



Colville Confederated Tribes

Information Technology Division

November 16, 2015

TO: All Programs

FROM: W. James Hettrick, C.I.O.

RE: IT Purchasing Standard Operating Procedures

Please read attached IT Purchasing SOP and its related documents. Per the authority of the Employee Policy Manual Section 104 and Tribal Resolutions 2004-615, 2004-616, and 2005-649, IT has developed and received approval to put this into effect immediately.

EPM Section 104 reads:

Departments or programs may establish Standard Operating Procedures that are consistent with this Manual. Standard Operating Procedures are the documented processes that a program has in place to ensure services and products are delivered every time. After Administrative Review, the Executive Director has authority to approve Standard Operating Procedures. Upon approval, it is the Supervisors responsibility to ensure that each applicable employee receives the Standard Operating Procedures.

CCT Information Technology looks forward to your full cooperation and partnership to ensure we are standardizing our equipment as well as conserving our resources.



Colville Confederated Tribes

Information Technology Division

TECHNOLOGY PURCHASING POLICY

Purpose

Information Technology (I.T.) is charged with supporting the Confederated Tribes of the Colville Reservation's (CCT) owned computer hardware, software and peripherals in ways that meet CCT strategic priorities. CCT is a highly interconnected governmental entity, and is dependent upon secure and reliable technology to meet its priorities. I.T. is responsible for maintaining the CCT network, servers, workstations, and peripherals, maintaining quality at reasonable costs. This policy establishes standards, guidelines, and procedures for the purchase of these technologies in ways that support excellent stewardship of CCT resources.

In a proactive effort to be wise stewards of CCT resources, I.T. purchases technologies that are sustainable, compatible with existing systems, and can be efficiently supported. As a result, I.T. has negotiated numerous purchasing agreements with hardware, software, network, and telecommunication vendors, service agencies, multimedia companies, software developers and others. In order to take advantage of these contracts and ensure that technology purchases meet CCT standards, I.T. must be involved in all information technology related purchases in order to provide:

1. Compatibility with CCT's network environment;
2. Compliance with CCT's security policy;
3. Suitability based on needs assessment;
4. Licensing compliance for software purchase;
5. Hardware and software that can be efficiently supported;
6. Availability of sufficient CCT resources (including initial and recurring costs);

I.T. has been assigned the task of purchasing technical goods and services based upon documented requests, proper signature authority, and available funds.

Purchase of Standard Technology

Standardization allows CCT to efficiently select and manage technology, obtain better technology pricing, reduce maintenance costs and increase access to training and assistance. These standards are re-evaluated periodically based on common needs, vendor offerings, cost, reliability, supportability, quality, sustainability, compliance with recycling policies and timeliness of vendor response. When technology is adopted as a CCT standard, it is considered to be pre-approved for purchase by I.T.

Purchase of Non-Standard Technology

Purchase of non-standard technology components should be minimal, and justified through extenuating circumstances. This includes technology purchased through grants and other non-CCT funds. CCT I.T. will not purchase or support this type of technology related item, unless that purchase was made through and/or with the knowledge and approval of the Chief Information Officer (CIO).

In certain cases, when services are being considered for purchase, or new systems are being considered for in-house development, the CIO must review and approve vendor selections, consultant engagements, development plans, and contract language.

Technology Purchasing Procedures

These procedures have been developed in support of the Technology Purchasing Policy.

Standard Purchase Requests

Step 1:

All CCT technology requests are processed through CCT Technical Services. The purchasing procedure is initiated by opening a work ticket, requesting a quote for equipment. The end user may request technology by:

- Emailing cct.tickets@colvilletribes.com to complete a work ticket;
- Contacting the Help Desk at x2300;

The CIO must approve purchases. To facilitate turn-around, and to give the best possible services, please have the following information available or included when requesting or submitting via online:

- Quantities, complete item description(s)
- Cost center to be charged
- Date needed

Requests should be submitted with sufficient time to place and receive orders without undue delay. Please provide as much lead-time as possible. To duplicate a previous purchase, the prior purchase order should be referenced.

