



# State of West Virginia Office of Technology Policy

## CIO Review Approval

*Issued by the CIO*

Policy No: CIO-19-001

Issue Date: 08/01/2019

Revise Date: 08/01/2021

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## 1.0 PURPOSE

This policy establishes a framework for all technology procurement requests that require CIO approval.

W. Va. Code § 5A-6-1, *et seq.*, provides that the Chief Information Officer (CIO) may evaluate and make recommendations on the design and suitability of Information Technology (IT) equipment and related services, and may review and make recommendations on the purchase, lease or acquisition of information equipment and contracts for related services, including temporary IT staffing by all state spending units.

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## 2.0 SCOPE

For technology procurements with aggregate spend over \$250,000 please reference Appendix A.

This policy is applicable to all state agencies, with the exception, of those listed in W. Va. Code §5A-6-8, "Exemptions" and the above referenced Appendix A.

The State's Procurement Officers are expected to be familiar with and to comply with this policy.

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## 3.0 POLICY

### 3.1 Expedite Process

3.1.1 The intent of the expedite review is to provide agencies a mechanism to indicate a time-sensitive procurement as the result of a legitimate business need.

3.1.2 The following review types are NOT authorized for expedited review.

- Request for Proposals (RFPs) at the concept stage
- Request for Proposals (RFPs) at the release stage
- Contract Renewals

3.1.3 The requesting agency head must approve expedited requests. An email chain is an acceptable format for this approval.

3.1.4 An expedited review request must be sent to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address with the subject line of "Expedite Request" and marked as high importance. In the email request, provide detailed business justification in accordance with the criteria outlined below:



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### 3.1.4.1 Funding Source Impact.

- Detailed explanation of the funding source impact to the agency.
- Fund source type (General Revenue, Special Revenue, Grants, etc.)
- If funds are expiring, provide expiration date(s).
- Additional details, as necessary.

### 3.1.4.2 Significant Operational Impact.

- Detailed explanation of the operational impact to the agency.
- Explanation of the urgency and scope of anticipated or actual impact.
- Timeline of existing or anticipated operational impact.
- Additional details, as necessary.

## 3.2 Accelerated Review

3.1.3 The accelerated approval process is designed to specifically address procurements leveraging certain statewide contracts regardless of dollar value and for technologies when procured under the \$2,500 threshold. The accelerated approval process in Appendix B outlines specific information that must be included with all accelerated review requests. This is far less information than what is required under the standard approval process. In addition, the review stage of the process only requires a check to validate the procurement meets the conditions of this policy. CIO Review Accelerated request form should be sent to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address with the subject line of "Accelerated CIO Requests". If the Agency does not have OASIS access, please submit a WV-39 request form to the [OTES@wv.gov](mailto:OTES@wv.gov) email address.

### 3.2.1 Technology Statewide Contracts.

The following Statewide Contracts require Office of Technology Approval. For ordering instructions and attachments, visit <http://www.state.wv.us/admin/purchase/swc/default.html> and click on the link in the Contract column for the respective contracts.

- IP19 - Desktop and Laptop Computers and Monitors
- DIGICOP - Digital Copiers (Lease or Purchase of Multi-Function Copiers)
- MAILMCHN - Digital Mailing Machine Systems



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- ITCONSULT - Information Technology & Advisory Services provided by Gartner

### 3.2.2 Technology Procurements Below \$2,500 Threshold

- Software contained on the approved software list in Appendix B.
- Hardware contained on the approved hardware list in Appendix B.
- Removeable Media must include a privacy impact assessment.
- All Other < \$2,500 Technology Procurements must comply with the accelerated policy guidelines.

### 3.3 Request for Proposal (RFP)

#### 3.3.1 Concept Stage

At concept stage the Agency must submit an overview and justification of the desired RFP to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address. At this stage of procurement, the Office of Technology is reviewing the request to ensure alignment with the strategic initiatives. Agency contact will receive an approval memo from the Office of Technology via email so they can move forward with the procurement.

