IT HARDWARE AND SOFTWARE ACQUISITION POLICY

POLICY# OTECH-POL2020-001

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Overview

Policy Number:	OTECH-POL2020-001
Title:	IT Hardware and Software Acquisition Policy
Purpose:	To define the process by which Information Technology (IT) hardware and software products are reviewed, purchased and maintained.
Authority:	5 GCA Chapter 1 Article 12.105 (a)(3), (b)(3), 12.109, 12.110
Publication Date:	March 4, 2020
Policy Approval:	Frank LG Lujan, Jr Chief Technology Officer
Target Audience:	The intended recipients of this policy includes all entities under the authority of the Office of Technology, pursuant to 5GCA Ch 1, Article 12.102.
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Revision History

Date of Change	Responsible	Summary of Change
July 2019	OTECH Systems Support	Draft policy
November 2019	OTECH Systems Support	Update policy
March 2020	CTO, DPM	Review draft, approve and disseminate

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Introduction

The Office of Technology (OTECH) is responsible for overseeing all hardware and software acquisitions and for maintaining all hardware and software products deployed within the Government of Guam Wide Area Network (GGWAN). This policy is intended to define the process by which hardware and software products are reviewed, purchased and maintained, with respect to data security, operational integrity, and long-term sustainability.

OTECH will neither install nor support hardware or software that has not been approved in advance of purchase. OTECH can assist in determining if the Government of Guam (GovGuam) already owns hardware or software that meets an Agency's business needs.

Hardware

Computer hardware includes, but is not limited to, servers, storage arrays, routers, switches, wireless access points, desktop computers, laptop/notebook computers, tablets, printers, security cameras, VoIP endpoints, access controls, UPS' and other computing and peripheral devices that connect to the GGWAN. For common end user devices (EUD), minimum hardware specifications are posted on the otech.guam.gov website (https://otech.guam.gov/resources/).

Agencies must work with OTECH for any computer hardware purchases that are not listed under the *OTECH Hardware Standards*. IT hardware resources that are acquired without OTECH's review and approval may not be supported. Due to licensing and warranty restrictions, OTECH will not install GovGuam owned software on a non-approved device, nor will OTECH perform physical repairs and maintenance to the device.

Software

OTECH configures and installs a standard list of software for all new computers. This standard creates a consistent technology environment that is secure, compliant with all licensing and usage agreements, and meets the general requirements of OTECH's IT Security Policy for End User Computing (EUC) hardware. Specialized needs may require the acquisition of additional software.

Process:

Prior to procuring any hardware or software, the following must be adhered to:

Software and vendor services review:

- OTECH must be included in all software acquisitions to ensure compliance with the GovGuam IT infrastructure.
- OTECH will ensure that the software meets all operational requirements including server configurations, operating systems, and auxiliary or third-party software products (browser compliance, Java version, etc.) as well as the user needs.
- In addition to the software, OTECH will also review data hosting and/or storage services, whether data is hosted internally or by a third-party (or a cloud agent acting on behalf of the vendor).
- OTECH will assess the level of internal support necessary for continuous operation, and the support services that are either provided by or will need to be purchased from the vendor.

Vendor compliance:

- All vendors that provide hosting services must meet acceptable industry security standards as well as specified OTECH audit standards.
- Vendors must provide their SOC 1 or SOC 2 reports, their SSAE-16 (formally SAS-70) or comparable compliance documents, and audit reports as needed that illustrate the vendor has committed an appropriate level of resources to data protection and security.
- The software under review must provide a high quality service that improves the GovGuam technology environment without jeopardizing network or server performance, data integration or data security.
- All software that requires data exchange may include HIPPA, IRS, SSA or PII (Privacy Act of 1974) protected information must comply with all state and federal requirements.

Software demonstrations:

- OTECH must be included with all stakeholders in vendor software demonstrations. OTECH recommends comprehensive demonstrations prior to the purchase of any software, and will work with vendors to arrange remote (WebEx) demonstrations as needed.
- In cases where institutional data may be required for demonstration purposes, vendors must provide, in advance, all security compliance documentation as specified above, including written assurance that all data will be permanently removed from their systems following the demonstration.
- All HIPPA, IRS, SSA and PII (Privacy Act of 1974) requirements apply to software demonstrations.

Budget

When acquiring new software, the budget must include the cost of the product as well as all associated costs such as installation, training services, updates/upgrades, third-party products that may be necessary for software operations, costs associated with data transfers, and the cost of any specialized hardware or equipment that must be acquired. An estimated cost of the annual maintenance and licensing fees must also be included.   These costs should be planned and submitted across a three to five-year period to include any planned version or release projections. OTECH will assist with identifying all costs and with the development of the budget. The requesting Agency is responsible for identifying and securing budgetary funds for the acquisition, support and continuing costs of the software, licensing and maintenance.

The funding for new hardware is the responsibility of the requesting Agency. OTECH will assist in identifying all costs associated with new hardware purchases, which in some cases may also include installation and support. The requesting Agency is responsible for identifying and securing funds for the acquisition, support and continuous costs of the hardware maintenance and support.

Policy Compliance

Compliance Measure

The Office of Technology will verify compliance to this policy through various methods, including but not limited to, periodic reviews and site inspections, video monitoring, business tool reports, internal and external audits and inspections, and feedback from the agency that procured the product.

Exceptions

Exceptions to the guiding principles in this policy must be documented and formally approved by the requestor's respective Agency Head and the OTECH CTO.

Policy exceptions must describe:

- The nature of the exception

- A reasonable explanation for why the policy exception is required

- Any risks created by the policy exception

- Evidence of approval by all appropriate parties

Non-Compliance

Any agency found to have violated this policy may be subject to significant delays in the acquisition process as well as any future IT acquisitions. The non-compliance situations may be subject to be published in OTECH's annual report to the legislature at the discretion of the CTO.