Step 2:

RPA – Requisition, Purchasing & Accounts Payable

All orders will be handled by the I.T. Business Services Staff. I.T. will initiate the requisition using the identified fund and general ledger number, place the order by sending the vendor the purchase order, and process the invoice for payment. I.T. will provide the program with all pertinent back up for their files. Requesting program must properly code all purchases to be in accordance with CCT Central Accounting's requirements for consistent transaction coding.

Non-Standard Purchase Requests

All requests for non-standard technology should begin with the Technology Initiative Questionnaire (TIQ) The TIQ should be submitted to the CIO. The CIO will assign I.T. staff to work with you to determine the appropriate technology for your needs and, if necessary, assist you in filling out the Application Due Diligence form which will guide you through selection of a software application. The TIQ and Application Due Diligence form will be presented to the CIO for final decision and approval or decline.

Additional Information:

Signature Authority

I.T. Business Services staff is responsible for ensuring that all documents bear the proper signatures prior to order placement. Signature levels are determined by dollar value per CCT purchasing signature authority guidelines. The CIO must approve all Technology purchases of hardware, software, and related contracts regardless of dollar value.

PO Box 150, Nespelem, WA 99155 (509) 634-2231 Fax: (509) 634-2235

Funds Responsibility

It is the responsibility of the requesting department to ensure that funds are in place prior to order placement.

Asset & Inventory Tagging

All assets will be tagged by CCT Purchasing and well as I.T. All tags issued by I.T. will be entered into Web Help Desk and assigned to the employee that will utilize it. In the event an employee leaves CCT employment, or transfers to another department, I.T. will report to the program manager, any assets assigned to the employee that must be returned and/or accounted for prior to separation. This information may be used for deductions of the employee's final paycheck for any lost or damaged assets.



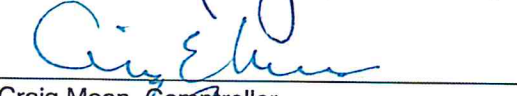


Contracts

I.T. will be responsible for the administration of technology contracts including, but not limited to: hardware, software, data, web domains, copiers, service, and "smart" phones for CCT. This includes managing all actions associated with contracts, including renewals, warranty issues, and vendor returns or replacement.

Resources

- Resolution 2004-615
- Resolution 2004-616
- Resolution 2005-649
- Technology Initiative Questionnaire
- Application Due Diligence Form

APPROVALS:

	11/4/15
W. James Hettrick, Chief Information Officer	Date
	11/6/15
Dorothy Zacherle, Purchasing & Contracting Officer	Date
	11.6.15
Craig Moen, Comptroller	Date
	11/10/15
Patrick Tonasket, Central Services Director	Date
	11-12-15
Francis Somday, Executive Director	Date



Colville Confederated Tribes

Information Technology Division

Technology Initiative Questionnaire

Title of Technology Project or Program: _____

Requested by: _____

Contact Information: _____

Desired Implementation Date: _____

Describe the Project: _____

1) The need: What are you attempting to accomplish by implementing this technology?

2) Define objectives and state how these objectives align with CCT I.T. Strategic Priorities?

3) How is this need currently being met?

List three other ways in which this need might be met:

4) Stakeholders and Their Needs:

- A) Requesting Department? _____
- B) Operational Oversight? (who is going to implement?) _____
- C) Audience? (who is going to be affected by this project?) _____

5) List major risks (risk of doing it and not doing it) and constraints:

6) Available Resources:

A) Funding

- Is the project fully funded? _____
- How is it funded? (budget, grant) _____
- What are the available funds, if any? _____
- What is the projected costs? _____

B) Staff

- What staff resources are needed? _____
- Which Department will provide staff? _____

Project Review Signatures

Requesting Party and Program Manager must sign before submitting project for technology review.

