


ADMINISTRATIVE PROCEDURE

ITP-3

TECHNOLOGY GOVERNANCE AND PROCUREMENT REVIEW

Number: ITP-3	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: 	Approval Date: 3/27/2024

1. General

- 1.1 The technology governance 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:
- 1) Alignment with Institutional Goals
 - 2) Optimized Resource Allocation
 - 3) Risk Management
 - 4) Stakeholder Engagement
 - 5) Ensuring Accountability & Transparency
 - 6) Enhancing the User Experience & Equitable Access
 - 7) Data Governance & Management
 - 8) Continuous Improvement & Innovation
 - 9) Change Management
 - 10) Financial Efficiency

This procedure defines the technology governance 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.

1.2 Authority: Marshall University Chief Information Officer, as accepted by the Information Technology (IT) Council.

2. Technology Governance Process

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

- 1) the technology must be integrated to existing systems (i.e., systems that are already procured and in use by Marshall University) and data,
- 2) the technology requires financial and personnel resources dedicated to its successful implementation,
- 3) the technology requires multiple cross-functional (across units or departments) stakeholders to ensure alignment and collaboration of operations, or
- 4) the technology involves restricted data (refer to the Data Classification Guide) or regulatory compliance monitoring in its operational state.

For the purposes of this procedure, technology is defined as any equipment, system, or software responsible for information collection, processing, display, or storage.

2.2 The technology governance 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 evaluate third-party or in house solutions to 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 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 manage 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.

Technology Governance Process

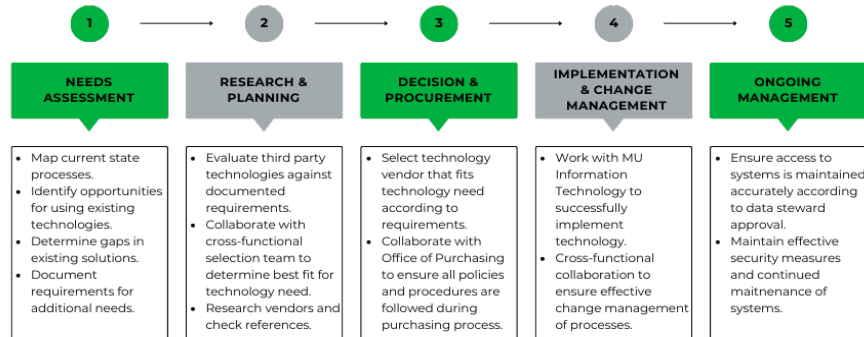


Figure 1: Technology Governance Process

2.3 For technology requests following the technology governance process, decisions will be made according to the DACI model of shared decision making. The DACI model clarifies roles, ensures efficient and timely decision making, and ensures accountability to shared governance. DACI is defined as follows:

- (D) DRIVER – Drives the decision process with key stakeholders
- (A) APPROVER – Ultimate decision authority and accountable for outcome
- (C) CONTRIBUTOR – Contribute pre-decision input and perspective
- (I) INFORMED – Informed post-decision for clarity and execution

For technology decisions throughout the governance process, the following DACI (shown in Table 1) will apply:

Table 1: DACI for Technology Decision Making

D - Driver	<ul style="list-style-type: none"> • Academic/Administrative Appointed Lead • IT Appointed Lead
A – Accountable/Approver	<ul style="list-style-type: none"> • Chief Information Officer • Provost (or delegate) * <p>*For technology decisions related to academic (teaching & learning) matters only*</p>
C – Consulted/Contributor	<ul style="list-style-type: none"> • IT Council • Academic/Administrative Units • Associate/Assistant Provosts and/or Administrative VPs
I - Informed	<ul style="list-style-type: none"> • Faculty, Staff, Students, or Affiliates

3. Technology Procurement Review Process

- 3.1 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.

- 3.2 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:
 - 1) New contracts for technology services or products
 - 2) Renewal of existing contracts for technology services or products
 - 3) Replacing an existing contract for technology services or products
 - 4) Adding a new module/function/use case to existing technology services or products

- 3.3 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.

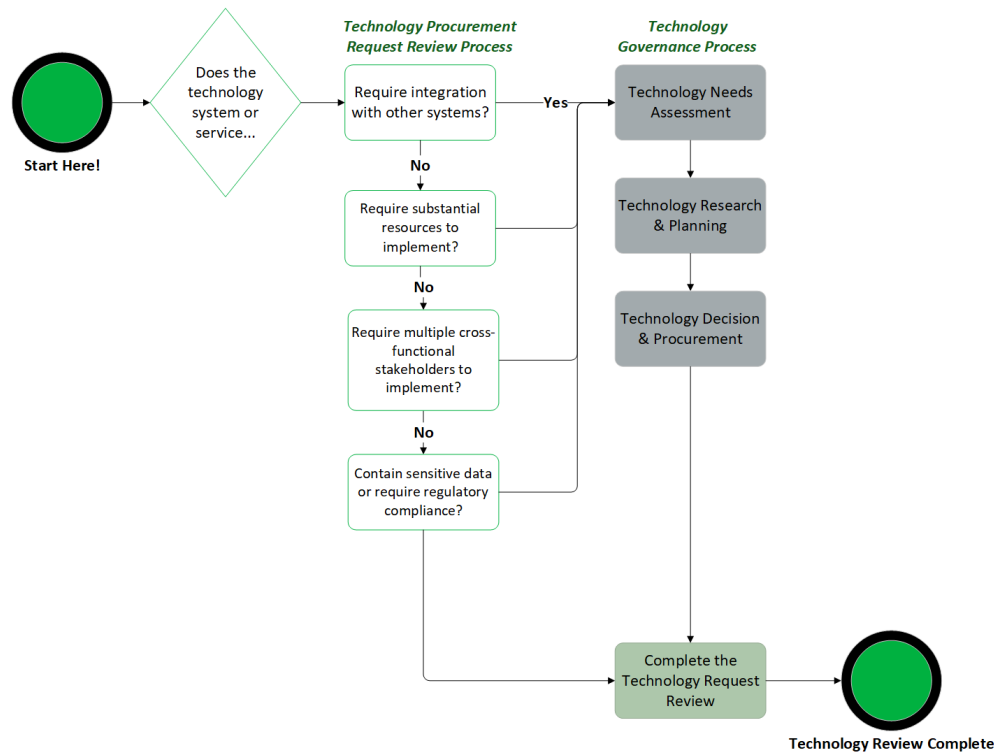


Figure 2: Technology Procurement Workflow

4. IT Project Portfolio Management and Prioritization

4.1 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.

4.2 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.

5. Additional Information

- 5.1 For additional information, please submit a ticket to itservicedesk@marshall.edu or contact the Chief Information Officer.