non-voting) will function as ex-officio members of the committee. Members of the ATC are appointed by each of the following units and sub-units. Each sub-unit will have one vote per sub-unit on ATC technology decisions.

- Academic Affairs
  - Advising
  - Recruitment & Admissions
  - Online Learning
  - Registrar
  - Student Success
- Athletics
- Dean's Council
- Facilities
- Finance
  - Accounts Receivable (Bursar)
  - General Finance
  - Procurement
- Housing
- Human Resources
- Institutional Research
- MURC
- President's Office
- Student Affairs
- University Foundation & Alumni Engagement

The ATC will replace the Banner Oversight Committee (BOC). However, user groups of specific enterprise information technology systems (such as a Banner User Group, also known as a "BUG") can continue to make recommendations for review through the shared governance process described herein. Any member of a user group can submit these recommendations to the Chief Information Officer (CIO) to be placed on the ATC agenda.

- The **Technology Executive Committee (TEC)** is a standing committee comprised of the CIO, University Provost, CFO, the FTC Chair, and the ATC Chair. The TEC will endorse and approve all technology decisions that impact the Marshall University community. The CIO will chair the TEC. In the rare cases that decisions are not



endorsed or approved by either or both the ATC and FTC, the CIO may elevate the decision to the TEC for final review and approval by majority vote.

Each committee should meet at least monthly, as arranged by the chair of each committee. The CIO can arrange for a special meeting upon coordination with the chairs of each committee. The CIO will provide the ATC, FTC, and TEC a consent agenda of IT operational updates at least five (5) business days prior to a committee meeting. The FTC will typically only meet during the University's nine-month academic year.

The CIO is empowered and accountable for technology decisions that do not require endorsement and/or approval through the shared governance process. Decisions made by the CIO should be in accordance with the following:

- 1) **IT Operations:** When decisions pertain to operational efficiency, technology infrastructure, or IT processes, the CIO's expertise can guide effective solutions without compromising academic goals.
- 2) **Regulatory Compliance:** The CIO plays a critical role in ensuring the institution adheres to relevant regulations (e.g., FERPA, HIPAA, GDPR, GLBA, etc.). Decisions related to data handling, security protocols, and compliance reporting fall within their purview. When implementing new systems or processes, the CIO should have authority to assess their compliance impact and make necessary adjustments based on findings from outside auditors or assessments. If the implementation of systems or processes result in a significant impact to faculty, staff, or students, it should follow the shared governance process, as described herein.
- 3) **Data Privacy:** Protecting sensitive data (student records, research data, etc.) is paramount. The CIO should lead efforts to safeguard information through encryption, access controls, and regular audits.
- 4) **Emergency Situations:** During crises (such as natural disasters or cybersecurity breaches), swift decisions are crucial. The CIO may need to act promptly to protect data, systems, and communication channels.
- 5) **Technology Pilots/Prototypes:** Given the rapid pace of technological advancements, the CIO should have authority to evaluate and adopt new tools, ensuring the institution remains competitive and efficient.
- 6) **Strategic Planning:** In strategic planning, the CIO's insights on digital transformation, cybersecurity, and data analytics are essential. Empowering them to contribute ensures alignment with institutional goals.
- 7) **Budget and Resource Allocation:** Decisions related to technology budgets, resource allocation, and IT investments should involve the CIO, considering long-term impact and cost-effectiveness.



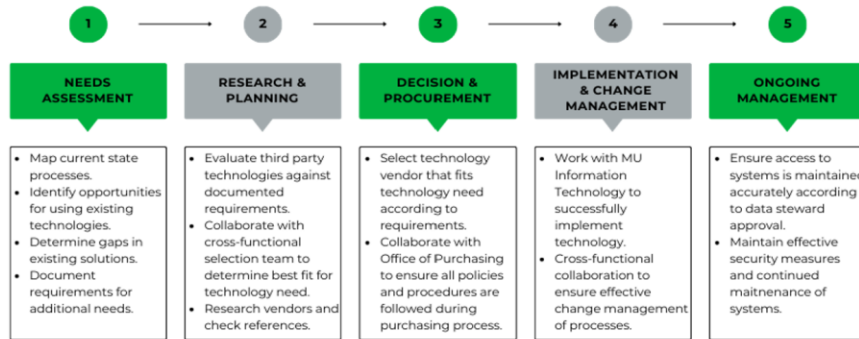
**c. Technology Procurement Process**

All technology purchased by Marshall University must first be reviewed and approved by Marshall University Information Technology (MU IT). However, technology that meets *any* of the following criteria must follow the technology procurement process:

- 1) technology that must be integrated to existing systems and data,
- 2) technology that requires substantial financial (over \$50,000 annually) resources dedicated to its successful implementation,
- 3) technology that requires multiple cross-functional stakeholders to ensure alignment and collaboration of operations, or
- 4) technology that involves storing or transmitting restricted or private data or involves additional regulatory compliance monitoring in its operational state.

The technology procurement process involves the following phases:

- 1) **Technology Needs Assessment** – In the technology needs assessment phase, MU IT will work with administrative and academic units to document the current state of processes, identify opportunities for utilizing existing technologies, determine gaps in technology offerings to the ideal state, and document all requirements needed for a new technology system or service.
- 2) **Research & Planning** – the research and planning phase utilizes all documentation gathered in the needs assessment phase to evaluate third-party or in house solutions and determine the best fit for addressing the technology need. Additionally, this process includes reference checking or benchmarking other institutions.
- 3) **Decision & Procurement** – the decision and procurement process will ensure all stakeholders, including the committees defined above, have reviewed, and provided input to make the “best fit” choice of a new technology system or service based on the information received during the previous phases.
- 4) **Implementation & Change Management** – in the implementation and change management phase, MU IT will partner with academic and/or administrative units to implement the new technology system or service and communicate all necessary changes to the university community.
- 5) **Ongoing Management** – all new technology systems and services must have a documented operational plan, to include roles and responsibilities of ongoing operations of the system or service.



**Figure 1: Technology Procurement Process**



#### d. Technology Procurement Review Process

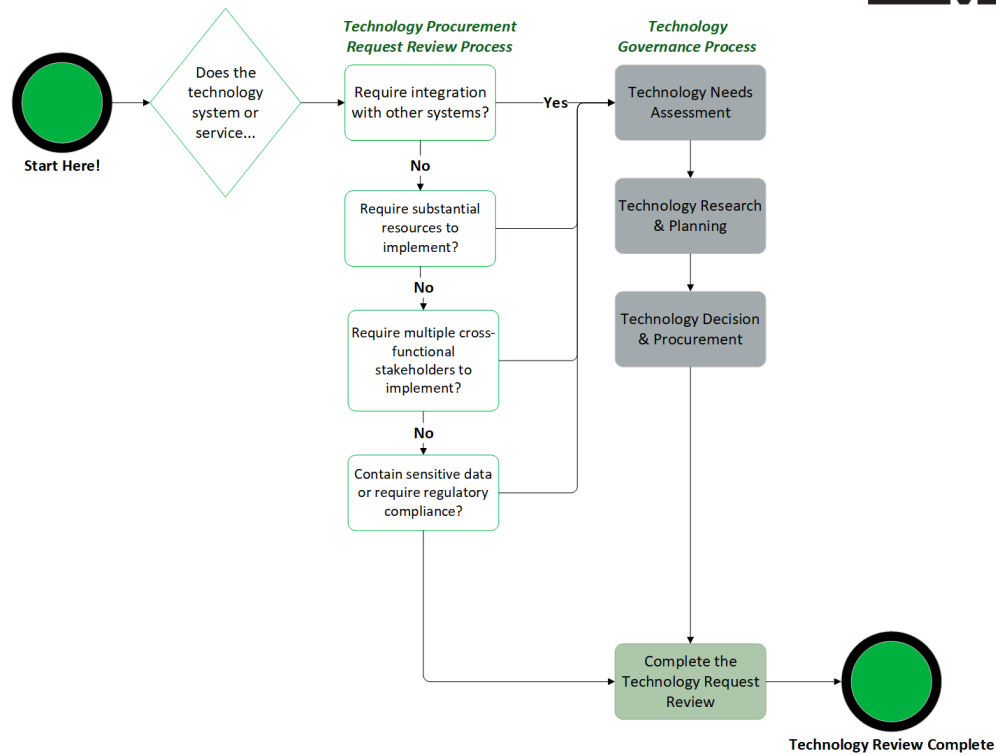
If none of the Technology Governance Process conditions apply, the technology must be submitted through the Marshall University [Technology Request Review](#) process, by submitting the Technology Procurement Form. All technologies purchased by Marshall University are reviewed by MU IT for the following:

- 1) **Duplicate Technologies Review** – MU IT will perform a review of the proposed technology to ensure there are no existing or duplicative technologies offered by the university. MU IT will ensure there is collective agreement by the requestor and MU IT that technology needs are met with any alternate suggestion for technology solutions.
- 2) **Information Security Review** – MU IT will contact the technology vendor to collect documentation to assess risk and information security compliance, using the [Higher Education Community Vendor Assessment Toolkit](#).
- 3) **IT Project Management Review** – MU IT will assess if MU IT resources are needed to successfully implement the technology. If so, the project will be scoped, prioritized, and scheduled in the MU IT Project Portfolio.

All technology systems and services are required to complete the technology procurement review process, regardless of cost, timeline, or contract status. This includes the following:

- New contracts for technology services or products
- Renewal of existing contracts for technology services or products
- Replacing an existing contract for technology services or products
- Adding a new module/function/use case to existing technology services or products

While MU IT strives to review all requests for technology reviews within ten (10) business days, it is recommended that all technology purchases be coordinated with MU IT and the Office of Purchasing at least ninety (90) days prior to the needed contract date or renewal.



**Figure 2: Technology Procurement Workflow**

**e. IT Project Portfolio Management and Strategic Drivers**

The MU IT Project Management process ensures the successful execution of IT initiatives, optimizes resource utilization, adheres to timelines, and fulfills strategic goals for Marshall University. MU IT strives to prioritize projects based on the following strategic drivers:

- 1) **PRIORITIZE** MARSHALL FOR ALL, MARSHALL FOREVER initiatives.
- 2) **STRENGTHEN** the technology infrastructure for continuous upgrades, enhancements, and information security preparedness.
- 3) **STREAMLINE** the technology process framework by establishing procurement governance, project management and prioritization, operational efficiencies, and optimization of technology systems and services.
- 4) **TRANSFORM** technology experiences into delightful, innovative, and client-focused interactions.
- 5) **EMPOWER** IT employee cultural, educational, and professional development opportunities focused on service area excellence and expertise.





MU Information Technology uses an iterative and flexible approach to planning, executing, and delivering projects. MU Information Technology will prioritize work on project based on the following criteria: 1) Urgent needs (i.e., security, regulatory, compliance, leadership directed), 2) by Strategic driver, and 3) project timeline. Projects will not be prioritized until assigned a project timeline, as agreed upon by the executive sponsors and project team. The IT Project Management process is as follows:

- 1) **Project Kickoff**
  - a. Assign an IT Project Manager.
  - b. Assign an IT Technical Lead.
  - c. Assign an Academic/Functional Lead.
  - d. Assign project team.
  - e. Create project charter/initial scope of work.
- 2) **Project Planning**
  - a. Create project plan/schedule & assign tasks to project team.
  - b. Setup reoccurring project team meetings.
  - c. Create project site for documentation.
  - d. Create project team for collaboration/communication.
- 3) **Project Execution**
  - a. Execute project tasks.
- 4) **Project Monitoring**
  - a. Communicate project status updates on a bi-weekly basis.
  - b. Escalate project risks on a bi-weekly basis, if needed.
- 5) **Project Closure**
  - a. Document lessons learned.
  - b. Ensure all documentation is archived on project site.
- 6) **Additional Information**

For additional information, please contact the Chief Information Officer.