Requesting Party _____ Date _____

Program Manager _____ Date _____

Project Reviewed by _____ Date _____
Technology Liaison

Approved: _____ Date _____
Chief Information Officer

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Application Due Diligence

Technology Project: _____

Application Software: _____

Vendor: _____

Goals:

- Ensure that the scope of work and departmental responsibilities are understood during the software evaluation process.
- Confirm the software is compatible with our existing process and technical infrastructure.
- Enumerate incompatibilities so all parties involved can estimate the work required to resolve them.

Overview:

This document will be filled out by the requestor with the assistance of CCT IT staff.

These questions are intended to be answered by all parties involved in evaluating and deploying a new server application. Many of them are answerable only by the vendor or by the organization requesting the application. Other questions require coordination with Technical Services, Systems Services, or Network Services to fully answer.

1) Will this application interface with existing CCT systems?

- Will information such as enrollment, user names, email addresses, etc. be needed for population of the new system?
- Describe any interface with existing systems.

2) Application Hosted Offsite or Onsite

- Is this application hosted by the vendor offsite?
- If vendor hosted, what is the support agreement?
- If vendor hosted, what is the backup plan?
- If vendor hosted, what is the disaster recovery plan?

3) Application Platform

- Which operating system(s) does the application software run on?
- Does this operating system require hardware from a specific vendor?
- Will patching/changing the server break the software or violate support/maintenance contracts?
- Does the software package require an obsolete or unsupported version of operating system or other component (hardware, database, etc.)?
- Does the software package require a specific database and if so, what version?

4) User System Requirements

- What operating systems are supported for users (Mac OS X, Windows XP, Windows Vista)?
- If the software is web based, what web browsers are supported on each operating system?

5) Hardware

- Does this system require dedicated hardware? Describe hardware requirements.
- Is a test/development server required?
 - for application?
 - for data?
- Does the application work acceptably in a virtualized environment (e.g. under VMware, Xen, or KVM)?
- Will this system require offsite hardware for disaster recovery?

6) Availability

- When is this system required to be available?
 - During normal business hours?
 - 24/7
 - Other?
- Will this system be accessible by the public?
 - to LDAP authenticated users only?
 - to registered site users?
 - Restricted to a well-defined group of users?

7) Authentication and Security

Note that an application that expects to periodically import bulk data from our LDAP servers and authenticate users against this copy of LDAP data is not considered to authenticate against our LDAP servers. Our goal is to maintain a single canonical copy of user credentials within LDAP. We do not export LDAP data in bulk to applications.

- Is sensitive information (password, SSNs, credit card numbers) transmitted via unencrypted protocols (for example, using FTP, HTTP or TELNET vs. SFTP/SCP, HTTPS or SSH)?
- Will this system authenticate against our central LDAP server?
- If so, does it support secure LDAP?
- Has this software been independently audited for security problems?

8) Has this software been reviewed for audit provisions of security and revision control?

9) Storage

- What are the system's data storage needs (MB, GB, TB)?
 - Initial application?
 - Data?
 - Annual growth?
 - Data?
- Can the system store non-application data on a shared filesystem such as NFS or a SAN? Examples of non-application data are persistent user files and data and ephemeral session data.

10) Networking

Often a load balancer is used to redirect traffic from a well-known port to an arbitrary port on one or more servers, thus allowing multiple applications to share multiple servers. This defends against hardware failures and allows us to add capacity by adding identical redundant servers to the system. By using one public IP address on the load balancer and using NAT (network address translation) to forward requests to servers on a private non-routable network, we can increase security and decrease our use of public IP addresses. The ability to use this system architecture is complicated by applications with unstated assumptions about the addresses and ports they will use.

- What are the system's data transmission (bandwidth) needs (GB/month)?
 - to users
 - to backup
 - to vendor
 - to infrastructure (LDAP, SAN, NFS)
- What network protocols are used to communicate with users?
- Can this system run on a private non-routable (RFC 1918) network?
- Can this system operate using arbitrary or non-privileged ports for the services it provides. This is important for running multiple applications on a single server.