#### 3.3.2 Release Stage

At release stage the Agency must submit the RFP solicitation with estimated costs to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address. At this stage of procurement, the Office of Technology is ensuring the solicitation aligns with the concept. Agency contact will receive an approval memo from the Office of Technology via email so they can move forward with the procurement.

#### 3.3.3 Award Stage

At award stage the Agency must submit all award documentation to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address. At this stage of procurement, the Office of Technology is validating strategic alignment and cost. Agency contact will receive an approval memo from the Office of Technology via email so they move forward with the procurement.

### 3.4 Request for Quote (RFQ)

#### 3.4.1 Release Stage



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At release stage the Agency must submit the RFQ solicitation with estimated costs to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address. At this stage of procurement, the Office of Technology is ensuring the solicitation aligns with the concept. Agency contact will receive an approval memo from the Office of Technology via email so they can move forward with the procurement.

### 3.4.2 Award Stage

At award stage the Agency must submit all award documentation to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address. At this stage of procurement, the Office of Technology is validating strategic alignment and cost. Agency contact will receive an approval memo from the Office of Technology via email so they move forward with the procurement.

## 3.5 Request for Information (RFI)

### 3.5.1 Concept Stage

At concept stage the Agency must submit an overview and justification of the desired RFI to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address. At this stage of procurement, the Office of Technology is reviewing the request to ensure alignment with the strategic initiatives. Agency contact will receive an approval memo from the Office of Technology via email so they can move forward with the procurement.

## 3.6 Contract Renewals

At Contract Renewal the Agency must submit all renewal documentation to the [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov) email address. At this stage of procurement, the Office of Technology is validating strategic alignment and cost. Agency contact will receive an approval memo from the Office of Technology via email so they move forward with the procurement.

## 3.7 Minor Contract Reassignments

CIO approval is not needed for contract reassignments necessitated by a name and/or other administrative change, such as funding or address changes. CIO approval is only needed if the contract reassignment somehow alters the technical specifications of the original procurement effort.

## 3.8 Internal Delegation Memo



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The Internal Office of Technology delegation is outlined in Appendix C.

### 3.9 SaaS Cloud Addendum Overview

Information about the Cloud Addendum is outlined in Appendix D.

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## 4 RELEVANT MATERIALS/DOCUMENTS

This policy is consistent with the following federal and state authorities:

- WV Code § 5A-6-1
- WVOT Policies Issued by the Chief Information Officer (CIO),  
[www.technology.wv.gov/security/Pages/policies-issued-by-the-CIO.aspx](http://www.technology.wv.gov/security/Pages/policies-issued-by-the-CIO.aspx)

The following forms are referenced in this policy:

- [CIO Review Accelerated Approval Form](#)

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## 5 ENFORCEMENT

Any employee found to have violated this policy may be subject to disciplinary action up to and including dismissal. Disciplinary action will be administered by the employing agency and may be based upon recommendations of the WVOT and the **West Virginia Division of Personnel**. Please review the **WVOT Policy and Procedure Policy #1000** to review additional provisions concerning enforcement and policy authority.

Audits will be completed by the Office of Technology during the Contract Renewal process to make recommendations for changes and efficiencies. Audits will also be conducted by the Office of Technology on purchasing card purchases relating to Technology procurements.

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## 6 Change Log History

- July 1, 2019 –
  - Document Created.
- December 1, 2020 –
  - Changed email address from [consultingservices@wv.gov](mailto:consultingservices@wv.gov) to [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov)
  - Added Section 3.9
  - Added Kofax to the Nuance version in Appendix B
  - Added Appendix D
- August 1, 2021 –
  - Chief Technology Officer (CTO) change to Chief Information Officer (CIO).



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**7 Authority**

A handwritten signature in blue ink, appearing to read "Josh D. Spence", written over a horizontal line.

