

Owner: [CIO](#)

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1.0 POLICY STATEMENT

All UTHealth procurements of information technology, including medical and scientific devices that store data, and information technology services, and are in excess of \$5000, regardless of funding source, with the exceptions noted below, must be reviewed and approved by the Vice President for Information Technology and Chief Information Officer (CIO) prior to the purchase order being issued.

EXCEPTIONS:

The CIO has delegated final IT approval authority to the school IT approver in the following cases:

- Renewals of existing information technology contracts with an increase of less than 15% over the current year,
- Desktop/Laptop/Tablets/Pad purchases less than \$25,000,
- Desktop software purchases less than \$15,000.

The review process will be appropriate based on the risk (financial, legal, public image, health/safety) to The University of Texas Health Science Center at Houston (UTHealth). The earlier in the procurement cycle that this review is requested, the less likely there will be a delay.

Schools and departments may have their own procurement policies that are different from this policy. School or department policies may be more or less restrictive. It is the responsibility of the individual requesting approval to follow all applicable policies.

For the purposes of this policy, the term 'information technology' includes 'information technology services' as defined below.

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2.0 RESPONSIBILITY

Any individual or department seeking to procure information technology using UTHealth funds must seek approval to do so as described in this policy.

The CIO must review and approve all information technology procurements as described in this policy. The CIO is the final approval authority for IT procurements except as noted in the policy statement.

The CIO has delegated limited approval authority to school/department information technology staff. All IT procurements requiring CIO approval should have been reviewed and approved by the school IT approver before being sent to the CIO.

The procurement department must check for CIO approval as required by this policy before processing a procurement of information technology on UTHealth funds.

3.0 SCOPE

This policy applies to all UTHealth procurements of information technology of more than \$5,000 regardless of funding source.

4.0 DEFINITIONS

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Term	Definition
Information technology	Hardware, software, licenses and services used to create, collect, record, process, store, retrieve, display and transmit university information in any electronic format.
Information technology services	Services provided to design, implement or operate information technology as defined above.
Production system	A system that is represented by the system owner as accurate and can be relied upon for decision making and action. A system designated as production is assumed to have controls in place and documented to ensure the quality of the information and actions produced. (used in 5.1.5)

5.0 STANDARDS

5.1 Information Technology Procurement Review

5.1.1 Information technology purchases of more than \$5,000 must be coordinated across the university to ensure compatibility with the UTHealth information technology environment, reduce costs, improve the probability of success and ensure compliance with all laws, regulations, rules, policies and procedures that apply to the purchase and implementation. Doing this requires that the Information Technology department review and evaluate:

- a. requirements documents,
- b. design documents,
- c. technical configurations,
- d. impact analyses including:
 - o workflow
 - o technical infrastructure
 - o policy,
- e. implementation plans,
- f. implementation budgets,
- g. risk analysis and mitigation plans,
- h. staffing plans,
- i. vendor proposals,
- j. vendor bids and
- k. vendor contracts.

5.1.2 The degree of formality required for an appropriate review of information technology is dependent upon the risk to the university. Risk factors considered include:

- a. size of the investment,
- b. level of complexity,
- c. level of innovation,
- d. degree of reliance on the following for success:
 - o technology

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- departments, schools or entities
- processes,
- e. level of criticality,
- f. level of visibility,
- g. number of laws, rules, regulations and policies that are applicable,
- h. amount of business process change introduced and
- i. number of entities affected.

5.1.3 This is not to say that riskier purchases will be denied. What it does say is that riskier purchases and implementations require a higher level of planning to mitigate the risks and improve the probability of success. Documentation provides evidence of this planning. A lack of documentation and the inability to answer basic questions indicates a lack of planning which increases the risk of failure.

5.1.4 It is understood that technology deployed in a research setting may be an exploratory endeavor that may not benefit from the degree of formality that can be expected in implementations with more defined outcomes. The review will take this into consideration to the extent that the technology is integral to the research endeavor and not disruptive to the campus.

5.1.5 When technology deployed in a research setting is subsequently deployed in a 'production' setting, any modifications required to make the technology 'production ready' will be the responsibility of the researcher.

5.2 Information Technology Procurement Review Process

Given the risk factors taken into consideration and the amount of documentation that may be required, the approval process will be much easier the earlier that the individual seeking approval engages information technology staff. Routine purchases rarely require more than a few days to review and approve. Higher risk purchases (see 5.1.2 above) may require months of preparation. The individual seeking approval should engage information technology staff in the planning stage, well before the procurement is initiated. Questions or requests for assistance can be directed to CIO@uth.tmc.edu.

Consult with your local school IT organization to review your school's companion IT procurement policy.

5.2.1 Using the risk factors in 5.1.2 above, evaluate the risk.

5.2.2 Engage the Information Technology staff in your school or department as soon as possible for assistance and guidance on how to proceed.

5.2.3 All local school and departmental procurement policies and procedures must be followed.

5.2.4 School IT approval must be given before the CIO will approve the procurement. The CIO review can take place simultaneously at the option of the CIO and school IT approver.

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- 5.2.5 The school IT approver will forward all relevant documentation and his or her explicit approval to the CIO for approval unless the procurement is one of the exceptions listed below in which case CIO approval is not needed and steps 5.2.6 and 5.2.7 can be skipped.
- Renewals of existing information technology contracts with an increase of less than 15% over the current year,
 - Desktop/Laptop/Tablets/Pad purchases less than \$25,000,
 - Desktop software purchases less than \$15,000,
- 5.2.6 The CIO may engage other individuals as appropriate before approving or denying the procurement.
- 5.2.7 The CIO will send an approval or denial to the individuals listed on the request for approval. Additional information may be requested or stipulations added.
- 5.2.8 The procurement department will review procurements of information technology for appropriate approval. Procurements with CIO approval will be processed. Procurements without CIO approval will be returned to the school IT approver and/or the CIO.

6.0 EXCEPTIONS

Exceptions to this policy may be considered by the Executive Vice President and Chief Operating and Financial Officer, or the President. Any exception that is granted does not exempt the purchaser from any laws, rules, regulations or policies that may apply to the acquisition or operation of the information technology.

Since technology is being deployed in everything including air conditioning equipment, fire alarms, clocks, cars, medical equipment and cash registers, it is impossible to define a policy that excludes these items while including everything where a review adds value. Categories of items such as the ones listed above generally do not require review. However, items that connect to the UTHHealth network may be of interest. If in doubt, ask at CIO@uth.tmc.edu.

7.0 ENFORCEMENT

Information technology that is incompatible with the UTHHealth information technology environment, as would have been determined by the review and approval process, may have to be returned, replaced or modified at the purchaser's expense.

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8.0 CONTACTS

Name of Technical Contact	Title or Office/Department	Telephone	E-mail
Rick Miller	VP Information Technology & CIO	713.486.3603	CIO@uth.tmc.edu

9.0 REVISION HISTORY

Author	Version	Reason For Change	Effective Date
Rick Miller	1.0	Documentation of an existing policy. Approved in the 10/20/2010 IT Direct Reports meeting.	10/27/2010
Kimberly Beckett	2.0	Corrected threshold amount to "more than \$5000" in sections 1.0, 3.0 and 5.0	11/5/2010
Tammy Gardiner	3.0	Annual review; updated template. No changes to policy.	02/05/2013
Rick Miller, Tammy Gardiner	4.0	Updated policy with details to allow UTHSC schools to approve purchases.	03/19/2014

10.0 APPROVAL

**Certified by Tammy Michelle Gardiner,
IT Risk and Compliance Manager**

Approved by Richard L. Miller, CIO