11) Installation

CCT IT operates many servers where operator access is restricted to text (terminal) access.

- Who is installing the system? CCT IT or vendor?
- Can the application be installed easily/using site-standard tools?
- Can the application be installed without user intervention?

12) Backup

- What are the backup/restore requirements?
 - documents?
 - database?
 - configuration files?
 - audio, video, or other large files?
 - Backup retention period?
 - Database rollback capability?

13) Support

- **What support is available from the vendor?**
 - Hours?
 - Administrator only or users also?
 - Knowledge Base?
 - User forums?

- How many hours/wk (estimated) will a sysadmin spend to keep this system running?
- Does this system require after-hours support?
- Does this system require multiple-admin support?
- What are the expected support response times for resolving system outages (i.e. SLA/service level agreement?)

14) Capacity

- How many users is this system expected to support?
- Can the capacity of the system (number of users supported) be increased by adding (not replacing) hardware? For example, can the software be distributed among a number of load-balanced servers to increase capacity, or must the software be migrated to a single, more powerful server?

15) Vendor Access

- Is the vendor required to have access to the servers?
- Is the vendor required to have admin access to the servers?
 - Application?
 - Operating system?
 - Physical access?
- What information is transmitted to the vendor by this application?

16) Regulations/Privacy

- What are the regulatory implications of this system?
 - FERPA
 - HIPPA
 - SOX (Sarbanes-Oxley)
- What is the company's privacy policy?

17) Accessibility

- Is this system Section 508 compatible?

18) Training

- What training is required for users?
 - Who provides this training?
 - Cost?
- What training is required for administrators?
 - Who provides this training?
 - Cost?

19) Application Lifecycle

- What is the currently expected lifecycle of the product?
- Average/specified time between releases
- Length of support for old releases until EOSL (end-of-system life)
- Expected cancellation of product line
- Imminent sale of host division or company

20) Licensing of Software

- Is a separate license required for a test/development system?
- Is a separate license required for a standby/disaster-recovery system?
- Is a separate license required for virtualized instances (i.e. those run under VMware, Xen, or KVM)?
- What rights do we have to the software source code?
 - Modification?
 - Redistribution?
 - Applications developed with the software?
 - Applications developed for use with the software (e.g. plugins, modules?)
- Is there a code escrow agreement in place in case the vendor is unable to continue supporting the product?
- Can we customize the software or its configuration without paying the vendor for support/consulting services?
 - cosmetic?
 - functional?
- Is the software license tied to MAC, IP address, hostname, or other server-specific identifier that requires contacting the vendor before relocating/rename/repairing the host?

21) End User License Agreement

Describe the details of any end user license agreement. What are the methods, maintenance, etc.

22) Financial Stability of Vendor

- How long has the company been in business?
- Describe how the company’s vision fits with higher education.
- List of institutions that have used the product and are willing to be contacted.

23) Projected Costs and Expected Returns? (for a three to five year period.)

Costs:

Consulting	\$ _____	Acquisition	\$ _____	Licensing	\$ _____
Hardware	\$ _____	Add Staffing	\$ _____	Implementation	\$ _____
Testing	\$ _____	Training	\$ _____	Maintenance	\$ _____
Upgrades	\$ _____				

TOTAL FY of Purchase \$ _____

Project Expenses for the following years?

FY (1 Yr Out) \$ _____ FY (2 Yrs Out) \$ _____ FY (3 Yrs Out) \$ _____

Expected Return On Investment:

TOTAL ROI FY of Purchase \$ _____

Project Return On Investment for the following years?

FY (1 Yr Out) \$ _____ FY (2 Yrs Out) \$ _____ FY (3 Yrs Out) \$ _____

RESOLUTION

WHEREAS, it is the recommendation of the Management & Budget Committee to approve MIS manager is to ensure an assesment is provided to determine the appropriate information technology equipment to be utilized by required by tribal programs and associated Tribal entities. The MIS manager or designated representative is required to initial all requisitions requesting Information Technology equipment verifying the equipment requested is in consonance with the Tribal Information Technology goals and objectives. Sole source purchasing is authorized for Information Technology equipment and associated peripherals with the MIS manager ensuring the selected vendor is offering the best possible cost effective solution.