Joshua D. Spence  
CIO  
WVOT



# APPENDIX A: Strategic Review

Policy No: CIO-19-001

Issue Date: 08/01/2019

Revise Date: 12/01/2020



*Jim Justice*  
*Governor of West Virginia*  
**MEMORANDUM**

**TO:** Governor's Cabinet Secretaries  
Executive Branch Agency Heads

**FROM:** Ann Urling, Deputy Chief of Staff *AU*

**DATE:** December 4, 2018

**RE:** Strategic Review of Technology Procurements

As a follow-up to Governor Justice's announcement last week that Josh Spence, one of the leading cybersecurity experts in the nation, is now leading our Office of Technology as the Chief Technology Officer, I wanted to let you know that we are going to need your assistance as we work to build a **much more secure** statewide network which will include a cybersecurity plan to be created for and utilized by all of state government.

In recognition of the significant cyber threat facing state government technology & data, the need to improve cost-efficiencies, and enhance the value of technology investments, effective immediately, the **Office of Technology will be conducting a strategic review of all technology procurements.**

This review **will be applicable to all state entities** and incorporated into the existing Chief Technology Officer (CTO) review process. **All agencies will need to route technology procurements, meeting the review scope to [Consulting.Services@wv.gov](mailto:Consulting.Services@wv.gov).**

Processing of the transaction will not proceed until the review has been completed and the transaction approved. This review will include the following scope and evaluation criteria.

**Review Scope** All technology procurements, change orders, and release orders from statewide contracts with an estimated aggregate cost of \$250,000 or greater.

**Evaluation Criteria:** Does the procurement's purpose directly relate to the implementation, maintenance, or enhancement of:

1. Cybersecurity technology or services
2. Information technology (IT) data centers
3. IT network infrastructure
4. IT server & data storage technology
5. IT enterprise technology or services



## APPENDIX A: Strategic Review

Policy No: CIO-19-001

Issue Date: 08/01/2019

Revise Date: 12/01/2020

### OFFICE OF THE GOVERNOR

Cabinet Secretaries  
Agency Heads  
Page Two  
December 4, 2018

**Emergency Situation:** If you have some type of urgent/time sensitive technology-related purchase/renewal, the CTO will work to assist you as we work to incorporate this into our long-term plan for the state.

We appreciate your cooperation and understanding as we implement this new process to assess our system security vulnerabilities and create a secure environment that is essential to protect vital information within our State.

The following organizations are exempted from this policy.

- Higher Education
- Department of Education

Please let me know if you have any questions or concerns.





## APPENDIX B: Under \$2,500 Purchases

**Policy No: CIO-19-001**

### Approved Software:

The approved software list outlines the specific software and version. Other software sold by the same vendor is not authorized for accelerated approval, unless listed below. Legacy software (unsupported) version are also NOT authorized.

1. Adobe PDF Professional DC Cloud Version
2. Kofax Nuance Power PDF Standard (version 3)
3. Kofax Nuance Power PDF Advanced (version 3)

### Approved Hardware:

1. Desktop (side by) printers
2. Scanners
3. Projectors
4. Fax Machines
5. Bill of Materials (BOM) Provided by the Office of Technology for the following hardware:
  - a. Routers
  - b. Wireless Access Points
  - c. Ethernet Switches
  - d. VoIP Phones/Equipment



# APPENDIX C Office of Technology Internal Delegation Memo

Policy No: CIO-19-001




STATE OF WEST VIRGINIA  
DEPARTMENT OF ADMINISTRATION  
OFFICE OF TECHNOLOGY  
State Capitol  
Charleston, West Virginia 25305

Allan L. McVey  
Cabinet Secretary

Joshua D. Spence  
Chief Technology Officer

**TO:** All WVOT Directors

**FROM:** Joshua D. Spence  
Chief Technology Officer  
Office of Technology 

**SUBJECT:** CTO Review Policy: Delegation of CTO Review Approval Authority

**DATE:** April 15, 2019

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Effective immediately, I am delegating CTO Review Approval Authority as outlined below:

1. All WVOT Procurements will be approved by Justin T. McAllister, Chief Financial Officer, after a Director has signed and submitted a PR-1 Form for the purchase. Submission of the form will denote the Director's review and approval of the purchase to ensure its compliance with the WVOT Strategic Initiatives. A formal memo will be provided upon CFO approval.
2. For Non-WVOT Procurements less than \$50,000, the WVOT Directors will review and approve these requisitions in lieu of the CTO. After the Director(s) has approved, the agency will receive a formal approval memo.
3. For Non-WVOT Procurements greater than \$50,000, the CTO will review and approve these purchases at the requisition phase, upon recommendation from the applicable Director(s). After the CTO has approved, the agency will receive a formal approval memo.
4. For Non-WVOT Awards greater than \$50,000 require WVOT Director review and approval. After the Director(s) has approved, the agency will receive a formal approval memo.
5. For all RFPs, the CTO will review and approve at Concept and Release upon recommendation from the applicable Director(s). After the CTO has approved, the agency will receive a formal approval memo.
6. For the Award of all RFPs, applicable WVOT Director(s) will review and approve. After the Director(s) has approved, the agency will receive a formal approval memo.



## APPENDIX D WV Cloud SaaS Procurement Addendum Overview

Policy No: CIO-19-001

### Purpose and Scope

Protection of State-owned Data, including citizens' personally identifiable information (PII) or confidential information, shall be an integral part of the business activities of the service provider to ensure there is no inappropriate or unauthorized use of the state's data at any time. To this end, the Software as a Service (Cloud) addendum outlines the obligations of the service provider to protect the state's data affected by the service. The addendum is required for any project in which State-owned Data will be stored on or accessible by an application or cloud infrastructure that is owned, maintained, or managed by the service provider.

### Definitions

"Service Provider" means the contraCIOr and its employees, subcontraCIOrs, agents and affiliates who are providing the services agreed to under the contract.

"Software-as-a-Service" (SaaS) means the capability provided to the consumer to use the provider's applications running on a cloud infrastructure. The applications are accessible from various client devices through a thin-client interface such as a Web browser (e.g., Web-based email) or a program interface. The consumer does not manage or control the underlying cloud infrastructure including network, servers, operating systems, storage or even individual application capabilities, with the possible exception of limited user-specific application configuration settings.

"State-owned Data" means all data created or in any way originating with the state, its departments, agencies, boards or commissions, and all data that is the output of computer processing or other electronic manipulation of any data that was created by or in any way originated with the state, whether such data or output is stored on the state's hardware, the service provider's hardware or exists in any system owned, maintained or otherwise controlled by the state or by the service provider.

### Policy

When requesting CIO Review, agencies must include the SaaS (Cloud) addendum with the specifications for any projects seeking software as a service, or projects in which state-owned data will be stored in a cloud.

The SaaS is available at [technology.wv.gov](https://technology.wv.gov) under "IT Policies" (<https://technology.wv.gov/security/Pages/policies-issued-by-the-CIO.aspx>) or on the Purchasing Division's website under the "Form" (<http://www.state.wv.us/admin/purchase/Documents/WVCloud-SaaSProcurementAddendum.pdf>)



## APPENDIX D WV Cloud SaaS Procurement Addendum Overview

**Policy No: CIO-19-001**

If the SaaS addendum is not necessary, WVOT will notify the requesting agency. This ensures that the agency will submit the SaaS addendum with the specifications when publishing solicitations when it is applicable. If the SaaS addendum is required, it **MUST** be attached to the solicitation when submitted to the Purchasing Division.

The Purchasing Division will not allow the solicitation to be published if the CIO Review memo indicates the SaaS addendum is required and it is not attached to the solicitation.