THEREFORE, BE IT RESOLVED, that we, the Colville Business Council, meeting in **SPECIAL SESSION** this **7th day of October, 2004** acting for and in behalf of the Colville Confederated Tribes, Nespelem Washington, do hereby approve the above recommendation of the M&B Committee.

The foregoing was duly enacted by the Colville Business Council by a vote of **10 FOR 3 AGAINST 0 ABSTAINED**, under authority contained in Article V, Section 1(a) of the Constitution of the Confederated Tribes of the Colville Reservation, ratified by the Colville Indians February 26, 1938, and approved by the Commissioner of Indian Affairs on April 19, 1938.

ATTEST:



Joseph A. Pakootas, Chairperson
Colville Business Council

cc: M&B Committee Chair
CBC Recording Secretary
BIA Superintendent
Dept. or Program:

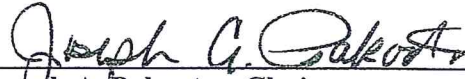
RESOLUTION

WHEREAS, it is the recommendation of the Management & Budget Committee to identify/rename the Management Information Services(MIS) program as the Information Technology(IT) program to be in consonance with the federal ad state naming conventions.

THEREFORE, BE IT RESOLVED, that we, the Colville Business Council, meeting in **SPECIAL SESSION** this **7th day of October, 2004** acting for and in behalf of the Colville Confederated Tribes, Nespelem Washington, do hereby approve the above recommendation of the M&B Committee.

The foregoing was duly enacted by the Colville Business Council by a vote of **13 FOR 0 AGAINST 0 ABSTAINED**, under authority contained in Article V, Section 1(a) of the Constitution of the Confederated Tribes of the Colville Reservation, ratified by the Colville Indians February 26, 1938, and approved by the Commissioner of Indian Affairs on April 19, 1938.

ATTEST:



Joseph A. Pakootas, Chairperson
Colville Business Council

cc: M&B Committee Chair
CBC Recording Secretary
BIA Superintendent
Dept. or Program:

RESOLUTION


WHEREAS, it is the recommendation of the Management & Budget Committee that all activity pertaining to Colville Tribal network/telecommunications infrastructure will be accomplished by the Tribal Information Technology (IT) program. Utilization of entities other than the IT program (vendors, providers, individuals, consultants, etc.) to provide Tribal communication must be requested in writing to the IT Program Manager or authorized designee, specifying the scope and purpose of the project. The IT Program will evaluate the proposal and provide a written documentation for subsequent action.

WHEREAS, the Tribal Information Technology program is the authority for the installation, implementation, maintenance, changes and security of the Colville Tribal network/telecommunications infrastructure and all aspects therein. This includes computers, servers, telephones, telecommunications equipment, network equipment and all associated communications peripherals.

THEREFORE, BE IT RESOLVED, that we, the Colville Business Council, meeting in a **SPECIAL SESSION** this 15th day of December, 2005 acting for and in behalf of the Colville Confederated Tribes, Nespelem Washington, do hereby approve the above recommendation of the Management & Budget Committee.

The foregoing was duly enacted by the Colville Business Council by a vote of **11 FOR 1 AGAINST 0 ABSTAINED**, under authority contained in Article V, Section 1(a) of the Constitution of the Confederated Tribes of the Colville Reservation, ratified by the Colville Indians February 26, 1938, and approved by the Commissioner of Indian Affairs on April 19, 1938.

ATTEST:



Harvey Moses, Jr., Chairperson
Colville Business Council

cc: Management & Budget Committee Chair
CBC Recording Secretary
BIA Superintendent
Dept. or Program: Larry Hall, IT Program Manager
Gary Joseph, Operations Division Director
Martin Bohl, Executive Director